



PORT STATE CONTROL  
IN THE  
UNITED STATES

ANNUAL REPORT 2003



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# I. Introduction by the Assistant Commandant for Marine Safety, Security and Environmental Protection (G-M)

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I am pleased to present to you the 2003 Annual Port State Control Report for the United States. This report illustrates a marked improvement in vessel, flag state and classification society performance during 2003, demonstrated by a significant reduction in the number of substandard vessels during this year in which both vessel arrivals and port state control examinations increased. This improvement continues a steady safety trend in the reduction of substandard vessels resulting in nearly a 70 percent decrease in vessel detentions since the inception of the U. S. Port State Control program in 1994. This cumulative improvement in vessel performance is gratifying and clearly shows that the collective diligence of Port State, Flag State, Classification Society, and vessel owner and operator efforts are paying off.



Our port state control program is anchored by 4 cornerstones:

- screening and targeting of vessels
- onboard verification,
- enforcement and control, and
- follow-up to ensure accountability of responsible parties.

During 2004, the Coast Guard will continue to use these cornerstones to verify vessel compliance with domestic and international security, safety and environmental standards.

The international maritime community faces a new set of challenges to ensure ship and port facility security meet the new SOLAS Chapter XI-2 and International Ship and Port Facility Security Code standards. This challenge is substantial, and it is incumbent on all Administrations to effectively implement the ISPS Code for both vessels and ports/facilities. The U. S. Coast Guard is expanding its current port state control program to fully address compliance with these new maritime security standards. The cornerstones that anchor the port state control program have not changed, but have been enhanced to fully incorporate vessel security.

Beginning July 1, 2004, the Coast Guard will screen all arriving vessels for ISPS, safety and environmental and compliance risks. Those with an unacceptable level of risk will be targeted for boarding. We finalized our guidance for conducting ISPS verification examinations and have developed and implemented a training program to educate our port state control officers in ISPS compliance examinations.

The Coast Guard has integrated new vessel control actions for security, such as restriction of operations, expulsion from port, or denial of entry, into its port state control enforcement toolkit and has provided guidance to competent authorities on conditions for their use. Lastly, performance of key entities, including the owner, flag administration and recognized security organization, are being tracked and analyzed to ensure accountability and enhance security.

I hope you find this annual report beneficial.

A handwritten signature in blue ink that reads "T. H. Gilmour". The signature is written in a cursive, flowing style.

**REAR ADMIRAL T. H. GILMOUR**  
Assistant Commandant for Marine Safety,  
Security and Environmental Protection  
United States Coast Guard

# I. Introduction by the Director, Office of Port Security (G-MP)

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The United States Coast Guard is responsible for enforcing maritime security standards in the United States. Rather than develop a new enforcement program, the Coast Guard has built upon the framework and processes of the highly-successful Port State Control Program to fully incorporate enforcement provisions of SOLAS Chapter XI-2, the ISPS Code and the Maritime Transportation Security Act. The expanded Port State Control Program includes changes to security screening and targeting, verification examination, enforcement and control procedures, as well as documentation requirements for compliance examinations. I am convinced that the Coast Guard has developed a sound, robust program and I am committed to the continuous improvement process reflected in our Port State Control program.



A security screening process, similar to the existing Port State Control targeting process, will be used to target vessels for security risk and ISPS-related compliance examinations. This process will evaluate different risk factors, involving the performance of: vessel owners, operators, and charterers; flag States; Recognized Security Organizations; and the vessel itself. Additionally, information concerning last ports of call will be collected and examined for possible future matrix targeting. This new ISPS Targeting Matrix, used in conjunction with the existing safety-focused PSC Targeting Matrix, are tools the Coast Guard Captain of the Port will use to make consistent targeting decisions based on the risk posed by each vessel. In order to accurately apply this risk-based targeting matrix, the Coast Guard will document and track the performance of each vessel and the related parties with regard to compliance with ISPS.

I am pleased to report that existing port state control processes used to track examination results, notify interested parties, track performance, and report performance information were all refined to increase security performance accountability. Since an important element in making this information available is the Port State Control Annual Report, I am directing efforts to expand the Annual Report to provide our customers with valuable data on the performance of foreign flag ships visiting the United States related to compliance with international and domestic maritime security standards. I am also pleased to present to you, in this report, samples of the security information you may expect to see in future annual reports.

Beginning April 1, 2004, the USCG will begin verifying that arriving vessels are in compliance with the ISPS Code. No enforcement actions will be taken during this pre-enforcement campaign. The intent of this campaign is to provide Port State Control Officers with opportunities to put enforcement guidance into practice. During pre-enforcement, vessels found not in compliance with international and domestic security standards will be given notification letters informing them of the impending deadline and consequences for not complying with the maritime security standards starting July 1, 2004. Conversely, vessels found to be fully in compliance with maritime security standards during the pre-enforcement campaign will be given credit for an acceptable examination and will be less likely to experience delays. On July 1, 2004, the pre-enforcement campaign will end and vessels found non-compliant with ISPS and MTSA may expect to be denied entry, detained, or expelled from U.S. ports.

I look forward to working with our international partners to meet the challenging mission that lies ahead.

A handwritten signature in black ink, appearing to read "L. Hereth".

**REAR ADMIRAL LARRY L. HERETH**  
Director, Office of Port Security  
United States Coast Guard

## II. U.S. Port State Control Program

### A. Background

The Coast Guard has been inspecting foreign-flagged tank and passenger vessels for nearly 40 years; however, it wasn't until 1994 that foreign-flagged freight ships were brought under closer scrutiny. In 1994, the U.S. Coast Guard was directed to develop a program to eliminate substandard foreign-flagged vessels (all vessel types) from the nation's waters. Since that time, screening, boarding, and enforcement procedures and policies, executed under the Port State Control program, have been effectively addressing risks associated with substandard vessels.

With an average of 7,500 foreign-flagged ships making over 50,000 U.S. port calls each year, it was impossible for the Coast Guard to examine each vessel at every port call. As a result, the Coast Guard developed a risk-based decision tool to identify and manage the risk posed by arriving vessels. The risk-based approach, which utilized targeting procedures, proved to be extremely effective, resulting in a decrease in the number of substandard vessels and an improvement in the performance of classification societies and flag Administrations. The number of detentions and flag administration performance each improved by nearly 70% over the past 9 years, and class-related detentions are at an all time low.

The events of September 2001 set in motion a series of changes that required significant security-related enhancements to the procedures governing the traditional safety-oriented port State program. For example, a centralized vessel arrival center was created where vessels report arrival information 96 hours in advance, vice 24 hours. As the Coast Guard transitioned into the Department of Homeland Security, other missions were streamlined, not only internally, but also with sister agencies. Port State Control boarding officers were combined with armed Law Enforcement teams to escort vessels, and mariner screening increased to ensure vessels and crewmembers/passengers do not pose a threat to the United States.

In November of 2002, the U.S. passed domestic legislation entitled the "Maritime Security Transportation Act of 2002" (MTSA 2002), and in December of 2002, the International Ship and Port Facility Security Code (ISPS) was adopted by IMO. MTSA 2002 and the ISPS Code represent a significant expansion of focus for port State activities. To ensure effective and efficient compliance, these requirements are incorporated into our Port State Control program to the fullest extent possible. The program has been revised to seamlessly incorporate and emphasize compliance with security as well as safety and environmental compliance standards.

The need to protect the maritime transportation infrastructure as well as the need to ensure smooth and efficient commerce continues to be our primary focus as we move forward implementing these security standards.

## B. Highlights

- *Vessels Detentions Decrease Significantly*

A total of 7,673 individual vessels, from 86 different flag States, made 61,322 port calls and 11,955 exams were conducted. The total number of ships detained decreased 14.5% from 179 to 153. At the same time, there was a 8 % increase in the number of distinct vessels arriving from 7,106 to 7,673.

- *Flag State Performance Improved*

Flag State performance for 2002 improved slightly from the previous year, with the yearly detention ratio decreasing from 2.50% to 1.99%. The overall flag State performance, based on the 3-year rolling average, improved again this year with the overall detention ratio dropping from 2.40% to 2.22%. Because of improved vessel performance, Bulgaria was removed from the Flag Administration targeted list this year.

- *Class-Related Detentions Decreased*

Classification society related detentions decreased from 20 to 15 this year. Classification society performance continues at an exceptionally high level. Classification societies in the zero point category (3-year average detention ratio less than .5%) accounted for 92% of the total distinct vessel arrivals.

- *ISM and ISM Related Deficiencies*

Detentions with at least one ISM related deficiency decreased slightly from 55 to a total of 51 detentions this year. ISM deficiencies represent 16% of the total deficiencies issued on detained vessels. The most common ISM deficiencies were related to lack of documentation and failure to fully implement the Safety Management System as evident from the lack of maintenance of ship and equipment. Effective implementation of ISM is a proven tool that improves compliance with all applicable standards.

- *STCW Implementation*

Vessels flagged with or manned with crew from nations not party to STCW 95 continue to be targeted as Priority I and are boarded prior to entry. Also, those vessels and crews associated with nations not on the White List are assigned a Priority II boarding status and are boarded at the pier. Compliance with STCW 95 declined significantly this year, with the number of detentions increasing to 40, as compared to only 18 STCW-related detentions last year. The most common deficiency recorded in relation to STCW continues to be improper flag State endorsements for the Officer ratings.

### III. PART A (Marine Safety): Statistical Overview of the Port State Control Program

PART A: Table 1 Vessel Detention Statistics				
<u>Year</u>	<u>Vessel Detention</u>	<u>Distinct* Vessel Arrivals</u>	<u>Annual** Detention Ratio</u>	<u>3-year Average*** Detention Ratio</u>
1995	514	7,846	6.55%	N/A
1996	476	7,608	6.26%	N/A
1997	547	7,686	7.12%	6.64%
1998	373	7,880	4.73%	6.02%
1999	257	7,617	3.37%	5.08%
2000	193	7,657	2.52%	3.55%
2001	172	7,842	2.19%	2.69%
2002	178	7,106	2.50%	2.40% <sup>1</sup>
2003	153	7,673	1.99%	2.22%

\* Distinct Vessel Arrivals are the number of ships ( $\geq 300$  GT) that make at least one visit to a U.S. Port in 2003. For example: A vessel that makes 12 U.S. port calls in 2003 would be counted as 1 distinct vessel arrival.

\*\*Annual Detention Ratio are the number of detentions for that particular year divided by the total number distinct vessel arrivals for that same year multiplied by a factor of 100.

$$\text{Annual Detention Ratio} = \frac{\text{Detentions for applicable year} \times 100}{\text{Distinct vessel arrivals for applicable year}}$$

\*\*\*3-year Average Detention Ratio are the sum of detentions for the previous three years divided by the sum of distinct vessel arrivals for the same three year period multiplied by a factor of 100.

$$\text{3-year Average Detention Ratio} = \frac{\text{Sum of detentions for last 3 yrs} \times 100}{\text{Sum of distinct vessel arrivals for last 3 yrs}}$$

<sup>1</sup> Value appears differently here than in last years report. Value changed due to overturned detention.

**PART A: Table 2****Examinations by Flag**

Flag	Examinations	Distinct Vessel Arrivals	Detentions	2003 Detention Ratio %	2001-2003 Detention Ratio %
Algeria	12	6	0	0.00%	20.83%
Antigua and Barbuda	437	200	6	3.00%	2.84%
Argentina	0	0	0	0.00%	0.00%
Australia	1	1	0	0.00%	0.00%
Austria	0	0	0	0.00%	25.00%
Bahamas	922	570	9	1.58%	2.02%
Bahrain	1	1	0	0.00%	0.00%
Bangladesh	0	0	0	0.00%	0.00%
Barbados	27	14	0	0.00%	0.00%
Belgium	14	6	0	0.00%	0.00%
Belize	21	23	0	0.00%	7.55%
Bermuda	67	41	0	0.00%	0.96%
Bolivia	4	3	1	33.33%	22.22%
Brazil	33	13	0	0.00%	14.63%
British Virgin Islands	0	0	0	0.00%	0.00%
Bulgaria	11	7	0	0.00%	4.35%
Cambodia	11	4	2	50.00%	41.67%
Canada	56	89	2	2.25%	1.15%
Cape Verde	0	0	0	0.00%	100.00%
Cayman Islands	124	66	1	1.52%	3.17%
Chile	11	10	1	10.00%	3.57%
China	82	98	1	1.02%	0.74%
Colombia	0	0	0	0.00%	0.00%
Croatia	46	22	0	0.00%	4.76%
Cyprus	720	431	10	2.32%	2.91%
Czech Republic	0	0	0	0.00%	0.00%
Denmark	170	113	0	0.00%	0.54%
Dominica	4	2	0	0.00%	0.00%
Ecuador	9	6	0	0.00%	0.00%
Egypt	11	10	0	0.00%	2.70%
Equatorial Guinea	0	0	0	0.00%	0.00%
Estonia	0	1	0	0.00%	0.00%
Finland	2	2	0	0.00%	0.00%
France	57	34	0	0.00%	0.00%
Georgia	2	4	0	0.00%	0.00%
Germany	124	86	1	1.16%	0.54%
Gibraltar	37	26	0	0.00%	0.00%
Greece	474	384	3	0.78%	1.00%
Grenada	1	1	0	0.00%	0.00%



## PART A: Table 2

## Examinations by Flag - continued

Flag	Examinations	Distinct Vessel Arrivals	Detentions	2003 Detention Ratio %	2001-2003 Detention Ratio %
Honduras	26	14	1	7.14%	6.52%
Hong Kong	340	283	0	0.00%	0.75%
Hungary	1	1	0	0.00%	0.00%
India	47	32	0	0.00%	2.65%
Indonesia	0	3	0	0.00%	0.00%
Ireland	7	2	0	0.00%	0.00%
Isle of Man	129	81	0	0.00%	0.00%
Israel	26	18	0	0.00%	0.00%
Italy	156	101	3	2.97%	1.50%
Jamaica	3	2	1	50.00%	20.00%
Japan	32	106	0	0.00%	0.00%
Kiribati	1	2	0	0.00%	0.00%
Kuwait	0	0	0	0.00%	0.00%
Laos	0	1	0	0.00%	0.00%
Latvia	0	0	0	0.00%	0.00%
Lebanon	0	0	0	0.00%	0.00%
Liberia	1239	824	6	0.73%	1.19%
Lithuania	19	13	0	0.00%	5.41%
Luxembourg	53	13	0	0.00%	0.00%
Malawi	0	0	0	0.00%	0.00%
Malaysia	65	52	1	1.92%	1.39%
Malta	619	390	13	3.33%	3.53%
Marshall Islands	394	236	1	0.42%	1.65%
Mauritius	0	0	0	0.00%	0.00%
Mexico	8	13	2	15.38%	19.35%
Micronesia, Federated States	0	2	0	0.00%	0.00%
Myanmar (Burma)	11	10	0	0.00%	0.00%
Netherlands	236	159	1	0.63%	0.60%
Netherlands Antilles	72	46	1	2.17%	3.38%
New Zealand	0	3	0	0.00%	0.00%
Norway	639	329	2	0.61%	0.58%
Pakistan	0	0	0	0.00%	0.00%
Panama	2941	1662	58	3.49%	3.11%
Paraguay	0	0	0	0.00%	0.00%
Peru	0	1	0	0.00%	0.00%
Philippines	88	105	2	1.90%	1.27%
Poland	9	5	0	0.00%	0.00%

**PART A: Table 2****Examinations by Flag - continued**

Flag	Examinations	Distinct Vessel Arrivals	Detentions	2003 Detention Ratio %	2001-2003 Detention Ratio %
Portugal	13	7	0	0.00%	4.76%
Qatar	16	10	0	0.00%	0.00%
Republic of Korea	61	50	0	0.00%	3.11%
Russia	80	54	0	0.00%	0.00%
Saint Vincent and the Grenadines	184	88	15	17.05%	11.48%
Samoa	5	4	0	0.00%	0.00%
Saudi Arabia	24	6	0	0.00%	4.17%
Seychelles	0	8	0	0.00%	0.00%
Singapore	377	264	2	0.76%	0.95%
Slovakia	0	0	0	0.00%	0.00%
Slovenia	0	1	0	0.00%	0.00%
South Africa	0	0	0	0.00%	0.00%
Spain	26	7	0	0.00%	0.00%
Sweden	28	25	0	0.00%	1.19%
Switzerland	14	16	0	0.00%	0.00%
Taiwan	11	43	0	0.00%	1.03%
Thailand	24	18	0	0.00%	0.00%
Tonga	3	1	0	0.00%	20.00%
Trinidad and Tobago	3	3	1	33.33%	10.00%
Tunisia	0	1	0	0.00%	0.00%
Turkey	123	66	1	1.52%	5.71%
Tuvalu	2	1	0	0.00%	0.00%
Ukraine	9	7	2	28.57%	8.70%
United Arab Emirates	2	1	0	0.00%	0.00%
United Kingdom	208	132	2	1.52%	0.66%
Uruguay	0	0	0	0.00%	0.00%
Vanuatu	82	73	0	0.00%	0.63%
Venezuela	8	4	1	25.00%	18.18%
Vietnam	0	0	0	0.00%	0.00%
<b>Total</b>	<b>11,955</b>	<b>7,673</b>	<b>153</b>	<b>1.99%</b>	<b>2.22%</b>

\* The 3-year detention ratios are determined by dividing total detentions by the total distinct vessel arrivals over the past 3 years.

**PART A: Table 3****List of Targeted Flag States**

The following Flag State Administrations were identified as having a detention ratio higher than the overall average and were associated with more than one detention in the previous three years. The detention ratios are based on data from the previous three years (2001, 2002, and 2003). The overall flag State performance, based on the 3-year rolling average, improved again this year with the overall detention ratio dropping from 2.40% to 2.22%.

<b>Flag State</b>	<b>Detention Ratio</b>	<b>Flag State</b>	<b>Detention Ratio</b>
Algeria	20.83%	Lithuania	5.41%
Antigua & Barbuda	2.84%	Malta	3.53%
Bolivia	22.22%	Mexico	19.35%
Belize	7.55%	Netherlands Antilles	3.38%
Brazil	14.63%	Panama	3.11%
Cambodia	41.67%	Republic of Korea	3.11%
Cayman Islands	3.17%	Saint Vincent and the Grenadines	11.48%
Croatia	4.76%	Turkey	5.71%
Cyprus	2.91%	Ukraine *	8.70%
Honduras	6.52%	Venezuela	18.18%
India	2.65%		

\* Countries that were not on the list in 2003

<b>Flag States Removed From the List in 2003</b>		
<b>Flag State</b>	<b>Number of Detentions 2001-2003</b>	<b>2001-2003 Detention Ratio</b>
Bulgaria **	1	4.35%

\*\* Countries that only had one detention in previous 3 years, and therefore, are removed from the list

## PART A: Table 4

## Classification Society Performance Statistics

The following spreadsheet provides a breakdown of distinct arrivals and detentions for all classification societies associated with vessel arrivals in the United States.

Company	Class Abbr	Distinct Vessel Arrivals				Class-Related Detentions					Ratio	
		2001	2002	2003	Total	2001	2002	2003	Total			
<u>American Bureau of Shipping</u>	<u>ABS</u>	886	1,112	1,151	<b>3149</b>	1	0	0	<b>1</b>	0.03%	<b>0 Points</b>	
<u>Bulgarski Koraben Registar</u>	<u>BKR</u>	7	6	7	<b>20</b>	0	0	0	<b>0</b>	0.00%		
<u>Bureau Veritas</u>	<u>BV</u>	614	605	758	<b>1977</b>	2	2	0	<b>4</b>	0.20%		
<u>China Classification Society</u>	<u>CCS</u>	143	154	240	<b>537</b>	0	0	0	<b>0</b>	0.00%		
<u>China Corporation Register of Shipping</u>	<u>CR</u>	26	28	46	<b>100</b>	0	0	0	<b>0</b>	0.00%		
<u>Croatian Register of Shipping</u>	<u>CRS</u>	35	22	23	<b>80</b>	0	0	0	<b>0</b>	0.00%		
<u>Det Norske Veritas</u>	<u>DNV</u>	1,345	1,211	1,728	<b>4284</b>	1	1	0	<b>2</b>	0.05%		
<u>Germanischer Lloyd</u>	<u>GL</u>	744	746	828	<b>2318</b>	2	2	1	<b>5</b>	0.22%		
<u>Indian Register of Shipping</u>	<u>IRS</u>	40	22	12	<b>74</b>	0	0	0	<b>0</b>	0.00%		
<u>Lloyd's Register</u>	<u>LR</u>	1,340	1,261	1,376	<b>3977</b>	2	2	0	<b>4</b>	0.10%		
<u>Nippon Kaiji Kyokai</u>	<u>NKK</u>	1,683	1,653	1,544	<b>4880</b>	1	0	0	<b>1</b>	0.02%		
<u>Panama Bureau of Shipping</u>	<u>PBS</u>	2	0	2	<b>4</b>	0	0	0	<b>0</b>	0.00%		
<u>Panama Maritime Surveyors Bureau</u>	<u>PMS</u>	3	0	1	<b>4</b>	0	0	0	<b>0</b>	0.00%		
<u>Registro Italiano Navale</u>	<u>RINA</u>	146	114	153	<b>413</b>	0	0	0	<b>0</b>	0.00%		
<u>Romanian Naval Authority</u>	<u>ANR</u>	1	0	1	<b>2</b>	0	0	0	<b>0</b>	0.00%		
<u>Korean Register of Shipping</u>	<u>KRS</u>	158	147	146	<b>451</b>	1	0	0	<b>1</b>	0.22%		
<u>Russian Maritime Register of Shipping</u>	<u>RS</u>	137	118	127	<b>382</b>	3	1	1	<b>5</b>	1.31%	<b>5 Points</b>	
<u>Hellenic Register of Shipping</u>	<u>HRS</u>	1	8	31	<b>40</b>	0	0	1	<b>1</b>	2.50%	<b>Priority 1</b>	
<u>Honduras Int'l Naval Survey &amp; Insp Bureau</u>	<u>HINSB</u>	18	3	21	<b>42</b>	1	3	1	<b>5</b>	11.90%		
<u>INCLAMAR</u>	<u>INCLAMAR</u>	1	1	0	<b>2</b>	1	1	0	<b>2</b>	100.00%		
<u>International Register of Shipping</u>	<u>IROS</u>	9	7	9	<b>25</b>	0	0	3	<b>3</b>	12.00%		
<u>Isthmus Bureau of Shipping</u>	<u>IBS</u>	4	4	11	<b>19</b>	1	1	2	<b>4</b>	21.05%		
<u>Panama Maritime Documentation Service</u>	<u>PMDS</u>	15	10	21	<b>46</b>	0	3	4	<b>7</b>	15.22%		
<u>Panama Register Corporation</u>	<u>PRC</u>	9	2	0	<b>11</b>	1	0	0	<b>1</b>	9.09%		
<u>Panama Ship Register</u>	<u>PSR</u>	3	3	3	<b>9</b>	1	2	0	<b>3</b>	33.33%		
<u>Phoenix Register of Shipping</u>	<u>PHRS</u>	0	2	1	<b>3</b>	0	1	0	<b>1</b>	33.33%		
<u>Polski Rejestr Statkow</u>	<u>PRS</u>	53	33	36	<b>122</b>	1	1	1	<b>3</b>	2.46%		

\* Class-Related detentions are those detentions that were determined to have been related to class society activities. This determination was made by headquarters personnel, using broad guidelines described in Appendix 1.

The following guidelines explain point assignment as they relate to detention ratios above.

- A detention ratio less than 0.5% = 0 points
- A detention ratio equal to 0.5% or less than 1% = 3 points
- A detention ratio equal to 1% or less than 2% = 5 points
- A detention ratio equal to or greater than 2% = Priority 1

**PART A: Table 5 Quality Shipping for the 21<sup>st</sup> Century (Qualship 21)**

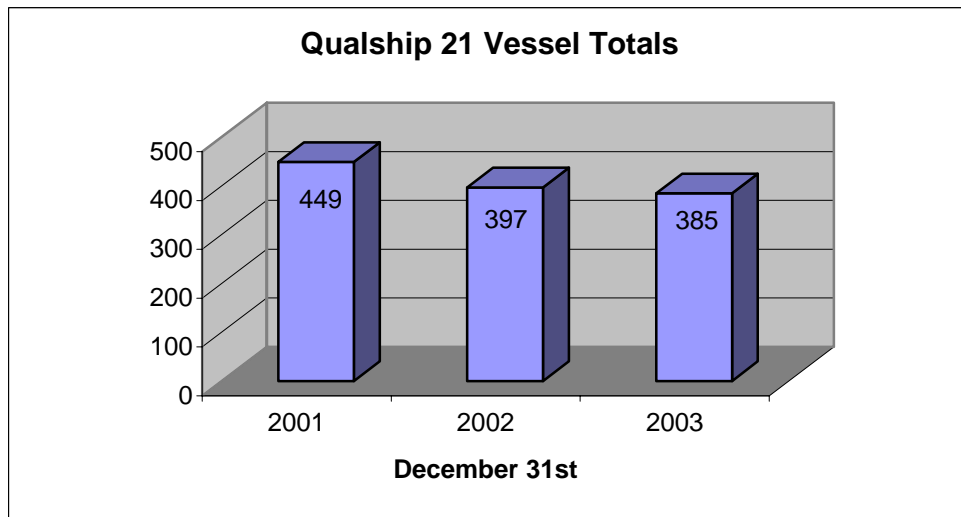
The Quality Shipping for the 21<sup>st</sup> Century program, or Qualship 21, was created to recognize and reward vessels' commitment to safety and quality. To encourage maritime entities to participate, incentives are given to participants, such as certificates, name recognition, and a reduction in PSC examination frequency. Part of the eligibility criteria to be enrolled as a Qualship 21 vessel is for the Flag State to be qualified. The tables below provide that information. For more information about eligibility or exit criteria, please consult our Qualship 21 web page at: <http://www.uscg.mil/hq/g-m/pscweb/qualship.htm>

The Qualship 21 program ended 2003 with a total enrollment of 385 vessels, which is a slight decrease of 3% from last year. Total enrollments increased in October after Barbados became immediately eligible for the program by submitting a copy of their Self Assessment Form (SAF). In addition, the outlook for 2004 is very positive. IMO detentions of foreign vessels continued to decline for U.S. ports and a record number of flag states fell below the Qualship 21 requisite 1% detention rate (based on a three year running average) during the annual review of 2003 statistics.

Greece, Hong Kong, and Singapore had excellent 2003 U.S. Port State Control records and subsequently met the program's 1% detention qualifying criterion. Because copies of the required SAF's were already on file, Qualship 21 immediately recognized the new qualifiers.

<b>Qualifying Flag States as of March 1<sup>st</sup>, 2004</b>	
Barbados	Luxembourg
Bermuda*	Netherlands
Denmark	Norway
Gibraltar	Singapore
Greece	Sweden*
Hong Kong	United Kingdom
Isle of Man	Vanuatu

\* Flag state is exempt from Qualship 21 detention percentage criteria under the 1 detention in 3-year exception. Flag states recognized by Qualship 21 that do not exceed one IMO detention over the latest three-year period remain eligible for the program.



**PART A: Table 6****Examinations and Detentions by Port**

<b>Port</b>	<b>Coast Guard District</b>	<b>Examinations</b>	<b>Detentions</b>
Anchorage, Alaska	17	130	4
Baltimore, Maryland	5	280	1
Boston, Massachusetts	1	234	0
Buffalo, New York	9	226	0
Charleston, South Carolina	7	139	5
Chicago, Illinois	9	5	0
Cleveland, Ohio	9	32	0
Corpus Christi, Texas	8	745	1
Detroit, Michigan	9	12	0
Duluth, Minnesota	9	58	2
Guam	14	92	0
Hampton Roads, Virginia	5	236	4
Honolulu, Hawaii	14	214	1
Houston, Texas	8	1,734	7
Jacksonville, Florida	7	299	13
Juneau, Alaska	17	102	1
Long Island, New York	1	144	1
Los Angeles, California	11	824	2
Miami, Florida	7	485	29
Milwaukee, Wisconsin	9	23	0
Mobile, Alabama	8	343	4
Morgan City, Louisiana	8	203	0
New Orleans, Louisiana	8	854	21
New York, New York	1	816	6
Philadelphia, Pennsylvania	5	497	6
Port Arthur, Texas	8	149	0
Portland, Maine	1	171	0
Portland, Oregon	13	454	2
Providence, Rhode Island	1	132	1
Puget Sound, Washington	13	652	0
San Diego, California	11	65	2
San Francisco, California	11	283	7
San Juan, Puerto Rico	7	510	18
Sault Ste Marie, Michigan	9	1	0
Savannah, Georgia	7	316	7
Tampa, Florida	7	275	4
Toledo, Ohio	9	16	1
Valdez, Alaska	17	1	1
Wilmington, North Carolina	5	203	2
<b>Total</b>		<b>11,955</b>	<b>153</b>

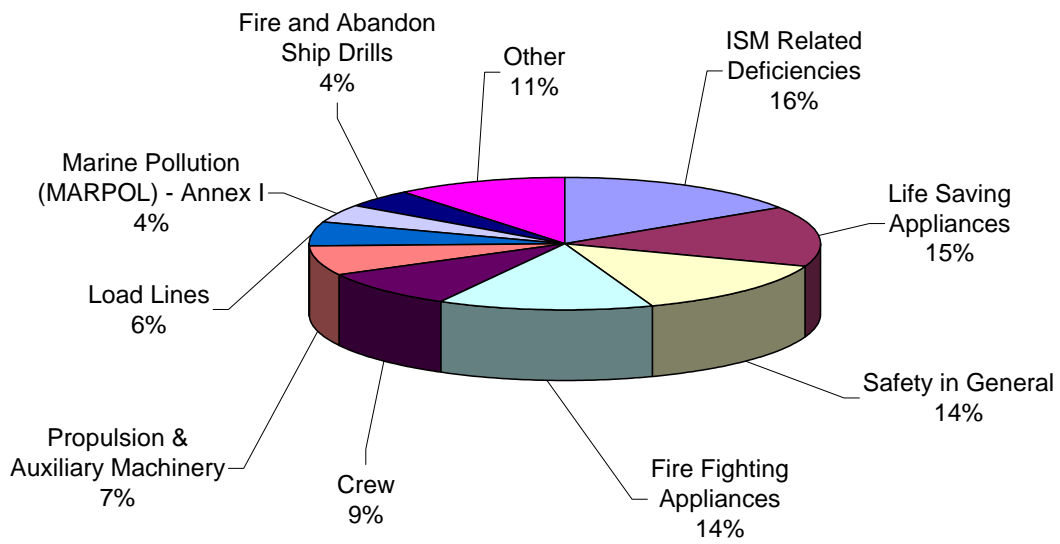
**PART A: Table 7****Regional Statistics****U. S. Coast Guard Districts**

	1st	5th	7th	8th	9th
Ship Visits	6,913	7,117	14,005	19,500	1,124
Number of Examinations	1,497	1,216	2,024	4,028	373
Number of Detentions	8	13	76	33	3
Priority 1	1	1	21	7	0
Priority 2	6	10	41	23	0
Priority 3	1	2	9	1	2
Priority 4	0	0	5	2	1

**U. S. Coast Guard Districts**

	11th	13th	14th	17th	Total
Ship Visits	7,314	3,464	846	1,039	61,322
Number of Examinations	1,172	1,106	306	233	11,955
Number of Detentions	11	2	1	6	153
Priority 1	0	0	1	3	34
Priority 2	10	2	0	2	94
Priority 3	1	0	0	1	17
Priority 4	0	0	0	0	8

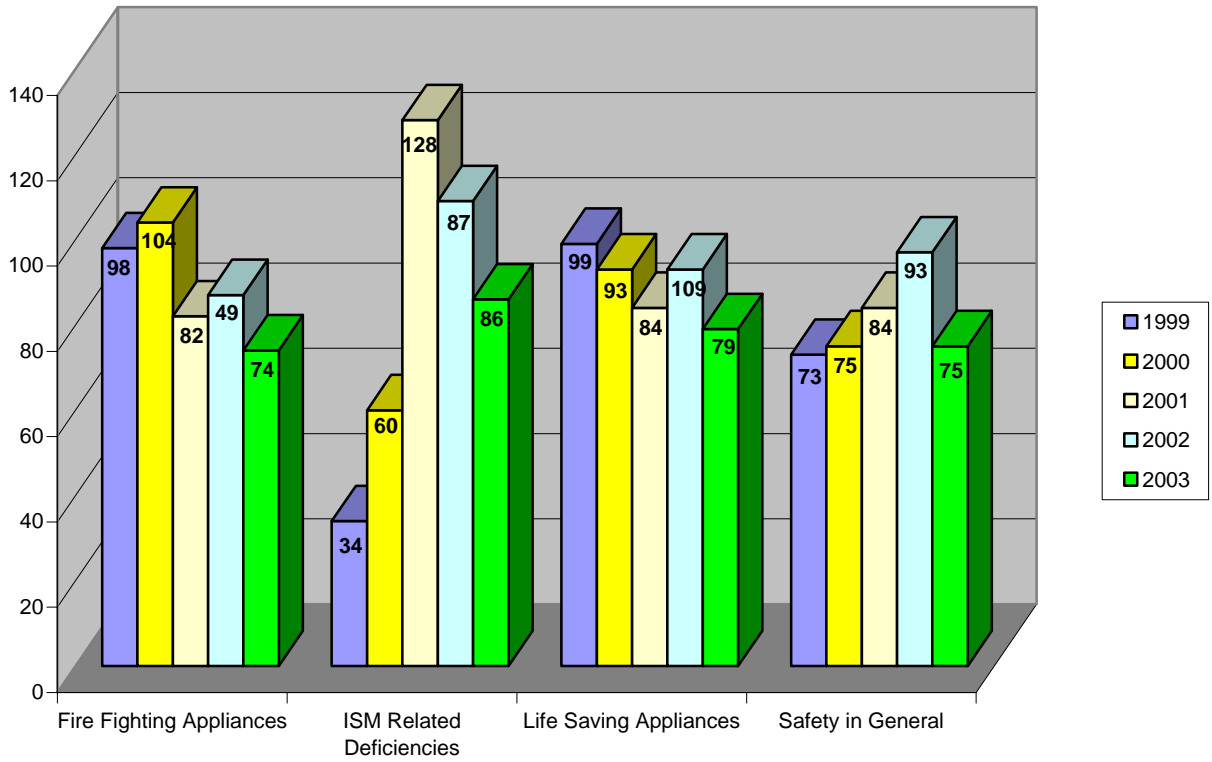
**PART A: Figure 1 Deficiencies Found on Detained Vessels by Category**





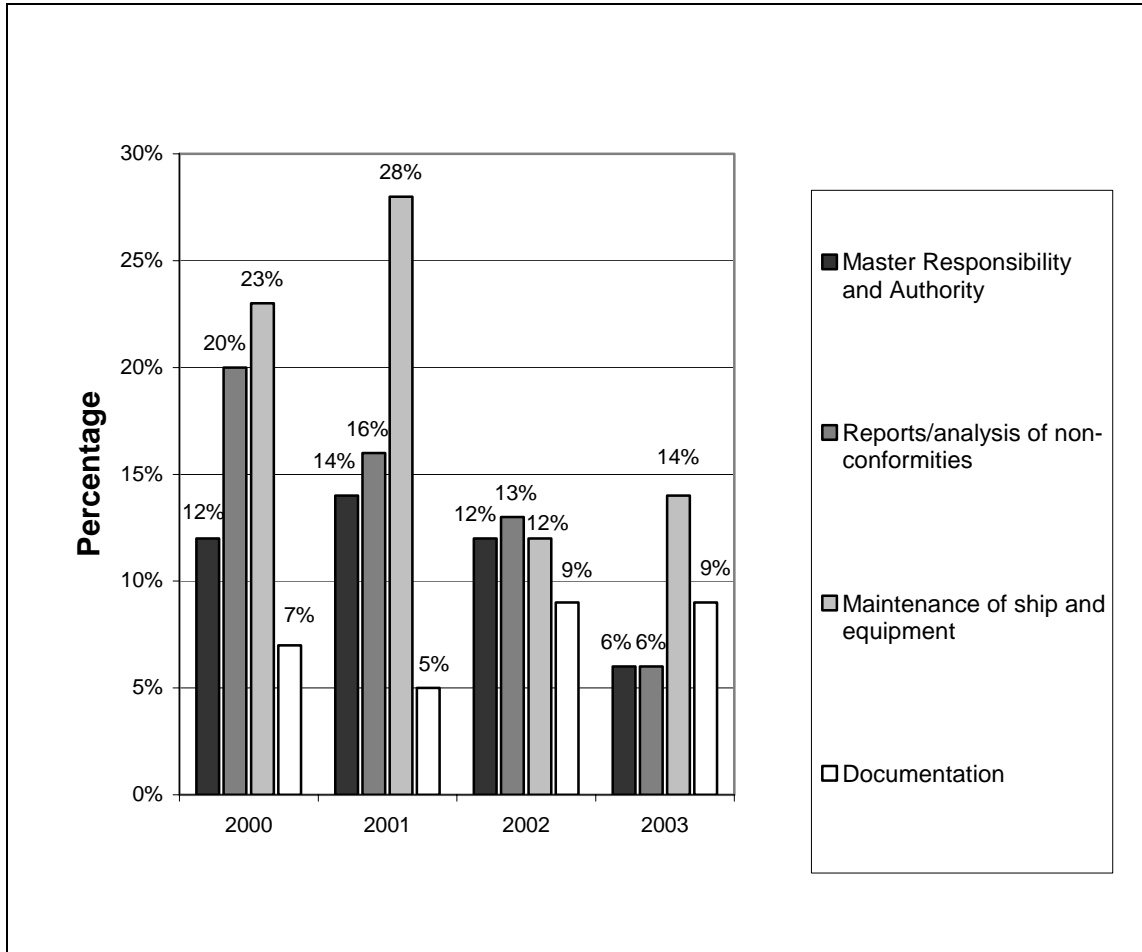
**PART A: Figure 2**

**Deficiencies Representing the Highest Frequency of Detention**



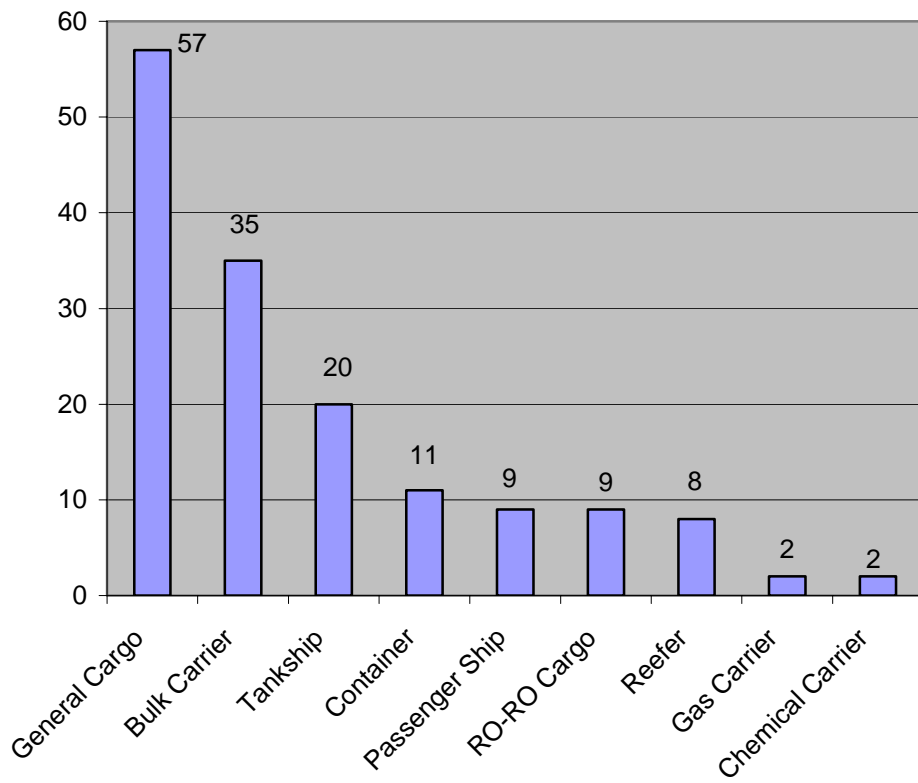
**PART A: Figure 3**

**ISM Deficiencies by Type and Frequency**



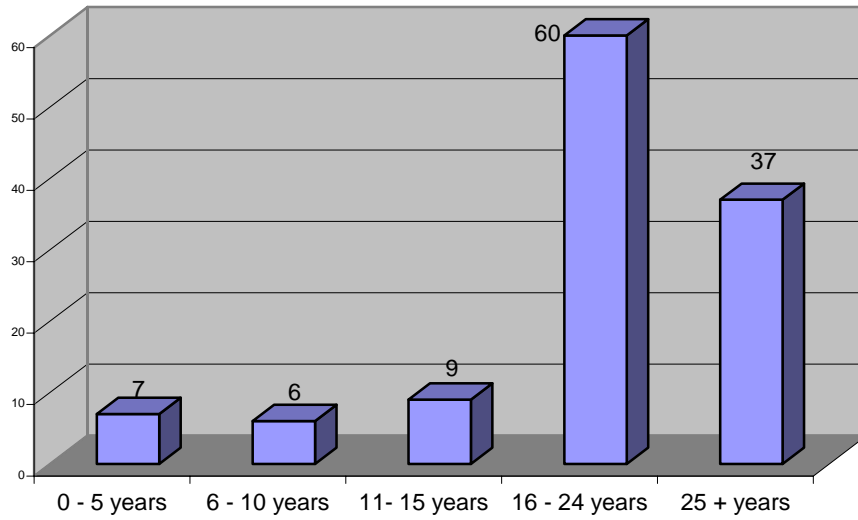
**PART A: Figure 4**

**Detentions by Vessel Type**



**PART A: Figure 5**

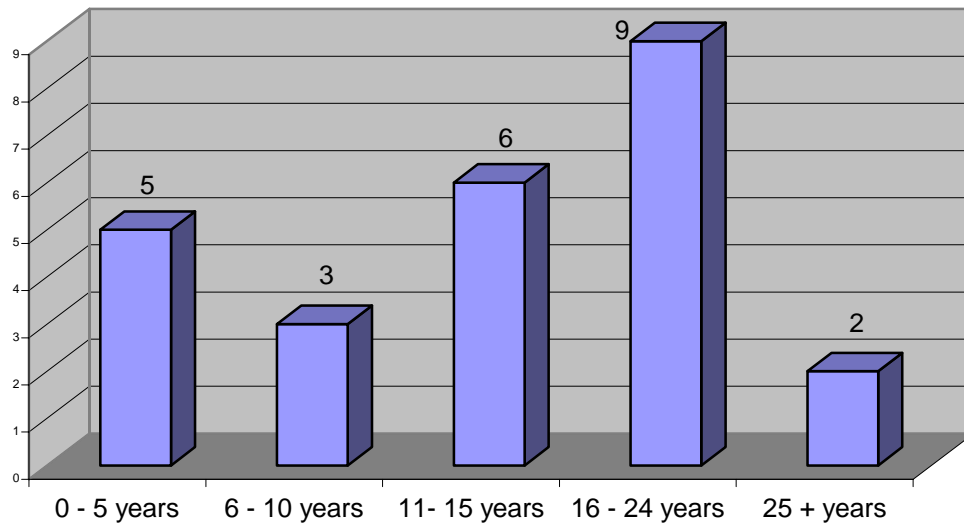
**Detentions on Freight Ships by Age**



Total Number of Freight Ship Detentions = 119

**PART A: Figure 6**

**Detentions on Tank Ships by Age**



Total Number of Tank Ship Detentions = 25

# IV. PART A: Marine Safety Appendices

## **Part A: Appendix 1 Class Society Filtering Guidelines for Safety**

All non-U.S. flagged vessel detention reports are sent to Coast Guard Headquarters for review and forwarded to the International Maritime Organization (IMO). During the review process, a decision is made as to whether the detention was related to statutory activities conducted by the class society on behalf of the vessel's Flag State. At the end of each calendar year, the performance of each class society is evaluated by determining their class-related detention ratio. The following guidelines are used to determine if a vessel detention is class related:

1. If the vessel was detained within 90 days of an applicable survey (or, initial, intermediate, periodic or renewal verification for ISM) performed by a class society (or, recognized organization for ISM), the following detainable deficiencies or ISM Code non-conformities will be considered class-related:
  - a. Equipment deficiencies (e.g., missing or improperly maintained equipment)
  - b. Serious wastage or structural deficiencies
  - c. Lack of effective and systematic implementation of a requirement of the ISM Code
2. The following detainable deficiencies will be considered class-related regardless of the elapsed time from the last applicable survey:
  - a. Equipment that was outdated or not serviced at the time of the last class survey (e.g., expired flares, not serviced fire extinguishing systems)
  - b. Long standing, serious wastage or structural deficiencies

The following deficiencies will not be considered class-related:

1. Voyage damage, unless other class-related deficiencies are noted during the course of the damage survey
2. Missing a small quantity of highly pilferable equipment, such as fire hose nozzles or fire extinguishers
3. Expired Certificates, unless the certificates were not issued or endorsed properly
4. Manning issues
5. Failure of human factor issues, such as operational drills and tests

The class society, or recognized organization, shall be notified in writing of each class-related detention, and informed of their appeal rights. When determining elapsed time between detention and survey, the actual date of class survey shall be used instead of the date the Certificate was issued.

## **Part A: Appendix 2 Appeal Guidelines for Safety Related Detentions**

Any party associated with a Port State Control related detention that wishes to dispute the validity or their association with the detention should follow the appeal procedures outlined in Title 46, Code of Federal Regulations, Subpart 1.03. Associated parties may appeal any detention within 30 days of notification. Appeals must be submitted in written format. If submitting a class-related detention appeal, forward appeal letter and mitigating evidence to G-MOC-2 (address on back cover). All other detentions must be appealed first to the cognizant OCMI/COTP who issued to the detention order. For unit and district addresses, please refer to list and web addresses near the back of this report. If not satisfied with an OCMI/COTP decision on appeal, appeals may be forwarded to the District Commander and finally to G-MOC for final agency action.

**Part A: Appendix 3 Port State Control Boarding Priority Matrix**

<b>SHIP MANAGEMENT**</b>	<b>FLAG**</b>	<b>CLASS**</b>	<b>HISTORY</b>	<b>SHIP TYPE</b>
<p><b>5 Points</b> Listed Owner, Operator, or Charterer</p>	<p><b>7 Points</b> Listed Flag State</p>	<p><b>Priority 1</b> A detention ratio equal to or greater than 2% <b>5 Points</b> A detention ratio equal to 1% or less than 2% <b>3 Points</b> A detention ratio equal to 0.5% or less than 1% <b>0 Points</b> A detention ratio less than 0.5%</p>	<p><b>Priority II</b> First Time to U.S. <b>5 Points</b> Detention within the previous 12 months <b>1 Point Each</b> Other Operational control within the previous 12 months <b>1 Point Each</b> Casualty within the previous 12 months <b>1 Point Each</b> Violation within the previous 12 months <b>1 Point Each</b> Not boarded within the previous 6 months</p>	<p><b>1 Point</b> Oil or chemical Tanker <b>1 Point</b> Gas Carrier <b>2 Points</b> Bulk Freighter over 10 years old <b>1 Point</b> Passenger Ship <b>2 Points</b> Carrying low value commodities in bulk.</p>

\*\*Please refer to website to obtain point assignment information: <http://www.uscg.mil/hq/g-m/pscweb/index.htm> and the monthly PSC message published for internal use only.

**Priority I Vessel (PI):**

- 17 or more points on the Matrix, or
- ships involved in a marine casualty that may have affected seaworthiness, or
- USCG Captain of the Port determines a vessel to be a potential hazard to the port or the environment, or
- ships whose classification society has a detention ratio equal to or greater than 2%.
- Port entry may be restricted until vessel is examined by the Coast Guard.

**Priority II Vessel (PII):**

- 7 to 16 points on the Matrix, or
- outstanding requirements from a previous boarding in this or another U.S. port, or the vessel is overdue for an annual tank or passenger exam.
- Cargo operations or passenger embarkation/debarkation should be restricted until vessel is examined by the Coast Guard.

**Non-Priority Vessel (NPV):**

- 6 points or fewer points on the Matrix,
- Vessel is a low risk, and will probably not be boarded.

**Downgrade Clause:** If a vessel has scored either a PI or PII based on points or association, and has had a USCG PSC examination within the past 6 months with no serious deficiencies, it may be downgraded to an NPV. If vessel downgraded, it must be considered for the pool of random boardings.

# IV. PART B: Marine Security Appendices: Draft Format of Security-Related Statistical Information

**PART B: Table 1 Flag State Control Action Ratios**

The following Control Action Ratios (CAR) are calculated based on the previous 3-year performance of each Flag State. This ratio is calculated centrally by Coast Guard Headquarters Office of Compliance (G-MOC-2) using a CAR formula listed below:

$$\text{CAR} = \frac{\text{\# of major ISPS/MTSA-related control actions} \times 100}{\text{\# of ISPS/MTSA examinations}}$$

Major control actions include security-related denials of entry or expulsions from port, as well as security related detentions, within the period of interest. G-MOC-2 assigns points for the ISPS/MTSA Boarding Priority Matrix based on the CAR.

Flag State	Points on ISPS/MTSA Boarding Priority Matrix
Flag State B*	7
Flag State C*	7
Flag State F*	2

\* Countries that were not on the list in 2003

Point Assignment Removed from the Following Flag States
Flag State T **
Flag State X **

\*\* Countries whose CAR fell below xx%, therefore are removed from the ISPS point assignment list above.

**PART B: Table 2 Recognized Security Organization Performance Statistics (RSO)**

Recognized Security Organization	RSO Abbr	Total Number of ISPS/MTSA Examinations				Point Assignment on ISPS/MTSA Boarding Priority Matrix
		2001	2002	2003	Total	
Recognized Security Organization A	RSO A	XXX	XXX	XXX	XXX	ISPS I
Recognized Security Organization B	RSO B	XXX	XXX	XXX	XXX	5 Points
Recognized Security Organization C	RSO C	XXX	XXX	XXX	XXX	2 Points

Formula for calculating  

$$\text{RSO Control Action Ratio} = \frac{\text{\# of Major Control Actions (attributable to the RSO)} \times 100}{\text{\# of ISPS/MTSA Examinations}}$$

Major Control Action: Include security related denials of entry or expulsions from port and ISPS related detentions attributable to the RSO within the period of interest.

Guidelines for Recognized Security Organization point assignment based on Control Action Ratio:

- A Control Action Ratio less than xx% = 0 points
- A Control Action Ratio equal to xx% or less than xx% = 2 points
- A Control Action Ratio equal to xx% or less than xx% = 5 points
- A Control Action Ratio equal to or greater than xx% = ISPS I

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**FOR 2004 REPORT**

# IV. PART B: Marine Security Appendices

## **Part B: Appendix 1      Recognized Security Organization Filtering Guidelines for Security**

All major control actions (i.e. denial of entry, expulsion or ISPS detention) imposed upon non-U.S. flagged vessels are reported to Coast Guard Headquarters (G-MOC-2) for review and then forwarded to the International Maritime Organization (IMO). During the review process, G-MOC-2 determines whether the major control action was related to the statutory activities conducted by the Recognized Security Organization (RSO) on behalf of the vessel's Flag State. At the end of each calendar year, the performance of each RSO is evaluated by determining their Control Action Ratio (CAR). The following guidelines are used to determine if a major control action is RSO related:

1. 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:
  - a. Serious deficiencies relating to security equipment or arrangement (e.g., missing or improperly maintained equipment)
  - b. Lack of effective and systematic implementation of a requirement of the Ships Security Plan.
  - c. Ineffective Ship Security Plan (after review of RSO)
  - d. Other numerous security deficiencies within the 90-day window
2. The following detainable deficiencies will be considered RSO-related regardless of the elapsed time from the last applicable survey:
  - a. Long-standing, serious deficiencies relating to security

The following deficiencies will not be considered RSO-related:

1. Expired Certificates, unless the certificates were not issued or endorsed properly
2. Crew Anomalies (individual incompetence, unaccounted personnel, fraudulent certificates)
3. Failure of human factor issues, such as operational drills and tests

The recognized security organization shall be notified in writing by G-MOC-2 of each RSO-related major control action, and informed of their appeal rights. When determining elapsed time between the major control action and survey, the actual date of RSO survey shall be used instead of the date the Certificate was issued.

## **Part B: Appendix 2      Appeal Guidelines for Security Related Detentions**

Any party associated with a Major Control Action that wishes to dispute the validity or their association should follow the appeal procedures outlined in Title 46, Code of Federal Regulations, Subpart 1.03. Associated parties may appeal any detention within 30 days of notification. Appeals must be submitted in written format. If submitting an RSO-related major control action appeal, forward appeal letter and mitigating evidence to G-MOC-2 (address on back cover). All other major control actions must be appealed first to the cognizant OCMI/COTP who issued to the order. For unit and district addresses, please refer to list and web addresses near the back of this report. If not satisfied with an OCMI/COTP decision on appeal, appeals may be forwarded to the District Commander and finally to G-MOC for final agency action.



**Part B: Appendix 3**

**ISPS/MTSA Boarding Priority Matrix**

<b>COLUMN I</b> SHIP MANAGEMENT	<b>COLUMN II</b> FLAG STATE	<b>COLUMN III</b> RECOGNIZED SECURITY ORGANIZATION	<b>COLUMN IV</b> SECURITY COMPLIANCE HISTORY
<p><b><i>ISPS I</i></b></p> <p>Owner, operator, charterer associated w/ ISPS-related denial of entry/expulsion from port in past 12 months *</p> <p><b>5 Points</b></p> <p>Owner, Operator, or Charterer has a CAR of 5 percent or more or is on the G-MOC Targeted Ship Management List</p> <p><b>2 Points</b></p> <p>Owner, Operator, or Charterer has a CAR of 1 percent, and up to 5 percent</p> <p><b>2 Points</b></p> <p><i>Owner, Operator, or Charterer associated w/ 10 or fewer vessel examinations in the past 3 years beginning 1 July 2004</i></p>	<p><b>7 Points</b></p> <p>Flag State has a CAR of 5 percent or more</p> <p><b>2 Points</b></p> <p>Flag State has a CAR from 1 percent to 5 percent</p> <p><b>2 Points</b></p> <p><i>Flag State associated w/ 20 or fewer vessel examinations in the past 3 years beginning 1 July 2004</i></p>	<p><b><i>ISPS I</i></b></p> <p>RSO has a CAR of 5 percent or more</p> <p><b>5 Points</b></p> <p>RSO has a CAR of 1 percent, and up to 5 percent</p> <p><b>2 Points</b></p> <p>RSO has a CAR of 0.5 percent, and up to 1 percent</p> <p><b>2 Points</b></p> <p><i>RSO associated w/ 20 or fewer vessel examinations in the past 3 years beginning 1 July 2004</i></p> <p>Note: Use RSO attribution process for flag States not using RSOs</p>	<p><b><i>ISPS I</i></b></p> <p>ISPS-related denial of entry/expulsion from port in past 12 months *</p> <p><b><i>ISPS II</i></b></p> <p><i>No ISPS compliance examination within the past 12 months</i></p> <p><b>5 Points</b></p> <p>Vessel has a CAR of 1 percent or more</p> <p><b>2 Points</b></p> <p>Vessel has a CAR of 0.5 percent, and up to 1 percent</p> <p><b>2 Points</b></p> <p><i>More than one, but 10 or fewer ISPS Compliance examinations in the past 3 years beginning 1 July 2004</i></p> <p><b>1 Point</b></p> <p>For each occurrence of any operational control assigned w/ past 12 months</p>

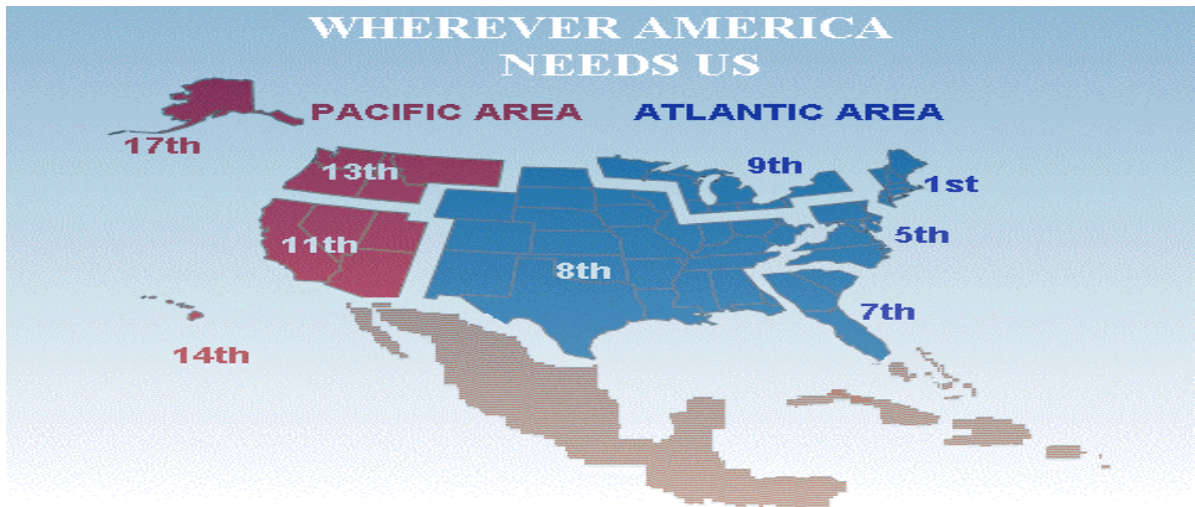
*Italics indicate applicable scoring criteria at the onset of MTSA/ISPS enforcement. Non-italicized criteria will require time to develop sufficient owner, operator, charterer, Flag, RSO, and vessel history*

\* Depending upon circumstances of denial of entry, COTP may relax assignment to ISPS II. Also, if denial of entry due solely to failure to provide NOA, assign 2 points

Vessels that score 17 points or higher are ISPS I vessels and must be boarded prior to port-entry.

Vessels that score between 7-16 points are ISPS II vessels and need not be examined prior to entry but should be examined upon port arrival.

Vessels scoring fewer than 7 points are ISPS III vessels and need not be boarded unless selected at random for random MTSA/ISPS examination.



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