

**United States Coast Guard**  
**Shipboard Technology Evaluation Program (STEP) for**  
**Experimental Ballast Water Treatment Systems**

**2004**

**SUMMARY OF STEP DOCUMENTS**

There are five guidance and requirements documents which the prospective STEP Applicant should review and understand before applying to the program. These documents are designed to help organize the preparation and review of the STEP application, by the Applicant and the Coast Guard, respectively. All of these documents are organized and numbered identically for ease of cross-reference.

1. STEP Application Requirements identifies all the correspondence, documentation, and technical, management, and reporting elements that must be addressed in the application. The primary points are the following:

- A Letter of Commitment from the ship owner, indicating the identity and roles of the ship operator, developers and/or proprietors of the treatment system, and the test team
- Environmental compliance documentation
- Documentation of preliminary experiments demonstrating efficacy of the applicant's treatment system
- Study Plan
- Flow chart indicating the movement of correspondence, decision points, and a STEP time line.

2. Background Information for the Applicant provides a detailed level of guidance, so that the Coast Guard's expectations for well conceived experimental designs and proper testing protocols will be understood by applicants. It includes overviews of technical issues related to the main points of a program designed to evaluate the performance of a treatment system, including:

- Comparison of treatment system performance with that of ballast water exchange (BWE) on the vessel(s) for which an application is submitted.
- Biological experiments addressing the mortality and/or viability of all the organisms being tested, and reporting the results of the experiments.
- A clear and thorough presentation of the physical design and engineering of the system, and plans to maintain its reliable operation and to monitor system performance.
- Submission of annual and quarterly reports on the system's operations and performance.

## **STEP 04: Summary of STEP Documents**

### **Version 1**

This document also provides suggested technical guidance on the biological and engineering aspects of the application, by identifying design and performance issues in some detail and for some specific experimental and engineering designs. It is not mandatory to address all the items identified. The intent is to alert the Applicant to the kinds of technical issues the independent Review Panel will be concerned with and the level of detail desired.

3. Checklist for Applicant tracks the documents, drawings and data specified in the Application Requirements and is provided for the Applicant's convenience during preparation of the application.

4. Notice of Completeness is a checklist (similar to the Checklist for Applicant) used by the Review Panel to make its initial assessment of the application package. The initial assessment is the first gate in the STEP process, and is a quick check to ensure that all elements of the application package are in place before the detailed evaluation takes place. If the application package is incomplete, the Notice of Completeness is returned to the Applicant, within ten days of receipt of the application, specifying where additional technical information is required.

5. The Questionnaire is prepared by the Review Panel during the detailed evaluation of the application and is returned to the Applicant for resolution of specific technical and program management and execution issues. The Review Panel is required to complete the Questionnaire within 45 days of receipt of the application, provided the Notice of Completeness did not indicate a need for more information.