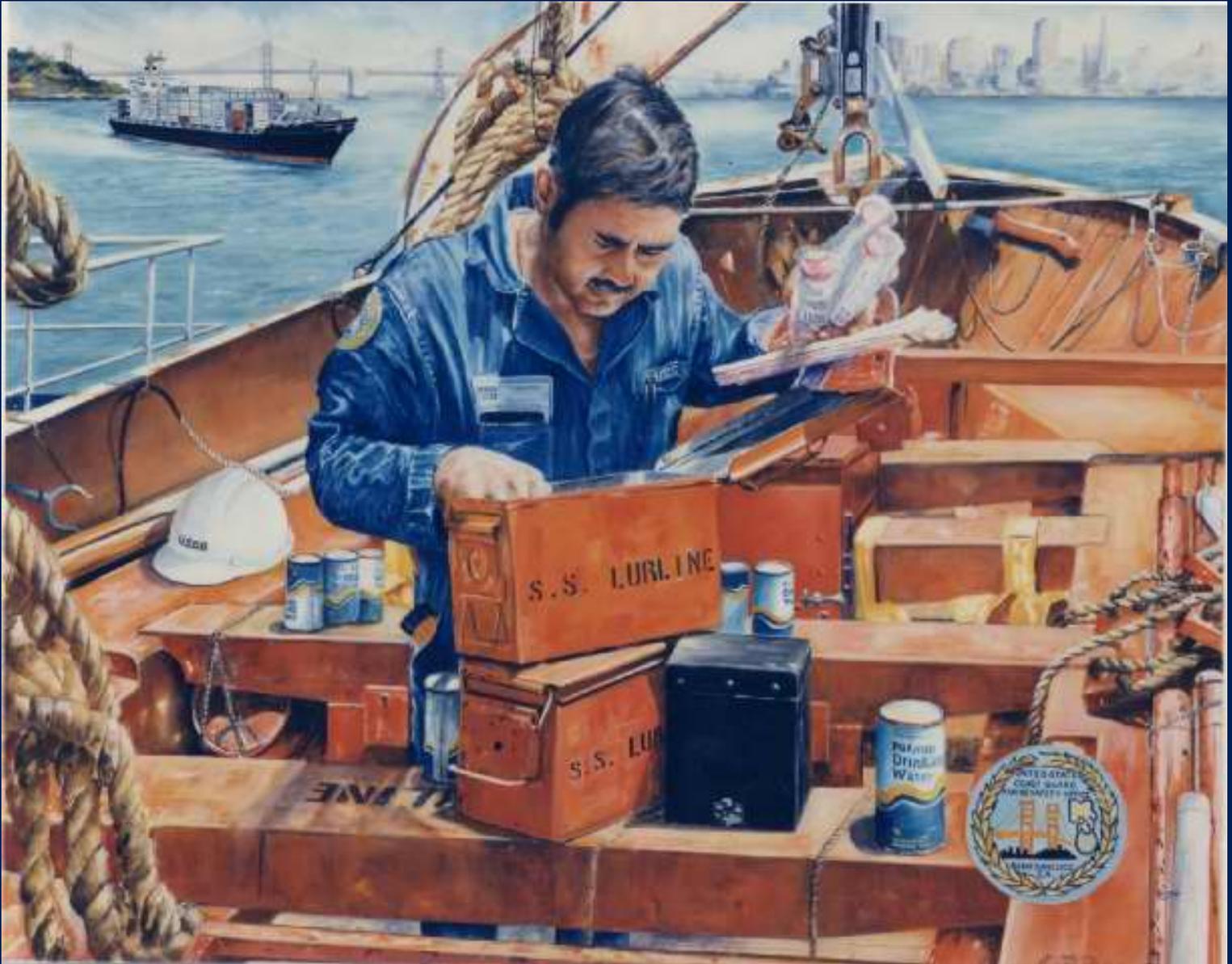




Department of Homeland Security  
**United States Coast Guard**



# PORT STATE CONTROL IN THE UNITED STATES

ANNUAL REPORT 2005





**REAR ADMIRAL T.H. GILMOUR**  
Assistant Commandant for Prevention  
United States Coast Guard



It gives me great pleasure to introduce the 2005 Annual Report on Port State Control (PSC) in the United States. The Coast Guard is strongly committed to sharing our PSC targeting methodology and publishing PSC compliance performance with the maritime community. Doing so is the cornerstone of our efforts to eliminate substandard trade as we work to strengthen our global partnerships.

Our eleventh year of Port State Control in the United States shows a dramatic decline in the number of detentions and major control actions imposed on foreign ships. Foreign ships arrived at our nation's ports safer and more secure than years past.

The Flag State Control Action Rate for all foreign vessels fell below 1.0% in 2005. This is evidence that industry compliance with the International Ship and Port Facility Security (ISPS) Code continued to improve to a level that compelled me to adjust our methodology for targeting flag States. This adjustment should benefit industry by reducing our overall number of required ISPS compliance exams and associated delays.



This year the Coast Guard faced some unique challenges. We realigned our organization to better handle our core missions, including consolidation of all Headquarters offices involved with foreign vessel compliance. We also responded from all levels of our organization to rescue and assist victims of Hurricane Katrina and rebuild the devastated port infrastructure in the Gulf of Mexico. Throughout these challenges, our Port State Control program continued to function.

I would also like to take this opportunity to extend my sincerest thanks to all my colleagues in the maritime industry and in the Coast Guard as I retire from the service. During my watch, I have been extremely impressed with the efforts of the maritime community to overcome significant challenges with regards to several key safety and security milestones. As we move forward, I believe it is essential that we continue to strengthen our existing partnerships to work together to eliminate substandard trade. I hope that you provide the same level of cooperation with my successor, Rear Admiral Craig Bone.

I think you'll find this report useful. If you have any recommendations or concerns regarding this report, or our PSC program in general, please do not hesitate to contact my staff listed on the back of this report.

Keep up the great work!

*T. H. Gilmour*

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“*The Inspector*” painted by Ralph B. Starr. A Coast Guard Inspector from the Coast Guard’s San Francisco Office inspects survival and first aid kits of the *SS LURLINE*. Image used with permission from the Coast Guard Art Program

## Chapter 1

# Port State Control Overview



*“Law enforcement: Station Gloucester, Massachusetts”* painted by Ward Mann  
Image used with permission from the Coast Guard Art Program

# Highlights in 2005

## Vessels Detentions Decreased

In 2005, a total of 7,850 individual vessels, from 76 different flag States, made 62,818 port calls with 10,430 SOLAS safety and 9,117 ISPS exams conducted. The total number of ships detained in 2005 for safety related deficiencies decreased from 176 to 127. At the same time, the number of distinct arrivals increased from 7,241 to 7,850.

## Flag State Safety Performance Improved

Flag State performance for 2005 improved from the previous year, with the annual detention rate decreasing from 2.43% to 1.61%. The overall flag State performance, based on the 3-year rolling average, improved as well this year with the overall detention ratio decreasing from 2.30% to 2.00%. Because of improved vessel performance, Belize, India, and Turkey were removed from the Flag State Safety Compliance targeted list for calendar year 2005.

## Flag State Security Performance Improved

Flag State performance for 2005 improved from the previous year, with the annual Control Action Ratio falling to 0.89%. Due to this excellent flag State security compliance performance, the targeting Control Action Ratio was adjusted to 1.50%. Because of improved performance, Antigua and Barbuda, Cyprus, Hong Kong, Malta, Panama, and Singapore were removed from the Flag State Security Compliance targeted list for calendar year 2005.

## Class-Related Detentions Decreased

Classification society related detentions decreased from 10 to 2 this year. Classification societies continue to perform at an exceptionally high level. Classification societies in the zero point category (3-year average detention ratio less than .5%) accounted for 97% of the total distinct foreign vessel arrivals.

## ISM Related Deficiencies Decreased

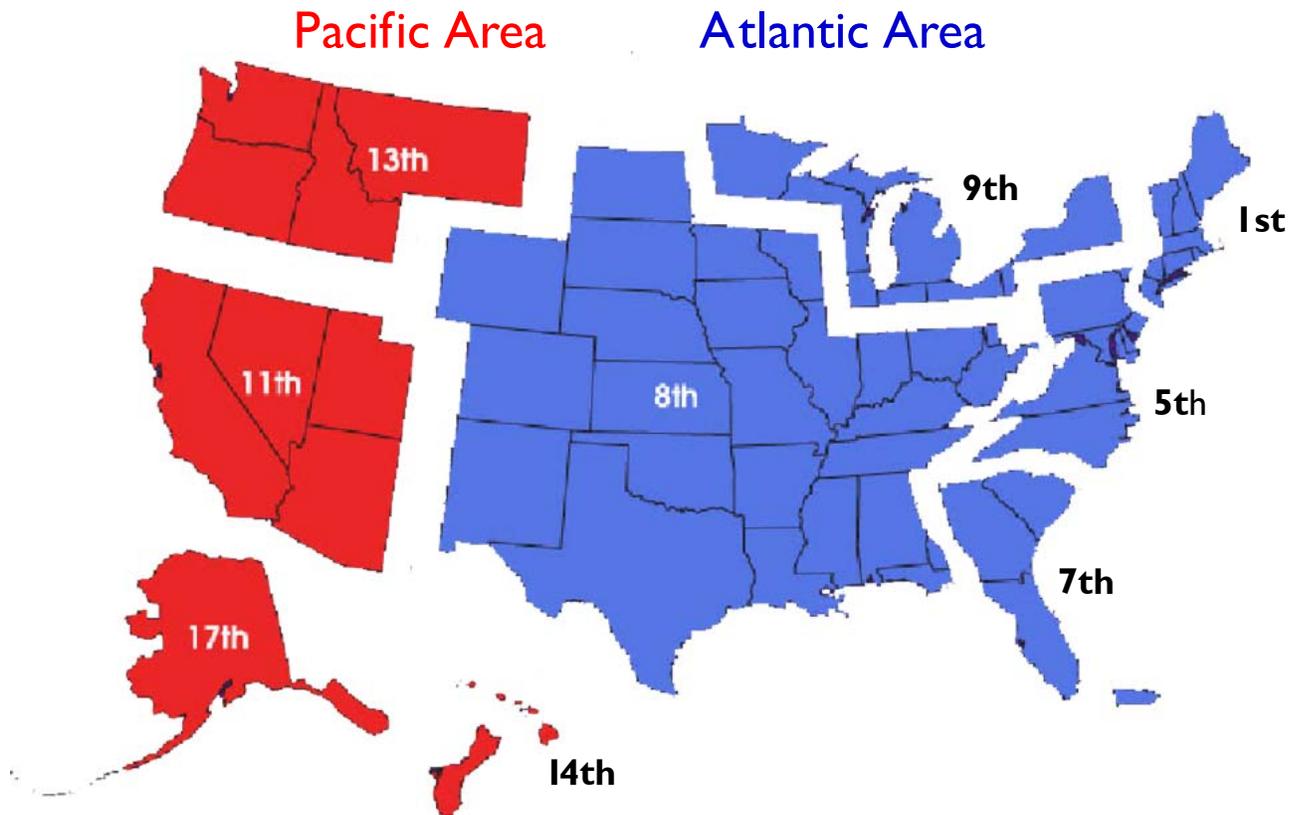
Detentions with at least one ISM related deficiency decreased from 51 to 35 detentions between 2004 and 2005. ISM deficiencies represented 16% of the total deficiencies issued to vessels detained for safety related deficiencies. The most common ISM deficiencies stemmed from crewmembers failing to follow shipboard safety and environmental policies and failing to maintain equipment in accordance with SMS procedures. Some companies also failed to assign responsibility and authority to maintain the vessels Safety Management System and report vessel non-conformities.

## Promulgation of MARPOL Annex I Enforcement Policy Guidance

On January 20, 2006, the Coast Guard published updated guidance for the enforcement of MARPOL Annex I during Port State control examinations. Specifically, this policy letter addresses Port State Control Officer (PSCO) examination of the International Oil Pollution Prevention Certificate, oil record book, oil discharge monitor and control systems, the Shipboard Oil Pollution Emergency Plan, the oily water separator, bilge alarm, oil content monitor/meter, incinerator, and sludge tanks. It also discussed when the PSCO can expand the examination and when to conduct a MARPOL Annex I investigation. The policy letter was prompted by the increasing frequency of Coast Guard involvement with foreign ships non-compliant with Annex I.

You can download a copy of G-PCV policy letter 06-01 at <http://www.uscg.mil/hq/g-m/moc/pol0601.pdf>.

## Port State Control Statistics By Region



District	Ship Visits	Safety Examinations Conducted	Detentions	Security Examinations Conducted	Major Control Actions
1st	5,816	1,258	12	988	2
5th	7,123	1,206	17	1,072	4
7th	15,892	1,801	44	1,518	22
8th	19,039	2,906	21	2,744	10
9th	1,684	331	-	299	1
11th	8,363	1,459	8	1,375	10
13th	2,469	897	18	776	2
14th	1,034	258	5	205	-
17th	1,398	314	2	140	-
<b>Total</b>	<b>62,818</b>	<b>10,430</b>	<b>127</b>	<b>9,117</b>	<b>51</b>

## Port State Control Statistics by Port

Port	Coast Guard District	Safety Examinations	Detentions	Security Examinations	Major Control Actions
Anchorage, Alaska	17	103	2	72	-
Baltimore, Maryland	5	295	4	224	1
Boston, Massachusetts	1	225	1	80	-
Buffalo, New York	9	222	-	202	-
Charleston, South Carolina	7	148	1	129	-
Chicago, Illinois	9	5	-	1	-
Cleveland, Ohio	9	18	-	22	-
Corpus Christi, Texas	8	482	2	424	-
Detroit, Michigan	9	10	-	10	-
Duluth, Minnesota	9	37	-	36	-
Guam	14	60	-	65	-
Hampton Roads, Virginia	5	352	5	302	2
Honolulu, Hawaii	14	198	5	140	-
Houston, Texas	8	754	10	779	3
Jacksonville, Florida	7	338	7	217	3
Juneau, Alaska	17	208	-	66	-
New Haven, Connecticut	1	59	1	62	-
Los Angeles, California	11	964	2	941	4
Miami, Florida	7	364	17	249	13
Milwaukee, Wisconsin	9	18	-	11	-
Mobile, Alabama	8	229	2	227	1
Morgan City, Louisiana	8	93	-	39	-
New Orleans, Louisiana	8	1,047	7	1,020	6
New York, New York	1	784	7	698	2
Philadelphia, Pennsylvania	5	450	6	446	1
Port Arthur, Texas	8	301	-	255	-
Portland, Maine	1	131	-	102	-
Portland, Oregon	13	483	4	380	-
Providence, Rhode Island	1	59	3	46	-
San Diego, California	11	111	1	93	1
San Francisco, California	11	384	5	341	5
San Juan, Puerto Rico	7	413	8	323	1
Sault Ste. Marie, Michigan	9	4	-	4	-
Savannah, Georgia	7	261	6	333	2
Seattle, Washington	13	414	14	396	2
Tampa, Florida	7	277	5	267	3
Toledo, Ohio	9	17	-	13	1
Valdez, Alaska	17	3	-	2	-
Wilmington, North Carolina	5	109	2	100	-
<b>Total</b>	<b>N/A</b>	<b>10,430</b>	<b>127</b>	<b>9,117</b>	<b>51</b>

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

The following definitions apply to the table below:

**Distinct Arrival:** A vessel, greater than or equal to 500 gross tons, which called upon at least one U.S. port during the calendar year. Also includes passenger vessels carrying more than 12 passengers on an international voyage. A vessel that called upon 12 U.S. ports in 2005 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 U.S. regulations or 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 three year average performance unless lower than 1.5%

**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 exists 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 last year's Annual ISPS Control Action Ratio (six months of data) plus this year's ISPS Major Control Action ratio, unless lower than 1.5%.

Year (Jan 1-Dec 31st)	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
1996	7,608	476	6.26%				
1997	7,686	547	7.12%	6.64%	-	-	-
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% <sup>2</sup>

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

<sup>2</sup> Port State Control program fixed the annual security performance 1.5%

## Port State Control Appeal Process

### For Class Related Detentions (Safety and Security)

Any party wishing to dispute the validity of or their association with a Major Control Action should follow the appeal procedures outlined in Title 46, Code of Federal Regulations, Subpart 1.03. Associated parties must appeal any detention within 30 days of notification or must formally request from G-PCV-2 an extension to this deadline.

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

**United States Coast Guard Headquarters  
Foreign and Offshore Vessels Division (G-PCV-2)  
2100 2nd Street S.W.  
Washington, D.C. 20593-0001**

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

**[hqs-pf-fldr-g-pcv@uscg.mil](mailto:hqs-pf-fldr-g-pcv@uscg.mil)**

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

All other major control actions (those not class-related) should be appealed first to the cognizant Captain of the Port or Officer in Charge of Marine Inspection 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. 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 via G-PCV. G-PCV is final agency action for appeals and will consider any additional evidence not contained in the original appeal.



*"USCG Port of Houston"* painted by Rosanne Frazier. Imaged used with permission from the Coast Guard Art Program

## Chapter 2

# Safety Compliance Perform-



*"MSST 91103"* painted by Sandra Hart  
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## Port State Control Safety and Environmental Protection Compliance Targeting Matrix



### Priority (P)I 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 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 (P)II Vessel

7 to 16 points on the Matrix; outstanding requirements from a previous examination in this or another U.S. port; the vessel is overdue for an annual tank or passenger exam or has not been examined within the past 12 months per column IV. Cargo operations or passenger embarkation/debarkation should be restricted until vessel is examined by the Coast Guard.

### 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 PSC random selection process.

**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, the COTP or OCMI may downgrade the vessel to NPV. If the COTP or OCMI downgrades a vessel, the COTP/OCMI will consider the vessel for the pool of random examinations.

## Flag State Safety Compliance Performance

The Coast Guard targets Flag State Administrations for additional Port State Control examinations if their detention ratio scores higher than the overall average for all flags, and if a flag State is associated with more than one detention in the past three years. We calculate detention ratios using three years of Port State Control data (2003-2005). Countries with only one detention in the past three years are removed from the targeting flag State list.

For 2005, overall flag State performance improved, with the three-year running detention ratio declining from 2.30% to 2.00%. The tables below illustrate flag States that are on the 2006 Port State Control Safety Targeting Matrix, and flag States that are removed.

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

	2003-2005 Detention Ratio
Brazil	5.88%
Cambodia	100.00%
Honduras	21.88%
Mexico	9.38%
Portugal*	8.00%
Russian Federation*	4.61%
Saint Vincent and the Grenadines	16.74%
Ukraine	12.50%
Venezuela	14.29%

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

	2003-2005 Detention Ratio
Antigua and Barbuda	3.03%
Croatia	3.17%
Cyprus	2.54%
France	3.16%
Gibraltar	2.38%
Italy	3.09%
Malaysia	2.26%
Malta	3.10%
Netherlands Antilles	3.62%
Panama	2.74%
Sweden*	2.27%

\* Countries not targeted in CY2005 (based upon 2004 data)

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

	Number of Detentions (2003-2005)	2003-2005 Detention Ratio
Belize	0	0.00%
India	2	1.59%
Turkey	2	1.04%

## Flag State Safety Compliance Performance Statistics

Flag State <sup>^</sup>	Safety Exams	Distinct Arrivals	Safety Detentions	2003-2005 Detention Ratio
Algeria	4	2	-	-
Antigua and Barbuda	378	247	5	3.03%
Australia	-	-	-	-
Bahamas	898	581	8	1.36%
Bahrain	1	1	-	-
Barbados	24	16	-	-
Belgium	22	19	-	-
Belize	32	21	-	-
Bermuda	139	51	1	0.77%
Bolivia	-	-	-	16.67% *
Brazil	10	9	-	5.88%
British Indian Ocean Territory	-	-	-	-
Bulgaria	26	17	-	-
Cambodia	7	2	4	100.00%
Canada	53	81	-	0.83%
Cape Verde	-	-	-	100.00% +
Cayman Islands	96	84	-	0.45%
Chile	9	7	-	4.17% +*
China	129	116	1	0.97%
Colombia	2	2	-	-
Cook Islands	7	4	1	25.00% +
Croatia	28	21	-	3.17%
Cyprus	473	340	8	2.54%
Denmark	107	92	1	1.29%
Dominican Republic	-	-	-	-
Ecuador	6	2	-	-
Egypt	9	9	1	3.70% +
Estonia	-	-	-	-
Faroe Islands	2	1	-	-
Finland	3	4	-	-
France	35	29	-	3.16%
French Guiana	-	-	-	-
Georgia	-	-	-	-
Germany	167	131	1	1.32%
Gibraltar	43	33	-	2.38%
Greece	375	339	4	1.20%
Grenada	-	-	-	-
Honduras	30	9	5	21.88%
Hong Kong	433	399	-	0.40%
Hungary	-	-	-	-
India	60	54	-	1.59%
Indonesia	4	3	-	-
Ireland	3	3	-	-
Isle of Man	152	137	1	0.96%
Israel	24	16	-	-
Italy	114	101	1	3.09%
Jamaica	-	1	-	20.00% +*
Japan	43	38	1	0.56%

<sup>^</sup> If a country has no distinct arrivals to the United States for three consecutive years, that country is not listed.

\* Based upon previous safety performance in 2004

+ Not targeted due to only one detention within a 3 year period

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

Flag State <sup>^</sup>	Safety Exams	Distinct Arrivals	Safety Detentions	2003-2005 Detention Ratio
Kiribati	-	-	-	-
Kuwait	7	4	-	-
Latvia	10	7	-	10.00% <sup>++</sup>
Liberia	1141	836	4	0.94%
Lithuania	19	13	-	-
Luxembourg	10	7	-	-
Malaysia	37	27	-	2.26%
Malta	464	388	8	3.10%
Marshall Islands	580	431	3	0.43%
Mexico	8	12	1	9.38%
Micronesia, Federated States	-	-	-	-
Myanmar (Burma)	12	8	-	-
Netherlands	252	160	1	1.25%
Netherlands Antilles	60	45	1	3.62%
New Zealand	-	-	-	-
Norway	416	282	2	1.20%
Panama	2198	1634	28	2.74%
Peru	3	1	-	-
Philippines	107	88	-	1.11%
Poland	-	-	-	-
Portugal	17	10	2	8.00%
Qatar	8	7	-	-
Republic of Korea	81	67	-	-
Russian Federation	71	47	5	4.61%
Saint Kitts and Nevis	1	1	-	-
Saint Vincent and the Grenadines	118	76	17	16.75%
Samoa	2	3	-	-
Saudi Arabia	16	8	-	-
Seychelles	3	3	-	-
Singapore	334	287	5	1.51%
Spain	51	10	-	3.85% <sup>++</sup>
Sweden	32	29	-	2.27%
Switzerland	12	14	1	2.17% <sup>+</sup>
Taiwan	2	2	-	-
Thailand	55	45	1	0.97%
Tonga	4	2	1	25.00% <sup>+</sup>
Trinidad and Tobago	4	2	-	14.29% <sup>++</sup>
Turkey	70	62	1	1.04%
Tuvalu	-	-	-	-
Ukraine	8	5	-	12.50%
United Arab Emirates	5	5	-	-
United Kingdom	197	142	1	1.15%
Vanuatu	56	51	1	0.61%
Venezuela	11	7	1	14.29%
<b>Total</b>	<b>10,430</b>	<b>7,850</b>	<b>127</b>	<b>2.00%</b>

<sup>^</sup> If a country has no distinct arrivals to the United States for three consecutive years, that country is not listed.

<sup>+</sup> Based upon previous safety performance in 2004

<sup>++</sup> Not targeted due to only one detention within a 3 year period

## Filtering Guidelines for Relating Classification Societies 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 the Classification Society on behalf of the vessel's flag State. At the end of each calendar year, the Coast Guard evaluates each Classification Society's performance and calculates their detention ratio. The Coast Guard uses the following guidelines to determine if a vessel's detention relates to a Classification Society:

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:

- ◆ Serious deficiencies relating to safety equipment or arrangement (e.g., missing or improperly maintained equipment);
- ◆ Serious wastage or structural deficiencies; or
- ◆ Lack of effective and systematic implementation of a requirement of the ISM Code.

The following detainable deficiencies will be considered class-related regardless of the elapsed time from the last applicable survey:

- ◆ Equipment outdated or not serviced at the time of the last class survey (e.g. expired flares, non-serviced extinguishing systems); or
- ◆ Long standing, serious wastage or structural deficiencies.

The following deficiencies are not considered class-related:

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

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

## Classification Society Safety Compliance Performance

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

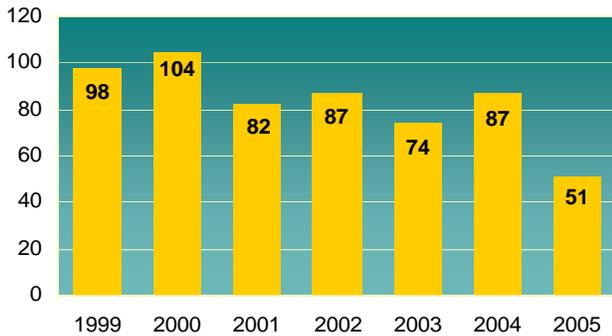
A detention ratio less than 0.5%	<b>0 points</b>
A detention ratio equal to 0.5% or less than 1%	<b>3 points</b>
A detention ratio equal to 1% or less than 2%	<b>5 points</b>
A detention ratio equal to or greater than 2%	<b>Priority 1</b>

Classification Society	Abbreviation	Distinct Vessel Arrivals				Class-Related Detentions*				Ratio
		2003	2004	2005	Total	2003	2004	2005	Total	
American Bureau of Shipping	ABS	1,151	927	1,077	3,155	-	-	-	-	-
Belize Maritime Bureau Inc.	-	-	-	1	1	-	-	-	-	-
Belize Register Corporation	-	-	-	20	20	-	-	-	-	-
Bulgarian Register of Shipping	BKR	7	10	11	28	-	-	-	-	-
Bureau Veritas	BV	758	617	684	2,059	-	-	-	-	-
China Classification Society	CCS	240	166	272	678	-	-	-	-	-
China Corporation Register of Shipping	CR	46	5	23	74	-	-	-	-	-
Classification Bureau of Indonesia	-	-	-	18	18	-	-	-	-	-
Croatian Register of Shipping	CRS	23	26	29	78	-	-	-	-	-
Det Norske Veritas	DNV	1,728	1,429	1,419	4,576	-	-	-	-	-
Germanischer Lloyd	GL	828	810	933	2,571	1	1	-	2	0.08%
Global Marine Bureau	-	-	-	1	1	-	-	-	-	-
Horizon International Naval Survey and Inspection Bureau	HNSB	-	-	1	1	-	-	-	-	-
Indian Register of Shipping	IRS	12	10	26	48	-	-	-	-	-
Isthmus Maritime Classification S.A.	-	-	-	1	1	-	-	-	-	-
Korean Register of Shipping	KRS	146	153	191	490	-	-	-	-	-
Lloyd's Register	LR	1,376	1,375	1,562	4,313	-	-	-	-	-
Nippon Kaiji Kyokai	NKK	1,544	1,556	1,802	4,902	-	-	-	-	-
Panama Bureau of Shipping	PBS	2	5	-	7	-	-	-	-	-
Panama Maritime Surveyors Bureau	PMS	1	-	2	3	-	-	-	-	-
Panama Shipping Certificate Inc.	-	-	-	3	3	-	-	-	-	-
Panama Shipping Register	PSR	3	2	-	5	-	-	-	-	-
Registro Italiano Navale	RINA	153	149	171	473	-	-	-	-	-
Rinava Portuguesa	-	-	-	8	8	-	-	-	-	-
Romanian Naval Authority	ANR	1	-	-	1	-	-	-	-	-
Turkish Lloyd	-	-	-	4	4	-	-	-	-	-
Polski Rejestr Statkow	PRS	36	38	30	104	1	-	-	1	0.96%
Russian Maritime Register of Shipping	RS	127	114	144	385	1	1	1	3	0.78%
Hellenic Register of Shipping	HRS	31	3	21	55	1	1	-	2	3.70%
Honduras International Naval Survey and Inspection Bureau	HINSB	21	4	46	71	1	3	-	4	5.63%
Isthmus Bureau of Shipping	IBS	11	3	12	26	2	1	-	3	12.00%
International Register of Shipping	IROS	9	5	9	23	3	2	-	5	21.74%
Panama Maritime Documentation Service	PMDS	21	6	11	38	4	-	-	4	10.53%
Phoenix Register of Shipping	PHRS	1	1	1	3	-	-	1	1	33.33%
Panama Register Corporation	PRC	-	1	1	2	-	1	-	1	50.00%

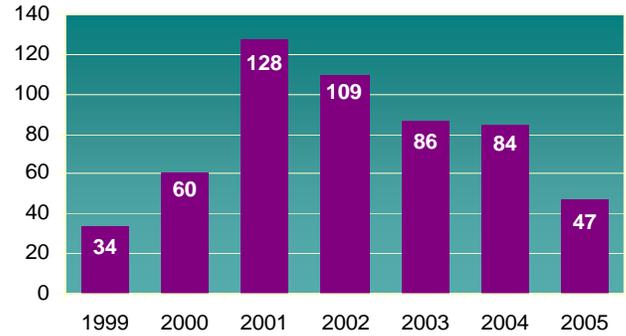
\*Class-Related detentions are those detentions that were determined to have been related to class society activities.

## Top Five Safety Deficiency Categories (1999-2005)

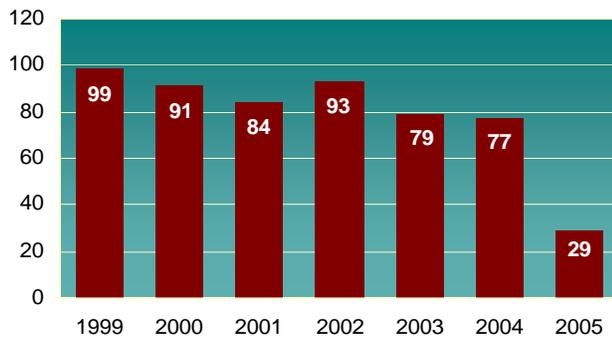
Fire Fighting Appliance Deficiencies



ISM Related Deficiencies

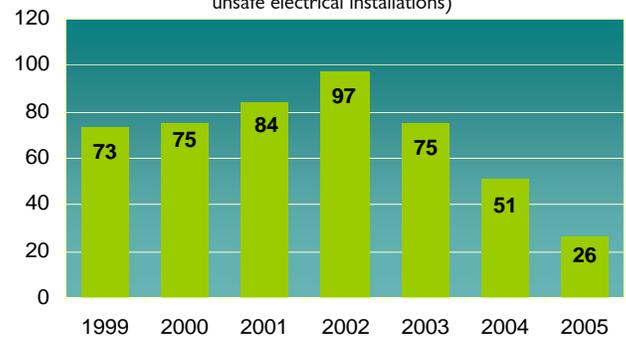


Life Saving Appliance Deficiencies

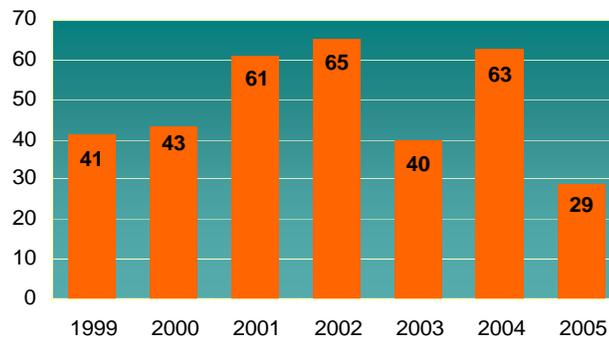


General Safety Deficiencies

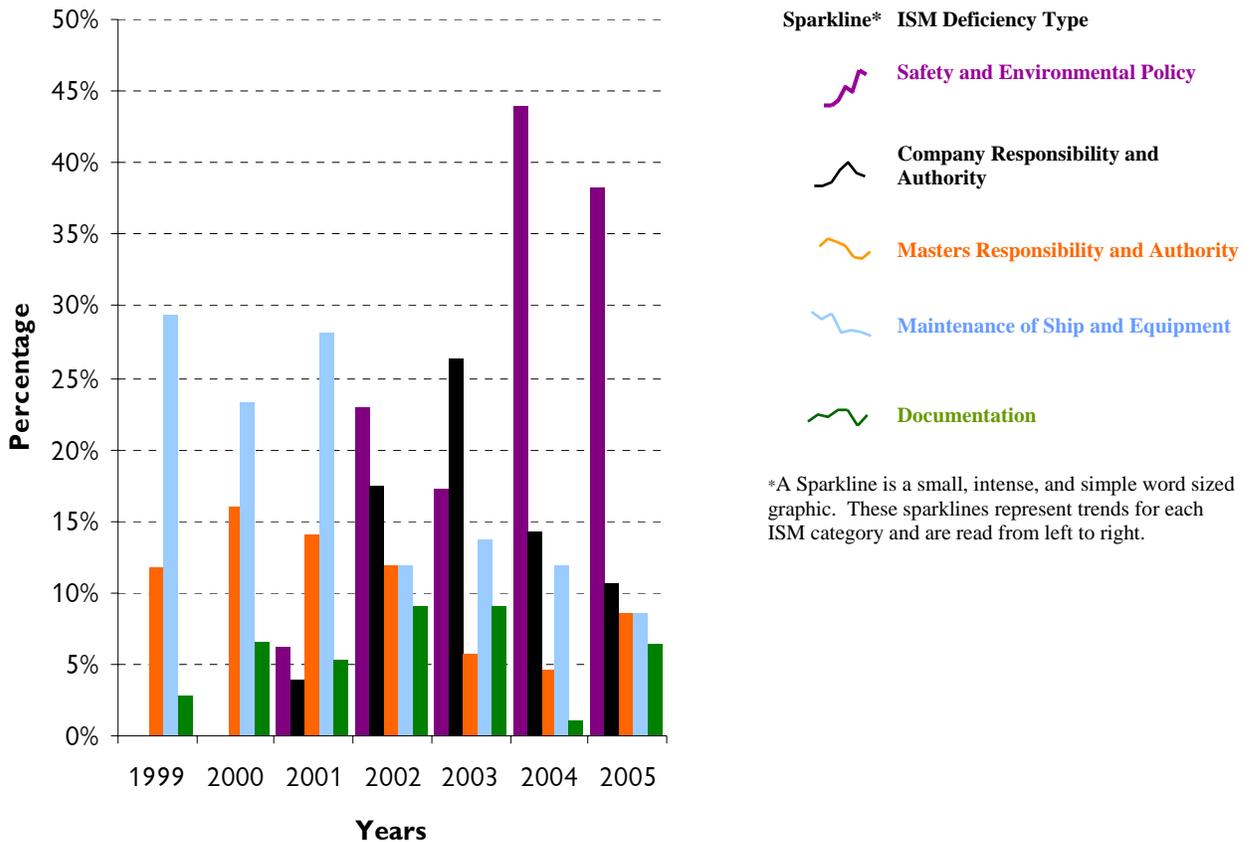
(i.e. not accessible means of escape, steering gear malfunctioned, unsafe electrical installations)



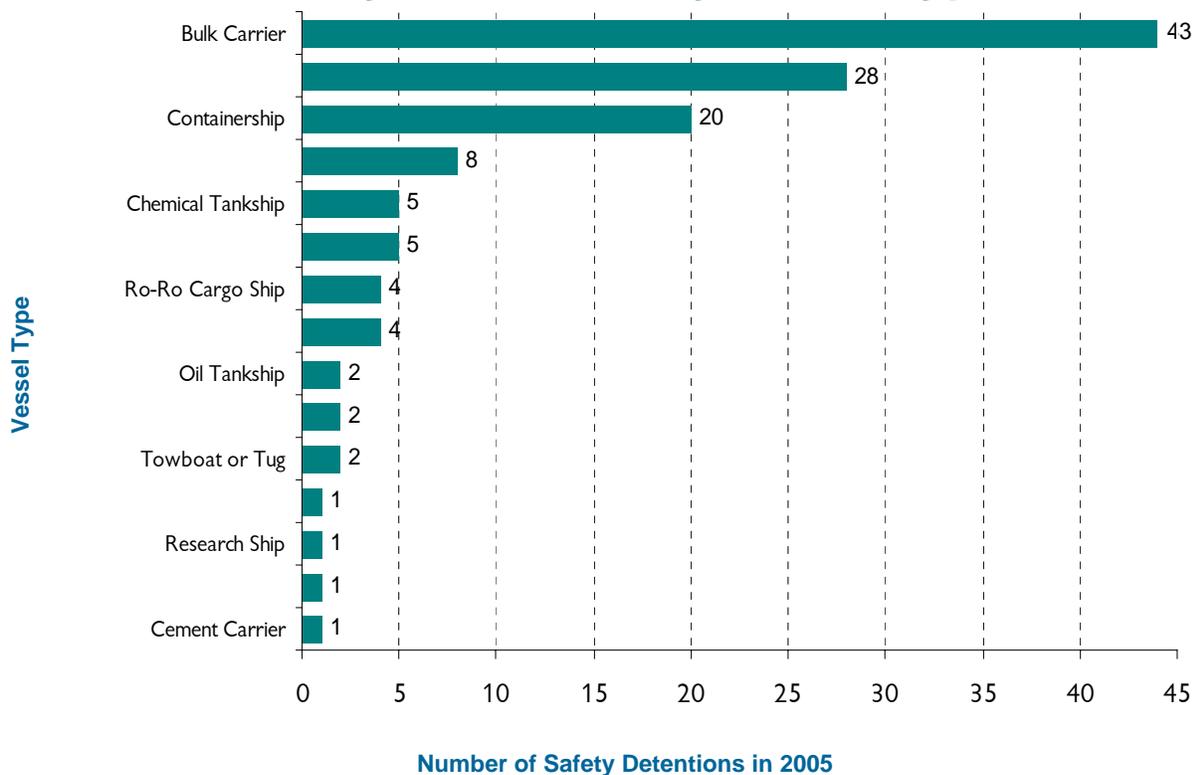
Propulsion and Auxiliary Machinery Deficiencies



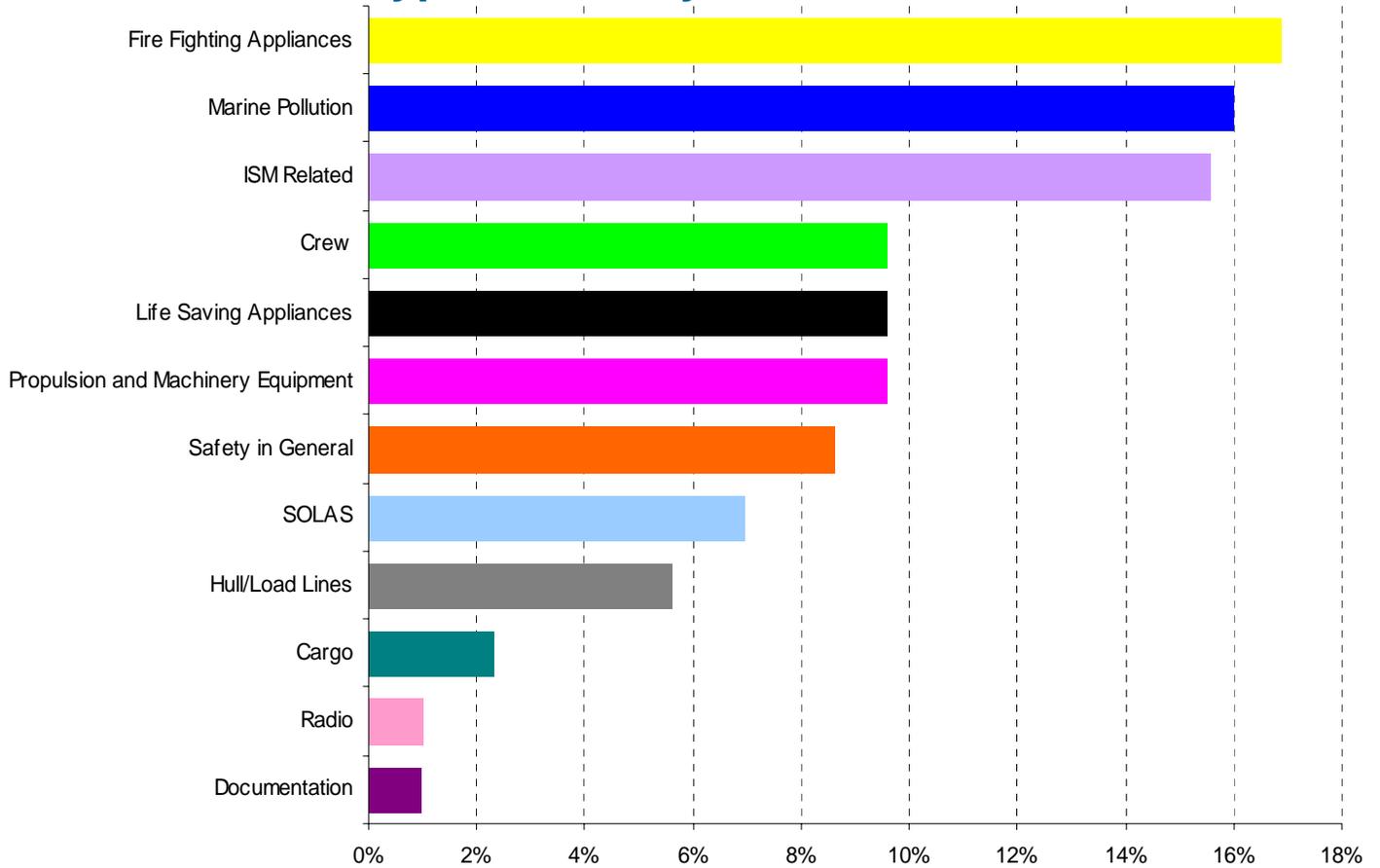
## ISM Deficiency Trends (1999-2005)



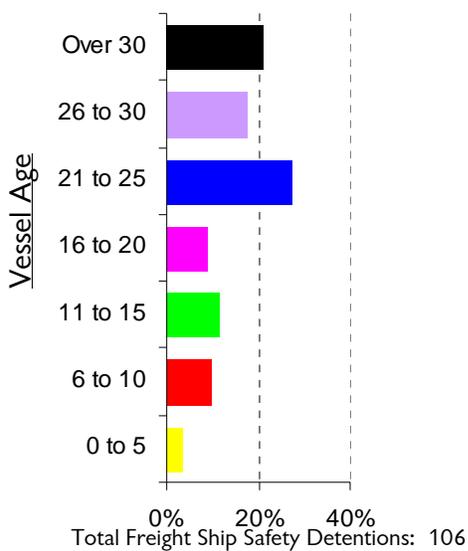
## Safety Detentions by Vessel Type



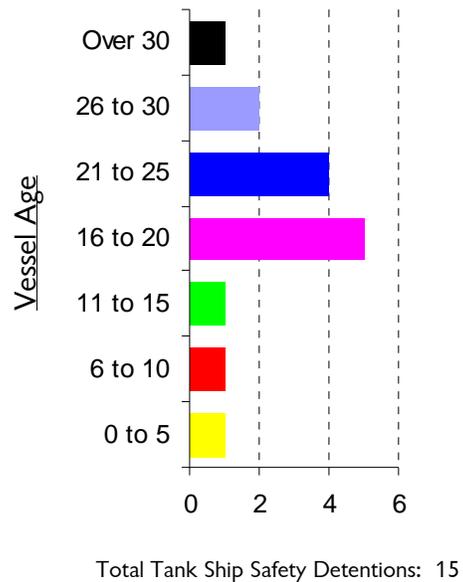
## Types of Safety Deficiencies



Percentage of Freight Ship Safety Detentions by Vessel Age



Number of Tank Ship Detentions by Vessel Age



## 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 flag States, 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 less than ten percent of all foreign-flagged ships that operate in the United States have earned the QUALSHIP 21 designation.

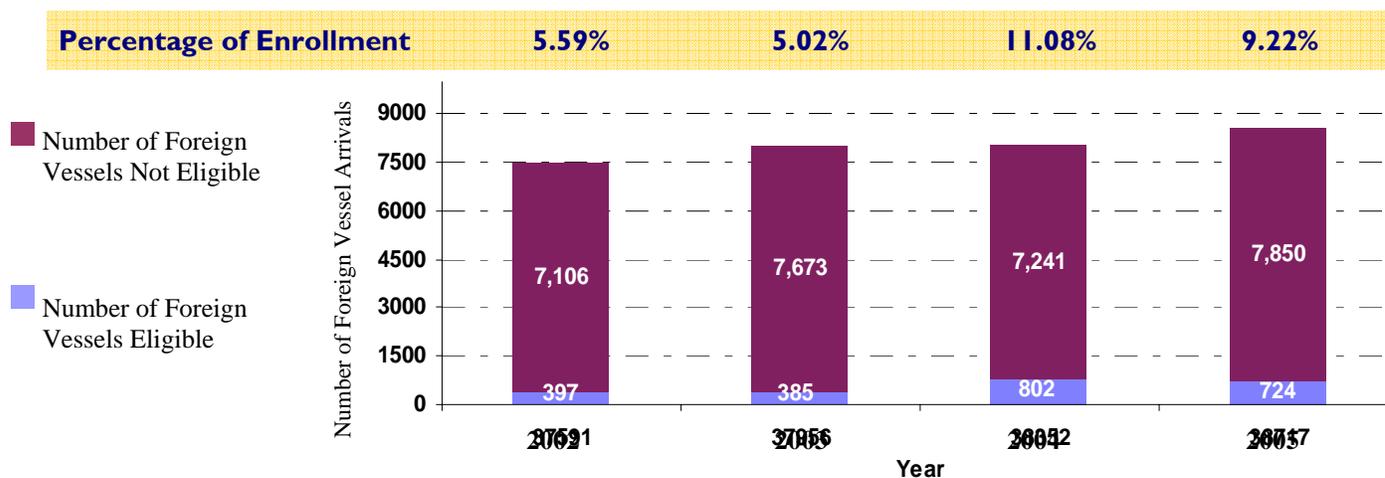
One of the eligibility requirements for a vessel to be enrolled into the program is for the vessels' flag State to also be qualified. Only those flag States that have demonstrated the highest commitment to the safety and quality of their vessels will be eligible and recognized as a QUALSHIP 21 flag State. Flag States must average at least 10 distinct U.S. arrivals a year and have a three-year running detention rate of 1.0% or less to qualify for the program and be recognized. The three-year running detention is determined by dividing the total number of safety and environmental IMO detentions by the number of each flag State's annual distinct vessel arrivals. The QUALSHIP 21 program evaluates each flag State for eligibility on an annual basis.

The QUALSHIP 21 program ended 2005 with an enrollment of 724 vessels, which is a decrease of 9.7% from last year. Even though the overall 2005 detention rate hit a record low, none of the nine flag States which fell out of the program last year recorded a 3 year detention ratio below the required 1% eligibility cutoff. As a result, by the end of 2006 the remaining 375 vessels from those flag States will fall out of the program as their QUALSHIP 21 certificates expire. On the positive side, Belize, Canada and Liberia recorded excellent safety records for 2005, and subsequently met the program's stringent 1% detention.

### Qualifying Registries for 2006

Barbados	Hong Kong
Bermuda	Isle of Man
Belize	Liberia
Canada	Marshall Islands
China	Vanuatu

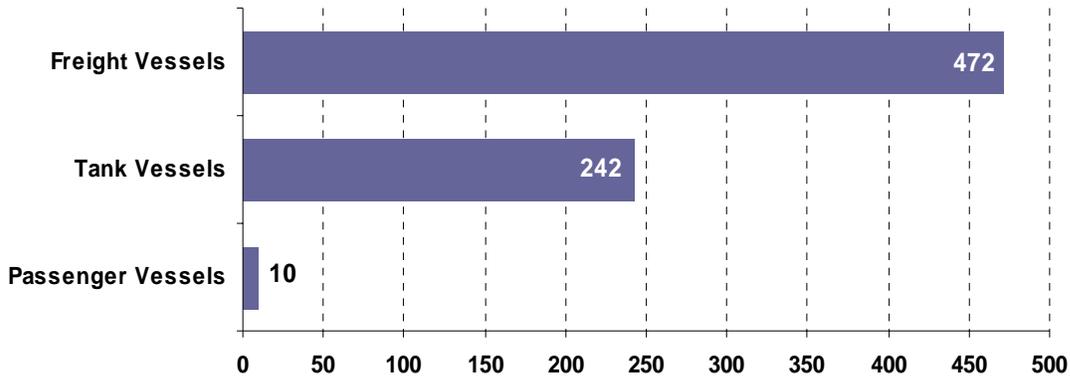
### YEARLY QUALSHIP 21 ENROLLMENT (2002-2005)



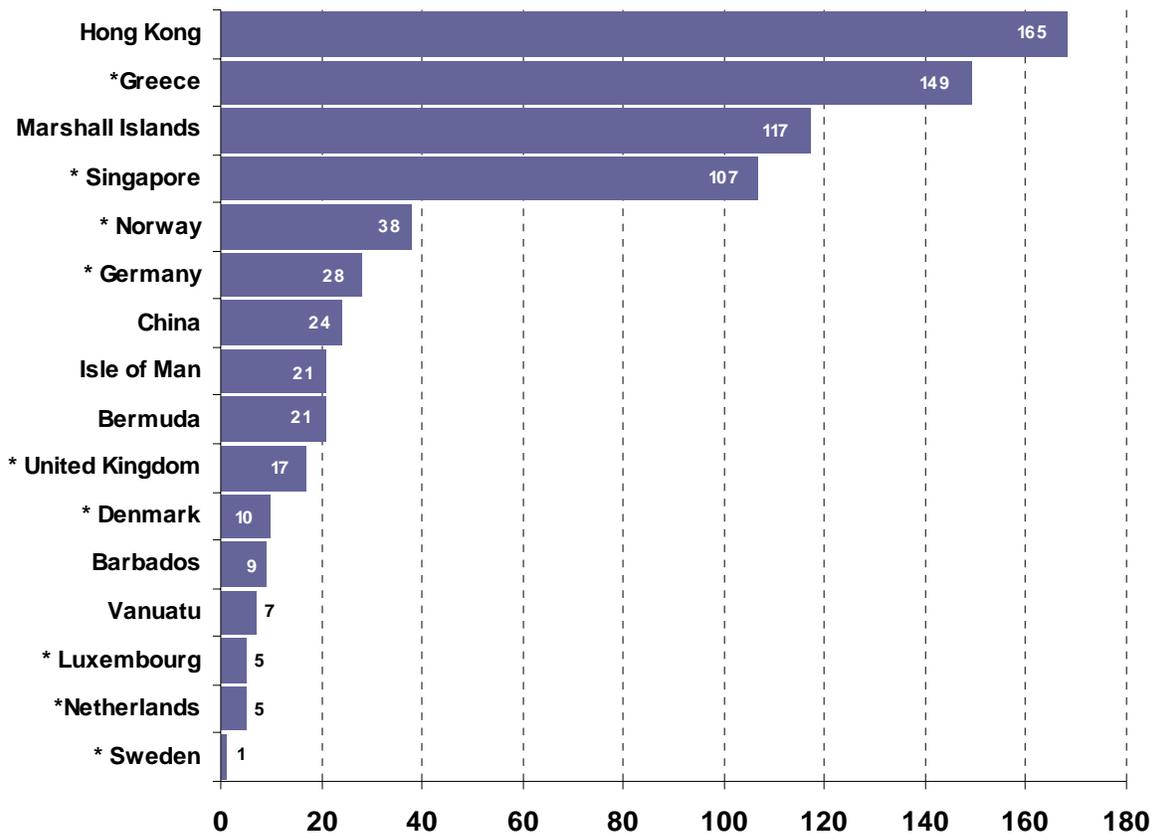
For more information the QUALSHIP 21 program, including a complete listing of qualifying vessels, please consult our website at <http://www.uscg.mil/hq/g-m/pscweb/Qualship21.htm>

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

**Number of QUALSHIP 21 Vessels by Type**  
(As of March 1, 2006)



**Number of QUALSHIP 21 Vessels by Flag State\*\***  
(As of March 1, 2006)

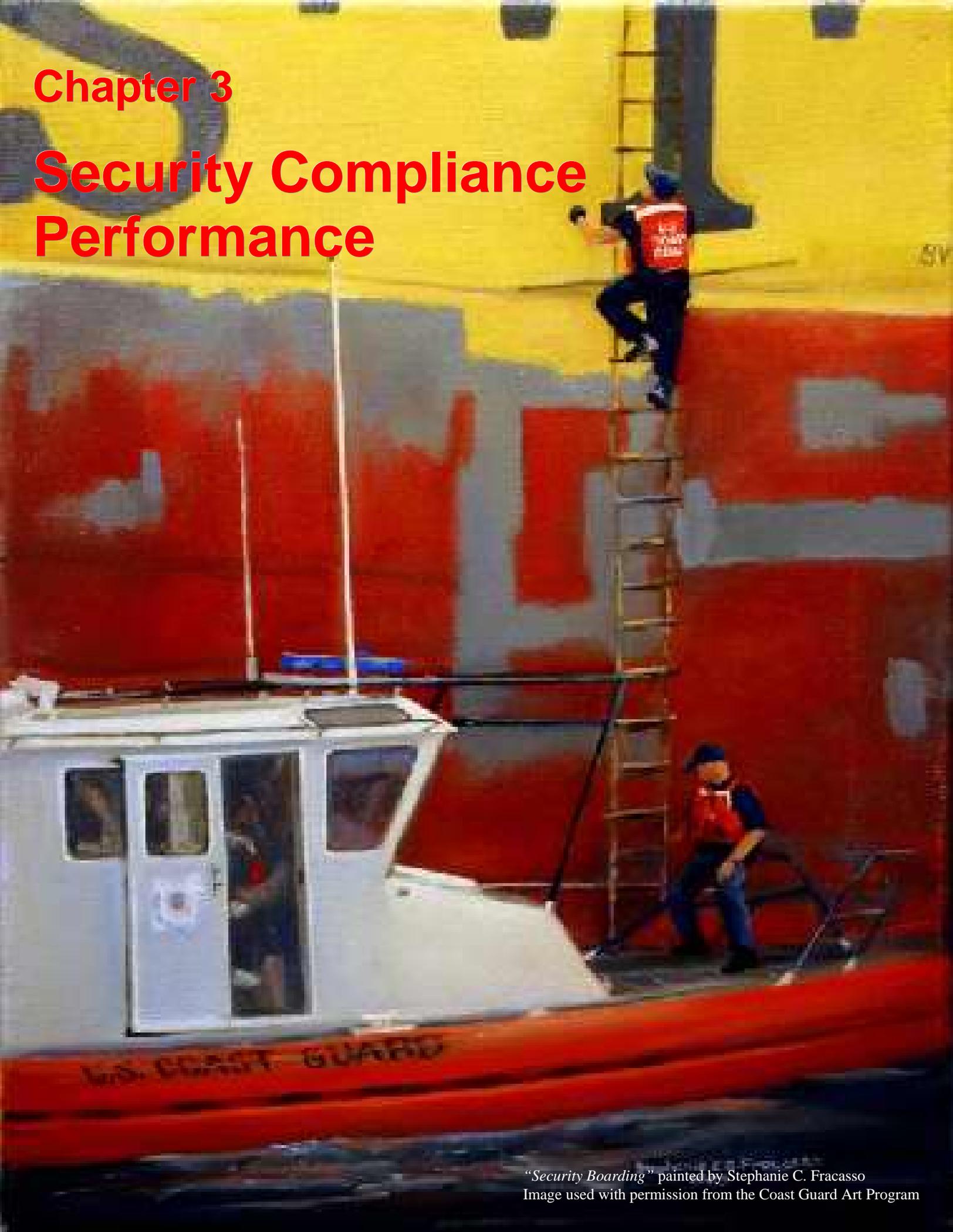


\* Vessels registered under these Flag states will fall out of the program when their QUALSHIP 21 certificate expires.

\*\* Vessels from Belize, Canada, and Liberia may qualify for QUALSHIP 21 recognition in 2006

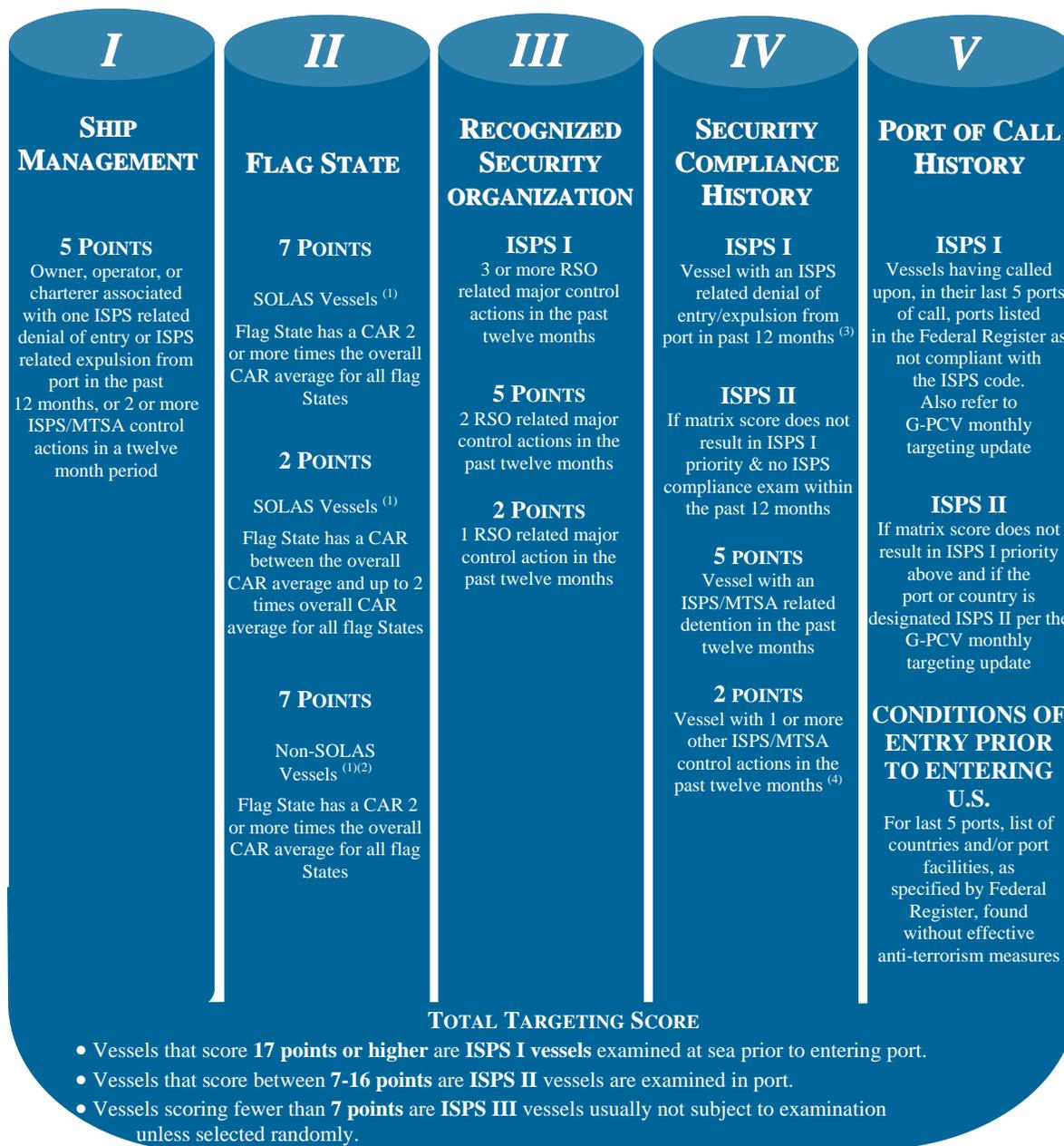
## Chapter 3

# Security Compliance Performance



*"Security Boarding"* painted by Stephanie C. Fracasso  
Image used with permission from the Coast Guard Art Program

## ISPS/MTSA Security Compliance Targeting Matrix



- (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 State Security Compliance Performance

The Coast Guard targets Flag State Administrations for additional ISPS examinations if their detention ratio scores higher than the overall average for all flags. We calculated major Control Action Ratios (CARs) based upon eighteen months of enforcement data . (July 2004-Dec 2005).

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

### Flag States Receiving 7 points in Column II ISPS/MTSA Targeting Matrix

	2004-2005 Control Action Ratio
Bolivia	100.00%
Cambodia*	80.00%
Cook Islands*	50.00%
Honduras*	35.00%
Russian Federation <sup>#</sup>	5.38%
Saint Vincent and the Grenadines	6.05%

### Flag States Receiving 2 points In Column II of ISPS/MTSA Targeting Matrix

	2004-2005 Control Action Ratio
Cayman Islands	2.51%
Denmark*	1.86%
Netherlands <sup>#</sup>	1.55%
Thailand <sup>#</sup>	1.64%
Turkey*	2.38%

\* Countries not targeted in CY2005 (based upon 2004 data)  
<sup>#</sup> Countries that were on the 7 point list in 2005

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

	2004-2005 Number of Major Control Actions	2004-2005 Control Action Ratio
Antigua and Barbuda	6	1.17%
Cyprus	7	0.82%
Hong Kong	5	0.47%
Malta	7	0.86%
Panama	39	1.12%
Singapore	4	0.50%

## Flag State Security Compliance Performance Statistics

Flag State*	Security Exams	Distinct Arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Algeria	1	2	-	-
Antigua and Barbuda	344	247	2	1.17%
Australia	-	-	-	-
Bahamas	690	581	4	0.63%
Bahrain	1	1	-	-
Barbados	25	16	-	-
Belgium	16	19	-	-
Belize	21	21	-	-
Bermuda	81	51	-	-
Bolivia	-	-	-	100.00% <sup>1</sup>
Brazil	7	9	-	4.00% <sup>1</sup>
British Indian Ocean Territory	-	-	-	-
Bulgaria	22	17	-	-
Cambodia	5	2	2	80.00%
Canada	41	81	-	-
Cayman Islands	91	84	2	2.51%
Chile	9	7	-	-
China	122	116	1	0.62%
Colombia	2	2	-	-
Cook Islands	6	4	2	50.00%
Croatia	25	21	-	-
Cyprus	411	340	1	0.82%
Denmark	119	92	2	1.86%
Dominica	-	-	-	-
Ecuador	6	2	-	-
Egypt	8	9	-	-
Faroe Islands	1	1	-	-
Finland	3	4	-	-
France	28	29	-	-
French Guiana	-	-	-	-
Georgia	-	-	-	-
Germany	186	131	1	0.88%
Gibraltar	35	33	-	1.12% <sup>1</sup>
Greece	350	339	1	0.52%
Honduras	28	9	3	35.00%
Hong Kong	417	399	-	0.47% <sup>1</sup>
India	55	54	-	-
Indonesia	3	3	-	-
Ireland	3	3	-	-
Isle of Man	136	137	-	-
Israel	25	16	-	-
Italy	100	101	-	-
Jamaica	-	1	-	-
Japan	39	38	-	-
Kuwait	5	4	-	-
Latvia	9	7	-	-

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

<sup>1</sup> Based upon previous ISPS performance in 2004

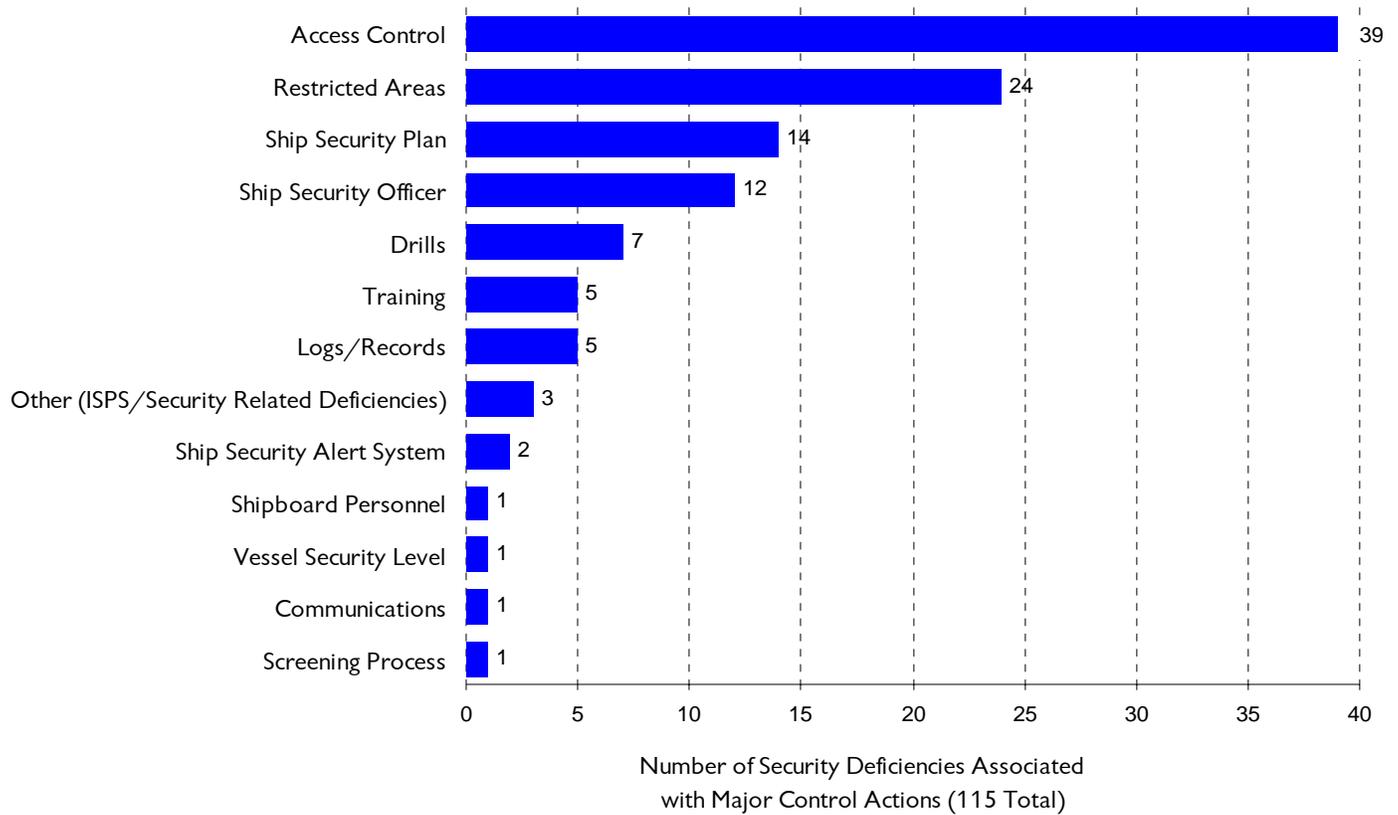
## Flag State Security Compliance Performance Statistics (cont.)

Flag State*	Security Exams	Distinct Arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Liberia	1024	836	2	0.39%
Lithuania	18	13	-	-
Luxembourg	8	7	-	-
Malaysia	28	27	-	-
Malta	427	388	2	0.86%
Marshall Islands	493	431	1	0.45%
Mexico	6	12	1	6.45%
Myanmar (Burma)	10	8	-	-
Netherlands	291	160	1	1.55%
Netherlands Antilles	60	45	-	-
Norway	310	282	3	1.12%
Oman	-	-	-	-
Panama	1819	1634	11	1.12%
Peru	4	1	-	33.33% <sup>1</sup>
Philippines	92	88	-	-
Portugal	13	10	-	-
Qatar	9	7	-	-
Republic of Korea	70	67	-	-
Russian Federation	64	47	2	5.38%
Saint Kitts and Nevis	1	1	-	-
Saint Vincent and the Grenadines	115	76	5	6.05%
Samoa	1	3	-	-
Saudi Arabia	11	8	-	-
Seychelles	3	3	-	-
Sierra Leone	-	-	-	-
Singapore	337	287	-	0.50% <sup>1</sup>
Spain	8	10	-	-
Sweden	34	29	-	-
Switzerland	13	14	-	-
Taiwan	3	2	-	-
Thailand	60	45	-	1.64% <sup>1</sup>
Tonga	4	2	-	-
Trinidad and Tobago	2	2	-	-
Turkey	62	62	2	2.38%
Ukraine	6	5	-	-
United Arab Emirates	3	5	-	-
United Kingdom	176	142	-	-
Vanuatu	47	51	-	-
Venezuela	9	7	-	-
<b>Total</b>	<b>9,117</b>	<b>7,850</b>	<b>51</b>	<b>0.89%</b>

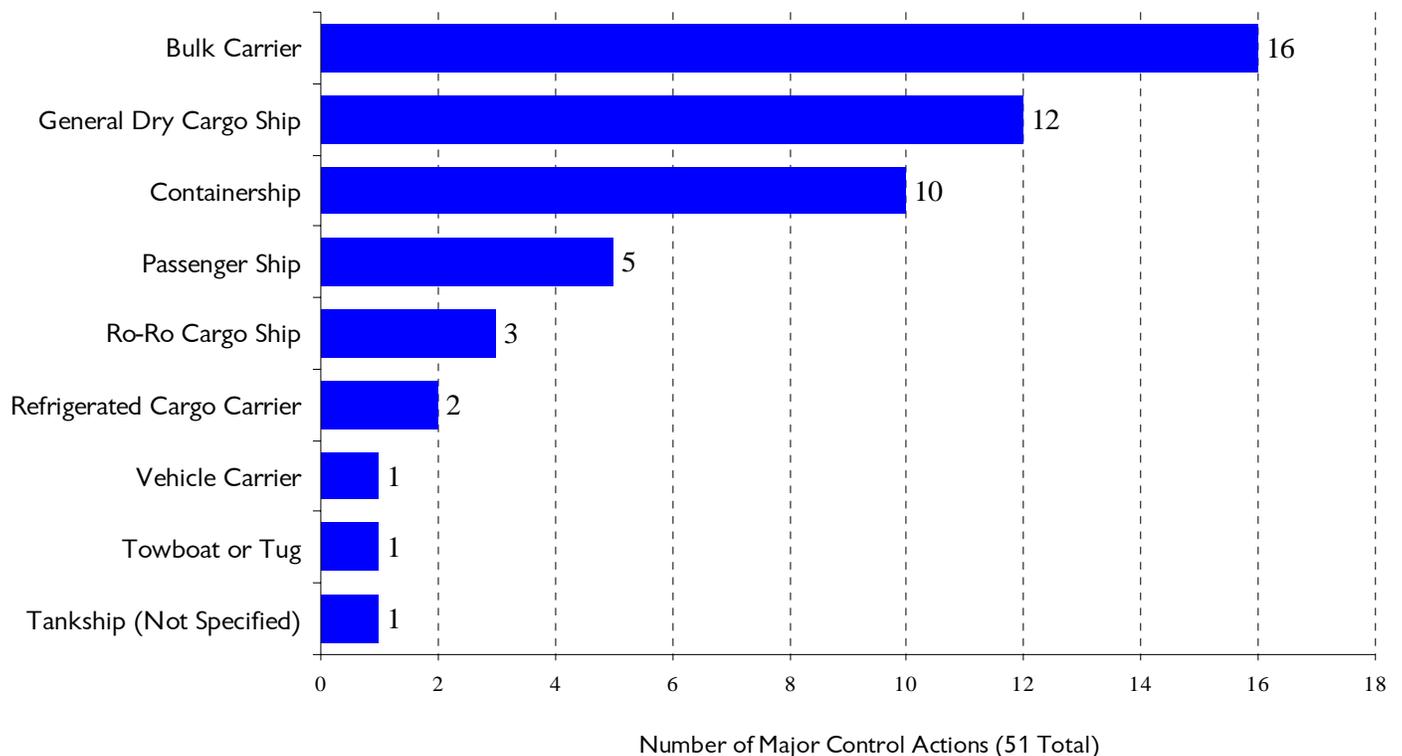
\* If a country has no distinct arrivals to the United States for three consecutive years, that country is not listed.

<sup>1</sup> Based upon previous ISPS performance in 2004

## Security Deficiencies by Category



## Major Control Actions by Vessel Type



## Filtering Guidelines for Relating Classification Societies and 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 (IMO). 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 State. 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
- ◆ SSO 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:

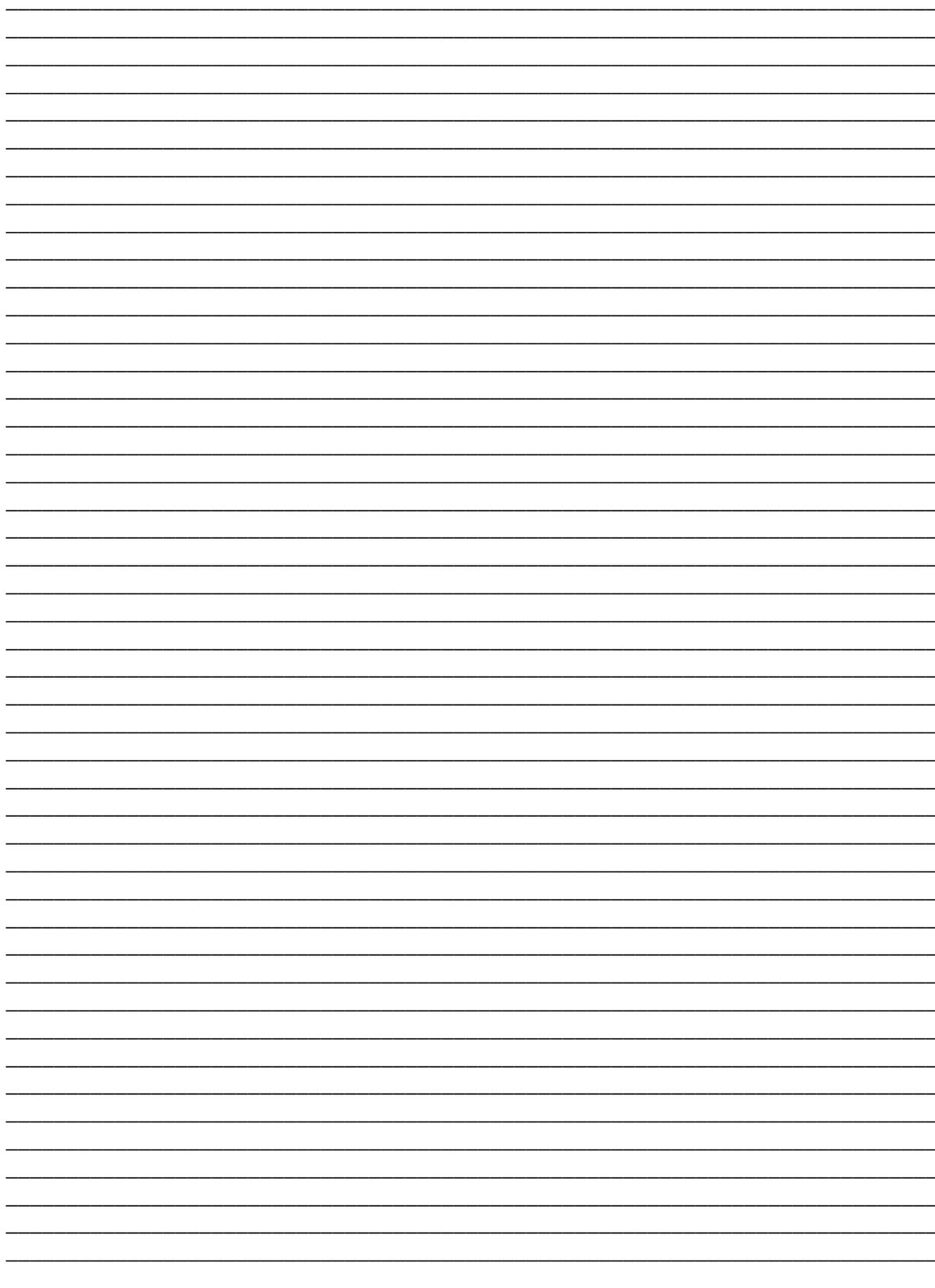
- ◆ Expired ISSC;
- ◆ Other crew anomalies (individual incompetence, unaccounted personnel, fraudulent documents);
- ◆ Failure of human factor issues, such as operational drills and tests.

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 RSO's 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 July 1st, 2006, the Coast Guard will target RSO's based on the number of RSO-related major control actions imposed since June 30th, 2005 (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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<b>5<sup>th</sup> District</b>	431 Crawford St. Portsmouth, VA 23704-5004 Ph.(757)398-6379 Fax (757)398-6503 <a href="http://www.uscg.mil/d5/index.html">http://www.uscg.mil/d5/index.html</a>	<b>13<sup>th</sup> District</b>	915 Second Ave. Seattle, WA 98174-1067 Ph.(206)220-7216 Fax (206)220-7225 <a href="http://www.uscg.mil/d13/default.htm">http://www.uscg.mil/d13/default.htm</a>
<b>7<sup>th</sup> District</b>	909 S.E. First Ave. Miami, FL 33131-3050 Ph.(305)415-6860/1 Fax (305)415-6875 <a href="http://www.uscg.mil/d7/">http://www.uscg.mil/d7/</a>	<b>14<sup>th</sup> District</b>	300 Ala Moana Blvd Honolulu, HI 96850-4982 Ph.(808)541-2114 Fax (808)541-2116 <a href="http://www.uscg.mil/d14/">http://www.uscg.mil/d14/</a>
<b>8<sup>th</sup> District</b>	501 Magazine St. Suite 1328 New Orleans, LA 70130-3396 Ph.(504)589-6271 Fax (504)589-2077 <a href="http://www.uscg.mil/d8/index.htm">http://www.uscg.mil/d8/index.htm</a>	<b>17<sup>th</sup> District</b>	P.O. Box 25517 Juneau, AK 99802-5517 Ph.(907)463-2080 Fax (907)463-2216 <a href="http://www.uscg.mil/d17/index.htm">http://www.uscg.mil/d17/index.htm</a>
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