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INTERNATIONAL SHIP & PORT FACILITY SECURITY CODE (ISPS-CODE) INSTRUCTIVE

1.0 TITLE: INSTRUCTIVE REQUIREMENTS FOR ISPS-CODE CERTIFICATION

- 1.1 This Instructive provides the PMQS-Representatives Offices and Maritime Security Auditors (MSA) with the methods and Criteria for issuing an International Ship Security Certificate (ISSC) to a Ship upon Verification of its Security System and any associated Security Equipment covered by the relevant provisions of the ISPS-Code and the Approved Ship Security Plan (SSP).
- 1.2 The Objective of the Verification is to ensure that the Security System and Associated Security Equipment of the Ship fully complies with the ISPS-Code and is in satisfactory condition.
- 1.3 PMQS may conduct Approvals of SSPs or Amendments thereto and Verification of SSPs necessary for issuing an ISSC or behalf of an Administration. Certificates will comply with the Format Required by the flag Administration.

2.0 OBJECTIVES

- 2.1 This Instructive establishes the process to be followed for the:
 - 2.1.1 Review and Approval of SSPs.
 - 2.1.2 Verification of compliance with the requirements of the ISPS-Code
 - 2.1.3 Issuance of Short Term, Interim or Full Term International Ship Security Certificate (ISSC).
 - 2.1.4 Intermediate Verification.
 - 2.1.5 Renewal Verification.
 - 2.1.6 Additional Verification.
 - 2.1.7 Withdrawal of Certification.
- 2.2 This Instructive is to be used by Maritime Security Auditors (MSA) duly authorized by the Head Office of PMQS, issuing an ISSC when requested by a Company, as well as when acting on behalf of the Administration during the mandatory implementation of the ISPS-Code under SOLAS, Chapter XI-2.

3.0 RESPONSABILITIES

- 3.1 Is responsibility of the personnel of Security Department and Administrative Department of PMQS to assure that all processes contained in this INSTRUCTIVE are fulfilled for the Evaluation and Approval of the Ship Security Plan (SSP) and the Verification for the issuance of Full Term ISSC.
- 3.2 Is responsibility of the Maritime Security Auditors (MSA) to comply with the processes contained in this INSTRUCTIVE when carrying out the Verification for the issuance of the Short Term or Interim ISSC.

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4.0 DEFINITIONS AND REFERENCES

- 4.1 “PMQS”, means Panama Maritime Quality Services, Inc.
- 4.2 “IMO”, means International Maritime Organization. It is a specialized agency of the United Nations devoted to maritime matters.
- 4.3 “Convention”, means International Convention for the Safety of Life at Sea, as amended and modified by its Protocol of 1978 and 1988.
- 4.4 “International Ship and Port Facility Security Code” (ISPS) means the ISPS-Code consisting of Part A and Part B as adopted by IMO.
- 4.5 “Ship Security Assessment” (SSA) means the identification of the possible threats to key ship board operations, existing security measures and weaknesses in the infrastructure, policies and procedures.
- 4.6 “Ship Security Plan” (SSP) means a plan developed to ensure the application of measures on board the ship designed to protect persons on board, the cargo, cargo transport units, ship’s stores or the ship from the risks of a security incident.
- 4.7 “Security System” is the System in place on board the Ship which implements the procedures, documentation and associated records which are examined to verify compliance with the requirements of the ISPS-Code.
- 4.8 “Ship Security Officer” (SSO) 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 (SSP) and for the liaison with the Company Security Officer (CSO) and the Port Facility Security Officer (PFSO).
- 4.9 “Company Security Officer” (CSO) means the person designated by the Company to develop and revise the Ship Security Plan (SSP) and for liaison with the Port Facility Security Officer (PFSO) and the Ship Security Officer (SSO).
- 4.10 “Security Incident” means any suspicious act or circumstance threatening the security of a ship, including a Mobile Offshore Drilling Unit and a High Speed Craft, or of a Port Facility or of any Ship/Port interface or any Ship to Ship activity.
- 4.11 “Security Level” means the qualification of the degree of risk that a security incident will be attempted or will occur.

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- 4.12 “Security Level 1” means the level for which minimum appropriate protective security measures shall be maintained at all times.
- 4.13 “Security Level 2” means the level for which minimum appropriate additional protective security measures shall be maintained for a period of time as a result of heightened risk of a security incident.
- 4.14 “Security Level 3” means the level of which further specific protective security measures shall be maintained for a period of time when a security incident is probable or imminent, (although it may not be possible to identify the specific target).
- 4.15 “Regulation” means a regulation of the Convention.
- 4.16 “Chapter” means a chapter of the Convention.
- 4.17 “Section” means a section of Part A of the ISPS Code.
- 4.18 “Paragraph” means a paragraph of Part B of the ISPS Code.
- 4.19 “Ship” when used in this Code, includes Self Propelled Mobile Offshore Drilling Units and High Speed Craft as defined in SOLAS, chapter XI-2/1.
- 4.20 “Failure” means Non-fulfillment of a specified requirements or the subject matter is inappropriate for the Ship which is identified at times other than at a Verification for the issue of an ISSC or an Interim ISSC.
- 4.21 “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.
- 4.22 “Recognized Security Organization” (RSO) means an Organization authorized by a contracting Government, in accordance with SOLAS, Chapter XI-2/1.16.
- 4.23 Administration means the Government of the state whose flag the ship is entitled to fly.
- 4.24 “Maritime Security Auditor” (MSA) means a person performing Verification of compliance with the requirements of the ISPS-Code and who has fulfils personal qualification and other pertinent training and knowledge in accordance with item 5.3 and duly authorized by PMQS.
- 4.25 “International Ship Security Certificate” (ISSC) means a document issued to a Ship after a complete Verification and found in compliance with Section 19.1 of Part A of the ISPS-Code and its Security System and any Associated Security Equipment complies with the applicable requirements of Chapter XI-2 of the SOLAS Convention and Part A of the ISPS-Code

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- 4.26 “Automatic Identification System” (AIS) means that required by SOLAS, Chapter V, Regulation 19.
- 4.27 “Ship Security Alert System” (SSAS) means a system which requires interface with, and/or depends on input from, radio and/or navigational equipment required by SOLAS, Chapters IV and V to meet the performance standards required by SOLAS, Chapter XI-2/6.
- 4.28 “Self-Contained SSAS (SSAS-SC) is a SSAS which does not require any interface with, and/or depends on input from, radio and/or navigational equipment required by SOLAS, Chapters IV and V to meet the performance standards required by SOLAS, Chapter XI-2/6.
- 4.29 “Continuous Synopsis Record (CSR)” means that required by SOLAS, Chapter XI-1/5.

5.0 SCOPE AND APPLICATION:

The Scope of the Verification carried out under this INSTRUCTIVE shall be restricted to the Requirements of the SOLAS Convention, Chapter XI-2 and ISPS-Code, Part A taking into account ISPS-Code, Part B/8.1 to 13.8.

- 5.1 ISPS-Code applies to the following types of Ships engaged on International Voyages:
- 5.1.1 Passenger Ships, including High-Speed Passenger Craft;
 - 5.1.2 Cargo Ships, including High-Speed Craft, of 500 gross tonnage and upwards; and
 - 5.1.3 Mobile Offshore Drilling Units.

5.2 CRITERIA FOR VERIFICATION

- 5.2.1 Criteria for Verification of compliance with the requirements of the ISPS Code shall be in accordance with the applicable sections of the SOLAS XI-2 and the ISPS-Code, Part. A.
- 5.2.2 When PMQS Performing Verification of Compliance with the requirements of the ISPS-Code shall meet the requirements of MSC/Circ.1074, Appendix 1, Paragraphs 3 to 5.
- 5.2.3 If PMQS, as an RSO, has been involved in either the conduct of the SSA or the development of the SSP for a specific Ship, or of any amendments, shall not, due to conflict of interest, accept authorization to Approve the SSPs or conduct Verifications for Certification for that specific Ship.
- 5.2.4 When PMQS approving a SSP or issuing an ISSC shall have implemented a documented system for the qualification and continuous updating of the

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knowledge and competence of MSA who are to perform such verification in compliance with item 5.3 .

- 5.2.5 Only MSA who are qualified as required by item 5.3 shall carry out Verifications. Only MSA of PMQS-Head Office shall carry out SSPs Approvals.
- 5.2.6 When PMQS approving a SSP or issuing an ISSC shall have implemented a document system ensuring that the Certification Process is performed in compliance with this INSTRUCTIVE requirement. This system shall, inter alia, include procedures and instructions for the following:
 - 5.2.6.1 Contract agreements with Companies in respect of their ships.
 - 5.2.6.2 Scheduling and Performing SSP Approvals and Verifications.
 - 5.2.6.3 Reporting results from SSP Approvals and Verifications.
 - 5.2.6.4 Issuance of Short Term, Interim and Full Term ISSC.

5.3 REQUIREMENTS FOR MARITIME SECURITY AUDITOR (MSA) ASSIGNED TO PERFORM ISPS-CODE CERTIFICATION.

- 5.3.1 MSA should be able to demonstrate knowledge of Ship operations and the auditing of management systems through:
 - 5.3.1.1 Knowledge of International Safety Management Code (ISM-Code) through ISM-Code Courses, Training or Certification as ISM-Code Auditor; or
 - 5.3.1.2 Qualification or knowledge as management system auditor in compliance with a Standard such as ISO-19011 or equivalent.
- 5.3.2 MSA performing ISPS-Code Approval and Verification shall have passed a Security background investigation completed and this shall be confirmed at a period not exceeding five (5) years through Certificate of Criminal Record issued by the relevant Authorities.
- 5.3.3 MSA performing ISPS-Code Approval and Verification shall be issued with an Identity Card which shall be durable and secure against tampering and contain the following information as a minimum:
 - 5.3.3.1 Name (in the form: first name, family name).
 - 5.3.3.2 Recent colour photograph.
 - 5.3.3.3 Issuing Society.
 - 5.3.3.4 Authorization as “Maritime Security Auditor”
 - 5.3.3.5 Unique card number with the date of issued and expiration date.

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- 5.3.4 MSA performing ISPS-Code Verifications and Certification shall have completed and approved any of the following ISPS-Code Training Courses:
- 5.3.4.1 Ship Security Officer, or
 - 5.3.4.2 Company Security Officer, or
 - 5.3.4.3 Company and Ship Security Officer, or
 - 5.3.4.4 Port Facility Security Officer, or
 - 5.3.4.5 Maritime Security Auditor, or
 - 5.3.4.6 Internal Auditor.
- 5.3.5 On completion of any of the ISPS-Code Courses specified in item 5.3.4 a MSA shall be able to conduct Verification Audits of compliance with the ISPS-Code having knowledge of:
- 5.3.5.1 All requirements of the ISPS-Code
 - 5.3.5.2 National Legislation with regard to Security issues.
 - 5.3.5.3. Ship Operations and the Ship/Port interfaces.
 - 5.3.5.4. Maritime Security Practices
- 5.3.6 Competence gained through attending any of the ISPS-Code Courses specified in item 5.3.4 shall be demonstrated through an examination or equivalent process applicable for each course.
- 5.3.7 Upon Satisfactory completion of any of the ISPS-Code Courses specified in item 5.3.4, the trainee should receive a Certificate, this Certificate should be included in the MSA file.
- 5.3.8 Evaluation of MSA shall be undertaken at least once every two (2) years.
- 5.3.9 Continuous updating is necessary as circumstances dictate in the knowledge, understanding and interpretation of the ISPS-Code. This updating may be through: In-House Training, Additional or Refreshment Courses, Distant Learning system using internet or other suitable recognized method.
- 5.3.10 Application/Updating form for MSA and copy of ISPS-Code Course, ISM-Code or ISO courses and Criminal Record is necessary to be submitted to PMQS Head-Office for formal evaluation and approval prior to authorization as Maritime Security Auditor (MSA) assuming responsibility for verifying compliance with the requirements of ISPS-Code.

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5.4 SSP APPROVAL AND VERIFICATION TO THE ISPS-CODE AS ADOPTED SHALL:

- 5.4.1 Determine that the SSP and / or amendments have met provisions for the three security levels as defined by the ISPS-Code on behalf of the Administration.
- 5.4.2 Determine compliance of the ISPS-Code on board Ships.
- 5.4.3 Determine the effectiveness of the implementation of the SSP on board Ships.

6.0 ACTIVITIES

6.1 OBLIGATIONS OF THE COMPANY

- 6.1.1 Where the Verification of an SSP is to be carried out by an RSO which did not carry out the SSP Approval, the Company shall provide, if requested by the RSO, a copy of the SSA report and the SSP prior to the Verification Audit on board.
- 6.1.2 The Company shall carry out both Internal Audits and Reviews of security activities at least one every twelve (12) months onboard Ship.
- 6.1.3 The Company and the Ship are to maintain Verification Records of all Internal and External Security Verifications. Such records shall be maintained for a minimum period of five (5) years.
- 6.1.4 The Company shall ensure that any amendments made to the security system, the security equipment or the SSP during the certification period, and related to the requirements of ISPS-Code, A/9.4.1 to A/9.4.18, are submitted to PMQS-Head Office for review and approval.
- 6.1.5 At the Initial Installation of the SSAS, the Company shall arrange for an approved Radio Technician to test and issue a report on the compliance of the technical functionality and performance criteria for the SSAS (except a SSAS-SC which may be tested and reported by the SSO) with SOLAS XI-2/6, paragraphs 2-4 inclusive.
- 6.1.6 Following the Initial Installation of the SSAS, the Company has the responsibility:
 - 6.1.6.1 To ensure that the SSAS is tested and maintained to satisfy operational requirements according to the approved SSP; and
 - 6.1.6.2 To keep on board the SSAS records specified in ISPS-Code A/10.1.10.

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6.2 SHIP SECURITY ASSESSMENT (SSA)

- 6.2.1 A SSA is to be carried out by persons with appropriate security skills and experience to evaluate security risks and issues of each Ship. A SSA may be carried out by a RSO or by independent Security Company, Auditor, Advisor or Consultant.
- 6.2.2 The SSA must include an on-scene survey and include the following elements:
 - 6.2.2.1 Identification of existing security measures, procedures and operations.
 - 6.2.2.2 Identification and evaluation of key Ship board operations
 - 6.2.2.3 Identification and risk analysis of threats to these key Ship board operations
 - 6.2.2.4 Identification of weaknesses in the system, including the human element, policies and procedures.
- 6.2.3 The Security Assessment must be Documented, Reviewed, Accepted and Retained by the Company for submission to RSO responsible during the approval process of the SSP.
- 6.2.4 Security Assessment should be performed based on the examination of specific threat scenarios, including regular trading patterns, with consideration of the vulnerability of the Ship and the consequence of those scenarios.
- 6.2.5 Elements to be taken into account in the SSA are listed in ISPS-Code, Part B/ 8.1 to 13.8.

6.3 SHIP SECURITY PLAN APPROVAL

- 6.3.1 The Company is to prepare and submit to PMQS-Head Office a SSP for each Ship. This SSP is to be reviewed and approved on behalf of an Administration.
- 6.3.2 The SSP and amendments are to be accompanied by the SSA from which the SSP has been developed.
- 6.3.3 The SSP shall be developed in accordance with the requirements of ISPS-Code, Part A taking into account ISPS-Code, B/8.1 to 13.8, and shall be written in the working language, or working languages, of the ship. If the language, or languages, used is not English, French or Spanish, a translation into one of these languages shall be included. PMQS undertaking the Approval shall only consider the version of the SSP written in English or Spanish.

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- 6.3.4 When PMQS approves the SSP, as a minimum requirement PMQS is to retain only a copy of the:
- 6.3.4.1 Certificate of Approval
 - 6.3.4.2 SSP Title Page
 - 6.3.4.3 SSP Index
- 6.3.5 All such retained pages shall be stamped as Approved. All other pages of the SSP are not required to be retained by PMQS-Head Office but should be marked to indicate Approval. The Company should be the only party to hold the complete SSP. The Approved SSP shall be held on the ship.
- 6.3.6 PMQS-Head Office shall determine whether any Additional Verification is required to verify implementation of any approving amendments to an SSP.
- 6.3.7 Where a Company has its SSP in electronic format, PMQS-Head Office shall issue a Certificate of Approval and retain a printed copy of the pages noted in item 6.3.4.
- 6.3.8 Evidence should be sought that the Company Security Officer (CSO) has received training in compliance with ISPS-Code, A/13.1. If evidence is not provided by the company or there is objective evidence that the CSO has not received such training, the MSA should inform to the company and PMQS-Head Office for consideration at the on-board verification audit.

6.4 VERIFICATION OF SHIPS

- 6.4.1 The Verification for Issuing or Renewing the ISSC consists of the following steps:
- 6.4.1.1 Verification that an Approved SSP is on-board.
 - 6.4.1.2 Verification through a representative sample that the security system is being implemented effectively.
 - 6.4.1.3 Verification that all security equipment specified in the SSP complies with applicable requirements.
 - 6.4.1.4 Verification that all security equipment specified in the SSP is operational.
- 6.4.2 Initial, Intermediate and Renewal Verification shall be performed only under operating conditions and with the Ship fully manned in accordance with the Safe Manning Certificate.
- 6.4.3 The Auditor shall Verify the Implementation of the Approved SSP and objective evidence demonstrating the effectiveness of the documented procedures. This verification is achieved via interview, review of documents and examination of record of drills and training.

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- 6.4.4 The Auditor shall examine the Statutory Survey Records relating to the Ship Security Alert System (SSAS), Automatic Identification System (AIS), compare the Ship Identification Number with that appearing in other documents and check that the CSR is consistent with the ship's current status. Should any deficiencies be noted, these should be communicated to PMQS-Head Office immediately.
- 6.4.5 Intermediate and Renewal Verifications are to include of Failures Reported in relation to previously conducted Verifications. The Auditor shall select a sample of the Reported Failures and shall Verify the Company investigation, analysis, and resolution of failures in accordance with the requirements of ISPS-Code, Part A/9.4.8 and 9.4.11.
- 6.4.6 The Auditor has the authority to ask for information from any other RSO or, if relevant the Administration, in order to check the accuracy of the information presented by the Company.
- 6.4.7 If the verification under 6.4.1 is not satisfactorily completed, then an ISSC is not to be issued .
- 6.4.8 If at an Intermediate or Additional Verification, the Auditor identifies through Objective Evidence a Failure in the Security System or associated equipment that **DOES COMPROMISE THE SHIP'S ABILITY TO OPERATE AT SECURITY LEVELS 1 TO 3**, it shall be reported immediately to the PMQS-Head Office together with the remedial action proposed by the Company. If authorized by the Flag to do so, the Auditor shall Verify the Implementation of the alternative security measures and approve the remedial Action Plan before the Ship sails. PMQS-Head Office shall request the Administration to authorize an Additional Verification before the expiry date of the approved remedial Action Plan to verify that the Action Plan has been completed.
- 6.4.9 If at an Intermediate or Additional Verification, the Auditor identifies through Objective Evidence a Failure of the Security System or associated equipment, or the suspension of a security measure which **DOES NOT COMPROMISE THE SHIP'S ABILITY TO OPERATE AT SECURITY LEVELS 1 TO 3**, it shall be reported without delay to PMQS-Head Office. If authorized to do so, the Auditor shall approve the remedial Action Plan. The completion of the Action Plan shall be Verified by the MSA and PMQS-Head Office no later than the next scheduled Verification.
- 6.4.10 Intermediate Verification shall take place between the second and third anniversary date of the ISSC.
- 6.4.11 Renewal Verification shall take place at intervals not to exceed five (5) years and should be carried out within the three (3) months prior to the expiry date of the existing ISSC.

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- 6.4.12 Initial, Intermediate or Renewal Verification may be carried out in conjunction with an ISM Audit of the Ship.
- 6.4.13 Additional Verification shall be carried out as may be authorized by the PMQS-Head Office, by the Administration or a duly authorized officer of a Contracting Government.
- 6.4.14 Where the Verification of an SSP is to be carried out by an RSO which did not carry out the SSP Approval, the RSO may review the SSP either at, or prior to, the Verification Audit on board.
- 6.4.15 Evidence should be sought that the Ship Security Officer (SSO) has received training in compliance with ISPS-Code, A/13.2. If evidence is not provided by the company or there objective evidence that the SSO has not received such training, the MSA shall consider this to be a **FAILURE** in the Security System.
- 6.4.16 Following the Initial Installation of the SSAS, PMQS-Head Office shall approve the related provisions in the SSP and, the MSA of PMQS verify, through a Shipboard Security Verification including the witnessing of a complete Security Alert Test, the Implementation of the Operational Requirements of the SSAS in accordance with the Requirements of ISPS-Code A/9.4.17 to A/9.4.18 and the Radio Technician's report on the compliance with SOLAS XI-2/6, paragraphs 2-4 inclusive. At each subsequent regular Verification the MSA of PMQS shall examine the Records of Activities on the SSAS specified in ISPS-Code A/10.1.10, witness a complete Security Alert and Verify the Operational Requirements of the SSAS in accordance with the Requirements in ISPS-Code A/9.4.17 to A/9.4.18.

6.5 ISSUANCE AND ENDORSEMENT OF THE INTERNATIONAL SHIP SECURITY CERTIFICATE (ISSC)

- 6.5.1 The Full Term ISSC shall be issued after an Initial or Renewal Verification in accordance with item 6.4.1.
- 6.5.2 The Full Term ISSC is to be endorsed at the Intermediate Verification and at any Additional Verification required by the Administration or by PMQS-Head Office.
- 6.5.3 The Full Term ISSC shall be valid for a period not to exceed five (5) years.
- 6.5.4 On completion of Verification, to facilitate the review of the Auditor's Report prior to the issue of the Full-Term ISSC, an Short Term ISSC with validity not exceeding five (5) months will be issued by the MSA.

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- 6.5.5 Notwithstanding 6.5.3 when Renewal Verification is completed within three (3) months before the expiry date of the existing ISSC Full-Term, the new ISSC Full-Term shall be valid from the date of the completion of the Renewal Verification to a date not exceeding five (5) years from the date of the existing ISSC Full-Term.
- 6.5.6 When the Renewal Verification is completed after the expiry date of the existing ISSC Full-Term, the new ISSC Full-Term shall be valid from the date of the completion of the Renewal Verification to a date not exceeding five (5) years from the date of expiry of the existing ISSC Full-Term.
- 6.5.7 When the Renewal Verification is completed more than three (3) months before the expiry date of the existing ISSC Full-Term, the new ISSC Full-Term shall be valid from the date of the completion of the Renewal Verification to a date not exceeding five (5) years from the date of completion of the Renewal Verification.
- 6.5.8 If a Renewal Verification has been completed an a new Full Term ISSC cannot be issued or placed on board the ship before the expiry date of the existing ISSC Full-Term, PMQS on behalf of the Administration may endorse the existing ISSC Full-Term and such a certificate shall be accepted as valid for a further period which shall not exceed five (5) months from the expiry date.
- 6.5.9 If a Ship at the time when the certificate expires is not in a port which it is to be verified, the Administration may extend the period of validity of the Certificate, but this extension shall be granted only for the purpose of allowing the Ship to complete its voyage to the Port in which it is verified. No Certificate shall be extended more than three (3) months. Documented evidence from the Administration grating this request is to be reviewed by PMQS-Head Office prior to endorsement of extension.
- 6.5.10 If an Intermediate Verification is completed before the period specified in Item 6.4.10 then:
- 6.5.10.1 The expiry date shown on the Certificate shall be amended by endorsement to a date which shall not be more than three (3) years later than the date on which the Intermediate Verification was completed;
- 6.5.10.2 The expiry date may remain unchanged provided one or more Additional Verifications are carried out.
- 6.5.11. A copy of the Short Term or Interim ISSC and copy of the Ship Security Verification Report and other relevant documents listed in item 8.0 shall be transmitted to PMQS-Head Office as soon as possible and also a copy of the following additional documents:

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- 6.5.11.1 Letter or Certificate of Ship Security Plan Approval.
- 6.5.11.2 Company Security Officer (CSO) training course in compliance with ISPS-Code A/13.1
- 6.5.11.3 Ship Security Officer (SSO) training course in compliance with ISPS-Code A/13.2
- 6.5.11.4 Continuous Synopsis Record (CSR).
- 6.5.11.5 Letter of the Owner with the first scheduled dry-docking of the ship after 1 July 2004.
- 6.5.11.6 Cargo Ship Safety Radio (CSSR) and Cargo Ship Safety Equipment (CSSE) Certificates (Form R and E shall be included).
- 6.5.11.7 Safety Management Certificate (SMC) and Document of Compliance (DOC)
- 6.5.11.8 Statutory Certificate of Register (Patent of Navigation)
- 6.5.12 At the request of the Company, the expiry date of ISSC may be harmonized to the expiry dates as shown on Vessels Safety Management Certificate (SMC). Provided that this does not exceed the five (5) year period specified in ISPS-Code, Part A/19.3.
- 6.5.13 An Full Term ISSC shall cease to be valid in any of the following cases:
 - 6.5.13.1 Relevant Verifications not carried out within the specified period.
 - 6.5.13.2 If the Full Term ISSC is not endorsed at Intermediate or Additional Verifications.
 - 6.5.13.3 The Company operating a Ship ceases to operate that Ship.
 - 6.5.13.4 Upon transfer of the Ship to the flag of another Flag State.

6.6 INTERIM CERTIFICATION

- 6.6.1 An Interim Certificate (ISSC) can be issued after 1 July 2004 for the following reasons:
 - 6.6.1.1 A Ship without a Certificate, on delivery or prior to entry or re-entry into service.
 - 6.6.1.2 Transfer of a Ship from one Administration to the flag of another Administration.
 - 6.6.1.3 Transfer of a Ship to a signatory Administration from one that is not a signatory Administration.
 - 6.6.1.4 A Company assumes the responsibility for the operation of a ship.

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- 6.6.2 The scope of Verification for the issue of an Interim ISSC shall be as defined in ISPS-Code, Part A/19.4.2.
- 6.6.3 An Interim ISSC shall be valid for six (6) months. No extensions can be granted.

6.7 PLAN APPROVAL, VERIFICATION AUDITS AND REPORTS

- 6.7.1 Plan Approval, if carried out at the Company Premises or on Board the Ship, and Verification shall start with an Opening Meeting, the purpose of which is to:
 - 6.7.1.1 Introduce the Auditor to the Company and/or Ship Management.
 - 6.7.1.2 Explain the Scope and Objective of the Approval or Verification as applicable.
 - 6.7.1.3 Provide a short summary of the methods and procedures to be used.
 - 6.7.1.4 Establish the official communication line between the Auditor and the Company and/or the Ship.
 - 6.7.1.5 Confirm that resources, documentation and facilities needed are available.
 - 6.7.1.6 Confirm the time and date of the closing meeting and possible Interim meetings.
- 6.7.2 Findings are to be documented in a clear, concise manner and supported by Objective Evidence.
- 6.7.3 A Report is to be prepared by the Auditor following both the Plan Approval and Verification as applicable, based on the information gathered.
- 6.7.4 In the case of Plan Approval, the Certificate of Approval of the SSP shall include the following wording: "In the development of the Ship Security Plan, in accordance with ISPS-Code A/9.4, the provisions of ISPS-Code B/8.1 to 13.8 have been duly taken into account and applied as appropriate for the ship".
- 6.7.5 In the case of a Ship Security Verification Report shall include the following items:
 - 6.7.5.1 The Date of Completion of the Verification.
 - 6.7.5.2 Status of the implementation of the SSP.
 - 6.7.5.3 Report on the operational status on all security equipment and Systems on board.

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- 6.7.5.4 Reports of any Non-Conformances or Failures found during the Verification in accordance with 6.4.8 and 6.4.9.
- 6.7.6 On completion of the SSP Approval, if carried out at the company premises or on board the ship, and also after the Verification Audit, the Auditor is to hold a meeting with the Senior Management and/or Master. The purpose is to ensure that the findings of the Approval or Verification Audit are clearly understood.
- 6.7.7 The Certificate of Approval and Verification Audit Report is to be submitted to the Company, which shall provide the Ship with a Copy of the Certificate of Approval and Verification Audit Report.

6.8 RESPONSIBILITIES PERTAINING TO VERIFICATION AUDITS

6.8.1 RESPONSIBILITIES OF THE COMPANY.

- 6.8.1.1 The Company is responsible for:
- 6.8.1.1.1 Informing the Vessel crew about the objectives of the Verification.
 - 6.8.1.1.2 Appointing responsible members of staff to Accompany the Auditor,
 - 6.8.1.1.3 Provide the resources needed by the Auditor to Ensure an effective and efficient Verification Process.
 - 6.8.1.1.4 Providing access and Objective Evidence as Requested.
 - 6.8.1.1.5 Co-operating with the Auditor to permit the Verification objectives being achieved.
- 6.8.1.2 The Verification of Compliance with the requirement of the ISPS-Code does not relieve the Company, Management, Officers or Seafarers of their obligation to comply with National and International Legislation or security levels in they are employed or operating.

6.8.2 RESPONSIBILITIES OF THE RSO

- 6.8.2.1 PMQS is responsible for ensuring that the Verification and Certification process is performed in accordance with this INSTRUCTIVE and relevant Administration requirements.
- 6.8.2.2 PMQS is responsible for submitting the Ship Security Verification Report to the Administration, if required, in a timely manner.

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6.8.3 RESPONSIBILITIES OF THE AUDITOR

6.8.3.1 The Auditor is responsible for:

- 6.8.3.1.1 Carrying out the assigned Verification effectively and efficiently.
- 6.8.3.1.2 Complying with applicable requirements and other appropriate directives.
- 6.8.3.1.3 Noting in the Report any major obstacles encountered in performing the Verification.
- 6.8.3.1.4 Organizing special technical assistance required to fulfill the compliance requirements.
- 6.8.3.1.5 Reporting the Verification result clearly, conclusively and without any undue delay.

6.8.3.2 Personnel participating shall ensure confidentiality of documents pertaining to the Certification and treating privileged information with discretion.

6.9 WITHDRAWAL OF CERTIFICATION.

- 6.9.1 If PMQS-Head Office has reasons for invalidating an Full Term ISSC, these reasons are to be communicated to the Ship, to the Company and to the Administration.
- 6.9.2 The communication is to be limited to the identity of the Ship, the reason for invalidation and the date of the Verification.
- 6.9.3 PMQS-Head Office shall recommend to the Administration that an Full Term ISSC should be withdrawn in the following circumstances:
 - 6.9.3.1 The alternative security measures agreed are not in place.
 - 6.9.3.2 An approved Action Plan has not been complied with.
- 6.9.4 PMQS-Head Office can only re-issue an Full Term ISSC following an Additional Verification with the scope of an Initial Verification of the ship. The expiry date of the new certificate shall be that of the withdraw Certificate.

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7.0 ISSUE OF AN INTERIM ISSC FROM 1 JULY 2004

7.1 The ISPS-Code Part A/19.4.2 defines the requirement for the issue of an Interim ISSC. Part A/19.4.2.2 requires that the Ship Security Plan (SSP) is being implemented on board.

7.2 The following shall be taken by PMQS Maritime Security Auditors as the minimum to demonstrate the effective implementation of a SSP.

7.3 THE MARITIME SECURITY AUDITOR SHALL VERIFY THROUGH INTERVIEW THAT :

7.3.1 Personnel with security duties are familiar with their duties and responsibilities as specified in the SSP.

7.3.2 The Ship Security Officers has received appropriate training.

7.4 THE MARITIME SECURITY AUDITOR SHALL SIGHT RECORDS TO DEMONSTRATE THAT:

7.4.1 The SSP is on board and has been submitted for review and approval by, or on behalf of, the flag Administration, unless the Administration has additional requirements.

7.4.2 Any additional flag Administration requirements have been addressed.

7.4.3 At least one (1) drill specified in the SSP has been carried out and any corrective action identified implemented.

7.4.4 Security equipment specified in the SSP has been included in the maintenance system and maintained in accordance with the requirements of the system.

7.5 THE MARITIME SECURITY AUDITOR SHALL CHECK THAT:

7.5.1 All security and surveillance equipment identified in the SSP is operational and is fit for the service for which it was intended.

7.5.2 The ship identification number compares with that identified on the statutory records issued to document compliance with SOLAS V/19 (AIS), SOLAS XI-1/3 (Ship Identification Number) and SOLAS XI-1/5, (CSR). Any deficiency identified shall be reported to PMQS-Head Office immediately.

8.0 RECORD OF INFORMATION

8.1 Request for Verification

8.2 Quotation

8.3 Authorization for Verification.

8.4 Advise for Completion of Verification.

8.5 Control of Documentation, Sent and Received.

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- 8.6 Check List for SSA&SSP Review & Approval
ISPS-Code / SSA & SSP Review & Approval (04/04)
- 8.7 Check List for Verification
ISPS-Code / Check List For Verification (06/04)
- 8.8 Ship Security Verification Report
ISPS-Code / VR/Ship (05/04)
- 8.9 Audit Plan for ISPS-Code Certification
ISPS-Code / Audit-Plan (05/04)
- 8.10 Non-Conformances/Failures Report
ISPS-Code / NCR (05/04)
- 8.11 List of the Verified Security Equipment as specified by Ship Security Plan (SSP)
ISPS-Code / List of Security Equipment (04/04)
- 8.12 Full Term Certificate of Approval of Ship Security Plan (SSP)
ISPS-Code / SSP Approval/FTC (04/04)
- 8.13 Short Term ISSC.
ISSC/ ISPS-Code / ST (06/04)
- 8.14 Interim ISSC.
ISSC / ISPS-Code / IC (06/04)
- 8.15 Full Term ISSC
ISSC / ISPS-Code / FTC (04/04)

9.0 CRITERIA FOR EVALUATION

- 9.1 When the Evaluation and Approval of SSP and Verification and Certification process has been fulfilled completely and is satisfactory, the form Control of Documentation Sent and Received will be filled together with all the respective documentation in the vessel file.
- 9.2 Not Accordant Procedure
When the Evaluation and Approval of SSP and Verification and Certification process does not fulfill some of the demanded requirements, the form Control of documentation Sent and Received together with the documentation that has been received to the moment, will be maintained in the area of Stand-by with indication of the status and information of the incomplete requirement.

10. REFERENCE

Section: Sub-Contracted Security Services Process of PMTS/PMQS's Quality Management Manual.