



# EXAMINATION RECORD

(see instructions on Certificate of Compliance)

Type of Examination	Remarks	Place, Date and Port State Control Officer	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	
		Place of examination	
		Unit	Date
		Port State Control Officer's Signature	



## **Appeal Procedures**

(Reference: Title 46, Code of Federal Regulations, Subpart 1.03)

Any person directly affected by a decision or action of an OCMI may request reconsideration of the decision or action to the cognizant OCMI following the appeal procedures contained in 46 CFR 1.03 or 33 CFR 140.25 as applicable.

1. Appeals must be submitted in writing within **30 days** after the decision or action being appealed was made. The appeal must contain a description of the decision or action being appealed and the reason why the decision or action should be set aside or revised.
2. All appeals must be submitted first to the cognizant Officer in Charge, Marine Inspection (OCMI) for reconsideration. Note, the issuing unit's name/address is located in the bottom left hand corner of the Deficiency Report if needed.
3. If not satisfied by the decision or action of an OCMI after requesting reconsideration, a formal appeal of that decision or action may be made within **30 days**, via the office of the cognizant OCMI, to the District Commander of the district in which the office of the cognizant OCMI is located.
4. If not satisfied by the District Commander's decision or action on appeal, a formal appeal of that decision or action may be made within **30 days**, via the office of the cognizant District Commander to Commandant (CG-CVC).
5. Commandant (CG-CVC) is the final agency action on the appeal.

Address: United States Coast Guard Headquarters  
COMMANDANT (CG-CVC-2)  
Attn: Foreign and Offshore Vessel Compliance Division  
2703 Martin Luther King Jr. Ave, SE, Stop 7501  
Washington, D.C. 20593-7501

Or

Email: [CGCVC@uscg.mil](mailto:CGCVC@uscg.mil)

### **U.S. COAST GUARD RESOURCES**

For information on the U.S. Coast Guard's Port State Control (PSC) Program, you may visit our website at:  
<http://homeport.uscg.mil/psc>

For information on the U.S. Coast Guard's Outer Continental Shelf (OCS) Program, you may visit our website at:  
<https://homeport.uscg.mil/ocs>

### Instructions/Notices:

**All vessels:** All vessels requiring an examination for issuance of a Certificate of Compliance shall notify the Officer in Charge, Marine Inspection for the port where the vessel is to be expected at least **seven** days before the vessel arrives to arrange the particulars of the inspection. For this Certificate of Compliance to remain in effect, the vessel shall be maintained to the safety and construction standards as examined for compliance with applicable marine safety and environmental protection laws and international conventions.

**In accordance with the provisions of 46 CFR Part 4 and 33 CFR Part 160.215 and 33 CFR Subchapter "N", as applicable, the vessel owner, operator, agent, master, or person in charge is required to immediately notify the nearest United States Coast Guard Sector whenever a marine casualty or hazardous condition occurs.**

**For Passenger Vessels only:** The vessel must possess a valid Passenger Vessel Safety Certificate. This Certificate of Compliance shall be aboard the vessel when embarking passengers in a United States port.

**For Tank Vessels:** If the vessel is authorized to carry liquefied gases in bulk, a valid Subchapter O Endorsement must be attached to this Certificate. The vessel must also possess a valid Cargo Vessel Safety Certificate, or Cargo Vessel Safety Construction and Safety Equipment Certificates issued under the provisions of the International Convention for the Safety of Life at Sea, 1974, as amended and, if applicable, an IMO Certificate of Fitness and/or an International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk (NLS Certificate). This certificate shall be aboard the vessel when loading, discharging, or carrying any authorized cargoes into a United States port.

**For MODU's & Floating Installations only:** This Certificate of Compliance is valid only while operating on the Outer Continental Shelf (OCS) of the United States and shall be maintained in accordance with the standards for "All vessels", including 33 CFR Parts 151, 155, 156 and 33 CFR Subchapter "N". If the vessel enters a United States port or territorial waters, additional requirements may apply. This certificate shall be aboard the vessel while operating on the OCS. If the vessel is authorized as a tank vessel (*see IOPP*), also complete sections under "For Tank Vessels" as applicable.

### INSTRUCTIONS FOR PORT STATE CONTROL OFFICER

- Certificate of Compliance:** Entries shall be made on this certificate in accordance with current instructions for the following types of foreign vessel examinations which are completed in U.S. navigable waters under our PSC authority:
  - Renewal and annual examinations on oil tankers, chemical tankers, gas carriers.
  - Annual and periodic passenger vessel examinations.
  - Examinations incidental to repairs or alterations.
  - Other compliance examinations (i.e.-MARPOL, Ballast Water, etc.) or Deficiency checks.
- Upon completion of an examination for issuance or re-issuance of this certificate, a new copy of this certificate with the front side filled out by the PSCO will be given to the master.
- The Examination Record, *Remarks* section shall include a statement that no deficiencies were issued, if applicable. However, if any deficiencies are identified, a CG-5437B (Port State Control Report of Inspection, Form B) shall be issued to detail the discrepancies, and the statement "See CG-5437B dated \_\_\_\_" shall be entered in the remarks section. The master should be instructed to make this certificate and the referenced document available to the next CG examination team.
- In the final column, the port and place of examination, Coast Guard unit, the date of the examination and the signature of the PSCO shall be entered. If more than one PSCO participates in the examination, the lead PSCO shall sign the record. The date of the examination shall be the final day of the examination.

### INSTRUCTIONS FOR OCS/Non-PSC

- Certificate of Compliance:** Entries shall be made on this certificate in accordance with current instructions for the following types of foreign vessel inspections which are completed under U.S. Domestic authority taking place outside 12 NM (overseas, lightering zones, MODU's & Floating Installations):
  - Initial, renewal and annual inspections on oil tankers, chemical tankers, gas carriers, MODU's and Floating Installations.
  - Inspections incidental to repairs or alterations.
  - Other compliance inspections (i.e. MARPOL, Ballast Water, etc.) or Deficiency checks.
- For MODU's only: If the MODU is examined in accordance with 33 CFR 143.207(c) note the specific MODU code by year, applicable in the space provided.
- Upon Completion of an inspection for issuance or re-issuance of this certificate, the original shall be given to the Master and a copy retained for MISLE entry.
- Examination Record:** The remarks section should include a reference to any deficiencies noted during the inspection and referenced as follows: "See Deficiency Report dated \_\_\_\_". The final column, the place of inspection, Coast Guard unit, date of the inspection, and signature of the inspector shall be entered. If more than one inspector participates in the inspection, the lead inspector shall sign the record. The date of the inspection shall be the final day of the inspection.
- If deficiencies are identified, a Deficiency Report shall be completed in its entirety and issued detailing the discrepancies and the appropriate actions to be taken. The Master shall be instructed to retain a copy of the Deficiency Report with the COC so they are available to the next Coast Guard inspection team.
- Instructions for completing the **Deficiency Report: This report shall only be completed in lieu of the CG-5437A and B (Port State Control Report of Inspection) for COC exams occurring outside 12 NM (overseas, lightering zones, MODU's & Floating Installations).** If the number of documented deficiencies exceeds the page allowance, begin a New Deficiency Report and document the page numbers sequentially, at the bottom, in the space provided.

**Block 3** - Vessel Type: Examples include MODU, FPSO, FPS, CVE, Gas, TVE, CHEM, and Accommodation, etc.

**Block 6** - Inspection Type: Should indicate type of inspection conducted. (i.e. COC Initial, COC Annual, COC Renewal or COC Quarterly - 1<sup>st</sup>, 2<sup>nd</sup>, Random, PII, etc.) This section is relevant in the rare instance that a COC is not issued due to deficiencies or type of inspection (i.e. Random or NPV). This will provide documentation for the vessel of the Coast Guard inspection.

**Block 7** - If "No" is checked and a COC is not issued due to deficiencies, the following statement shall be included at the end of the form: "COC was not issued on (date)." Additionally, the appropriate entries shall be made in MISLE.

**Block 8** - (MODU's only) Utilize the MODU Matrix. NPV should be used for scheduled inspections only. See CG-543 Policy Letter 11-06 for additional guidance on Priority and Random Inspections.

**Block 9** - If "No" is checked; a brief description in the remarks section of the Examination Record will be included. (i.e. no drills conducted due to inclement weather).

**Block 10**- Deficiencies should be numbered and identify the relevant International Conventions or regulations. The discrepancy description should contain two elements: 1) state the standard the vessel does not meet and 2) state why the vessel does not meet the standard.