United States Coast Guard

FOREIGN VESSEL
EXAM BOOK FOR MTSA/ISPS CODE COMPLIANCE
(FOR ALL FOREIGN VESSELS)

Name of Vessel	Flag ☐ No Change
IMO Number	Case Number
Date Completed	
Location	

Senior Marine Inspectors / Port State Control/ Boarding Officers

1. _____
2. _____
3. _____
4. _____

5. _____
6. _____
7. _____
8. _____

CG-840 ISPS
MTSA/ISPS CODE
Rev. 3DEC03

Use of Foreign Vessel MTSA/ISPS Code Exam Book

Since 1994, the Port State Control (PSC) program has had a dramatic influence upon the elimination of substandard shipping. This highly successful program will now include changes that seamlessly integrate verification and enforcement of the regulations authorized by the Maritime Transportation Security Act of 2002 (MTSA) and the provisions of SOLAS Chapter XI-2 and the International Ship and Port Facility Security (ISPS) Code into the existing port State control structure and processes.

The PSC program relies on several elements to ensure vessels not in compliance with safety and security standards do not enter or pose a hazard to the United States. These elements focus on poor performance of owners, operators, charterers, flag Administrations and those recognized organizations (RO) or recognized security organizations (RSO) an Administration may authorize to act on their behalf through:

- risk-based screening of vessels;
- on board verification on potentially non-compliant vessels; and
- enforcement actions that may include, among other actions, denial of entry, detention, or ordering a vessel out of port.

Security examinations shall be done at the location specified by the COTP based on the priority established by targeting risk factors. For example, an arriving vessel that receives a high risk score could be boarded at sea, prior to port entry, for the purpose of conducting a security and safety sweep of the vessel. Vessels posing less risk may be boarded for examination at the pier or not at all. In every case, vessels selected for security boarding will be boarded in accordance with the applicable international and domestic standards. The scope of the security examination shall be as determined by the COTP and the applicable provisions of Title 33 CFR, SOLAS Chapter XI-2, and ISPS Code Parts A and B and this Exam Book shall apply. Note that for many requirements, compliance with Part A of the ISPS Code can be inferred from compliance with Part B because of the greater detail in Part B. It is important to note that every vessel only selected for a port State control safety boarding may also be subject to some measure of security examination in accordance with Part A and Part B of the ISPS Code and the checklist herein may be used to guide this abbreviated security examination.

To meet port State responsibilities, senior marine inspectors/port State control officers must verify that the vessels and their crews are in substantial compliance with international conventions and applicable U.S. laws related to security. The senior marine inspectors/port State control officers, based on their observations, must determine the depth and scope of the examination.

This exam book does not establish or change Federal or International standards. References given are only general guides. Refer to IMO publications, United States Code, the Code of Federal Regulations, NVIC's, and any locally produced guidance for specific regulatory references. This checklist is an extensive list of possible examination items related to security equipment, operations, plans and records. It is intended as a job aid to be used by Coast Guard marine inspectors during examinations of foreign-flagged vessels subject to regulations authorized by MTSA, and provisions of SOLAS Chapter XI-2 and the ISPS Code. It is not the Coast Guard's intention to inspect all the items listed in the checklist at every exam; rather the inspector should use it as a reminder of the various items that may be examined during a security examination. As always, the inspector's experience, knowledge, and judgment will determine the depth and scope of each examination.

Conducting the exam

☐   Complete Certificates/Equipment Data/Records information (Section A).
☐   Review Vessel Security Practices and Competencies (Section B).
☐   Expanded Examination (only if Clear Grounds are exist) (Section C)

Pre-inspection Items	Post-inspection Items
• Review MISLE records	• Issue letters/certificates to vessel
• Deficiency History	• Issue Port State Control Report of Inspection-Form A
• Critical Profile	• Issue Port State Control Report of Inspection-Form B (if needed)
• CG Activity History	• MISLE activity case

Certificates / Reports (complete at each security exam and update MISLE Certificate data)

Name of Certificate	Issuing Agency	ID #	Issue Date	Expiration Date	Endorsement Date	Official Seal (Y/N)	Remarks
International Ship Security Certificate							
Interim International Ship Security Certificate (if issued)							

Continuous Synopsis Record (Review Record and Enter Most Current Data)

Flag State	Date Registered	Ship ID #	Ship Name
Port of Registry	Registered Owners	Bareboat Charterer (if appl.)	Company (1)
Issuer -ISM Doc. Of Compliance	Issuer – ISM Safety Management Cert.	Issuer – ISM Safety Management Cert.	Issuer - ISPS International Ship Security Certificate (indicate if interim)

(1) as defined in SOLAS Chapter IX

Declaration of Security (if applicable)

Facility Name	Completed?	Date	Contact Details

4

Until such point that clear grounds are established, examinations shall address Parts A and B of the ISPS Code and shall be done ***solely through observations*** that expected security procedures are in place and though verifying the on board presence and validity of required security documents and certificates. The checklist items given below are to serve merely as reminders for items to observe as far as practicable and applicable on a particular type of ship and to the type of shipboard operations being conducted.

Performance of Ship Security Duties
 	
☐   Duties of ship personnel assigned security responsibilities and of other shipboard personnel
    • Ship is at prescribed security level at port (MARSEC Level _____).
    • General walk-through of vessel/restricted areas to **observe** security provisions in place
    • Shipboard personnel attentive to security matters indicating active efforts being taken to ensure appropriate security measures are in place
 	
☐   Identification of ship security officer/company security officer
	33 CFR 104.240(a)
	ISPS Part A Sect. 7.1 & 12
	ISPS Code Part B Sect 9.7

Controlling Access to the Ship (number in parentheses indicates security level)
 	
☐   Measures to Prevent Unauthorized Access to ship
    • Security personnel require personal identification and reason to board (1)
    • Access points identified/manned to prevent unauthorized access (1)
    • Unattended spaces adjoining spaces accessible to passengers/visitors secured (1)
    • Security personnel appear to be briefed re: threats, suspicious persons, objects or activities and need for vigilance (1)
    • Security personnel patrolling deck areas (2)
    • Access points to ship limited (2)
    • Waterside access to ship deterred (2)
    • Restricted zone established on shore side of ship (2)
    • Visitors receive escort (2)
    • Full or partial search of ship conducted (2)
    • Access restricted to single point (3)
    • Access to ship limited to security personnel (3)
    • Directing persons on board (3)
    • Suspend embarkation/debarkation or evacuate ship (3)
    • Suspend cargo operations (3)
    • Move the ship to a more secure area (3)
    • Preparations taken for a full or partial search of the ship (3)
	33 CFR 104.265
	ISPS Part A Sect. 7.1 & 9.4
	ISPS Part B Sect. 9.9 – 9.17

Controlling Embarkation of Persons and Their Effects (number in parentheses indicates security level)
 	
☐   Measures to prevent unauthorized weapons, dangerous substances, and devices from being brought on board
    • Secure area(s) to search persons, baggage, etc. provided (1)
    • Checked persons/baggage segregated from unchecked persons/baggage (1)
    • Embarking persons segregated from disembarking passengers (1)
    • Ro-ros/Ferries - vehicle searches performed (1)
    • Unaccompanied baggage screened/searched (1)
    • Frequency and detail of searches (persons, effects, vehicles) increased (2)
    • Unaccompanied baggage 100 percent x-ray searched (2)
    • Unaccompanied baggage, thorough x-ray search (different angles), or refusal to accept (3)
	33 CFR 104.255
	ISPS Code Part A, 7.1, 9.4
	ISPS Code Part B 9.14, 9.15, 9.38 – 9.41

Monitoring Deck Areas and Areas Surrounding Ship (number in parentheses indicates security level)
 	
☐   Monitoring Security of the Ship
    • Mix of lighting, watchkeepers, security guards, security equipment used to observe the ship in general (1)
    • Stepped up use of lighting, watchkeepers, security guards, security equipment (2)
    • Maximized use of lighting, watchkeepers, security guards, security equipment (3)
	33 CFR 104.285
	ISPS Part A Sect. 7.1 & 9.4
	ISPS Part B Sect. 9.42 – 9.49

Monitoring Restricted Areas Ensuring only Authorized Persons have Access, e.g. (number in parentheses indicates security level)
 	
☐   Restricted Areas Monitored/Measures to Prevent Unauthorized Access (examples: Bridge, Engine Room, Steering Compartment, Cargo Control Room, Pump Room, Cargo Spaces, CO2 Room, etc.)
  • Surveillance Equipment in use (1)
  • Locked/ Secured/ Roving guard for access points (1)
  • Intrusion alarms devices in use (1)
  • New restricted areas established adjacent to access points (2)
  • Continuous use of surveillance equipment (2)
  • Added guards for access points (2)
  • Restricted areas established in proximity to security incidents (3)
  • Restricted areas searched (3)
	33 CFR 104.270
	ISPS Part A Sect. 7 & 9.4
	ISPS Part B Sect. 9.18 – 9.24

Supervision of Cargo and Ship's Stores (number in parentheses indicates security level)
 	
☐   Procedures for security of cargo & stores and for cargo & stores operations
  • cargo, transport units, and cargo spaces routinely checked before operations (1)
  • cargo checked for match to cargo documentation (1)
  • vehicles routinely searched prior to loading (1)
  • anti-tamper seals/methods checked (1)
  • cargo visually/physically examined (1)
  • scanning equipment/dogs used (1)
  • stores checked for match order prior to loading (1)
  • stores stowed immediately (1)
  • cargo, transport units, and cargo spaces checked in detail before operations (2)
  • intensified checks that only intended cargo is loaded (2)
  • vehicles search intensively prior to loading (2)
  • anti-tamper seals/methods checked with greater frequency and detail (2)
  • cargo visually/physically examined with greater frequency and detail (2)
  • scanning equipment/dogs used with greater frequency and detail (2)
  • enhanced security measures coordinated with shipper/responsible party iaw an established agreement (2)
  • stores more extensively checked for match order prior to loading (2)
  • cargo loading/unloading suspended (3)
  • verifying the inventory of dangerous and hazardous goods and their location (3)
  • stores more intensively checked, suspended, or refusal to accept (3)
	33 CFR 104.275, 104.280
	ISPS Code Part A 7.1, 9.4
	ISPS Code Part B 9.25 – 9.37

Security Communication is available ☐ Procedures and equipment for communicating responses to security threats and communicating with port, port State, and flag State • Security Personnel have ready access to communications – ship to flag, ship to shore, SSO to security personnel	33 CFR 104.245 SOLAS Chap. V, Reg. 19

Other Items
☐   Security Certificates Valid
  • International Ship Security Certificate (or Interim)
  • Continuous Synopsis Record On Board and Kept Up-to-Date
  • Declaration of Security (If applicable)
☐   Hull Markings
☐   Security Related Records
  • Records of Drills and Exercises
  • Records of Security Threats, Incidents, & Security Breaches
  • Records of Changes to Ship Security Levels
  • Record of Security Communications
  • Records protected Against Unauthorized Access
	33 CFR 104.250
	SOLAS Chap XI-1, Reg. 5
	SOLAS Chap XI-2, Reg. 9.1.2
	
	SOLAS Ch. XI-1, Reg. 3
	
	33 CFR 104.235
	SOLAS Ch. XI-1, Reg. 5
	ISPS Part A Sect. 10.1
	ISPS Part B Sect. 10

The Coast Guard will exercise appropriate control/enforcement options when clear grounds exist of security deficiencies. Control measures include: inspection of the ship (an expanded examination); delaying the ship; detention of the ship; restriction of operations, including movement within the port; or expulsion from the port. The MARSEC level, and the severity of security deficiency(ies) found on a vessel prior to entry, during transit, or while in port, will dictate the level of control that the U.S. will take on vessels with security deficiencies, and above all, control actions will be proportionate to the security deficiency(ies) noted. Control actions are accomplished using Captain of the Port Orders, Safety/Security Zones, Naval Vessel Protective Zones, and Regulated Navigation Areas, as appropriate.

The security examination may be expanded to include the items shown below.

☐ Ship (or Vessel) Security Plan (SSP or VSP) Note: **PSCOs not authorized to review SSP content unless clear grounds of substantial non-conformance are discovered** – See next section • On board Vessel (A 9.1) • Approved by Flag Administration/Recognized Security Organization (A 9.2, B 9.4) • Audits Conducted/Procedures for Periodic Review (A 9.4.11, B 9.53) • Security Assessment conducted and documented for SSP/VSP (A 8, B 9.1) • Working Language and Translation into English, French, Spanish Available (A 9.4) • Plan protected Against Unauthorized Access (A 9.6, A 9.7)	33 CFR 101.400 & 104.410 ISPS Part A Sects. 9.4 & 9.8.1 ISPS Part B Sect. 9
☐ Ship (or Vessel) Security Plan (SSP or VSP): Relevant sections of the SSP may be reviewed only if there are clear grounds that a nonconformity exists. For example, vessel access control is non-existent or haphazard, the PSCO may ask to review the section of the SSP/VSP pertaining to access control. Similar reviews may be done for other areas where apparent non-conformities exist. **The PSCO may not review the SSP/VSP without the consent of the flag Administration or the ship's master. Note provisions of the SSP/VSP relating to Part A, Sections 9.4., subsections 2, .4, .5, .7, .15, .17, and .18 are considered sensitive information and may not be reviewed without consent of the flag Administration**! ☐ Review Sections of SSP/VSP, Comments: _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____	33 CFR 104.400 ISPS Part A Sect. 8 (See cites at left) ISPS Part B Sect. 9 (See cites at left)
☐ Security Drill (only if vessel has not performed drills on periodic basis or if vessel opts to demonstrate competence as part of expanded examination through drill) • Observe security drill exercising the activation of the provisions in the SSP related to a security threat, breach, security communications, change of security level, or other security related incident or action as described in the SSP • Drill selection and location shall be as directed by the Master and SSO. Describe: _____ _____ _____ _____ _____ _____ _____	33 CFR 104.230 ISPS Part A Sect. 13.4 ISPS Part B Sect. 13.5 & 13.6

The following list of questions is intended for use as a job aid to determine whether the vessel's security personnel and procedures are in keeping with regulations issued under MTSA and the provisions of SOLAS Chapter XI-2, and the International Ship and Port Facility Code Parts A and B. This list is by no means a complete listing of appropriate questions, but is provided as an example of appropriate questions that may be used during the expanded examination to determine that personnel are properly trained and that meaningful security procedures are in place. **Boldfaced questions may only be asked if the flag State has given permission to review the portion of the security plan related to that question.**

To the Ship Security Officer:

What do you do if there is a security breach? Or security threat?
How does the security alert system work? What happens if the security alert system is activated?
What do you do if the port is at a higher security level than the ship?
What are the vessel's restricted areas? How do you restrict access to these areas?
How often is the security equipment calibrated? Ask to see records.
How do you coordinate security activities with the port facility?
When would you limit shore to ship access to only one access point?
How often do you audit security activities? How do you audit a security activity? Ask for an example. Also ask to see records.
Who is the Company Security Officer? Do you have 24/7contact information for this person? Ask to see information.
Do you have any active Declarations of Security? And with whom?
How often do you hold security drills, training, or exercises? When was the last time you conducted a security drill, training session, or exercise? Ask to see associated records.
How do you report security breaches or incidents? Ask to see records.
What do you do if someone tries to bring an unauthorized weapon on board the vessel? Dangerous substance? Device?
How do you prevent unauthorized persons from coming on board?
Who on board are assigned security duties?
When was the last time the SSP was reviewed? Was it updated? Ask to see record of update.
What do you do to search persons and their belongings when they come on board?
What are your procedures to search unaccompanied baggage? How do these become more rigorous if security level increases?
How do you monitor the security of the ship when underway? When pierside? At anchor?
Do you have procedures in place to bring on board additional security personnel? Please describe.
Do you have procedures in place to ensure security for cargo handling? Please describe.
How do you safeguard the Ship Security Plan?

To Crew members having security responsibilities:

Who is the Ship Security Officer?
What do you do if there is a security breach? Or security threat?
How does the security alert system work? What happens if the security alert system is activated?
What are the vessel's restricted areas? How do restrict access to these areas?
When was the last time you participated in a security drill, training session, or exercise?
How do you report security breaches or incidents?
What do you do if someone tries to bring an unauthorized weapon on board the vessel? Dangerous substance? Device?
How do you prevent unauthorized persons from coming on board?
What do you do to search persons and their belongings when they come on board?
What are your procedures to search unaccompanied baggage?
How do you monitor the security of the ship when underway? When pierside? At anchor?

To Crewmembers not having security responsibilities:

Who is the Ship Security Officer?
What do you do if there is a security breach? Or security threat?

Glossary of Terms and Acronyms

AGENT
Vessel representative hired by the ship's owners. Ship's agent may be tasked with various jobs such as: ensuring proper vessel documentation and compliance.

CARGO SHIP
Any ship which is not a passenger ship.

CLEAR GROUNDS

Evidence (including observations) or reliable information that the ship does not correspond with the requirements of SOLAS Chapter XI-2 or Part A of the ISPS Code, taking into account the guidance of Part B of the ISPS Code.

COTP
Captain of the Port.

CSO
Company Security Officer

DECLARATION OF SECURITY
An agreement between a vessel and a port facility that addresses security requirements that are shared between a ship and a facility and outlines both ship and facility responsibilities.

IMO
International Maritime Organization. Specialized agency of the United Nations concerned solely with maritime affairs. Responsible for international treaties, conventions, resolutions and codes to improve Maritime safety.

ISM
International Safe Management

MSC
Maritime Safety Committee. One of four technical bodies of the IMO which deals with issues such as aids to navigation, vessel equipment, and construction, manning requirements handling dangerous cargoes, hydrostatic information and marine casualty information.

PASSENGER SHIP
A ship that carries more than 12 passengers.

PMS
Preventative Maintenance System

SMS
Safety Management System
SOLAS
The International Convention for the Safety of Life at Sea.

SSO
Ship Security Officer (Similar in nature to Vessel Security Officer in domestic maritime security regulations.)

SSP
Ship Security Plan (Similar in nature to Vessel Security Plan in domestic maritime security regulations.)

STCW
The International Convention on Standards of Training, Certification and Watchkeeping for Seafarers.