

## **Appendix L**

### **Ballast Water Management Regulations (33 CFR Part 151 Subpart D)**

## **Title 33 CFR, Part 151, Subpart D: Ballast Water Management for Control of Non-Indigenous Species in Waters of the United States**

### **Title 33: Navigation and Navigable Waters**

**PART 151—VESSELS CARRYING OIL, NOXIOUS LIQUID SUBSTANCES, GARBAGE, MUNICIPAL OR COMMERCIAL WASTE, AND BALLAST WATER**

### **Subpart D—Ballast Water Management for Control of Nonindigenous Species in Waters of the United States**

**Authority:** 16 U.S.C. 4711; Department of Homeland Security Delegation No. 0170.1.

**Source:** USCG–1998–3423, 64 FR 26682, May 17, 1999, unless otherwise noted.

#### **§ 151.2000 What is the purpose of this subpart?**

This subpart implements the provisions of the Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990 (NANPCA) (16 U.S.C. 4701–4751), as amended by the National Invasive Species Act of 1996 (NISA).

#### **§ 151.2005 To which vessels does this subpart apply?**

Unless exempted in §151.2010 or §151.2015, this subpart applies to all vessels, U.S. and foreign, equipped with ballast tanks, that operate in the waters of the United States and are bound for ports or places in the United States.

[USCG–2002–13147, 69 FR 32869, June 14, 2004]

#### **§ 151.2007 What are the penalties for violations of the mandatory provisions of this subpart?**

A person who violates this subpart is liable for a civil penalty not to exceed \$ 27,500. Each day of a continuing violation constitutes a separate violation. A vessel operated in violation of the regulations is liable in rem for any civil penalty assessed under this subpart for that violation.

A person who knowingly violates the regulations of this subpart is guilty of a class C felony.

[USCG–2002–13147, 69 FR 32869, June 14, 2004]

#### **§ 151.2010 Which vessels are exempt from the mandatory requirements?**

Three types of vessels are exempt from the requirements in §§151.2040 and 151.2045:

A crude oil tanker engaged in the coastwise trade.

A Department of Defense or Coast Guard vessel subject to the requirements of section 1103 of the Act, or any vessel of the Armed Forces, as defined in the Federal Water Pollution Control Act (33 U.S.C. 1322(a)) that is subject to the “Uniform National Discharge Standards for Vessels of the Armed Forces” (33 U.S.C. 1322(n)).

A vessel that operates exclusively within one Captain of the Port (COTP) Zone.

[USCG–1998–3423, 64 FR 26682, May 17, 1999, as amended at 66 FR 58391, Nov. 21, 2001; USCG–2002–13147, 69 FR 32869, June 14, 2004]

**§ 151.2015 Is a vessel in innocent passage exempt from the mandatory requirements?**

A foreign vessel merely traversing the territorial sea of the U.S. (*i.e.*, not entering or departing a U.S. port, or not navigating the internal waters of the U.S.) is exempt from the requirements of this subpart.

[USCG–2003–14273, 69 FR 44961, July 28, 2004]

**§ 151.2025 What definitions apply to this subpart?**

Unless otherwise stated in this section, the definitions in 33 CFR 151.1504, 33 CFR 160.203, and the United Nations Convention on the Law of the Sea apply to this part.

As used in this part—

*ANSTF* means the Aquatic Nuisance Species Task Force mandated under the Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990 (NANPCA).

*Ballast tank* means any tank or hold on a vessel used for carrying ballast water, whether or not the tank or hold was designed for that purpose.

*Captain of the Port (COTP)* means the Coast Guard officer designated as the COTP, or a person designated by that officer, for the COTP zone covering the U.S. port of destination. These COTP zones are listed in 33 CFR part 3.

*Exchange* means to replace the water in a ballast tank using one of the following methods:

*Flow through exchange* means to flush out ballast water by pumping in mid-ocean water at the bottom of the tank and continuously overflowing the tank from the top until three full volumes of water has been changed—to minimize the number of original organisms remaining in the tank.

*Empty/refill exchange* means to pump out the ballast water taken on in ports, estuarine, or territorial waters until the tank is empty, then refilling it with mid-ocean water; masters/operators should pump out as close to 100 percent of the ballast water as is safe to do so.

*Exclusive Economic Zone (EEZ)* means the area established by Presidential Proclamation Number 5030, dated March 10, 1983 (48 FR 10605, 3 CFR, 1983 Comp., p. 22) which extends from the base line of the territorial sea of the United States seaward 200 miles, and the equivalent zone of Canada.

*IMO guidelines* mean the Guidelines for the Control and Management of Ships' Ballast Water to Minimize the Transfer of Harmful Aquatic Organisms and Pathogens (IMO Resolution A.868 (20), adopted November 1997).

*NANPCA* means the Nonindigenous Aquatic Nuisance Prevention and Control Act of 1990.

*NBIC* means the National Ballast Water Information Clearinghouse operated by the Coast Guard and the Smithsonian Environmental Research Center as mandated under NISA.

*NISA* means the National Invasive Species Act of 1996, which reauthorized and amended NANPCA.

*Port or place of departure* means any port or place in which a vessel is anchored or moored.

*Port or place of destination* means any port or place to which a vessel is bound to anchor or moor.

*United States* means the States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands.

*Voyage* means any transit by a vessel destined for any United States port or place.

*Waters of the United States* means waters subject to the jurisdiction of the United States as defined in 33 CFR §2.38, including the navigable waters of the United States. For this regulation, the navigable waters include the territorial sea as extended to 12 nautical miles from the baseline, pursuant to Presidential Proclamation No. 5928 of December 27, 1988.

[USCG–1998–3423, 64 FR 26682, May 17, 1999, as amended by USCG–2003–15404, 68 FR 37741, June 25, 2003; USCG–2002–13147, 69 FR 32869, June 14, 2004; USCG–2003–14273, 69 FR 44961, July 28, 2004]

**§ 151.2030 Who is responsible for determining when to use the safety exemption?**

The master, operator, or person-in-charge of a vessel is responsible for the safety of the vessel, its crew, and its passengers.

The master, operator, or person-in-charge of a vessel is not required to conduct a ballast water management practice (including exchange), if the master decides that the practice would threaten the safety of the vessel, its crew, or its passengers because of adverse weather, vessel design limitations, equipment failure, or any other extraordinary conditions. If the master uses this section, and the—

Vessel is on a voyage to the Great Lakes or Hudson River, the vessel must comply with the requirements of §151.1514 of subpart C of this part (Ballast water management alternatives under extraordinary conditions); or

Vessel is on a voyage to any port other than the Great Lakes or Hudson River, the vessel shall not be required to perform a ballast water management practice which the master has found to threaten the safety of the vessel, its crew, or its passengers because of adverse weather, vessel design limitations, equipment failure, or any other extraordinary conditions.

Nothing in this subpart relieves the master, operator, or person-in-charge of a vessel, of the responsibility for ensuring the safety and stability of the vessel or the safety of the crew and passengers, or any other responsibility.

**§ 151.2035 What are the required ballast water management practices for my vessel?**

Masters, owners, operators, or persons-in-charge of all vessels equipped with ballast water tanks that operate in the waters of the U.S. must:

Avoid the discharge or uptake of ballast water in areas within or that may directly affect marine sanctuaries, marine preserves, marine parks, or coral reefs.

Minimize or avoid uptake of ballast water in the following areas and situations:

Areas known to have infestations or populations of harmful organisms and pathogens (e.g., toxic algal blooms).

(ii) Areas near sewage outfalls.

(iii) Areas near dredging operations.

(iv) Areas where tidal flushing is known to be poor or times when a tidal stream is known to be more turbid.

(v) In darkness when bottom-dwelling organisms may rise up in the water column.

(vi) Where propellers may stir up the sediment.

(vii) Areas with pods of whales, convergence zones, and boundaries of major currents.

- (3) Clean the ballast tanks regularly to remove sediments. Clean the tanks in mid-ocean or under controlled arrangements in port, or at dry dock. Dispose of your sediments in accordance with local, State, and Federal regulations.
- (4) Discharge only the minimal amount of ballast water essential for vessel operations while in the waters of the United States.
- (5) Rinse anchors and anchor chains when you retrieve the anchor to remove organisms and sediments at their place of origin.
- (6) Remove fouling organisms from hull, piping, and tanks on a regular basis and dispose of any removed substances in accordance with local, State and Federal regulations.
- (7) Maintain a ballast water management plan that has been developed specifically for the vessel that will allow those responsible for the plan's implementation to understand and follow the vessel's ballast water management strategy.
- (8) Train the master, operator, person-in-charge, and crew, on the application of ballast water and sediment management and treatment procedures.

(b) In addition to the provisions of paragraph (a) of this section, if the vessel carries ballast water that was taken on in areas less than 200 nautical miles from any shore into the waters of the U.S. after operating beyond the Exclusive Economic Zone, you (the master, operator, or person-in-charge of a vessel) must employ at least one of the following ballast water management practices:

Perform complete ballast water exchange in an area no less than 200 nautical miles from any shore prior to discharging ballast water in U.S. waters;

Retain ballast water onboard the vessel; or

Prior to the vessel entering U.S. waters, use an alternative environmentally sound method of ballast water management that has been approved by the Coast Guard.

[USCG–1998–3423, 64 FR 26682, May 17, 1999, as amended at 66 FR 58391, Nov. 21, 2001; USCG–2003–14273, 69 FR 44961, July 28, 2004; USCG–2002–14273, 69 FR 60309, Oct. 8, 2004]

**§ 151.2036 If my voyage does not take me into waters 200 nautical miles or greater from any shore, must I divert to conduct a ballast water exchange?**

A vessel will not be required to deviate from its voyage, or delay the voyage, in order to conduct a ballast water exchange.

[USCG–2003–14273, 69 FR 44961, July 28, 2004]

**§ 151.2037 If my vessel cannot conduct ballast water management practices because of its voyage and/or safety concerns, will I be prohibited from discharging ballast water?**

A vessel that cannot practicably meet the requirements of §151.2035(b)(1) because its voyage does not take it into waters 200 nautical miles or greater from any shore for a sufficient length of time and elects to retain ballast water on board, or because of the safety concerns contained in §151.2030, will not be prohibited from the discharge of ballast water in areas other than the Great Lakes and the Hudson River. However, the vessel must discharge only that amount of ballast water operationally necessary to ensure the safety of the vessels for cargo operations and make ballast water records available to the local Captain of the Port upon request.

A vessel that cannot practicably meet the requirements of §151.2035(b)(3) because its alternative environmentally sound ballast water management method is inoperable must employ one of the other ballast water management practices stated in §151.2035(b). If the vessel cannot employ other ballast water management practices due to voyage or safety concerns, the vessel will not be prohibited from the discharge of ballast water in areas other than the Great Lakes and the Hudson River. However, the vessel must discharge only that amount of ballast water operationally necessary to ensure the safety of the vessels for cargo operations and make ballast water records available to the local Captain of the Port upon request.

[USCG–2003–14273, 69 FR 44961, July 28, 2004]

**§ 151.2040 What are the mandatory ballast water management requirements for vessels equipped with ballast tanks that operate in the waters of the United States and are bound for ports or places in the United States?**

A vessel bound for the Great Lakes or Hudson River, which has operated beyond the EEZ (which includes the equivalent zone of Canada) during any part of its voyage regardless of intermediate ports of call within the waters of the United States or Canada, must comply with §§151.2041 and 151.2045 of this subpart, as well as with the provisions of subpart C of this part.

A vessel engaged in the foreign export of Alaskan North Slope Crude Oil must comply with §§151.2041 and 151.2045 of this subpart, as well as with the provisions of 15 CFR 754.2(j)(1)(iii). Section 15 CFR 754.2(j)(1)(iii) requires a mandatory program of deep water ballast exchange unless doing so would endanger the safety of the vessel or crew.

A vessel not covered by paragraphs (a) or (b) of this section and is bound for ports or places in the United States must comply with §§151.2041 and 151.2045 of this subpart.

This subpart does not authorize the discharge of oil or noxious liquid substances (NLS) in a manner prohibited by United States or international laws or regulations.

Ballast water carried in any tank containing a residue of oil, NLS, or any other pollutant must be discharged in accordance with applicable regulations.

This subpart does not affect or supercede any requirement or prohibition pertaining to the discharge of ballast water into the waters of the United States under the Federal Water Pollution Control Act (33 U.S.C. 1251 to 1376).

[USCG–2002–13147, 69 FR 32869, June 14, 2004]

**§ 151.2041 What are the mandatory ballast water reporting requirements for all vessels equipped with ballast tanks bound for ports or places of the United States?**

Ballast water reporting requirements exist for each vessel bound for ports or places of the United States regardless of whether a vessel operated outside of the EEZ (which includes the equivalent zone of Canada), unless exempted in §§151.2010 or 151.2015.

The master, owner, operator, agent, or person-in-charge of a vessel to whom this section applies must provide the information required by §151.2045 in electronic or written form (OMB form Control No. 1625–0069) to the Commandant, U.S. Coast Guard or the appropriate COTP as follows:

For any vessel bound for the Great Lakes from outside the EEZ (which includes the equivalent zone of Canada).

You must fax the required information at least 24 hours before the vessel arrives in Montreal, Quebec to either the USCG COTP Buffalo, Massena Detachment (315–769–5032), or the St. Lawrence Seaway Development Corporation (315–764–3250); or

(ii) If you are not a U.S. or Canadian Flag vessel, you may complete the ballast water information section of the St. Lawrence Seaway required “Pre-entry Information from Foreign Flagged Vessels Form” and submit it in accordance with the applicable Seaway Notice in lieu of this requirement.

(2) For any vessel bound for the Hudson River north of the George Washington Bridge entering from outside the EEZ (which includes the equivalent zone of Canada). You must fax the information to the COTP New York (718–354–4249) at least 24 hours before the vessel enters New York, New York.

(3) For any vessel not addressed in paragraphs (b)(1) and (b)(2) of this section, which is equipped with ballast water tanks and bound for ports or places in the United States. If your voyage is less than 24 hours, you must report before departing your port or place of departure. If your voyage exceeds 24 hours, you must report at least 24 hours before arrival at your port or place of destination. All required information is to be sent to the National Ballast Information Clearinghouse (NBIC) using only one of the following means:

Internet at: <http://invasions.si.edu/NBIC/bwform.html>;

(ii) E-mail to [NBIC@BALLASTREPORT.ORG](mailto:NBIC@BALLASTREPORT.ORG);

(iii) Fax to 301-261-4319; or

(iv) Mail to U.S. Coast Guard, c/o SERC (Smithsonian Environmental Research Center), P.O. Box 28, Edgewater, MD 21037-0028.

(c) If the information submitted in accordance with this section changes, you must submit an amended form before the vessel departs the waters of the United States.

[USCG-2002-13147, 69 FR 32870, June 14, 2004; 69 FR 40767, July 7, 2004]

**§ 151.2043 Equivalent Reporting Methods for vessels other than those entering the Great Lakes or Hudson River after operating outside the EEZ or Canadian equivalent.**

For ships required to report under §151.2041 the Chief, Environmental Standards Division (G-MSO-4), acting for the Assistant Commandant for Marine Safety, Security and Environmental Protection (G-M) may, upon receipt of a written request, consider and approve alternative methods of reporting if:

Such methods are at least as effective as that required by §151.2041; and

Compliance with the requirement is economically or physically impractical.

The Chief, Environmental Standards Division (G-MSO-4) will take approval or disapproval action on the request submitted in accordance with paragraph (a) of this section within 30 days of receipt of the request.

(ii) [Reserved]

[USCG-1998-3423, 66 FR 58391, Nov. 21, 2001, as amended by USCG-2002-12471, 67 FR 41332, June 18, 2002. Redesignated and amended by USCG-2002-13147, 69 FR 32870, June 14, 2004]

**§ 151.2045 What are the mandatory recordkeeping requirements for vessels equipped with ballast tanks that are bound for a port or place in the United States?**

The master, owner, operator, or person in charge of a vessel bound for a port or place in the United States, unless specifically exempted by §§151.2010 or 151.2015 must keep written, records that include the following information (Note: Ballast tank is any tank or hold that carries ballast water regardless of design):

*Vessel information.* Include the—

Name;

(ii) International Maritime Organization (IMO) Number (official number if IMO number not issued);

(iii) Vessel type;

(iv) Owner or operator;

(v) Gross tonnage;

(vi) Call sign; and

(vii) Port of Registry (Flag).

(2) *Voyage information.* Include the date and port of arrival, vessel agent, last port and country of call, and next port and country of call.

(3) *Total ballast water information.* Include the total ballast water capacity, total volume of ballast water on board, total number of ballast water tanks, and total number of ballast water tanks in ballast. Use units of measurements such as metric tons (MT), cubic meters (m<sup>3</sup>), long tons (LT), and short tons (ST).

(4) *Ballast Water Management.* Include the total number of ballast tanks/holds that are to be discharged into the waters of the United States or to a reception facility. If an alternative ballast water management method is used, please note the number of tanks that were managed using an alternative method, as well as the type of method used. Indicate whether the vessel has a ballast water management plan and IMO guidelines on board, and whether the ballast water management plan is used.

(5) *Information on ballast water tanks that are to be discharged into the waters of the United States or to a reception facility.* Include the following:

The origin of ballast water. This includes date(s), location(s), volume(s) and temperature(s) (If a tank has been exchanged, list the loading port of the ballast water that was discharged during the exchange.).

(ii) The date(s), location(s), volume(s), method, thoroughness (percentage exchanged if exchange conducted), sea height at time of exchange if exchange conducted, of any ballast water exchanged or otherwise managed.

(iii) The expected date, location, volume, and salinity of any ballast water to be discharged into the waters of the United States or a reception facility.

(6) *Discharge of sediment.* If sediment is to be discharged within the jurisdiction of the United States include the location of the facility where the disposal will take place.

(7) *Certification of accurate information.* Include the master, owner, operator, person in charge, or responsible officer's printed name, title, and signature attesting to the accuracy of the information provided and certifying compliance with the requirements of this subpart.

(8) *Change to previously submitted information.* Indicate whether the information is a change to information previously submitted for this voyage.

(9) The master, owner, operator, or person in charge of a vessel subject to this section, must retain a signed copy of this information on board the vessel for 2 years.

(10) The information required of this subpart may be used to satisfy the ballast water recordkeeping requirements for vessels subject to §151.2040(a) and (b).

(11) A sample form and the instructions for completing the form are in the appendix to this subpart. If you complete the “Ballast Water Reporting Form” contained in the IMO Guidelines or complete the ballast water information section of the St. Lawrence Seaway required “Pre-entry Information Flagged Vessels Form,” then you have met the requirements of this section.

[USCG–1998–3423, 64 FR 26682, May 17, 1999, as amended at 66 FR 58391, Nov. 21, 2001; USCG–2002–13147, 69 FR 32870, June 14, 2004]

**§ 151.2050 What methods are used to monitor compliance with this subpart?**

The COTP may take samples of ballast water and sediment, examine documents, and make other appropriate inquiries to assess the compliance of any vessel subject to this subpart.

The master, owner, operator, or person in charge of a vessel subject to this section, shall make available to the COTP the records required by §151.2045 upon request.

The NBIC will compile the data obtained from submitted reports. This data will be used, in conjunction with existing databases on the number of vessel arrivals, to assess vessel reporting rates.

**§ 151.2055 Where are the alternate exchange zones located? [Reserved]**

**§ 151.2060 What must each application for approval of an alternative compliance technology contain? [Reserved]**

**§ 151.2065 What is the standard of adequate compliance determined by the ANSTF for this subpart? [Reserved]**

**Appendix to Subpart D of Part 151—Ballast Water Reporting Form and Instructions for Ballast Water Reporting Form**

## INSTRUCTIONS FOR BALLAST WATER REPORTING FORM

(Please write in English and PRINT legibly.)

**Is this an Amended Ballast Reporting Form?:** Check Yes or No. Amendments should be submitted if there are any differences between actual ballast discharges and discharge information reported in a prior form. Please mark "Yes" if this form amends a previously submitted ballast reporting form.

### SECTION 1. VESSEL INFORMATION

**Vessel Name:** Print the name of the vessel clearly.

**IMO Number:** Fill in identification number of the vessel used by the International Maritime Organization.

**Owner:** Write in the name of the registered owner(s) of the vessel. If under charter, enter Operator name.

**Type:** List specific vessel type. Use the following abbreviations: bulk (**bc**), ro-ro (**rr**), container (**cs**), tanker (**ts**), passenger (**pa**), oil/bulk ore (**ob**), general cargo (**gc**), reefer (**rf**). Write out any additional vessel types.

**GT:** What is the Gross Tonnage of the vessel?

**Call Sign:** Write in the official call sign.

**Flag:** Fill in the full name of the country under whose authority the ship is operating. No abbreviations please.

### SECTION 2. VOYAGE INFORMATION

**Arrival Port:** Write in the name of your first port of call after entering the U.S. EEZ or St. Lawrence Seaway. No abbreviations.

**Arrival Date:** Fill in the arrival date to the above port. Please use European date format (DDMMYY).

**Agent:** List agent used for current port.

**Last Port:** Fill in the last port at which the vessel called immediately before entering the U.S. EEZ.

No abbreviations please.

**Country of Last Port:** Fill in the last country at which the vessel called immediately before entering the U.S. EEZ.

No abbreviations please.

**Next Port:** Fill in the port at which the vessel will call immediately after departing the current port

("Current Port"="Arrival Port" above). No abbreviations please.

**Country of Next Port:** Fill in the country of "Next Port" at which the vessel will call immediately after current port. No

abbreviations please.

### SECTION 3. BALLAST WATER

**Total Ballast Water on Board:**

**Volume:** What was the total volume of ballast water on board upon arrival into the waters of U.S. EEZ? Do not count potable water.

**Units:** Please include volume units (m<sup>3</sup>, MT, LT, ST).

**Number of Tanks in Ballast:** Count the number of ballast tanks and holds with ballast as vessel enters waters inside the United States EEZ.

**Total Ballast Water Capacity:**

**Volume:** What is the maximum volume of ballast water used when no cargo is on board?

**Units:** Please include volume units (m<sup>3</sup>, MT, LT, ST).

**Total Number of Tanks on Ship:** Count all tanks and holds that can carry ballast water (do not include tanks that carry potable water).

### SECTION 4. BALLAST WATER MANAGEMENT

**Total No. of tanks to be discharged:** Count only tanks and holds with ballast to be discharged into waters inside the United States EEZ or into an approved reception facility. Count all tanks and holds separately (e.g., port and starboard tanks should be counted separately).

**Of tanks to be discharged, how many Underwent Exchange:** Count all tanks that are to be discharged into waters of the United States or into an approved reception facility.

**Of tanks to be discharged, how many Underwent Alternative Management:** Count all tanks that are to be discharged into waters of the United States or an approved reception facility.

**Please specify alternative method(s) used, if any:** Specifically, describe methods used for ballast management.

**If no ballast treatment conducted, state reason why not:** This applies to all tanks and holds being discharged into waters of the

United States or into an approved reception facility.

**Ballast Management Plan on board?:** Is there a written document on board, specific to your vessel, describing the procedure for ballast management? This should include safety and exchange procedures (usually provided by vessel's owner or operator). Check Yes or No.

**Management Plan implemented?:** Do you follow the above management plan? Check Yes or No.

**IMO Ballast Water Guidelines on board?:** Is there a copy of the International Maritime Organization (IMO) Ballast Water Guidelines on board this vessel (i.e. "Guidelines for the Control and Management of Ship's Ballast Water to Minimize the Transfer Aquatic Organisms and Pathogens", [Res. A.868(20)])? Check Yes or No.

## SECTION 5. BALLAST WATER HISTORY

(Record all tanks to be deballasted in port state of arrival: If none, go to #6)

**Tanks/Holds:** Please list all tanks and holds that you have discharged or plan to discharge into waters of the United States or into an approved reception facility (write out, or use codes listed below table). Follow each tank across the page listing all source(s), exchange events, and/or discharge events separately. List each tank on a separate line. Port and starboard tanks with identical ballast water histories may be included on same line. Please use an additional page if necessary, being careful to include ship name, date, and IMO number at the top of each. For tanks with multiple sources: list 3 largest sources from last 30 days on separate lines. If more than 3 sources, include a 4th line for the respective tank(s) that indicated "Multiple" in port column and list the remaining tank volume not included in the 3 largest sources (i.e., total tank volume minus volume of the 3 largest sources). See example #1 on sample ballast reporting form.

### **-BW SOURCES**

**Date:** Record date of ballast water uptake. Use European format (DDMMYY).

**Port or latitude/longitude:** Record location of ballast water uptake, no abbreviations for ports.

**Volume:** Record total volume of ballast water uptake, with volume units.

**Temp:** Record water temperature at time of ballast water uptake, in degrees Celsius (include units).

### **-BW MANAGEMENT PRACTICES-**

**Date:** Date of ballast water management practice. If exchanges occurred over multiple days, list the day when exchanges were completed. Use European format (DDMMYY).

**Endpoint or latitude/longitude:** Report location of ballast water management practice. If an exchange occurred over an extended distance, list the end point latitude and longitude.

**Volume:** Report total volume of ballast water moved (i.e., gravitated and pumped into tanks, discharged to reception facility) during management practice, with units.

**% Exch.:** (Note: for effective flow through exchange, this value should be at least 300%).

$$\% \text{ Exchange} = \frac{\text{Total Volume added by Refill or Flow Through}}{\text{Capacity of Ballast Tank or Hold}} \times (100\%)$$

**Method:** Indicate management method using code (ER = empty/refill, FT = flow through, ALT = alternative method).

**Sea Ht. (m):** Estimate the sea height in meters at the time of the ballast water exchange if this method was used. (Note: this is the combined height of the wind-seas and swell, and does not refer to water depth).

### **-BW DISCHARGES-**

**Date:** Date of ballast water discharge. Use European format (DDMMYY).

**Port or latitude/longitude:** Report location of ballast water discharge, no abbreviations for ports.

**Volume:** Report volume of ballast water discharged, with units.

**Salinity:** Document salinity of ballast water at the time of discharge, with units (i.e., specific gravity (sg) or parts per thousand (ppt)).

## SECTION 6. TITLE AND SIGNATURE

**Responsible officer's name and title (printed) and signature:** Print name and title, include signature.



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Vessels equipped with ballast water tanks bound for all ports or places within the waters of the United States after operating outside the EEZ (which includes the equivalent zone of Canada).  
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You must submit your report as  
Bound for \_\_\_\_\_ detailed below.  
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The Great Lakes..... Fax the information at least 24 hours before the vessel arrives in Montreal, Quebec, to the USCG COTP Buffalo, Massena Detachment (315-769-5032) or to the Saint Lawrence Seaway Development Corporation (315-764-3250).

In lieu of faxing, vessels that are not U.S. or Canadian flagged may complete the ballast water information section of the St. Lawrence Seaway ``Pre-entry Information from Foreign Flagged Vessel Form''.

Hudson River north of the George New York Fax the information to the COTP Washington Bridge. York at (718-354-4249) at least 24 hours before the vessel arrives at New York, New York.

\*Note: Vessels entering COTP New York Zone which are not bound up the Hudson River north of George Washington Bridge should submit the form in accordance with the instructions in the following block.

All other U.S. Ports..... Report before departing the port or place of departure if voyage is less than 24 hours, or at least 24 hours before arrival at the port or place of destination if the voyage exceeds 24 hours; and submit the required information to the National Ballast Information Clearinghouse (NBIC) by one of the following means:

Via the Internet at <http://invasions.si.edu/NBIC/bwform.html>;  
E-mail to [NBIC@BALLASTREPORT.ORG](mailto:NBIC@BALLASTREPORT.ORG);  
Fax to 301-261-4319; or Mail the information to U.S. Coast Guard, c/ SERC. P.O. Box 28, Edgewater, MD

21037-0028.

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Vessels that have not operated outside the EEZ, which are equipped with ballast water tanks and are bound for all ports or places within the waters of the United States.

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You must submit your report as Bound for detailed below:

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All U.S. ports including the Great Lakes and Hudson River North of George Washington Bridge. Report before departing the port or place of departure if voyage is less than 24 hours, or at least 24 hours before arrival at the port or place of destination if the voyage exceeds 24 hours; and submit the required information to the National Ballast Information Clearinghouse (NBIC) by one of the following means:  
Via the Internet at <http://invasions.si.edu/NBIC/bwform.html>;  
E-mail to [NBIC@BALLASTREPORT.ORG](mailto:NBIC@BALLASTREPORT.ORG);  
Fax to 301-261-4319; or Mail to U.S. Coast Guard, c/o SERC, P.O. Box 28, Edgewater, MD 21037-0028.

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If any information changes, send an amended form before the vessel departs the waters of the United States.

An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The Coast Guard estimates that the average burden for this report is 35 minutes. You may submit any comments concerning the accuracy of this burden estimate or any suggestions for reducing the burden to: Commandant (G-MSO), U.S. Coast Guard, 2100 Second St. SW, Washington, DC 20593-0001, or Office of Management and Budget, Paperwork Reduction Project (1625-0069), Washington, DC 20503.

[USCG-1998-3423, 64 FR 26682, May 17, 1999, as amended at 66 FR 58391, Nov. 21, 2001; USCG-2002-13147, 69 FR 32870, June 14, 2004; USCG-2005-21531, 70 FR 36349, June 23, 2005]