

U.S. Department of
Homeland Security

United States
Coast Guard



INITIAL INDOCTRINATION TO MARINE SAFETY (IIMS) COURSE

U.S. Coast Guard
Pamphlet No. Y0581
(2/04)



INITIAL INDOCTRINATION TO MARINE SAFETY (IIMS) COURSE

Creation Date: 02/04

Revision Date:

U.S. Coast Guard
Training Center (tms)
Yorktown, VA. 23690-5000
(757) 856-2324

QUESTIONS ABOUT THIS TEXT SHOULD BE
ADDRESSED TO ESTHER HINES, TRAINING SPECIALIST
MARINE SAFETY BRANCH, TRACEN YORKTOWN

Acknowledgments and References

Acknowledgments

Not applicable.

List of References

This pamphlet contains original material developed at the Coast Guard Training Center, Yorktown, Virginia, and excerpts from the following technical publications:

Marine Safety Manual (MSM), Vol. I

MSM Vol. VII

Coast Guard Organization Manual, COMDTINST M5400.7D

Benzene Occupational Exposure Standard, COMDTINST 6260.25

Technical Guide, Practices for Respiratory Protection, COMDTINST M6260.2C

Medical Manual, Chapter 12, COMDTINST M6000.1B

Safety and Environmental Health Manual, COMDTINST M5100.47

Standards of Conduct, COMDTINST M5370.8 (series)

Notice to Students

Purpose The purpose of this self-paced, nonresident training pamphlet is to provide the knowledge necessary to attend all marine safety entry-level resident training courses. This training pamphlet must be completed prior to attending the following resident training courses:

- **Entry Level Port Operations Course (ELPOC)**
 - **Marine Inspection Course (MIC)**
-

Important Note This text has been compiled for TRAINING ONLY. It should NOT be used in place of official directives or publications. The test information is current according to the references listed. You should, however, remember that it is YOUR responsibility to keep up with the latest professional information available for your rating.

Course Content This course content is based on the requirements stated from Commandant (G-MRP).

**Pamphlet
Content**

This pamphlet contains 6 lessons:

Lesson 1 Marine Safety Programs and Organization

Lesson 2 Marine Safety Missions Overview

Lesson 3 Legal Authorities

Lesson 4 Reference Sources

Lesson 5 Occupational Safety & Health

Lesson 6 Conduct and Ethics

Notice to Students

Learning Objectives

Read the learning objectives before you begin reading the text. The objectives will guide you through the text and help you answer the questions in the self-quiz at the end of each lesson.

Quizzes

Each lesson has a self-quiz and the pamphlet has a pamphlet review quiz. You will find the answers to each quiz on the pages following the quiz. Included are the reference pages for the answers.

These self-quizzes are meant to check your comprehension of the material you covered. If you are having problems understanding a section, go through it again or ask someone for help. The pamphlet review quiz questions are samples of the type of questions you will find on the end-of-course-test (EOCT).

SWE Study Suggestion

Service-wide exam questions for your rate and pay grade are based on the Professional and Military Requirements sections of the Enlisted Qualifications Manual, COMDTINST M1414.8 (series).

If you use the references from this text and consult the Enlisted Qualifications Manual, you should have good information for review when you prepare for your service-wide exam (SWE).

Use of Acronyms

Throughout this course, you will see acronyms along with their meanings. Many of these acronyms will be used on your end-of-course test.

TABLE OF CONTENTS

TITLE	PAGE
Acknowledgments and References	ii
Notice to Students	iii
Lessons	
#1 Marine Safety Programs and Organization	1-1
#2 Marine Safety Missions Overview	2-1
#3 Legal Authorities	3-1
#4 Reference Sources	4-1
#5 Occupational Safety & Health	5-1
#6 Conduct and Ethics	6-1
Appendixes	
A Pamphlet Review Quiz	A-1
B Pamphlet Review Quiz Answers	B-1
C Types Of Vessels	C-1
D Student's Evaluation	D-1

Lesson 1

MARINE SAFETY PROGRAMS AND ORGANIZATION

Overview

Introduction This lesson is an overview of the Coast Guard's Marine Safety Program and its organization.

Objectives To successfully complete this lesson you must study the text and master the following objectives:

- **LIST** the titles of the five G-M Directors.
- **NAME** the three operating programs associated with Marine Safety.
- **NAME** the two support programs associated with Marine Safety.
- **MATCH** the program elements within the Field Operations Directorate (G-MO) with their description.
- **LIST** the two program elements within the Port Security Directorate (G-MP).
- **MATCH** the designations held by a Commanding Officer of a marine safety command with their corresponding responsibilities.

References The information contained in this lesson can be found in the following references:

- Marine Safety Manual (MSM), Vol. I, Chapters 1 and 3
- MSM Vol. VII
- Coast Guard Organization Manual, COMDTINST M5400.7D

Resident Training Requirements This lesson covers the introductory objectives for the following resident training courses:

- **Entry Level Port Operations Course (ELPOC)**
- **Marine Inspection Course (MIC)**

Overview

Outline

This lesson will cover the following topics:

- **Marine Safety Organization**

Introduction

Headquarters Organization (G-M)

- **Marine Safety Programs**

Introduction

Director of Field Operations (G-MO)

Director of Port Security (G-MP)

Director of Standards (G-MS)

Director of Resources (G-MR)

Director of Waterways Management (G-MW)

- **Marine Safety Command Designations**

Introduction

Marine Safety Commands

Commanding Officer Designations

Responsibilities

- **Lesson 1 Self-Quiz**

Marine Safety Organization

Introduction

To carry out Coast Guard missions, the Commandant assigns various responsibilities to different levels of the organizational structure. This lesson explains the delegation of authority from the Commandant (G-M) to different levels of the Marine Safety organization. Since this lesson is intended for field personnel, emphasis is placed on describing field organizations.

Headquarters Organization (G-M)

There are five (G-M) Directors that are organized as follows:

Operating programs:

- Director of Field Operations (G-MO)
- Director of Port Security (G-MP)
- Director of Waterways Management (G-MW)

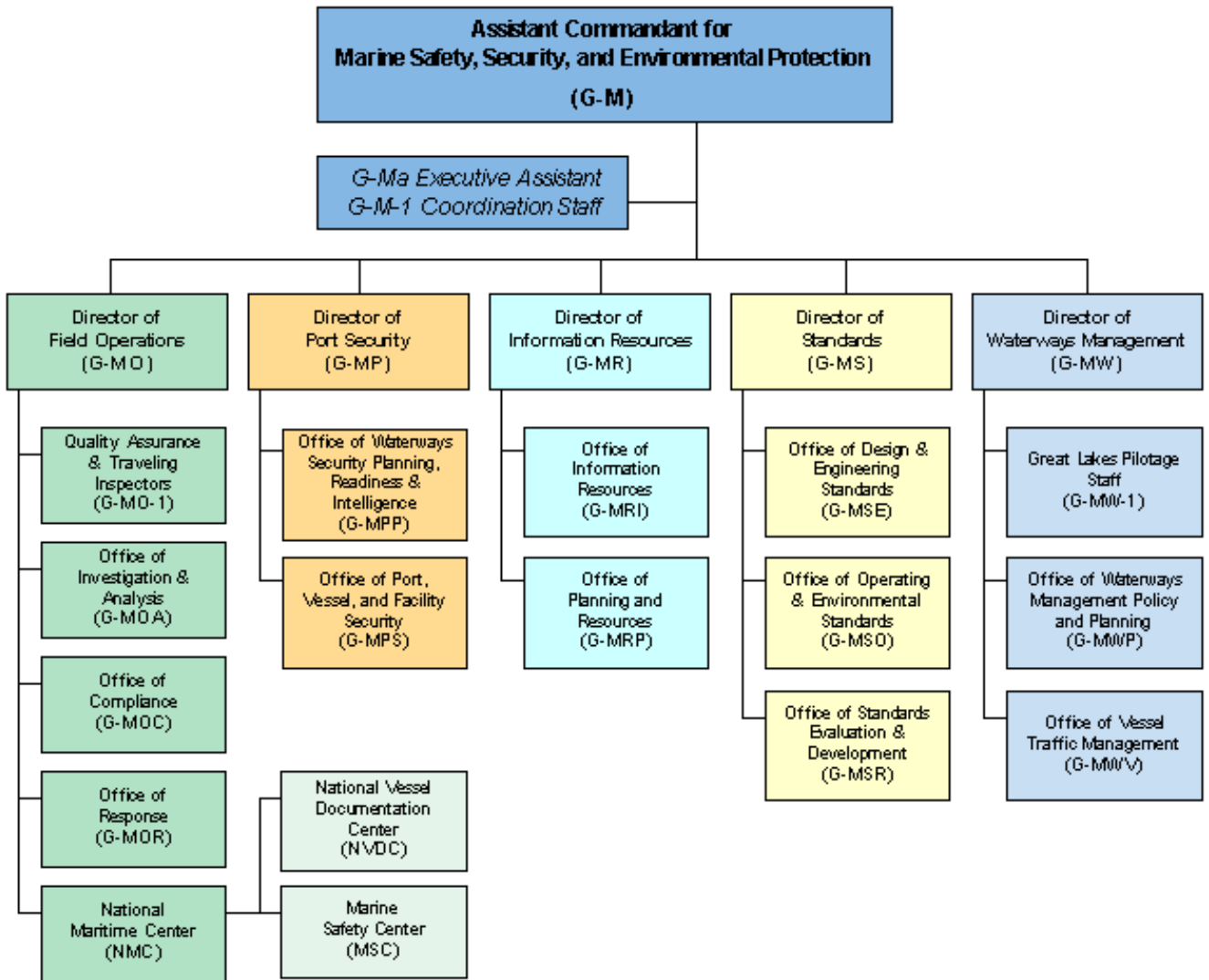
Support programs:

- Director of Standards (G-MS)
 - Director of Resources (G-MR)
-

Marine Safety Organization

Headquarters Organization (G-M) (Continued)

The following diagram shows the organization of Commandant (G-M).



Marine Safety Programs

Introduction

The primary focus of the Marine Safety mission is the safety and security of ships and cargoes entering our ports, security of the port areas, and protection of the marine environment. Historically many of these focus areas resulted from significant maritime disasters. The examples provided below further illustrate the programs managed by G-M.

(G-MO) Director of Field Operations

The Director of Field Operations is responsible for four distinct program elements promoting various aspects of the marine safety mission. They are:

- The G-MOC program element promotes safety of life and property by establishing design, construction, operation, and inspection regulations for merchant vessels and other marine activities such as outer continental shelf oil and gas operations. Aspects of this program include:
 - Oversight of Classification Societies.
 - Vessel inspections.
 - Commercial Fishing Vessel Safety.
 - Facility inspections.
 - The G-MOR program element minimizes damage from pollutants, such as oil or hazardous substances, released into the marine environment. Aspects of these programs include:
 - Pollution response contingency planning and preparedness.
 - Pollution incident response.
 - Pollution response exercises.
 - The G-MOA program element oversees investigations of marine casualties and merchant marine personnel actions to determine violations of U.S. laws. This information aids the program manager in measuring the effectiveness of current regulations. Aspects of this program include:
 - Maintaining computerized casualty and accident data banks.
 - Evaluating information to initiate corrective measures.
 - Conducting suspension and revocation actions on documents or licenses held by commercial vessel personnel.
-

Marine Safety Programs

(G-MO)
Director of Field
Operations
(Continued)

- The National Maritime Center (NMC) program element administers the mariner licensing program and ensures that mariners are qualified to hold various licenses and documents on board U.S. merchant vessels. Aspects of this program include:
 - Administering written examinations.
 - Evaluations of shipboard experience and time.
 - Issuance of licenses and documents.
-

(G-MP)
Director of Port
Security

The Director of Port Security is responsible for detecting and deterring Maritime Homeland Security threats in the Maritime Domain. In addition G-MP develops response capabilities sufficient to support crisis response and consequence management actions following an attack. This program includes the following two program elements:

- Office of Waterways Security Planning Readiness & Intelligence (G-MPP).
 - Office of Port Vessel, and Facility Security (G-MPS).
-

(G-MW)
Director of
Waterways
Management

The Director of Waterways Management is responsible for administering the Great Lakes Pilotage Program, Waterways Management Policy and Planning, and Vessel Traffic Management.

(G-MS)
Director of
Standards

The Director of Standards is responsible for providing expertise and technical assistance to the Marine Safety operating programs, other U.S. agencies, other national governments, and industry. Aspects of this program include developing regulations and standards for:

- Bulk and packaged hazardous materials transportation.
 - Marine and electrical engineering.
 - Vessel structure and stability.
-

(G-MR)
Director of
Resources

The Director of Resources is responsible for developing and administering the Marine Safety Business & Strategic Plans, Marine Safety Budgets, and Marine Safety Human Resources/Training.

Marine Safety Command Designations

Introduction

Historically, the original field units were called:

- Marine Inspection Offices (MIO)
- Captains of the Port (COTP)

These two titles came from the laws of the Marine Inspection and Port Safety and Security Programs. Each title has a geographic area of responsibility called a "zone." These areas are centered around large port areas of the coasts, Great Lakes, and major rivers. The zone description follows the title in naming the unit.

Example: MIO New Orleans, LA
COTP New Orleans, LA

Over time, due to overlapping responsibilities within similar zones, the Coast Guard began to merge the COTP and MIO offices. The Marine Safety Office (MSO) was the resultant command. In addition, the Marine Safety Offices and Operations Ashore Command have been combined in some areas to create Activities or Group/MSOs.

Future initiatives will result in the establishment of Sectors that reflect this combination of commands.

The Commanding Officer of these commands holds both OCMI and COTP titles. In addition, as a result of the implementation of the Maritime Transportation Security Act (MTSA) the COTP is also designated as the Federal Maritime Security Coordinator (FMSC), responsible for the implementation of security measures within the port.

Example: MSO New Orleans, LA

At this time, the majority of field units are MSO's. Only a few unique offices retain the original designations.

Marine Safety Commands

Although all marine safety commands do similar work, each command is unique in its organization. Some are organized along functional lines (i.e., prevention, response, and compliance departments), while others are organized along the traditional Inspection/Investigation and Port Operation Departments. Some commands have Regional Examination Centers, (REC), Vessel Traffic Services (VTS), Marine Safety Units (MSU), Marine Safety Detachments (MSD) and Marine Safety Field Offices (MSFO) as subunits.

Marine Safety Command Designations

Commanding Officer Designations

Regardless of how the marine safety command is organized, each Commanding Officer holds four separate functional titles that are prescribed in law or treaty. These designations are:

- Captain of the Port (COTP)
- Officer in Charge, Marine Inspection (OCMI)
- Federal On-Scene Coordinator (FOOSC)
- Federal Maritime Security Coordinator (FMSC)

Responsibilities

Under these designations the Commanding Officer has the following responsibilities:

- The COTP administers the Port Safety and Security and Marine Environmental Protection Programs within the boundaries of the COTP zone.
 - The OCMI administers the Marine Inspection, Marine Licensing, and Marine Investigation Programs within the boundaries of the marine inspection zone.
 - The FOOSC administers the federal response to discharges and substantial threats of discharges of oil and releases of hazardous substances.
 - The FMSC is responsible to oversee and direct the necessary activities of maintaining security within our ports.
-

This page intentionally left blank.

Lesson 1 Self-Quiz

Questions

1. List the titles of the five G-M Directors.

a. _____

b. _____

c. _____

d. _____

e. _____

2. Name the three operating programs associated with Marine Safety.

a. _____

b. _____

c. _____

3. Name the two support programs associated with Marine Safety.

a. _____

b. _____

Lesson 1 Self-Quiz

Questions (Continued)

4. Match the program elements within the Field Operations Directorate (G-MO) in Column A with their description in Column B. Use each description only once.

<u>Column A</u>	<u>Column B</u>
_____ 1. G-MOC	a. Ensures that mariners are qualified to hold various positions on board U.S. merchant vessels.
_____ 2. G-MOR	b. Promotes safety of life and property by establishing operation and inspection regulations for merchant vessels and other marine activities such as outer continental shelf oil and gas operations.
_____ 3. G-MOA	c. Minimizes damage from pollutants, such as oil or hazardous substances, released into the marine environment.
_____ 4. NMC	d. Oversees investigations of marine accidents, casualties, and merchant personnel misbehavior to determine cause and violations of U.S. statutes.
	e. Detects and deters Maritime Homeland Security threats in the Maritime Domain.

Lesson 1 Self-Quiz

Questions (Continued)

5. List the two program elements within the Port Security Directorate (G-MP).
- a. _____
- b. _____

6. Match the designations held by a Commanding Officer of a marine safety command in Column A with their corresponding responsibilities in Column B. Use each description only once.

<u>Column A</u>	<u>Column B</u>
_____ 1. Captain of the Port	a. Responsible to oversee and direct the necessary activities of maintaining security within our ports.
_____ 2. Officer in Charge, Marine Inspection	b. Administers the Marine Inspection, Marine Licensing, and Marine Investigation Programs within the boundaries of the marine inspection zone.
_____ 3. Federal On-Scene Coordinator	c. Administers the Port Safety and Security and Marine Environmental Protection Programs within his/her area of responsibility.
_____ 4. Federal Maritime Security Coordinator	d. (Established when the Coast Guard merges with the U.S. Navy) shares the role of defending the coastline up to 200 nautical miles offshore.
	e. Responds to discharges and substantial threats of discharges of oil and releases of hazardous substances.

This page intentionally left blank.

Lesson 1 Answers to Self-Quiz

Question	Answer	Reference
1.	a. Director of Field Operations b. Director of Port Security c. Director of Information Resources d. Director of Standards e. Director of Waterways Management	1-3
2.	f. Director of Field Operations (G-MO) g. Director of Port Security (G-MP) h. Director of Waterways Management (G-MW)	1-3
3.	a. Director of Resources (G-MR) b. Director of Standards (G-MS)	1-3
4.	1. b 2. c 3. d 4. a	1-3
5.	a. Office of Waterways Security Planning Readiness & Intelligence (G-MPP) b. Office of Port Vessel, and Facility Security (G-MPS)	1-6
6.	1. c 2. b 3. e 4. a	1-7

Lesson 2

MARINE SAFETY MISSIONS OVERVIEW

Overview

Introduction

This lesson is an overview of the Coast Guard's marine safety missions.

- Marine Inspection.
 - Marine Environmental Protection.
 - Marine Licensing.
 - Marine Investigation.
 - Port Safety Missions.
 - Maritime Security.
-

Objectives

To successfully complete this lesson you must study the text and master the following objectives:

- **LIST** the four basic vessel categories subject to inspection.
 - **NAME** the two general types of inspection.
 - **NAME** five areas of emphasis for the Marine Environmental Protection (MEP) mission.
 - **CLASSIFY** a list of merchant vessel personnel positions as documented or licensed.
 - **NAME** the two types of marine investigations.
 - **IDENTIFY** the major activities associated with the Port Safety mission.
 - **LIST** the three main maritime security activities performed by the U.S. Coast Guard.
-

Overview

References

The information contained in this lesson can be found in the following references:

- MSM Vol. I, Chapters 1, 2, & 3
 - MSM Vol. VII
 - Coast Guard Organization Manual, COMDTINST M5400.7D
-

Resident Training Requirements

This lesson covers the introductory objectives for the following resident training courses:

- **ELPOC**
 - **MIC**
-

Overview

Lesson Outline This lesson will cover the following topics:

- **Marine Inspection**
 - Introduction
 - Flag State Responsibility
 - Port State Responsibility
 - Vessel Categories
 - Inspection Types
 - **Marine Environmental Protection**
 - Introduction
 - Areas of Emphasis
 - **Merchant Marine Licensing**
 - Introduction
 - Documents and Licenses
 - Types
 - Regional Exam Center (REC)
 - **Marine Investigation**
 - Introduction
 - Marine Casualty Investigations
 - Personnel Actions
 - **Port Safety**
 - Introduction
 - Port Safety Missions
 - **Maritime Security**
 - Introduction
 - Security Activities
 - Port Security
 - Vessel Security
 - Facility Security
 - **Lesson 2 Self-Quiz**
-

Marine Inspection

Introduction

The OCMI has the field level responsibilities of the Marine Inspection mission. This section introduces you to the two major components of these field responsibilities. They are:

- Flag State responsibility.
 - Port State responsibility.
-

Flag State Responsibility

Flag State refers to that authority under which a country exercises regulatory control over the commercial vessels registered under its flag. This involves the inspection, certification, and issuance of safety and pollution prevention documents.

Under the authority of various federal laws, regulations, and international conventions and treaties, the OCMI is responsible for the inspection of U.S. flag vessels to ensure compliance with minimum safety and security standards. These inspections are carried out by Marine Inspectors at different times during the life of the vessel, depending on the type of ship and the ship's area of operation. This authority extends to U.S. Flag vessels operating throughout the world.

Port State Responsibility

Port State refers to that authority under which a country exercises regulatory control over the commercial vessels registered under another country's flag. This authority only exists while those vessels are operating within that country's territorial waters. U.S. territorial waters extend out to 12 miles. The Coast Guard carries out this responsibility under the Port State Control (PSC) Initiative.

The Coast Guard verifies that all foreign flagged vessels operating in U.S. waters are in substantial compliance with international conventions, as well as all applicable U.S. laws/regulations and treaties. Coast Guard personnel performing this mission are referred to as Port State Control Officers (PSCO).

Vessel Categories

The four basic categories of vessels subject to inspection are:

- Passenger vessels.
 - This category of vessel includes crew boats, nautical school vessels, cruise ships, excursion vessels, charter fishing boats, etc., carrying six or more passengers.
-

Marine Inspection

Vessel Categories (Continued)

- Tank vessels.
 - This category of vessel includes tank ships and tank barges.
- Cargo vessels.
 - This category of vessel includes container vessels, freight vessels, roll on/roll off (RO/RO), etc.
- Special use vessels.
 - This category of vessel includes, mobile offshore drilling units (MODU) offshore supply vessels (OSV), oceanographic research vessel, (ORV), oil spill response vessel (OSRV), nautical school vessels, sailing school vessels, etc.

Inspection Types

The different types of inspections are generalized into two broad categories, inspections of vessel safety systems and inspections of vessel security systems.

Inspections of vessel **safety** systems includes the following:

- Hull inspection to ensure seaworthiness of vessel.
- Main/auxiliary power inspection to ensure safe and operable machinery for vessel propulsion and emergency power.
- Boiler inspection to ensure that it is structurally sound with operable safety devices.
- Electrical systems inspection to ensure satisfactory installation of wiring and equipment.
- Lifesaving systems inspection to ensure satisfactory and adequate means to abandon ship.
- Firefighting systems inspection to ensure fixed and portable devices are suitable for the intended space and type of fire.
- Navigation inspection to ensure adequacy and operation of navigation equipment.
- Pollution prevention inspection to ensure compliance with international regulations and domestic laws.

Inspections of vessel **security** systems includes the following:

- Verification of security related documents and certificates such as the ship security plan, International Ship Security Certificate and Declaration of Security.
- Ensure appropriate training, drills, and exercises are being conducted.
- Ensure required onboard security procedures are in place.

Marine Environmental Protection

Introduction

There are five areas of emphasis in the Marine Environmental Protection (MEP) mission. These areas cover virtually every aspect of oil and chemical response and provide the goals and objectives for Coast Guard initiatives. This section outlines those areas and the basic laws and associated terms behind them.

Areas of Emphasis

The five areas of emphasis are:

Area	Goal
Prevention	To stop pollution before it occurs using: <ul style="list-style-type: none">• Training.• Equipment.• Procedures.
Enforcement	To provide civil and criminal penalties for illegal acts.
Surveillance	To protect the marine environment by conducting: <ul style="list-style-type: none">• Pollution over flights.• Vessel boardings.• Harbor patrols.• Transfer monitoring.• Facility inspections.
Response	To cleanup and limit the impact of an oil or chemical discharge.
In-House Abatement	To ensure Coast Guard vessel and facility compliance with federal pollution laws and regulations.

Merchant Marine Licensing

Introduction The Coast Guard is responsible for the testing and licensing of U.S. merchant mariners. This section explains the basics of Coast Guard licensing.

Documents and Licenses Under the Marine Licensing mission two categories of qualifications are issued to U.S. merchant mariners. They are:

- Merchant Mariner Documents (MMD).
 - Licenses.
-

Types There are different types of licenses or documents that describe the position the mariner can hold on board the ship. Examples are:

Type	Position
<p>Documents</p> <ul style="list-style-type: none">• Individuals serving in non-officer positions do so under the authority of Merchant Marine Document (MMD). MMDs are issued for positions indicated in the right column.	<p>Able Bodied Seaman.</p> <p>Ordinary Seaman.</p> <p>Qualified Member of the Engineering Department.</p> <p>Steward.</p> <p>Tankerman.</p>
<p>Licenses</p> <ul style="list-style-type: none">• Individuals serving in officer positions do so under the authority of Merchant Marine License. Licenses are issued for the positions listed in the right column.	<p>Deck Officer (Master, Chief Mate, Second Mate, Third Mate).</p> <p>Engineering Officer (Chief Engineer, First Assistant, Second Assistant, Third Assistant).</p> <p>Pilot.</p>

Regional Exam Center (REC) The Coast Guard operates several Regional Exam Centers (REC) throughout the country. The REC administers the tests for both licenses and documents, and maintains Merchant Mariner application files.

Marine Investigation

Introduction

The Coast Guard investigates marine casualties and allegations of improper Merchant Mariner actions to determine cause, and to prevent future occurrences. This section outlines the two types of investigations conducted by marine safety commands:

- Marine casualties.
 - Personnel actions.
-

Marine Casualty Investigations

Marine casualty investigations are carried out for the following:

- Death of an individual.
 - Serious injury to an individual.
 - Material loss of property.
 - Material damage affecting the seaworthiness or efficiency of the vessel.
 - Significant harm to the environment.
-

Personnel Actions

Investigations are also conducted to determine if personnel actions by licensed or documented merchant mariners constitute one or more of the following:

- Misconduct.
- Negligence.
- Incompetence.
- Violation of law or regulation.

These investigations may result in a suspension and revocation action, which is an administrative process to determine the fitness of an individual to retain or continue to operate under the authority of his/her Merchant Mariner document or license. These hearings are not criminal proceedings but rather administrative in nature.

Port Safety Mission

Introduction

The Port Safety mission has a long history in the Coast Guard. It was expanded during the 20th century to include the protection of ports, harbors, vessels, and waterfront facilities against accidents, negligence, and sabotage. These responsibilities have been assigned to the COTP primarily through the Ports and Waterways Safety Act, 1972. This Act resulted from several major groundings and oil spills and provided port safety authority for the COTP to protect the use of port transportation facilities, and to enhance efforts against the degradation of the marine environment.

Port Safety Missions

The port safety mission is primarily concerned with the prevention of accidental damage to ports, facilities, and ships in order to protect the environment and facilitate commerce.

The major activities that support the Port Safety mission include:

- Pollution prevention.
 - Response to pollution incidents.
 - Pollution investigation.
 - Harbor patrols and surveillance.
 - Contingency planning.
 - Drills and exercises.
 - Monitoring of liquid and hazardous cargo transfers.
 - Monitoring of fuel transfers.
 - Container inspections.
 - Facilities inspections.
 - Explosive cargo loading supervision.
-

Maritime Security

Introduction

Maritime Security is concerned with the prevention of intentional damage through sabotage, subversion, or terrorism. The Maritime Security mission has gradually developed in response to a series of catastrophic events, which began in 1917. The principle laws that support this mission are:

Espionage Act, 1917 - This act empowered the Coast Guard to make regulations to prevent damage to harbors and vessels during national security emergencies.

Magnuson Act, 1950 - Enacted as a result of the "Red Scare," this act provided permanent port security regulations, and broad powers to search vessels in U.S. waters and control the movement of foreign vessels in U.S. ports.

Ports and Waterways Safety Act, 1972 – Resulting from several major groundings and oil spills, this act provided port safety authority beyond the Magnuson Act to protect the use of port transportation facilities, and to enhance efforts against the degradation of the marine environment.

The Maritime Transportation Security (MTSA) Act, 2002 – Enacted as a result of the September 11, 2001, terrorist attacks on the United States. This Act provided sweeping new authorities for preventing acts of terrorism within the U.S. maritime domain.

The International Ship and Port Facility Security (ISPS) Code, 2002 – Adopted by the International Maritime Organization as new provisions to the International Convention for SOLAS to enhance maritime security.

Maritime Security Activities

There are three main maritime security activities conducted by the Coast Guard:

- Port Security.
 - Vessel Security.
 - Facility Security.
-

Maritime Security

Port Security

The Port Security requirements found in the MTSA requires security measures for U.S. ports in order to reduce the risks and to mitigate the results of an act that threatens the security of personnel, facilities, vessels, and the public. The regulations draw together assets within port boundaries to provide a framework to communicate, identify risks, and coordinate resources to mitigate threats and consequences. The COTP must ensure that the total port security posture is accurately assessed, and that security resources are appropriate to meet these programs. The COTP must identify critical assets within a port, develop a prioritized list of those most susceptible to acts of sabotage, and plan for adequate security measures to meet specific needs.

Vessel Security

Both MTSA and the ISPS Code regulate vessel security. The regulations within these two documents require the owners or operators of vessels to designate security officers for vessels, develop security plans based on security assessments, implement security measures specific to the vessel's operation, and comply with current Marine Security levels.

Facility Security

A facility is defined as: any structure or facility of any kind located in, on, under, or adjacent to any waters subject to the jurisdiction of the U.S. and used, operated, or maintained by a public or private entity, including any contiguous or adjoining property under common ownership or operation.

Some examples of facilities are:

- Barge fleeting facilities.
- Container terminals.
- Oil storage facilities.
- Passenger vessel terminals.

Outer Continental Shelf (OCS) Facilities are generally offshore fixed platforms in water depths ranging up to 1,000 feet deep whose primary purpose is the exploration, development, and/or product of offshore petroleum reserves. This definition also includes novel floating design such as:

- Tension Leg Platforms (TLP).
 - Floating Production Facilities (converted MODUs).
 - Floating Production Storage Offloading units (FPSO).
-

Maritime Security

Facility Security (Continued)

Both MTSA and the ISPS Code regulate facility security. The regulations within these two documents require the owners or operators of facilities to designate security officers for facilities, develop security plans based on security assessments, implement security measures specific to the facility's operation, and comply with current Marine Security levels.

Those facilities designated as Outer Continental Shelf (OCS) facilities must meet the same security requirements as those designated as waterfront facilities.

This page intentionally left blank.

Lesson 2 Self-Quiz

Questions

1. List four basic vessel categories subject to inspection.

- a. _____
- b. _____
- c. _____
- d. _____

2. Name the two general types of inspection.

- a. _____
- b. _____

3. Name five areas of emphasis for the Marine Environmental Protection (MEP) mission.

- a. _____
- b. _____
- c. _____
- d. _____
- e. _____

4. Place an X next to each documented position.

- _____ Master
 - _____ Steward
 - _____ Ordinary Seaman
 - _____ Mate
 - _____ Pilot
 - _____ Able Bodied Seaman
 - _____ Tankerman
 - _____ Qualified Member of the Engineering Department
 - _____ Engineer
-

Lesson 2 Self-Quiz

Questions (Continued)

5. Place an X next to each licensed position.
- Master
 - Steward
 - Ordinary Seaman
 - Mate
 - Pilot
 - Able Bodied Seaman
 - Tankerman
 - Qualified Member of the Engineering Department
 - Second Assistant Engineer
6. Name the two types of marine investigations.
- a. _____
- b. _____
7. Place an X next to the major activities associated with the Port Safety mission.
- Pollution Prevention.
 - Licensing of Mariners
 - Monitoring of fuel transfers
 - Contingency Planning.
 - Verification of vessel security plans.
 - Barge inspections.
 - Harbor Patrols and surveillance
8. List the three main maritime security activities performed by the U.S. Coast Guard.
- a. _____
- b. _____
- c. _____
-

This page intentionally left blank.

Lesson 2 Answers to Self-Quiz

Question	Answer	Reference
1.	a. Passenger vessels	2-4
	b. Tank vessels	2-5
	c. Cargo vessels	
	d. Special use vessels	
2.	a. Vessel safety systems	2-5
	b. Vessel security systems	
3.	a. Prevention	2-6
	b. Enforcement	
	c. Surveillance	
	d. Response	
	e. In-House Abatement	
4.	<input type="checkbox"/> Master	2-7
	<input checked="" type="checkbox"/> Steward	
	<input checked="" type="checkbox"/> Ordinary Seaman	
	<input type="checkbox"/> Mate	
	<input type="checkbox"/> Pilot	
	<input checked="" type="checkbox"/> Able Bodied Seaman	
	<input checked="" type="checkbox"/> Tankerman	
	<input checked="" type="checkbox"/> Qualified Member of the Engineering Department	
	<input type="checkbox"/> Engineer	
5.	<input checked="" type="checkbox"/> Master	2-7
	<input type="checkbox"/> Steward	
	<input type="checkbox"/> Ordinary Seaman	
	<input checked="" type="checkbox"/> Mate	
	<input checked="" type="checkbox"/> Pilot	
	<input type="checkbox"/> Able Bodied Seaman	
	<input type="checkbox"/> Tankerman	
	<input type="checkbox"/> Qualified Member of the Engineering Department	
	<input checked="" type="checkbox"/> Second Assistant Engineer	

Lesson 2 Answers to Self-Quiz

Question	Answer	Reference
6.	a. Marine casualty b. Personnel actions	2-8
7.	<input checked="" type="checkbox"/> Pollution prevention <input type="checkbox"/> Licensing of mariners <input checked="" type="checkbox"/> Monitoring of fuel transfers <input checked="" type="checkbox"/> Contingency planning <input type="checkbox"/> Verification of vessel security plans <input type="checkbox"/> Barge inspections <input checked="" type="checkbox"/> Harbor patrols and surveillance	2-9
8.	a. Port Security b. Vessel Security c. Facility Security	2-10

Lesson 3

LEGAL AUTHORITIES

Overview

Introduction The purpose of the marine safety program is to promote the safety of life and property and protection of the ports and marine environment. This lesson will identify the authorities to exercise control over port and vessel operations and to enforce the laws and regulations governing those operations.

Objectives To successfully complete this lesson you must study the text and master the following objectives:

- **LIST** the two sources of legal authority for marine safety activities.
- **DESCRIBE** how COTP authority is delegated.
- **IDENTIFY** COTP/OCMI/FOSC/FMSC control and enforcement actions available to Marine Safety personnel.

References The information contained in this lesson can be found in the following reference:

- MSM Vol. I, Chapter 2

Resident Training Requirements This lesson covers the introductory objectives for the following resident training courses:

- ELPOC
- MIC

Overview

Definitions

You may find these definitions helpful during your lesson.

Control - Legal means to exercise restraining or directing influence over other parties. It is any verbal or written law enforcement action by the COTP/OCMI/FOSC/FMSC, or their representatives, which requires compliance by responsible parties.

Deficiency - Any condition, operation, or act pertaining to a vessel or facility that fails to meet acceptable standards such as those established by applicable international conventions, regulations, industry standards, etc.

Detention - Is the imposition of specific port state operational controls, which prevent a foreign vessel's free movement within U.S. waters until that vessel is in substantial compliance with relevant safety and security standards.

Substandard – Is defined as the inability of a vessel or facility to substantially meet minimum safety and security requirements.

Violation - Is any deficiency resulting from a failure to meet applicable U.S. statutory or regulatory requirements where sufficient evidence exists to initiate administrative, judicial, or criminal proceedings (including suspension and revocation hearings, civil penalty hearings, and criminal prosecution) as appropriate.

Criminal Violation - Any willing or knowing violation of Federal law or regulation. The penalties for criminal violations could include fines and/or imprisonment.

Civil Violation - All other violations of domestic law or regulation. This could include civil class I or class II civil penalty action. Civil penalties are monetary sanctions intended to be remedial rather than punitive.

Overview

Lesson Outline This lesson will cover the following topics:

- **Sources of Authority**
 - Introduction
 - Sources
 - Illustration
 - COTP/OCMI/FOSC/FMSC Authority
- **Control and Enforcement Actions**
 - Introduction
 - Control and Enforcement Tools
 - Letter of Deviation
 - On-the-Spot Correction
 - Civil Penalty Action
 - Letter of Warning
 - Letters of Undertaking/Surety Bond
 - Suspension and Revocation Proceedings
 - Vessel Control
 - Customs Hold
 - COTP Orders
 - Interventions Under International Agreements (e.g. SOLAS, MARPOL, etc.)
 - Suspension, Termination, or Revocation of Permits and Certificates
 - FOSC Administrative Orders
 - Criminal Sanctions Against Persons or Vessels
 - Limited Access Areas
 - Safety Zone
 - Outer Continental Shelf (OCS) Safety Zone
 - Deepwater Port Safety Zone (DWP) Safety Zone
 - Security Zone
 - Restricted Waterfront Area
 - Regulated Navigation Area
 - Lesson 2 Self-Quiz

Sources of Authority

Introduction

Remember, legal authority resides in different types of legal documents which provide you with the authority for "what is to be done" when you do marine safety related jobs.

Sources

There are two sources of legal authority for marine safety activities. They are:

- U.S. laws [i.e., United States Code (USC)] as implemented by the Code of Federal Regulations (CFR).
- International agreements accepted by the United States.

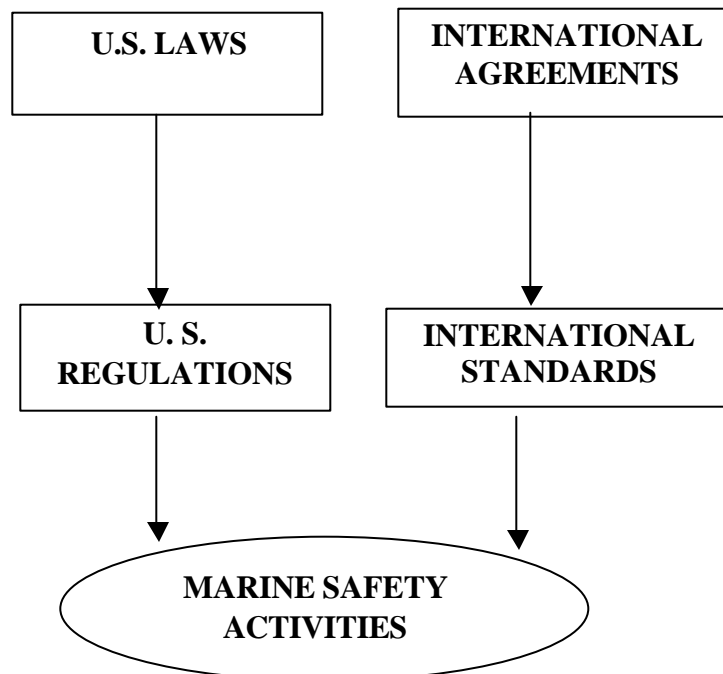
U.S. laws are the written expressions of congressional intent and expectations.

International agreements (normally in the form of treaties or conventions) are written expressions of an international organization's intent and expectations. An example of an international organization is the International Maritime Organization (IMO). An example of an international agreement is the Safety of Life at Sea (SOLAS) Convention.

These sources provide the "what is to be done" aspect of authority.

Illustration

The following illustration is a conceptual reflection of the legal authorities as driving forces for Marine Safety Office (MSO) activities.



Delegation of Authority

COTP/OCMI/ FOSC/FMSC Authority

The Commanding Officers of marine safety commands receive delegated authority from the Commandant via the chain of command.

Each Commanding Officer holds four separate functional titles that are prescribed in law or treaty. These designations are:

- Captain of the Port (COTP)
 - Officer in Charge Marine Inspections (OCMI)
 - Federal On-Scene Coordinator (FOSC)
 - Federal Maritime Security Coordinator (FMSC)
-

Control and Enforcement Actions

Introduction

Coast Guard responsibility for carrying out our national law enforcement authorities requires the initiation of appropriate enforcement actions to minimize the risk to people, property, and the marine environment. Where evidence of a violation exists, administrative, judicial, or criminal enforcement actions should be initiated. This section will introduce you with some of the most common enforcement actions used in the field to gain compliance by responsible parties.

Control and Enforcement Tools

There are many enforcement tools used by the COTP/OCMI/FOSC/FMSC. As this person's representative you will be tasked to use certain tools when taking action to enforce compliance with U.S. laws and international standards for vessels and facilities. Some of the most common enforcement tools (and actions) are:

- Letter of deviation (navigation safety items).
 - On-the-spot correction.
 - Civil Penalty Action.
 - Letter of Warning.
 - Letter of Undertaking (LOU)/Surety Bond.
 - Suspension and Revocation Proceedings.
 - Vessel control (to include):
 - Customs Hold.
 - COTP/OCMI orders.
 - Interventions under international agreements (e.g. SOLAS, MARPOL, etc.).
 - Suspension, termination, or revocation of permits and certificates.
 - FOSC administrative orders.
 - Criminal sanctions against persons or vessels.
 - Establishment of Limited Access Areas (LAAs)
-

Control and Enforcement Actions

Letter of Deviation

Certain commercial vessels that have specific non-operating navigation safety equipment (e.g., radar, echo depth sounder) must notify the nearest COTP of this non-operating equipment prior to entering or departing a U.S. port. The master of the vessel must request a deviation from these regulations so they may enter or depart the port. The COTP may grant the request by issuing a Letter of Deviation to the vessel. The Letter of Deviation is only good for the COTP zone that the vessel is transiting and will contain certain prescribed conditions relative to the safe transit of the vessel whether entering, departing, or moving from place to place while in port. Failure to comply with the conditions of the letter could result in civil or criminal penalties.

On-the-Spot Correction

When a minor deficiency is discovered during a vessel or facility inspection it may be corrected prior to completion of the inspection.

Civil Penalty Action

These are also known as violation reports. Civil penalties are punishments, generally in the form of fines, which can be brought against an offending vessel that fails to meet established applicable standards of safety and inspection. They must be enacted according to established proceedings and with sufficient evidence of the vessel's noncompliance with the law.

The enforcement of civil penalties is an expensive and time-consuming effort for the Coast Guard. It should be avoided except in cases of the most significant or habitual violations.

Generally, civil penalty actions should be reserved for those violations that involve:

- Major deficiencies
 - Evidence of serious neglect
 - Actions which have caused or contributed to the severity of a marine casualty
 - Where lives, property, or the environment have been placed at immediate and critical risk.
-

Control and Enforcement Actions

Civil Penalty Action (Continued)

Minor violations are normally best handled by other enforcement alternatives, unless there is a lack of cooperative intent shown by the party, such as when a party has a high repeat rate for minor violations.

Civil Penalties can only be enforced where there are U.S. statutes authorizing them. You may not process civil penalties for breaking an international treaty (i.e., SOLAS) unless that treaty is codified as U.S. law with civil penalty provisions.

The COTP can initiate immediate enforcement actions such as detention of a vessel in port or ordering a vessel out of U.S. waters.

Letter of Warning

A Letter of Warning may be issued by the COTP/OCMI in lieu of Civil Penalty action for minor violations of law or regulation by vessels, facilities and individuals. A Letter of Warning also documents noncompliance and may be taken into consideration when more stringent enforcement actions are considered for repeat offenses. A Letter of Warning is issued when notification to the violator is considered sufficient to deter future noncompliance. The determination to issue a Letter of Warning or to submit Civil Penalty Action rests with COTP/OCMI based on your case development.

Letters of Undertaking/ Surety Bonds

LOUs or surety bonds are an effective tool to impose strong port state control for both compliance and penalty collection purposes. A LOU/surety bond is often used in cases where a vessel violation report is to be submitted. COTP discretion is authorized; however, it is the exceptional case in which they are not used.

The use of LOU/surety bonds does not change COTP authority or COMDT policy regarding COTP orders, Letters of Warning, or correction on the spot of minor deficiencies where no penalty action is taken.

When a LOU/surety bond is requested, the only control provision available to ensure one is received is to request the Bureau of Immigration and Customs Enforcement (BICE) to withhold a vessel's clearance.

Control and Enforcement Actions

Suspension and Revocation Proceedings

Suspension and Revocation (S & R) proceedings are administrative actions taken by the OCMI against a U.S. merchant mariner's license or document to determine the fitness of an individual to retain or continue to operate under the authority of his/her Merchant Mariner document or license. These proceeding are submitted before a U.S. Administrative Law Judge (ALJ). S & R proceedings can be initiated for the following:

- Misconduct.
- Negligence.
- Incompetence.
- Violation of a Law or Regulation.
- Conviction of a dangerous drug law violation, use of a dangerous drug, or addiction to the use of dangerous drugs.

Based on the outcome of a particular S & R proceeding the mariner can have their credential(s) suspended for a period of time or revoked outright.

Vessel Control

Vessel Control is accomplished through the use of three primary authorities.

- Customs Hold.
 - COTP/OCMI order.
 - Interventions under International agreement.
-

Customs Hold

The Coast Guard may request the Bureau of Immigration and Customs Enforcement (BICE) to place a "Customs Hold" on a foreign vessel to prevent the vessel from leaving port until the Coast Guard is satisfied that the vessel has met all its obligations to the United States.

Control and Enforcement Actions

COTP Orders

COTP Orders are issued in the interest of safety and security by reason of weather, visibility, increased security measures, other temporary hazardous circumstances, the condition of the vessel, or facility. A COTP Order can be given verbally, but must be followed up in writing. They must be directed to a specific vessel, facility, or individual and must be specific with respect to the actions expected of the person to whom it is directed. COTP Orders are typically issued to:

- Restrict or stop vessel or facility operations.
 - Require specific actions to be taken.
 - Deny a vessel entry to port until a deficiency is corrected.
 - Detain a vessel in port.
-

Interventions Under International Agreements

Interventions under international agreements are port state enforcement actions over foreign vessels taken on behalf of the Flag Administration. The OCMI is expected to intervene when a foreign vessel is found substantially out of compliance with their international convention certificates. An intervention is initiated when the OCMI believes that one or more of the following has occurred:

- A failure to implement required security measures.
 - The seaworthiness of the vessel is in question.
 - The safety of the crew is in question.
 - The vessel possesses a threat to the environment.
-

Suspension, Termination, or Revocation of Permits and Certificates

The COTP/OCMI may also suspend, terminate, or revoke certain permits and certificates, which could temporarily halt or suspend vessel or facility operations. These permits and certificates are:

- The waterfront facility general permit for handling dangerous cargo.
 - The permit to handle designated dangerous cargo (i.e., explosives), that is issued to vessels or facilities by the Coast Guard.
 - The hot-work permit, CG-4201 that is issued to vessels and facilities by the Coast Guard.
 - The Certificate of Adequacy (COA) that is issued to waterfront facilities that are designated to handle bulk liquid dangerous cargoes or designated as a reception facility.
-

Control and Enforcement Actions

Suspension, Termination, or Revocation of Permits and Certificates (Continued)

- The Certificate of Inspection (COI) that is issued to U.S. vessels that meet the minimum safety and security requirements.

Vessels and facilities must be in compliance with the conditions of these permits and certificates as set forth in regulations. Again, you may be empowered by the COTP/OCMI to take action by immediately suspending operations at a facility or on board a vessel that is not in compliance with the conditions of the permit or certificate. Remember, that the actions you take are on behalf of the COTP/OCMI and any time you take action that will interrupt normal commerce, the COTP/OCMI shall be notified immediately of your actions.

FOSC Administrative Orders

Administrative orders are prescriptive orders issued by the FOSC to ensure effective and immediate removal of a discharge or the mitigation or prevention of substantial threat of a discharge of oil or a hazardous substance. The FOSC may issue administrative orders that may be necessary to protect public health or welfare.

Criminal Sanctions Against Persons or Vessels

In the course of your duties you may witness or become aware of actions punishable under the criminal enforcement code. In addition, certain violations normally handled through civil penalty procedures may be so egregious that more severe sanctions are warranted such as when situations are discovered that involve willing and knowing violations of law or regulation. When these conditions are discovered they shall be referred through your chain of command.

Control and Enforcement Actions

Limited Access Areas

Limited access areas (LAA) are used by the COTP to protect vessels, facilities, or the environment. There are six types of LAA used by the Coast Guard. Each is used for a different purpose depending upon the situation. The six types are:

- Safety zone
- Outer Continental Shelf (OCS) safety zone
- Deepwater Port (DWP) safety zone
- Security zone
- Restricted Waterfront Area
- Regulated Navigation Area

Limited access areas can be actively enforced by Coast Guard assets (cutters, boats, aircraft, and personnel) or passively enforced by regulation or other administrative notification.

Safety Zone

Safety zones are established in ports, waterways, and shore areas for safety, security and environmental protection. They protect structures, vessels, water and shore areas by controlling access to activities within the zone. Most safety zones limit access during response to an emergency and can be set for an indefinite period of time.

Safety zones can be established by the District Commander or the COTP in response to some emergency situation and are usually temporary in nature.

Outer Continental Shelf Safety (OCS) Safety Zone

The Outer Continental Shelf safety zone is limited to an area within 500 meters of artificial islands and fixed structures on the outer continental shelf. These features are used for the removal of minerals from the ocean bottom (i.e., offshore oil drilling platforms).

Control and Enforcement Actions

Deepwater Port Safety Zone (DWP) Safety Zone

Deepwater Port safety zones are specific to deepwater ports but provide the same protection previously discussed in safety zones. However, different laws and regulations cover this type of safety zone.

Note: A Deepwater port is any fixed or manmade structure, other than a vessel, located beyond the territorial sea and off the coast of the United States. These ports are normally used for the loading or unloading of oil

Security Zone

Security zones are limited access areas established to safeguard ports, harbors, territories, or waters of the United States from subversive acts by controlling access or movement of persons, vessels, and objects. These are used for national security interests rather than for strictly safety considerations.

Security zones are established based on a known or perceived threat to an asset in the port area. Therefore, they are normally enforced by armed Coast Guard personnel authorized to use deadly force, if necessary, to secure the asset.

Restricted Waterfront Area

A Restricted Waterfront Area limits access to persons possessing identification credentials (i.e., Port Security Cards) suitable to the Commandant. These areas are normally used in support of United States military operations or areas involved with handling explosives.

Regulated Navigation Area

Regulated Navigation Areas (RNA's) are water areas that require control of vessel operations to:

- Preserve the safety of the adjacent waterfront structures.
- Ensure safe and secure transit of other vessels.
- Protect the marine environment.

The District Commander establishes RNAs for permanent passive or active traffic management. Passive traffic management includes regulating a navigable area using signs, warning buoys/markers, and/or chart markers. A passive RNA may also be used to prohibit oil transfers in an anchorage area due to environmental concerns. Active Coast Guard traffic management utilizes a Vessel Traffic Service (VTS) or patrol craft.

This page intentionally left blank.



Lesson 3 Self-Quiz

Questions

1. List the two sources of legal authority for marine safety activities.
 - a. _____
 - b. _____

 2. The COTP receives their authority by delegation from the _____.

 3. Which type of control and enforcement action is used when the COTP places a "Customs Hold" on a foreign flag vessel to ensure vessel compliance with applicable U.S. laws and international conventions?
 - A. Administrative Order
 - B. Letter of Warning
 - C. Letter of Deviation
 - D. Vessel Control

 4. Which type of control and enforcement action is used for minor violations of law or regulation by vessels, facilities and individuals?
 - A. COTP Order
 - B. Administrative Order
 - C. Letter of Warning
 - D. Letter of Deviation

 5. Which type of enforcement action is used to correct a minor deficiency prior to the completion of inspection?
 - A. Letter of Correction
 - B. On-the-spot correction
 - C. Letter of Termination
 - D. Deficiency notification letter
-

Lesson 3 Self-Quiz

Questions (Continued)

6. Which type of control and enforcement action is used when a merchant vessel requests to enter the port with a non-operating echo depth sounder?
 - A. Letter of Deviation
 - B. Violation report
 - C. Administrative Order
 - D. Letter of Undertaking

 7. Which type of control and enforcement action is taken by a port state on behalf of the Flag Administration to exercise control over a foreign vessel?
 - A. Violation report
 - B. Letter of Warning
 - C. Intervention under international agreements
 - D. Administrative control

 8. Which type of limited access area is used by the COTP to safe guard ports, harbors, territories, or waters of the United States from subversive acts by controlling access or movement of persons, vessels, and objects?
 - A. OCS Safety Zone
 - B. Security Zone
 - C. Regulated Navigation Area
 - D. Safety Zone

 9. List the six types of limited access areas.
 - a. _____
 - b. _____
 - c. _____
 - d. _____
 - e. _____
 - f. _____
-

This page intentionally left blank.

Lesson 3 Answers to Self-Quiz

Question	Answer	Reference
1.	a. U.S. laws [i.e., United States Code (USC)] as implemented by the Code of Federal Regulations (CFR) b. International Agreements accepted by the United States	3-4
2.	From the Commandant via the chain of command	3-5
3.	d. Vessel Control	3-9
4.	c. Letter of Warning	3-8
5.	b. On-the-spot correction	3-7
6.	a. Letter of Deviation	3-7
7.	c. Intervention under International Agreements	3-10
8.	b. Security zone	3-13
9.	a. Safety zone b. Outer Continental Shelf (OSC) Safety Zone c. Deepwater Port (DWP) Safety Zone d. Security zone e. Restricted Waterfront Area f. Regulated Navigation Area	3-12

Lesson 4

REFERENCE SOURCES

Overview

Introduction To conduct the marine safety activities previously discussed, you need knowledge of the legal authority.

Objectives To successfully complete this lesson you must study the text and master the following objectives:

- **LIST** the three types of federal legal and regulatory publications frequently used by marine safety personnel.
- **LIST** the five United States Code titles covering the federal laws most commonly enforced by the Coast Guard.
- **LIST** the four Code of Federal Regulations titles covering the federal laws most commonly enforced by the Coast Guard.
- **IDENTIFY** the purpose of the Federal Register.
- **LIST** the three primary types of Coast Guard policy references most frequently used by marine safety personnel.
- **LIST** the four common uses for the Marine Safety Manual.

References The information contained in this lesson can be found in the following references:

- Marine Safety Manual, Vol. I (Administration and Management), COMDTINST M16000.6

Resident Training Requirements This lesson covers the introductory objectives for the following resident training courses:

- **ELPOC**
- **MIC**

Overview

Definitions

You may find these definitions helpful during your lesson.

Guidance - A source of information one refers to or consults.

Authority - The right and power to command, enforce laws, exact obedience, determine, or judge. A public agency or corporation with administrative powers in a specified field.

Law - A rule established by authority, society, or custom. Implies imposition by a sovereign authority and the obligation of obedience on the part of all subject to that authority.

Policy – A program generated guideline that clarifies the intent of a law or regulation and provides enforcement guidance.

Regulation - A specific requirement to be met which ensures compliance with the law.

United States Code (USC) - A publication of Federal laws organized by subject matter.

Lesson Outline

This lesson will cover the following topics:

- **Federal Laws and Regulations**
 - Introduction
 - United States Code
 - United States Code Components
 - Code of Federal Regulations
 - Code of Federal Regulations Components
 - Federal Register
 - **Coast Guard Guidance**
 - Introduction
 - Reference Types
 - Marine Safety Manual
 - Navigation and Vessel Inspection Circulars (NVICS)
 - Program Specific Policy Letters
 - Lesson 4 Self-Quiz
-

Federal Laws and Regulations

Introduction

There are three types of federal legal and regulatory publications frequently used by marine safety personnel. They are:

- United States Code (USC)
 - Code of Federal Regulations (CFR)
 - Federal Register (FR)
-

United States Code

The USC is a subject matter arrangement of the U.S. law. As new laws are passed, they are codified (filed) within the relevant portion of the code, using a structured alpha-numeric system.

These subject matters are arranged into 50 numbered titles. Titles covering the Federal laws most commonly enforced by the Coast Guard are:

- 14 USC - Coast Guard
 - 33 USC - Navigation and Navigable Waters
 - 40 USC - Protection of Environment
 - 46 USC - Shipping
 - 49 USC - Transportation
-

United States Code Components

Within each Title, the law is broken down into alpha-numerical components for reference.

The below diagram shows this breakdown and how to properly cite the components.

Example of a USC cite	
33 USC 1321 (c) (1)	
Component	Name
33	Title
USC	Reference
1321	Section
(c)	Paragraph
(1)	Sub-Paragraph

Federal Laws and Regulations

Code of Federal Regulations

At times, U.S. laws are written in broad language. The implementing agency, such as the Coast Guard, will create requirements that more clearly outline the intent of the law. These requirements are called Federal Regulations.

These Federal Regulations are published into 50 titles known as the Code of Federal Regulations (CFR). Titles covering regulations most commonly enforced within marine safety are:

- 33 CFR - Navigation and Navigable Waters
- 40 CFR - Protection of Environment
- 46 CFR - Shipping
- 49 CFR - Transportation

Code of Federal Regulations Components

Within each Title, the code is broken down into alphanumerical components for reference.

The diagram below shows this breakdown and how to properly cite the components.

Example of a CFR cite	
49 CFR 176.83 (c) (2)	
Component	Name
49	Title
CFR	Reference
176	Part
.83	Section
(c)	Paragraph
(2)	Sub-Paragraph

Note: In the lesson, Reference and Policy Use, you will get the opportunity to use examples from the CFR and the MSM.

Federal Laws and Regulations

Federal Register

The purpose of the Federal Register is to provide a uniform system for informing the public of proposals and changes to the CFR. To change the CFR, a proposal must be publicly announced and an opportunity must be provided for public comment on that proposal.

Federal regulations frequently change, yet they are reprinted only once a year. The document you must use to keep up with all the regulation changes is the Federal Register.

The diagram below shows the meaning of each stage of the Federal Register.

Stage	Meaning
Advanced Notice of Proposed Rule Making	A notice of intent. Agencies issue these documents at an early state in the rule making process to resolve comments from the public as soon as possible.
Notice of Proposed Rule Making	A change to the regulations is being considered. Publication of proposed rules give interested parties an opportunity to participate in the rule making process.
Final Rule	The change in the regulations as it will appear in the next publication of the CFR.

Coast Guard Guidance

Introduction To conduct the marine safety activities previously discussed, not only do you need knowledge of the legal authority, you also need guidance to interpret the intent of the authority. That guidance is provided in policy.

Reference Types There are three primary types of Coast Guard policy references most frequently used by marine safety personnel. They are:

- Marine Safety Manual (MSM)
 - Navigation and Vessel Inspection Circulars (NVICS)
 - Program specific Policy Letters
-

Marine Safety Manual The MSM is a Commandant Instruction containing the primary policy guidance for marine safety. The MSM is used to:

- Make decisions relating to marine safety subject matter.
 - Interpret regulations.
 - Find guidance on how the Commandant wants things done.
 - Keep marine safety practices and procedures consistent.
-

Navigation and Vessel Inspection Circulars (NVICS) NVICS are publications issued by Commandant (G-M) that are distributed to the maritime industry as well as to the field. They provide any or all of the following on specific marine safety issues:

- Interpretation of regulations, standards, or international agreements
- Explanation of procedures
- Enforcement policy

NVICS are chronologically numbered by issuing date within 1 calendar year (e.g. NVIC 1-93 was the first issue in 1993).

Program Specific Policy Letters Marine safety policy and guidance is also promulgated in the form of policy letters and are issued by the G-M Directorates.

This page intentionally left blank.

Lesson #4 Self-Quiz

Questions

1. List three types of federal legal and regulatory publications frequently used by marine safety personnel.

a. _____

b. _____

c. _____

2. List the five United States Code titles covering the federal laws most commonly enforced by the Coast Guard.

3. List the four Code of Federal Regulations titles covering the federal laws most commonly enforced by the Coast Guard.

Lesson #4 Self-Quiz

Questions (Continued)

4. List the three primary types of Coast Guard policy references most frequently used by marine safety personnel.

a. _____

b. _____

c. _____

5. List the four common uses for the Marine Safety Manual.

a. _____

b. _____

c. _____

d. _____

This page intentionally left blank.

Lesson 4 Answers to Self-Quiz

Question	Answer	Reference
1.	a. United States Code (USC) b. Code of Federal Regulations (CFR) c. Federal Register (FR)	4-3
2.	<ul style="list-style-type: none">• 14 USC - Coast Guard• 33 USC - Navigation and Navigable Waters• 40 USC – Protection of Environment• 46 USC - Shipping• 49 USC - Transportation	4-3
3.	<ul style="list-style-type: none">• 33 CFR - Navigation and Navigable Waters• 40 CFR – Protection of Environment• 46 CFR - Shipping• 49 CFR - Transportation	4-4
4.	Marine Safety Manual Navigation and Vessel Inspection Circulars Program Specific Policy Letters	4-6
5.	a. Make decisions relating to marine safety subject matter b. Interpret regulations c. Find guidance on how the Commandant wants things done d. Keep marine safety practices and procedures consistent	4-6

Lesson 5

OCCUPATIONAL SAFETY AND HEALTH

Overview

Introduction

This lesson is designed to introduce you to the Coast Guard Occupational Safety and Health Program for the Marine Safety Field.

As a member of a Marine Safety team, you may encounter various health hazards during your port safety/security and pollution response activities. You must be aware of the Commandant's policies for occupational safety and health when working in the Marine Safety field. Your health and safety depend on it!

Objectives

To successfully complete this lesson you must study the text and master the following objectives:

- **IDENTIFY** the instructions used in outlining the Coast Guard's occupational safety and health program.
 - **MATCH** the occupational health and safety positions with their responsibilities.
 - **IDENTIFY** who must be enrolled in the Occupational Medical Surveillance and Evaluation Program (OMSEP).
 - **LIST** the ten common safety and health hazards associated with marine safety activities.
 - **CLASSIFY** a chemical agent as a cargo or non-cargo chemical hazard.
 - **IDENTIFY** the three general types of atmospheric hazards encountered in the marine safety field.
 - **IDENTIFY** the level of concern for each of the three general atmospheric hazards.
 - **IDENTIFY** the three types of control strategies for marine safety field hazards.
 - **LIST** the criteria for the following confined space standard safety designations:
 - Safe for workers
 - Not safe for workers
 - Safe for hot work
 - Not safe for hot work
-

Overview

References

- Marine Safety Manual Vol. I Chap. 10, COMDTINST M16000.6.
 - Medical Manual, COMDTINST M6000.1B Chap. 12.
 - Respiratory Protection, COMDTINST M6260.2C.
 - Benzene Occupational Exposure Standard, COMDTINST 6260.25.
 - Safety and Environmental Health Manual, COMDTINST M5100.47.
 - Pregnancy in the Coast Guard, COMDTINST 1900.9.
-

Resident Training Requirements

This lesson covers the introductory objectives for the following resident training courses:

- **ELPOC**
 - **MIC**
-

Lesson Outline

This lesson will cover the following topics:

- **Program References**
 - Introduction
 - Marine Safety Manual
 - Medical Manual
 - Respiratory Protection
 - Benzene Occupational Exposure Standard
 - Safety and Environmental Health Manual
 - Pregnancy in the Coast Guard
 - **Command Organization and Responsibilities**
 - Introduction
 - Commanding Officer
 - Executive Officer (Safety Officer)
 - Safety and Occupational Health Coordinator (SOHC)
 - Safety Petty Officer (SPO)
 - Respiratory Protection Administrator (RPA)
 - Occupational Medical Surveillance and Evaluation Program (OMSEP) Coordinator
 - Safety and Environmental Health Officer (SEHO)
-

Overview

Lesson Outline (Continued)

- **Occupational Medical Surveillance and Evaluation Program (OMSEP)**
 - Background
 - Purpose of OMSEP
 - Enrollment in OMSEP
 - Program Requirements
 - **Marine Safety Field Hazards**
 - Introduction
 - Recognition - Ten Common Safety Hazards
 - Physical Hazards
 - Chemical Hazards
 - Biological Hazards
 - Chemical Agents
 - Atmospheric Hazards
 - **Evaluating/Controlling Field Hazards**
 - Hazard Evaluation
 - Hazard Control
 - Engineering Controls
 - Administrative Controls
 - Personal Protective Equipment (PPE)
 - **Confined Space Safety**
 - Introduction
 - Definitions
 - **Confined Space Entry Policy**
 - Commandant's Policy for CG Personnel
 - Regulated Confined Spaces
 - Ventilation
 - Issuance of Certificate
 - **Confined Space Standard Safety Designations**
 - Introduction
 - Safe for Workers
 - Not Safe for Workers
 - Safe for Hot Work
 - Not Safe for Hot Work
-

Program References

Introduction

The Coast Guard has instituted an occupational safety and health program for the protection and well being of marine safety personnel. The following instructions provide the framework for existing programs.

- Marine Safety Manual Vol. I Chap. 10, COMDTINST M16000.6.
 - Medical Manual, COMDTINST M6000.1B Chap. 12.
 - Respiratory Protection, COMDTINST M6260.2C.
 - Benzene Occupational Exposure Standard, COMDTINST 6260.25.
 - Safety and Environmental Health Manual, COMDTINST M5100.47.
 - Pregnancy in the Coast Guard, COMDTINST 1900.9.
-

Marine Safety Manual

The Marine Safety Manual, Volume I, Chapter 10, details requirements for a unit safety and health program and provides specific information in three areas with respect to health and safety:

- Marine Safety Command Organization and Responsibilities
 - Marine Safety Field Hazards
 - Controlling Field Hazards
-

Medical Manual

Occupational Medical and Evaluation Program (OMSEP), COMDTINST M6000.1B, Chapter 12. This program is devoted to maintaining and improving the health of Coast Guard personnel. The objective of this program is to document the baseline health of individuals and to monitor their status periodically with an emphasis on the prevention, diagnosis, and follow-up of illness and injuries caused by the work environment.

Respiratory Protection

Technical Guide: Practices for Respiratory Protection, COMDTINST M6260.2C provides information necessary for the safe use of respiratory protection devices. The requirements for administrating a respiratory protection program may be found in this instruction.

Benzene Occupational Exposure Standard

The Benzene Occupational Exposure Standard has been established by the Occupational Safety and Health Administration (OSHA) in 29 CFR 1910.1028. COMDTINST 6260.25 promulgates the requirements of this standard and applies to all Coast Guard operations involving occupational exposure to benzene. This policy for Marine Safety activities has been incorporated in Marine Safety Manual Vol. I, Chapter 10, Appendix G.

Program References

Safety and Environmental Health Manual

Safety and Environmental Health, COMDTINST M5100.47 sets forth the Coast Guard safety and environmental health policy, program elements, responsibilities and standards that apply to all Coast Guard units. It contains chapters on safety and health topics common to all Coast Guard missions such as:

- Safety and occupational health programs.
- Mishap reports.
- Sanitation.
- Radiation.

Pregnancy in the Coast Guard

Pregnancy in the Coast Guard, COMDTINST 1900.9 establishes administrative guidance for the management and protection of the health of pregnant members. It contains information on physical and chemical agents that are potentially dangerous to the woman and her unborn child and establishes restrictions on her exposures.

Command Organization and Responsibilities

Introduction The safety and health organization within the marine safety command must foster the proper attitude with regards to "safety."

Commanding Officer The Commanding Officer (CO) is responsible, by tradition and regulation, for the protection of personnel assigned to the command. The CO determines the goals and priorities at the unit along with promoting a safe and professional discharge of unit activities.

Executive Officer (Safety Officer) The Executive Officer (XO) is the command's Safety Officer, whose duties include implementation of the CO's safety and occupational health policy. The XO is also responsible for day-to-day mission performance, command efficiency, and supervision of Dept. Heads.

Safety and Occupational Health Coordinator (SOHC) The Safety and Occupational Health Coordinator (SOHC) develops and administers the unit's comprehensive program for the Safety Officer.

Safety Petty Officer (SPO) The Safety Petty Officer (SPO) is assigned to assist the SOHC with the maintenance of equipment and records. This person should be familiar with the responsibilities of the SOHC and be able to perform these duties when the coordinator is absent. A safety petty officer is only assigned to those units that have 40 or more members.

Respiratory Protection Administrator (RPA) Units, which have respiratory protection must have a written respiratory protection program and be managed by the RPA. Several units combine this duty with the SPO.

Command Organization and Responsibilities

**Occupational
Medical
Surveillance
and Evaluation
Program
(OMSEP)
Coordinator**

The Occupational Medical Surveillance and Evaluation Program (OMSEP) coordinator is responsible for updating the roster of OMSEP enrollees and maintaining the unit's OMSEP personnel tracking reports, ensuring OMSEP examinations are completed in a timely fashion, and ensuring all available exposure data is available to the medical officer at the time of the OMSEP examination.

**Safety and
Environmental
Health Officer
(SEHO)**

The District/Integrated Support Command Safety and Environmental Health Officer's (SEHO) primary duty is to support and ensure compliance with safety and occupational health (SOH) programs at field commands within their zone of responsibility.

Occupational Medical Surveillance and Evaluation Program (OMSEP)

Background The Occupational Medical Surveillance and Evaluation Program (OMSEP) refers to a physical examination program established to monitor the health of Coast Guard personnel working in jobs designated as having high health risk potential to physical/chemical/biological hazards.

Purpose of OMSEP OMSEP is designed to identify work related diseases or conditions, through baseline and periodic examinations, at a stage when modifying the exposure or providing medical intervention could potentially arrest disease progression or prevent re-occurrences.

Enrollment in OMSEP A person is considered "occupationally exposed" for OMSEP enrollment purposes if a noise exposure or hazardous condition is likely to occur 30 or more days per year. Personnel will be enrolled in the OMSEP if both of the following criteria are met:

- Personnel identified as occupationally at risk/exposed to hazardous chemicals or physical agents at levels documented or reasonably determined to be above the CG Medical Surveillance Action Level (MSAL) for that hazard as defined in the Medical Manual, Ch. 12.
 - Personnel actively engaged for 30 or more days per calendar year in the following occupations will be enrolled in OMSEP, unless an IH investigation determines individuals are not exposed to toxic chemicals or physical hazards: resident inspectors, pollution investigators, marine safety (general), port safety (general), vessel inspectors or marine investigators, and fire fighters.
-

Program Requirements "Occupationally exposed" personnel shall be identified, enrolled in OMSEP and be given basic and periodic medical examinations for the duration of their occupational exposure.

- Personnel "occupationally exposed" to known human carcinogens shall remain in the program for the duration of their Coast Guard career.
- Personnel "occupationally exposed" to benzene, asbestos, lead, or noise shall be enrolled in the special programs designed for these exposures.

Note: In the event of scheduling delays, the physical exam must still be completed at the earliest possible date, but not beyond 30 days after the initial date of employment.

Marine Safety Field Hazards

Introduction

Identifying safety and health hazards and estimating the risk they pose to personnel ("risk assessment") is the first crucial step in developing an effective safety and health program. There are ten common safety hazards that you are likely to encounter in the marine safety field. These ten hazards can be grouped into three general categories - physical hazards; chemical hazards; and biological hazards. You will encounter more hazards in the field than just these, so you must be aware of your surrounding at all times!

Recognition - Ten Common Safety Hazards

Whether you're on a pollution response or conducting a vessel boarding, you will likely encounter numerous safety hazards. The key to working safely in the environment is "Recognition" - you must be able to recognize the hazard before you can evaluate the severity or implement any controls.

Physical Hazards

- Explosion
 - Oxygen Deficiency
 - Radiation (Ionizing and Non-Ionizing)
 - Safety Hazards (Slips/Trips and Falls)
 - Electrical Hazards
 - Noise
 - Thermal Stress (Heat and Cold)
-

Chemical Hazards

- Cargo Chemical Agents
 - Non-Cargo Chemical Agents
-

Biological Hazards

- Biological Hazards - includes any virus, bacteria, fungus, parasite, or living organism that can cause a disease in human beings.
-

Marine Safety Field Hazards

Chemical Agents

There are two types of chemical agents that may pose significant health hazards:

- **Cargo Chemical Agents:** Various cargos posing chemical hazards are found in 46 CFR Subchapters D and O and MSM, Vol. 1, Chapter 10.
- **Non-Cargo Chemical Agents:** Other chemicals not carried as cargo may also pose a hazard while conducting marine safety activities.

The following are examples of **cargo** chemical agents:

- Liquefied or compressed gases (i.e. chlorine, ammonia)
- Benzene and products containing benzene
- Acrylonitrile
- Carbon Tetrachloride
- Butadiene
- Tetraethyl Lead
- Formaldehyde solutions
- Vinyl Chloride

The following are examples of **non-cargo** chemical agents:

- Asbestos
 - Hydrogen Sulfide
 - Carbon Monoxide
 - Welding gases and fumes
 - Painting and solvent application (including paint lockers)
 - Fumigants
 - Sandblasting (silica)
-

Marine Safety Field Hazards

Atmospheric Hazards

The **three** general atmospheric hazards encountered in the marine safety field can be classified as:

1. Oxygen deficiency and enrichment hazard.
 - Oxygen content must be **19.5% - 22%** (normal conditions are 20.8%).
 - Oxygen deficiency can be caused by:
 - Displacement of oxygen by other gases and vapors such as inert gases, evaporating liquids.
 - Rusting metals, such as scrap iron or tank wall corrosion.
 - Organic decay (rotting fruit, molasses, edible oils).
 - Curing paints.
 - Oxygen enrichment (greater than 22%) can pose a potential explosion hazard (combustible/flammable hazards).
 - The level of concern for Coast Guard personnel for oxygen deficiency is less than **19.5%**.
 - The level of concern for Coast Guard personnel for oxygen enrichment is greater than **22%**.
2. Explosion hazard.
 - Various cargo and non-cargo chemical agents such as flammable liquids, paints, solvents, and hydrogen sulfide.
 - Concentration of explosive/flammable vapors must be less than 10% of Lower Explosive Limit (LEL) for entry into a work area. Concentrations 10% or more of the LEL poses an explosion hazard.
 - The level of concern for Coast Guard personnel for explosion hazard is 10% of the LEL or greater.

Note: LEL is the lowest concentration of gas or vapor in which burning will take place.

Marine Safety Field Hazards

Atmospheric Hazards (Continued)

3. Toxicity hazard.
 - May result from:
 - Gases, vapors, and particles generated from various cargo and non-cargo chemical agents such as benzene vapors, chlorine gas, and asbestos particles.
 - Occupational exposure levels have been established by several agencies and organizations. The two standards used by the Coast Guard are:
 - Permissible Exposure Limits (PEL) - OSHA.
 - Threshold Limit Values (TLV) - American Conference of Governmental Industrial Hygienist - (ACGIH).
 - The level of concern for Coast Guard personnel for toxicity hazard is greater than the PEL/TLV value.
-

Evaluating/Controlling Field Hazards

Hazard Evaluation

Once a hazard has been recognized, it must be evaluated to determine if work may proceed in that area (especially confined spaces). Atmospheric hazards can be evaluated using atmospheric measurement devices to determine if the atmosphere is toxic, explosive, oxygen deficient or oxygen enriched.

Hazard Control

Control strategies for health hazards are often required by regulations. Controls can be grouped into three categories.

- Engineering Controls
 - Administrative Controls
 - Personal protective equipment (PPE)
-

Engineering Controls

Engineering Controls include such measures as ventilation, barriers, and enclosures.

- This is the first choice for controlling a hazard because effective engineering controls will eliminate/minimize the hazard.
 - Ventilation: Continuous, mechanically forced ventilation is normally required for 3 air changes (plus 15 minutes), prior to and during non-emergency situations, which are listed in MSM Vol. I, Chapter 10 (i.e., confined space entry).
 - As we often don't have control over the equipment that we're working around, in many cases engineering controls are not an option so we need to use safe work practices.
-

Administrative Controls

Administrative controls include measures such as safe work practices (SWP). Safe work practices are of utmost importance with any control strategy. These practices shall be developed for hazardous operations and hazardous agents (chemical, physical, and biological), which will be followed by all unit personnel.

Note: Appendix A in MSM Vol. I, Chap. 10 outlines SWPs commonly used at marine safety field units.

Evaluating/Controlling Field Hazards

Personal Protective Equipment (PPE)

Any appropriate engineering or administrative controls should be in place before resorting to personal protective equipment (PPE).

PPE includes:

- Protective Clothing.
- Hard hat.
- Safety shoes.
- Hearing protection.
- Eye protection.
- Basic skin protection (gloves, sunscreen, barrier cream).
- Chemical splash equipment.
- Atmospheric monitoring equipment/alarms.
- Respiratory protection equipment.
- Emergency Escape Breathing Apparatus (EEBA).
- Personal floatation device (PFD).

Note: PPE is not fun to wear and it does not look "cool" but it will save your life!

Confined Space Safety

Introduction

Understanding the Coast Guard's policy and federal regulations regarding confined space safety is imperative to ensuring the safety of personnel working in such areas.

Confined space policy and regulations not only apply to Coast Guard personnel, but also to workers in the marine industry.

Definitions

Confined Space - A confined space is a compartment of small size or limited access such as a double bottom tank, cofferdam, or other spaces, which by its confined nature can readily create or aggravate a hazardous environment. A confined space can be identified by any one of the following:

- Limited openings for entry and exit (access/egress).
- Unfavorable/inadequate ventilation.
- Not designed for continuous human occupancy.

Entry - "action by which a person passes through an opening into a space. Entry includes ensuing work activities in that space and is considered to have occurred as soon as any part of the entrant's body breaks the plane of an opening into a space." (29 CFR 1915.11)

Hot Work - Hot work includes any riveting, welding, burning, cutting, or other fire or spark producing operation.

Note: Hot work includes sandblasting operations.

Inerted - Requires that one of the following procedures must be completed in the space/compartment designated:

- Use of nonflammable gas (i.e., carbon dioxide, nitrogen).
- Reduce oxygen content in space to less than 8% or 50% of the amount to support combustion; whichever is less.
- Flood with water and do hot work below water level.

Atmospheric Hazards - Atmospheric hazards found in confined spaces can be classified as:

- Oxygen deficiency or enrichment hazards.
 - Explosive hazards (combustible/flammable hazards).
 - Toxicity hazards.
-

Confined Space Entry Policy

Commandant's Policy for CG Personnel

Marine Safety personnel shall not enter "regulated confined spaces" (see definition below) unless the spaces have been tested and designated "Safe for Workers" by a Certified Marine Chemist.

A Certified Marine Chemist is an individual certified by the National Fire Protection Agency (NFPA). A list of Certified Marine Chemists is published by the NFPA in their Annual Marine Chemist directory.

A Marine Chemist inspects confined spaces and issues certificates attesting to the safety of the space for entry by personnel. The Marine Chemist also certifies what type of work may be conducted within the space (i.e., hot work).

Regulated Confined Spaces

Regulated confined spaces include:

- Cargo spaces, or other spaces containing or having last contained toxic, combustible, or flammable liquids or gases in bulk (i.e., cargo tanks, fuel tanks).
- Spaces immediately adjacent to those described above (i.e., voids).
- Compartments that have been sealed.
- Spaces that have been coated (preservatives) and closed.
- Non-ventilated compartments that have been freshly painted.
- Cargo spaces containing cargoes that absorb oxygen (i.e., scrap metal, fresh fruit, any organic material that may decay).
- Double bottoms or sides.
- Pump rooms.
- Shipping containers.

Note: The Marine Safety Manual Vol. I, Chapter 10, Appendix A contains detailed Safe Work Practice Requirements for "regulated confined spaces."

Confined Space Entry Policy

Ventilation

Continuous, mechanically forced air ventilation is generally the best method to control hazards associated with confined space entry.

When forced air ventilation is available, ventilation is normally required for at least 3 air changes and at least 15 minutes prior to entry into any "regulated confined space." Ventilation shall also be maintained during entry unless overriding safety considerations are present.

When forced air is not available, natural ventilation is required, normally for at least 15-30 minutes prior to entry into any "regulated confined space."

Issuance of Certificate

The following requirements must be met prior to issuance of a Marine Chemist's certificate for a confined space:

- Inspection and issuance of the certificate must meet standards IAW NFPA 306.
- The Marine Chemist shall personally determine conditions of each space. (Must "whenever possible" physically enter each space or compartment and conduct a visual inspection.)

The Marine Chemist's determination shall include:

- An internal inspection of each space.
- Testing of each space.
- Three previous cargoes carried (if cargo/fuel tank).
- Nature and extent of work.
- Date and time of inspection
- Oxygen content, % of LEL, and air concentration of any toxics identified during the inspection.

Note: The Marine Chemist's instruments must be calibrated before and after each day's use (calibration should be under field conditions - not in the office).

Confined Space Standard Safety Designations

Introduction

According to NFPA 306, a confined space may be classified into the following "Standard Safety Designations":

- Safe for Workers
- Not Safe for Workers
- Enter with Restrictions
- Safe for Hot Work
- Not Safe for Hot Work
- Safe for Limited Hot Work

These designations identify the degree of safety associated with the confined space and which type of operations (if any) can safely be conducted within the space.

The designations above may be combined:

Example: "Safe for Workers/Safe for Hot Work" – This is a typical example in that "standard safety designations" normally combine a "worker" designation with a "hot work" designation.

Safe for Workers

For the designated confined space, the criteria for this designation follow:

- Oxygen content must be at least 19.5% and not greater than 22%
- Flammable materials must be below 10% of the LEL
- Toxic materials are within "permissible" concentrations (below the lower of the TLV/PEL)
- Residues are not capable of producing a toxic atmosphere

If any of the above conditions do not exist, then the designations "Not Safe for Workers" or "Enter with Restrictions" will be used.

Not Safe for Workers

Personnel shall not be allowed entry.

This designation means that one or more of the criteria required for "Safe for Workers" are not evident.

Confined Space Standard Safety Designations

Safe for Hot Work

For the designated confined space, the criteria for this designation is as follows:

- Oxygen content not greater than 22%.
- Flammable materials below 10% of the LEL.
- The space should be sufficiently cleaned so that any residues are not capable of producing concentrations greater than 10% of the LEL in the presence of hot work while the certificate is being maintained.
- All adjacent spaces (including diagonals) are sufficiently cleaned or inerted to prevent the spread of fire.

If any of the above conditions do not exist, then the designation "Not Safe for Hot Work" must be used.

Not Safe for Hot Work

Hot work is not permitted.

This designation means that one or more of the criteria necessary for the "Safe for Hot Work" designation does not exist.

This page intentionally left blank.

Lesson 5 Self-Quiz

Questions

1. List the instructions used in outlining the Coast Guard's occupational safety and health program.
 - a. _____
 - b. _____
 - c. _____
 - d. _____
 - e. _____
 - f. _____

2. Match the occupational health and safety positions in Column A with their responsibilities in Column B. Use each description only

<u>Column A</u>	<u>Column B</u>
_____ 1. Commanding Officer	a. Responsible for the administration of the respiratory protection program.
_____ 2. Safety Officer	b. Responsible for developing and administering the unit's comprehensive safety program for the safety officer.
_____ 3. Safety and Occupational Health Coordinator	c. Responsible for support and ensuring compliance with safety and occupational health programs at field commands within their zone.
_____ 4. Safety Petty Officer	d. Responsible by tradition and regulation for the protection of personnel assigned to the command.
_____ 5. Respiratory Protection Administrator	e. Responsible for scheduling and tracking OMSEP physicals required by unit personnel.
_____ 6. OMSEP Administrator	f. Responsible for implementing the CO's safety and occupational health policy.
	g. Responsible for assisting the SOHC with the maintenance of equipment and records.

Lesson 5 Self-Quiz

Questions (Continued)

3. Personnel actively engaged for _____ or more days per calendar year will be enrolled in the Occupational Medical Surveillance and Evaluation Program (OMSEP).
- A. 10
 - B. 15
 - C. 30
 - D. 60
4. What are the ten common safety and health hazards associated with marine safety activities?

Lesson 5 Self-Quiz

Questions (Continued)

5. Place an X next to each non-cargo chemical agent hazard that may pose a significant health hazard.

liquefied or compressed gases
 asbestos
 benzene and products containing benzene
 acrylonitrile
 hydrogen sulfide
 carbon monoxide
 carbon tetrachloride
 butadiene
 welding gases and fumes
 sandblasting (silica)
 formaldehyde solutions
 painting and solvent applications
 tetraethyl lead
 vinyl chloride
 fumigation

6. What are the three general types of atmospheric hazards encountered in the marine safety field?

7. What is the level of concern for Coast Guard personnel for oxygen deficiency hazard?

8. What is the level of concern for Coast Guard personnel for oxygen enrichment hazard?

Lesson 5 Self-Quiz

Questions (Continued)

9. What is the level of concern for Coast Guard personnel for explosion hazard?

10. What is the level of concern for Coast Guard personnel for toxicity hazard?

11. What are the three types of control strategies for marine safety field hazards?

- A. Engineering, Administrative, Personal Protective Equipment
- B. Ventilation, SWP, Hearing Protection
- C. Atmospheric Devices, COMDTINST, Unit Instructions
- D. Risk Management, reference sources, experience

12. The Marine Chemist finds that a tank ship pump room with no visible residues, has 23.5% oxygen level, flammable vapors at 12% of the LEL, and toxic vapors below the PEL/TLV. What standard safety designations would the pump room be classified?

This page intentionally left blank.

Lesson 5 Answers to Self-Quiz

Question	Answer	Reference
1.	a. MSM, Volume I, Chapter 10, COMDTINST M16000 (series) b. Medical Manual, COMDTINST M6000 (series), Chapter 12 c. Respiratory Protection, COMDTINST M6260 (series) d. Benzene Occupational Exposure Standard, COMDTINST 6260.25 e. Safety and Environmental Health Manual, COMDTINST M5100 (series) f. Pregnancy in the Coast Guard, COMDTINST 1900.9	5-4
2.	1. d 2. f 3. b 4. g 5. a 6. e	5-6 5-7
3.	C. 30	5-8
4.	Explosion Oxygen Deficiency Radiation (Ionizing and Non-Ionizing) Safety Hazards (Slips/Trips and Falls) Electrical Hazards Noise Thermal Stress (Heat and Cold) Cargo Chemical Agents Non-Cargo Chemical Agents Biological Hazards	5-9

Lesson 5 Answers to Self-Quiz

Question	Answer	Reference
5.	<input type="checkbox"/> liquefied or compressed gases <input checked="" type="checkbox"/> asbestos <input type="checkbox"/> benzene and products containing benzene <input type="checkbox"/> acrylonitrile <input checked="" type="checkbox"/> hydrogen sulfide <input checked="" type="checkbox"/> carbon monoxide <input type="checkbox"/> carbon tetrachloride <input type="checkbox"/> butadiene <input checked="" type="checkbox"/> welding gases and fumes <input checked="" type="checkbox"/> sandblasting (silica) <input type="checkbox"/> formaldehyde solutions <input checked="" type="checkbox"/> painting and solvent applications <input type="checkbox"/> tetraethyl lead <input type="checkbox"/> vinyl chloride <input checked="" type="checkbox"/> fumigation	5-10
6.	Oxygen deficiency and enrichment hazards	5-11
	Explosion hazards	5-12
	Toxicity hazards	
7.	Less than 19.5%	5-11
8.	More than 22%	5-11
9.	10% of the LEL or greater	5-11
10.	Greater than the PEL/TLV value	5-12
11.	A. Engineering, Administrative, Personal Protective Equipment	5-13
		5-14
12.	Not safe for workers/Not safe for hot work	5-19

Lesson 6

CONDUCT AND ETHICS

Overview

Introduction This lesson is designed to provide you with an overview of the professional and ethical conduct you are expected to apply during the course of your duties.

Objectives To successfully complete this lesson you must study the text and master the following objectives:

IDENTIFY the Coast Guard policy for standards of ethical conduct.

IDENTIFY the four major parts of professionalism.

IDENTIFY what is and what is not considered proper conduct for Coast Guard members.

IDENTIFY situations relating to basic practices of etiquette for marine safety personnel.

References The information contained in this lesson can be found in the following references:

- Standards of Conduct, COMDTINST M5370.8 (series)
 - MSM Vol. I, Chapter 6
-

**Resident
Training
Requirements**

- None.
-

Overview

Outline

This lesson will cover the following topics:

- **Standards of Ethical Conduct**

- Introduction
- Responsibility
- Applicability
- Ethics Advice

- **Professionalism**

- Introduction
- Appearance
- Attitude
- Objectivity

- **Do's and Don'ts**

- Introduction
- Gifts from Outside Sources
- Misuse of Position
- Outside Activities

- **Marine Safety Related Situations**

- Introduction
- Vessel Boarding/Facility Inspection Etiquette

Standards of Ethical Conduct

Introduction Standards of ethical conduct apply to you and every member of the Coast Guard. During your tour of duty at a marine safety field unit, you will have many professional relationships with civilian interests. Doing business with the maritime industry, regulated by the Coast Guard, is a daily activity. Therefore, it is important that you understand your responsibilities concerning your conduct. It is vital that the Coast Guard and its personnel maintain public confidence and avoid any appearance of conflict of interest.

Responsibility The Commandant has designated the responsibility to the Chief Counsel of the Coast Guard as the Ethics Official for the Coast Guard. The Chief Counsel is the final authority in the Coast Guard for answering questions relating to proper conduct and conflicts of interests.

Applicability All Coast Guard personnel are ordered to obey the provisions in the Office of Government Ethics Standards of Ethical Conduct. These standards are applicable to all Government officers and employees, and have been incorporated by policy in Standards of Conduct, COMDTINST M5370.8 (series).

Applicable Coast Guard personnel include all:

- Civilian employees.
 - Regular and reserve officers (commissioned and warrant).
 - Enlisted members on active duty.
 - Public Health Service (PHS) personnel.
 - Department of Defense personnel assigned to the Coast Guard for more than 30 days.
 - Reserve enlisted members performing official duties while on inactive duty for training and earning reserve retirement points, faculty, staff, and cadets at the Coast Guard Academy.
-

Standards of Ethical Conduct

Ethics Advice

If you ever have questions concerning ethics, you should seek advice from a Coast Guard ethics official. For marine safety personnel, ethics advice usually begins with your supervisor who should seek advice from the chain of command and the district legal officer. District legal officers, as Deputy Ethics Officials, are responsible for being available to discuss, analyze, and if necessary to take action to remedy, any matter relating to standards of conduct and conflicts of interest situations. As a general rule if you ever feel you are or may have been engaged in a questionable unethical situation you should contact your chain of command and seek guidance from a Coast Guard ethics official. You should be prepared to give full disclosure of all relevant circumstances in question.

Professionalism

Introduction Being a professional does not only mean knowing your job. Being a Coast Guard professional means more than that. Understanding appearance, attitude, objectivity, and demeanor and applying these aspects of professionalism on the job help set the tone for proper ethical conduct.

Appearance When you meet people, it's your appearance that is first noticed. Like any other military or law enforcement organization, the Coast Guard requires us to look a certain way. Generally these requirements are made known to all Coast Guard members through policy and good military practice.

Marine safety field units are no different. Your Commanding Officer will require you to wear certain Coast Guard uniforms while performing your assigned duties. Good appearance is usually perceived as the sign of a confident professional: a person less likely to be compromised.

Attitude Another thing perceived as being a sign of a professional is attitude. A positive attitude about your assigned job shows people that you care about what you do. Bad attitudes will show people you don't agree with what you're doing, thereby making people you deal with less likely to take you seriously, which could lead to a compromising situation.

In the marine safety field, when you are not taken seriously because of a bad attitude, you will not communicate well with industry. This could have serious consequences that could cause harm to a person, a vessel, a facility, or even a port area.

Objectivity Being objective is another part of being a professional. Many times you will have to use objectivity to solve situations or problems. This means your decisions should be based on the facts of the situation and not be affected by your personal feelings or prejudice.

You will deal with many commercial maritime interests in the marine safety field. We must treat every interest the same using the code of the law and applicable Coast Guard standards as our guide. Doing this helps us regulate every interest in the same manner and does not show favoritism or involve our personal feelings.

Professionalism

Demeanor

Finally, your professional demeanor or behavior when dealing with on the job confrontations or conflicts is put to the test many times in the marine safety field. How do you handle stressful situations? How do you handle someone screaming at you? You should think about these questions because they could happen to you. A real professional would know how to handle these situations. A real professional would know to use all his or her knowledge, skills, and training to control a stressful situation. A real professional would know to remain calm and use common sense when dealing with a screaming individual until that individual is ready to talk rationally. Real professionals are always ready to use their appearance, attitude, objectivity, and demeanor as tools for proper ethical conduct. Once properly used, your job will be more simplified.

Do's and Don'ts

Introduction

Commandant Instruction M5370.80 (series) addresses Coast Guard policy on what is and what is not considered ethical conduct (do's and don'ts) for its members.

This lesson is designed to provide you with the most common do's and don'ts. Applicable personnel should refer to this Manual or consult their supervisor and ethics advisor for further guidance on ethical conduct.

Gifts from Outside Sources

Do's: You may accept the following gifts from outside sources:

- Modest items of food and refreshments, such as soft drinks, coffee and donuts offered other than part of a meal.
 - Greeting cards and items with little intrinsic value (e.g., plaques, certificates, and trophies).
 - Loans from banks and other financial institutions on terms generally available to the public.
 - Opportunities and benefits, including favorable rates and commercial discounts available to the public or to a class consisting of all Government employees and all uniformed military personnel, whether or not restricted on the basis of geographic considerations.
 - Rewards and prizes given to competitors in contests or events, including random drawings, open to the public unless your entry into the contest or event is required as part of official duties.
 - Pension and other benefits resulting from continued participation in an employees welfare and benefits plan maintained by a former employer.
 - Anything, which is paid for by the Government or secured by the Government under Government contract.
-

Do's and Don'ts

Gifts from Outside Sources (Continued)

Example: If you attended training on official orders, and the Government pays the attendance fee for training, any meals or materials provided during the training are not "gifts" to you.

- Anything for which the employee pays fair market value.
- Gifts of \$20 or less and you may not accept gifts totaling more than \$50 per year from a single source.
- Gifts based on a personal relationship.
- Discounts and similar benefits, so long as the offer is unrelated to Government service, or is offered to a group or class of Government employees in a manner that does not discriminate on the basis of type of official responsibility or on a basis that favors those of higher rank or rate of pay.
- Gifts based on outside business or employment relationships (i.e., based on a spouse's employment or business relationships or customarily provided by a prospective employer in connection with bona fide employment discussions).

Don'ts: You shall not, directly or indirectly, solicit or accept gifts from the following outside sources:

- Any person or business that is seeking official action by the Coast Guard.
- Any person or business that does business or seeks to do business with the Coast Guard.
- Any person or business that conducts activities regulated by the Coast Guard.
- Any person or business that has interests that may be substantially affected by the performance or nonperformance of a Coast Guard member's official duties.
- Any gift that is offered because of the Coast Guard member's official position.

You should be prepared to consult with your supervisor and an ethics advisor before accepting the following gifts from outside sources:

- Awards or honorary degrees.
-

Do's and Don'ts

Gifts from Outside Sources (Continued)

- Free attendance, materials, travel, accommodations or refreshments offered at widely attended gatherings.

Note: A gathering is widely attended if it is open to Coast Guard members from throughout a given industry or profession or if those in attendance represent a range of persons interested in a given matter.

- Free attendance, materials, transportation, lodgings, food and refreshments incident to training or meetings.
- Social invitations extended because of the Coast Guard member's official position.
- Gifts of travel expenses to the Coast Guard Band, Honor Guard, or participants in air shows.
- Gifts from Foreign Governments.
- Gifts made to an organization within the Coast Guard.

Misuse of Position

Don'ts: You shall not use public office for private gain. This includes the private gain of friends, relatives or any person with whom you may be affiliated in a nongovernmental capacity. Misuse of your position includes the following:

- Endorse any product, service, or enterprise.
 - Use nonpublic information for your own benefit or the benefit of any private interest.
 - Use Government equipment or supplies for any unauthorized purpose.
 - Use Government time for any purpose other than in an honest effort to perform official duties.
 - Encourage or request a subordinate to do any of the above.
-

Do's and Don'ts

Outside Activities

Do's: Outside employment. You may accept outside employment when:

- It is not related to the your official duties.
- The employer is not a prohibited source.
- The employment does not place the employee in dangerous circumstances or situations.
- It does not interfere with your ability to fully perform yo ur official duties.
- You have the permission of your commanding officer.

You should be prepared to consult with your supervisor and an ethics advisor before accepting outside employment when:

- The employer is a prohibited source.
- The employment is related to your official duties, or requires professional skills used in your official duties.

Example: As a Federal law enforcement official, you should consult your supervisor and ethics advisor before accepting a part-time job as a security officer at a department store.

You should be prepared to consult your supervisor and an ethics advisor before:

- Serving as an expert witness in any legal proceeding.
 - Accepting compensation for teaching, speaking, or writing.
-

Marine Safety Related Situations

Introduction

You were introduced to many do's and don't of Coast Guard ethical conduct. Many of them will apply to you when you perform your official duties in the marine safety field.

Identified in this lesson are common situations you could find yourself in while performing your duties. It is important to note that these situations are presented to you just to make you more aware of common conduct and ethics situations.

Again, as an important reminder, you should seek the advice and consult your supervisor and an ethics official before getting involved in any situation where a potential or actual unethical situation exists.

Vessel Boarding/Facility Inspection Etiquette

In the marine safety field, you could conduct many vessel boardings and facility inspections. As a boarding officer or facility inspector, you represent the Coast Guard and your Commanding Officer. Besides the purpose of your boarding or inspection, you must apply proper etiquette in all situations.

Here is where you will use those aspects of professionalism you have learned. When you board a vessel or conduct a facility inspection, you will use those aspects of professionalism plus some basic practices of etiquette. They include:

- Giving a proper introduction.
- Using proper official titles.
- Knowing and explaining the purpose of your visit.
- Using proper pre- and post boarding/inspection actions.
- Avoiding confrontations.
- Avoiding conflicts of interests.
- Prohibited use of alcohol or controlled substances.

Every vessel boarding or facility inspection usually begins with an introduction. A proper introduction would be one where the senior member of the boarding party introduces him or herself and the rest of the party to the master or senior ship's officer. A facility inspection introduction would be the same except the introduction would be to the facility person in charge.

Marine Safety Related Situations

Vessel Boarding/Facility Inspection Etiquette (Continued)

Make it a point to know whom you are taking with. If this person has an official title, such as, Master, Chief Mate, Pilot, etc., use it. It is also proper for them to use your official title when addressing you.

After introductions are made, you should explain the purpose of your visit. Be prepared to request assistance from the vessel's master or facility person in charge to accomplish your tasks. They know their vessel or facility better than you ever will. Therefore, their assistance is always needed.

Every vessel boarding or facility inspection requires you to use proper actions to successfully accomplish them. Pre-boarding or facility inspection actions include:

- Being alert for safety concerns.
- Being alert for evidence of any applicable regulatory noncompliance.
- Asking if any other regulatory agency is or has been there recently and the purpose of their visit.
- Being prepared to ask for paperwork (i.e., certificates, documents, etc.) that are needed to accomplish your task.
- Conducting your boarding or facility inspection with a ship's officer or facility person in charge.
- Explaining each applicable item required to be examined or inspected and the purpose of the exam or inspection.
- Being prepared to identify items of noncompliance.

Note: It would also be polite to point out to appropriate persons when a vessel or facility is in compliance. Letting them know when they have been helpful or if their vessel or facility is squared away gives a positive human perception of the Coast Guard.

Post boarding or facility inspection actions include:

- Advising discrepancies noted, corrective action required, and allowable time frames, if necessary, for corrections.
 - Discussing with the vessel's master or facility person in charge, any necessary interruptions of cargo operations.
 - Advising the vessel's master of any possible detention of the vessel in port.
-

Marine Safety Related Situations

Vessel Boarding/Facility Inspection Etiquette (Continued)

- Ensuring that the vessel's master or facility person in charge is given appropriate copies of your boarding or inspection reports.
- Explaining that your Commanding Officer will determine the necessary enforcement action, if any, for each noted discrepancy.
- Explaining that their owner or operator will be advised by separate correspondence of any enforcement action taken.
- Letting the vessel's master or facility person in charge know if you may be back for follow-up actions on any outstanding discrepancies.

Most vessel boardings and facility inspections usually will go smooth, without any problems, and pretty much by the book. However, you will conduct a few that will not go so smooth. There will be incidents where you will have to deal with angry or uncooperative persons. Avoiding these confrontations or conflicts of interests can be challenging. These are the times when your professional abilities will be put to the test.

Try to avoid verbal confrontations with persons. A good attitude, being objective, and professional demeanor should help solve many of these type of problems. If this does not work, it is probably good to back off, as long as a life-threatening situation does not exist, and contact your supervisor for assistance or advise.

It is also important not to interfere with crewmembers doing critical jobs. You should not touch anything on a ship or facility. If you need a system activated, ask the ship's officer or facility person in charge to activate the system in question.

Example: Say you wanted to see if a particular fire station worked. You would not activate it yourself. You would ask, "Please activate this fire station for me so I can see that it works properly."

Doing this avoids conflicts of interest. Especially if something doesn't work or a hazardous condition results from you activating a system.

Finally, the area where you could find yourself in real trouble would be the use of alcohol or a controlled substance while conducting Coast Guard business. This is prohibited and is always considered unacceptable conduct by any Coast Guard member.

It is not uncommon, especially on board a commercial vessel, for the master to offer an alcoholic beverage to boarding officers. You should be polite, but refuse the drink.

This page intentionally left blank.

Lesson #6 Self-Quiz

Questions

1. What is the Coast Guard policy for standards of ethical conduct?

 2. Who should you seek ethics advice from _____?
 - A. A DOD ethics official
 - B. A District Attorney
 - C. A Coast Guard ethics official
 - D. A Public Affairs official
 3. Which major part of professionalism is usually perceived as the sign of a confident professional _____?
 - A. Demeanor
 - B. Attitude
 - C. Objectivity
 - D. Appearance
 4. Which major part of professionalism shows people that you care about what you do _____?
 - A. Demeanor
 - B. Attitude
 - C. Objectivity
 - D. Appearance
 5. Which major part of professionalism should be based on the facts of the situation and not be affected by your personal feelings or prejudice _____?
 - A. Demeanor
 - B. Attitude
 - C. Objectivity
 - D. Appearance
 6. Which major part of professionalism has to deal with your behavior when dealing with on-the-job confrontations or conflicts _____?
 - A. Demeanor
 - B. Attitude
 - C. Objectivity
 - D. Appearance
-

Lesson #6 Self-Quiz

Questions (Continued)

7. Place an X next to those items that are considered proper ethical conduct for Coast Guard members.
- Accepting modest items of food and refreshment, such as soft drinks, coffee and donuts offered other than part of a meal
 - Accepting anything which is paid for by the Government or secured by the Government under Government contract
 - Accepting gifts based on a personal relationship
 - Accepting gifts from a person or business who is seeking official action by the Coast Guard
 - Using your position to endorse any product, service, or enterprise
 - Accepting outside employment not related to your official duties
 - Engage in a personal fund raising charity while on duty
 - Accepting gifts on behalf of your official position
-

Lesson #6 Self-Quiz

Questions (Continued)

8. Match the basic practices of etiquette for marine safety personnel in column A with their descriptions in column B. Use each description only once.

<u>Column A</u>	<u>Column B</u>
_____ 1. Giving a proper introduction	a. Explaining each applicable item required to be examined or inspected and the purpose of the exam or inspection.
_____ 2. Using proper official titles	b. Controlling verbal confrontations with persons.
_____ 3. Knowing and explain the purpose of your visit	c. Refusing an offered alcoholic beverage from a ship's master.
_____ 4. Using proper pre-boarding and inspection actions	d. Senior member of a boarding party introducing him or herself and then the rest of the party to the master of a vessel.
_____ 5. Using proper post boarding or inspection actions	e. Advising the vessel's master of any possible detention of the vessel in port.
_____ 6. Avoiding confrontations	f. Using the word "master" when addressing the captain of a commercial vessel.
_____ 7. Avoid conflicts of interest	g. Not interfering with crew members doing critical jobs.
_____ 8. Prohibited use of alcohol or controlled substances	h. Explaining to a facility person in charge that you are there to conduct an annual safety inspection of his facility.

This page intentionally left blank.

Lesson 6 Answers to Self-Quiz

Question	Answer	Reference
1.	COMDTINST M5370.8	6-3
2.	C	6-4
3.	D	6-5
4.	B	6-5
5.	C	6-5
6.	A	6-6
7.	<input checked="" type="checkbox"/> Accepting modest items of food and refreshment, such as soft drinks, coffee and donuts offered other than part of a meal <input type="checkbox"/> Accepting anything which is paid for by the Government or secured by the Government under Government contract <input checked="" type="checkbox"/> Accepting gifts based on a personal relationship <input type="checkbox"/> Accepting gifts from a person or business who is seeking official action by the Coast Guard <input type="checkbox"/> Using your position to endorse any product, service, or enterprise <input checked="" type="checkbox"/> Accepting outside employment not related to your official duties <input type="checkbox"/> Engage in a personal fund raising charity while on duty <input type="checkbox"/> Accepting gifts on behalf of your official position	6-7 6-8 6-9 6-10
8.	1. d 2. f 3. h 4. a 5. e 6. b 7. g 8. c	6-11 6-12 6-13

Appendix A

PAMPHLET REVIEW QUIZ

1. How many Directors are found in the organization of Commandant (G-M)?
 - A. Two
 - B. Three
 - C. Four
 - D. Five
2. The three operating programs associated with Marine Safety are G-MO, G-MP, and _____.
 - A. G-MS
 - B. G-MT
 - C. G-MW
 - D. G-MR
3. The two support programs specifically tied to Marine Safety responsibilities are G-MR and _____.
 - A. G-MS
 - B. G-MO
 - C. G-MP
 - D. G-MR
4. The two program elements within the Port Security Directorate are the Office of Waterways Security Planning, Readiness & Intelligence and _____.
 - A. National Vessel Documentation Center
 - B. Marine Safety Center
 - C. Office of Response
 - D. Office of Port, Vessel and Facility Security
5. Who administers the Port Safety and Security and Marine Environmental Protection Programs within their area of responsibility?
 - A. Captain of the Port
 - B. Officer in Charge, Marine Inspection
 - C. Federal On-Scene Coordinator
 - D. Federal Maritime Security Coordinator
6. Which program element within the Field Operations Directorate ensures that mariners are qualified to hold various positions on board U.S. merchant vessels?
 - A. G-MOC
 - B. NMC
 - C. G-MOA
 - D. G-MOR
7. The two sources of enforcement authority for marine safety activities are U.S. law and _____.
 - A. ABS Rules
 - B. International agreements
 - C. Local State laws
 - D. Marine Safety Manual
8. How many basic vessel categories are subject to inspection?
 - A. Three
 - B. Four
 - C. Five
 - D. Six

9. Which of the following is NOT an area of emphasis for the Marine Environmental Protection (MEP) mission?

- A. Bridge Administration
- B. Prevention
- C. Response
- D. In-House Abatement

10. One of the positions a documented mariner can hold is _____.

- A. Mate
- B. Pilot
- C. Master
- D. Steward

11. One of the positions a licensed mariner can hold is _____.

- A. Tankerman
- B. Able-Bodied Seaman
- C. Pilot
- D. Steward

12. Which one of the following activities is associated with the Port Safety mission?

- A. Barge inspections
- B. Contingency planning
- C. Licensing of mariners
- D. Verification of vessel security plans

13. Which maritime security activity is NOT performed by the U.S. Coast Guard?

- A. Port Security
- B. Vessel Security
- C. Facility Security
- D. None of the above

14. The COTP receives delegated authority from _____.

- A. Commandant
- B. Marine Safety Center
- C. National Maritime Center
- D. President of the U.S.

15. Which type of control and enforcement action is used when there is evidence of serious neglect?

- A. On-the-spot correction
- B. Suspension and Revocation proceedings
- C. Letter of Warning
- D. Civil Penalty action

16. Which federal publication is NOT frequently used by marine safety personnel?

- A. United States Code
- B. FCC Guidelines
- C. Code of Federal Regulations
- D. Federal Register

17. The purpose of the Federal Register is to publish _____ found in the CFR.

- A. Unit names and addresses
- B. MSO information
- C. Proposals and changes
- D. Historical data

18. Which policy references are most frequently used by marine safety personnel?

- A. Marine Safety Manual
- B. Navigation and Vessel Inspection Circulars
- C. Program Specific Policy Letters
- D. All of the above.

19. Which of the following is NOT an instruction outlining the Coast Guard's occupational safety and health program?

- A. Marine Safety Manual
- B. Personnel Manual
- C. Medical Manual
- D. Safety and Environmental Health Manual

20. Who is responsible for developing and administering the unit's comprehensive safety program for the Safety Officer?

- A. Commanding Officer
- B. Respiratory Protection Administrator
- C. Safety and Occupational Health Coordinator
- D. Safety Petty Officer

21. Which marine safety command position is NOT responsible for occupational safety and health responsibility _____?

- A. Training Officer
- B. Commanding Officer
- C. Respiratory Protection Administrator
- D. Safety and Occupational Health Coordinator

22. Which is not an atmospheric hazard encountered in the marine safety field?

- A. Oxygen deficiency
- B. Explosive
- C. Heat stress
- D. Toxicity

23. How many common safety and health hazards are associated with marine safety activities?

- A. 5
- B. 10
- C. 15
- D. 20

24. The three control strategies for marine safety field hazards are _____.

- A. Risk Management, reference sources, experience
- B. Ventilation, SWP, Hearing Protection
- C. Atmospheric Devices, COMDTINST, Unit Instructions
- D. Engineering, Administrative, Personal Protective Equipment

25. The marine chemist finds that a tank ship pump room with no visible residues has 20.0% oxygen level, flammable vapors at 0% of the LEL, and toxic vapors below the PEL/TLV. What standard safety designations would the pump room be classified?

- A. Not Safe for Workers/Not Safe for Hotwork
- B. Safe for Workers/Safe for Hotwork
- C. Safe for Workers/Not Safe for Hot Work
- D. Safe for Limited Hot Work

26. What is the Coast Guard policy for standards of ethical conduct?

- A. COMDTINST M5370.8 (series)
- B. COMDTINST 10006A
- C. MSM Vol. I, Chapter 6
- D. 33 CFR Part 126

27. There are _____ major parts of professionalism.

- A. Three
- B. Four
- C. Six
- D. Seven

28. Accepting _____ is considered proper ethical conduct for Coast Guard members.

- A. Airline tickets to a resort
- B. Coffee and donuts
- C. A laptop computer
- D. Gift certificate of \$500 for Lowe's on behalf of your official position

29. Which of the following is NOT proper etiquette when conducting a vessel boarding?

- A. Giving a proper introduction
- B. Avoiding confrontations
- C. Accepting an alcoholic beverage from the master
- D. Using proper official titles

30. What are the TWO general types of vessel inspections?

- A. Safety and navigation
- B. Navigation and pollution prevention
- C. Security and pollution prevention
- D. Safety and security

31. What are the TWO types of marine investigations?

- A. Marine casualties and personnel actions
- B. Personnel actions and background
- C. Background and marine casualties
- D. Criminal and marine casualties

32. How many United States Code titles cover the federal laws most commonly enforced by the Coast Guard?

- A. 3
- B. 4
- C. 5
- D. 6

33. Which of the following is NOT a Code of Federal Regulations title most commonly enforced by the Coast Guard?

- A. 33
- B. 36
- C. 40
- D. 46

34. Which of the following is a common use for the Marine Safety Manual?

- A. Interpret regulations
- B. Establish regulations
- C. Advanced Notice of Proposed Rulemaking
- D. Notice of Proposed Rulemaking

35. Which of the following is a cargo chemical agent hazard?

- A. Asbestos
- B. Sandblasting (silica)
- C. Vinyl chloride
- D. Carbon monoxide

36. What is the level of concern for Coast Guard personnel for oxygen deficiency hazard?

- A. Less than 10%
- B. Less than 19.5%
- C. Less than 20%
- D. Less than 20.5%

37. Personnel actively engaged for _____ or more days per calendar year will be enrolled in the Occupational Medical Surveillance and Evaluation Program (OMSEP).

- A. 45
- B. 30
- C. 15
- D. 10

Appendix B

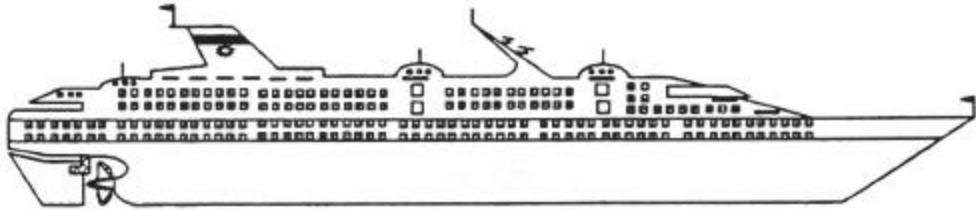
PAMPHLET REVIEW QUIZ – ANSWER KEY

QUESTION	ANSWER	REFERENCE	QUESTION	ANSWER	REFERENCE
1.	D	1-3	20.	C	5-6
2.	C	1-3	21.	A	5-6
3.	A	1-3	22.	C	5-9
4.	D	1-6	23.	B	5-9
5.	A	1-8	24.	D	5-13
6.	B	1-6	25.	B	5-19, 5-20
7.	B	3-4	26.	A	6-3
8.	B	2-4	27.	B	6-5
9.	A	2-6	28.	B	6-7
10.	D	2-7	29.	C	6-8
11.	C	2-7	30.	D	2-5
12.	B	2-9	31.	A	2-8
13.	D	2-10	32.	C	4-6
14.	A	3-5	33.	B	4-4
15.	D	3-7	34.	A	4-6
16.	B	4-3	35.	C	5-10
17.	C	4-5	36.	B	5-11
18.	D	4-6	37.	B	5-8
19.	B	5-4			

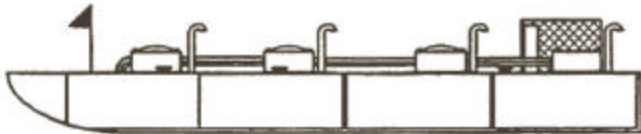
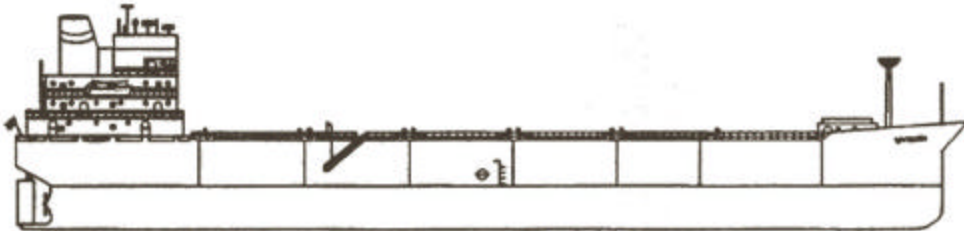
Appendix C

TYPES OF VESSELS

Passenger Vessel



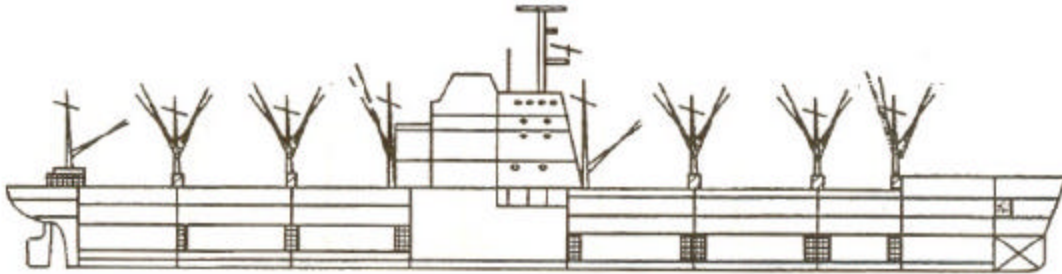
Tank Vessels



Appendix B

TYPES OF VESSELS

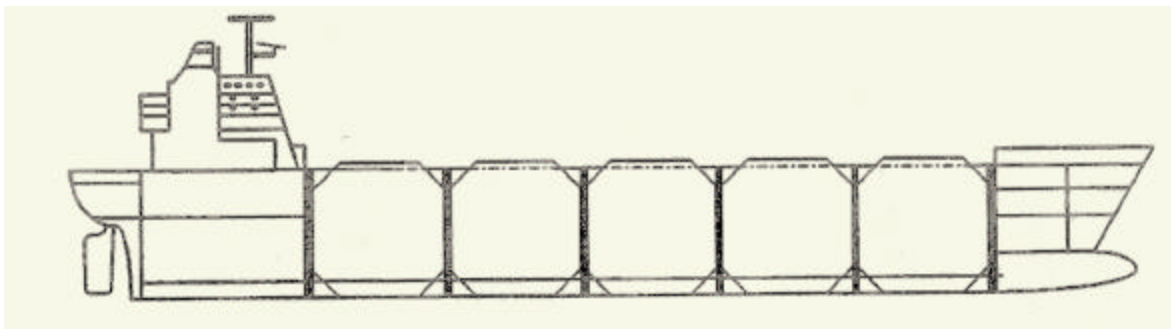
Cargo Vessel (Break Bulk)



Cargo Vessel (Container)



Cargo Vessel (Bulk)



Cargo Vessel (RO/RO)



Request for Feedback - INITIAL INDOCTRINATION TO MARINE SAFETY (IIMS) COURSE

Suggestions and Corrections

Please note your suggestions, corrections, and comments below.

Page	Location on Page	What Correction is Needed

Your Comments

If you were writing this pamphlet, what improvements would you make? What was good about it? What did you not like about it? Please be specific in your comments/suggestions.

To Contact You

Please provide the following so that we can contact you if needed.

Name	Unit	Phone
		()

Mail, Fax, or Call

Please mail, fax, or call your information to:

Commanding Officer (t- ms)
 U.S. Coast Guard
 Training Center Yorktown
 Yorktown VA 23690-5000

PHONE: (757) 856-2324
 FAX: (757) 856-2394

ATTN: Esther Hines, Training Specialist
