

Seatrade 2004

U.S. Coast Guard Forum

March 2004



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Coast Guard Forum Participants

- Captain Joseph Servidio, Chief, Office of Compliance
- Captain Michael Rand, Chief, Vessel & Facility Security
- Michael W. Brown, International Port Facility Program
- Captain Steve Sawyer, Chief, Office of Search and Rescue
- Rick Janelle, Passenger Vessel Program Outreach and Coordination Specialist
- LCDR Buddy Reams, USCG Marine Safety Center
- John Sedlak, Control Verification Exam Program Manager



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U.S. ISPS / MTTSA Implementation

Port State Control Flow Process

- Port Security Targeting
- ISPS Targeting
- PSC Targeting
- Compliance & Verification Exams
- Control Actions

Consistency of Action

ISPS Trends – U.S. Arrival Information

What Happens 01 July 2004?

33 CFR 120 & 128 Requirements

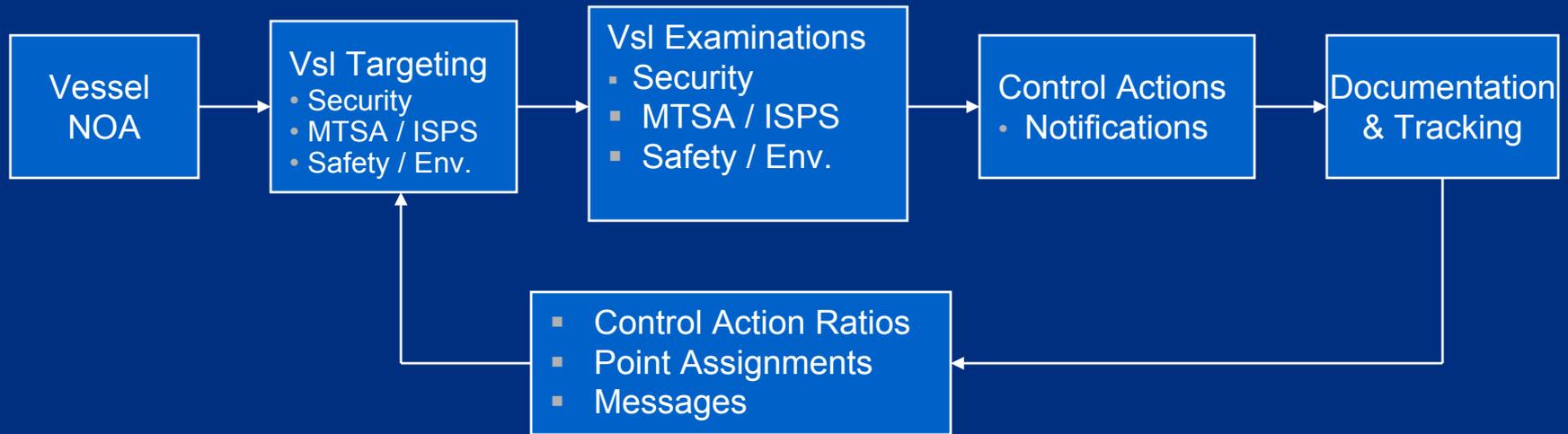


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Port State Control: Process Flow



- Consistent application of guidance
- Flexible use of appropriate control actions
- Flag State responsibility for SOLAS vessel VSPs



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Vessel Targeting – Security Risk

- “High Interest” determined by Operational Commander
- Classified Screening Tool – Summary Message & Warning Spot Reports for Vessels of Intelligence Interest
- Multiple Risk Factors
 - Address Potential Consequence risk
 - Address Potential Probability risk
- Boardings generally conducted armed



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Vessel Targeting – ISPS / MTSA Risk

- Unclassified Screening Tool targets ISPS & MTSA Compliance
- Four factors – Ship Mgmt, Flag, RSO, Compliance History
- Prior-to-entry screening of every arrival after 01JUL04
 - Verification exams begin 01 April; no Control Actions taken
- Most compliance exams conducted in port; P-I boardings at-sea
- Random targeting to be conducted at an additional rate
- Control Actions taken against vessels with security deficiencies
- Tracked separately from present PSC data (at least initially)



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Vessel Targeting – ISPS / MTSA Risk

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



Vessel Targeting – Present PSC Risk

- Unclassified Screening Tool
- Targets present IMO & US reg safety / environmental risks
- Five factors – Ship Mgmt, Flag, RO, Vessel History, Ship Type
- Tracked separately from Security Compliance (at least initially)



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Vessel Targeting – Present PSC Risk

| COLUMN I | COLUMN II | COLUMN III | COLUMN IV | COLUMN V |
|---|--------------------------------------|--|--|--|
| SHIP MANAGEMENT | FLAG | CLASSIFICATION SOCIETY | VESSEL HISTORY | SHIP TYPE |
| 5 Points Listed Owner, Operator, or Charterer | 7 Points Listed Flag State | Priority 1 A detention ratio equal to or greater than 2% | 5 Points Each Detention within the previous 12 months. | 1 Point Oil or chemical Tanker |
| | | 5 Points A detention ratio equal to 1% or less than 2% | 1 Point Each Other operational control within the previous 12 months | 1 Point Gas Carrier |
| | | 3 Points A detention ratio equal to 0.5% or less than 1% | 1 Point Each Casualty within the previous 12 months. | 2 Points Bulk Freighter over 10 years old. |
| | | 0 Points A detention ratio less than 0.5% | 1 Point Each Violation within the previous 12 months. | 1 Point Passenger Ship |
| | | | 1 Point Each Not boarded within the previous 6 months. | 2 Points Carrying low value commodities in bulk. |
| | | | | TOTAL: |



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ISPS Compliance & Verification Exams

IAW draft FSI 12/15 resolution: PSC Guidelines for Security Exams

- ISSC & related security documents
- Performance of ship's security duties
- Access control
- Control of embarkation of persons / effects
- Control of restricted areas
- Control of deck areas & surrounding areas
- Supervision of cargo & stores loading
- Availability of security comms

PSCO Judgment

ISSC deficiencies
Multiple interim ISSCs

Crew familiarity w/ resp.

Deficiencies



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ISPS Compliance & Verification Exams

Draft Paris MOU PSC Guidelines for Security Exams; **yellow text** reflects item / method differences between U.S. & Paris MOU.

- ISSC & related security documents
- **Performance of ship's security duties**
- Access control
- **Control of embarkation of persons / effects**
- Control of restricted areas
- **Control of deck areas & surrounding areas**
- **Supervision of cargo & stores loading**
- Availability of security comms

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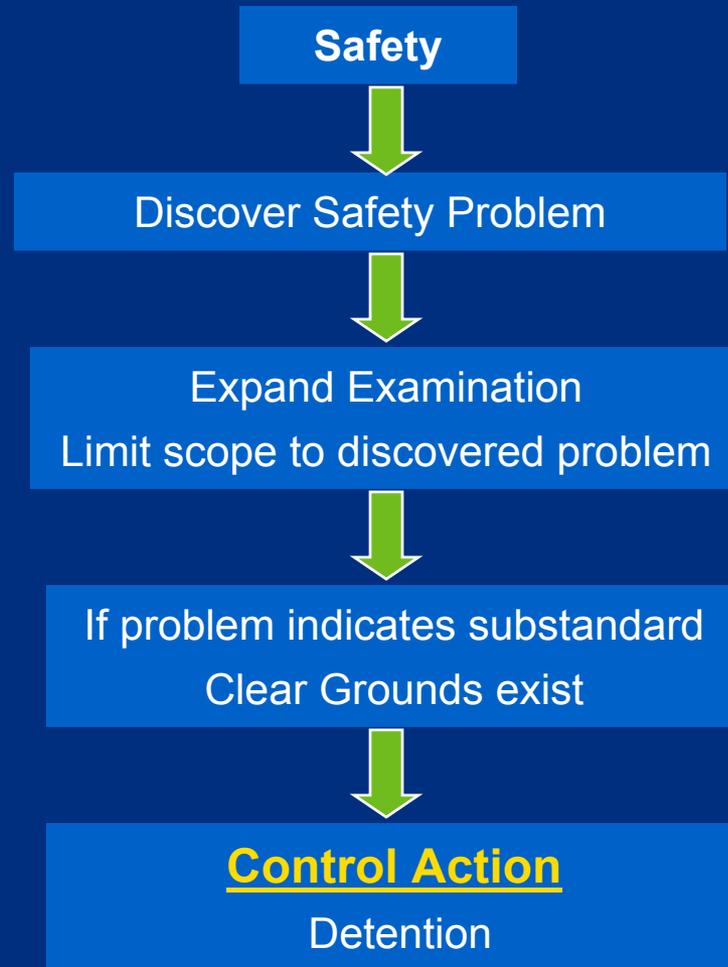
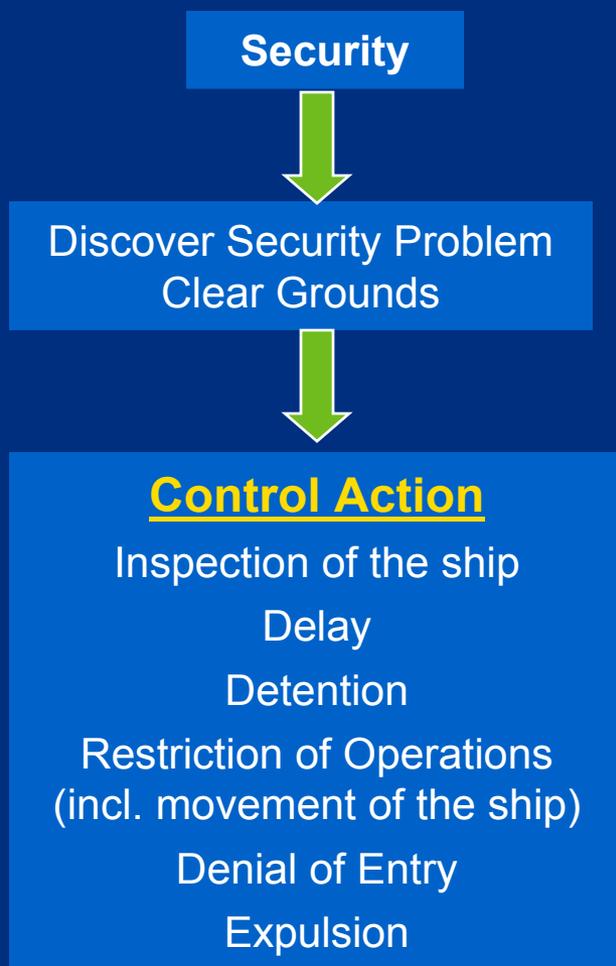


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Control & Enforcement



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CG Consistency of Action

- Guidance Documents (NVICs) for COTPs & public
- Centralized VSP & FSP review
- Centralized MTSA / ISPS Helpdesk
- CG-Wide Performance Based Training
- FMSC Workshop – January 2004
- Weekly Policy Advisory Council meetings
- CG-wide Videoconferences
- Policy messages / Presentations
- Oversight of Control Actions



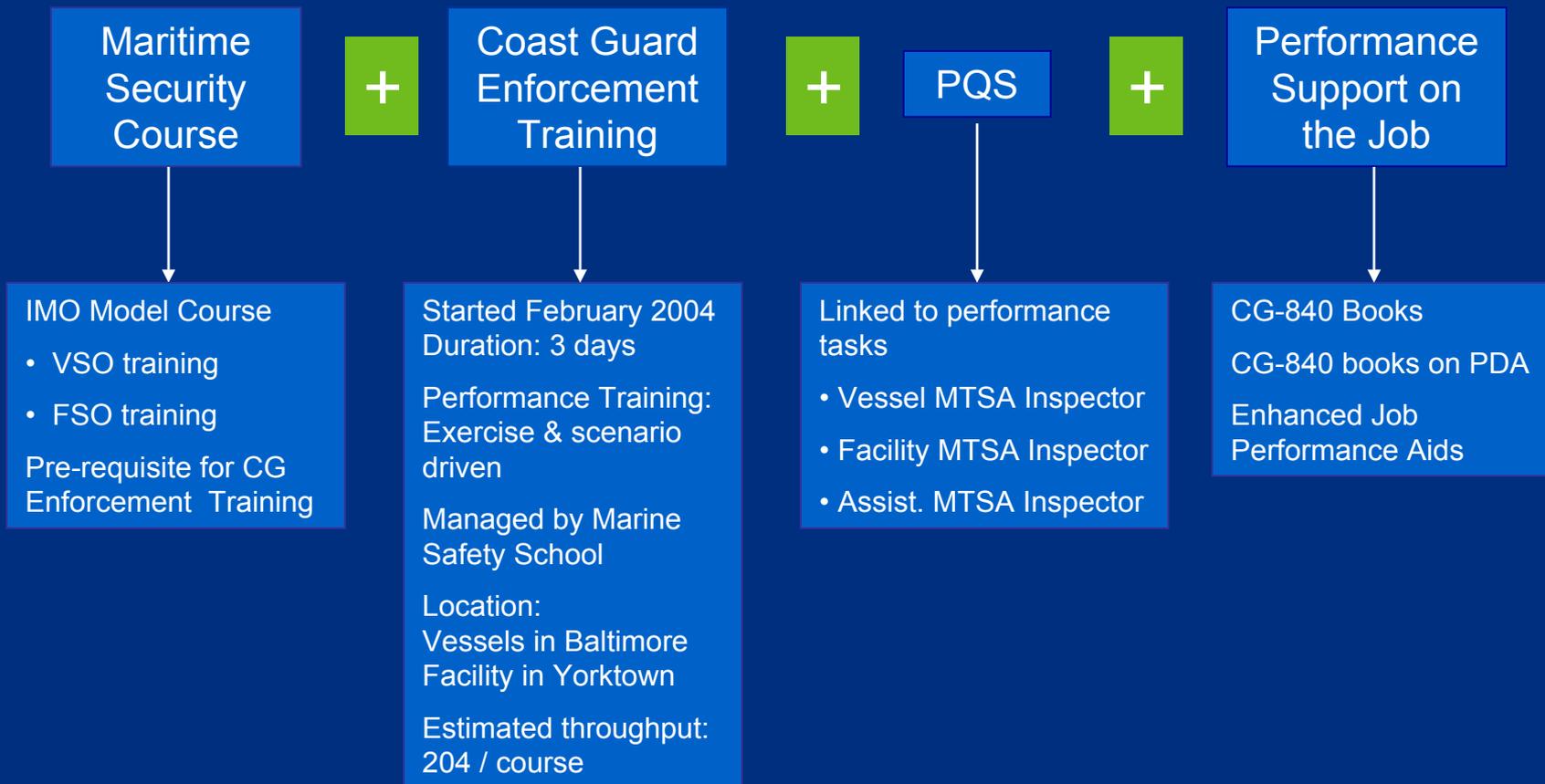
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MTSA and ISPS Training

A formula for success ...



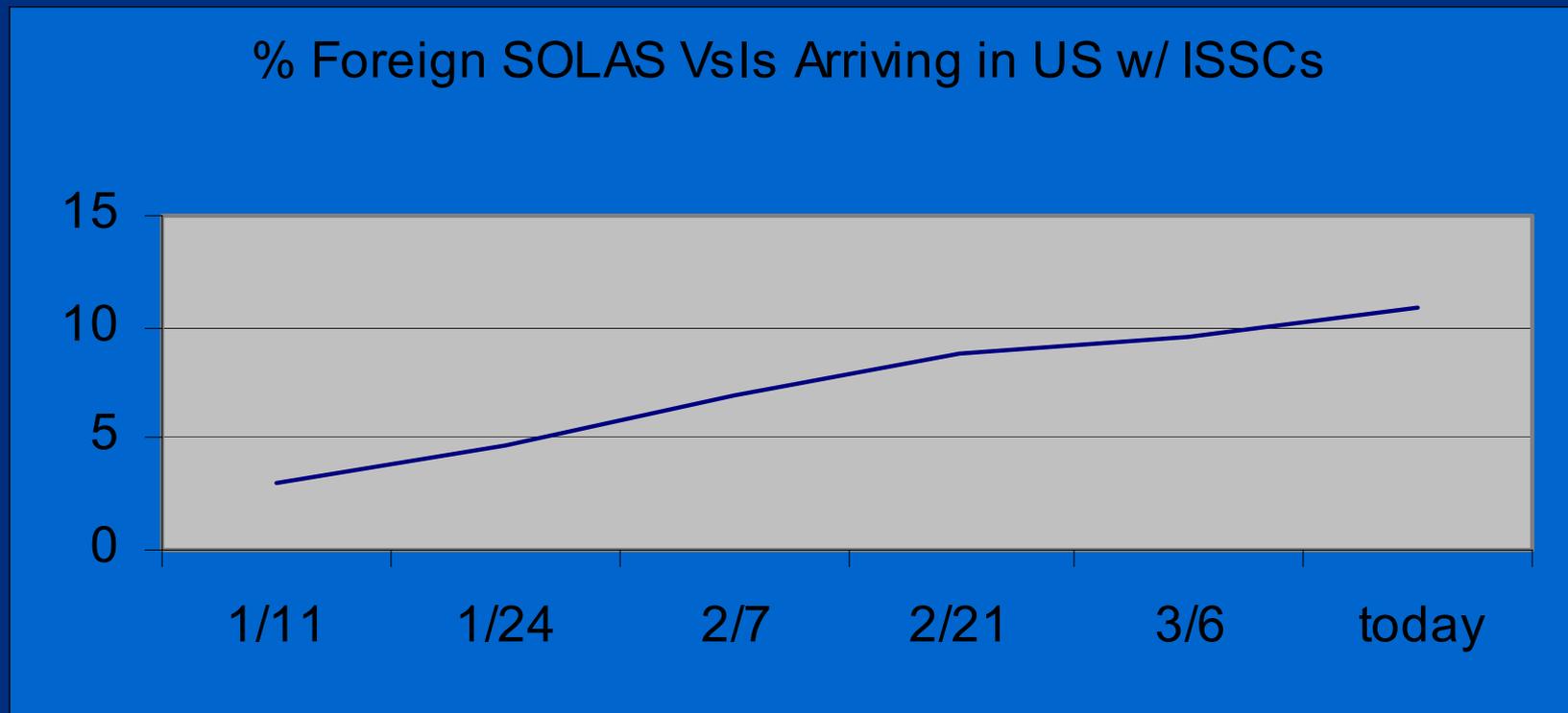
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Port State Control: ISPS Compliance

Vessel compliance rates rising; full ISSC certification expected



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What begins to happen on 1 July 2004?

Foreign-flagged vessels: Verify all are ISPS / MTSA compliant

- Performance-based verification boardings
- Deny entry to vessels without ISSCs / Approved VSPs
- Take appropriate control actions when deficiencies identified
- Modify targeting criteria

Track previous port-calls & their ISPS compliance / security history

Reduced tolerance for 33 CFR 120 / 128-type deficiencies

Rise in vessel detention rate expected



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33 CFR 120 & 128 Requirements

New & existing vessels

- No 33 CFR 120 VSP or VSP updates required to be submitted if:
 - ISPS compliant & fully-implemented
 - Calls only at US Ports w/ 33 CFR 105 or 128 approved FSPs
- Flag approved ISPS VSP not required to be submitted to USCG

Facilities

- Must submit MTSA required FSP
 - FSP must be fully implemented by 01 July 2004



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For copies of the NVICs and other info:
www.uscg.mil/hq/g-m/mp/mtsa.shtml

U.S. Implementation Questions

Vessels coming to the US can ignore ISPS Part B, it's only recommended.

False

The US will wait until 1 July 04 before looking at foreign vessel compliance with ISPS.

False

The US will not fully exercise all available control measures within the parameters of ISPS.

False

U.S. Implementation Questions

The Coast Guard will approve all foreign vessel security plans.

False

A ship will be able to operate in US waters after 1 July 04 without complying with ISPS and MTSA.

False

Only vessels visiting the U.S. need to worry about implementing the ISPS Code, not my port facility or Administration.

False

Compliance & Verification Exams

IAW draft resolution PSC Guidelines for Security Exams; yellow text identified items that can only be verified dockside

- ISSC & related security documents
- Performance of ship's security duties
- **Access control**
- **Control of embarkation of persons / effects**
- Control of restricted areas
- **Control of deck areas & surrounding areas**
- **Supervision of cargo & stores loading**
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PSCO Judgment

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ISPS Code Deficiencies



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