

Guide to maritime security and the ISPS Code

# GUIDE TO MARITIME SECURITY AND THE ISPS CODE

2012 EDITION

212

Published in 2012 by the  
INTERNATIONAL MARITIME ORGANIZATION  
4 Albert Embankment, London SE1 7SR  
www.imo.org

Printed by Wheatons Exeter Ltd, Exeter, EX2 8RP



ISBN: 978-92-801-1544-4

IMO PUBLICATION

Sales number: IA116E

Copyright © International Maritime Organization 2012

*All rights reserved.*

*No part of this publication may be reproduced,  
stored in a retrieval system, or transmitted in any form or by any means,  
without prior permission in writing from the  
International Maritime Organization.*

*Reproduction and/or translation rights may be available for this title.  
For further details please contact IMO Publishing at [copyright@imo.org](mailto:copyright@imo.org).*

This publication has been prepared from official documents of IMO, and every effort has been made to eliminate errors and reproduce the original text(s) faithfully. Readers should be aware that, in case of inconsistency, the official IMO text will prevail.

# Contents

	<i>Page</i>
<b>Guide to maritime security and the ISPS Code</b>	
<b>Foreword</b> .....	xv
<b>Section 1 – Introduction</b>	
1.1 Purpose of the Guide .....	1
1.2 Structure .....	1
1.3 Sources .....	2
1.4 Overview of the Maritime Security Measures .....	2
Origins .....	2
The SOLAS Convention .....	3
The SOLAS amendments 2002 .....	3
Conference resolutions .....	3
The Maritime Security Measures in brief .....	4
Milestones .....	5
1.5 Benefits of, and challenges in, implementing the Maritime Security Measures .....	5
1.6 Maintaining security awareness .....	6
Introduction .....	6
Security awareness programmes .....	7
1.7 Abbreviations .....	8
1.8 Definitions .....	9
Appendix 1.1 – Cross-reference of Government and industry responsibilities .....	14
Appendix 1.2 – IMO Guidance material on Maritime Security Measures, 1986–2011 .....	15
Appendix 1.3 – Websites showing security awareness programmes .....	19
<b>Section 2 – Security responsibilities of Governments and their national authorities</b>	
2.1 Introduction .....	21
2.2 National legislation .....	23
Introduction .....	23
Experience to date .....	23
Legislating for the Maritime Security Measures .....	24
Extending the application of the Maritime Security Measures .....	28
2.3 Organizations within Government .....	29
Organizational structures .....	29
Delegation of responsibility .....	29



	<i>Page</i>
<b>2.4</b> Government co-ordination mechanisms .....	29
Introduction .....	29
National maritime security framework/strategy .....	30
National maritime security committees .....	30
Participation in international and regional organizations .....	32
<b>2.5</b> Recognized security organizations .....	32
Introduction .....	32
Permitted delegations .....	33
Authorization .....	33
Oversight .....	34
Experience to date .....	34
<b>2.6</b> Security levels .....	34
Introduction .....	34
Setting the security level .....	35
Communicating the security level .....	36
<b>2.7</b> Declarations of Security .....	37
Introduction .....	37
Establishing the requirement for a DoS .....	37
Government-to-Government agreement .....	39
Continuous Declarations of Security .....	39
Exclusive Economic Zone and Continental Shelf .....	39
Retention .....	39
Request by a port facility .....	39
Request by a ship .....	39
<b>2.8</b> Port facility security responsibilities .....	40
Designating port facilities .....	40
Port facility boundaries .....	40
Notification .....	41
Non-SOLAS port facilities .....	41
Port security committees .....	41
Port facility security officers .....	42
Port facility security assessments .....	42
Port facility security plans .....	43
Security records .....	43
Review of an approved PFSP .....	44
Amendments to an approved PFSP .....	44
Internal audits .....	44
Security measures and procedures .....	45
Statement of Compliance .....	45
<b>2.9</b> Ship security responsibilities .....	46
Appointment and qualifications of security personnel .....	46
Ship security assessments .....	47
Ship security plans .....	47

	<i>Page</i>
Reporting security system or equipment failures . . . . .	49
Interdiction at sea . . . . .	49
Preserving evidence following a security incident . . . . .	50
Reporting security incidents . . . . .	50
Security records . . . . .	50
Internal audits . . . . .	50
Security measures and procedures . . . . .	51
Continuous Synopsis Records . . . . .	51
Manning levels . . . . .	51
<b>2.10 International Ship Security Certificates . . . . .</b>	<b>51</b>
Introduction . . . . .	51
Issuance . . . . .	51
Verifications . . . . .	52
Duration of validity . . . . .	53
Loss of validity . . . . .	53
Remedial actions . . . . .	53
Ship out of service . . . . .	54
Interim International Ship Security Certificates . . . . .	54
Ship inspections . . . . .	55
<b>2.11 Control and compliance measures . . . . .</b>	<b>55</b>
Introduction . . . . .	55
Duly authorized officers . . . . .	56
Pre-arrival information procedures . . . . .	56
Clear grounds . . . . .	56
Ship inspection in port . . . . .	57
Notifications . . . . .	59
Immediate security threat . . . . .	59
Experience to date . . . . .	59
<b>2.12 Ship security communications . . . . .</b>	<b>59</b>
Requirement for alert and identification systems . . . . .	59
Ship security alert systems . . . . .	60
Automatic identification systems . . . . .	61
Pre-arrival notification . . . . .	61
Long-range identification and tracking of ships . . . . .	62
<b>2.13 Alternative security agreements . . . . .</b>	<b>63</b>
Introduction . . . . .	63
Application . . . . .	63
Procedure . . . . .	64
Review . . . . .	64
Experience to date . . . . .	65



	<i>Page</i>
<b>2.14</b> Equivalent security arrangements .....	65
<b>2.15</b> Enforcement actions .....	65
Introduction .....	65
Stepped approach .....	66
Counselling .....	67
Formal notification .....	67
Serious security deficiencies .....	67
Restriction or suspension of activities .....	67
Suspension or withdrawal of an approved PFSP or SSP .....	68
Imposition of penalties .....	68
<b>2.16</b> Training of Government officials with security responsibilities .....	68
Introduction .....	68
Duties of officials .....	68
Training requirements .....	70
Code of conduct .....	71
Identification documents .....	71
<b>2.17</b> National oversight .....	72
Introduction .....	72
Seafarer access considerations .....	73
Port facility inspections .....	74
<b>2.18</b> Additional security-related instruments and guidance issued by IMO .....	75
Introduction .....	75
Non-SOLAS vessels .....	75
Port security .....	77
SUA Convention .....	77
Offshore activities .....	78
Specific security issues .....	78
<b>2.19</b> Information to IMO .....	78
Introduction .....	78
Global Integrated Shipping Information System .....	79
National contact points .....	79
Port facilities .....	79
National legislation .....	80
Additional information .....	80
Appendix 2.1 – Implementation questionnaire for Designated Authorities .....	81
Appendix 2.2 – Implementation questionnaire for Administrations .....	83
Appendix 2.3 – Criteria for selecting recognized security organizations .....	85
Appendix 2.4 – Sample of a port facility security plan approval form .....	86
Appendix 2.5 – Form of a Statement of Compliance of a port facility .....	95
Appendix 2.6 – Form of the International Ship Security Certificate .....	97
Appendix 2.7 – Form of the Interim International Ship Security Certificate .....	102
Appendix 2.8 – Sample of a ship security inspection checklist .....	104
Appendix 2.9 – Sample of a notice of non-compliance .....	109

	<i>Page</i>
Appendix 2.10 – Sample of a core training curriculum for officials in national authorities . . .	110
Appendix 2.11 – Sample of a port facility security inspection report form . . . . .	111
Appendix 2.12 – Details of national authority contact points. . . . .	118
Appendix 2.13 – Details of port facilities. . . . .	119
Appendix 2.14 – Report of the imposition of a control and compliance measure. . . . .	120
<b>Section 3 – Security responsibilities of port facility and port operators</b>	
<b>3.1</b> Introduction . . . . .	123
<b>3.2</b> Security framework. . . . .	124
Defining the port facility . . . . .	124
Recognized security organizations . . . . .	124
Alternative security agreements. . . . .	125
Equivalent security arrangements . . . . .	125
<b>3.3</b> Changing security levels . . . . .	125
<b>3.4</b> Declarations of Security . . . . .	126
<b>3.5</b> Security personnel . . . . .	127
Port facility security officers . . . . .	127
Other port facility personnel with security-related duties. . . . .	128
All other port facility personnel. . . . .	128
Security clearances. . . . .	129
<b>3.6</b> Port facility security assessments. . . . .	129
Introduction . . . . .	129
Conducting PFSAAs . . . . .	129
Preparing PFSA reports . . . . .	129
PFSA coverage of multiple facilities . . . . .	130
Updating PFSAAs . . . . .	130
<b>3.7</b> Port facility security plans . . . . .	130
Introduction . . . . .	130
Preparing and maintaining PFSPs. . . . .	130
<b>3.8</b> PFSP implementation . . . . .	132
Introduction . . . . .	132
Planning and conducting drills and exercises. . . . .	132
Reporting security incidents . . . . .	132
Information security . . . . .	133
Shore access for seafarers and on-board visits to ships. . . . .	134
Conducting self-assessments . . . . .	134
Preventing unauthorized access . . . . .	135
Effective security of cargo and ship’s stores . . . . .	135



	<i>Page</i>
<b>3.9</b> Port security . . . . .	135
Introduction . . . . .	135
Port security committees. . . . .	136
Port security officers . . . . .	137
Port security assessments . . . . .	138
Port security plans . . . . .	138
<b>3.10</b> Guidelines for non-SOLAS marinas, ports and harbours . . . . .	138
Appendix 3.1 – Declaration of Security form. . . . .	140
Appendix 3.2 – Competency matrix for port facility security officers . . . . .	142
Appendix 3.3 – Competency matrix for port facility personnel with security duties . . . . .	144
Appendix 3.4 – Competency matrix for port facility personnel without security duties. . . . .	145
Appendix 3.5 – Example of a port facility security assessment and plan approval process . . . . .	146
Appendix 3.6 – Examples of internet sources of guidance material on preparing, updating and implementing port facility security plans . . . . .	147
Appendix 3.7 – APEC Manual of maritime security drills and exercises for port facilities . . . . .	148
Appendix 3.8 – Implementation checklist for port facility operators. . . . .	150
<b>Section 4 – Security responsibilities of ship operators</b>	
<b>4.1</b> Introduction . . . . .	167
<b>4.2</b> Security framework. . . . .	168
Extent of application of the Maritime Security Measures . . . . .	168
Overview of shipping company responsibilities . . . . .	169
Participation on port security committees . . . . .	169
Recognized security organizations . . . . .	169
Alternative security agreements. . . . .	170
Equivalent security arrangements . . . . .	170
<b>4.3</b> Changing security levels . . . . .	170
<b>4.4</b> Declarations of Security . . . . .	171
<b>4.5</b> Ship security personnel. . . . .	172
Introduction . . . . .	172
Company security officers. . . . .	172
Ship security officers. . . . .	174
Shipboard personnel with designated security duties . . . . .	175
All shipboard personnel . . . . .	176
Security clearances. . . . .	176
<b>4.6</b> Ship security communications. . . . .	177
Ship security alert systems . . . . .	177
Automatic identification systems . . . . .	178
Pre-arrival notification . . . . .	178
Long-range identification and tracking systems . . . . .	179



	<i>Page</i>
<b>4.7</b> Ship security assessments . . . . .	179
Introduction . . . . .	179
Conducting and documenting SSAs. . . . .	179
Preparing SSA reports . . . . .	179
Updating SSAs . . . . .	180
<b>4.8</b> Ship security plans . . . . .	180
Introduction . . . . .	180
Preparing and maintaining SSPs. . . . .	181
Planning and conducting ship security drills and exercises. . . . .	182
Access to ships by Government officials, emergency response services and pilots . . . . .	183
Shore leave and access to shore-based facilities by seafarers . . . . .	184
Reporting security incidents . . . . .	184
Maintaining on-board records. . . . .	186
Conducting self-assessments . . . . .	186
Reviewing and amending an approved SSP . . . . .	187
<b>4.9</b> The International Ship Security Certificate . . . . .	187
<b>4.10</b> Control and compliance measures . . . . .	188
<b>4.11</b> Guidelines for non-SOLAS vessels. . . . .	189
Introduction . . . . .	189
General guidance . . . . .	189
Appendix 4.1 – Sample of a Declaration of Security form for a ship-to-ship interface. . . . .	192
Appendix 4.2 – Competency matrix for company security officers . . . . .	194
Appendix 4.3 – Competency matrix for ship security officers . . . . .	196
Appendix 4.4 – Competency matrix for shipboard personnel with designated security duties . . . . .	198
Appendix 4.5 – Competency matrix: Security awareness for all shipboard personnel. . . . .	200
Appendix 4.6 – Standard data set of security-related pre-arrival information . . . . .	201
Appendix 4.7 – Example of a ship security assessment and plan approval process. . . . .	204
Appendix 4.8 – Examples of internet sources of guidance material on preparing and validating ship security plans . . . . .	205
Appendix 4.9 – Implementation checklist for ship security personnel . . . . .	206
Appendix 4.10 – Implementation checklist for shipping companies and their CSOs. . . . .	224
Appendix 4.11 – General information on security practices for all non-SOLAS vessel operators . . . . .	240

**Section 5 – Framework for conducting security assessments**

<b>5.1</b> Introduction . . . . .	247
<b>5.2</b> Pre-assessment phase . . . . .	247
Risk register . . . . .	247
Establishing assessment teams . . . . .	248
Process mapping. . . . .	248
Inventory development . . . . .	248
Methodology selection . . . . .	248

	<i>Page</i>
5.3 Threat-assessment phase . . . . .	250
5.4 Impact assessment phase . . . . .	251
5.5 Vulnerability assessment phase . . . . .	252
5.6 Risk-scoring phase . . . . .	253
5.7 Risk-management phase . . . . .	254
Appendix 5.1 – Examples of internet sources of security assessment methodologies . . . . .	256

**Resolutions of the Conference of Contracting Governments to the International Convention for the Safety of Life at Sea, 1974, adopted in December 2002**

<b>Conference resolution 1 – Adoption of amendments to the Annex to the International Convention for the Safety of Life at Sea, 1974 . . . . .</b>	<b>259</b>
--	------------

<b>Conference resolution 2 – Adoption of the International Code for the Security of Ships and of Port Facilities . . . . .</b>	<b>273</b>
<b>Preamble . . . . .</b>	<b>274</b>

**ISPS Code**

<b>Foreword . . . . .</b>	<b>279</b>
---------------------------	------------

**Part A: Mandatory requirements regarding the provisions of chapter XI-2 of the Annex to the International Convention for the Safety of Life At Sea, 1974, as amended**

<b>1 General . . . . .</b>	<b>280</b>
<b>2 Definitions . . . . .</b>	<b>280</b>
<b>3 Application . . . . .</b>	<b>281</b>
<b>4 Responsibilities of Contracting Governments . . . . .</b>	<b>282</b>
<b>5 Declaration of Security . . . . .</b>	<b>282</b>
<b>6 Obligations of the Company . . . . .</b>	<b>283</b>
<b>7 Ship security . . . . .</b>	<b>283</b>
<b>8 Ship security assessment . . . . .</b>	<b>284</b>
<b>9 Ship security plan . . . . .</b>	<b>285</b>
<b>10 Records . . . . .</b>	<b>286</b>
<b>11 Company security officer . . . . .</b>	<b>287</b>
<b>12 Ship security officer . . . . .</b>	<b>288</b>
<b>13 Training, drills and exercises on ship security . . . . .</b>	<b>288</b>
<b>14 Port facility security . . . . .</b>	<b>288</b>
<b>15 Port facility security assessment . . . . .</b>	<b>289</b>
<b>16 Port facility security plan . . . . .</b>	<b>290</b>
<b>17 Port facility security officer . . . . .</b>	<b>291</b>



	<i>Page</i>
18 Training, drills and exercises on port facility security . . . . .	292
19 Verification and certification for ships . . . . .	292
 <b>Part B: Guidance regarding the provisions of chapter XI-2 of the Annex to the International Convention for the Safety of Life at Sea, 1974 as amended and part A of this Code</b>	
1 Introduction . . . . .	302
2 Definitions . . . . .	305
3 Application . . . . .	305
4 Responsibilities of Contracting Governments . . . . .	306
5 Declaration of Security . . . . .	313
6 Obligations of the Company . . . . .	314
7 Ship security . . . . .	315
8 Ship security assessment . . . . .	315
9 Ship security plan . . . . .	318
10 Records . . . . .	327
11 Company security officer . . . . .	327
12 Ship security officer . . . . .	327
13 Training, drills and exercises on ship security . . . . .	327
14 Port facility security . . . . .	329
15 Port facility security assessment . . . . .	329
16 Port facility security plan . . . . .	332
17 Port facility security officer . . . . .	343
18 Training, drills and exercises on port facility security . . . . .	343
19 Verification and certification for ships . . . . .	344
 <b>Conference resolution 3 – Further work by the International Maritime Organization pertaining to the enhancement of maritime security . . . . .</b>	
	351
 <b>Conference resolution 4 – Future amendments to chapters XI-1 and XI-2 of the 1974 SOLAS Convention on special measures to enhance maritime safety and security . . . . .</b>	
	353
 <b>Conference resolution 5 – Promotion of technical co-operation and assistance . . . . .</b>	
	355
 <b>Conference resolution 6 – Early implementation of the special measures to enhance maritime security . . . . .</b>	
	357

	<i>Page</i>
<b>Conference resolution 7 – Establishment of appropriate measures to enhance the security of ships, port facilities, mobile offshore drilling units on location and fixed and floating platforms not covered by chapter XI-2 of the 1974 SOLAS Convention</b> .....	359
<b>Conference resolution 8 – Enhancement of security in co-operation with the International Labour Organization</b> .....	361
<b>Conference resolution 9 – Enhancement of security in co-operation with the World Customs Organization</b> .....	365
<b>Conference resolution 10 – Early implementation of long-range ship’s identification and tracking</b> .....	367
<b>Conference resolution 11 – Human-element-related aspects and shore leave for seafarers</b> .....	369