



DEPARTMENT OF HOMELAND SECURITY

# UNITED STATES COAST GUARD



## PORT STATE CONTROL IN THE UNITED STATES ANNUAL REPORT 2010





## REAR ADMIRAL KEVIN COOK

Director, Prevention Policy  
United States Coast Guard



I am pleased to present to you the 2010 Annual Port State Control Report for the United States. This report shows a continued improvement in Flag Administration, recognized organization and vessel performance during 2010, demonstrated by reductions in the number of safety-related detentions, the annual and average detention ratios, the number of security-related operational controls and the annual and rolling control action ratios. Since the inception of our formal Port State Control Program, we have seen a 70% reduction in the number of detentions related to issues involving safety or environmental protection systems and an 11% decrease in this metric in the past three years. I am encouraged by this trend and hope for its continuance.



This year marked the sixth year since the implementation of the International Ship and Port Facility Security (ISPS) Code. In some cases of IMO instrument implementation, we have seen a decrease in compliance during the fifth and sixth year of entry into force, concurrent with the renewal of the relevant certificate. However, in the case of the ISPS Code, we did not encounter this drop in compliance. We have seen a near continuous improvement of compliance with the ISPS Code in that time period and are currently at the highest level of compliance.

In 2010, we responded from all levels of our organization to rescue and assist victims of the Haiti earthquake and to the environmental disaster in the Gulf of Mexico, caused by the Deepwater Horizon casualty. Both of these events placed tremendous strain on our organization. Despite these challenges, our Port State Control program continued to function and maintain the highest level of professionalism. I greatly appreciate the hard work of all PSC personnel to balance the historic response demands, while ensuring foreign vessels continued to meet required safety and security compliance standards.

On a personal note, I will be leaving my post as Director of Prevention Policy in June 2011 and assuming duties at the Coast Guard's Atlantic Area Command in Portsmouth, Virginia. During my tenure here, I have seen many improvements and I am particularly pleased to note that our key performance measure, the percentage of identified substandard vessels, has decreased more than 30% in the past two calendar years. And as mentioned above, we now have the highest level of compliance with ISPS security standards. These successes are attributable to the hard work of shipping industry professionals and regulators and I look forward to continued improvement in the future.

We hope you will find this report useful. If you have any recommendations or concerns regarding this report, or our PSC program, please do not hesitate to contact my staff listed on the back cover of this report.

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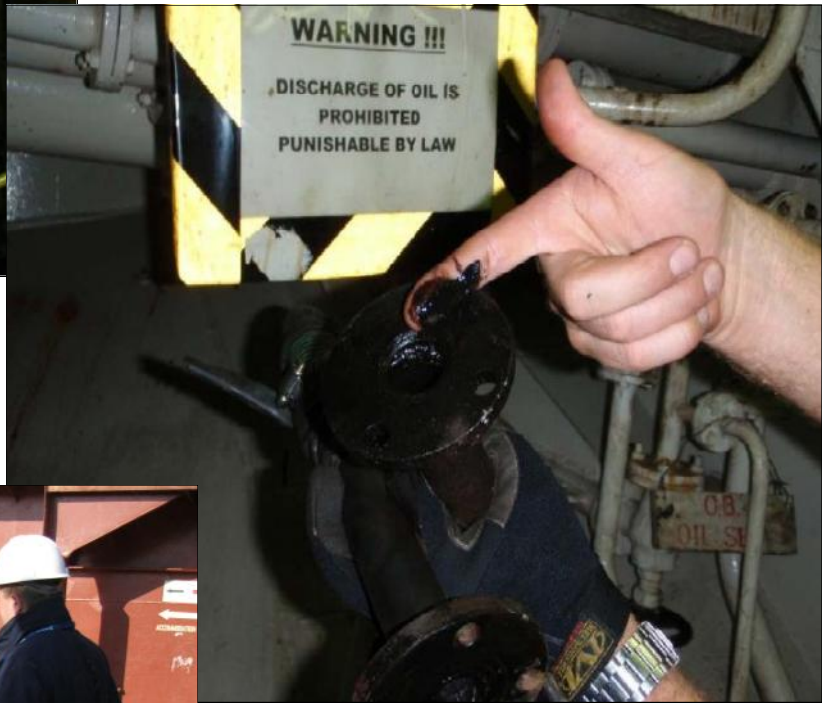
**On the Front Cover**

*41 Ft CG Cutter and Defender Class, Fast Response Boat conduct maneuvers on the Delaware River at Penn's Landing. Photo by Richard Valier, USCGAUX.*



# Chapter 1

## Port State Control Overview



*Top: Inspectors observe operational testing of steering gear.  
Right: Port State Control Officer (PSCO) finds oil on discharge side of oily-water separator (USCG Sector Honolulu).  
Bottom: PSCO observes preparations for fire drill (USCG MSD Belfast)*

# Highlights in 2010

## Vessel Arrivals, Detentions and Examinations Decreased

In 2010, a total of 9,260 individual vessels, from 90 different Flag Administrations, made 76,372 port calls to the United States. The Coast Guard conducted 9,907 SOLAS safety exams and 8,906 ISPS exams on these vessels. The total number of ships detained in 2010 for environmental protection and safety related deficiencies decreased from 161 to 156. The total number of ships detained in 2010 for security related deficiencies decreased from 18 to 17.

## Flag Administration Safety Performance Improved

Flag Administration safety performance for 2010 improved from the previous year, with the annual detention rate decreasing from 1.88% to 1.67%. The 3-year rolling detention ratio also dropped from 1.92% to 1.86%. The Flag Administrations of The Bahamas, Chile, the Netherlands and the Russian Federation were all removed from our Targeted Flag List. We also note that we have added six new Administrations to our QUALSHIP 21 Program and their vessels will be entered into the program automatically, contingent upon the Administration and the vessels meeting other required criteria. Those six Administrations are the Cayman Islands, Hong Kong, Liberia, the Russian Federation, the United Kingdom and Vanuatu. Notification letters have been sent to these Administrations which contain the details of the process.

## Flag Administration Security Performance Continues Improvement

Flag Administration security performance for 2010 continued to improve. The annual Control Action Ratio (CAR) decreased from 0.21% to 0.18%. The 3-year rolling average CAR dropped from 0.34% to 0.23%. Due to the continued excellent Flag Administration security compliance performance, we will maintain the targeting point level for the Flag Administration Control Action Ratio at 1.50%.

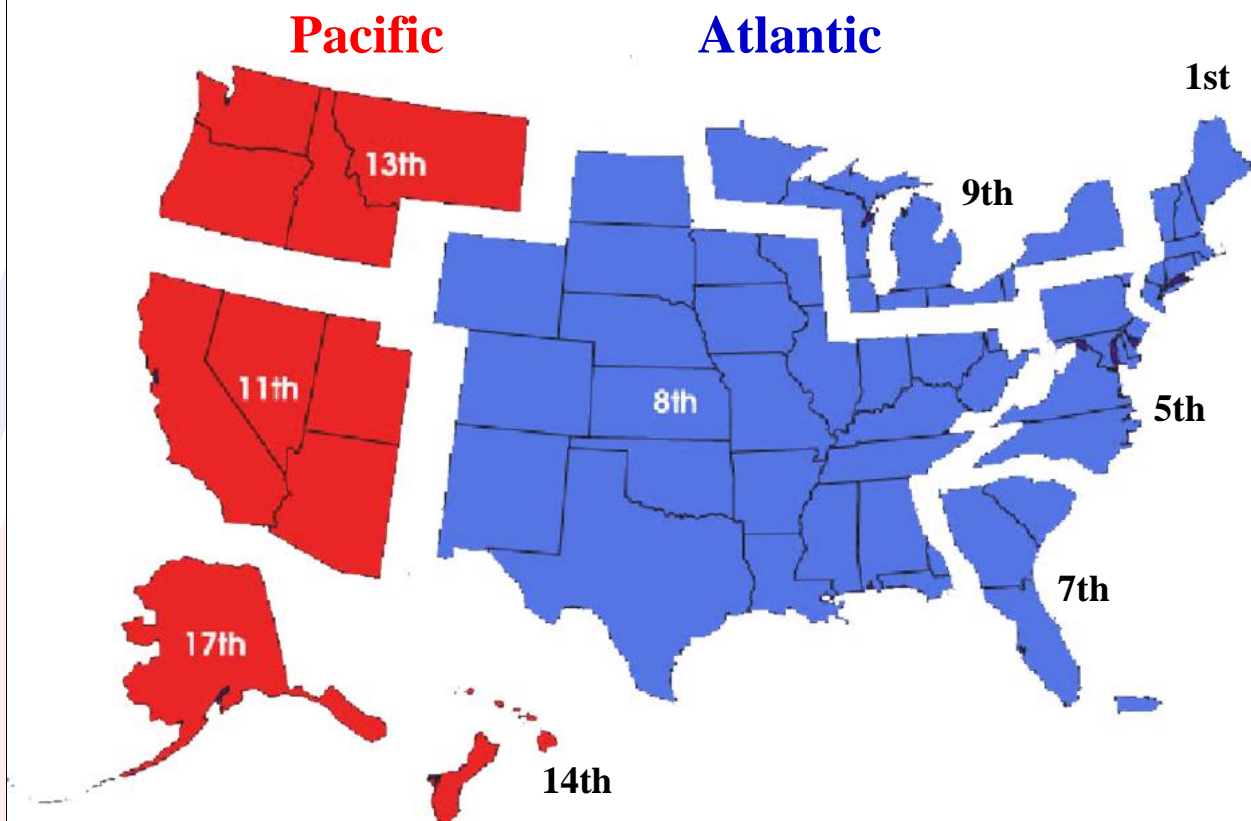
## Vessel Banning Policy Implemented

In September of 2010, a formal policy for banning of vessels from U.S. waters was signed and fully implemented. Vessels that have shown repeated non-compliance with international instruments, specifically those vessels that have shown a disregard to the effective implementation of a safety management system, will not be allowed to operate in our waters. The letter outlining the policy and the vessels that have been currently banned are available on the USCG PSC website. In 2010, three vessels were banned using the criteria of this policy.

## Change in QUALSHIP 21 Flag Administration Eligibility Criteria

For many years, the U.S. Coast Guard has required submission of the IMO's Flag State Self Assessment form (SAF), for the full eligibility of a Flag Administration into our QUALSHIP 21 Program. The SAF served as a means for an Administration to take a critical look at itself in the hopes of identifying any areas for improvement in their administrative practices and implement corrective actions. As most know, the IMO's Voluntary Member State Audit (VMSAS) has been implemented and many Member States have undergone or will soon undergo this audit. As such, we have amended our QUALSHIP 21 eligibility criteria to require the submission of VMSAS executive summary for our review. The intent of our request for this information is to ensure Administrations in our quality shipping program have fully and properly implemented mandatory IMO instruments and are open to a qualitative review of their Administration. It should be noted that if a qualifying Administration chooses not to submit the executive summary, there are no negative ramifications to their vessels calling on U.S. ports. However, those vessels will not be eligible for QUALSHIP 21. Details can be found on Page 15 of this report.

## Port State Control Statistics By Region



District	Ship Visits	Safety Examinations	Detentions	Security Examinations	Major Control Actions
1st	6,989	1,045	4	852	0
5th	7,149	952	15	910	2
7th	24,044	1,750	44	1,475	4
8th	21,906	3,450	68	3,155	8
9th	2,321	174	0	233	0
11th	7,137	1,115	9	996	0
13th	3,620	941	13	899	0
14th	1,500	335	3	266	2
17th	1,706	145	0	120	1
<b>Total</b>	<b>76,372</b>	<b>9,907</b>	<b>156</b>	<b>8,906</b>	<b>17</b>

## Port State Control Statistics by Port

Coast Guard Officer in Charge of Marine Inspection/Port	Coast Guard District	Safety Examinations	Detentions	Security Examinations	Major Control Actions
Sector Anchorage	17	91	0	85	1
Sector Baltimore	5	251	8	234	1
Sector Boston	1	144	0	76	0
Sector Buffalo	9	59	0	162	0
Sector Charleston	7	131	2	118	0
Sector Columbia River	13	593	7	582	0
Sector Corpus Christi	8	313	4	277	3
Sector Delaware Bay	5	356	3	345	0
Sector Detroit	9	40	0	17	0
Marine Safety Unit Duluth	9	37	0	33	0
Sector Guam	14	65	0	55	0
Sector Hampton Roads	5	259	2	241	0
Sector Honolulu	14	270	3	211	2
Sector Houston	8	1,130	15	1,022	0
Sector Jacksonville	7	234	2	181	0
Sector Juneau	17	54	0	35	0
Sector Key West	7	0	0	0	0
Sector Lake Michigan	9	35	0	21	0
Sector Long Island Sound	1	46	0	48	0
Sector Los Angeles	11	755	3	680	0
Sector Miami	7	437	22	368	0
Sector Mobile	8	302	4	290	1
Marine Safety Unit Morgan City	8	235	2	178	0
Sector New Orleans	8	1,104	37	1,094	3
Sector New York	1	694	0	584	0
Sector North Carolina	5	30	2	35	0
Sector Northern New England	1	95	1	87	0
Marine Safety Unit Port Arthur	8	366	6	294	1
Sector Puget Sound	13	348	6	317	0
Sector San Diego	11	83	0	66	0
Sector San Francisco	11	277	6	250	0
Sector San Juan	7	480	16	353	1
Sector Sault Ste Marie	9	3	0	0	0
Marine Safety Unit Savannah	7	257	2	251	1
Sector Southeastern New England	1	66	3	57	0
Sector St. Petersburg	7	211	0	204	2
Marine Safety Unit Wilmington	5	56		55	1
<b>Total</b>	<b>N/A</b>	<b>9,907</b>	<b>156</b>	<b>8,906</b>	<b>17</b>

Note: Due to the reorganization of Coast Guard field units into Sectors and Marine Safety Units, ports listed above reflect Coast Guard Captain of the Port (COTP) and Officer in Charge of Marine Inspection (OCMI) zones.



## History of Safety and Security Performance for All Flag Administrations

The following definitions apply to the table below:

**Distinct Arrival:** A vessel subject to the U.S. PSC Program, which called upon at least one U.S. port during the calendar year. A vessel that called upon numerous U.S. ports in 2010 only counts as one distinct arrival.

**Safety Related Detention:** U.S. intervention on a foreign vessel when its operational condition or crew do not substantially meet applicable international conventions to ensure the vessel will not proceed to sea without presenting a danger to the vessel, its crew, the port, or cause harm to the marine environment.

**Annual Detention Ratio:** The yearly sum of safety related detentions divided by the yearly sum of distinct arrivals, multiplied by one hundred.

**3-Year Average Detention Ratio:** The cumulative sum of safety related detentions from the previous three calendar years divided by the cumulative sum of distinct arrivals from the previous three calendar years, multiplied by one hundred. This serves as the targeting threshold for Flag Administration performance.

**ISPS Major Control Action:** A control measure (detention, denial of entry, or expulsion) imposed by the U.S. upon a foreign vessel when clear grounds exist indicating that a ship is not in compliance with the requirements of SOLAS Chapter XI, or part A of the ISPS Code.

**Annual ISPS Control Action Ratio (CAR):** The yearly sum of ISPS major control actions divided by the yearly sum of distinct arrivals, multiplied by one hundred.

**Average ISPS Control Action Ratio (CAR):** The average of the Annual ISPS Control Action Ratio data from January 2008 to December 2010. If the CAR is lower than 1.5%, it will be set at 1.5% for targeting purposes.

Calendar Year	Distinct Arrivals	Safety Related Detentions	Annual Detention Ratio	3-Year Average Detention Ratio	Major ISPS Control Actions	Annual ISPS Control Action Ratio	Rolling Average ISPS Control Action Ratio <sup>2</sup>
1998	7,880	373	4.73%	6.02%			
1999	7,617	257	3.37%	5.08%			
2000	7,657	193	2.52%	3.55%			
2001	7,842	172	2.19%	2.69%			
2002	7,106	178	2.50%	2.40%			
2003	7,673	153	1.99%	2.22%			
2004	7,241	176	2.43%	2.30%	92	1.51% <sup>1</sup>	
2005	7,850	127	1.61%	2.00%	51	0.65%	0.89%
2006	8,178	110	1.35%	1.78%	35	0.43%	0.80%
2007	8,281	152	1.82%	1.60%	42	0.51%	0.53%
2008	8,661	176	2.03%	1.75%	27	0.31%	0.41%
2009	8,557	161	1.88%	1.92%	18	0.21%	0.34%
2010	9,260	156	1.67%	1.86%	17	0.18%	0.23%

<sup>1</sup> Average based upon 6,093 distinct arrivals from 1 July 2004 - 31 December 2004

<sup>2</sup> Targeting threshold for vessel security was fixed at 1.5% in 2005 and has remained fixed since that time.

## Port State Control Appeal Process

### For Recognized Organization (RO) Related Detentions (Safety and Security)

Any directly affected party wishing to dispute the validity of, or their association with, a detention should follow the appeal procedures outlined in Title 46, Code of Federal Regulations, Subpart 1.03. Affected parties must appeal any detention within 30 days of notification or must formally request from CG-5432 an extension to this deadline.

Appeals must be submitted in written format, along with mitigating information, to the following address:

**United States Coast Guard Headquarters  
Foreign and Offshore Compliance Division (CG-5432)  
2100 2nd Street S.W. Stop 7581  
Washington, D.C. 20593-7581**

Appeals, along with mitigating information, may also be submitted electronically to the following email address:

**cg543@uscg.mil**

### For All Other Detentions (Safety and Security)

All other operational controls (those not RO-related) should be appealed first to the cognizant Captain of the Port (COTP) or Officer in Charge of Marine Inspection (OCMI) who issued the detention. If not satisfied with a COTP/OCMI decision on appeal, a request for reconsideration of the appeal may be forwarded to the District Commander. Coast Guard District addresses are located on the back page of this report.

If still not satisfied, final consideration of the appeal can be forwarded to the Commandant of the Coast Guard, Office of Vessel Activities (CG-543). Commandant is the final agency action for appeals and will consider any additional evidence not contained in the original appeal.

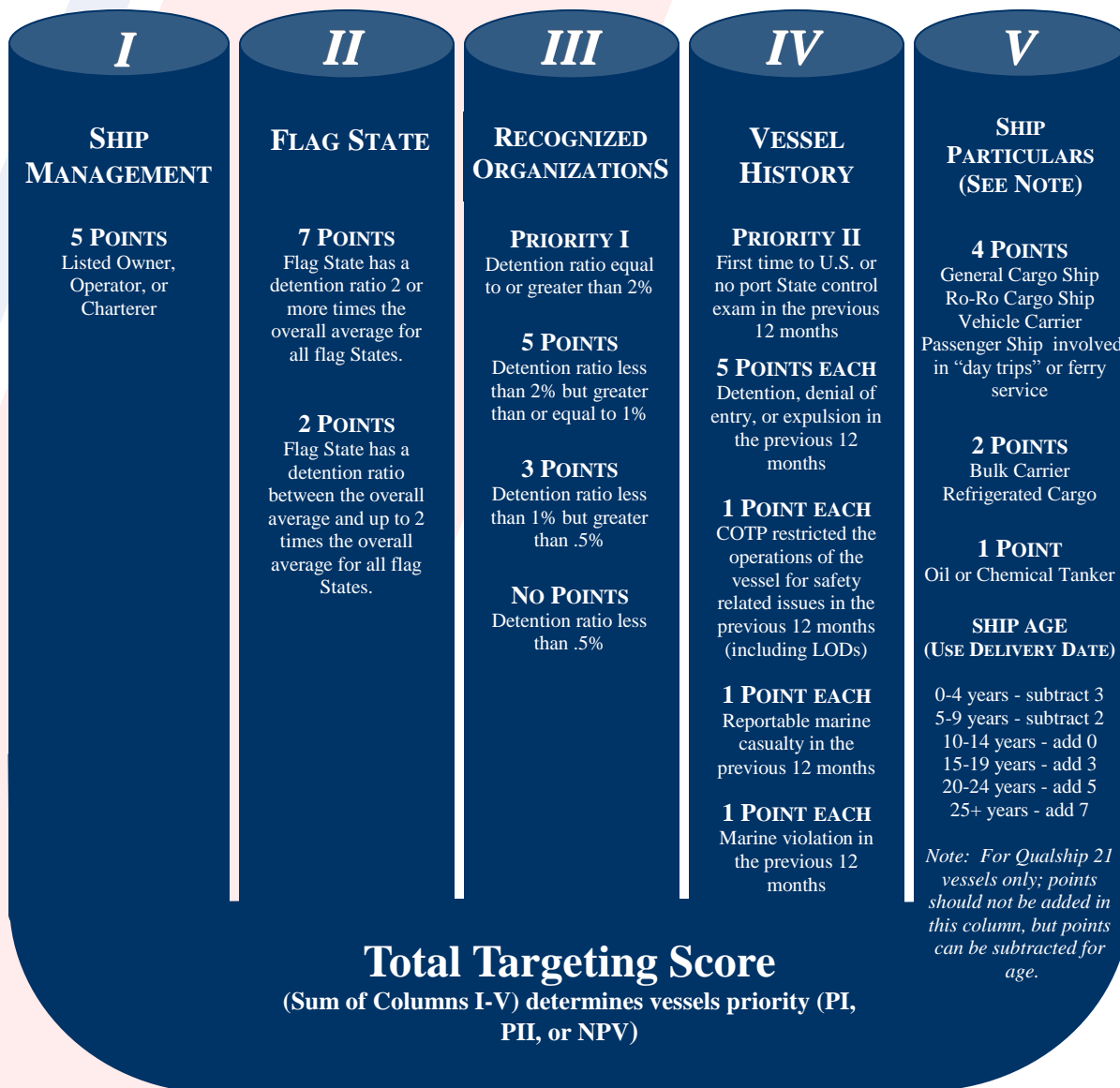
## Chapter 2

# Safety and Environmental Compliance Performance



*Top: Malfunctioning smoke detector, wrapped in plastic to prevent recurring alarm sounding (USCG Sector Honolulu) Right: Blocked fuel valve preventing remote actuation (USCG Sector New Orleans). Bottom: Significant corrosion and wastage on gooseneck vent.*

## Port State Control Safety and Environmental Protection Compliance Targeting Matrix



### Priority (PI) Vessel

17 or more points on the Matrix; ships involved in a marine casualty that may have affected seaworthiness; USCG Captain of the Port (COTP) determines a vessel to be a potential hazard to the port or the environment; ships whose Recognized Organization (classification society) has a detention ratio equal to or greater than 2%. Port entry may be restricted until the Coast Guard examines the vessel.

### Priority (PII) Vessel

7 to 16 points on the Matrix; outstanding requirements from a previous examination in this or another U.S. port that require clearing; the vessel has not been examined within the past 12 months per column IV. Cargo operations or passenger embarkation/debarkation may only be restricted if the Sector Commander/COTP determines that the vessel poses a safety or environmental risk to the port.

### Non-Priority Vessel (NPV)

6 or fewer points on the Matrix. Vessel poses a low safety and environmental risk. The Coast Guard may select and examine vessel using the Port State Control random selection process.

**Downgrade Clause.** If a vessel has scored either a PI or PII and has had a USCG PSC examination within the past 6 months with no serious deficiencies, the Sector Commander may downgrade the vessel to NPV. If the Sector Commander downgrades a vessel, it will be added to the pool of random examinations.



## Flag Administration Safety Compliance Performance

The Coast Guard targets Flag Administrations for additional Port State Control (PSC) examinations if their detention ratio scores higher than the overall average for all flags, and if an Administration is associated with more than one detention in the past three years. We calculate detention ratios using three years of Port State Control data (2008-2010). Flags with only one detention in the past three years are removed from the targeted flag list. Overall Flag Administration performance improved, with the three-year running detention ratio decreasing from 1.92% to 1.86%. The tables below contain Administrations that are on the 2011 PSC Safety Targeting Matrix and those that are removed.

### Flag Administrations Receiving 7 points in Column II of the Port State Control Safety Targeting Matrix

	2008-2010 Detention Ratio
Bolivia	43.75%
Cook Islands	22.22%
Croatia	5.80%
Dominica *	21.43%
Honduras	40.00%
Lithuania *	6.12%
Mexico	9.80%
Saint Kitts and Nevis	16.67%
Saint Vincent and the Grenadines	15.61%
Sierra Leone *	75.00%
Venezuela	33.33%

\* Administrations not targeted last year

### Flag Administrations Receiving 2 points In Column II of the Port State Control Safety Targeting Matrix

	2008-2010 Detention Ratio
Antigua and Barbuda	2.54%
Belgium *	3.13%
Belize	2.63%
Gibraltar	2.52%
India *	1.87%
Italy	2.37%
Malta	3.43%
Panama	2.78%
Republic of Korea	2.56%
Turkey	2.05%

\* Administrations not targeted last year

### Flag Administrations Removed From Last Year's Targeted List

	Number of Detentions (2008-2010)	2008-2010 Detention Ratio
The Bahamas	24	1.34%
Chile	1	5.00%
The Netherlands	8	1.39%
Russian Federation	0	0.00%

## Flag Administration Safety Compliance Performance Statistics

Flag ^	Safety Exams	Safety Exams with Deficiencies	Distinct Arrivals	Safety Detentions	2008-2010 Detention Ratio
Antigua and Barbuda	353	112	319	6	2.54%
Australia	0	0	1	0	0.00%
Austria	0	0	0	0	0.00%
The Bahamas	691	190	593	4	1.34%
Bahrain	2	0	2	0	0.00%
Bangladesh	1	1	1	0	0.00%
Barbados	30	8	26	0	0.00%
Belgium	33	11	23	1	3.13%
Belize	21	6	22	0	2.63%
Bermuda	125	35	80	1	1.34%
Bolivia	12	10	8	5	43.75%
British Virgin Islands	15	9	3	0	0.00%
Bulgaria	6	2	2	0	0.00%
Burma	0	0	0	0	0.00%
Cambodia	0	0	0	0	0.00%
Canada	120	17	98	1	1.05%
Cayman Islands	114	31	237	1	0.85%
Chile	7	1	5	0	5.00%
China	135	30	139	2	1.10%
Colombia	2	0	2	0	0.00%
Comoros	2	2	1	1	100.00%
Cook Islands	12	4	6	0	22.22%
Croatia	19	7	16	1	5.80%
Cyprus	319	90	304	6	1.85%
Denmark	121	40	101	1	0.67%
Dominica	6	2	3	2	21.43%
Ecuador	4	2	2	0	0.00%
Egypt	7	1	8	0	0.00%
Faroe Islands	2	1	1	0	0.00%
Finland	3	0	3	0	0.00%
France	38	11	31	0	0.00%
Georgia	0	0	1	0	0.00%
Germany	153	34	140	0	0.48%

^ If an Administration has no distinct arrivals to the United States for three consecutive years, that Administration is not listed.

**Flag Administration Safety Compliance Performance Statistics (cont.)**

Flag ^	Safety Exams	Safety Exams with Deficiencies	Distinct Arrivals	Safety Detentions	2008-2010 Detention Ratio
Gibraltar	48	11	44	1	2.52%
Greece	406	94	418	4	0.67%
Guyana	0	0	0	0	100.00%
Honduras	28	14	9	4	40.00%
Hong Kong	491	107	532	8	1.01%
India	28	8	28	0	1.87%
Indonesia	4	2	3	0	0.00%
Ireland	4	1	4	0	0.00%
Isle of Man	128	29	132	0	0.27%
Israel	6	2	6	0	0.00%
Italy	157	49	139	4	2.37%
Jamaica	10	5	8	0	0.00%
Japan	38	13	81	0	0.00%
Kiribati	4	3	2	0	11.11%
Kuwait	3	1	2	0	0.00%
Latvia	1	0	1	0	0.00%
Liberia	1159	286	1074	8	0.73%
Libya	3	1	5	0	0.00%
Lithuania	24	8	15	3	6.12%
Luxembourg	4	1	3	0	0.00%
Madagascar	0	0	1	0	0.00%
Malaysia	28	2	33	0	0.00%
Malta	410	122	390	10	3.43%
Marshall Islands	700	190	688	7	0.86%
Mexico	18	11	19	3	9.80%
Netherlands	252	89	209	0	1.39%
Netherlands Antilles	34	15	29	0	1.82%
New Zealand	1	0	3	0	0.00%
Norway	289	75	258	2	1.00%
Pakistan	2	0	1	0	0.00%

^ If an Administration has no distinct arrivals to the United States for three consecutive years, that Administration is not listed.

## Flag Administration Safety Compliance Performance Statistics (cont.)

Flag ^	Safety Exams	Safety Exams with Deficiencies	Distinct Arrivals	Safety Detentions	2008-2010 Detention Ratio
Panama	2,095	604	1,865	46	2.78%
Peru	9	6	5	1	14.29%
Philippines	84	32	82	1	1.36%
Poland	0	0	0	0	0.00%
Portugal	10	2	11	0	2.86%
Qatar	1	0	1	0	0.00%
Republic of Korea	67	22	62	0	2.56%
Russian Federation	17	9	16	0	0.00%
Saint Kitts and Nevis	8	4	6	1	16.67%
Saint Vincent and the Grenadines	105	54	58	11	15.61%
Samoa	3	1	3	0	0.00%
Saudi Arabia	16	5	9	0	4.17%
Seychelles	5	1	4	0	0.00%
Sierra Leone	4	3	3	2	75.00%
Singapore	444	117	397	6	1.30%
Slovakia	1	1	1	0	0.00%
South Africa	1	0	1	0	0.00%
Spain	6	1	5	0	5.56%
Sri Lanka	1	0	1	0	0.00%
Sweden	34	6	33	0	0.00%
Switzerland	20	5	18	0	0.00%
Taiwan	5	2	11	0	2.86%
Thailand	23	9	24	0	0.00%
Tonga	0	0	1	0	0.00%
Trinidad and Tobago	2	1	1	0	0.00%
Turkey	51	14	53	0	2.05%
Tuvalu	5	4	3	1	14.29%
Ukraine	0	0	0	0	0.00%
United Arab Emirates	2	1	2	0	0.00%
United Kingdom	153	29	179	0	0.96%
Vanuatu	89	33	80	0	0.96%
Venezuela	1	1	1	0	33.33%
Vietnam	13	6	9	0	4.00%
Not Flag Related	-	-	-	1	-
<b>Total</b>	<b>9,907</b>	<b>2,769</b>	<b>9,260</b>	<b>156</b>	<b>1.86%</b>

^ If an Administration has no distinct arrivals to the United States for three consecutive years, that Administration is not listed.



## Filtering Guidelines for Relating Recognized Organizations with Vessel Safety Non-compliance

Coast Guard field units report all vessel detentions they impose on foreign-flagged vessels to Coast Guard Headquarters for review. Staff at Coast Guard Headquarters review the reports before forwarding to the International Maritime Organization. During the review process, the Coast Guard determines whether the vessel detention is related to the statutory activities conducted by a Recognized Organization (RO) on behalf of the vessel's Flag Administration. At the end of each calendar year, the Coast Guard evaluates each Recognized Organization's performance and calculates their detention ratio. The Coast Guard uses the following guidelines to determine if a vessel's detention relates to a Recognized Organization:

### **These criteria apply only to detainable deficiencies that are:**

Covered by a statutory certificate that has been issued or endorsed by the RO with a date of survey and the RO has carried out the last survey or verification audit for the relevant certificate(s). There may be more than one RO deemed responsible, for example, different ROs may have issued or endorsed a Safety Management Certificate or International Ship and Port Facility Security Certificate and other convention certificates on behalf of the Flag Administration.

### **A detainable deficiency is associated with the RO if it is:**

- A serious structural deficiency including corrosion, wastage, cracking and buckling of the hull unless there is clear evidence that the deficiency has occurred since the last survey conducted by the RO;
- A serious deficiency in equipment or non-structural fittings (such as fire main, air pipes, cargo hatches, rails, masts, etc.), and it is less than 90 days since the last survey conducted by the RO;
- A serious deficiency in equipment or non-structural fittings which clearly would have existed at the time of the last survey;
- A serious deficiency associated with out-of-date equipment which was out-of-date at the time of the last survey;
- Missing approval or endorsement of plans and manuals if required to comply with the provisions for issuance of statutory certificates which clearly would have existed at the time of the last survey; or
- A major non-conformity where there is clear evidence of a lack of effective and systematic implementation of a requirement of the ISM Code and there is clear evidence that it existed at the last audit conducted by the RO. It may also include operational drills, as well as operational control and there is clear supporting evidence of failure.

### **A detainable deficiency is not associated with the RO if it is:**

- The result of accidental or voyage damage;
- Missing equipment that is likely to have been stolen, except when it is a large quantity and the PSC examination is taking place within 90 days since the last survey conducted by the RO;
- An expired certificate unless the certificate was improperly issued by the RO following a survey conducted on behalf of the Flag Administration;
- Manning issues; or
- Failure of human factor issues, such as operational drills and tests.

The Coast Guard shall notify the Recognized Organization in writing of each RO-related detention and inform them of their right to appeal. The actual date of the survey, not the certificate issuance date, is used to determine the elapsed time between detention and a survey.

## Recognized Organization Safety Compliance Performance

The following guidelines explain point assignment (Points Column below) as they relate to detention ratios:

A detention ratio less than 0.5%	<b>0 points</b>
A detention ratio equal to 0.5% or less than 1%	<b>3 points</b>
A detention ratio equal to 1% or less than 2%	<b>5 points</b>
A detention ratio equal to or greater than 2%	<b>Priority 1</b>

Recognized Organization (RO)	Abbreviation	Distinct Vessel Arrivals				RO-Related Detentions				Ratio
		2008	2009	2010	Total	2008	2009	2010	Total	
American Bureau of Shipping	ABS	1,475	1,422	1,433	4,330	1	-	-	1	0.02%
Bulgarian Register of Shipping	BKR	3	1	3	7	-	-	-	0	0.00%
Bureau Veritas	BV	975	912	784	2,671	1	1	-	2	0.07%
China Classification Society	CCS	280	278	253	811	-	-	-	0	0.00%
China Corporation Register of Shipping	CR	21	4	5	30	-	-	-	0	0.00%
Classification Bureau of Indonesia	CBI	-	2	-	2	-	-	-	0	0.00%
Det Norske Veritas	DNV	2,136	1,951	1,679	5,766	-	1	-	1	0.02%
Germanischer Lloyd	GL	1,138	1,174	1,112	3,424	-	-	-	0	0.00%
Global Marine Bureau	GMB	3	-	-	3	-	-	-	0	0.00%
Hellenic Register of Shipping	HRS	33	25	31	89	-	-	-	0	0.00%
Indian Register of Shipping	IRS	38	24	19	81	-	-	-	0	0.00%
International Register of Shipping	IROS	7	12	4	23	-	-	-	0	0.00%
Korean Register of Shipping	KRS	253	264	306	823	-	-	-	0	0.00%
Lloyd's Register	LR	2,042	1,703	1,626	5,371	2	1	1	4	0.07%
Nippon Kaiji Kyokai	NKK	1,958	1,805	2,195	5,958	2	-	1	3	0.05%
Panama Bureau of Shipping	PBS	-	55	3	58	-	-	-	0	0.00%
Panama Maritime Documentation Service	PMDS	24	37	18	79	-	-	-	0	0.00%
Panama Maritime Survey and Certification	PMSCS	-	33	-	33	-	-	-	0	0.00%
Panama Maritime Surveyors Bureau	PMS	1	-	1	2	-	-	-	0	0.00%
Panama Register Corporation	PRC	8	4	1	13	-	-	-	0	0.00%
Panama Shipping Register	PSR	-	44	-	44	-	-	-	0	0.00%
Polski Rejestr Statkow	PRS	42	30	24	96	-	-	-	0	0.00%
Registro Italiano Navale	RINA	237	183	212	632	-	-	-	0	0.00%
Rinava Portuguesa	RP	3	3	-	6	-	-	-	0	0.00%
Romanian Naval Register	RNR	-	11	-	11	-	-	-	0	0.00%
Russian Maritime Register of Shipping	RS	144	128	110	382	1	-	-	1	0.26%
Turkish Lloyd	TL	2	-	1	3	-	-	-	0	0.00%
Vietnam Register	VR	7	6	4	17	-	-	-	0	0.00%
Croatian Register of Shipping	CRS	33	27	20	80	1	-	-	1	1.25%
Compania Nacional de Registro y Inspecciones de Naves	CNRIN	-	-	2	2	-	-	1	1	50.00%
Honduras International Naval Survey and Inspection Bureau	HINSB	4	-	-	4	1	-	-	1	25.00%
Horizon International Naval Survey and Inspection Bureau	HNS	7	3	8	18	-	-	-	0	0.00%
Intermaritime Certification Services	IMC	7	14	6	27	-	-	1	1	3.70%
International Naval Surveys Bureau	INSB	7	6	2	15	1	-	1	2	13.33%
Isthmus Bureau of Shipping	IBS	24	17	12	53	1	-	1	2	3.77%
Tsunami Marine Limited	TML	-	-	7	7	-	-	2	2	28.57%
Universal Shipping Bureau	USB	18	7	1	26	-	6	1	7	26.92%
VG Register of Shipping	VGRS	-	-	1	1	-	-	1	1	25.00%

## Quality Shipping for the 21<sup>st</sup> Century

The Quality Shipping for the 21<sup>st</sup> Century program, or QUALSHIP 21, recognizes and rewards vessels, as well as their owners and Flag Administrations, for their commitment to safety and quality. To encourage maritime entities to participate, incentives such as certificates, name recognition, and a reduction in PSC examination frequency are given to participants. The criteria for inclusion are very strict and only a small percent of all foreign-flagged ships that operate in the United States have earned the QUALSHIP 21 designation. The QUALSHIP 21 program ended calendar year 2010 with an enrollment of only 383 vessels.

The stringent eligibility criteria for entry into QUALSHIP 21 has remained primarily unchanged since the program's inception. Those criteria can be found on our website. We have recently made the decision to amend our Flag Administration qualification procedures to include the submittal of information relating to the International Maritime Organization's Voluntary Member State Audit Scheme (VMSAS). If an eligible Flag Administration wishes to be part of the QUALSHIP 21 Program, they must submit the Executive Summary from their VMSAS audit to the U.S. Coast Guard. Or if the Administration has not undergone the audit, submittal of a letter/e-mail attesting to this fact, with a statement that the Administration has requested the audit. If the Administration has neither undergone or requested the VMSAS audit, they will remain eligible for 2011. However, in 2012 these Administrations will not be eligible.

This year we have twenty eligible Flag Administrations for the QUALSHIP 21 Program:

### Qualifying Flag Administrations for 2011

<b>Barbados</b>	<b>Hong Kong</b>	<b>Russian Federation *</b>
<b>Canada</b>	<b>Isle of Man</b>	<b>Sweden</b>
<b>Cayman Islands</b>	<b>Japan *</b>	<b>Switzerland</b>
<b>Denmark</b>	<b>Liberia</b>	<b>Thailand</b>
<b>France</b>	<b>Malaysia *</b>	<b>United Kingdom</b>
<b>Germany</b>	<b>Marshall Islands</b>	<b>Vanuatu</b>
<b>Greece</b>	<b>Norway</b>	

\* Administrations require submission of an IMO Self-Assessment Form (SAF) to be fully qualified

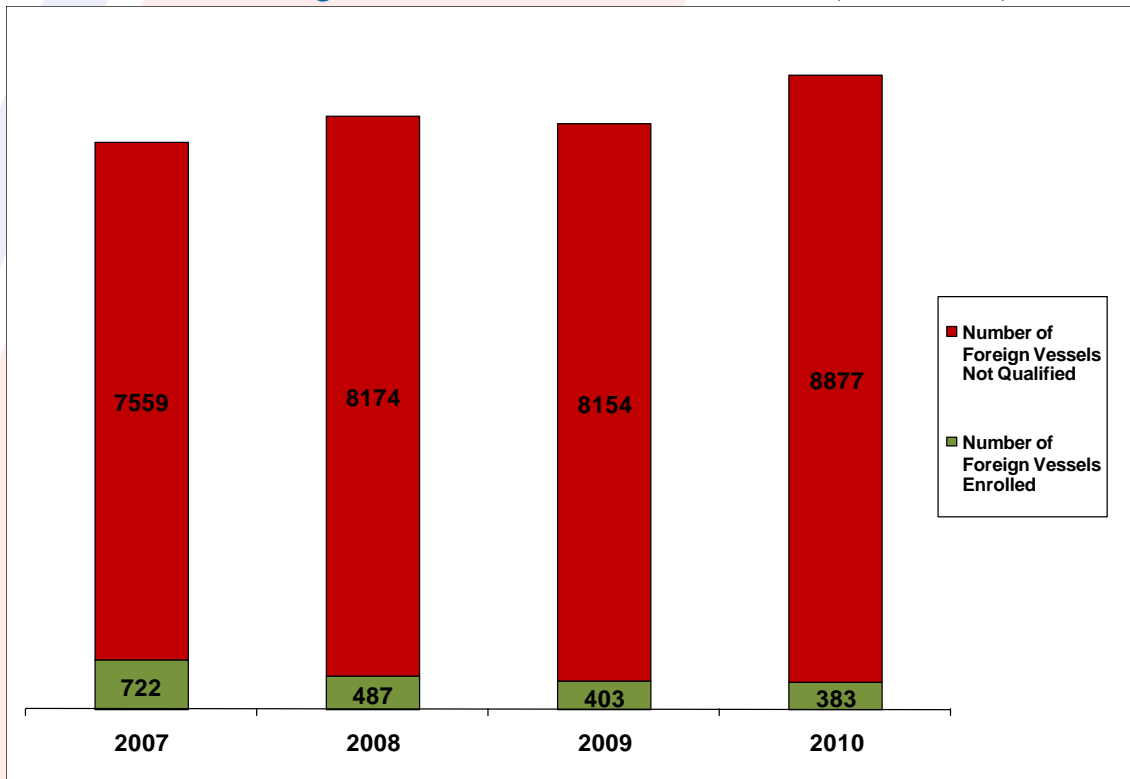
Finally, this year we have created a list of Flag Administrations that have shown a commitment to excellence in their level of compliance with international standards but do not meet the full requirements for Qualship 21 eligibility. Specifically, they have not met the requirement of at least 10 distinct arrivals per calendar year for the previous three years. The list below contains Flag Administrations that have made at least three distinct arrivals in each of the previous three years and have not been subject to any Port State Control detention in that same time period:

<b>Egypt</b>	<b>Jamaica</b>	<b>Samoa</b>
<b>Ireland</b>	<b>Luxembourg</b>	<b>Seychelles</b>
<b>Israel</b>		

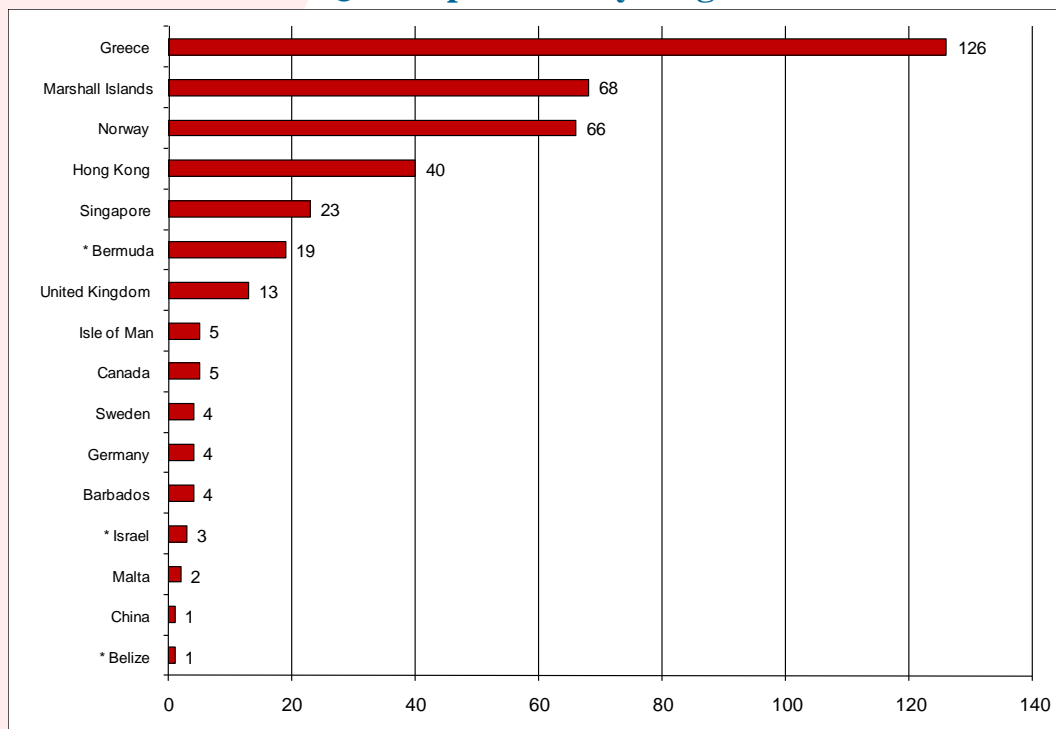
For more information the QUALSHIP 21 program, including a complete listing of qualifying vessels, please consult our website at <http://homeport.uscg.mil/psc>

## Quality Shipping for the 21<sup>st</sup> Century (continued)

### YEARLY QUALSHIP 21 ENROLLMENT (2007-2011)



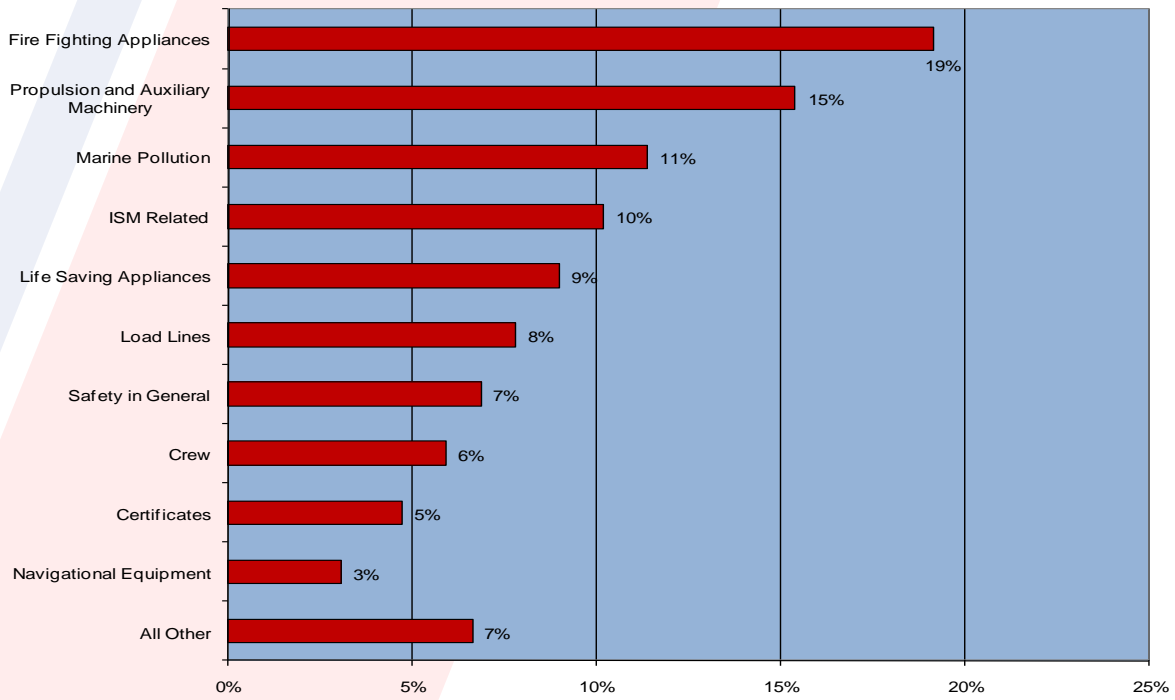
### Number of Qualship Vessels by Flag Administration



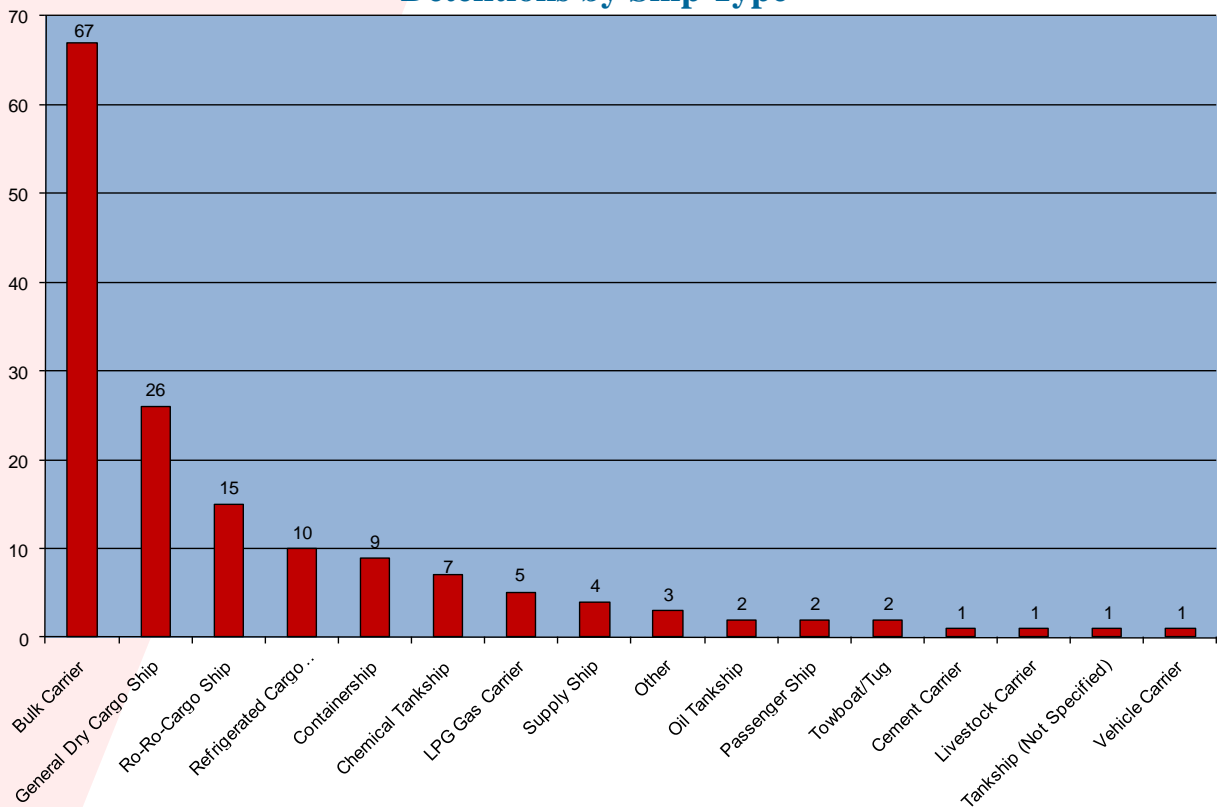
\* Vessels registered under these Flag Administrations will fall out of the program when their QS21 certificate expires



### Types of Safety Deficiencies

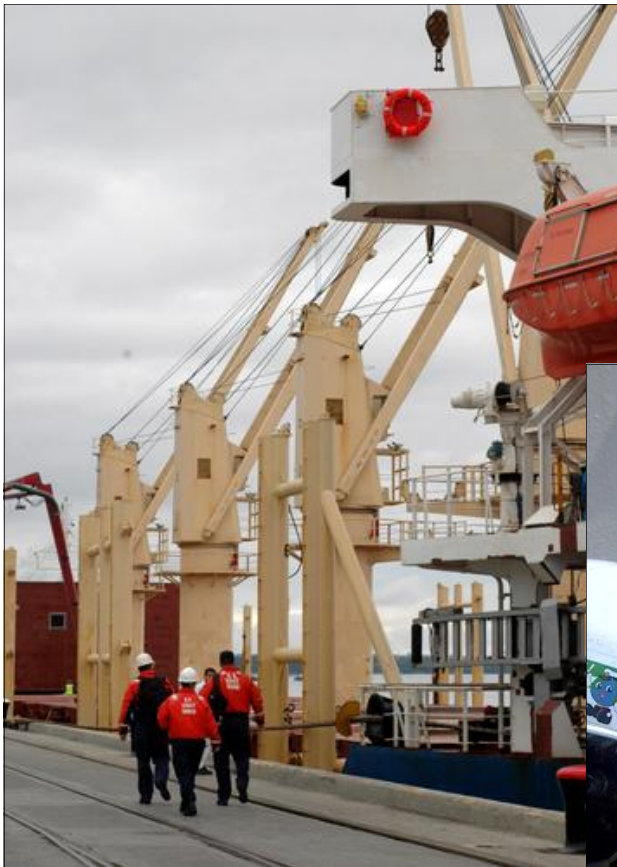


### Detentions by Ship Type



## Chapter 3

# Security Compliance Performance



*Top: Port State Control team is challenged by gangway watch, upon arrival at vessel (USCG Sector Anchorage)  
Right: Improperly secured and labeled escape door, (USCG Sector Puget Sound).*

## ISPS/MTSA Security Compliance Targeting Matrix

<b>I</b>	<b>II</b>	<b>III</b>	<b>IV</b>	<b>V</b>
<b>SHIP MANAGEMENT</b>	<b>FLAG STATE</b>	<b>RECOGNIZED SECURITY ORGANIZATION</b>	<b>SECURITY COMPLIANCE HISTORY</b>	<b>PORT OF CALL HISTORY</b>
<b>ISPS II</b> Owner, if new owner since last ISPS exam	<b>ISPS II</b> If new flag since last ISPS exam	<b>ISPS I</b> 3 or more RSO related major control actions in the past twelve months	<b>ISPS I</b> Vessel with an ISPS related denial of entry/expulsion from port in past 12 months <sup>(3)</sup>	<b>ISPS I</b> Vessels having called upon, in their last 5 ports of call, ports listed in the Federal Register as not compliant with the ISPS code. Also refer to CG-543 monthly targeting update
<b>5 POINTS</b> Owner, operator, or charterer associated with one ISPS related denial of entry or ISPS related expulsion from port in the past 12 months, or 2 or more ISPS/MTSA control actions in a twelve month period	<b>7 POINTS</b> SOLAS Vessels <sup>(1)</sup> Flag State has a CAR 2 or more times the overall CAR average for all flag States	<b>5 POINTS</b> 2 RSO related major control actions in the past twelve months	<b>ISPS II</b> If matrix score does not result in ISPS I priority & no ISPS compliance exam within the past 12 months	<b>ISPS II</b> If matrix score does not result in ISPS I priority above and if the port or country is designated ISPS II per the CG-543 monthly targeting update
	<b>2 POINTS</b> SOLAS Vessels <sup>(1)</sup> Flag State has a CAR between the overall CAR average and up to 2 times overall CAR average for all flag States	<b>2 POINTS</b> 1 RSO related major control action in the past twelve months	<b>5 POINTS</b> Vessel with an ISPS/MTSA related detention in the past twelve months	<b>ISPS II</b> If matrix score does not result in ISPS I priority above and if the port or country is designated ISPS II per the CG-543 monthly targeting update
	<b>7 POINTS</b> Non-SOLAS Vessels <sup>(1)(2)</sup> Flag State has a CAR 2 or more times the overall CAR average for all flag States		<b>2 POINTS</b> Vessel with 1 or more other ISPS/MTSA control actions in the past twelve months <sup>(4)</sup>	<b>CONDITIONS OF ENTRY PRIOR TO ENTERING U.S.</b> For last 5 ports, list of countries and/or port facilities, as specified by Federal Register, found without effective anti-terrorism measures
<b>TOTAL TARGETING SCORE</b>				
<ul style="list-style-type: none"> <li>• Vessels that score <b>17 points or higher</b> are <b>ISPS I</b> vessels examined at sea prior to entering port.</li> <li>• Vessels that score between <b>7-16 points</b> are <b>ISPS II</b> vessels are examined in port.</li> <li>• Vessels scoring fewer than <b>7 points</b> are <b>ISPS III</b> vessels usually not subject to examination unless selected randomly.</li> </ul>				

- (1) Pertains solely to flag States with more than one major control action in a 12 month period.
- (2) Includes vessels from non-SOLAS signatory countries and non-SOLAS vessels from signatory countries.
- (3) COTP or OCMI may downgrade a vessel's priority from ISPS I to ISPS II, or ISPS II to ISPS III depending upon circumstances surrounding a denial of entry. If denial of entry is solely from failure to provide a Notice of Arrival prior to entry into the U.S., assign 2 points.
- (4) Includes vessel delays, restriction of operations, and restriction of movement related to vessel security deficiencies. Does not include routine examination of the ship or lesser administrative actions.

## Flag Administration Security Compliance Performance

The Coast Guard targets Flag Administrations for additional ISPS examinations if their Control Action Ratio (CAR) scores higher than the overall average for all flags, and if an Administration is associated with more than one major control action in the past three years. We calculate major Control Action Ratios based upon three years of enforcement data (January 2008-December 2010).

At the conclusion of calendar year 2005, the targeting CAR for all Administrations was fixed at **1.50%**. Flags over the targeting CAR receive 2 points on the ISPS/MTSA targeting matrix. Flag Administrations with a CAR at or above twice the targeted level receive 7 points on the ISPS/MTSA targeting matrix.

### Flag Administrations Receiving 7 points in Column II of the ISPS/MTSA Targeting Matrix

	2008-2010 Control Action Ratio
Honduras	6.67%
Lithuania *	4.08%
Mexico *	3.92%

\* Administration not targeted last year

### Flag Administrations Removed From Last Year's Targeted List

	Number of Detentions (2008-2010)	2008-2010 Control Action Ratio
Saint Vincent and the Grenadines	2	1.16%



## Flag Administration Security Compliance Performance Statistics

Flag ^	Security Exams	Security Exams with Deficiencies	Distinct arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Antigua and Barbuda	350	8	319	0	0.11%
Australia	1	0	1	0	0.00%
Austria	0	0	0	0	0.00%
The Bahamas	614	9	593	0	0.06%
Bahrain	3	1	2	0	0.00%
Bangladesh	1	1	1	0	0.00%
Barbados	33	1	26	1	1.39%
Belgium	25	0	23	0	0.00%
Belize	19	0	22	0	0.00%
Bermuda	91	3	80	0	0.00%
Bolivia	8	2	8	0	0.00%
British Virgin Islands	5	1	3	0	0.00%
Bulgaria	7	1	2	0	0.00%
Burma	0	0	0	0	0.00%
Cambodia	0	0	0	0	0.00%
Canada	69	1	98	1	0.35%
Cayman Islands	92	3	237	1	0.21%
Chile	6	0	5	0	0.00%
China	116	3	139	0	0.27%
Colombia	2	0	2	0	0.00%
Comoros	1	0	1	0	0.00%
Cook Islands	11	0	6	0	0.00%
Croatia	15	0	16	0	0.00%
Cyprus	301	7	304	0	0.00%
Denmark	95	2	101	0	0.33%
Dominica	3	1	3	0	0.00%
Ecuador	2	0	2	0	0.00%
Egypt	6	0	8	0	0.00%
Faroe Islands	1	0	1	0	0.00%
Finland	4	0	3	0	0.00%
France	30	1	31	0	0.00%
Georgia	0	0	1	0	0.00%
Germany	128	0	140	0	0.00%

\* If an Administration has no distinct arrivals to the United States for three consecutive years, that Administration is not listed.

## Flag Administration Security Compliance Performance Statistics (cont.)

Flag ^	Security Exams	Security Exams with Deficiencies	Distinct Arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Gibraltar	47	1	44	0	0.00%
Greece	396	4	418	0	0.08%
Guyana	0	0	0	0	100.00%
Honduras	14	3	9	1	6.67%
Hong Kong	491	13	532	2	0.47%
India	28	4	28	0	0.00%
Indonesia	4	0	3	0	0.00%
Ireland	4	0	4	0	0.00%
Isle of Man	117	2	132	0	0.00%
Israel	6	1	6	1	4.55%
Italy	145	3	139	0	0.00%
Jamaica	8	0	8	0	0.00%
Japan	29	0	81	0	0.00%
Kiribati	1	0	2	0	0.00%
Kuwait	2	0	2	0	0.00%
Latvia	1	0	1	0	0.00%
Liberia	1042	18	1074	1	0.07%
Libya	3	0	5	0	0.00%
Lithuania	37	1	15	1	4.08%
Luxembourg	3	0	3	0	0.00%
Madagascar	1	1	1	0	0.00%
Malaysia	28	1	33	0	0.00%
Malta	402	11	390	1	0.26%
Marshall Islands	641	17	688	0	0.05%
Mexico	10	1	19	1	3.92%
Netherlands	227	9	209	0	0.00%
Netherlands Antilles	35	0	29	0	0.00%
New Zealand	0	0	3	0	0.00%
Norway	248	1	258	0	0.25%
Pakistan	1	0	1	0	0.00%

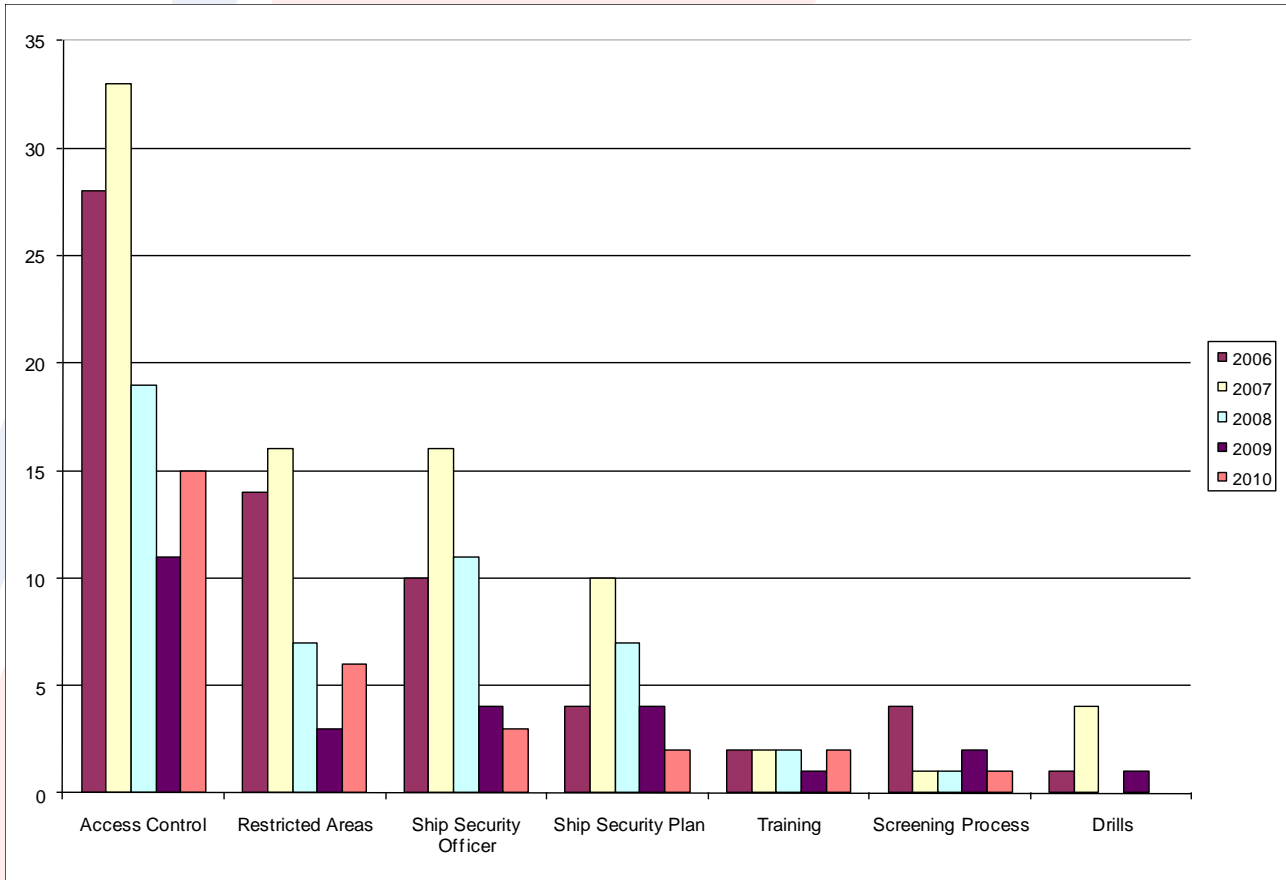
\* If an Administration has no distinct arrivals to the United States for three consecutive years, that Administration is not listed.

## Flag Administration Security Compliance Performance Statistics (cont.)

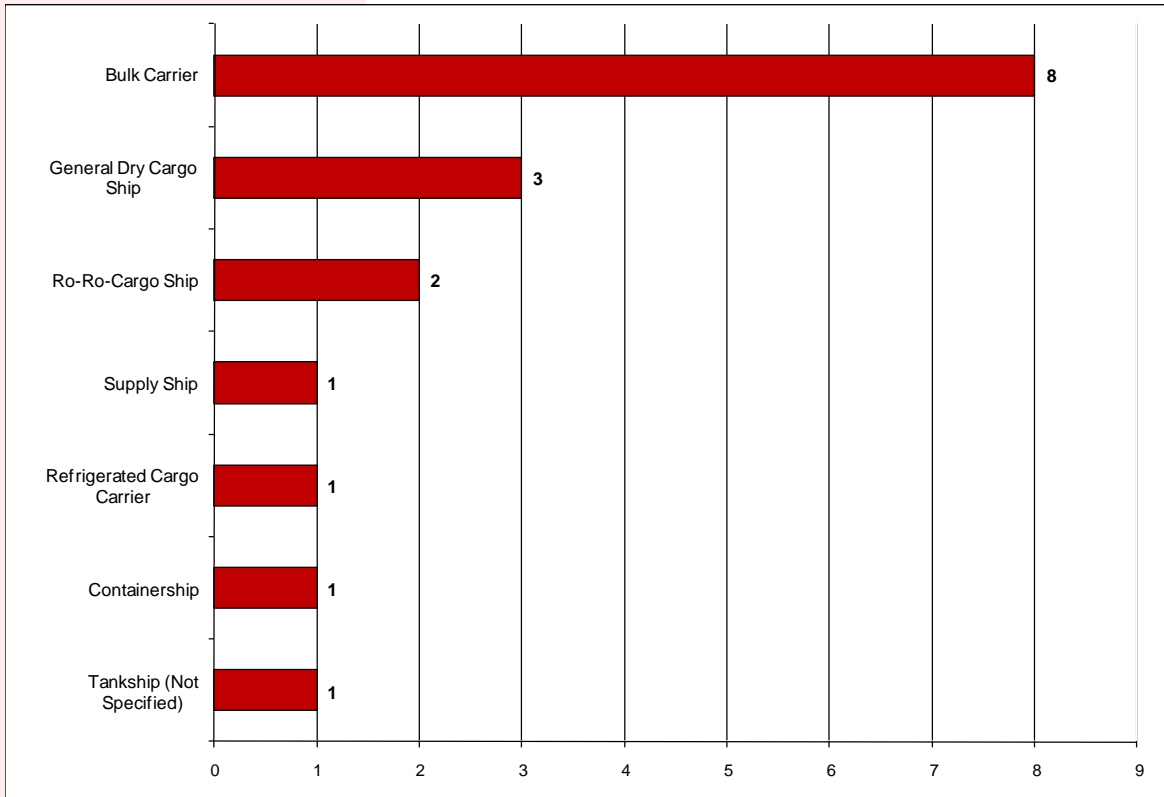
Flag ^	Security Exams	Security Exams with Deficiencies	Distinct Arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Panama	1863	63	1865	4	0.37%
Peru	6	0	5	0	0.00%
Philippines	81	2	82	1	0.91%
Poland	0	0	0	0	0.00%
Portugal	9	0	11	0	0.00%
Qatar	1	0	1	0	0.00%
Republic of Korea	58	5	62	0	0.43%
Russian Federation	15	1	16	0	0.00%
Saint Kitts and Nevis	5	0	6	0	0.00%
Saint Vincent and the Grenadines	82	8	58	0	1.16%
Samoa	3	1	3	0	0.00%
Saudi Arabia	14	0	9	0	0.00%
Seychelles	4	0	4	0	0.00%
Sierra Leone	3	2	3	0	0.00%
Singapore	400	9	397	0	0.00%
Slovakia	1	0	1	0	0.00%
South Africa	1	0	1	0	0.00%
Spain	3	0	5	0	0.00%
Sri Lanka	2	1	1	0	0.00%
Sweden	31	0	33	0	0.00%
Switzerland	19	0	18	0	0.00%
Taiwan	4	0	11	0	2.86%
Thailand	22	2	24	1	0.94%
Tonga	0	0	1	0	0.00%
Trinidad and Tobago	1	0	1	0	0.00%
Turkey	53	2	53	0	0.68%
Tuvalu	3	2	3	0	0.00%
Ukraine	0	0	0	0	0.00%
United Arab Emirates	1	0	2	0	0.00%
United Kingdom	142	1	179	0	0.19%
Vanuatu	56	2	80	0	0.00%
Venezuela	1	0	1	0	11.11%
Vietnam	12	2	9	0	4.00%
<b>Total</b>	<b>8,906</b>	<b>239</b>	<b>9,260</b>	<b>17</b>	

\* If an Administration has no distinct arrivals to the United States for three consecutive years, that Administration is not listed.

### Security Deficiencies by Category



### Major Control Actions by Vessel Type



## Filtering Guidelines for Relating Recognized Security Organizations with Vessel Security Non-compliance

Coast Guard field units report all the major control actions (i.e. denial of entry, expulsion or ISPS detention) they impose upon foreign-flagged vessels to Coast Guard Headquarters for review. Staff at Coast Guard Headquarters review the reports for forwarding to the International Maritime Organization. During the review process, the Coast Guard determines whether the major control action is related to the statutory activities conducted by the Recognized Security Organization (RSO) on behalf of the vessel's Flag Administration. The Coast Guard uses the following guidelines to determine if a major control action relates to an RSO:

The following deficiencies will be considered RSO-related if a vessel is subject to a major control action within 90 days of an applicable survey performed by an RSO:

- ◆ Serious deficiencies relating to security equipment or arrangement (e.g., missing or improperly maintained equipment);
- ◆ Lack of effective and systematic implementation of a requirement of the Ship Security Plan;
- ◆ Ineffective Ship Security Plan approved by the RSO; or
- ◆ Ship Security Officer or Master not competent in security duties (only if these specific individuals participated in the verification survey).

The following deficiencies which would lead to a major control action will be considered RSO-related regardless of the elapsed time from the last applicable survey:

- ◆ Long-standing, serious deficiencies relating to security (e.g. records, audits, training); or
- ◆ Improper interim International Ship Security Certificate (ISSC).

The following deficiencies will not be considered RSO-related:

- ◆ Expired ISSC;
- ◆ Other crew anomalies (individual incompetence, unaccounted personnel, fraudulent documents);
- ◆ Failure of human factor issues, such as operational drills and tests.

The Coast Guard will notify the RSO in writing of each RSO-related major control action, and inform them of their appeal rights. When determining elapsed time between the major control action and the survey, the Coast Guard uses the actual date of the RSO survey instead of the certificate issue date.

The Coast Guard targets RSOs based on the number of RSO-related major control actions imposed in the past 12 months. The Coast Guard updates the targeting statistics each month. For example, on September 1st, 2010, the Coast Guard targeted RSOs based on the number of RSO-related major control actions imposed since August 31st, 2009 (the previous 12 months). The number of RSO-related major control actions determines the RSO targeting score as follows:

<u>Targeting Score</u>	<u>Number of RSO-related major control actions</u>
ISPS I:	3 or more
5 Points:	2
2 Points:	1



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