



USCG Office of Commercial Vessel Compliance (CG-CVC) Mission Management System (MMS) Procedure (PR)



Category	Domestic Inspection Program				
Title	Documenting Deficiencies on U.S. Flag Vessels and OCS Floating Offshore Installations (FOIs)				
Serial	CVC-PR-001(3)	Orig. Date	23MAR18	Rev. Date	29MAR22
Disclaimer:	This procedure documents the internal deliberative process; therefore, internet release of this procedure is not authorized.				
Change Summary	<p>The following is a list of major changes found in revision 3.</p> <ul style="list-style-type: none">• Removal of outdated MISLE changes• Clarification of Action codes 10 – Corrected on the Spot, 17 – Rectify Prior to Departure, & 60 – Rectify Prior to Operations• Added Security Deficiency details• Removal of:<ul style="list-style-type: none">Section H- Documenting Deficiencies for Towing Vessels Subject to Inspection Under 46 CFR Subchapter M;Section I - Seasonal OperationsSection J - Documenting Deficiencies in MISLE• Addition of hyperlinks				

- A. Purpose. This procedure formalizes a comprehensive instruction for issuing and documenting deficiencies on vessels subject to inspection by the Coast Guard.¹
- B. Action. District (dpi) staffs shall ensure compliance with and consistency in the use of this procedure on documenting deficiencies on U.S. flag vessels or Floating Offshore Installations (FOIs).
- C. Background.
1. A deficiency is any failure to meet minimum requirements of the vessel inspection laws or regulations. An item (equipment, system, component, or structure) is considered deficient if:
 - a. It is presently unsatisfactory to the inspector; or
 - b. It has a reasonable possibility of becoming unsatisfactory prior to the next required inspection (COI, annual, periodic or hull examination).
 2. Deficiencies range in severity and potential adverse impact to the safety of the vessel, the crew, or the marine environment. In addition, the way deficiencies are documented and resolved may vary depending on the inspection regime in which a vessel is enrolled. It is critical that Marine Inspectors (MIs) identify, diagnose, follow-up with, and properly document vessel deficiencies.

¹ See [46 USC 3301](#); this includes vessels that have been issued a Certificate of Inspection (COI), those operating on a Permit to Proceed (PtP), and towing vessel inspected under 46 CFR Subchapter M after July 20, 2018 regardless of whether a COI has been issued.

3. As the Coast Guard continues to refine risk-based inspection models, accurate deficiency data is a critical component of multiple Key Performance Indicators (KPIs). These KPIs are used to develop the Fleet Risk Index and the Small Passenger Vessel Risk Based Inspection Program.
- D. **CG-835V – Vessel Inspection Requirements.** All deficiencies or worklist items issued to a vessel or floating offshore installation subject to Coast Guard inspection should be issued on form [CG-835V](#), including those items corrected on the spot. This form has been specifically tailored and developed in conjunction with corresponding MISLE enhancements to more consistently and accurately document vessel deficiency data. On June 27, 2018, the deficiency codes were updated to align with the deficiency codes used for Port State Control. A list of deficiency codes is maintained on the [Marine Inspector Resource Page](#) on CGPortal.
- E. **Documenting Deficiencies on [CG-835V](#)².**
 1. **Date of Inspection:** Enter the actual date the inspection was performed. For inspections that span multiple days, enter the date of the inspection on which “credit” was given. If the form is used as a worklist (e.g., during new construction, shipyard, etc.), the “date of inspection” should be the date that the worklist was issued. All dates should be in the “mm/dd/yyyy” format, or selected using the automated date feature if completed electronically.
 2. **COTP/OCMI Zone/Unit:** Select the appropriate unit from the drop-down list or fill out by hand.
 3. **MISLE Activity Number:** Enter the MISLE Activity number associated with the inspection activity.
 4. **Official Number (ON) or IMO Number:** Enter the ON or IMO number. If a vessel is assigned both an IMO number and an ON, the IMO number should be entered.
 5. **Vessel Name:** Enter the name of the vessel exactly as it appears on the COI.
 6. **Inspection Type:** Select the appropriate inspection type. If filling out by hand, see the [Marine Inspector Resource Page](#) on CGPortal for a list of Inspection Types. If there are multiple inspection types being conducted, the inspection type with the broadest scope should be selected (e.g., if an Annual Inspection and a Deficiency Check are being conducted simultaneously, “Annual Inspection” should be selected).
 7. **Alternate Inspection Program:** Select the Alternate Inspection Program as applicable. If the vessel is not enrolled in an Alternate Inspection Program select “N/A – Traditionally Inspected.” Prior to making a selection, the MI should verify the COI contains the relevant endorsement. If the form is used to document worklist items for vessels that are “provisionally enrolled” in ACP and do not yet have a COI, the “ACP” box should be selected.
 8. **Deficiency Information:**
 - a. **No.:** Enter the deficiency number (e.g., 1, 2, 3, etc). Deficiencies should be listed in order of severity, listing those that are most restrictive in nature first (i.e., deficiencies marked “30 – Ship Detained” should be listed before those marked “17 – Prior to Departure”)
 - b. **Deficiency Code:** Enter the applicable deficiency code. A list of deficiency codes is available on the [Marine Inspector Resource Page](#) on CGPortal. These codes are derived from the deficiency codes used for Port State Control (e.g. 01101 Cargo ship safety equipment).
 - c. **Description:** Deficiency descriptions should be direct, succinct, quantifiable, and use descriptive language where possible. Deficiency statements should state the requirement and

² The CG-835V is available electronically on the CGPortal forms page. The form may be filled out electronically or, as an interim measure, printed and filled out by hand after an inspection or exam. Like Port State Control forms, the Coast Guard will have the form printed in booklet format which will be available at Surface Forces Logistics Command (SFLC) via the MILSTRIP process.

how the requirement is not met. In certain instances, it may be necessary to provide specific directions within the description. For example, a deficiency may warrant an action of “30-Ship Detained” or “17 – Prior to Departure,” however the OCMI may wish to place specific limitations or requirements on local shifting within the port. If an action code of “60-Rectify Deficiencies Prior to Movement” is not appropriate in this instance, this type of direction can be provided in the deficiency description field, at the discretion of the OCMI.

d. **Cite:** Insert applicable cite for the deficiency.

- 1) In general, with exception to vessel manning, all citations for vessels enrolled in the Alternate Compliance Program (ACP) should be from the international conventions, Authorized Classification Society (ACS) rules, or the U.S. Supplement, as applicable³. Similarly, for vessels enrolled in the Maritime Security Program (MSP), deficiency citations should be from the international conventions, ACS rules, and some limited domestic regulations as referenced in [NVIC 01-13, Change 1](#).

e. **Action:** Select the applicable control action (10, 15, 16, etc.).

- 1) To harmonize the Coast Guard’s deficiency data with a globally accepted methodology, the CG-835V includes control actions corresponding to those found on the PSC Form B.
- 2) Codes 10, 15, 16, 50, 17, or 30 should be the primary codes selected *unless there is a specific and articulable reason* why none of these codes will achieve the desired outcome.
- 3) The “700” series control actions were developed to allow for the continued use of legacy vessel control actions and related MISLE values in certain instances. “700” series control actions should only be used in cases where control actions 10, 16, 50 or 30 are clearly not applicable. For example, “701 – prior to carriage of passengers/cargo” may be selected if the deficiency relates to a specific passenger or cargo requirement (e.g., # of lifejackets, cargo piping/hoses not hydrostatically tested, etc), but the vessel is otherwise fit for route and service. If, on the other hand, the deficiency relates to a technical or operational-related deficiency that is unrelated to passenger carriage (e.g., the bilge pump is inoperable) than a “700” series code should NOT be used.
- 4) Action “30 – Ship Detained” is a control action that may be imposed on any in-service inspected vessel type, including Small Passenger Vessels (SPV) and barges, and should be selected when technical or operational-related deficiencies exist that individually or collectively indicate a serious failure, or lack of effectiveness, of the implementation of the SMS⁴. For vessels that do not have an SMS, “30 – Ship Detained” should be selected when objective evidence indicates that a serious substandard condition is not being *proactively managed*⁵ by the Company, vessel owner, and/or operator. When a “30 – Ship Detained” is selected, the vessel is considered to be under Flag State Detention⁶ and a corresponding MISLE operational control must be assigned. Examples of detainable deficiencies and related procedures can be found in Appendix 2 of the [Procedures for Port State Control, IMO Res. A.1119\(30\)](#). It is understood that this guidance is not directly applicable to all

³ See [NVIC 2-95, Change 3](#) and [ACP TTP](#).

⁴ Includes mandatory and voluntary SMS; as well as TSMS.

⁵ “Proactively managed” means that the owner/operator was aware of the deficiency, has taken measures to mitigate any immediate effects of the deficiency, and has actively pursued rectifying the deficiency within a reasonable amount of time based on the severity.

⁶ “Flag State Detention” means a vessel is detained by the Flag Administration (e.g., U.S. flag vessel “detained” by the Coast Guard). The intent of placing a vessel under a “30 - Flag State Detention” vs. “17 – Rectify Deficiencies prior to departure” is to provide more accurate data and eliminate the confusion created by the term “No-Sail,” which has historically been too broad in application to be relied upon for meaningful data analysis.

U.S. vessels, however, it can be a valuable reference to determine the types of deficiencies that may be detainable.

- 5) Action “17 – *Rectify deficiencies prior to departure*” should be selected when serious technical or operational-related deficiencies exists, but objective evidence indicates that the deficiencies are being effectively managed in accordance with the SMS, or for vessels without an SMS, proactively managed by the Company, vessel owner, and/or operator. The vessel is permitted to transit within the Captain of the Port (COTP) zone (e.g. shift berths, go to anchor) so long as it does not pose a threat to the safety of personnel, the vessel, or the environment.
 - 6) Action “60 – *Rectify deficiencies prior to movement*” should be selected when serious technical or operational-related deficiencies exists, but objective evidence indicates that the deficiencies are being effectively managed in accordance with the SMS, or for vessels without an SMS, proactively managed by the Company, vessel owner, and/or operator. The vessel is NOT permitted to transit within the Captain of the Port (COTP) (e.g. shift berths, got to anchor) unless otherwise approved by the Coast Guard. Action 60s are to be used for significant issues related directly to the safe operation/navigation of the vessel which includes but not limited to significant propulsion issues, loss/reduction of steering, materiel conditions that pose threats to the safety of personnel, the vessel, or the environment.
 - 7) Action “10 – *Deficiency Rectified*” is a control action that should be used if the deficiency is found during the inspection and rectified prior to the completion of the inspection. “10 – *Deficiency Rectified*” should not be used if the deficiency is cleared after completing the inspection. The original resolve action shall remain and marked resolved.
 - 8) Action “705 – *Other*” should be used to annotate deficiencies only in cases where no other option is applicable. For example, “705 – Other: by next Drydock” may be appropriate for some deficiencies that can only be repaired during a shipyard period, but otherwise do not pose an immediate risk to the vessel, persons on board, or the marine environment. “705 – Other as specified” may also be used in certain circumstances to provide “flag dispensation” when necessary, to U.S. flag vessels trading overseas.
- f. **Action Code:** Select applicable action code (a, c, d, etc.).
- 1) Up to two action codes may be used per deficiency on the form (e.g., a/c). While a single action code will suffice, in some instances the OCMI may choose to use multiple codes to facilitate review or oversight of a particular deficiency that was verified by an RO. For example, the OCMI may want a copy of the RO’s report prior to clearing the deficiency. However, this should not be the default action. In most instances the deficiency should be referred, when appropriate, and cleared upon receipt of a finding number. Where a deficiency is written to “a/c” on the CG-835V, only the primary action code is to be recorded in MISLE (e.g., “a”).
 - 2) Action Code “b” has been purposely omitted on the CG-835V and is reserved for Port State Control purposes.
 - 3) Action Code “a – to the satisfaction of the RO” is all inclusive and should be selected for those deficiencies that are referred to Recognized Organizations ([33 CFR 96](#)), Authorized Classification Societies ([46 CFR 8](#)), or Third Party Organizations ([46 CFR 139](#)). In most instances, deficiencies should be referred when the certificate covering the deficient item was issued by an ACS/RO/TPO. This provides the ACS/RO/TPO the opportunity to oversee the corrective action which impacts their certificate, and the MI the opportunity to provide oversight of the ACS/RO/TPO.

- g. **SMS Related:** Check this box if technical or operational-related deficiencies exist that individually or collectively indicate a failure, or lack of effectiveness, of the implementation of the SMS or when a Code 30 (see e. 4 above) is issued. This box should be checked for vessels that have an SMS or TSMS (including those vessel's with a Statement of Voluntary Compliance (SOVC)) and only after "clear grounds" have been established, an expanded exam conducted, and objective evidence of a potential SMS failure exists (see [CVC-WI-003 \(series\) USCG Oversight of Safety Management Systems on U.S. Flag Vessels](#)). If checked, the applicable ISM Code or TSMS citation related to the deficiency should be provided in the "Cite" box in addition to any citation that may relate to a deficiency.
- h. **Security Deficiencies:** Details of security related deficiencies/violations are treated as Sensitive Security Information (SSI) and shall not be included in the narrative. To explain the details of security related deficiencies/violations beyond what was entered in the deficiency description (e.g. for vessels detained/issued a major control action), create a separate document marked in accordance with [NVIC 10-04 Part 2](#), and attach it to the activity under Documentation/Certificates and reference the document in the activity narrative.
- i. **Self-Reported:** Check this box if the deficiency was reported to the Coast Guard by the Company, the vessel owner, or the operator AND where the deficiency was determined to be proactively managed or otherwise managed in accordance with the SMS, as applicable. This box should also be checked for those deficiencies that are disclosed to the MI at the beginning of an inspection or exam when documented objective evidence is provided, as applicable. This box should not be checked if "30 – Ship detained" is assigned to the deficiency. The "30 – Ship detained" should only be used when there is objective evidence indicating a failure to proactively manage or is not being managed in accordance with the vessel's SMS, as applicable. Further, this box should not be checked if the deficiency has a marine casualty nexus that is required to be reported to the Coast Guard.⁷
- j. **Worklist Item:** This box should be checked for items issued during a shipyard period (new construction, major conversion, drydock, etc.).

F. Signature Block.

- 1. The vessel representative receiving the CG-835V should provide a printed name, signature, and email address. If the vessel representative refuses to sign, the marine inspector shall write the representative's name with the statement "Refused to sign" and endorse with the marine inspectors initials.
- 2. The appropriately qualified lead MI should provide a printed name, signature, and email address. There is additional space to insert unit contact information on the "appeals" page of the CG-835V.

G. Copies Provided To.

- 1. Select/fill out the check boxes for other parties that will receive a copy of the CG-835V.
 - a. In any case where "30 – Ship detained" is selected, the CG-835V should be forwarded to the applicable OCMI, District, Area, and Commandant (CG-CVC) as required. CG-CVC shall be notified within 4 hours for any vessel placed under Flag State Detention. Notifications should be sent to FlagStateControl@uscg.mil.
 - b. If "a – To the Satisfaction of the RO" is selected, the MI shall forward a copy of the CG-835V to the RO or TPO. If more than one RO is involved with a vessel, the MI should pay close

⁷ Refer to [46 CFR 4.05-1](#)

attention that the CG-835V is forwarded to the RO(s) or TPO that fulfills the statutory certification and services related to the deficiency.

- c. The “Other” notification block may be used to inform other interested parties (e.g., BSEE, FCC, EPA, etc.).



Captain, U.S. Coast Guard
Office of Commercial Vessel Compliance
By direction