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GUIDELINES ON SECURITY-RELATED TRAINING AND FAMILIARIZATION FOR SHIPBOARD PERSONNEL

1 The Maritime Safety Committee (the Committee), at its eighty-third session (3 to 12 October 2007) noted the draft amendments to the STCW Convention and the STCW Code prepared by the STW Sub-Committee, at its thirty-eighth session (22 to 26 January 2007), with a view to including therein, *inter alia*, provisions with respect to security-related training and familiarization training for shipboard personnel without and with designated security duties. The Committee also considered the recommendations of the STW Sub-Committee for the dissemination of related elements of the draft amendments as guidance on the corresponding provisions of the ISPS Code so as to enhance maritime security and encourage consistent and harmonized implementation of SOLAS chapter XI-2 and the ISPS Code.

2 The Committee recalled that the current plan was to adopt the aforesaid amendments at a future date as part of the comprehensive review of the STCW Convention and the STCW Code presently undertaken by the STW Sub-Committee. It would therefore be advisable to provide information to SOLAS Contracting Governments and STCW Parties on the direction that issues related to the training and familiarization for shipboard personnel were expected to take, so as to enable them to adjust their national requirements, programmes and practices, thus ensuing convergence. The Committee agreed that such an approach, in turn, would also ensure the smooth introduction of, and transition to, the envisaged new requirements.

3 The Committee also agreed that, if Governments were to endeavour to align their requirements with those envisaged in the draft amendments, it would be reasonable to expect that shipboard personnel would encounter less difficulties in the recognition and acceptance of their training and experience acquired prior to the entry into force of the contemplated amendments.

4 As a result the Committee approved Guidance on security-related training and familiarization training for shipboard personnel (the Guidance), as set out in annex.

5 The Committee agreed that:

- .1 the sole purpose of the Guidance was to assist SOLAS Contracting Governments in the implementation of the provisions of ISPS Code, section A/13.3, and paragraphs B/13.3 and B/13.4;

- .2 the Guidance does not establish any basis on which those exercising either control and compliance measures pursuant to the provisions of SOLAS regulation XI-2/9; or control pursuant to the provisions of STCW article X or STCW regulation I/4; may request or require the production of documentary evidence attesting that shipboard personnel are meeting the requirements outlined in the Guidance; and
- .3 the Guidance does not establish any basis on which a SOLAS Contracting Government may require shipboard personnel serving on board ships entering ports located in its territory to meet the requirements outlined in the Guidance.

6 The Committee also reaffirmed the advice given on the issue of training and certification, during its seventy-seventh session (28 May to 6 June 2003), namely that as an interim measure, the International Ship Security Certificate should be accepted as *prima facie* evidence that training had been conducted in accordance with the ISPS Code. The flag State was responsible for deciding how that training was to be conducted, and if any additional certification was required. If a port State control inspection detected a lack of training, further action could be taken.

7 SOLAS Contracting Governments are invited to bring the Guidelines to the attention of all parties concerned with matters addressed therein.

8 SOLAS Contracting Governments, international organizations and non-governmental organizations with consultative status which encounter difficulties with the implementation of the Guidance should bring, at the earliest opportunity, the matter to the attention of the Committee for consideration of the issues involved and decision on the actions to be taken.

ANNEX

GUIDELINES ON SECURITY-RELATED TRAINING AND FAMILIARIZATION FOR SHIPBOARD PERSONNEL

1 APPLICATION

1.1 The present Guidance applies to shipboard personnel other than ship security officers employed or engaged on a ship which is required to comply with the provisions of SOLAS chapter XI-2 and the ISPS Code.

1.2 The term “shipboard personnel” means: (1) master and the members of the crew or other persons employed or engaged in any capacity on board a ship on the business of that ship, including high-speed craft; (2) in the case of special purpose ships¹, the crew² and the special purpose personnel³; and (3) in the case of mobile offshore drilling units not on location, the special personnel⁴ and the maritime crew⁵; and excludes passengers.

2 GENERAL PRINCIPLES

2.1 Shipboard personnel are not security experts and it is not the aim of the provisions of the Guidance to convert them into security specialists.

2.2 Shipboard personnel should receive adequate security-related training or instruction and familiarization training so as to acquire the required knowledge and understanding to perform their assigned duties and to contribute collectively to the enhancement of maritime security.

2.3 Shipboard personnel should receive adequate security-related training or instruction at least one time in their career.

2.4 The security-related familiarization training should be conducted by the ship security officer or an equally qualified person.

3 TERMINOLOGY

3.1 ISPS Code, section A/9.4.7, states that the ship security plan shall address the “duties of shipboard personnel assigned security responsibilities and of other shipboard personnel on security aspects”. ISPS Code, section A/13.3 and paragraph B/13.3, make reference to “shipboard personnel having specific security duties and responsibilities” and ISPS Code paragraph B/13.4 makes reference, in relation to ISPS Code, paragraph B/13.3, to “all other shipboard personnel”.

¹ *Special purpose ship* is defined in paragraph 1.3.4 of Code of Safety for Special Purpose Ships adopted by resolution A.534(13) and amended by MSC/Circs.446, 478 and 739 and resolution MSC.183(79) referred to below as the SPS Code. MSC/Circ.739 includes new amendments to the SPS Code and consolidates the ones adopted under cover of MSC/Circs.446 and 478.

² *Crew* is defined in paragraph 1.3.1 of SPS Code.

³ *Special purpose personnel* is defined in paragraph 1.3.3 of SPS Code.

⁴ *Special personnel* is defined in paragraph 2.1.12 of Recommendations on training of personnel on mobile offshore drilling units (MoUs) adopted by resolution A.891(21) and referred to below as the MoUs training recommendations.

⁵ *Maritime crew* is defined in paragraph 2.1.13 of the MoUs training recommendations.

3.2 As a result this Guidance uses the expression shipboard personnel “with designated security duties” to denote those having specific security duties and responsibilities in accordance with the ship security plan. The expression shipboard personnel “without designated security duties” is used to denote all other shipboard personnel.

4 SHIPBOARD PERSONNEL WITHOUT DESIGNATED SECURITY DUTIES

4.1 Basic training or instruction in security awareness

4.1.1 Shipboard personnel without designated security duties should be able to demonstrate competence to undertake the tasks, duties and responsibilities listed in column 1 of Table 1.

4.1.2 The level of knowledge of the subjects listed in column 2 of table 1 should be sufficient to enable the person to collectively contribute to the enhancement of maritime security.

4.1.3 Persons who have satisfactorily completed an approved security awareness training based on the knowledge, understanding and proficiency (KUP) set out in table 1, should be considered to have met the requirements. Those completing such training should be provided with documentary evidence to this effect to the satisfaction of the relevant SOLAS Contracting Government.

4.2 Security-related familiarization training

4.2.1 Before being assigned to shipboard duties, shipboard personnel without designated security duties should receive security-related familiarization training to be able to:

- .1 report a security incident;
- .2 know the procedures to follow when they recognize a security threat; and
- .3 take part in security-related emergency and contingency procedures.

4.3 Standing *vis-à-vis* the requirements of the ISPS Code

4.3.1 Shipboard personnel without designated security duties which comply with the requirements of paragraphs 4.1 and 4.2 should be considered as having met the requirements of ISPS Code, paragraph B/13.4.

5 SHIPBOARD PERSONNEL WITH DESIGNATED SECURITY DUTIES

5.1 Training or instruction in designated security duties

5.1.1 Shipboard personnel with designated security duties should be able to demonstrate competence to undertake the tasks, duties and responsibilities listed in column 1 of table 2.

5.1.2 The level of knowledge of the subjects listed in column 2 of table 2 should be sufficient to enable the person to perform their designated security duties.

5.1.3 Persons who have satisfactorily completed an approved training based on the knowledge, understanding and proficiency (KUP) set out in table 2, should be considered to have met the requirements. Those completing such training should be provided with documentary evidence to this effect to the satisfaction of the relevant SOLAS Contracting Government.

5.2 Security-related familiarization training

5.2.1 Shipboard personnel with designated security duties should, before being assigned such duties, receive security-related familiarization training in their assigned duties and responsibilities taking into account the provisions of the ship security plan.

5.3 Standing *vis-à-vis* the requirements of the ISPS Code

5.3.1 Shipboard personnel with designated security duties who comply with the requirements of paragraphs 5.1 and 5.2 should be considered as having met the requirements of ISPS Code, section A/13.3 and paragraph B/13.3.

6 ALTERNATIVE METHOD FOR DEMONSTRATING COMPETENCY

6 SOLAS Contracting Governments may allow shipboard personnel to demonstrate competence to undertake the tasks, duties and responsibilities listed in column 1 of table 1 or 2, as the case may be, by:

- .1 approved seagoing service as shipboard personnel without or with designated security duties, as the case may be, for a period of at least six months in total during the preceding three years provided the period of six months has been accrued after 1 July 2004; or
- .2 having performed security functions after 1 July 2004 considered to be equivalent to the seagoing service required in paragraph 6.1; or
- .3 passing an approved test; or
- .4 successfully completing approved training.

TABLE 1**KNOWLEDGE, UNDERSTANDING AND PROFICIENCIES (KUPS)
RELEVANT TO SECURITY AWARENESS**

Column 1	Column 2	Column 3	Column 4
Competence	Knowledge, understanding and proficiency	Methods for demonstrating competence	Criteria for evaluating competence
Contribute to the enhancement of maritime security through heightened awareness	<p>Basic working knowledge of maritime security terms and definitions</p> <p>Basic knowledge of international maritime security policy and responsibilities of Governments, Companies and persons</p> <p>Basic knowledge of maritime security levels and their impact on security measures and procedures aboard ship and in port facilities</p> <p>Basic knowledge of security reporting procedures</p> <p>Basic knowledge of security related contingency plans</p>	Assessment of evidence obtained from approved instruction or during attendance at an approved course	Requirements relating to enhanced maritime security are correctly identified.
Recognition of security threats	<p>Basic knowledge of techniques used to circumvent security measures</p> <p>Basic knowledge enabling recognition of potential security threats</p> <p>Basic knowledge enabling recognition of weapons, dangerous substances, and devices and awareness of the damage they can cause</p> <p>Basic knowledge in handling security related information and security related communications</p>	Assessment of evidence obtained from approved instruction or during attendance at an approved course	Maritime security threats are correctly identified.
Understanding of the need for and methods of maintaining security awareness and vigilance	Basic knowledge of training, drill and exercise requirements under relevant conventions and codes	Assessment of evidence obtained from approved instruction or during attendance at an approved course	Requirements relating to enhanced maritime security are correctly identified.

TABLE 2
KNOWLEDGE, UNDERSTANDING AND PROFICIENCIES (KUPS) RELEVANT TO
SHIPBOARD PERSONNEL WITH DESIGNATED SECURITY DUTIES

Column 1	Column 2	Column 3	Column 4
Competence	Knowledge, understanding and proficiency	Methods for demonstrating competence	Criteria for evaluating competence
Maintain the conditions set forth in a ship security plan	<p>Working knowledge of maritime security terms and definitions</p> <p>Knowledge of international maritime security policy and responsibilities of Governments, Companies and persons</p> <p>Knowledge of maritime security levels and their impact on security measures and procedures aboard ship and in the port facilities</p> <p>Knowledge of security reporting procedures</p> <p>Knowledge of procedures for drills and exercises</p> <p>Knowledge of the procedures for conducting inspections and surveys and for the control and monitoring of security activities specified in a ship security plan</p> <p>Knowledge of security related contingency plans and the procedures for responding to security threats or breaches of security, including provisions for maintaining critical operations of the ship/port interface</p>	Assessment of evidence obtained from approved instruction or during attendance at an approved course	<p>Procedures and actions are in accordance with the principles established by the ISPS Code and SOLAS Convention.</p> <p>Legislative requirements relating to security are correctly identified.</p> <p>Communications within the area of responsibility are clear and understood.</p>
Recognition of security risks and threats	<p>Knowledge of security documentation including the Declaration of Security</p> <p>Knowledge of techniques used to circumvent security measures</p> <p>Knowledge enabling recognition of potential security threats</p> <p>Knowledge enabling recognition of weapons, dangerous substances, and devices and awareness of the damage they can cause</p> <p>Knowledge of crowd management and control techniques, where appropriate</p>	Assessment of evidence obtained from approved instruction or during attendance at an approved course	Procedures and actions are in accordance with the principles established by the ISPS Code and SOLAS Convention.

Column 1	Column 2	Column 3	Column 4
Competence	Knowledge, understanding and proficiency	Methods for demonstrating competence	Criteria for evaluating competence
	<p>Knowledge in handling security related information and security related communications</p> <p>Knowledge of the methods for physical searches and non-intrusive inspections</p>		
Undertake regular security inspections of the ship	<p>Knowledge of the techniques for monitoring restricted areas</p> <p>Knowledge of controlling access to the ship and to restricted areas on board ship</p> <p>Knowledge of methods for effective monitoring of deck areas and areas surrounding the ship</p> <p>Knowledge of inspection methods relating to the cargo and ship's stores</p> <p>Knowledge of methods for controlling the embarkation, disembarkation and access while on board of persons and their effects</p>	Assessment of evidence obtained from approved instruction or during attendance at an approved course	Procedures and actions are in accordance with the principles established by the ISPS Code and SOLAS Convention.
Proper usage of security equipment and systems, if any	<p>General knowledge of various types of security equipment and systems, including their limitations</p> <p>Knowledge of the need for testing, calibrating, and maintaining security systems and equipment, particularly whilst at sea</p>	Assessment of evidence obtained from approved instruction or during attendance at an approved course	<p>Equipment and systems operations are carried out in accordance with established equipment operating instructions and taking into account the limitations of the equipment and systems.</p> <p>Procedures and actions are in accordance with the principles established by the ISPS Code and SOLAS Convention.</p>