



United States Coast Guard

MTSA FACILITY COMPLIANCE GUIDE

Name of Facility/Location:	Facility Type:
Facility ID Number:	MISLE Activity Number:
Inspection Type – Full or Spot Check:	Areas Inspected: (ex. G-14, N-28-30 or All)
Date(s) Conducted:	
Facility Security Officer Name:	Date & Time FSO Contacted:
Facility Inspectors:	
1.	2.
3.	4.

Guidance for completing the *MTSA Facility Compliance Guide (checklist)* –

Coast Guard facility inspectors and facility security officers (FSOs) shall complete the checklist by verifying and, when applicable, demonstrating each item contained therein. Each inspected item contained in the guide (checklist) must be notated as one of the following:

- Sat* – Item Satisfactorily meets requirements contained in the guide and referenced regulations
- N/O* – Item was Not Observed during this inspection
- N/A* – Item is Not Applicable to this facility or inspection
- Fail* – Item was found to be unsatisfactory and therefore Failed inspection

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A. Compliance Documentation 33 CFR 105.120 (Spot Check Item)		SAT	N/O	N/A	FAIL
.120(a)	Approved Facility Security Plan (FSP), any approved revisions or amendments thereto, and Letter of Approval (LOA) from the COTP dated within the last 5 years;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.120(b)	FSP submitted for approval and an acknowledgement letter from COTP; OR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.120(c)	An approved Alternative Security Program (ASP) as provided in 105.140: must have a copy of the ASP the facility is using, as specified in 101.120(b)(3) of this subchapter, and a letter signed by the facility owner or operator certifying the facility is in full compliance with that program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Note: Also Review the Facility Specific Security Assessment (FSA) report and CG-6025 for any changes or updates.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. Non-Compliance 33 CFR 105.125 (Spot Check Item)		SAT	N/O	N/A	FAIL
.125 - Conditions existing (if any):					
1)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Conditions met?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- COTP notified of non-compliance?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C. Waivers & Equivalents 33 CFR 105.130 & 105.135 (Spot Check Item)		SAT	N/O	N/A	FAIL
.130	Approval letter for <i>Waiver(s)</i> from Commandant (CG-5442)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.135	Approval letter for <i>Equivalent(s)</i> from Commandant (CG-5442), as provided in 101.130 of this subchapter.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D. Maritime Security (MARSEC) Directives 33 CFR 105.145		SAT	N/O	N/A	FAIL
.145	Verify the facility owner or operator has complied with and incorporated the instructions contained in a MARSEC Directive issued under 101.405 of this subchapter into the FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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E. Facility Security Officer (FSO) 33 CFR 105.205 (Spot Check Item)	SAT	N/O	N/A	FAIL
Name of FSO: _____				
FSO Contact Information: Primary phone number: () - _____				
Secondary phone number: () - _____				
<i>.205(a) General:</i>				
(1) If the Facility Security Officer (FSO) performs other duties within the organization, Verify he or she is able to perform the duties and responsibilities required of the FSO.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) If the FSO serves more than one facility, Verify the facilities are in the same COTP zone, are not more than 50 miles apart, and the name of each facility is listed in the FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Verify if the FSO has assigned security duties to other facility personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Verify the FSO has maintained a TWIC .	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>.205(b) Qualifications:</i>				
(1) Verify the FSO must have general knowledge through training or equivalent job experience, in the following:				
(i) Facility security organization;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii) General vessel and facility operations and conditions;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Vessel and facility security measures, including the meaning and the requirements of the different MARSEC Levels ;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv) Emergency preparedness, response, and contingency planning;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v) Security equipment and systems and their operational limitations; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi) Methods of conducting audit, inspections, control, and monitoring techniques.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Verify the FSO must have knowledge of and receive training in the following, as appropriate:				
(i) Relevant international laws and codes, and recommendations;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Relevant government legislation and regulations;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Responsibilities and functions of local, State, and Federal law enforcement agencies;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv) Security assessment methodology;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v) Methods of facility security surveys and inspections;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(vi) Instruction techniques for security training and educations, including security measures and procedures;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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E. Facility Security Officer (FSO) 33 CFR 105.205 (Spot Check Item)		SAT	N/O	N/A	FAIL
.205(b)(2) <i>(con't)</i>	(vii) Handling sensitive security (SSI) information and security related communications;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(viii) Current security threats and patterns:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(ix) Recognizing and detecting dangerous substances and devices;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(x) Recognizing characteristics and behavioral patterns of persons who are likely to threaten security;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(xi) Techniques used to circumvent security measures;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(xii) Conducting physical searches and non-intrusive inspections;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(xiii) Conducting security drills and exercises, including exercises with vessels;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(xiv) Assessing security drills and exercises; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(xv) Knowledge of <i>TWIC</i> requirements.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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F. Facility Personnel With Security Duties		SAT	N/O	N/A	FAIL
33 CFR 105.210 (Spot Check Item)					
.210	Verify that personnel with security duties are familiar with the FSP and relevant portions of the regulations. These personnel must have general knowledge through training or equivalent job experience in the following:				
.210(a)	Current security threats and patterns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(b)	Recognition and detection of dangerous substances and devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(c)	Recognition of characteristics and behavioral patterns of persons who are likely to threaten security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(d)	Techniques used to circumvent security systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(e)	Crowd management and control techniques	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(f)	Security-related communications (including the handling of SSI)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(g)	Knowledge of emergency procedures and contingency plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(h)	Operation of security equipment and systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(i)	Testing, calibration, operation, and maintenance of security equipment and systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(j)	Inspection, control, and monitoring techniques	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(k)	Relevant provisions of the FSP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(l)	Methods of physical screening of persons, personal effects, baggage, cargo, and vessel stores	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(m)	The meaning and the consequential requirements of the different MARSEC levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.210(n)	Familiarity with all relevant aspects of the <i>TWIC</i> program and how to carry them out	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

G. Security Training for all other Facility Personnel		SAT	N/O	N/A	FAIL
33 CFR 105.215 (Spot Check Item)					
.215	Verify that all other personnel are familiar with FSP and relevant portions of the regulations. These personnel must have general knowledge through training or equivalent job experience in the following:				
.215(a)	Relevant provisions of the FSP & meaning of different MARSEC levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.215(b)	Relevant meaning of the different MARSEC levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.215(c)	Recognition & detection of dangerous substances and devices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.215(d)	Recognition of characteristics and behavioral patterns of persons who are likely to threaten security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.215(e)	Techniques used to circumvent security measures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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G. Security Training for all other Facility Personnel 33 CFR 105.215 (Spot Check Item)	SAT	N/O	N/A	FAIL
.215(f) Familiarity with all relevant aspects of the <i>TWIC</i> program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

H. Drill & Exercise Requirements 33 CFR 105.220	SAT	N/O	N/A	FAIL
.220(a) <i>General:</i> (1) Verify the drills & exercises test the proficiency of facility personnel in assigned security duties at all MARSEC Levels and the effective implementation of the FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) A drill or exercise required by this section may be satisfied with the implementation of security measures required by the FSP as the result of an increase in the MARSEC Level, provided the facility reports attainment to the cognizant COTP. <i>If so, Date/Type:</i> _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.220(b) <i>Drills:</i> (1) Review Drill Log to ensure that at least one security drill is conducted every 3 months. -Date/Type of last drill: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Verify the drills tested individual elements of the FSP, which included response to security threats and incidents.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.220(c) <i>Exercises:</i> (1) Review Exercise Log to ensure exercises are conducted at least once each calendar year, with no more than 18 months between exercises. -Date/Type of last exercise: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Note which exercise(s) were used:				
(i) Full scale or live;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Tabletop simulation or seminar;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Combined with other appropriate exercise; or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv) Combination of elements in paragraphs (c)(2)(i) – (iii) of this section.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I. Facility Recordkeeping Requirements 33 CFR 105.225	SAT	N/O	N/A	FAIL
.225(a) Verify the FSO has kept records of the activities for <i>at least 2 years</i> and makes them available to the Coast Guard upon request.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.225(b) Review records to ensure all of the following are recorded and protected accordingly (if kept in electronic format):				

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I. Facility Recordkeeping Requirements 33 CFR 105.225		SAT	N/O	N/A	FAIL
(1) Training records for facility personnel with security duties ONLY <i>(those personnel covered in 33 CFR 105.210)</i>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Drills and Exercises		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Incidents and Breaches of Security		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Change in MARSEC Levels		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5) Maintenance, calibration, and testing of security equipment		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(6) Security Threats		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(7) Declaration of Security (DoS)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(8) Annual audit of the FSP/ASP		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Verify letter certified by the FSO states date the annual completed		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Verify that past audit findings are addressed		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.225(c) Verify that the records required by this part are protected from unauthorized access or disclosure in accordance with SSI procedures		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

J. MARSEC Level Coordination and Implementation 33 CFR 105.230 (Spot Check Item)		SAT	N/O	N/A	FAIL
.230(a) Ensure facility is operating at proper MARSEC level in effect for the Port, and Review procedures outlined in FSP for current MARSEC Level.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.230(b) Review the procedures for changes in MARSEC levels:					
(1) Verify notifications are made to vessels moored to or to arrive w/in 96 hours at facility of MARSEC change and the DoS is revised as necessary;		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Verify facility complies with required additional security measures within 12 hours; and		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Verify reports of compliance or non-compliance are made to the COTP.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.230(c) Review procedures for MARSEC Levels 2 & 3 that details how all facility personnel are informed about identified threats, and that emphasize reporting procedures/increased vigilance AS OUTLINED IN THE FSP.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.230(d) Ensure the FSP has procedures in place if the facility is not in compliance with the requirements of this section such as informing the COTP and obtaining approval prior to vessel interface or continuing operations.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.230(f) Review procedures for MARSEC Level 3 that in addition to requirements of this part, the facility may be required to implement additional measure, pursuant to 33 CFR part 6, 160 or 165, as appropriate, which may include but are not limited to the following AS OUTLINED IN THE FSP:		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Use of waterborne security patrol;		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Use of armed security personnel to control access to the facility; and		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Examination of piers, wharves and similar structures at the facility for the presence of dangerous substances, devices or other threats.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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K. Communications 33 CFR 105.235		SAT	N/O	N/A	FAIL
.235(a)	Verify the FSO has means to effectively notify personnel of changes of security conditions at the facility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.235(b)	Verify that communications systems and procedures allow effective and continuous communications between the facility security personnel, vessels interfacing w/facility, the COTP and authorities w/security responsibilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.235(c)	Verify that each active facility access point provides a means of contacting police, security control, or an emergency operations center.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.235(d)	Verify that the communications systems have a backup means for both internal and external communications.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

L. Declaration of Security 33 CFR 105.225 and 105.245		SAT	N/O	N/A	FAIL
.225(b)	(7) Verify that a copy of each single-visit DoS and a copy of each continuing DoS are kept with the FSP for at least 90 days after the end of its effective period.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.245(e)	Verify that at MARSEC Level 1 & 2 , if the facility has implemented a continuing DoS, the FSO must <i>ensure</i> that:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(1) The DoS is valid for a specific MARSEC Level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(2) The effective period at MARSEC Level 1 does not exceed 90 days	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(3) The effective period at MARSEC Level 2 does not exceed 30 days	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.245(f)	Verify the FSO is aware that when the MARSEC Level increases beyond that contained in a continuing DoS, it is then void, and a new DoS must be executed per this section.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

M. Security Systems and Equipment Maintenance 33 CFR 105.250 (Spot Check Item)		SAT	N/O	N/A	FAIL
.250(a)	Verify that security systems and equipment are in good working order and inspected, tested, calibrated, and maintained according to manufacturers' recommendations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.250(b)	Verify that security systems are regularly tested IAW the manufacturer's recommendations; noted deficiencies corrected promptly; and the results recorded as required by 105.225 of this subpart.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.250(c)	Verify the procedures used for identifying and responding to security and equipment failures or malfunctions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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N. Security Measures for Access Control 33 CFR 105.255 [and 105.257] (Spot Check Item)		SAT	N/O	N/A	FAIL
.255(f)	Verify procedures at MARSEC Level 1 to ensure that security measures relating to access control are implemented AS OUTLINED IN THE FSP, these procedures include those that:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(1) Demonstrate that the TWIC program is fully implemented and maintained;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Screen persons, baggage, personal effects, and vehicles, for dangerous substances and devices at the rate specified in the approved FSP;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(3) Conspicuously post signs that describe security measures currently in effect and clearly state that: (i) Entering the facility is deemed valid consent to screening or inspection; and (ii) Failure to consent or submit to screening or inspection will result in denial or revocation of authorization to enter;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(4) Check the identification of any person not holding a TWIC seeking to enter the facility, including vessel passengers and crew, vendors, government authorities, and visitors per means listed in .255(f)(4)(i)-(vi);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(5) Deny or revoke a person’s authorization to be on facility if the person is unable or unwilling to provide identity or account for his or her presence;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(6) Designate restricted areas and provide appropriate access controls for these areas;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(7) Identify access points that must be secured or attended to deter unauthorized access;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(8) Deter unauthorized access to the facility and to designated restricted areas within the facility;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(9) Screen by hand or device, such as x-ray, all unaccompanied baggage prior to loading onto a vessel; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(10) Secure unaccompanied baggage after screening in a designated restricted area and maintain security control during transfers between facility and vessel.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.255(g)	Review procedures for MARSEC Level 2 to ensure that security measures relating to access control can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.255(h)	Review procedures for MARSEC Level 3 to ensure that security measures relating to access control can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

O. Security Measures for Newly-Hired Employees 33 CFR 105.257 (Spot Check Item)		SAT	N/O	N/A	FAIL
.257(a)- (b)&(d)	Verify that the facility owner or operator or the FSO ensures the implementation of the TWIC rules for all newly-hired employees in accordance with this section AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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O. Security Measures for Newly-Hired Employees 33 CFR 105.257 (Spot Check Item)	SAT	N/O	N/A	FAIL
.257(c) Verify that the owner or operator acknowledges that this section does not apply to any person being hired as an FSO or any person being hired to perform facility security duties.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

P. Security Measures for Restricted Areas 33 CFR 105.260 (Spot Check Item)	SAT	N/O	N/A	FAIL
.260(c) Verify procedures to ensure that security measures relating to restricted area access control are implemented AS OUTLINED IN THE FSP. These procedures include those that:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(1) Identify which facility personnel are authorized access;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Determine which persons other than facility personnel are authorized to have access;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Determine the conditions under which that access may take place;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Define the extent of any restricted area;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5) Define the times when access restrictions apply;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(6) Clearly mark all restricted areas, indicating that access is restricted and that unauthorized presence within the area constitutes a breach of security;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(7) Control the entry, parking, loading and unloading of vehicles;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(8) Control the movement and storage of cargo and vessel stores; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(9) Control unaccompanied baggage or personnel effects.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.260(d) Verify procedures at MARSEC Level 1 to ensure that security measures relating to restricted areas are implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.260(e) Review procedures for MARSEC Level 2 to ensure that security measures relating to restricted areas can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.260(f) Review procedures for MARSEC Level 3 to ensure that security measures relating to restricted areas can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Q. Security Measures for Handling Cargo 33 CFR 105.265 (Spot Check Item)		SAT	N/O	N/A	FAIL
.265(b)	Verify procedures at MARSEC Level 1 to ensure that security measures relating to handling cargo are implemented AS OUTLINED IN THE FSP. These procedures include those that:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(1) Routinely check cargo, cargo transport units, and cargo storage areas within the facility prior to, and during, cargo handling operations for evidence of tampering;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Check that cargo, containers, or other cargo transport units entering the facility match the delivery note or equivalent cargo documentation;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(3) Screen vehicles; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(4) Check seals and other methods used to prevent tampering upon entering the facility and upon storage within the facility.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.265(c)	Review procedures for MARSEC Level 2 to ensure that security measures relating to handling of cargo can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.265(d)	Review procedures for MARSEC Level 3 to ensure that security measures relating to handling of cargo can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

R. Security Measures for Delivery of Vessel Stores and Bunkers 33 CFR 105.270 (Spot Check Item)		SAT	N/O	N/A	FAIL
.270(b)	Verify procedures at MARSEC Level 1 to ensure that security measures relating to delivery of vessel stores and bunkers are implemented AS OUTLINED IN THE FSP, these procedures must include those that:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(1) Screen stores at rate specified in FSP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Require advance notification of vessel stores or bunkers delivery, including a list of stores, delivery vehicle driver and vehicle registration information;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(3) Screen delivery vehicles at rate specified in FSP;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(4) Escort delivery vehicles within the facility at rate specified in FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.270(c)	Review procedures for MARSEC Level 2 to ensure that security measures relating to delivery of vessel stores and bunkers can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.270(d)	Review procedures for MARSEC Level 3 to ensure that security measures relating to delivery of vessel stores and bunkers can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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S. Security Measures for Monitoring 33 CFR 105.275 (Spot Check Item)	SAT	N/O	N/A	FAIL
.275(b) Verify procedures at MARSEC Level 1 to ensure that security measures relating to monitoring are implemented AS OUTLINED IN THE FSP. These procedures include those that:				
(1) When automatic intrusion-detection devices are used, that they activate an audible or visual alarm, or both, at a location that is continuously attended or monitored;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Is able to function continually, including consideration of the possible effects of weather or of a power disruption;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Monitors the facility area, including shore and waterside access to it;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Monitors access points, barriers and restricted areas;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5) Monitors access and movement adjacent to vessels using the facility, including augmentation of lighting provided by the vessel itself; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(6) Limits lighting effects, such as glare, and their impact on safety, navigation, and other security activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.275(c) Review procedures for MARSEC Level 2 to ensure that security measures relating to monitoring can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.275(d) Review procedures for MARSEC Level 3 to ensure that security measures relating to monitoring can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

T. Security Incident Procedures 33 CFR 105.280	SAT	N/O	N/A	FAIL
.280(a) Verify procedures for responding to security threats or breaches of security and maintaining critical facility and vessel-to-facility interface.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.280(c) Review procedures for reporting security incidents as required in 101.305 of this subchapter.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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U. Passenger and Ferry Facilities Only 33 CFR 105.285 (Spot Check Item)		SAT	N/O	N/A	FAIL
.285(a)	Verify that at all MARSEC Levels , the facility ensures that the following security measures are implemented in addition to the requirements of this part:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(1) Areas are established to segregate unchecked persons and effects from checked persons and effects;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(2) A defined percentage of vehicles are being screened IAW the MARSEC Directive and FSP/ASP;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(3) All unaccompanied vehicles to be loaded onto passenger vessels are screened prior to loading;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(4) Security personnel control access to restricted areas; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(5) In a facility with a public access area designated under 105.106, provide sufficient security personnel to monitor all persons within the area.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.285(b)	Review procedures for MARSEC Level 2 to ensure that security measures relating to passenger or ferry facilities can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.285(c)	Review procedures for MARSEC Level 3 to ensure that security measures relating to passenger or ferry facilities can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

V. Cruise Ship Terminals Only 33 CFR 105.290 (Spot Check Item)		SAT	N/O	N/A	FAIL
.290	Verify that at all MARSEC Levels , in coordination with the vessel moored at the facility, that the owner or operator has procedures that ensure the following security measures in addition to the requirements of this part:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.290(a)	Screening all persons, baggage, and all personal effects for dangerous substances and devices;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.290(b)	Checking personnel identification, including the applicable TWIC rules;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.290(c)	Designating holding, waiting, or embarkation areas to segregate screened persons and their personal effects;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.290(d)	Providing additional security personnel to designated holding, waiting, or embarkation areas within the facility's secure area; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.290(e)	Denying individuals not holding a TWIC access to secure and restricted areas unless escorted.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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W. Certain Dangerous Cargo (CDC) Facilities Only 33 CFR 105.295 (Spot Check Item)		SAT	N/O	N/A	FAIL
.295(a)	Verify that at all MARSEC Levels , that the owner or operator of a CDC facility has procedures that ensure the implementation of the following security measures in addition to the requirements of this part:				
	(1) Escorting all visitors, contractors, vendors, and other non-facility employees;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Controlling parking, loading and unloading of vehicles within a facility;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(3) Requiring security personnel to record or report their presence at key points during security patrols;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(4) Searching key areas prior to vessel arrivals; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(5) Providing an alternate or independent power source for security and communications systems.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.295(b)	Review procedures for MARSEC Level 2 to ensure that security measures relating to CDC facilities can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.295(c)	Review procedures for MARSEC Level 3 to ensure that security measures relating to CDC facilities can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

X. Barge Fleeting Facilities Only* 33 CFR 105.296 (Spot Check Item)		SAT	N/O	N/A	FAIL
.296(a)	Verify that at MARSEC Level 1 , in addition to the requirements of this part, an owner or operator of a barge fleeting facility has procedures that ensure the implementation of the following security measures:				
	(1) Designating one or more restricted areas within the barge fleeting facility to handle those barges carrying, in bulk, cargoes regulated by 46 CFR chapter I, subchapters D or O, or Certain Dangerous Cargoes;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Maintaining a current list of vessels and cargoes in the designated restricted area;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(3) Ensuring that at least one towing vessel is available to service the fleeting facility for every 100 barges within the facility;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(4) Controlling access to the barges once tied to the fleeting area by implementing TWIC as described in 105.255 of this part.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.296(b)	Review procedures for MARSEC Level 2 to ensure that security measures relating to barge fleeting facilities can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
.296(c)	Review procedures for MARSEC Level 3 to ensure that security measures relating to barge fleeting facilities can be implemented AS OUTLINED IN THE FSP.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Barge fleeting facilities are exempt from Security Measures for Handling Cargo and Security Measures for Delivery of Vessel Stores and Bunkers*

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Notes on Deficiencies

Two distinct types of deficiencies may be identified when utilizing this compliance checklist:

1. *Facility is not operating in accordance with its approved/submitted FSP or ASP* – This type of deficiency is addressed utilizing a range of enforcement and compliance measures, from Lesser Administrative Actions (work lists, etc.), up to and including more significant measures such as Notice of Violations, Civil Penalties, and Operational Controls, which may restrict facility operations.
2. *Facility is operating in accordance with its approved/submitted FSP or ASP, but plan does not meet the specific performance criteria outlined in the regulations* – This type of deficiency must be addressed through the plan amendment guidance as set forth in 33 CFR 105.415 (*excerpt provided below*).

“(a) Amendments to a Facility Security Plan (FSP) that is approved by the cognizant COTP may be initiated by”... “(ii) the cognizant COTP upon a determination that an amendment is needed to maintain the facility’s security. The cognizant COTP will give the facility owner or operator written notice and request that the facility owner or operator propose amendments addressing any matters specified in the notice. The facility owner or operator will have at least 60 days to submit their proposed amendments. Until amendments are approved, the facility owner or operator shall ensure temporary security measures are implemented to the satisfaction of the COTP.”

Generally, items in the checklist beginning with “*verify procedures*” indicate issues requiring plan amendments. These sections include, but are not limited to:

- Facility personnel with security duties
- Facility personnel without security duties
- Facility recordkeeping requirements
- Communications
- Declaration of Security (DoS)
- Security systems and equipment maintenance
- Security measures for access control
- Security measures for newly-hired employees
- Security measures for restricted areas
- Security measures for handling cargo
- Security measures for delivery of vessel stores and bunkers
- Security measures for monitoring
- Security incident procedures

(Inspection Summary form included on next page)

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Inspection Summary

<i>Discrepancy Description</i>	<i>Cite</i>	<i>Corrective Action</i>	<i>Due Date</i>

Comments:

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