



Department of Homeland Security
United States Coast Guard



PORT STATE CONTROL IN THE UNITED STATES

ANNUAL REPORT 2009



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I take great pride in presenting our 2009 Annual Port State Control (PSC) Report for the United States. This marks the twelfth edition of our annual report, but this is the first time I've had the pleasure to introduce this report. I have served in a variety of Coast Guard positions throughout the country and recognize the importance of a robust PSC Program. This report provides the opportunity for transparent release of key statistical markers for use by other governmental and private sector entities in their assessments of vessel performance. Although the complete elimination of substandard shipping is a difficult goal to achieve, transparency of performance data is a key tool to obtaining that mark.



Calendar year 2009 marked the fifteenth year of our formal Port State Control Program. In that time we've seen significant internal and external changes to Port State Control. The number of international requirements have significantly increased. In 2009, we saw the entry into force of a number of different requirements, most notably Long Range Identification and Tracking. The United States, along with several other countries, maintained a strong enforcement posture during that implementation and note that most vessels calling on our ports were in compliance with applicable standards. We attribute this high compliance rate with an outreach campaign we put into place prior to full enforcement, so that all parties fully understood the consequences for non-compliance. As a result, we imposed only nine detentions on non-compliant vessels; a much better result than what was originally envisioned. We are encouraged by the worldwide compliance with this important tool for navigation and environmental protection.

Statistically, this year saw significant changes associated with the majority of our targeting elements. The total number of vessels coming to U.S. ports decreased by approximately 8%. Commensurate with the drop in vessel traffic, we noted a 17% reduction for safety examinations and a 9% decrease in security examinations, compared with 2008. We attribute these decreases with the downturn in the global economy and expect that vessel traffic will increase as the world economy improves. With regard to other key statistical markers used in our targeting matrix, we observed the third annual increase in the average detention ratio for safety and environmental protection to 1.92%. On a positive note, we saw continued improvement in security-related performance to an all-time low of only 18 major control actions.

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

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On the Front Cover

Foreign vessel arriving at the Louisiana Offshore Oil Port. USCG Photo by MST3 Valerie Van Tine.

Chapter 1

Port State Control Overview



Left: PSCO Julian Bell, conducts a routine review of engine room spaces during a Port State Control examination. Photo by PA3 Caleb Critchfield. Right: Vessel's starboard rescue boat was unable to be lowered to embarkation deck in a safe manner. Aft davit arm did not release at same time as forward davit arm causing aft falls to freeze while forward falls continued to lower. Photo by USCG Sector Portland. Bottom: Substantial oil leak with inadequate containment procedures implemented. Photo by MSSE2 Scott Gradel.

Highlights in 2009

Vessel Arrivals, Detentions and Examinations Decreased

In 2009, a total of 8,557 individual vessels, from 86 different Flag Administrations, made 75,902 port calls to the United States. The Coast Guard conducted 9,657 SOLAS safety exams and 8,725 ISPS exams on these vessels. The total number of ships detained in 2009 for environmental protection and safety related deficiencies decreased from 176 to 161. The total number of ships detained in 2009 for security related deficiencies decreased from 27 to 18. During calendar year 2009, we saw a drop in nearly all of the key tracking factors, likely owing to the downturn in worldwide economic conditions.

Flag Administration Safety Performance Mixed

Flag Administration safety performance for 2009 decreased from the previous year, with the annual detention rate decreasing from 2.03% to 1.88%. However for the second year in a row, the 3-year rolling detention rose from 1.75% to 1.92%. The Flag Administrations of Cambodia, Egypt and Lithuania were all removed from our Targeted Flag List. We also note that we have added four new Administrations to our QUALSHIP 21 Program and their vessels will be entered into the program automatically, contingent upon the Administration and the vessels themselves meeting other required criteria. Those four Administrations are Canada, Isle of Man, Singapore and Thailand. Notification letters have been sent to these Administrations which contain the details of the process.

Flag Administration Security Performance Continues Improvement

Flag Administration security performance for 2009 continued to improve once again in 2009. The annual Control Action Ratio (CAR) decreased from 0.31% to 0.21%. The Rolling Average CAR dropped from 0.41% to 0.34% for performance from January 1, 2007 to December 31, 2009. Due to the continued excellent Flag Administration security compliance performance, we will maintain the targeting point for the Flag Administration Control Action Ratio at 1.50%.

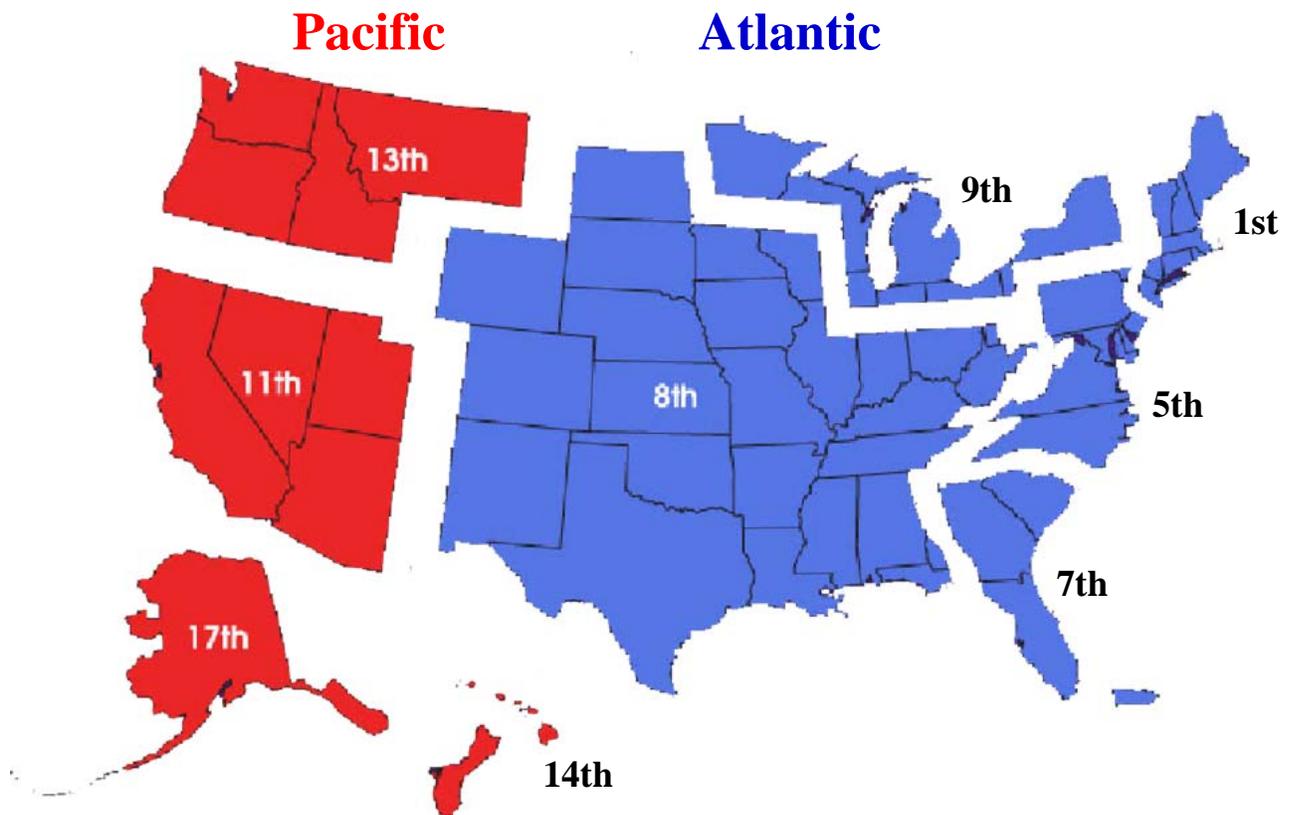
Change in Recognized Organization Detention Association Criteria

The U.S. Coast Guard's Port State Control (PSC) Program uses a defined set of guidelines during our review of PSC detentions, to determine if the substandard conditions were associated with the work of Recognized Organizations (RO) on that vessel. These guidelines have remained primarily unchanged for nearly a decade. In time, other PSC organizations have developed similar guidelines for the assessment of RO responsibility. In an effort to harmonize our policy with that of our international port state control partners, we have made some changes to our guidelines. We are taking this step to ensure that ROs clearly understand the expectations for them across the globe and ensure there is no misinterpretation. The full text of the new guidelines can be found on Page 12 of this report.

Vessel Banning Policy

In 2009, a trend was noted for a small population of vessels repeatedly calling on U.S. ports in a substandard condition. These vessels are often times subject to three or more detentions during the calendar year and posed a significant environmental and safety risk to U.S. ports. Although legislative authority exists to ban vessels from U.S. waters, a formal policy to implement that authority had not been developed. In response to the conditions we found in 2009, a policy was developed which may ban vessels from calling on U.S. ports, whenever a vessel is subject to three detentions within the previous twelve months and wherever failure to effectively implement the Safety Management System is a contributing factor for the substandard conditions that led to the detentions.

Port State Control Statistics By Region



District	Ship Visits	Safety Examinations Conducted	Detentions	Security Examinations Conducted	Major Control Actions
1st	7,081	1,100	18	925	0
5th	6,961	1,091	9	992	1
7th	24,545	1,705	47	1,540	7
8th	21,178	3,250	53	2,904	7
9th	2,042	108	0	208	0
11th	7,380	1,097	10	1,001	0
13th	3,426	833	20	810	2
14th	1,384	325	4	237	1
17th	1,905	148	0	108	0
Total	75,902	9,657	161	8,725	18

Port State Control Statistics by Port

Coast Guard Officer in Charge of Marine Inspection/Port	Coast Guard District	Safety Examinations	Detentions	Security Examinations	Major Control Actions
Sector Anchorage	17	94	0	76	0
Sector Baltimore	5	202	3	185	1
Sector Boston	1	151	5	89	0
Sector Buffalo	9	37	0	131	0
Sector Charleston	7	139	1	121	0
Sector Corpus Christi	8	298	2	272	1
Sector Delaware Bay	5	477	5	403	0
Sector Detroit	9	24	0	12	0
Marine Safety Unit Duluth	9	23	0	46	0
Sector Guam	14	68	1	58	0
Sector Hampton Roads	5	298	0	288	0
Sector Honolulu	14	257	3	179	1
Sector Houston	8	1,071	15	1,001	0
Sector Jacksonville	7	226	4	180	1
Sector Juneau	17	54	0	32	0
Sector Key West	7	2	0	0	0
Sector Lake Michigan	9	19	0	16	0
Sector Long Island Sound	1	71	0	77	0
Sector Los Angeles	11	669	2	657	0
Sector Miami	7	390	27	402	1
Sector Mobile	8	280	2	275	1
Marine Safety Unit Morgan City	8	132	1	101	0
Sector New Orleans	8	1,251	31	1,073	5
Sector New York	1	704	5	614	0
Sector North Carolina	5	22	0	32	0
Sector Northern New England	1	116	1	101	0
Marine Safety Unit Port Arthur	8	218	2	182	0
Sector Portland	13	443	14	443	1
Sector San Diego	11	79	0	66	0
Sector San Francisco	11	349	8	278	0
Sector San Juan	7	451	7	357	1
Sector Sault Ste Marie	9	5	0	3	0
Marine Safety Unit Savannah	7	238	0	218	0
Sector Seattle	13	390	6	367	1
Sector Southeastern New England	1	58	7	44	0
Sector St. Petersburg	7	259	8	262	4
Marine Safety Unit Wilmington	5	92	1	84	0
Total	N/A	9,657	161	8,725	18

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

History of Safety and Security Performance for All Flag Administrations

The following definitions apply to the table below:

Distinct Arrival: A vessel subject to the U.S. Port State Control Program, which called upon at least one U.S. port during the calendar year. A vessel that called upon numerous U.S. ports in 2009 only counts as one distinct arrival.

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

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

3-Year Average Detention Ratio: The 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 exist indicating that a ship is not in compliance with the requirements of SOLAS Chapter XI, or part A of the ISPS Code.

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

Average ISPS Control Action Ratio (CAR): The average of the Annual ISPS Control Action Ratio data from January 2007 to December 2009. If the average is lower than 1.5%, the CAR, for targeting purposes, will be set at 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
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% ¹	-
2005	7,850	127	1.61%	2.00%	51	0.65%	0.89% ²
2006	8,178	110	1.35%	1.78%	35	0.43%	0.80% ²
2007	8,281	152	1.82%	1.60%	42	0.51%	0.53% ²
2008	8,661	176	2.03%	1.75%	27	0.31%	0.41% ²
2009	8,557	161	1.88%	1.92%	18	0.21%	0.34% ²

¹ Average based upon 6,093 distinct arrivals from 1 July 2004 - 31 December 2004

² Port State Control program fixed the annual security performance 1.5%

Port State Control Appeal Process

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

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

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

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

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

HQS-PF-fldr-CG-543@uscg.mil

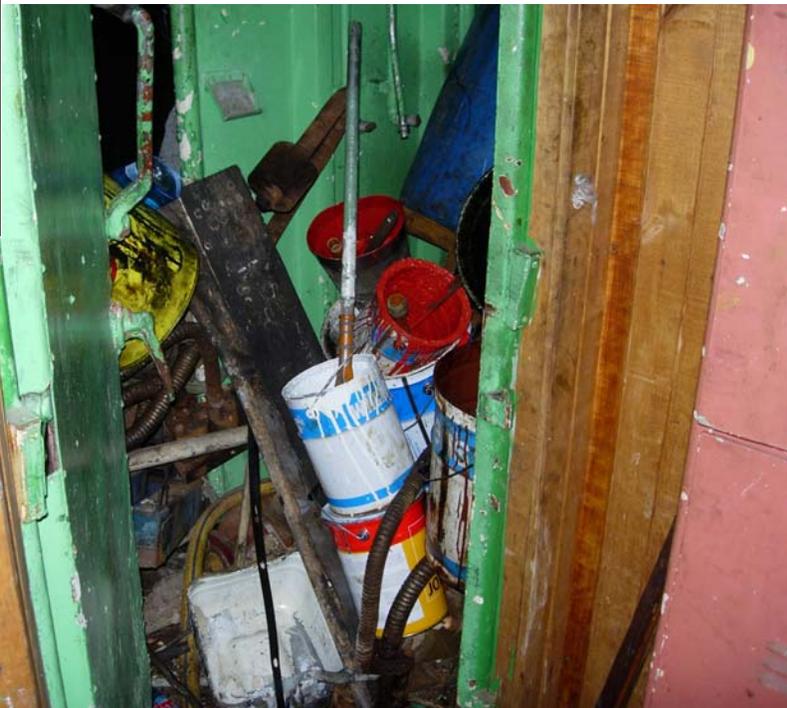
For All Other Detentions (Safety and Security)

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

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

Chapter 2

Safety and Environmental Compliance Performance



Top: A fuel oil strainer in a state of disrepair. Photo by USCG Sector Portland. Bottom: A storage locker containing various hazardous materials and conditions. USCG photo by MSSE2 Scott Gradel.

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 Recognized Organization (classification society) has a detention ratio equal to or greater than 2%. Port entry may be restricted until the Coast Guard examines the vessel.

Priority (P)II Vessel

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

Non-Priority Vessel (NPV)

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

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

Flag Administration Safety Compliance Performance

The Coast Guard targets flag Administrations for additional Port State Control examinations if their detention ratio scores higher than the overall average for all flags, and if an Administration is associated with more than one detention in the past three years. We calculate detention ratios using three years of Port State Control data (2007-2009). Flags with only one detention in the past three years are removed from the targeted flag list.

Overall flag Administration performance declined, with the three-year running detention ratio increasing from 1.75% to 1.92%. The tables below illustrate Administrations that are on the 2010 Port State Control Safety Targeting Matrix, and Administrations that are removed.

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

	2007-2009 Detention Ratio
Bolivia *	22.22%
Chile	9.09%
Cook Islands	24.00%
Croatia	4.17%
Honduras	31.43%
Mexico	4.55%
Russian Federation	4.08%
Saint Kitts and Nevis *	14.29%
Saint Vincent and the Grenadines	12.71%
Venezuela *	25.00%

* Administrations not targeted last year

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

	2007-2009 Detention Ratio
Antigua and Barbuda	2.25%
The Bahamas *	1.95%
Belize *	2.47%
Gibraltar *	2.63%
Italy	2.48%
Malta	3.09%
Netherlands	2.47%
Panama	2.93%
Republic of Korea *	2.36%
Turkey	2.84%

* Administrations not targeted last year

Flag Administrations Removed From Last Year's Targeted List

	Number of Detentions (2007-2009)	2007-2009 Detention Ratio
Cambodia	0	0.00%
Egypt	1	5.00%
Lithuania	1	1.85%

Flag Administration Safety Compliance Performance Statistics

Flag ^	Safety Exams	Exams with Deficiencies	Distinct Arrivals	Safety Detentions	2007-2009 Detention Ratio
Algeria	2	1	2	0	0.00%
Antigua and Barbuda	326	102	299	6	2.25%
Argentina	0	0	0	0	0.00%
Austria	0	0	0	0	0.00%
The Bahamas	781	207	589	10	1.95%
Bahrain	3	0	2	0	0.00%
Barbados	31	6	27	0	0.00%
Belgium	21	4	20	0	1.64%
Belize	31	13	27	2	2.47%
Bermuda	103	23	72	2	1.37%
Bolivia	28	5	5	2	22.22%
Brazil	0	0	0	0	100.00%
Bulgaria	3	1	6	0	0.00%
Burma	1	1	1	0	0.00%
Cambodia	0	0	1	0	0.00%
Canada	83	18	94	0	0.74%
Cayman Islands	99	27	114	1	1.63%
Chile	12	5	6	0	9.09%
China	118	29	119	0	0.60%
Colombia	1	0	2	0	0.00%
Cook Islands	18	20	12	6	24.00%
Croatia	27	2	24	0	4.17%
Cyprus	303	84	274	4	1.61%
Denmark	104	32	97	1	0.35%
Dominica	9	3	4	0	3.85%
Ecuador	3	0	2	0	0.00%
Egypt	6	2	7	0	5.00%
Faroe Islands	2	0	2	0	0.00%
Finland	6	3	5	0	0.00%
France	26	3	25	0	0.00%
Germany	145	42	151	1	0.50%
Gibraltar	32	7	33	1	2.63%
Greece	394	61	390	0	0.61%
Guyana	0	0	0	0	100.00%
Honduras	23	14	9	6	31.43%
Hong Kong	436	99	471	4	1.08%
India	23	4	28	1	1.60%
Indonesia	1	1	1	0	0.00%
Ireland	4	1	3	0	0.00%
Isle of Man	128	31	124	0	0.82%
Israel	6	0	8	0	0.00%
Italy	137	46	123	2	2.48%
Jamaica	8	2	8	0	4.55%
Japan	47	14	42	0	0.87%
Kiribati	5	2	3	0	12.50%
Kuwait	2	1	2	0	8.33%
Latvia	3	1	2	0	9.09%
Liberia	1,099	292	958	7	1.06%

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

Flag Administration Safety Compliance Performance Statistics (cont.)

Flag ^	Safety Exams	Exams with Deficiencies	Distinct Arrivals	Safety Detentions	2007-2009 Detention Ratio
Libya	9	2	7	0	0.00%
Lithuania	22	9	16	0	1.85%
Luxembourg	3	1	3	0	0.00%
Malaysia	32	8	31	0	0.00%
Malta	446	139	378	15	3.09%
Marshall Islands	667	187	588	5	0.70%
Mexico	13	3	8	0	4.55%
Netherlands	229	66	189	2	2.47%
Netherlands Antilles	52	15	36	2	1.57%
New Zealand	4	4	4	0	0.00%
Norway	312	61	264	2	0.97%
Pakistan	1	0	1	0	0.00%
Panama	1,996	563	1,776	48	2.91%
Peru	2	1	1	0	0.00%
Philippines	81	35	73	1	1.44%
Poland	0	0	0	0	0.00%
Portugal	14	4	11	1	2.94%
Qatar	4	0	6	0	0.00%
Republic of Korea	73	24	83	3	2.36%
Russian Federation	15	5	13	0	4.08%
Saint Kitts and Nevis	9	10	5	1	14.29%
Saint Vincent and the Grenadines	104	42	52	11	12.71%
Samoa	6	1	4	0	8.33%
Saudi Arabia	20	9	10	1	4.76%
Seychelles	4	1	3	0	0.00%
Sierra Leone	3	7	1	1	100.00%
Singapore	434	111	400	4	0.90%
Slovakia	1	0	3	0	0.00%
South Africa	3	2	1	0	0.00%
Spain	18	3	6	0	4.76%
Sri Lanka	1	1	1	0	0.00%
Sweden	39	15	35	0	0.00%
Switzerland	18	3	16	0	0.00%
Taiwan	9	6	12	0	3.33%
Thailand	34	10	36	0	0.00%
Tonga	2	1	1	0	0.00%
Trinidad and Tobago	1	0	1	0	0.00%
Turkey	50	14	44	2	2.84%
Tuvalu	4	3	3	0	0.00%
Ukraine	0	0	0	0	0.00%
United Arab Emirates	6	2	5	0	0.00%
United Kingdom	178	37	165	3	1.16%
Vanuatu	85	29	59	0	1.05%
Venezuela	4	3	3	2	25.00%
Vietnam	9	5	9	1	5.56%
Total	9,657	2,651	8,557	161	1.92%

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

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

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

These criteria apply only to detainable deficiencies that are:

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

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

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

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

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

Recognized Organization Safety Compliance Performance

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

A detention ratio less than 0.5%	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

Recognized Organization (RO)	Abbreviation	Distinct Vessel Arrivals				RO-Related Detentions				Ratio
		2007	2008	2009	Total	2007	2008	2009	Total	
American Bureau of Shipping	ABS	1,015	1,475	1,422	3,912	-	1	-	1	0.03%
Bulgarian Register of Shipping	BKR	7	3	1	11	-	-	-	0	0.00%
Bureau Veritas	BV	1,015	975	912	2,902	1	1	1	3	0.10%
China Classification Society	CCS	174	280	278	732	-	-	-	0	0.00%
China Corporation Register of Shipping	CR	9	21	4	34	-	-	-	0	0.00%
Classification Bureau of Indonesia	CBI	-	-	2	2	-	-	-	0	0.00%
Det Norske Veritas	DNV	1,426	2,136	1,951	5,513	1	-	1	2	0.04%
Germanischer Lloyd	GL	944	1,138	1,174	3,256	-	-	-	0	0.00%
Global Marine Bureau	GMB	-	3	-	3	-	-	-	0	0.00%
Hellenic Register of Shipping	HRS	1	33	25	59	-	-	-	0	0.00%
Indian Register of Shipping	IRS	17	38	24	79	-	-	-	0	0.00%
Intermaritime Certification Services	IMC	-	7	14	21	-	-	-	0	0.00%
International Register of Shipping	IROS	2	7	12	21	-	-	-	0	0.00%
Isthmus Maritime Classification S.A.	IMCS	1	1	-	2	-	-	-	0	0.00%
Korean Register of Shipping	KRS	203	253	264	720	-	-	-	0	0.00%
Lloyd's Register	LR	1,498	2,042	1,703	5,243	1	2	1	4	0.08%
Nippon Kaiji Kyokai	NKK	1,795	1,958	1,805	5,558	1	2	-	3	0.05%
Panama Bureau of Shipping	PBS	-	-	55	5	-	-	-	0	0.00%
Panama Maritime Survey and Certification	PMSCS	-	-	33	3	-	-	-	0	0.00%
Panama Maritime Surveyors Bureau	PMS	-	1	-	1	-	-	-	0	0.00%
Panama Register Corporation	PRC	-	8	4	12	-	-	-	0	0.00%
Panama Shipping Register	PSR	-	-	44	4	-	-	-	0	0.00%
Phoenix Register of Shipping	PHRS	2	-	-	2	-	-	-	0	0.00%
Polski Rejestr Statkow	PRS	36	42	30	108	-	-	-	0	0.00%
Registro Italiano Navale	RINA	211	237	183	631	-	-	-	0	0.00%
Rinava Portuguesa	RP	1	3	3	7	-	-	-	0	0.00%
Romanian Naval Register	RNR	-	-	11	1	-	-	-	0	0.00%
Russian Maritime Register of Shipping	RS	174	144	128	446	1	1	-	2	0.45%
Turkish Lloyd	TL	2	2	-	4	-	-	-	0	0.00%
Vietnam Register of Shipping	VR	1	7	6	14	-	-	-	0	0.00%
Croatian Register of Shipping	CRS	39	33	27	99	-	1	-	1	1.01%
Isthmus Bureau of Shipping	IBS	14	24	17	55	-	1	-	1	1.82%
Honduras International Naval Survey and Inspection Bureau	HINSB	5	4	-	9	1	1	-	2	11.76%
Horizon International Naval Survey and Inspection Bureau	HNS	7	7	3	17	2	-	-	2	22.22%
International Naval Surveys Bureau	INSB	3	7	6	16	-	1	-	1	6.25%
Panama Maritime Documentation Service	PMDS	8	24	37	69	3	-	-	3	4.35%
Universal Shipping Bureau	USB	21	18	7	46	1	-	6	7	15.22%

Quality Shipping for the 21st Century

The Quality Shipping for the 21st Century program, or QUALSHIP 21, recognizes and rewards vessels, as well as their owners and Flag Administrations, for their commitment to safety and quality. To encourage maritime entities to participate, incentives such as certificates, name recognition, and a reduction in PSC examination frequency are given to participants. The criteria for inclusion are very strict and less than ten percent of all foreign-flagged ships that operate in the United States have earned the QUALSHIP 21 designation.

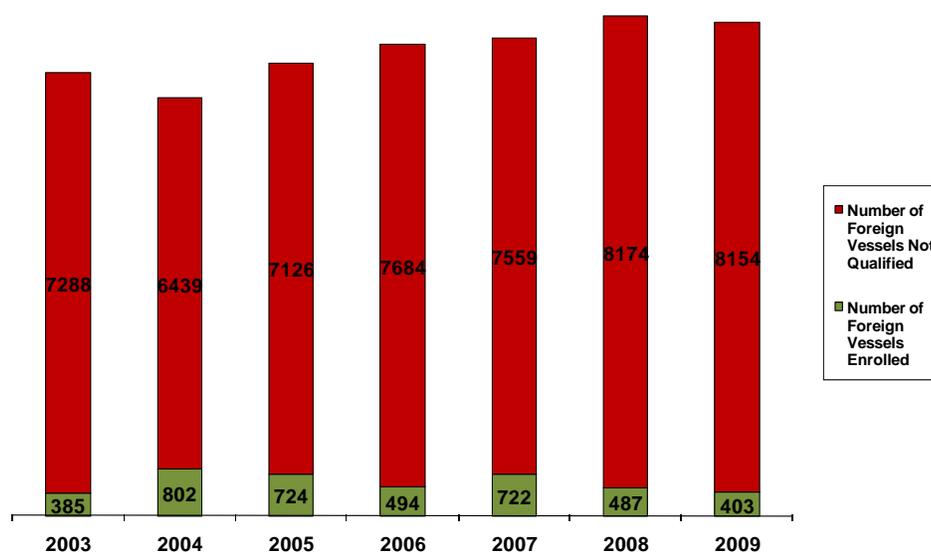
One of the eligibility requirements for a vessel to be enrolled into the program is for the vessel’s Flag Administration to also be qualified. Only those Administrations that have demonstrated the highest commitment to the safety and quality of their vessels will be eligible and recognized as a QUALSHIP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

The QUALSHIP 21 program ended calendar year 2009 with an enrollment of 403 vessels. There were twenty eligible registries last year to the U.S. For the upcoming year, the number of qualifying registries has decreased to sixteen. Those countries marked with an “*” below require submission of an IMO Self-Assessment Form (SAF) to be fully qualified.

Qualifying Registries for 2010

Barbados	Greece	Norway
Canada	Isle of Man	Singapore
China	Japan *	Sweden
Denmark	Malaysia *	Switzerland *
France	Marshall Islands	Thailand *
Germany		

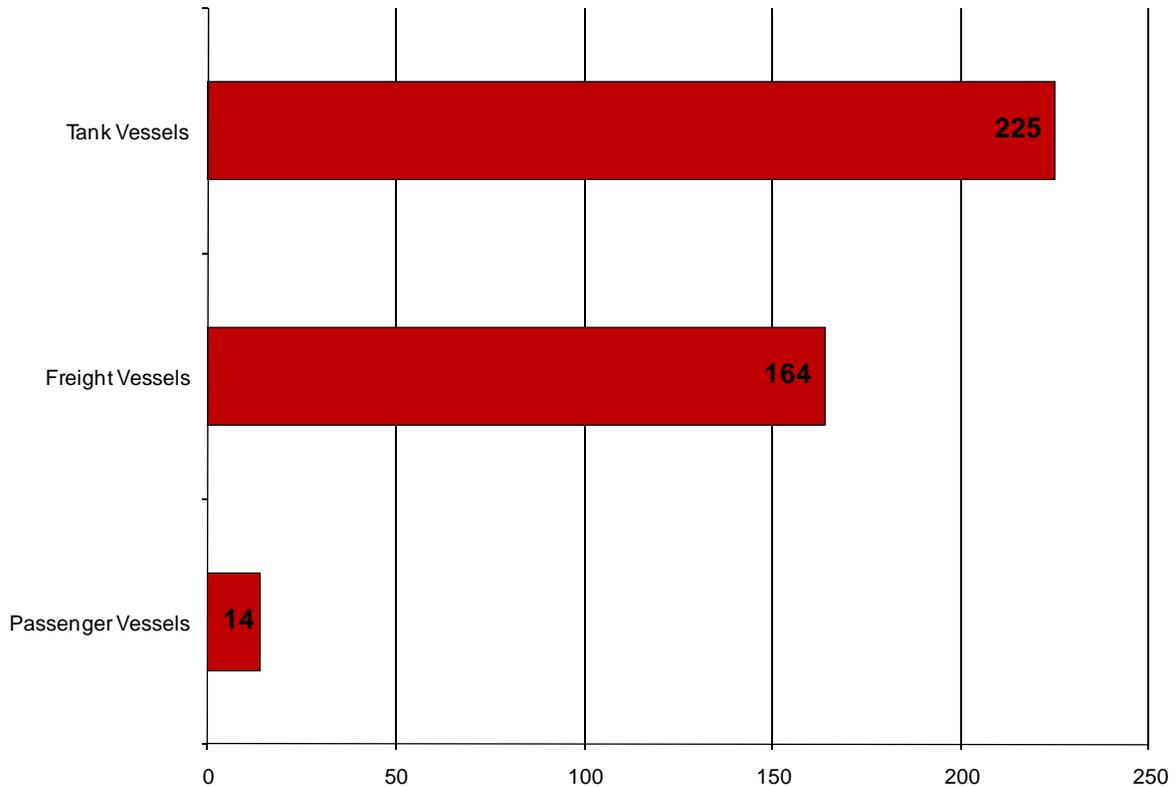
YEARLY QUALSHIP 21 ENROLLMENT (2003-2009)



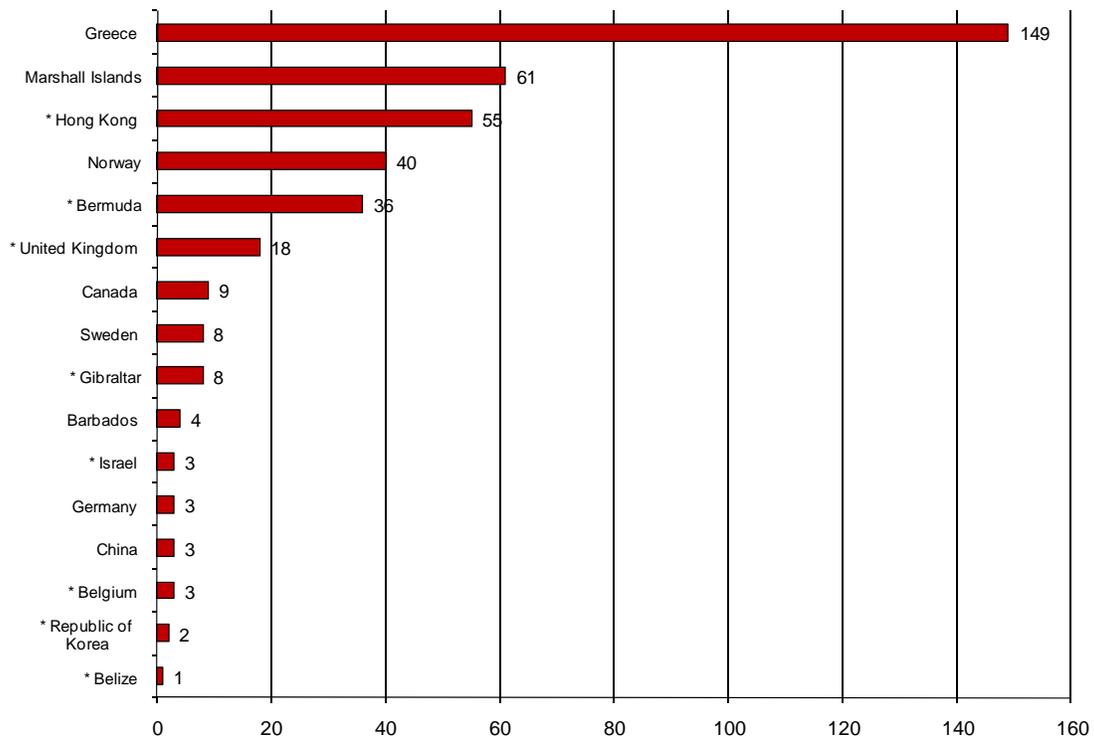
For more information the QUALSHIP 21 program, including a complete listing of qualifying vessels, please consult our website at <http://homeport.uscg.mil/psc>

Quality Shipping for the 21st Century (continued)

Number of Qualship Vessels by Type

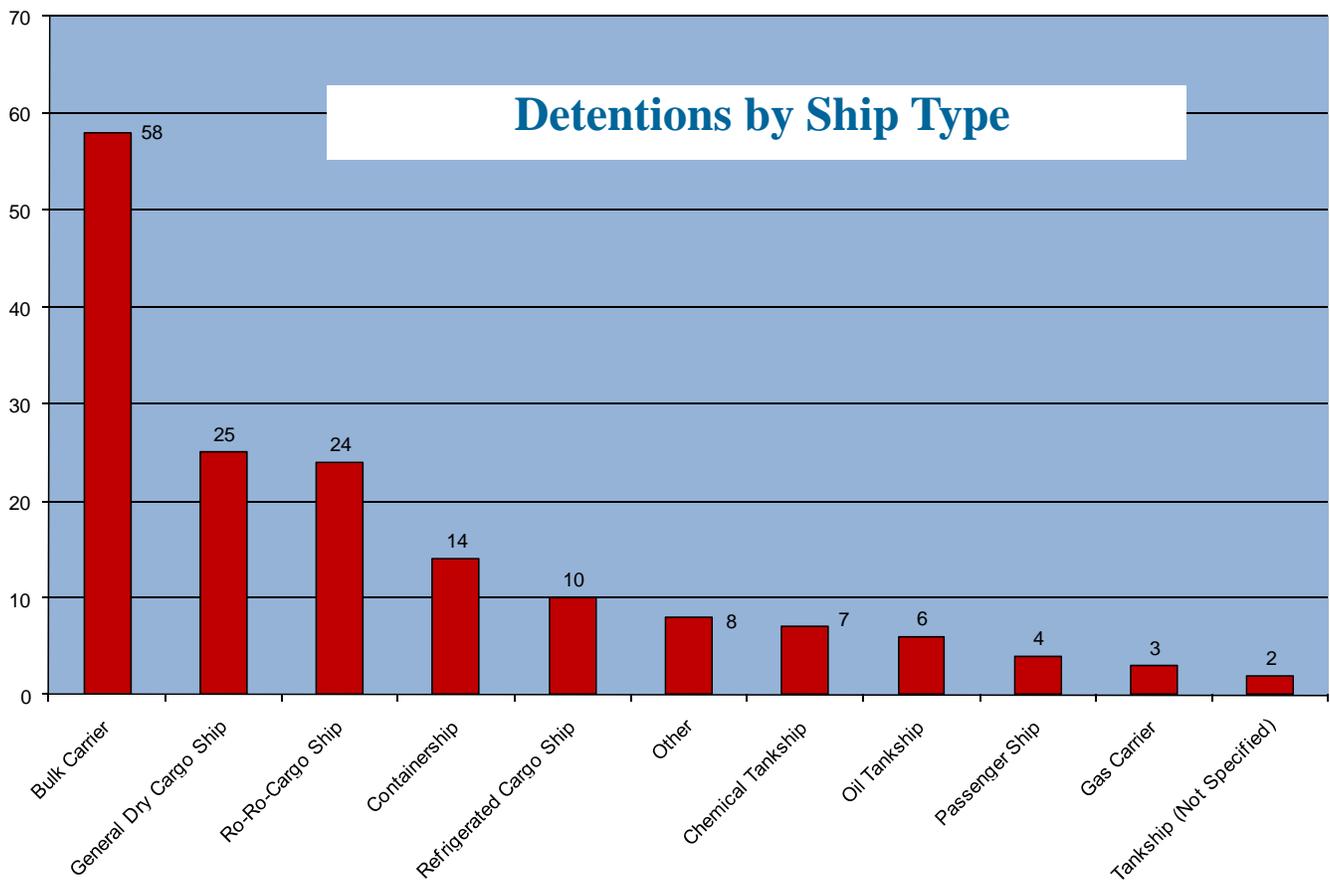
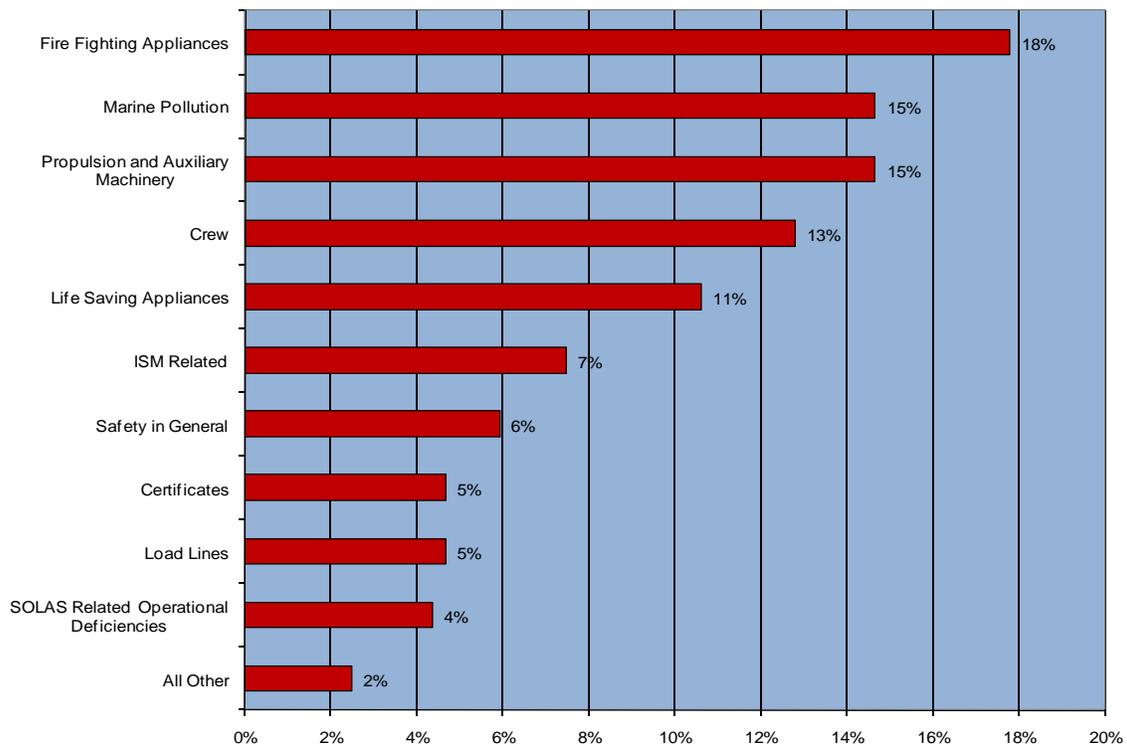


Number of Qualship Vessels by Flag Administration



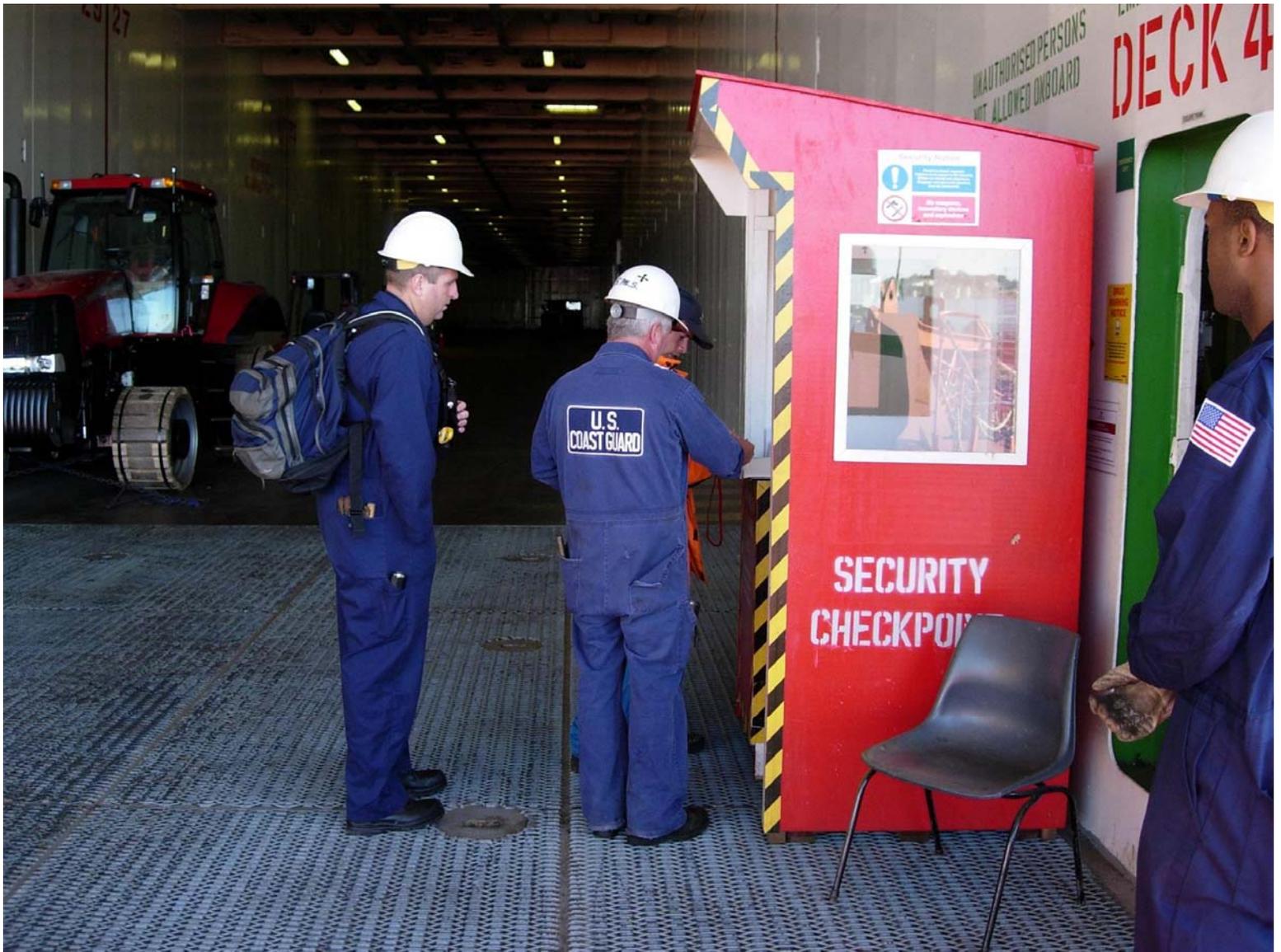
* Vessels registered under these Flag Administrations will fall out of the program when their QS21 certificate expires

Types of Safety Deficiencies



Chapter 3

Security Compliance Performance



Coast Guard Personnel are screened prior to vessel entry. USCG photo by MSSE2 Scott Gradel.

ISPS/MTSA Security Compliance Targeting Matrix

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

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

Flag Administration Security Compliance Performance

The Coast Guard targets flag Administrations for additional ISPS examinations if their Control Action Ratio (CAR) scores higher than the overall average for all flags, and if an Administration is associated with more than one major control action in the past three years. We calculate major Control Action Ratios based upon three years of enforcement data (January 2007-December 2009).

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

As a result of continued high security compliance rates, in calendar year 2010 only two Administrations will be targeted.

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

	2007-2009 Control Action Ratio
Honduras	5.71%

* Administration not targeted last year

Flag Administrations Receiving 2 points in Column II of ISPS/MTSA Targeting Matrix

	2007-2009 Control Action Ratio
Saint Vincent and the Grenadines	1.66%

Flag Administration Security Compliance Performance Statistics

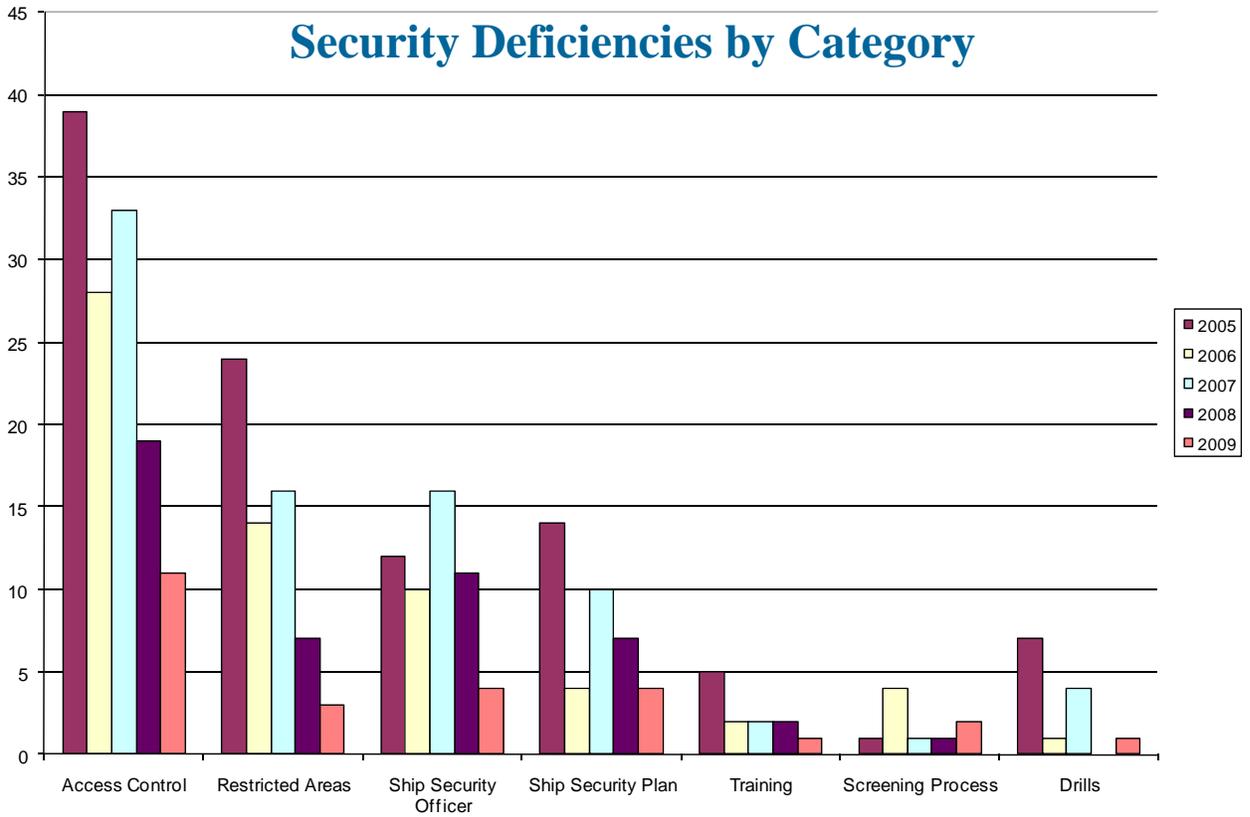
Flag ^	Security Exams	Exams with Deficiencies	Distinct Arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Algeria	2	0	2	0	0.00%
Antigua and Barbuda	347	6	299	0	0.12%
Argentina	0	0	0	0	0.00%
Austria	0	0	0	0	0.00%
The Bahamas	674	11	589	0	0.22%
Bahrain	3	0	2	0	0.00%
Barbados	32	1	27	0	0.00%
Belgium	18	0	20	0	0.00%
Belize	29	1	27	0	0.00%
Bermuda	75	1	72	0	0.00%
Bolivia	22	0	5	0	0.00%
Brazil	0	0	0	0	0.00%
Bulgaria	2	0	6	0	0.00%
Burma	1	0	1	0	0.00%
Cambodia	0	0	1	0	0.00%
Canada	76	4	94	0	0.00%
Cayman Islands	89	2	114	0	0.33%
Chile	10	1	6	0	0.00%
China	107	3	119	0	0.30%
Colombia	1	0	2	0	0.00%
Cook Islands	12	0	12	0	2.00%
Croatia	23	1	24	0	0.00%
Cyprus	291	6	274	0	0.35%
Denmark	84	3	97	0	0.35%
Dominica	6	0	4	0	0.00%
Ecuador	2	0	2	0	0.00%
Egypt	5	0	7	0	0.00%
Faroe Islands	1	0	2	0	0.00%
Finland	5	1	5	0	0.00%
France	20	0	25	0	0.00%
Germany	127	4	151	0	0.00%
Gibraltar	36	2	33	0	0.00%
Greece	381	4	390	0	0.09%
Guyana	0	0	0	0	100.00
Honduras	18	3	9	1	5.71%
Hong Kong	465	13	471	3	0.50%
India	21	0	28	0	0.00%
Indonesia	1	0	1	0	0.00%
Ireland	3	1	3	0	0.00%
Isle of Man	118	2	124	0	0.55%
Israel	7	1	8	0	0.00%
Italy	108	3	123	0	0.00%
Jamaica	8	0	8	0	4.55%
Japan	38	0	42	0	0.00%
Kiribati	3	0	3	0	0.00%
Kuwait	2	0	2	0	0.00%
Latvia	1	0	2	0	0.00%
Liberia	958	20	958	1	0.18%

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

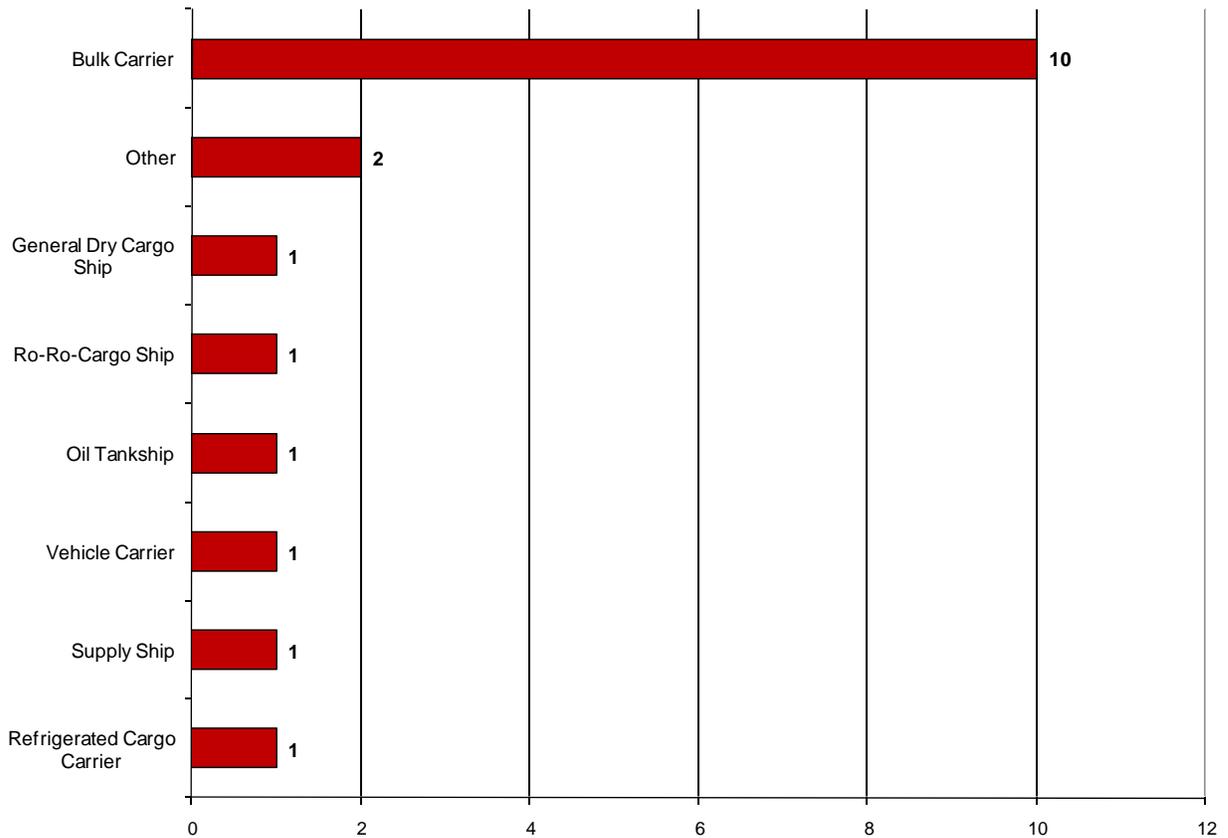
Flag Administration Security Compliance Performance Statistics (cont.)

Flag ^	Security Exams	Exams with Deficiencies	Distinct Arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Libya	9	0	7	0	0.00%
Lithuania	19	1	16	1	1.85%
Luxembourg	3	0	3	0	0.00%
Malaysia	26	0	31	0	0.00%
Malta	413	9	378	1	0.27%
Marshall Islands	601	12	588	1	0.12%
Mexico	11	1	8	0	2.27%
Netherlands	205	4	189	0	0.76%
Netherlands Antilles	47	2	36	0	0.00%
New Zealand	0	0	4	0	0.00%
Norway	257	7	264	1	0.24%
Pakistan	1	0	1	0	0.00%
Panama	1,805	74	1,776	7	0.61%
Peru	2	0	1	0	0.00%
Philippines	74	1	73	0	0.96%
Poland	0	0	0	0	0.00%
Portugal	12	0	11	0	0.00%
Qatar	4	0	6	0	0.00%
Republic of Korea	58	6	83	1	0.39%
Russian Federation	15	0	13	0	0.00%
Saint Kitts and Nevis	10	0	5	0	0.00%
Saint Vincent and the Grenadines	84	2	52	0	1.66%
Samoa	3	1	4	0	0.00%
Saudi Arabia	24	0	10	0	0.00%
Seychelles	4	0	3	0	0.00%
Sierra Leone	4	4	1	0	0.00%
Singapore	412	12	400	0	0.00%
Slovakia	1	0	3	0	0.00%
South Africa	1	0	1	0	0.00%
Spain	6	0	6	0	0.00%
Sri Lanka	2	0	1	0	0.00%
Sweden	39	4	35	0	0.00%
Switzerland	19	1	16	0	0.00%
Taiwan	4	0	12	0	3.33%
Thailand	28	1	36	0	0.00%
Tonga	1	0	1	0	0.00%
Trinidad and Tobago	1	0	1	0	0.00%
Turkey	45	0	44	0	0.71%
Tuvalu	3	0	3	0	0.00%
Ukraine	0	0	0	0	0.00%
United Arab Emirates	6	1	5	0	0.00%
United Kingdom	163	4	165	0	0.19%
Vanuatu	59	1	59	0	0.00%
Venezuela	4	1	3	0	8.33%
Vietnam	8	1	9	1	5.56%
Total	8,725	244	8,557	18	

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



Major Control Actions by Vessel Type



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

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

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

- ◆ Serious deficiencies relating to security equipment or arrangement (e.g., missing or improperly maintained equipment);
- ◆ Lack of effective and systematic implementation of a requirement of the Ship Security Plan;
- ◆ Ineffective Ship Security Plan approved by the RSO; or
- ◆ 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 RSOs based on the number of RSO-related major control actions imposed in the past 12 months. The Coast Guard updates the targeting statistics each month. For example, on September 1st, 2009, the Coast Guard targeted RSOs based on the number of RSO-related major control actions imposed since August 31st, 2008 (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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