

# ADMINISTRATIVE REQUIREMENTS



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## **1. TONNAGE CERTIFICATION PROCESS**

### **1.1 PURPOSE**

The purpose of this section is to delineate general requirements for the process by which tonnages and registered dimensions are assigned and certified by authorized measurement organizations.

### **1.2 GENERAL**

Under the provisions of 46 CFR 69, Subparts B, C and D, owners are required to submit applications for measurement services to an authorized measurement organization. Dimensions required in the vessel measurement process can be obtained directly from the vessel or from drawings or computer models. This dimensional information is then used by the measurement organization to calculate the tonnages in accordance with the current requirements of 46 CFR 69, Subparts B, C, or D, and associated interpretations provided by the MSC. Once the measurements have been obtained and physical inspection of the vessel completed, the measurement organization issues the appropriate tonnage certificate(s) for the vessel. Details concerning specific aspects of this process are provided in the sections which follow.

### **1.3 TONNAGE CONSULTING**

Tonnage consulting is defined as giving advice regarding the assignment of tonnages for a fee or consideration (i.e. other compensation). Providing advice under these circumstances on a vessel for which tonnages will be certified by the same measurement organization raises the appearance of impropriety, since it could compromise the objectivity of tonnage certification in the event that the advice was incorrectly given or applied. As a consequence, a measurement organization may not certify tonnages on a vessel for which either: 1) an employee of the measurement organization engaged in tonnage consulting; or 2) an employee of a contractor or subcontractor of the measurement organization engaged in tonnage consulting and also provided measurement services on the measurement organization's behalf on the same vessel.

### **1.4 ONBOARD SURVEY**

The authorized measurement organization must complete an onboard survey (physical inspection) of the vessel once all work on the vessel that could affect the assigned tonnages or registered dimensions has been completed. The purpose of this survey is to: 1) verify the correctness of tonnage-related labeling or marking of the vessel; 2) ensure that excluded spaces are not fitted with means for carrying cargo or stores, or for closure; 3) ensure that ballast systems associated with exemptible water ballast tanks meet the requirements of 46 CFR 69.117(f); 4) ensure that tonnage openings and associated tonnage opening cover plates comply with the requirements of 46 CFR 69.117(d) and (e); and 5) ensure the accuracy and correctness of any drawings or computer models from which dimensional information was obtained. Only after the survey is complete can the appropriate tonnage certificate(s) be issued.

### **1.5 TONNAGE CERTIFICATE ISSUANCE**

Measurement organizations prepare and issue tonnage certificates to certify tonnages and registered dimensions assigned in accordance 46 CFR 69, Subparts B, C, or D. Letters formerly used to certify tonnages of vessels measuring under 5 net tons are no longer authorized. Detailed instructions on preparing tonnage certificates are provided in Sections 2 and 3 of this document. The signature(s) on the tonnage certificate attest to the validity of the information provided thereon, including the correctness of any tonnages and dimensions assigned by the issuing measurement organization. A tonnage certificate is

not considered valid until it is signed by an authorized representative(s) of the measurement organization. The following certificates are required, as applicable:

- (a) **U.S. TONNAGE CERTIFICATE** A U.S. Tonnage Certificate shall be issued if a vessel is assigned tonnages under the regulatory measurement system (46 CFR 69 Subparts C or D). In addition, a U.S. Tonnage Certificate shall be issued if the vessel is assigned tonnages under the convention measurement system (46 CFR 69 Subpart B) and the vessel is not issued an International Tonnage Certificate (1969) (ITC).
- (b) **INTERNATIONAL TONNAGE CERTIFICATE (1969) (ITC)** An ITC is issued upon the request of the vessel owner if the vessel is 79 feet or over in convention length and is measured under the convention measurement system (46 CFR 69 Subpart B). Refer to the most recent revision of Navigation and Vessel Inspection Circular (NVIC) 11-93 for the appropriate definition of convention length.

### **1.6 DISTRIBUTION OF ORIGINAL CERTIFICATES**

The original tonnage certificate(s) shall be provided to the vessel's owner. There is no requirement to maintain the U.S. Tonnage Certificate on board the vessel; however, it is highly recommended that the original certificate, or a copy, be maintained on board the vessel at all times. The original ITC must be maintained onboard the vessel whenever the vessel is engaged on a foreign voyage.

### **1.7 DISTRIBUTION OF COPIES**

If a vessel is to be documented as a vessel of the United States, a certified copy of the U.S. Tonnage Certificate (or the International Tonnage Certificate (1969), if a U.S. Tonnage Certificate is not issued) must be sent to the USCG National Vessel Documentation Center (NVDC). To be considered a valid certified copy, the copy must be marked to attest to this fact using any one of the following methods:

- (a) **WRITTEN STATEMENT**  
A statement attesting to the fact that the copy is a certified copy (e.g. "I certify this to be a true copy of the original."), with the statement signed and dated by an authorized representative of the measurement organization, whose title is given.
- (b) **STAMP WITHOUT SEAL**  
A stamped impression providing the words "Certified True Copy", "Certified Copy" or equivalent, and including the signature of an authorized representative of the measurement organization, the date when signed, and the title of the authorized representative.
- (c) **STAMP WITH SEAL**  
A stamped impression providing the words "Certified True Copy", "Certified Copy" or equivalent, and including the official seal of the measurement organization.
- (d) **EMBOSSSED/WATERMARKED PAPER**  
A stamped impression providing the words "Certified True Copy", "Certified Copy" or equivalent, with the paper watermarked or embossed with the official seal of the measurement organization.

## **1.8 REVISIONS TO TONNAGE CERTIFICATES**

The following requirements apply to tonnage certificates that are being revised:

### **(a) MANDATORY REVISIONS**

Revisions to tonnage certificates are required to reflect remeasurement, the issuance of a new water ballast justification approval letter, and changes in applicability of measurement systems to a given vessel, as well as to correct errors. A revised U.S. Tonnage Certificate must also be issued if a vessel is remeasured solely for the purpose of being issued an ITC.

### **(b) OPTIONAL REVISIONS**

Revisions to tonnage certificates may also be made to reflect changes to vessel information, such as the vessel's name, upon request by the vessel owner.

### **(c) RETURN OF SUPERSEDED CERTIFICATES**

The MSC does not require a tonnage certificate to be returned to the issuing measurement organization or the Coast Guard when superseded by a later revision. However, a measurement organization may impose this requirement for a certificate that it issues.

### **(d) CURRENT REQUIREMENTS**

When a tonnage certificate is revised, the certificate must meet all current requirements. For example, a required remark cannot be omitted from a revised tonnage certificate on the basis that the remark was not required at the time the original certificate was issued.

## **1.9 CANCELLATION OF TONNAGE CERTIFICATES**

Tonnage certificates issued under the provisions of this document do not have expiration dates. However, tonnage certificates cease to be valid, and are considered cancelled, under either of the circumstances listed below. Once a certificate ceases to be valid, the vessel is assigned tonnages and registered dimensions as if it were being measured for the first time, using the latest measurement regulations and interpretations. The MSC does not require a cancelled tonnage certificate to be returned to the issuing measurement organization or the Coast Guard, although a measurement organization may impose this requirement for a certificate that it issues.

### **(a) FLAG CHANGE**

The vessel changes flag to another State. Under the provisions of Article 10 of the International Convention on Tonnage Measurement of Ships, 1969, an ITC issued under the provisions of this document shall remain valid for a period not exceeding three months following the change of flag State, or until the Administration of the new flag State issues an ITC to replace it, whichever comes first.

### **(b) MEASUREMENT UNDER SIMPLIFIED SYSTEM**

The vessel's owner elects to have the vessel measured only under 46 CFR 69 Subpart E, Simplified Measurement.

## **1.10 FEES AND FEE SCHEDULES**

Measurement organizations are authorized to charge fees for the measurement services they perform. These services may include the development of the necessary drawings, sketches and/or computer models in the event that required drawings are not included in the application package. The MSC does not review or control fees charged by authorized measurement organizations. However, copies of the current schedules of measurement fees and related charges shall be provided to the MSC following any changes to those schedules.

## 2. PREPARING INTERNATIONAL TONNAGE CERTIFICATES

### 2.1 PURPOSE

The purpose of this section is to provide instructions for preparing International Tonnage Certificates (1969) (ITC's). The instructions are predicated on the use of a tonnage certificate form, approved by the MSC, that is based on the ITC issued by the U.S. Coast Guard (formerly Department of Transportation, USCG Form 5343). A sample ITC is included in Appendix A.

### 2.2 GENERAL

#### (a) DIMENSIONS

- (1) **Metric** - Express dimensions in meters, rounded to the nearest centimeter (e.g. 112.23 m).
- (2) **English** - Express dimensions in feet, rounded to the nearest tenth of a foot (e.g. 368.2 ft) .

#### (b) VOLUMES

- (1) **Metric** - Express volumes in cubic meters, rounded to the nearest hundredth of a cubic meter (e.g. 45.88 m<sup>3</sup>).
- (2) **English** - Express volumes in cubic feet, rounded to the nearest hundredth of a cubic foot (e.g. 1620.11 ft<sup>3</sup>).

### 2.3 FRONT SIDE OF CERTIFICATE

#### (a) CERTIFICATE NUMBER

Specify a unique serial number (including revision number/letter, as applicable).

#### (b) GENERAL INFORMATION

- (1) **Name of Ship** - Specify the vessel's name. If a name has not been assigned, specify a dash ("-").
- (2) **Distinctive Number or Letters** - Specify the following, as applicable:
  - (i) **IMO Number** - Specify the IMO number with the prefix IMO (e.g. IMO 8712345) as described in IMO Resolution A.600(15). The IMO number is a Lloyd's Register (LR) number, allocated at the time of build or when a ship is first included in the register.
  - (ii) **Official Number** - If an IMO (Lloyd's) number is not available, specify the six or seven digit official number assigned by the USCG National Vessel Documentation Center (or its predecessors). Official numbers do not include letters (e.g. use "234567" vice "D234567".)
  - (iii) **Unassigned** - Specify a dash ("-") if neither of the above categories apply (e.g. in the event an IMO or Official Number has not yet been assigned to a documented vessel or if the vessel is undocumented and has not been assigned an IMO number).

- (3) **Port of Registry** - Specify the hailing port as defined in 46 CFR 67.119. This entry should agree with the marking on the vessel's hull.
- (4) **Date** - Specify the date as defined by the asterisk (\*) notation on the tonnage certificate. For the definitions of "alterations or modifications of a major character", use the definition of "substantially altered" in the most recent change to NVIC 11-93. Specify the year only, unless that year is either 1982 or 1994, in which case the day and month must be specified as well. **Examples:** "1991" or "JULY 18, 1994."
- (c) **MAIN DIMENSIONS**  
Give registered dimensions in both meters and feet. The letters "m" for meters and "ft" for feet must be placed to the right of the numerals. English units (feet) must be in brackets "( )" and must be placed either below or to the right of metric units. For vessels assigned registered dimensions using definitions different than those of 46 CFR 69.53 (e.g., semi-submersible drilling units), annotate the dimensions (e.g., 146.23 m (479.8 ft) \*"), and add a corresponding statement to the "REMARKS" block describing the dimensions used. **Example:** "\*\* Vessel is a semi-submersible drilling unit. Length and breadth are overall dimensions."
- (d) **CONVENTION TONNAGES**  
Truncate tonnages to the next lower whole numbers (e.g. a calculated gross tonnage of 99.5 should appear as 99).
- (1) **Gross Tonnage** - Specify the Gross Tonnage as defined in 46 CFR 69.57.
- (2) **Net Tonnage** - Specify the Net Tonnage as defined in 46 CFR 69.63.
- (e) **ISSUING INFORMATION**  
Specify the following issuing information:
- (1) **Issued at** - Specify the location where the certificate is issued as the town and state/territory (abbreviated) if located in the United States, or town, state/province/region (optional) and country (unabbreviated) if located abroad. **Example:** "NEW YORK, NY" or "PARIS, FRANCE".
- (2) **Date** - Specify the date of issuance. **Example:** "this 16th day of February 1998."
- (3) **Issuing Officer** - Specify the name of the issuing officer.
- (f) **AUTHORIZATION SIGNATURE AND SEAL**  
After all required information is placed on the tonnage certificate, an authorized official of the measurement organization signs the certificate on the appropriate line. Place or emboss an official measurement organization seal in the location indicated. The requirement for a seal may be omitted if the tonnage certificate has other features which would identify it as an original document (e.g. special paper which does not facilitate photocopying).

## 2.4 REVERSE SIDE OF CERTIFICATE

### (a) SPACES INCLUDED IN TONNAGE (GROSS AND NET)

List under the appropriate heading those spaces defined in 46 CFR 69.59 as enclosed spaces and cargo spaces.

- (1) **Name of Space** - Provide a brief description of the space. Abbreviations are acceptable (e.g. "FOCSL"). If the enclosed space contains excluded space, add an asterisk at the end of the description (e.g. "1ST TIER\*"), and include a description of the excluded space in the EXCLUDED SPACES block below.
- (2) **Location** - Specify the longitudinal location of the space using the frame numbers at the extreme ends of the space, separated by a hyphen (e.g. "FR 3-10"). For the underdeck (the space bounded by the vessel's hull and the upper deck), specify a dash or series of dashes (e.g. "-"). If frame numbers are not available, specify the location in terms of distance from any convenient reference point (e.g. 5-10 m aft of stem) for all spaces except the underdeck.
- (3) **Length** - Specify the length in meters (e.g. 123.44 m) for all spaces except the underdeck. For the underdeck, specify a dash or series of dashes (e.g. "-").
- (b) **EXCLUDED SPACES**  
List spaces here that are defined in 46 CFR 69.61 as excluded spaces. Include a brief description of the space. **Examples:** "1st Tier Side Openings; 2nd Tier End Opening." The preprinted statement concerning the asterisk does not apply to this block; it refers instead to items in the GROSS TONNAGE block above.
- (c) **NUMBER OF PASSENGERS**  
Specify the number of passengers in each category as defined in 46 CFR 69.53. If there are no passengers in the associated category, use the number "0", or the word "Nil".
- (d) **MOLDED DRAFT**  
Specify the draft as defined in 46 CFR 69.53.
- (e) **DATE AND PLACE OF ORIGINAL MEASUREMENT**  
Specify the day, month and year of the original measurement (e.g., "JANUARY 10, 1994" or "10 JAN 1994"). Specify the place as town and state/territory (abbreviated) if measured in the United States, or town, state/province/region (optional) and country (unabbreviated), if measured abroad (e.g. "ST. LOUIS, MO" or "VICTORIA, CANADA"). This refers to initial certification of tonnages and dimensions by the measurement organization in accordance with the measurement system of the 1969 Tonnage Convention; it does not refer to measurement under the regulatory (standard or dual) system. In this context, "measurement" means the certification of tonnages and dimensions by the measurement organization, which may or may not coincide with the onboard survey of the vessel or the issuance of the tonnage certificate.
- (f) **DATE AND PLACE OF LAST PREVIOUS MEASUREMENT**  
Leave this space blank if the vessel has not been remeasured under the convention measurement system (46 CFR 69, Subpart B). Otherwise specify the date and place of the last assignment of tonnages in accordance with the convention measurement system. The date and place should be in the same format as for the original measurement block.
- (g) **REMARKS**  
The following remarks shall be included, where applicable. Refer to NVIC 11-93 for definitions and details of tonnage "grandfathering" eligibility. Additional remarks may be included only where specifically authorized by the MSC.

- (1) **All Vessels** - For all vessels: “Overall length as defined under 46 CFR 69 Subpart E is VVVVV m (WWWWW ft). Vessel built by XXXXX. Hull number is YYYYY. Official number is ZZZZZ.”, where VVVVV and WWWWW are the vessel’s overall length as defined in 46 CFR 69 Subpart E (simplified measurement), in meters and feet, respectively, XXXXX is the name of the company or yard that originally constructed the vessel, YYYYY is the hull number or hull identification number assigned by the builder, and ZZZZZ is the official number assigned to the vessel. **Example:** “Overall length as defined under 46 CFR 69 Subpart E is 85.59 m (280.8 ft). Vessel built by Jones Iron and Steel Company. Hull number is 46. Official number is 123456.” A statement may be deleted if the statement is not applicable, if the information appears elsewhere on the certificate, or if the information is not available (e.g., if the vessel was undocumented, reference to the official number would not be included).
- (2) **Vessels Reissued ITC** - For those vessels being reissued an ITC for any reason, a BRIEF remark explaining the reason why the ITC was reissued. **Examples:** “Certificate reissued to reflect addition of new deck structure.”; “Certificate reissued to replace lost original.”; “Certificate reissued to correct error in net tonnage.”
- (3) **Vessels Grandfathered Under Article 3(2)(d)** - For any vessel eligible to retain regulatory tonnages under article 3(2)(d) of the 1969 Tonnage Convention: “The ship is remeasured according to article 3(2)(d) of the 1969 Tonnage Convention. The GROSS TONNAGE according to the measurement system previously in force to the measurement system of the International Convention on Tonnage Measurement of Ships, 1969, is ZZZZZ RT, according to the regulations of the United States.”, where ZZZZZ is the gross tonnage assigned under the regulatory measurement system.
- (4) **Vessels Grandfathered Under Interim Schemes** - For any vessel eligible to retain regulatory tonnages under any IMO Interim Scheme: “The ship is additionally measured according to IMO Resolution YYYYY. The GROSS TONNAGE according to the measurement system previously in force to the measurement system of the International Convention on Tonnage Measurement of Ships, 1969, is ZZZZZ RT, according to the regulations of the United States.”, where YYYYY is any Interim Scheme Resolution that applies to the vessel (e.g., A.494XII or A.541(13)), and ZZZZZ is the gross tonnage assigned under the regulatory measurement system. **Example:** “The ship is additionally measured according to IMO Resolution A.494XII and A.541(13). The GROSS TONNAGE according to the measurement system previously in force to the measurement system of the International Convention on Tonnage Measurement of Ships, 1969, is 16903 RT, according to the regulations of the United States.”
- (5) **Vessels With Dedicated Clean Ballast Tanks** - For any vessel with dedicated clean ballast tanks not used for cargo which are excluded from the total volume of cargo spaces (V<sub>c</sub>) in the tonnage calculations, and carrying a single IOPP Certificate: “This ship carries an IOPP Certificate in conformity with regulation 13A, Annex I, MARPOL 73/78. The following tanks are dedicated solely to the carriage of clean ballast water: \_\_\_\_\_ . These tanks have been omitted from V<sub>c</sub>.” List appropriate tanks in the blank space.
- (6) **Vessels with Space Reserved for Temporary Deck Equipment** - For vessels assigned tonnages based on a postulated volume of temporary deck equipment that is not installed on the vessel at the time of measurement: “Assigned tonnages include YYYYY cubic meters of enclosed space reserved for temporary deck equipment located FR ZZZZZ.”, where YYYYY is the enclosed volume of the temporary deck equipment and ZZZZZ is the longitudinal

frame location of the equipment. **Example:** “Assigned tonnages include 103.68 cubic meters of enclosed space reserved for temporary deck equipment, located FR 61-73.” If frame numbers are not available, specify the location in terms of distance from any convenient reference point (e.g. 5-10 m aft of stem).

- (7) **Vessels Not Issued a U.S. Tonnage Certificate** - For vessels not issued a U.S. Tonnage Certificate: “A U.S. Tonnage Certificate was not issued for this vessel. The dimensions on the front of this certificate are the registered dimensions.”
- (8) **Reduced Gross Tonnage for Vessels With Segregated Ballast** - For vessels with segregated water ballast that qualify under the provisions of IMO Resolution A.747(18), the following remark may be added at the request of the vessel owner: “The segregated ballast tanks comply with regulation 13 of Annex I of the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, and the total tonnage of such tanks exclusively used for the carriage of segregated water ballast is YYYYYY. The reduced gross tonnage which should be used for the calculation of tonnage based fees is ZZZZZ.”, where YYYYYY and ZZZZZ are the appropriate tonnages calculated in accordance with Resolution A.747(18).
- (9) **Reduced Gross Tonnage for Open-Top Containerships** - For open-top containerships that qualify under the provisions of IMO TM.5/Circ.4, the following remark may be added at the request of the vessel owner: “In accordance with IMO TM.5/Circ.4, a reduced gross tonnage may be used for open-top containerships for the sole purpose of calculation of tonnage based fees. The reduced gross tonnage is ZZZZZ.”, where ZZZZZ is the reduced gross tonnage calculated in accordance with TM.5/Circ.4.

### 3. PREPARING U.S. TONNAGE CERTIFICATES

#### 3.1 PURPOSE

The purpose of this section is to provide instructions for preparing U.S. Tonnage Certificates. The instructions are predicated on the use of a tonnage certificate form, approved by the MSC, that is based on the U.S. Tonnage Certificate issued by the U.S. Coast Guard (formerly Department of Transportation, USCG Form 1414). A sample U.S. Tonnage Certificate is included in Appendix A.

#### 3.2 GENERAL

##### (a) DIMENSIONS

- (1) **Metric** - Express dimensions in meters, rounded to the nearest centimeter (e.g. 112.23 m).
- (2) **English** - Express dimensions in feet, rounded to the nearest tenth of a foot (e.g. 368.2 ft).

##### (b) VOLUMES

- (1) **Metric** - Express volumes in cubic meters, rounded to the nearest hundredth of a cubic meter (e.g. 45.88 m<sup>3</sup>).
- (2) **English** - Express volumes in cubic feet, rounded to the nearest hundredth of a cubic foot (e.g. 1620.11 ft<sup>3</sup>).

#### 3.3 FRONT SIDE OF CERTIFICATE

##### (a) CERTIFICATE NUMBER

Specify a unique serial number (including revision number/letter, as applicable).

##### (b) GENERAL INFORMATION

- (1) **Vessel Name** - Specify the vessel's name. If a name has not been assigned, use a dash ("-").
- (2) **Official Number** - Specify the following, as applicable:
  - (i) Official Number - Use the six or seven digit number assigned to the vessel by the National Vessel Documentation Center (NVDC), or its predecessors. Official numbers do not include letters (e.g. use "234567" vice "D234567").
  - (ii) "Undocumented" - Use the word "Undocumented" if the vessel owner does not intend to have the vessel documented, or if the vessel is ineligible for documentation.
  - (iii) "-" - Use a dash ("-") if neither of the above two categories apply (e.g. the situation where an official number has not yet been assigned to the vessel).

- (3) **Vessel Type** - Select the vessel type from the list which follows. Definitions are included for information. These terms and their definitions are based on those in 46 U.S.C. 2101. For self-propelled vessels certificated under two categories, show the type as "Dual Service", and add a Remark describing both services: **Example:** "Vessel to be certificated for service as both an Offshore Supply Vessel and a Passenger Vessel".
- (i) Barge - A non-self-propelled vessel. Unless otherwise provided for in this section, the "Barge" descriptor should be used for any non-self-propelled vessel, regardless of whether or not the vessel falls into any another vessel type category.
  - (ii) Fishing Vessel - A vessel that commercially engages in the catching, taking, or harvesting of fish or an activity that can reasonably be expected to result in the catching, taking, or harvesting of fish.
  - (iii) Fish Processing Vessel - A vessel that commercially prepares fish or fish products other than by gutting, decapitating, gilling, shucking, icing, freezing, or brine chilling.
  - (iv) Fish Tender - A vessel that commercially supplies, stores, refrigerates, or transports fish, fish products, or materials directly related to fishing or the preparation of fish to or from a fishing, fish processing, or fish tender vessel or a fish processing facility.
  - (v) Freight Vessel - A self-propelled vessel of more than 15 gross tons that carries freight for hire, except an oceanographic research vessel or an offshore supply vessel.
  - (vi) Mobile Offshore Drilling Unit - A vessel capable of engaging in drilling operations for the exploration or exploitation of subsea resources. This descriptor should be used for non-self-propelled vessels as well as self-propelled vessels.
  - (vii) Oceanographic Research Vessel - A vessel that the MSC finds is being employed only in instruction in oceanography or limnology, or both, or only in oceanographic or limnological research, including those studies about the sea such as seismic, gravity meter, and magnetic exploration and other marine geophysical or geological surveys, atmospheric research, and biological research.
  - (viii) Offshore Supply Vessel - A motor vessel of more than 15 gross tons but less than 500 gross tons (Standard, Dual or Simplified) or 6000 gross tons (Convention) that regularly carries goods, supplies, or equipment in support of exploration, exploitation, or production of offshore mineral or energy resources and is not a small passenger vessel. "Crew Boats" that are inspected under 46 Code of Federal Regulations (CFR) Subchapter L, or were not inspected under 46 CFR Subchapters K, K', or T, are considered to be Offshore Supply Vessels. In no case may a vessel be classified as an offshore supply vessel if the vessel is assigned a regulatory measurement system gross tonnage of 500 GRT or above.
  - (ix) Passenger Vessel - A vessel that carries at least one passenger for hire, and does not fall into any other vessel type category.
  - (x) Recreational Vessel - A vessel being manufactured or operated primarily for pleasure; or leased, rented, or chartered to another for the latter's pleasure.

- (xi) Tanker - A self-propelled tank vessel constructed or adapted primarily to carry oil or hazardous material in bulk in the cargo spaces.
  - (xii) Training Vessel - A vessel operated by or in connection with a nautical school or similar educational institution.
  - (xiii) Towing Vessel - A commercial vessel engaged in or intending to engage in the service of pulling, pushing, or hauling along side, or any combination of pulling, pushing, or hauling along side.
  - (xiv) Unclassified Vessel - A vessel that does not fall into any of the categories listed above.
- (4) **Builder** - Specify the name of the company or yard that originally constructed the vessel.
- (5) **Hull Number** - Specify the following, as applicable:
- (i) Hull Number - For non-recreational vessels, use the vessel's hull number as assigned by the builder.
  - (ii) Hull Identification Number - For recreational vessels, use the vessel's hull identification number as assigned by the builder. (e.g. "TRU12345M84E").
  - (iii) "NONE" - Use "NONE" if a hull number or hull identification number was not assigned for the vessel.
  - (iv) "-" - Use a dash ("-") if a hull number or hull identification is not available.
- (6) **Where Built** - Specify the location described below, as applicable.
- (i) Town, State (abbreviated) - If the vessel was built in the United States, use the town and abbreviated state or territory where built. (e.g. "ST. LOUIS, MO").
  - (ii) Town, State/Province/Region (optional), Country - If the vessel was built in a foreign country, use the town, state/province/region(optional) and the country where built. Do not abbreviate. (e.g. "VICTORIA, CANADA").
- (7) **Propulsion** - Place an "X" in the appropriate block to indicate whether or not the vessel is self-propelled. Note that a vessel propelled by sail is a self-propelled vessel.
- (8) **Date Keel Laid/Vessel Altered** - Specify the keel laid date and, if applicable, the substantially altered date, separated from the keel laid date by a forward slash (e.g., "1981" or "1981 / 1992"). Refer to the definitions below. Specify the year only, unless that year is either 1982 or 1994, in which case the day and month must be specified as well (e.g., "JULY 18, 1994").
- (i) Keel Laid Date - The date that the vessel's keel was laid, or the vessel was at a similar stage of construction.
  - (ii) Substantially Altered Date - If the vessel has undergone substantial alterations since it was completed, use the date that the last substantial alterations on the vessel were commenced.

**(c) MAIN DIMENSIONS**

For each set of dimensions assigned to the vessel, provide the length, breadth and depth in the appropriate block in terms of both meters and feet, and place an “X” in the applicable “Registered Dimensions” column, as follows. If a dimension is not assigned, the corresponding block is left blank.

- (1) Convention** - These are the dimensions assigned under the definitions of 46 CFR 69.53. Place an “X” in the “Registered Dimensions” block in all cases where registered dimensions are assigned and the “X” block is not checked for the “Pre-1990” category.
- (2) Overall** - These are the registered dimensions assigned under the definitions of 46 CFR 69.203. If the vessel is assigned optional regulatory measurement system tonnages under the simplified measurement system, specify the length, breadth and depth; otherwise, specify only the length, and leave the breadth and depth blocks blank. In either case, leave the “Registered Dimensions” block blank.
- (3) Pre-1990** - These are the dimensions assigned under the definitions of 46 CFR 69.03-13 through 17, as they appeared in Code of Federal Regulation prior to October 12, 1989 (e.g., the registered length was taken at the line of the tonnage deck). They should only be shown if the registered dimensions were assigned while these definitions were in effect, and the vessel has not undergone changes which affect any of the dimensions or has been remeasured at the request of the owner to reflect the new definitions. For vessels being assigned tonnages only for the purpose of issuance of an ITC, the Pre-1990 dimensions should be retained, and shown in the appropriate blocks. If Pre-1990 dimensions are shown, place an “X” in the “Registered Dimensions” block.

**(d) TONNAGES**

Provide all tonnages assigned to the vessel in the appropriate blocks, truncated to the next lower whole number (e.g., a calculated gross tonnage of 99.95 should appear as 99), along with the corresponding Subpart of 46 CFR 69 (i.e., B, C, D, or E). If two tonnages are assigned under 46 CFR 69 Subpart D, list the higher tonnage first and separate them by a forward slash (e.g., “1600 / 400”). If tonnages are not assigned, leave the corresponding blocks blank. Following each assigned tonnage, provide the appropriate acronym, as follows:

Convention Gross - GT ITC  
Convention Net - NT ITC  
Regulatory Gross - GRT  
Regulatory Net - NRT

**(e) CERTIFICATION AND ISSUING INFORMATION**

- (1) Issued at** - Specify the location where the certificate is issued as the town and state/territory (abbreviated) if located in the United States, or town, state/province/region (optional) and country (unabbreviated) if located abroad. **Example:** “NEW YORK, NY” or “PARIS, FRANCE”.
- (2) Date** - Specify the date the certificate is issued (e.g. “FEBRUARY 16, 1994”).
- (3) Issuing Officer** - Specify the name of the issuing officer.

**(f) AUTHORIZATION SIGNATURE AND SEAL**

After all required information is placed on the tonnage certificate, an authorized official of the measurement organization signs the certificate on the appropriate line. Place or emboss an official measurement organization seal in the location indicated. The requirement for a seal may be omitted if the tonnage certificate has other features which would identify it as an original document (e.g. special paper which does not facilitate photocopying).

**3.4 REVERSE SIDE OF CERTIFICATE**

**(a) CONVENTION MEASUREMENT SYSTEM INFORMATION**

Complete this block only if the vessel is assigned tonnages under the convention measurement system.

**(1) Enclosed Spaces and Cargo Spaces** - List under the appropriate heading, those spaces defined in 46 CFR 69.59 as enclosed spaces and cargo spaces.

(i) Name of Space - Provide a brief description of the space. Abbreviations are acceptable (e.g. "FOCSL"). If the enclosed space contains excluded space, add an asterisk at the end of the description (e.g., "1ST TIER\*"), and include a description of the excluded space in the Excluded Spaces block below.

(ii) Location - Specify the longitudinal location of the space using the frame numbers at the extreme ends of the space, separated by a hyphen (e.g. "FR 3-10"). For the underdeck (the space bounded by the vessel's hull and the upper deck), specify a dash or series of dashes (e.g. "-"). If frame numbers are not available, specify the location in terms of distance from any convenient reference point (e.g. 5-10 m aft of stem) for all spaces except the underdeck.

(iii) Length - Specify the length in meters (e.g., 123.44 m) for all spaces except the underdeck. For the underdeck, specify a dash or series of dashes (e.g., "-").

**(2) Excluded Spaces** - List spaces that are defined in 46 CFR 69.61 as excluded spaces. Include a brief description of the space. **Examples:** "1st Tier Side Openings; 2nd Tier End Opening." The preprinted statement concerning the asterisk does not apply to this block; it refers instead to items in the Enclosed Spaces block.

**(3) Number of Passengers** - Specify the number of passengers in each category as defined in 46 CFR 69.53. If there are no passengers in the associated category, use the number "0", or the word "Nil".

**(4) Molded Draft** - Specify the molded draft as defined in 46 CFR 69.53 in terms of both meters and feet.

**(b) MEASUREMENT HISTORY**

The following requirements apply. In this context, "measurement" means the certification of tonnages and dimensions by the measurement organization, which may or may not coincide with the onboard survey of the vessel or the issuance of the tonnage certificate.

**(1) Date and Place of Original Measurement** - Specify the day, month and year of the original measurement (e.g., "JANUARY 10, 1994" or "10 JAN 1994"). Specify the place as town and state/territory (abbreviated) if measured in the United States, or town,

state/province/region (optional) and country (unabbreviated), if measured abroad (e.g. “ST. LOUIS, MO” or “VICTORIA, CANADA”). This refers to initial assignment of tonnages under laws of the United States.

- (2) **Date and Place of Last Previous Measurement** - Leave this space blank if the vessel has not been remeasured under the laws of the United States. Otherwise specify the date and place of the last remeasurement of the vessel under the laws of the United States, regardless of whether or not the convention tonnages changed. The date and place should be in the same format as for the original measurement block.

(c) **REMARKS**

The following remarks shall be included, where applicable. Additional remarks may be included only where specifically authorized by the MSC.

- (1) **Vessels issued an ITC** - For those vessels issued an ITC by an authorized U.S. measurement organization: “International Tonnage Certificate (1969) issued for this vessel.”
- (2) **Vessels Reissued U.S. Tonnage Certificate** - For those vessels being reissued a U.S. Tonnage Certificate for any reason: a BRIEF statement explaining the reason for reissuing the certificate. **Examples:** “Certificate reissued to reflect addition of new deck structure.”; “Certificate reissued to replace lost original.”; “Certificate reissued to correct error in net tonnage.”; “Certificate reissued to reflect assignment of tonnages under the convention measurement system.”
- (3) **Vessels with Great Lakes Restrictions** - For vessels which are exempt from the requirement to be measured under the convention measurement system because they operate exclusively on the Great Lakes: “Assigned tonnages valid for Great Lakes voyages only.”
- (4) **Vessels with Space Reserved for Temporary Deck Equipment** - For vessels assigned tonnages based on a postulated volume of temporary deck equipment that is not installed on the vessel at the time of measurement: “Assigned tonnages include YYYYYY cubic meters of enclosed space reserved for temporary deck equipment, located FR ZZZZZ.”, where YYYYYY is the enclosed volume of the temporary deck equipment and ZZZZZ is the longitudinal frame location of the equipment. **Example:** “Assigned tonnages include 103.68 cubic meters of enclosed space reserved for temporary deck equipment, located FR 61-73.” If frame numbers are not available, specify the location in terms of distance from any convenient reference point (e.g., 5-10 m aft of stem).
- (5) **Vessels with Water Ballast Exemption in Excess of 30%** - For vessels for which the water ballast exemption exceeds 30% of the gross tonnage, thereby requiring approval of a water ballast exemption under the provisions of 46 CFR 69.117(f): “Water ballast in excess of 30% of regulatory gross tonnage. Regulatory tonnages valid for XXXX service only.”, where XXXX is the service as stated in the water ballast justification approval letter.
- (6) **Vessels Measured Under Dual Measurement System** - For vessels for which are assigned tonnages under the dual measurement system, one of the following remarks, as appropriate:
- (i) Two Deck Vessel With High/Low Tonnage Assigned “Tonnage mark is assigned, located XXXX feet below the mark at the uppermost complete deck.”, where XXXX is the appropriate distance in feet and tenths of a foot as certified under the provisions of 46 CFR 69.179.

- (ii) Two Deck Vessel With Single Low Tonnage Assigned “Tonnage mark and Load Line Mark are assigned, located XXXX feet below the mark at the uppermost complete deck. Submerging these marks will invalidate regulatory measurement system tonnages and necessitate remeasurement.”, where XXXX is the appropriate distance in feet and tenths of a foot as certified under the provisions of 46 CFR 69.179.
  - (iii) One Deck Vessel “Vessel measured as single deck vessel. Exceeding draft of YYYY will invalidate regulatory measurement system tonnages and necessitate remeasurement.”, where YYYY is the draft at which any portion of the line of the uppermost complete deck is submerged.
- (7) **Vessels With IMO Number Assigned (Optional)** - At the option of the measurement organization, “IMO Number is XXXXXXXX.”, where XXXXXXXX is the IMO number as described in IMO Resolution A.600(15). The IMO number is a Lloyd’s Register (LR) number, allocated at the time of build or when a ship is first included in the register

## 4. MEASUREMENT ORGANIZATION OVERSIGHT BY USCG

### 4.1 PURPOSE

The purpose of this section is to supplement the requirements of MTN 04-03, Authorized Class Societies Technical Support and Oversight, for tonnage measurement work performed by authorized measurement organizations on behalf of the Coast Guard.

### 4.2 REGULAR OVERSIGHT ASSESSMENTS

The MSC conducts regular oversight assessments of tonnage files to ensure that the requirements of USCG regulations, policy documents, and other guidance on tonnage matters are being properly applied. The specific procedure by which the MSC conducts oversight assessments is as follows:

#### (a) NOTIFICATION OF COMPLETED WORK

Measurement organizations will notify the MSC by e-mail as they complete each tonnage work item, in accordance with MTN 04-03.

#### (b) FILE SELECTION

The MSC will select files to receive an oversight assessment, and notify the measurement organization accordingly.

#### (c) FILE TRANSFER

The measurement organization will transfer the selected file(s) to the MSC, or will provide the MSC with a complete copy of the file. Should the measurement organization require a vessel file during the time it is in the custody of the MSC, the MSC will ensure that it is returned to the measurement organization by the fastest available means. The measurement organization is then responsible for returning the file to the MSC as soon as possible after its use is no longer required.

#### (d) OVERSIGHT ASSESSMENTS AND REPORTING OF RESULTS

The MSC will conduct oversight assessments of files provided by the measurement organization. The MSC will provide the measurement organization with written results of these assessments, classifying nonconformities as follows:

**Category 1:** A nonconformity that **does not affect** any of the following: 1) assigned tonnages; 2) assigned dimensions; or 3) tonnage measurement system applicability to a vessel. Examples of Category 1 nonconformities include obvious typographical errors, record keeping discrepancies, or errors made in determining tonnages or dimensions of a small enough magnitude (within 5% for tonnages and 1% for dimensions) as to not require a change to assigned tonnages or dimensions.

**Category 2:** A nonconformity which indicates a difference exists in how the measurement organization and the MSC interpret and apply governing requirements. An example of a Category 2 nonconformity is a reasonable interpretation of the tonnage regulations by the measurement organization that is at odds with the MSC's interpretation, in a situation where the MSC never formally communicated its interpretation of the regulations to the measurement organization.

**Category 3:** A nonconformity that **affects** any of the following: 1) assigned tonnages; 2) assigned dimensions; or 3) tonnage measurement system applicability to a vessel. Examples of Category 3 nonconformities include errors of more than 5% in the assigned gross or net

tonnage, errors of more than 1% in the registered length, or authorization for tonnage measurement grandfathering (e.g., use of Interim Schemes) in cases where it is not allowed.

**(e) FILE RETURN**

Following completion of its assessment, the MSC will return the vessel file(s) to the measurement organization.

**(f) CORRECTIVE ACTION AND MEASUREMENT ORGANIZATION RESPONSE**

Unless otherwise directed by the MSC, the measurement organization shall complete corrective actions within three (3) weeks of receipt of the oversight results from the MSC, depending on the classification of the nonconformity, as follows:

**Category 1:** Correction of the nonconformity within the three (3) week timeframe is at the discretion of the measurement organization. If the nonconformity will not be corrected in this timeframe, include a note in the associated vessel file describing the nonconformity, and correct the nonconformity the next time the vessel is remeasured and/or the associated tonnage certificate(s) is reissued. NOTE: For nonconformities involving assigned tonnages or dimensions, the nonconformity need be corrected at the time of remeasurement only if the portion of the vessel to which the nonconformity applies is being remeasured.

**Category 2:** Correction of the nonconformity is at the discretion of the measurement organization.

**Category 3:** Correct the nonconformity and reissue the associated tonnage certificate(s). Initiate any necessary changes to measurement organization processes and/or procedures to preclude recurrence of a similar nonconformity in the future.

If the measurement organization is unable to complete the required corrective action(s) within the three (3) week time period, the measurement organization must submit in writing to the MSC a request for an extension. The request must include: 1) a description of actions that have already been taken to resolve the nonconformity; 2) a detailed plan addressing the remaining actions needed to correct the nonconformity; and 3) scheduled completion dates for each remaining action.

**4.3 OTHER OVERSIGHT ASSESSMENTS**

The MSC may perform other oversight assessments in addition to the assessments identified above. These assessments can consist of, but are not limited to, on-site inspections of tonnage files at measurement organizations and onboard surveys of vessels. The MSC will provide written notice at least two (2) weeks prior to conducting any such assessment.

## 5. COPIES OF COAST GUARD TONNAGE FILE INFORMATION

### 5.1 PURPOSE

The purpose of this section is to provide instructions for measurement organizations requesting copies of tonnage file information from the MSC. Coast Guard tonnage file information consists of tonnage calculations, certificates and/or water ballast justification approval letters issued by the Coast Guard (or predecessor agencies). These records may reside at the MSC, the Federal Records Center (FRC) or a measurement organization in original, copy and/or microfiche form.

### 5.2 TYPES OF REQUESTS

Requests for copies of Coast Guard tonnage file information must be made in writing in accordance with the instructions which follow and using the request form found in Appendix A. The signature block on the request form must be signed to attest to the fact that the measurement organization is authorized by the owner/agent to assist with the possible remeasurement of the vessel.

#### (a) ROUTINE

All tonnage file information requests must be faxed or mailed to the MSC using the request form found in Appendix A. The requester must fill out the upper part of the form giving the request date, addresser information, vessel identification, authorization signature and mailing service preference. The form must be used as a cover sheet if the requester wishes to include additional vessel identification data pages. Facsimiles of the attached request/transmittal forms may be E-mailed between measurement organizations and the MSC.

#### (b) URGENT

If copies of tonnage file information are urgently needed, the MSC will provide them by fax on the same day, as resources permit. Urgent requests must be telephoned to the Chief, Tonnage Division, giving an explanation for the immediate need, followed by submission of the request form. Same day service should be requested only when **absolutely** necessary.

### 5.3 MSC REPLY/RESPONSE

The MSC will respond to requests for tonnage file information either by: 1) transmitting the requested information via electronic means (e.g., an e-mail with the file information attached); or 2) completing the lower portion of the request form and sending the form and copies of the tonnage file information via first class mail (or an alternate mailing service arranged for by the requester). If the file information is located at the FRC, there is generally a three to four week response time for the request and retrieval process, which is beyond the control of the MSC. Since the MSC does not have a microfiche printer, tonnage file information may be transferred in fiche form to measurement organizations.

### 5.4 FILE TRANSFER

The MSC no longer transfers Coast Guard tonnage files to measurement organizations.

### 5.5 SISTER VESSELS

The MSC will not conduct research to locate a sister vessel in the event that tonnage file information for the desired vessel is not available. However, the MSC will provide copies of tonnage file information for sister vessels, if the file exists and the requester provides the vessel's official number. The MSC can provide measurement organizations with electronic vessel listings to assist in locating sister vessels.

## 6. TONNAGE FILE CONTENT AND MAINTENANCE

### 6.1 PURPOSE

The purpose of this section is to delineate minimum requirements for the content and maintenance of tonnage files. These requirements are effective for all vessels measured or remeasured subsequent to promulgation of this Technical Note.

### 6.2 FILE CONTENTS

The tonnage file is the record of principal information used by measurement organizations to assign and certify tonnages and dimensions for a given vessel. Measurement Organizations are not subject to the Freedom of Information Act (FOIA), and all releases of information from tonnage files are at the discretion of the measurement organization, subject to the constraints of Section 6.4 regarding release of Coast Guard tonnage file information. Specific requirements are as indicated below.

#### (a) VESSELS BEING INITIALLY MEASURED

For vessels assigned tonnages for the first time under U.S. regulations, the tonnage file shall consist of the following:

- (1) **Tonnage Calculations** - The complete calculations used to arrive at tonnages which appear on associated tonnage certificates. The calculations must include the vessel's name and official number (or builder/hull number if an official number is not assigned) and provide a location in the vessel to at least the nearest frame (or equivalent) for all dimensions used in volume calculations (e.g. "2nd Tier Fr 2-12"). If computer tools are used to calculate tonnages, written or electronic output showing all dimensions involved in the calculations (e.g. offsets) must also be included. If tonnage calculations from a sister vessel are used as the basis for establishing tonnages, a copy of the complete calculations from the sister vessel must also be included.
- (2) **Tonnage Certificates** - Copies of the U.S. Tonnage Certificate and/or International Tonnage Certificate (1969) issued for the vessel.
- (3) **Water Ballast Justification Information** - Copies of water ballast justification submittal and approval letters, along with all supporting calculations and drawing information.
- (4) **Drawings** - Copies of any drawings that were used as the basis for obtaining dimensions or other information used in establishing tonnages or registered dimensions. If drawings or computer models were not used as this basis, sketches and/or scaled photographs providing the equivalent information must be included (e.g. body plan, inboard profile, midship cross-section, and hull and deck arrangements, reflecting all dimensions used in establishing tonnages and registered dimensions). For measurement under 46 CFR 69 Subparts C or D, details showing relevant features such as the depth of side and bottom frames or floor timbers should also be included. The sketches need not be drawn to scale unless the measurement organization finds it to be necessary for accuracy or to ensure against claim of error.
- (5) **Molded Draft Records** - Copies of Load Line Certificates, stability letters, or other records used as the basis for the assigned molded draft that appears on the reverse of the International or U.S. Tonnage Certificate.
- (6) **Tonnage Mark Certification Documents** - Copies of documents required under 46 CFR 69.179(a) for certifying dual measurement system markings.

**(b) VESSELS BEING REMEASURED**

For vessels being remeasured, the tonnage file requirements for vessels being initially measured also apply. Copies of superseded tonnage file information issued for the vessel by the measurement organization shall be retained in the tonnage file. Copies of tonnage file information issued by other measurement organizations and the Coast Guard (or predecessor agencies) may be included in the tonnage file at the discretion of the measurement organization.

**6.3 RETENTION OF TONNAGE FILE INFORMATION**

Requirements on retention of information in the tonnage file are as follows:

**(a) LONG-TERM RECORDS**

Tonnage calculations, tonnage certificates, water ballast justification approval letters, and tonnage mark certification records are considered long-term records, and shall be retained until such time that the measurement organization's Memorandum of Agreement (or equivalent) with the Coast Guard is terminated. At that time, copies of International Tonnage Certificates and associated tonnage calculations for those vessels whose International Tonnage Certificates are still in effect shall be provided to the MSC to meet requirements under Article 10(3) of the International Convention on Tonnage Measurement of Ships, 1969. Once these copies have been provided to the MSC, disposition of the long-term records is at the discretion of the measurement organization.

**(b) OTHER INFORMATION**

Vessel file material other than that described in Section 6.3(a) shall be retained, as a minimum, for one year following issuance of the associated tonnage certificate, or until the measurement organization's Memorandum of Agreement (or equivalent) with the Coast Guard is cancelled, whichever comes first.

**6.4 COAST GUARD TONNAGE FILES**

Between 1993 and 2003, the Coast Guard transferred tonnage files to measurement organizations for vessels that were being remeasured by the measurement organization, or for which the parent classification society had classed the vessel. These records are designated as "Permanent" records and remain the property of the Coast Guard. The measurement organization may return these records to the MSC at any time. They shall be returned to the MSC following termination of the governing MOU (or equivalent) or upon request by the MSC. Information from these files shall not be released to other parties without prior authorization from the MSC. Parties interested in obtaining information from these files should be directed to the MSC.

## 7. APPROVAL OF WATER BALLAST JUSTIFICATIONS

### 7.1 PURPOSE

The purpose of this section is to delineate minimum requirements for approving water ballast justifications submitted under the provisions of 46 CFR 69.117(f)(4).

### 7.2 GENERAL

Water ballast justifications meeting all of the requirements of 46 CFR 69.117(f)(4) shall be approved by a letter issued by the measurement organization and addressed to the water ballast justification submitter. A copy of the letter shall be retained in the tonnage file.

### 7.3 APPROVAL LETTER CONTENTS

As a minimum, the water ballast justification approval letter shall contain the following information:

- (a) **Vessel Name** The vessel's name, if available.
- (b) **Official Number** The vessel's official number, if assigned. If an official number is not assigned, include builder and hull / hull identification number.
- (c) **Purpose of Water Ballast** A brief statement identifying the applicable purpose(s) for carrying the water ballast that is(are) listed in 46 CFR 69.117(f).
- (d) **Ballast Tank Information** A listing of all ballast tanks in the water ballast system, their approximate location by frame number, and the fluid capacity (e.g. cubic feet of volume available for water ballast) of each. If frame numbers are not available, specify the location in terms of distance from any convenient reference point (e.g. 5-10 m aft of stem).
- (e) **Service** The vessel service for which the approval applies (e.g. fishing service).