



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



# PORT STATE CONTROL IN THE UNITED STATES

ANNUAL REPORT 2007





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I am pleased to present the 2007 Annual Port State Control (PSC) Report for the United States. The Coast Guard is strongly committed to sharing our PSC targeting methodology and compliance performance statistics with the maritime sector, in an effort to reach our common goals of eliminating substandard shipping and enhancing global partnerships.

Based on the three year rolling average, the Coast Guard continues to see an overall declining trend of detentions and major control actions on foreign vessels in this thirteenth year of Port State Control in the United States. This continuous improvement illustrates a growing culture of safety and security awareness throughout the international maritime community. Contributions from all involved parties, such as port States, flag States, Recognized Organizations, and vessel owners and operators, ensured foreign ships arrived at our nation's ports safer and more secure.



In keeping with the constantly growing maritime community, the Coast Guard's PSC program is continuously reviewed to maintain a high quality standard. This past year, the Coast Guard implemented new training tools and programs to improve the professional development of our marine inspectors. The Coast Guard created a very robust PSC Officer Course at our training center in Yorktown, VA that focused on providing extensive knowledge to all future PSC Officers. Additionally, the Coast Guard revamped our performance qualification standards and inspector's job aids. These new tools ensured our PSC Officers were knowledgeable in international ship standards, procedures for effective targeting, ship equipment, crew competency, and experienced in identifying shipboard conditions and operations that were deemed substandard and to effect proper corrective actions.

Starting in July 2007, the Coast Guard used a new targeting matrix to identify foreign vessels for safety examinations. After a thorough trend analysis of vessel detentions and deficiencies was completed, the PSC Safety and Environmental Protection Compliance Targeting Matrix was modified to better target vessels that pose the most risk to our ports. Incidentally in 2007, the Coast Guard noticed an increase in the number of our safety and security detentions from the previous year. Though an increase was shown, it does not necessarily indicate a trend of vessels becoming less safe. It merely reflects the results of the combined efforts of the Coast Guard's new PSC Officer training, tools, and matrix, plus the effect of the changing maritime industry.

I know 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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# Chapter 1

## Port State Control Overview



*"Border Patrol"* painted by James Brooksher. A Coast Guard HH-60 Jayhawk Helicopter and a 110-foot patrol boat patrol near the Blue Water Bridge, connecting Port Huron, Michigan and Sarnia, Ontario, Canada. A Canadian-flagged bulk carrier passes nearby. Image used with permission from the Coast Guard Art Program.

## Highlights in 2007

### Vessels Detentions Increased

In 2007, a total of 8,281 individual vessels, from 84 different Flag Administrations, made 82,937 port calls to the United States. The Coast Guard conducted 10,423 SOLAS safety exams and 8,901 ISPS exams on these vessels. The total number of ships detained in 2007 for safety related deficiencies increased from 110 to 152. The total number of ships detained in 2007 for security related deficiencies increased from 35 to 42. At the same time, the number of distinct arrivals from 2006 to 2007 increased from 8,178 to 8,281.

### Flag Administration Safety Performance Decreased

Flag Administration safety performance for 2007 decreased from the previous year, with the annual detention rate increasing from 1.35% to 1.82%. Although the annual detention ratio increased, the overall flag Administration performance, based on the 3-year rolling average, improved this year with the overall detention ratio decreasing from 1.78% to 1.60%. Due to their improved vessel performance, Antigua and Barbuda, Brazil, Croatia, Denmark, France, Gibraltar, Netherlands Antilles, Singapore and Sweden were removed from the Flag Administration Safety Compliance targeted list.

### Flag Administration Security Performance Decreased

Flag Administration security performance for 2007 decreased from the previous year, with the annual Control Action Ratio (CAR) increasing from 0.43% to 0.51%. The Rolling Average CAR dropped from 0.80% to 0.53% for performance from January 1, 2005 to December 31, 2007. Due to the continued excellent flag Administration security compliance performance, we will maintain the targeting Control Action Ratio at 1.50%. As a result of their improved performance, Bolivia, Brazil, Bulgaria, the Cayman Islands, Croatia, Mexico, Netherlands, Peru, Portugal and Thailand were removed from the flag Administration Security Compliance targeted list.

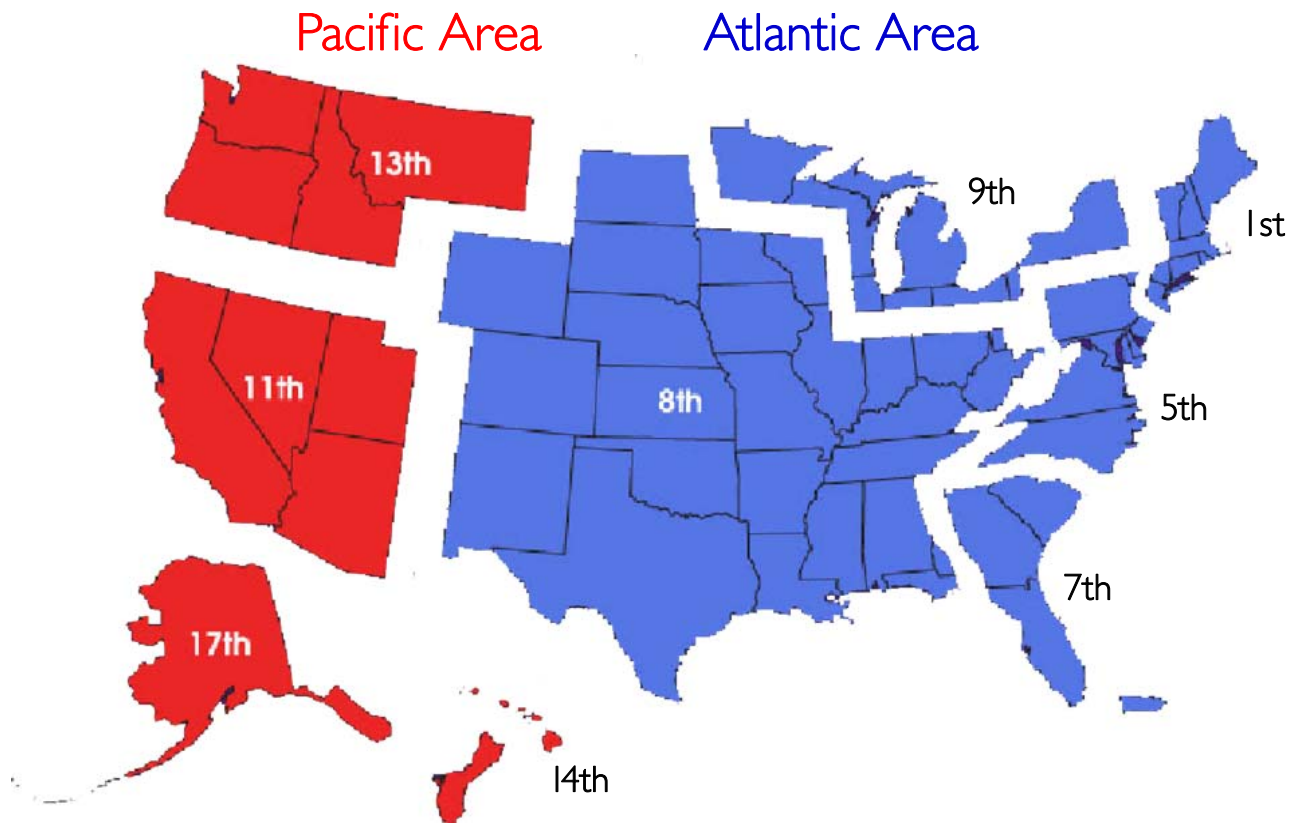
### New PSC Training Regime

This past year, the Coast Guard implemented new training tools and programs to improve the professional development of our marine inspectors. The Coast Guard created a robust PSC Officer Course at our training center in Yorktown, Virginia that focused on providing extensive knowledge to all future PSC Officers. Additionally, the Coast Guard revamped our performance qualification standards and inspector's job aids. These new tools ensure our PSC Officers are intimately familiar with international ship standards, procedures for effective targeting, ship equipment, crew competency, and are experienced in identifying shipboard conditions and operations that were deemed substandard and proper corrective actions that should be taken.

### New QUALSHIP 21 Flag Administrations

Nine new Administrations are now eligible for 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. The nine new Administrations are Belgium, Bulgaria, France, Germany, Gibraltar, India, Malaysia, Norway and Sweden. For full qualification, Administrations are required to submit their Self-Assessment Form to the IMO and provide a copy to us. Notification letters have been sent to these Administrations which contain the details of the process. Please accept our congratulations in qualifying for this program.

## Port State Control Statistics By Region



District	Ship Visits	Safety Examinations Conducted	Detentions	Security Examinations Conducted	Major Control Actions
1st	7,540	1,146	10	944	1
5th	8,139	1,076	13	990	7
7th	25,363	2,034	51	1,620	14
8th	23,910	3,375	32	2,986	17
9th	2,526	213	-	162	-
11th	7,347	1,187	22	1,131	2
13th	4,176	990	18	738	1
14th	1,813	276	4	216	-
17th	2,123	126	2	114	-
<b>Total</b>	<b>82,937</b>	<b>10,423</b>	<b>152</b>	<b>8,901</b>	<b>42</b>

## 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	92	2	82	-
Sector Baltimore	5	246	4	229	5
Sector Boston	1	175	2	77	-
Sector Buffalo	9	87	-	74	-
Sector Charleston	7	128	1	109	-
Sector Corpus Christi	8	426	5	372	1
Sector Delaware Bay	5	422	4	397	2
Sector Detroit	9	51	-	31	-
Marine Safety Unit Duluth	9	35	-	25	-
Sector Guam	14	85	2	54	-
Sector Hampton Roads	5	314	3	277	-
Sector Honolulu	14	191	2	162	-
Sector Houston	8	1182	15	1041	4
Sector Jacksonville	7	305	20	248	2
Sector Juneau	17	33	-	31	-
Sector Lake Michigan	9	40	-	32	-
Sector Long Island Sound	1	65	3	52	1
Sector Los Angeles	11	738	7	695	2
Sector Miami	7	437	11	357	4
Sector Mobile	8	287	2	257	2
Marine Safety Unit Morgan City	8	141	-	94	-
Sector New Orleans	8	1130	10	1069	10
Sector New York	1	732	3	680	-
Sector North Carolina	5	24	-	20	-
Sector Northern New England	1	112	-	83	-
Marine Safety Unit Port Arthur	8	209	-	153	-
Sector Portland	13	545	5	402	-
Sector San Diego	11	90	-	82	-
Sector San Francisco	11	359	15	354	-
Sector San Juan	7	480	10	365	5
Marine Safety Unit Savannah	7	375	7	346	1
Sector Seattle	13	445	13	336	1
Sector Southeastern New England	1	62	2	52	-
Sector St. Petersburg	7	309	2	195	2
Marine Safety Unit Valdez	17	1	-	1	-
Marine Safety Unit Wilmington	5	70	2	67	-
<b>Total</b>	<b>N/A</b>	<b>10,423</b>	<b>152</b>	<b>8,901</b>	<b>42</b>

Note: Due to the reorganization of Coast Guard field units into Sectors and Marine Safety Units, we have altered our unit breakdown above to reflect the new names and Officer in Charge of Marine Inspection 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 2007 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 2005 to December 2007. If the average is lower than 1.5%, the CAR 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
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>
2006	8,178	110	1.35%	1.78%	35	0.43%	0.80% <sup>2</sup>
2007	8,281	152	1.82%	1.60%	42	0.51%	0.53% <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 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 Vessels Division (CG-5432)  
2100 2nd Street S.W.  
Washington, D.C. 20593-0001

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

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

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

All other operational controls (those not class-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). CG-543 is final agency action for appeals and will consider any additional evidence not contained in the original appeal.

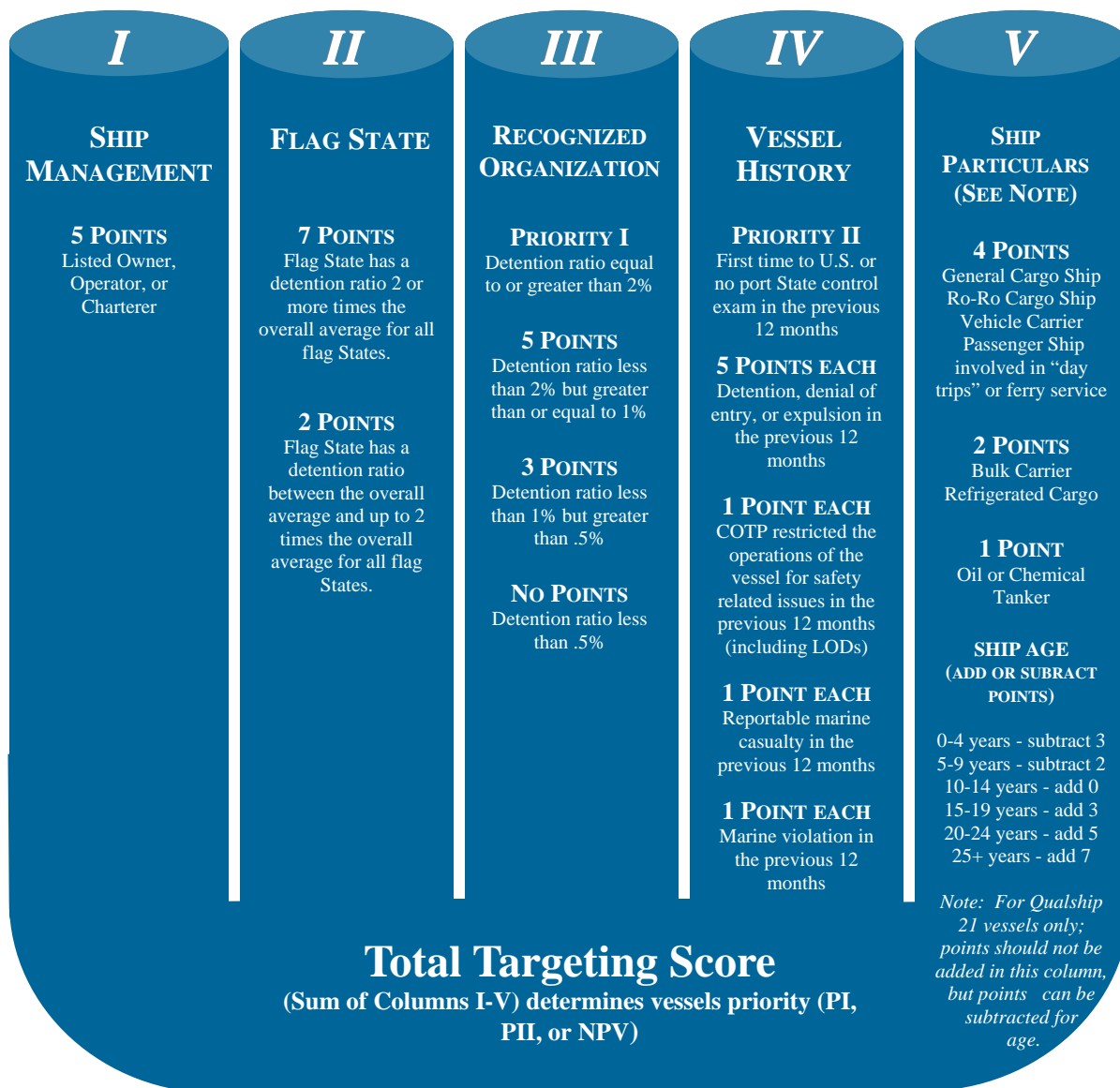
## Chapter 2

# Safety Compliance Performance



*"The Inspector"* painted by Ralph B. Starr.  
Image used with permission from the Coast Guard Art Program

## Port State Control Safety and Environmental Protection Compliance Targeting Matrix



### Priority (PI) 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 (PII) 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 (2005-2007). Flags with only one detention in the past three years are removed from the targeting flag list.

Overall flag Administration performance improved, with the three-year running detention ratio declining from 1.78% to 1.60%. The tables below illustrate Administrations that are on the 2008 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

	2005-2007 Detention Ratio
Cambodia	85.71%
Cook Islands *	15.15%
Egypt	12.50%
Honduras	23.68%
Lithuania *	3.70%
Mexico	6.52%
Portugal	5.88%
Russian Federation	7.62%
Saint Vincent and the Grenadines	14.42%

\* Administrations not targeted last year

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

	2005-2007 Detention Ratio
The Bahamas *	1.68%
Cyprus	1.69%
Italy	2.11%
Japan *	2.02%
Malta	2.14%
Panama	1.96%
Thailand	2.24%

\* Administrations not targeted last year

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

	Number of Detentions (2005-2007)	2005-2007 Detention Ratio
Antigua and Barbuda	11	1.42%
Brazil **	1	8.33%
Croatia	1	1.49%
Denmark	3	1.12%
France	0	0.00%
Gibraltar	1	0.90%
Netherlands Antilles	7	1.41%
Singapore	11	1.18%
Sweden	0	0.00%

\*\* Administrations removed because they were subject to only one detention in the previous 3 years.

**Flag Administration Safety Compliance Performance Statistics**

Flag ^	Safety Exams	Distinct Arrivals	Safety Detentions	2005-2007 Detention Ratio
Algeria	3	3	-	0.00%
Antigua and Barbuda	330	259	2	1.42%
Argentina	-	1	-	0.00%
Austria	3	2	-	0.00%
The Bahamas	920	645	16	1.68%
Bahrain	4	3	-	0.00%
Barbados	22	23	-	0.00%
Belgium	19	20	-	0.00%
Belize	37	27	-	0.00%
Bermuda	106	75	1	1.04%
Bolivia	1	1	-	0.00%
Brazil	1	1	1	8.33%
Bulgaria	15	12	-	0.00%
Burma	4	5	-	0.00%
Cambodia	1	1	-	85.71%
Canada	100	80	-	0.44%
Cayman Islands	106	71	2	1.27%
Chile	9	7	1	5.00%
China	119	110	-	0.57%
Colombia	5	4	-	0.00%
Cook Islands	35	20	4	15.15%
Croatia	30	19	-	1.49%
Cyprus	389	308	4	1.69%
Denmark	100	87	-	1.12%
Dominica	20	15	-	0.00%
Ecuador	5	3	-	0.00%
Egypt	10	7	1	12.50%
Faroe Islands	1	1	-	0.00%
Finland	4	2	-	0.00%
France	37	33	-	0.00%
Germany	151	123	-	0.51%
Gibraltar	52	39	1	0.90%
Greece	418	373	3	0.66%
Honduras	27	14	3	23.68%
Hong Kong	488	442	8	0.86%
India	46	46	-	0.00%
Indonesia	-	-	-	0.00%
Ireland	4	3	-	0.00%
Isle of Man	149	129	2	1.03%
Israel	23	17	-	0.00%
Italy	146	122	4	2.11%
Jamaica	7	6	1	10.00%
Japan	62	33	1	2.02%
Kiribati	1	1	-	0.00%
Kuwait	10	5	1	7.69%
Latvia	4	5	1	5.56%

^ 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	Distinct Arrivals	Safety Detentions	2005-2007 Detention Ratio
Liberia	1107	905	16	1.18%
Lithuania	32	20	1	3.70%
Luxembourg	13	11	-	0.00%
Malaysia	40	37	-	0.00%
Malta	392	354	5	2.14%
Marshall Islands	654	535	3	0.82%
Mexico	17	12	-	6.52%
Netherlands	206	162	5	1.49%
Netherlands Antilles	69	46	-	1.41%
Norway	392	282	2	0.58%
Panama	2101	1691	48	1.96%
Peru	2	1	-	0.00%
Philippines	73	70	1	0.85%
Portugal	20	10	-	5.88%
Qatar	11	7	-	0.00%
Republic of Korea	77	82	-	0.44%
Russian Federation	31	18	2	7.62%
Saint Kitts and Nevis	3	2	-	0.00%
Saint Vincent and the Grenadines	130	66	7	14.42%
Samoa	6	4	1	10.00%
Saudi Arabia	11	6	-	0.00%
Seychelles	3	3	-	0.00%
Singapore	451	346	1	1.18%
Slovakia	2	1	-	0.00%
Spain	24	8	-	0.00%
Sri Lanka	-	1	-	0.00%
Sweden	46	33	-	0.00%
Switzerland	19	17	-	2.38%
Taiwan	15	6	-	0.00%
Thailand	55	45	-	2.24%
Tonga	1	1	-	25.00%
Trinidad and Tobago	1	1	-	0.00%
Turkey	62	48	1	2.40%
Ukraine	3	1	-	0.00%
United Arab Emirates	7	5	-	0.00%
United Kingdom	225	173	1	0.63%
Vanuatu	91	62	-	1.14%
Venezuela	5	4	-	5.56%
Vietnam	2	2	-	0.00%
Not Flag Related	-	-	1	
<b>Total</b>	<b>10,423</b>	<b>8,281</b>	<b>152</b>	<b>1.60%</b>

^ 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. 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 a Recognized Organization (RO) on behalf of the vessel's flag State. 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:

If the vessel was detained within 90 days of an applicable survey performed by a Recognized Organization, the following detainable deficiencies or ISM Code non-conformities will be considered RO-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 RO-related regardless of the elapsed time from the last applicable survey:

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

The following deficiencies are not considered RO-related:

- ◆ Voyage damage, unless other RO-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 Recognized Organization in writing of each RO-related detention and inform them of their right to appeal. The actual date of the survey, not the certificate issuance date, is used to determine the elapsed time between detention and a survey.



## 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 I

Recognized Organization (RO)	Abbreviation	Distinct Vessel Arrivals				RO-Related Detentions*				Ratio
		2005	2006	2007	Total	2005	2006	2007	Total	
American Bureau of Shipping	ABS	1,077	1,300	1,015	3,392	-	2	-	2	0.06%
Belize Maritime Bureau Inc.	-	1	-	-	1	-	-	-	0	0.00%
Belize Register Corporation	-	20	-	-	20	-	-	-	0	0.00%
Bulgarian Register of Shipping	BKR	11	8	7	26	-	-	-	0	0.00%
Bureau Veritas	BV	684	695	1,015	2,394	-	-	1	1	0.04%
China Classification Society	CCS	272	185	174	631	-	1	-	1	0.16%
China Corporation Register of Shipping	CR	23	24	9	56	-	-	-	0	0.00%
Classification Bureau of Indonesia	-	18	2	-	20	-	-	-	0	0.00%
Croatian Register of Shipping	CRS	29	34	39	102	-	-	-	0	0.00%
Det Norske Veritas	DNV	1,419	1,320	1,426	4,165	-	-	1	0	0.02%
Germanischer Lloyd	GL	933	918	944	2,795	-	-	-	0	0.00%
Hellenic Register of Shipping	HRS	21	3	1	25	-	-	-	0	0.00%
Indian Register of Shipping	IRS	26	26	17	69	-	-	-	0	0.00%
International Naval Surveys Bureau	INSB	-	-	3	3	-	-	-	0	0.00%
International Register of Shipping	IROS	9	4	2	15	-	-	-	0	0.00%
Isthmus Maritime Classification S.A.	-	1	1	1	3	-	-	-	0	0.00%
Korean Register of Shipping	KRS	191	187	203	581	-	-	-	0	0.00%
Lloyd's Register	LR	1,562	1,391	1,498	4,451	-	1	1	2	0.04%
Nippon Kaiji Kyokai	NKK	1,802	1,737	1,795	5,334	-	1	1	2	0.04%
Panama Maritime Surveyors Bureau	PMS	2	1	-	3	-	-	-	0	0.00%
Panama Register Corporation	PRC	1	-	-	1	-	-	-	0	0.00%
Panama Shipping Certificate Inc.	-	3	-	-	3	-	-	-	0	0.00%
Polski Rejestr Statkow	PRS	30	21	36	87	-	-	-	0	0.00%
Registro Italiano Navale	RINA	171	202	211	584	-	-	-	0	0.00%
Rinava Portuguesa	-	8	2	1	11	-	-	-	0	0.00%
Russian Maritime Register of Shipping	RS	144	146	174	464	1	-	1	2	0.43%
Turkish Lloyd	TL	4	-	2	6	-	-	-	0	0.00%
Vietnam Register of Shipping	VR	-	-	1	1	-	-	-	0	0.00%
Global Marine Bureau	-	1	1	-	2	-	1	-	1	50.00%
Honduras International Naval Survey and Inspection Bureau	HIINSB	46	7	5	58	-	2	1	3	5.17%
Horizon International Naval Survey and Inspection Bureau	HNSB	1	8	7	16	-	1	2	3	18.75%
Isthmus Bureau of Shipping	IBS	12	2	14	28	-	1	-	1	3.57%
Phoenix Register of Shipping	PHRS	1	3	-	5	1	-	-	1	20.00%
Panama Maritime Documentation Service	PMDS	11	6	8	25	-	-	3	3	12.00%
Universal Shipping Bureau	USB	-	-	21	21	-	-	1	1	4.76%

\*RO-Related detentions are those detentions that were determined to have been related to the Recognized Organization's activities.

## 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 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.

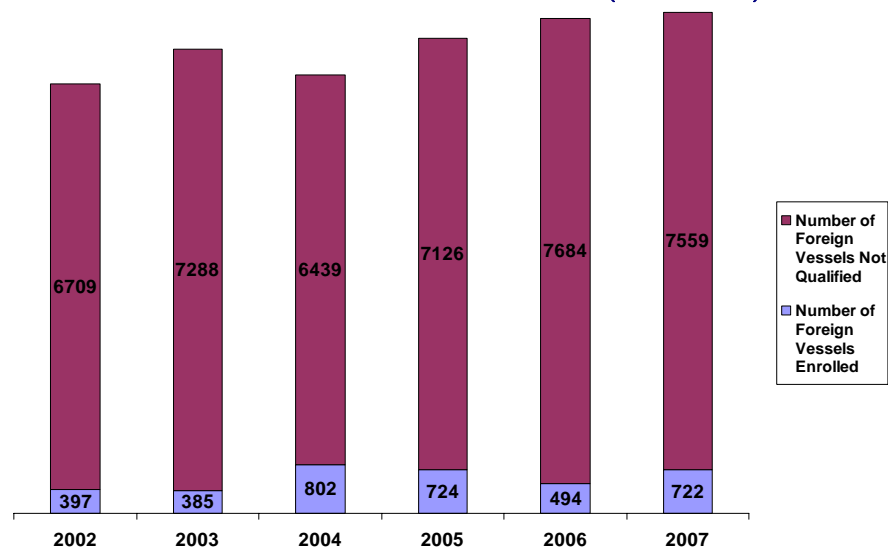
One of the eligibility requirements for a vessel to be enrolled into the program is for the vessel's flag Administration to also be qualified. Only those Administrations that have demonstrated the highest commitment to the safety and quality of their vessels will be eligible and recognized as a QUALSHIP 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 and be recognized. 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 2007 with an enrollment of 722 vessels. There were thirteen eligible registries last year; one did not fully qualify because they did not provide a copy of their IMO Self-Assessment Form to the U.S. For the upcoming year, the number of qualifying registries has increased to twenty-one. This is contingent upon some registries providing us a copy of their Self Assessment Form (SAF). Those marked with an "\*" below require submission of an SAF to be fully qualified.

### Qualifying Registries for 2008

<b>Barbados</b>	<b>France *</b>	<b>Malaysia *</b>
<b>Belgium *</b>	<b>Germany</b>	<b>Marshall Islands</b>
<b>Belize</b>	<b>Gibraltar *</b>	<b>Norway</b>
<b>Bermuda</b>	<b>Greece</b>	<b>Philippines *</b>
<b>Bulgaria *</b>	<b>Hong Kong</b>	<b>Republic of Korea</b>
<b>Canada</b>	<b>India *</b>	<b>Sweden</b>
<b>China</b>	<b>Israel</b>	<b>United Kingdom</b>

### YEARLY QUALSHIP 21 ENROLLMENT (2002-2007)



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

## Chapter 3

# Security Compliance Performance



*"MSST 91103"* painted by Sandra Hart  
Image used with permission from the Coast Guard Art Program

## ISPS/MTSA Security Compliance Targeting Matrix

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

- (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 2005-December 2007).

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.

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

	2005-2007 Control Action Ratio
Cambodia	42.86%
Cook Islands	9.09%
Honduras	10.53%

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

	2005-2007 Control Action Ratio
Russian Federation <sup>#</sup>	1.90%
Saint Vincent and the Grenadines <sup>#</sup>	2.88%

<sup>#</sup> Administrations that were on the 7 point list last year

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

	2005-2007 Number of Major Control Actions	2005-2007 Control Action Ratio
Bolivia	0	0.00%
Brazil	0	0.00%
Bulgaria **	1	2.27%
Cayman Islands	3	1.27%
Croatia	1	1.49%
Mexico **	1	2.17%
Netherlands	7	1.49%
Peru	0	0.00%
Portugal **	1	2.94%
Thailand	1	0.75%

\*\* Administration removed because they were subject to only one major control action in previous 3 years.

### Flag Administration Security Compliance Performance Statistics

Flag *	Security Exams	Distinct Arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Algeria	3	3	-	0.00%
Antigua and Barbuda	283	259	-	0.64%
Argentina	1	1	-	0.00%
Austria	2	2	-	0.00%
Bahamas	753	645	3	0.49%
Bahrain	4	3	-	0.00%
Barbados	23	23	-	0.00%
Belgium	19	20	-	0.00%
Belize	29	27	-	0.00%
Bermuda	89	75	-	0.52%
Bolivia	-	1	-	0.00%
Brazil	1	1	-	0.00%
Bulgaria	13	12	-	2.27%
Burma	6	5	-	0.00%
Cambodia	1	1	-	42.86%
Canada	57	80	-	0.00%
Cayman Islands	87	71	1	1.27%
Chile	6	7	-	0.00%
China	104	110	-	0.29%
Colombia	3	4	-	0.00%
Cook Islands	31	20	1	9.09%
Croatia	27	19	-	1.49%
Cyprus	342	308	3	0.60%
Denmark	85	87	-	1.12%
Dominica	17	15	-	0.00%
Ecuador	4	3	-	0.00%
Egypt	9	7	-	0.00%
Faroe Islands	1	1	-	0.00%
Finland	3	2	-	0.00%
France	31	33	-	0.00%
Germany	129	123	-	0.26%
Gibraltar	45	39	-	0.00%
Greece	379	373	-	0.09%
Honduras	22	14	1	10.53%
Hong Kong	442	442	2	0.23%
India	39	46	-	0.00%
Indonesia	-	-	-	0.00%
Ireland	4	3	-	0.00%
Isle of Man	128	129	2	0.52%
Israel	19	17	-	0.00%
Italy	129	122	-	0.00%
Jamaica	8	6	1	10.00%
Japan	34	33	-	0.00%
Kiribati	1	1	-	0.00%
Kuwait	10	5	-	0.00%
Latvia	5	5	-	0.00%

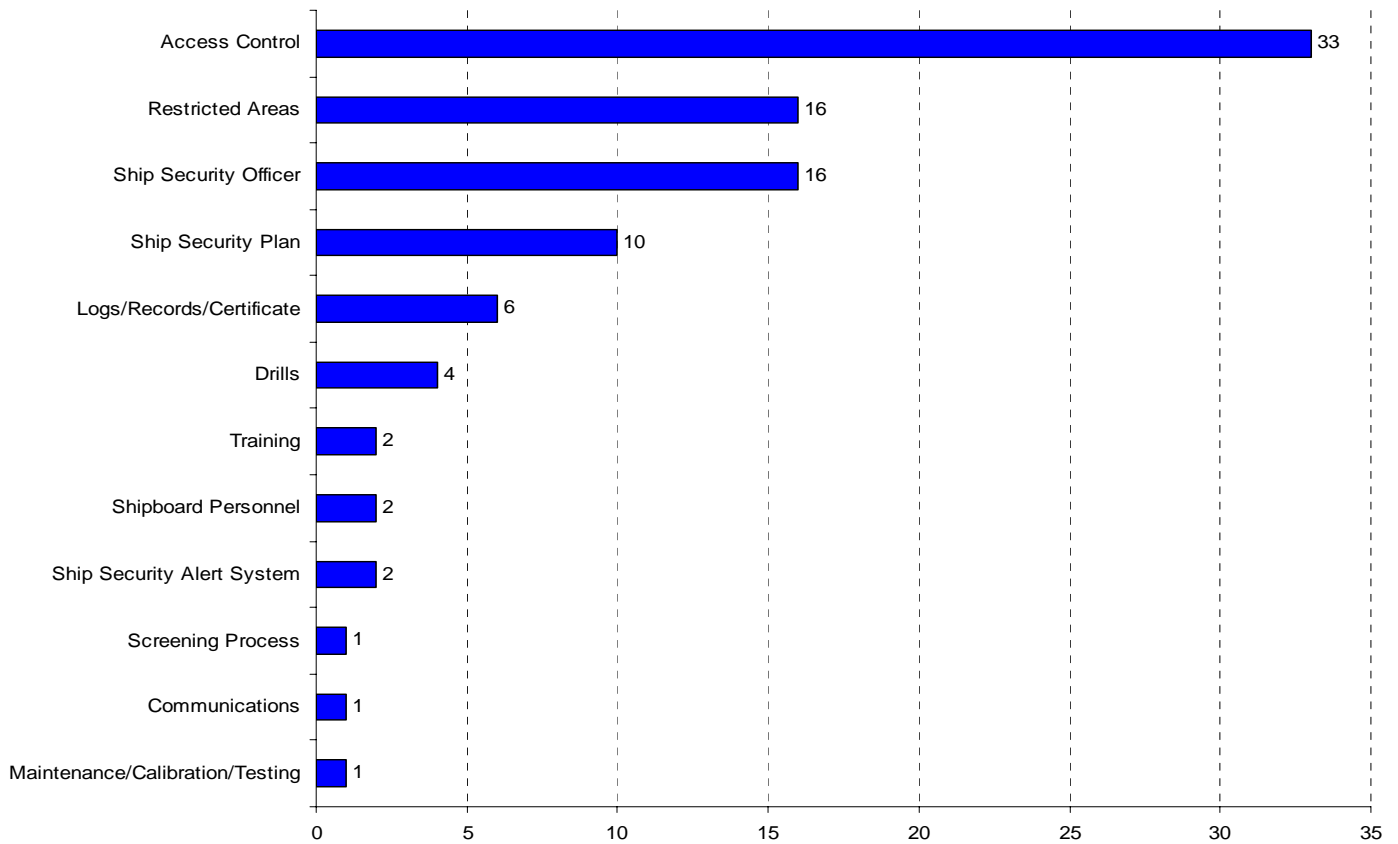
\* If an Administration has no distinct arrivals to the United States for three consecutive years, that Administration is not listed.

**Flag Administration Security Compliance Performance Statistics (cont.)**

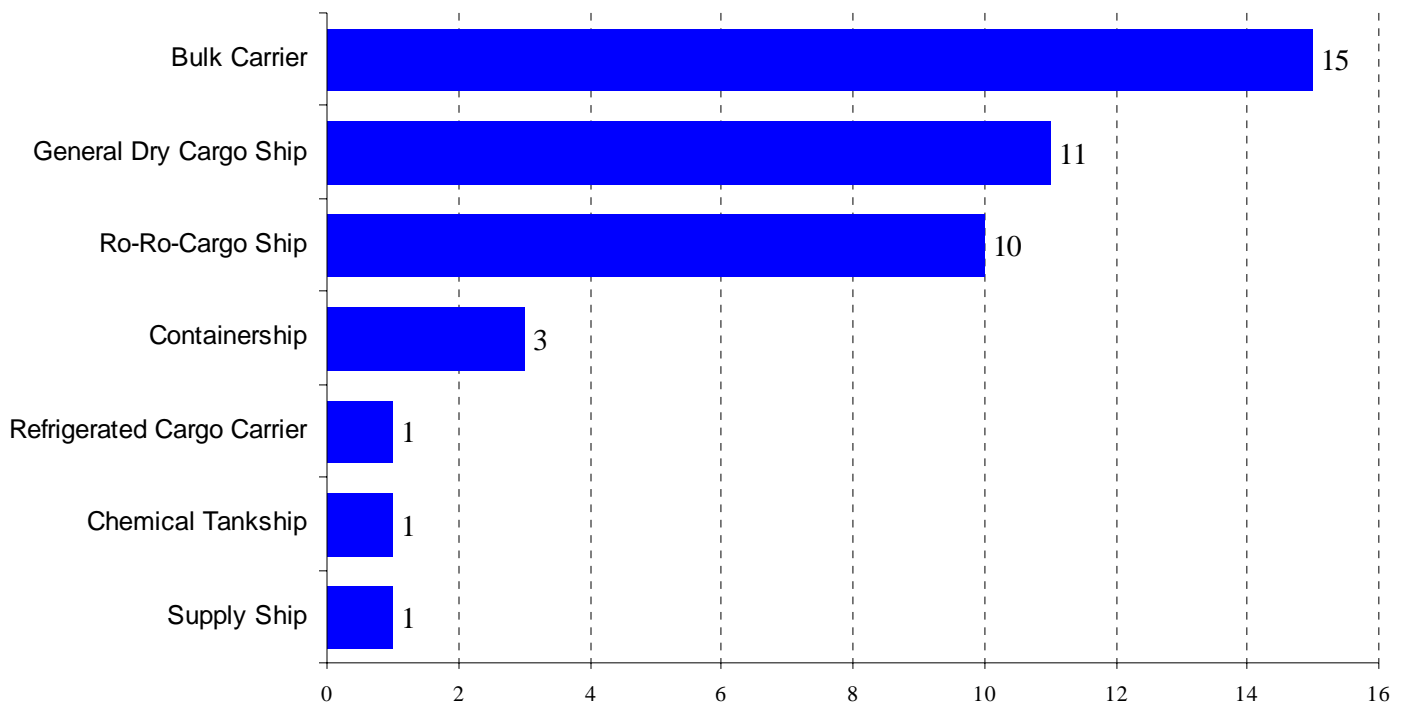
Flag *	Security Exams	Distinct Arrivals	ISPS Major Control Actions	Rolling Average Control Action Ratio
Liberia	972	905	4	0.34%
Lithuania	26	20	-	0.00%
Luxembourg	10	11	-	0.00%
Malaysia	36	37	-	0.00%
Malta	368	354	1	0.45%
Marshall Islands	574	535	1	0.27%
Mexico	14	12	-	2.17%
Netherlands	175	162	4	1.49%
Netherlands Antilles	54	46	-	0.70%
Norway	286	282	-	0.35%
Panama	1828	1691	16	0.72%
Peru	1	1	-	0.00%
Philippines	63	70	1	0.42%
Portugal	18	10	-	2.94%
Qatar	8	7	-	0.00%
Republic of Korea	78	82	-	0.00%
Russian Federation	26	18	-	1.90%
Saint Kitts and Nevis	3	2	-	0.00%
Saint Vincent and the Grenadines	101	66	1	2.88%
Samoa	2	4	-	0.00%
Saudi Arabia	10	6	-	0.00%
Seychelles	3	3	-	0.00%
Singapore	401	346	-	0.00%
Slovakia	-	1	-	0.00%
Spain	8	8	-	0.00%
Sri Lanka	1	1	-	0.00%
Sweden	38	33	-	0.00%
Switzerland	19	17	-	0.00%
Taiwan	3	6	-	0.00%
Thailand	50	45	-	0.75%
Tonga	1	1	-	0.00%
Trinidad and Tobago	1	1	-	0.00%
Turkey	48	48	-	1.20%
Ukraine	2	1	-	0.00%
United Arab Emirates	7	5	-	0.00%
United Kingdom	180	173	-	0.00%
Vanuatu	53	62	-	0.57%
Venezuela	3	4	-	0.00%
Vietnam	2	2	-	0.00%
<b>Total</b>	<b>8,901</b>	<b>8,281</b>	<b>42</b>	<b>0.53%</b>

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

### Security Deficiencies by Category



### Major Control Actions by Vessel Type



Number of Major Control Actions (42 Total)



## 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 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 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, 2008, the Coast Guard targeted RSOs based on the number of RSO-related major control actions imposed since August 31st, 2007 (the previous 12 months). The number of RSO-related major control actions determines the RSO targeting score as follows:

Targeting Score	Number of RSO-related major control actions
ISPS I:	3 or more
5 Points:	2
2 Points:	1

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