

Subject

USCG PSC Checklist for the implementation of the ISPS Code

ClassNK

Technical Information

No. TEC-0601
Date 24 September 2004

To whom it may concern

The USCG has issued a PSC programme concerning security related matters as NVIC (Navigation and Vessel Inspection Circular) No. 06-03 on 15 December 2003. Subsequently, this circular has been revised on 5 May 2004. The circular contains ISPS Code Exam Booklet to be used for foreign vessels by PSC officials. ClassNK summarized this booklet as a checklist attached herewith. The Society should be grateful if you could utilize this checklist as self-checklist prior to entry into a harbour of the United States as well as other places.

1. Checklist No. 1 (Security Practice) is to be used for inspecting ship's security measures and equipment as well as documents.
2. Checklist No.2 (Expanded Examination) is to be used for an "Expanded examination" to be conducted when there is a clear ground found during PSC inspection indicating non-compliance with the requirement. Item 1 is examination of the ship security plan, and item 2 is to review SSP after obtaining consent of the master or the flag Administration for such review of SSP concerning non-compliance. Further, as item 3, a drill may be carried out as part of expanded examination to demonstrate the performance on the spot.
3. Checklist No. 3 (Sample Security Question) is a sample to be used for interviews in order to examine the training and familiarisation to the procedure of the crewmembers including Ship Security Officer. Please note that parts printed in thick letters/underlines requires permission of flag Administration for reviewing SSP.

The above mentioned checklist is available at the ClassNK's web-site as well (in "Gateway to Maritime Security" under "News") at (http://sms.classnk.or.jp/ispsph/html/Japanese/news_j.htm)

(To be continued)

NOTES:

- ClassNK Technical Information is provided only for the purpose of supplying current information to its readers.
- ClassNK, its officers, employees and agents or sub-contractors do not warrant the accuracy of the information contained herein and are not liable for any loss, damage or expense sustained whatsoever by any person caused by use of or reliance on this information.
- Back numbers are available on ClassNK Internet Homepage (URL: www.classnk.or.jp).

For any questions about the above, please contact:

NIPPON KAIJI KYOKAI (ClassNK)

Safety Management Systems Department, Information Center, Head Office

Address: 1-8-5 Ohnodai, Midori-ku, Chiba 267-0056, Japan

Tel.: +81-43-294-5999

Fax: +81-43-294-7206

E-mail: smd@classnk.or.jp

Attachment:

1. USCG Checklist for Port State Control on Ship Security

USCG Checklist for Port State Control, No.1 (Security Practice)
NVIC No. 06-03, CHANGE-1

1. Performance of Ship Security Duties	
<input type="checkbox"/>	Duties of ship personnel assigned security responsibilities and of other shipboard personnel a) Ship is at prescribed security level at port (MARSEC Level _____). b) General walk-through of vessel/restricted areas to observe security provisions in place c) Shipboard personnel attentive to security matters indicating active efforts being taken to ensure appropriate security measures are in place
<input type="checkbox"/>	Identification of ship security officer/company security officer
2. Controlling Access to the Ship (number in parentheses indicates security level)	
<input type="checkbox"/>	Measures to Prevent Unauthorized Access to ship a) Security personnel require personal identification and reason to board (1) b) Access points identified/manned to prevent unauthorized access (1) c) Unattended spaces adjoining spaces accessible to passengers/visitors secured (1) d) Security personnel appear to be briefed re: threats, suspicious persons, objects or activities and need for vigilance (1) e) Security personnel patrolling deck areas (2) f) Access points to ship limited (2) g) Waterside access to ship deterred (2) h) Restricted zone established on shore side of ship (2) i) Visitors receive escort (2) j) Full or partial search of ship conducted (2) k) Access restricted to single point (3) l) Access to ship limited to security personnel (3) m) Directing persons on board (3) n) Suspend embarkation/debarkation or evacuate ship (3) o) Suspend cargo operations (3) p) Move the ship to a more secure area (3) q) Preparations taken for a full or partial search of the ship (3)
3. Controlling Embarkation of Persons and Their Effects (number in parentheses indicates security level)	
<input type="checkbox"/>	Measures to prevent unauthorized weapons, dangerous substances, and devices from being brought on board a) Secure area(s) to search persons, baggage, etc. provided (1) b) Checked persons/baggage segregated from unchecked persons/baggage (1) c) Embarking persons segregated from disembarking passengers (1) d) Ro-Ro/Ferries - vehicle searches performed (1) e) Unaccompanied baggage screened/searched (1) f) Frequency and detail of searches (persons, effects, vehicles) increased (2) g) Unaccompanied baggage 100 percent x-ray searched (2) h) Unaccompanied baggage, thorough x-ray search (different angles), or refusal to accept (3)
4. Monitoring Deck Areas and Areas Surrounding Ship (number in parentheses indicates security level)	
<input type="checkbox"/>	Monitoring Security of the Ship a) Mix of lighting, watchkeepers, security guards, security equipment used to observe the ship in general (1) b) Stepped up use of lighting, watchkeepers, security guards, security equipment (2) c) Maximized use of lighting, watchkeepers, security guards, security equipment (3)
5. Monitoring Restricted Areas Ensuring only Authorized Persons have Access, e.g. (number in parentheses indicates security level)	
<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.) a) Surveillance Equipment in use (1) b) Locked/ Secured/ Roving guard for access points (1) c) Intrusion alarms devices in use (1) d) New restricted areas established adjacent to access points (2) e) Continuous use of surveillance equipment (2) f) Added guards for access points (2) g) Restricted areas established in proximity to security incidents (3) h) Restricted areas searched (3)
6. Supervision of Cargo and Ship's Stores (number in parentheses indicates security level)	
<input type="checkbox"/>	Procedures for security of cargo & stores and for cargo & stores operations a) cargo, transport units, and cargo spaces routinely checked before operations (1) b) cargo checked for match to cargo documentation (1) c) vehicles routinely searched prior to loading (1)

USCG Checklist for Port State Control, No.1 (Security Practice)

NVIC No. 06-03, CHANGE-1

	<ul style="list-style-type: none"> d) anti-tamper seals/methods checked (1) e) cargo visually/physically examined (1) f) scanning equipment/dogs used (1) g) stores checked for match order prior to loading (1) h) stores stowed immediately (1) i) cargo, transport units, and cargo spaces checked in detail before operations (2) j) intensified checks that only intended cargo is loaded (2) k) vehicles search intensively prior to loading (2) l) anti-tamper seals/methods checked with greater frequency and detail (2) m) cargo visually/physically examined with greater frequency and detail (2) n) scanning equipment/dogs used with greater frequency and detail (2) o) enhanced security measures coordinated with shipper/responsible party iaw an established agreement (2) p) stores more extensively checked for match order prior to loading (2) q) cargo loading/unloading suspended (3) r) verifying the inventory of dangerous and hazardous goods and their location (3) s) stores more intensively checked, suspended, or refusal to accept (3)
7. Security Communication is available	
<input type="checkbox"/>	Procedures and equipment for communicating responses to security threats and communicating with port, a) Security Personnel have ready access to communications – ship to flag, ship to shore, SSO to security personnel
8. Other Items	
<input type="checkbox"/>	Security Certificates Valid a) 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) b) Continuous Synopsis Record On Board and Kept Up-to-Date c) Declaration of Security (If applicable)
<input type="checkbox"/>	Hull Markings (new ships – on delivery, existing ship by 1st scheduled dry-docking after 7/1/04)
<input type="checkbox"/>	Security Related Records d) Records of Drills and Exercises e) Records of Security Threats, Incidents, & Security Breaches f) Records of Changes to Ship Security Levels g) Record of Security Communications h) Records protected Against Unauthorized Access i) Records retained for 2 years (Vessels subject to MTSA only)
<input type="checkbox"/>	Special Passenger Vessel Requirements j) Security Sweeps, Alternatives to ID checks, Additional vehicle screening appropriate for MARSEC level k) 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

1. Ship Security Plan	
<input type="checkbox"/>	Note: PSCOs not authorized to review SSP content unless clear grounds of substantial non-conformance are discovered – See next section a) On board Vessel (A 9.1) b) Approved by Flag Administration/Recognized Security Organization (A 9.2, B 9.4) c) Audits Conducted/Procedures for Periodic Review (A 9.4.11, B 9.53) d) Security Assessment conducted and documented for SSP (A 8, B 9.1) e) Working Language and Translation into English, French, Spanish Available (A 9.4) f) Plan protected Against Unauthorized Access (A 9.6, A 9.7)
2. Ship Security Plan	
<input type="checkbox"/>	Relevant sections of the SSP may be reviewed only if there are clear grounds that a non-conformity exists. For example, vessel access control is nonexistent or haphazard, the PSCO may ask to review the section of the SSP pertaining to access control. Similar reviews may be done for other areas where apparent non-conformities exist. The PSCO may not review the SSP without the consent of the flag Administration or the ship's master. Note provisions of the SSP relating to Part A, Sections 9.4, subsection numbers 2, .4, .5, .7, .15, .17, and .18 are considered sensitive information and may not be reviewed without consent of the flag Administration!
<input type="checkbox"/>	Review Sections of SSP, Comments: _____ _____ _____ _____ _____ _____ _____
3. Security Drill	
<input type="checkbox"/>	(only if vessel has not performed drills on periodic basis or if vessel opts to demonstrate competence as part of expanded examination through drill) a) 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 b) Drill selection and location shall be as directed by the Master and SSO. Describe: _____ _____ _____ _____ _____ _____

USCG Checklist for Port State Control, No. 3 (Security Questions)
NVIC No. 06-03, CHANGE-1

Security Questions	
<i>To the Ship Security Officer</i>	
1	<u>What do you do if there is a security breach? Or security threat?</u>
2	<u>How does the security alert system work? What happens if the security alert system is activated?</u>
3	<u>What do you do if the port is at a higher security level than the ship?</u>
4	<u>What are the vessel's restricted areas? How do you restrict access to these areas?</u>
5	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?
6	How often is the security equipment calibrated? Ask to see records.
7	How do you coordinate security activities with the port facility?
8	When would you limit shore to ship access to only one access point?
9	How often do you audit security activities? How do you audit a security activity? Ask for an example. Also ask to see records.
10	Who is the Company Security Officer? Do you have 24/7 contact information for this person? Ask to see information.
11	Do you have any active Declarations of Security? And with whom?
12	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.
13	How do you report security breaches or incidents? Ask to see records.
14	What do you do if someone tries to bring an unauthorized weapon on board the vessel? Dangerous substance? Device?
15	How do you prevent unauthorized persons from coming on board?
16	Who on board are assigned security duties?
17	When was the last time the SSP was reviewed? Was it updated? Ask to see record of update.
18	What do you do to search persons and their belongings when they come on board?
19	What are your procedures to search unaccompanied baggage? How do these become more rigorous if security level increases?
20	How do you monitor the security of the ship when underway? When pierside? At anchor?
21	Do you have procedures in place to bring on board additional security personnel? Please describe.
22	Do you have procedures in place to ensure security for cargo handling? Please describe.
23	How do you safeguard the Ship Security Plan?
<i>To Crew members having security responsibilities</i>	
24	Who is the Ship Security Officer?
25	<u>What do you do if there is a security breach? Or security threat?</u>
26	<u>How does the security alert system work? What happens if the security alert system is activated?</u>
27	<u>What are the vessel's restricted areas? How do restrict access to these areas?</u>
28	When was the last time you participated in a security drill, training session, or exercise?
29	How do you report security breaches or incidents?
30	What do you do if someone tries to bring an unauthorized weapon on board the vessel? Dangerous substance? Device?
31	How do you prevent unauthorized persons from coming on board?
32	What do you do to search persons and their belongings when they come on board?
33	What are your procedures to search unaccompanied baggage?
34	How do you monitor the security of the ship when underway? When pierside? At anchor?
<i>To Crewmembers not having security responsibilities</i>	
35	Who is the Ship Security Officer?
36	<u>What do you do if there is a security breach? Or security threat?</u>

Note: 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.