United States Coast Guard

FOREIGN PASSENGER VESSEL PERIODIC CERTIFICATE OF COMPLIANCE EXAM PROCESS GUIDE

Name of Vessel		Flag	
Call Sign	**Gross Tonnage**	**Deadweight**	**Keel Laid Date**

Propulsion Type Diesel Electric ☐		**Dual Fuel** ☐	**Other** ☐
Ballast Water Management System ☐ **Approval No.**		**Alternative Management System** ☐	
Maximum Passengers		**Maximum Persons**	

Port State Control Officers & Examiners	
Team 1 Certified: Trainee(s):	**Team 2** Certified: Trainee(s):
Team 3 Certified: Trainee(s):	**Team 4** Certified: Trainee(s):

Use of the Periodic COC Exam Process Guide

This book is to be used by Coast Guard Port State Control (PSC) Officers and Examiners during Periodic Certificate of Compliance (COC) examinations of foreign passenger vessels. It contains the items that should be examined during an exam as outlined in 5PTI-WI-CSNCOE-005(series), Guidance for Conducting Periodic COC Examinations. PSCO(s) may expand the scope of any exam when there are clear grounds for believing that the condition of the vessel or its equipment does not correspond substantially with the particulars of the certificates. Additionally, PSCO(s) should examine the vessel for any modifications affecting the vessel's structural fire protection and means of escape completed without approval by the Flag Administration or reviewed by the USCG Marine Safety Center.

This job aid and corresponding Work Instruction specify requirements for the most recent editions of the relevant conventions, which may not apply due to the keel laid date of the vessel. The PSC team must pay close attention to the applicability dates when entering deficiency cites in the Scorecard. Observations that cannot be linked to the specific statutory requirements should be further investigated in relation to the vessel's Safety Management System for potential noncompliance.

Duty to Record Deficiencies

All deficiencies identified by the PSC Team during an exam should be entered into the Scorecard for recording on the CG-5437B (Form B) and in the activity inspections results. This includes deficiencies rectified prior to the PSC Team's departure (i.e., Code 10C). Code 17, 30, and 60 deficiencies should be entered in the Scorecard with that code and may be cleared on the Form B with pen and ink changes after printing if a deficiency is rectified before the exam team departs. Additionally, the original code entry should be used in MISLE and then marked as resolved.

Exam Prep Key

Team	Exam Location & Items to be Prepared	Drills Location
1	*Navigation Bridge* ○ Certificates & manuals available ○ Training & drills records available ○ Environmental procedures & records available ○ Security records available	*Fire:* Bridge/Safety Center ○ Decision Support System ○ Communications *Passenger Evacuation:* Bridge/Safety Center ○ GA/PA ○ Safety Briefing *Abandon Ship:* Inboard fwd embarkation deck
2	*Upper Accommodation Decks (i.e., passenger cabins, pools decks, spas, salons, fitness centers, youth clubs, VIP lounges, restaurants, galleys)* ○ Means of escape plans available ○ Space Categorization plans available ○ Master key available	*Fire:* Staging Area ○ Fire Team(s) ○ Response Teams ○ Communications *Passenger Evacuation:* Stairways & corridors ○ Crowd Management ○ Seach accommodation & public spaces *Abandon Ship*: Outboard fwd embarkation deck
3	*Lower Accommodation Decks (i.e., passenger cabins, shops, entertainment venues, restaurants, galleys)* ○ Means of escape plans available ○ Space Categorization plans available ○ Master key available	*Fire:* On-scene ○ Fire Team(s) ○ Fireman outfits *Passenger Evacuation*: Stairways & corridors ○ Crowd Management ○ Search of accommodation & public spaces *Abandon Ship*: Outboard fwd embarkation deck
4	*Engineering & Service Spaces (i.e., I-95, bunker stations, garbage rooms, medical center, workshops, laundries, crew cabins)* ○ Means of escape plans available ○ Space Categorization plans available ○ Master key available	*Fire:* Engine Control Room ○ Fire fighting system controls ○ Watertight door controls ○ Ventilation controls ○ Other active controls *Passenger Evacuation*: Muster stations ○ Crowd Management ○ Instructions posted *Abandon Ship*: Outboard aft embarkation deck

Opening Meeting

Introductions

Coast Guard Team		Ship's Leadership Team	
Timelines			
Expected completion of debarkation	Desired drill time	Completion of bunkering/dive ops	Scheduled departure time
Any other inspections, surveys, or servicing			
CBP, USPHS	Flag/RO	Equipment servicing	
Exam preparation questions			
Have any of the conditions of the ship or crew changed since your email report?			
Are there any areas of the ship our team should avoid due to quarantine, maintenance, or repairs?			
Are there any work projects or maintenance we should know about before we begin our exam?			
Will the ship be able to lower all outboard lifeboats and rescue boats?			
Can you energize the emergency lighting circuit and low-location lighting for the duration of the exam?			
Number of decks		Number of Main Vertical Zones	
Is there a designated area for our team to consult and report during the exam?			
Do you have any questions regarding the scope or timing of today's COC exam?			

<u>**DRILLS**</u>

1. <u>**Fire Drills**</u>
   - ☐ Verify the ship's drill meets SOLAS functional requirements.

- ☐ Verify the master and crew follow the recommended actions for the fire emergency.
- ☐ Staging area communications and teams report for duties.
- ☐ Fireman's outfits contain protective clothing, boots, helmet, flashlight, axe, SCBA, and communication system.
- ☐ System monitoring/controls in ECR.

2. Passenger Evacuation
- ☐ Summoning of crew & passengers using GA or PA
- ☐ Safety briefing
- ☐ Proficiency of crew assigned to passenger evacuation duties
  - o Ability to give clear orders
  - o Ability to manage passengers in corridors, staircases, and passageways
  - o Understanding the importance of and having the ability to maintain escape routes clear of obstructions
  - o Knowledge of methods available for the evacuation of disabled persons and persons needing special needs assistance (i.e., passengers with medical needs or children)
  - o Knowledge of methods for searching passengers accommodation and public spaces
- ☐ Muster station suitability for marshalling & instructing passengers, and has required markings and instructions posted
- ☐ Proficiency of crew assigned to muster stations
  - o Importance of keeping order
  - o Ability to use procedures for reducing and avoiding panic
  - o Ability to use passenger lists or devices for evacuation counts
  - o Importance of passengers being suitably clothed when mustering
  - o Ability to check passengers have donned their life jackets properly

3. Abandon Ship Drill
- ☐ Verify the ship's drill meets SOLAS functional requirements
- ☐ Proficiency of crew assigned to embarkation station duties
- ☐ Emergency lighting, embarkation ladder(s), descent devices
- ☐ Survival craft stowage and launching/recovery arrangements
- ☐ Survival craft fittings and equipment, including test of propulsion & steering
- ☐ Survival craft markings (i.e., retro-reflective material, capacity, boat identification)
- ☐ Proficiency of crew assigned to liferaft launching/embarkation, including liferaft inflation
- ☐ Proficiency of crew assigned to lifeboat & rescue boat launching/embarkation
- ☐ Proficiency of person in charge of survival craft
  - o Take charge of survival craft during & after launching
  - o Operate survival craft engine
  - o Manage survivors
  - o Use locating devices
  - o Apply first aid
- ☐ Launching of outboard lifeboats & rescue boats, including recovery of rescue boat

TEAM ONE

1. Hull Walk
- ☐ Draft Marks

- ☐ IMO Number
- ☐ Load Line Markings

2. Ship Certificates

☐ Certificates for MISLE Data Entry

Certificate Type	Issuing Agency	Issued By Port	Issued Date	Endorsed Date	Expired Date
Passenger Ship Safety Certificate (PSSC)					
International Load Line Certificate (ILLC)					
Safety Management Certificate (SMC)					
International Oil Pollution Prevention Certificate (IOPP)					
International Air Pollution Prevention Certificate (IAPP)					
International Ship Security Certificate (ISSC)					
Continuous Synopsis Record (CSR)					

- ☐ Certificate of Registry
- ☐ Classification Document
- ☐ International Tonnage Certificate
- ☐ ISM Document of Compliance
- ☐ Lifeboat/Tender Safety Certificate, if applicable
- ☐ Minimum Safe Manning Document
- ☐ Engine IAPP (EIAPP) & Supplements,
- ☐ for each engine
- ☐ International Energy Efficiency Certificate
- ☐ International Anti-Fouling System Certificate

3. Crew Training and Certification

6

- ☐ Crew licenses meets Minimum Safe Manning Document
- ☐ Endorsements
- ☐ Crowd Management Training
- ☐ Crisis Management & Human Behavior Training
- ☐ Fast Rescue Boat Training, if equipped
- ☐ Ship Security Officer

4. Logs, Records, and Manuals

- ☐ SOLAS exemptions, equivalents, or alternative arrangements
- ☐ Declaration of Security
- ☐ Declaration of Inspection
- ☐ Damage control & stability plans
- ☐ Training & drills logs (damage control, security, abandon ship, fire, emergency steering)
- ☐ MES party training (participation every 2 years)
- ☐ Maintenance/servicing records (liferaft/MES, lifesaving equipment, firefighting systems, firefighting equipment)
- ☐ SAR coordinator plan
- ☐ Ship's log
- ☐ Garbage Management plan
- ☐ Garbage disposal records, including hazardous wastes
- ☐ Shipboard Oil Pollution Emergency Plan
- ☐ Oil Record Book
- ☐ Non-Tank Vessel Response Plan
- ☐ Ballast Water Management Plan
- ☐ Shipboard Energy Efficiency Management Plan
- ☐ Sewage and Graywater Discharge Record Book (for Alaskan waters)
- ☐ ISPS records
- ☐ CVSSA records (log of complaints of crimes, crime scene preservation training)

5. Bridge Communications Arrangements

- ☐ Distress alert panel
- ☐ Global Distress and Safety System (GMDSS)
- ☐ VHF with Digital Selective Calling
- ☐ SARTs
- ☐ NAVTEX receiver
- ☐ EPIRB
- ☐ Two-way SAR radio for aeronautical frequencies
- ☐ Reserve battery power arrangement

TEAM TWO / TEAM THREE

1. Hull Walk

- ☐ Emergency lighting
- ☐ Side shell openings below MES

☐ Access Control   ☐ Security monitoring & comms

2. Crew Proficiency

All Crew

☐ Familiarity with ship safety procedures
☐ Familiarity with ship environmental protection procedures
☐ Familiarity with ship security procedures
☐ Familiarity with ship emergency response procedures
☐ Familiar with location & operation of fire-fighting system/appliances

Security Personnel

☐ Maintain conditions set out in ship security plan
☐ Recognition of security threats
☐ Undertake regular security inspections
☐ Proper usage of security equipment & systems

Able Seafarer

☐ Safe operation of deck equipment & machinery
☐ Occupational health & safety precautions
☐ Precautions to prevent pollution

3. Accommodations Walkthrough

☐ Visual examination of fire prevention, detection & suppression arrangements
☐ Non-combustible waste receptacles
☐ Stairways & corridors clear of furniture and obstacles
☐ Non-combustible furnishings on cabin balconies, or suppression & detection installed
☐ MARPLO V placards posted where passengers congregate
☐ CVSSA requirements (i.e., rails 42", peep holes, cabin door security, security guide)

4. Fire Boundaries

☐ Bulkhead & deck penetrations
☐ Space categorization (i.e., no combustibles in cat 10, no flammables in cat 7 or 13)
☐ Sauna (80C-120C): air gaps, outward opening doors, timer, dry pipe suppression
☐ Partial bulkheads on cabin balconies able to be opened by crew
☐ Fire doors
☐ Self-closing doors in MZV bulkheads, galley boundaries, or stairway enclosures

5. **Ventilation Systems**
   - ☐ Inspections hatches for dampers behind ceilings or linings
   - ☐ Damper controls outside the spaces being ventilated
   - ☐ Galley ventilation: grease traps, fixed firefighting, controls outside galley entrance (i.e., ventilation shutdowns, fire damper controls, fire extinguishing system controls)
   - ☐ Laundry ventilation: removable filters, remote damper controls & ventilation shutdowns

6. **Fire Fighting Systems**
   - ☐ Fire hydrants
   - ☐ Portable fire extinguishers
   - ☐ CO_2 control and storage locations
   - ☐ Water-mist nozzles & control stations

7. **General Emergency Alarm & Public Address Alarm**
   - ☐ GA audible throughout all accommodation and crew working spaces, and open decks
   - ☐ PA audible above ambient noise in all spaces where crew & passengers are present

8. **Means of Escape**
   - ☐ Escape routes clear of obstacles ($\geq$ 900 mm)
   - ☐ Two means of escape from each MVZ, similarly restricted spaces, or group of spaces
   - ☐ Stairways have direct access from corridors, and have handrails on each side
   - ☐ Escape route doors open in direction of escape route
   - ☐ Escape doors from public spaces that are normally closed are fitted with a means of qui
   - ☐ Emergency lighting, low location lighting, and signage

9. **Passenger Muster**
   - ☐ Safety briefing media & lifejacket donning instructions

TEAM FOUR

1. **Hull Walk**

☐ Condition of hull plating and overboard discharge fittings

2. Crew Proficiency
All Crew
☐ Familiarity with ship safety procedures
☐ Familiarity with ship environmental protection procedures
☐ Familiarity with ship security procedures
☐ Familiarity with ship emergency response procedures
☐ Familiar with location & operation of fire-fighting system/appliances

Medical personnel, designated to provide medical first aid
☐ Apply immediate first aid for accidents or illnesses (i.e., cardiac arrest, drowning, asphyxia, fractures, spinal injuries)
☐ Sexual assault procedures

Engineering watch officer
☐ Safety & emergency procedures, including change-over actions
☐ Maintenance & repair procedures
☐ Pollution prevention requirements & procedures
☐ Maintain seaworthiness of the ship
☐ Prevent, control, & fight fires on board

Engineering rating
☐ Safe working practices in engineering spaces
☐ Basic environmental protection procedures
☐ Engine room communications & alarm systems
☐ Operate emergency equipment & apply emergency procedures

3. Engineering Spaces Walkthrough
☐ Watertight boundaries
☐ Fire boundaries
☐ Fire safety systems
☐ Means of escape (i.e., trunks, EEBDs)
☐ Pollution prevention equipment

4. Accommodations Walkthrough
☐ Visual examination of fire prevention, detection & suppression arrangements
☐ Non-combustible waste receptacles

- ☐ Stairways & corridors clear of furniture and obstacles
- ☐ Non-combustible furnishings on cabin balconies, or suppression & detection installed
- ☐ MARPOL V placards posted where passengers congregate
- ☐ CVSSA requirements (i.e., rails 42", peep holes, cabin door security, security guide)

5. Medical Center
- ☐ Sexual assault procedures & equipment
- ☐ Automated External Defibrillator

6. Bunker Stations
- ☐ Transfer procedures
- ☐ Oil discharge containments, standard discharge connection, and transfer hoses

7. Garbage Handling Rooms
- ☐ MARPOL placards
- ☐ Collection, storage, processing, disposal, sorting, recycling procedures
- ☐ Hazardous garbage

<u>RO-RO PASSENGER SHIPS</u>

1. Hull Walk
- ☐ Shell door positions and correspond to bridge indicating panel

2. Crew Training and Certification
☐ Passenger Safety, Cargo Safety and Hull Integrity training for masters, chief mates, chief engineers, second engineers, and crew assigned to loading/unloading
☐ Fast Rescue Boat training for at least 2 crews of each fast rescue boat

3. Logs and Records
☐ Ship's log recording of last closing times of shell doors

4. Escape Routes
☐ Handrails in corridors
☐ Mimic plans showing "you are here"

5. Fire Safety Protection of Vehicle, Special Category, and Ro-Ro Spaces
☐ Power ventilation ≥ 10 air changes per hour (≥ 6 air changes if ≤ 36 passengers)
☐ Fixed fire detection & alarm and fixed fire-extinguishing systems
☐ Deck scuppers
☐ Portable extinguishers at each deck level
☐ Water-fog applicators & foam applicator in each ro-ro space

6. Fast Rescue Boat
☐ Condition, fittings, equipment, watertight hands-free VHF radio
☐ Propulsion & steering test

POLAR CODE SHIPS

1. Ship Certificates
☐ Polar Ship Certificate

2. Crew Training and Certification
☐ Basic and/or advanced training for masters & deck officers

3. Safety Arrangements
☐ Grab rails on cooking equipment, oil-tight lid for deep fat fryers
☐ Line-throwing apparatus for emergency towing
☐ Water & foam extinguishers not located where exposed to freezing temperatures
☐ Protective clothing & thermal insulating materials for passengers
☐ Personal survival kits & group survival kits, including annual inspections
☐ Manual inflation pump for liferafts

4. Navigation Arrangements
- ☐ 2nd independent echo-depth sounder
- ☐ Independent 3 GHz radar
- ☐ Two searchlights controllable from conning position
- ☐ Means to de-ice conning position windows
- ☐ Means to receive ice & weather charts and displaying ice imagery

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IGF CODE SHIPS

1. Crew Training and Certification
- ☐ Basic LFF training for seafarers responsible for designated safety duties
- ☐ Advanced LFF training for masters, engineering officers, & crew responsible for the care and use of fuels & fuel systems

2. Logs, Manuals, and Records
- ☐ Maintenance procedures for fuel containment & electrical equipment installed in hazardous locations
- ☐ Transfer procedures, emergency actions, bunker safety checklist, bunker delivery notes

3. Airlocks
- ☐ Mechanical ventilation with positive pressure
- ☐ No storage
- ☐ Self-closing doors
- ☐ Gas detector installed

Spaces		(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
Control stations	(1)	B-0 a	A-0	A-0	A-0	A-0	A-60	A-60	A-60	A-0	A-0	A-60	A-60	A-60
Stairways	(2)		A-0 a	A-0	A-0	A-0	A-0	A-15	A-15	A-0 c	A-0	A-15	A-30	A-15
Corridors	(3)			B-15	A-60	A-0	B-15	B-15	B-15	B-15	A-0	A-15	A-30	A-0
Evacuation stations and external escape routes	(4)					A-0	A-60 b,d	A-60 b,d	A-60 b,d	A-0d	A-0	A-60 b	A-60 b	A-60 b
Open deck spaces	(5)						A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0
Accommodation spaces of minor fire risk	(6)						B-0	B-0	B-0	C	A-0	A-0	A-30	A-0
Accommodation spaces of moderate fire risk	(7)							B-0	B-0	C	A-0	A-15	A-60	A-15
Accommodation spaces of greater fire risk	(8)								B-0	C	A-0	A-30	A-60	A-15
Sanitary and similar spaces	(9)									C	A-0	A-0	A-0	A-0
Tanks, voids, and auxiliary machinery spaces having little or no fire risk	(10)										A-0a	A-0	A-0	A-0
Auxiliary machinery spaces, cargo spaces, cargo and other oil tanks and similar spaces of moderate fire risk	(11)											A-0a	A-0	A-0
Machinery spaces and main galleys	(12)												A-0a	A-0
Store-rooms, workshops, pantries, etc.	(13)													A-0a
Other spaces in which flammable liquids are stowed	(14)													

Table 9.1: Bulkheads not bounding either main vertical zones or horizontal zones

Space below ↓	Space above →	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
Control stations	(1)	A-30	A-30	A-15	A-0	A-0	A-0	A-15	A-30	A-0	A-0	A-0	A-60	A-0	A-60
Stairways	(2)	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-30	A-0	A-30
Corridors	(3)	A-15	A-0	A-0a	A-60	A-0	A-0	A-15	A-15	A-0	A-0	A-0	A-30	A-0	A-30
Evacuation stations and external escape routes	(4)	A-0	A-0	A-0	A-0	-	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0
Open deck spaces	(5)	A-0	A-0	A-0	A-0	-	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0
Accommodation spaces of minor fire risk	(6)	A-60	A-15	A-0	A-60	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0
Accommodation spaces of moderate fire risk	(7)	A-60	A-15	A-15	A-60	A-0	A-0	A-15	A-15	A-0	A-0	A-0	A-0	A-0	A-0
Accommodation spaces of greater fire risk	(8)	A-60	A-15	A-15	A-60	A-0	A-15	A-15	A-30	A-0	A-0	A-0	A-0	A-0	A-0
Sanitary and similar spaces	(9)	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0
Tanks, voids and auxiliary machinery spaces having little or no fire risk	(10)	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0	A-0 a	A-0	A-0	A-0	A-0
Auxiliary machinery spaces, cargo spaces, cargo and other oil tanks and similar spaces of moderate fire risk	(11)	A-60	A-60	A-60	A-60	A-0	A-0	A-15	A-30	A-0	A-0	A-0 a	A-0	A-0	A-30
Machinery spaces and main galleys	(12)	A-60	A-60	A-60	A-60	A-0	A-60	A-60	A-60	A-0	A-0	A-30	A-30 a	A-0	A-60
Store-rooms, workshops, pantries, etc.	(13)	A-60	A-30	A-15	A-60	A-0	A-15	A-30	A-30	A-0	A-0	A-0	A-0	A-0	A-0
Other spaces in which flammable liquids are stowed	(14)	A-60	A-60	A-60	A-60	A-0	A-30	A-60	A-60	A-0	A-0	A-0	A-0	A-0	A-0

Notes: To be applied to tables 9.1 and 9.2, as appropriate.

a Where adjacent spaces are in the same numerical category and superscript "a" appears, a bulkhead or deck between such spaces need not be fitted if deemed unnecessary by the Administration. For example, in category (12) a bulkhead need not be required between a galley and its annexed pantries provided the pantry bulkhead and decks maintain the integrity of the galley boundaries. A bulkhead is, however, required between a galley and machinery space even though both spaces are in category (12).

b The ship's side, to the waterline in the lightest seagoing condition, superstructure and deckhouse sides situated below and adjacent to liferafts and evacuation slides may be reduced to "A-30".

c Where public toilets are installed completely within the stairway enclosure, the public toilet bulkhead within the stairway enclosure can be of "B" class integrity.

d Where spaces of categories (6), (7), (8) and (9) are located completely within the outer perimeter of the assembly station, the bulkheads of these spaces are allowed to be of "B-0" class integrity. Control positions for audio, video and light installations may be considered as part of the assembly station.

Table 9.2: Decks not forming steps in main vertical zones nor bounding horizontal zones

FINDINGS

Observation	# / Location	Condition	Photo	Deficiency
			☐	☐ Y ☐ N
			☐	☐ Y ☐ N
			☐	☐ Y ☐ N
			☐	☐ Y ☐ N
			☐	☐ Y ☐ N
			☐	☐ Y ☐ N
			☐	☐ Y ☐ N
			☐	☐ Y ☐ N
			☐	☐ Y ☐ N