

United States Coast Guard



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

Name of Vessel	Flag <input type="checkbox"/> No Change
IMO Number	Case Number
Date Completed	
Location	
Senior Marine Inspectors / Port State Control/ Boarding Officers	
1. _____	5. _____
2. _____	6. _____
3. _____	7. _____
4. _____	8. _____

CG-840 ISPS
MTSA/ISPS CODE
Rev. 15APR04

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 or OCMI 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 or OCMI 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
<ul style="list-style-type: none">• Review MISLE records• Deficiency History• Critical Profile• CG Activity History	<ul style="list-style-type: none">• Issue letters/certificates to vessel• Issue Port State Control Report of Inspection-Form A• Issue Port State Control Report of Inspection-Form B (if needed)• Immediate MISLE documentation• Complete 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)							
ASP Used (Non-Solas/Non-Signatory only)							

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 (during period of last ten ports of call, as applicable)

Facility Name	Completed?	Date	Contact Details



SECTION B
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Security Practices

Until such point that clear grounds are established, examinations shall address Parts A and B of the ISPS Code and shall be done through observations that expected security procedures are in place, though verifying the on board presence and validity of required security documents and certificates, and by asking questions to verify security procedures and personnel competencies. Questions asked prior to the point clear grounds are established should be limited in both scope and number. 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.

<p>Performance of Ship Security Duties</p> <p><input type="checkbox"/> Duties of ship personnel assigned security responsibilities and of other shipboard personnel</p> <ul style="list-style-type: none"> • 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 <p><input type="checkbox"/> Identification of ship security officer/company security officer</p>	<p>33 CFR 104.240(a) ISPS Part A Sect. 7.1 & 12 ISPS Code Part B Sect 9.7</p>
<p>Controlling Access to the Ship (number in parentheses indicates security level)</p> <p><input type="checkbox"/> Measures to Prevent Unauthorized Access to ship</p> <ul style="list-style-type: none"> • 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) 	<p>33 CFR 104.265 ISPS Part A Sect. 7.1 & 9.4 ISPS Part B Sect. 9.9 – 9.17</p>
<p>Controlling Embarkation of Persons and Their Effects (number in parentheses indicates security level)</p> <p><input type="checkbox"/> Measures to prevent unauthorized weapons, dangerous substances, and devices from being brought on board</p> <ul style="list-style-type: none"> • 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) 	<p>33 CFR 104.255 ISPS Code Part A, 7.1, 9.4 ISPS Code Part B 9.14, 9.15, 9.38 – 9.41</p>
<p>Monitoring Deck Areas and Areas Surrounding Ship (number in parentheses indicates security level)</p> <p><input type="checkbox"/> Monitoring Security of the Ship</p> <ul style="list-style-type: none"> • 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) 	<p>33 CFR 104.285 ISPS Part A Sect. 7.1 & 9.4 ISPS Part B Sect. 9.42 – 9.49</p>

SECTION B
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Security Practices

<p>Monitoring Restricted Areas Ensuring only Authorized Persons have Access, e.g. (number in parentheses indicates security level)</p> <p><input type="checkbox"/> Restricted Areas Monitored/Measures to Prevent Unauthorized Access (examples: Bridge, Engine Room, Steering Compartment, Cargo Control Room, Pump Room, Cargo Spaces, CO2 Room, etc.)</p> <ul style="list-style-type: none"> • 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) 	<p>33 CFR 104.270 ISPS Part A Sect. 7 & 9.4 ISPS Part B Sect. 9.18 – 9.24</p>
<p>Supervision of Cargo and Ship's Stores (number in parentheses indicates security level)</p> <p><input type="checkbox"/> Procedures for security of cargo & stores and for cargo & stores operations</p> <ul style="list-style-type: none"> • 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) 	<p>33 CFR 104.275, 104.280 ISPS Code Part A 7.1, 9.4 ISPS Code Part B 9.25 – 9.37</p>
<p>Security Communication is available</p> <p><input type="checkbox"/> Procedures and equipment for communicating responses to security threats and communicating with port, port State, and flag State</p> <ul style="list-style-type: none"> • Security Personnel have ready access to communications – ship to flag, ship to shore, SSO to security personnel 	<p>33 CFR 104.245 SOLAS Chap. V, Reg. 19</p>

<p>Other Items</p> <p><input type="checkbox"/> Security Certificates Valid</p> <ul style="list-style-type: none"> • International Ship Security Certificate (if Interim confirm it is issued for the reasons listed in ISPS Code Part A, 19.4.1 and iaw ISPS Code Part A, 19.4.2 – 19.4.6) • Continuous Synopsis Record On Board and Kept Up-to-Date • Declaration of Security (If applicable) <p><input type="checkbox"/> Hull Markings (new ships – on delivery, existing ship by 1st scheduled drydocking after 7/1/04)</p> <p><input type="checkbox"/> Security Related Records</p> <ul style="list-style-type: none"> • 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 • Records retained for 2 years (VsIs subj to MTSA only) <p><input type="checkbox"/> Special Passenger Vessel Requirements</p> <ul style="list-style-type: none"> • Security Sweeps, Alternatives to ID checks, Additional vehicle screening appropriate for MARSEC I/II • Screen all personnel and baggage, ID check, Security patrol, Selected area search prior to embarking passengers and sailing, MARSEC level 3 security brief to passengers 	<p>33 CFR 104.250 SOLAS Chap XI-1, Reg. 5 SOLAS Chap XI-2, Reg. 9.1.2</p> <p>SOLAS Ch. XI-1, Reg. 3</p> <p>33 CFR 104.235 SOLAS Ch. XI-1, Reg. 5 ISPS Part A Sect. 10.1 ISPS Part B Sect. 10</p> <p>33 CFR 104.292 33 CFR 104.295</p>
<p>Security at Facility at which Vessel is visiting (limit in scope to observations while transiting the facility and while on facility in vicinity of ship – if compliance issues are noted, immediately contact facility security verification staff at the COTP or OCMI)</p> <p><input type="checkbox"/> Declaration of Security</p> <ul style="list-style-type: none"> • Executed between cruise ship or ship carrying CDC in bulk and facility (1) • Executed between all other ship types and facility (2) • DoS provisions reflect shared security concerns • Ship and facility comply with DoS provisions <p><input type="checkbox"/> Measures to Prevent Unauthorized Access to facility</p> <ul style="list-style-type: none"> • Access to facility controlled/guarded/secured (1) • Identity and valid reason to access facility checked (1) • Persons accessing liable to search (1) • Warning Signs • Unaccompanied baggage screened/searched (1) • Patrol vessels for waterside security (2) • Unaccompanied baggage x-ray screened (2) • Suspension of access to all but authorized personnel (3) • Complete screening of personal effects (3) • Extensive x-ray screening of unaccompanied baggage (3) <p><input type="checkbox"/> Restricted Areas at the port facility (includes, among other things, shore and water-side areas adjacent to ship, passengers embarkation areas, cargo loading and storage areas, etc.)</p> <ul style="list-style-type: none"> • Restricted areas marked (1) • Permanent/temporary barriers in place (1) • Controlled or guarded access points to restricted areas (1) • Access to authorized personnel only (1) • Restricted access to areas adjacent to restricted areas (2) • Active searches of restricted areas (3) <p><input type="checkbox"/> Supervision of Cargo and Ship Stores</p> <ul style="list-style-type: none"> • Safety permitting, cargo/stores checked for evidence of tampering (1) • Cargo/Stores checked by facility against delivery documents (1) • Delivery vehicles screened (1) <p><input type="checkbox"/> Monitoring Security of Facility</p> <ul style="list-style-type: none"> • Facility is continuously monitored • Lighting sufficient to monitor • Facility Security consistent with MARSEC Level 	<p>33 CFR 104.255, 105.145 ISPS Part A 5</p> <p>33 CFR 105.255</p> <p>33 CFR 105.260</p> <p>33 CFR 105.265, 105.270</p> <p>33 CFR 105.275</p>

SECTION C
Foreign Vessel MTSA/ISPS Code Exam Booklet
Sample Security Questions

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 examination and 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?

Why do you have an interim International Ship Security Certificate? Is the ship new or has re-entered service? Or has the ship transferred flag or its owner/operator?

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 24/7 contact 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?

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

RSO

Recognized Security Organization. Contracting Governments may authorize agency to undertake certain security-related activities.

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.