

## Coast Guard, DHS

## § 155.1035

plan submission according to the procedures of §155.1065, the owner or operator may address the provisions of Regulation 37 of MARPOL 73/78 if the owner or operator—

(1) Develops a vessel response plan under §155.1030 and §§155.1035, 155.1040, or 155.1045, as applicable;

(2) Expands the plan to cover discharges of all oils defined under MARPOL, including fuel oil (bunker) carried on board. The owner or operator is not required to include these additional oils in calculating the planning volumes that are used to determine the quantity of response resources that the owner or operator must ensure through contract or other approved means;

(3) Provides the information on authorities or persons to be contacted in the event of an oil pollution incident as required by Regulation 37 of MARPOL 73/78. This information must include—

(i) An appendix containing coastal State contacts for those coastal States the exclusive economic zone of which the vessel regularly transits. The appendix should list those agencies or officials of administrations responsible for receiving and processing pollution incident reports; and

(ii) An appendix of port contacts for those ports at which the vessel regularly calls; and

(4) Expands the plan to include the procedures and point of contact on the ship for coordinating shipboard activities with national and local authorities in combating an oil spill incident. The plan should address the need to contact the coastal State to advise them of action(s) being implemented and determine what authorization(s), if any, are needed.

(5) Provides a cross reference section to identify the location of the information required by §155.1030(j).

(k) A vessel carrying oil as a secondary cargo may comply with the requirements of §155.1045 by having a response plan approved under Regulation 37 of MARPOL 73/78 with the addition of the following—

(1) Identification of the qualified individual and alternate that meets the requirements of §155.1026;

(2) A geographic specific appendix meeting the requirements of

§155.1045(i), including the identification of a contracted oil spill removal organization;

(3) Identification of a spill management team;

(4) An appendix containing the training procedures required by 155.1045(f); and

(5) An appendix containing the exercise procedures required by 155.1045(g).

(1) For plans submitted prior to the effective date of this final rule, the owner or operator of each vessel may elect to comply with any or all of the provisions of this final rule by amending or revising the appropriate section of the previously submitted plan.

[CGD 91-034, 61 FR 1081, Jan. 12, 1996, as amended by USCG-2008-0179, 73 FR 35015, June 19, 2008]

### § 155.1035 Response plan requirements for manned vessels carrying oil as a primary cargo.

(a) *General information and introduction.* This section of the response plan must include—

(1) The vessel's name, country of registry, call sign, official number, and International Maritime Organization (IMO) international number (if applicable). If the plan covers multiple vessels, this information must be provided for each vessel;

(2) The name, address, and procedures for contacting the vessel's owner or operator on a 24-hour basis;

(3) A list of the COTP zones in which the vessel intends to handle, store, or transport oil;

(4) A table of contents or index of sufficient detail to permit personnel with responsibilities under the response plan to locate the specific sections of the plan; and

(5) A record of change(s) page to record information on plan reviews, updates or revisions.

(b) *Notification procedures.* This section of the response plan must include the following notification information:

(1) A checklist with all notifications, including telephone or other contact numbers, in order of priority to be made by shipboard or shore-based personnel and the information required for those notifications. Notifications must include those required by—

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(i) MARPOL 73/78 and 33 CFR part 153; and

(ii) Any applicable State.

(2) Identification of the person(s) to be notified of a discharge or substantial threat of a discharge of oil. If the notifications vary due to vessel location, the persons to be notified also must be identified in a geographic-specific appendix. This section must separately identify—

(i) The individual(s) or organization(s) to be notified by shipboard personnel; and

(ii) The individual(s) or organization(s) to be notified by shore-based personnel.

(3) The procedures for notifying the qualified individual(s) designated by the vessel's owner or operator.

(4) Descriptions of the primary and, if available, secondary communications methods by which the notifications will be made that should be consistent with the regulations in § 155.1035(b)(1).

(5) The information that is to be provided in the initial and any follow up notifications required by paragraph (b)(1) of this section.

(i) The initial notification may be submitted in accordance with IMO Resolution A648(16) "General Principles for Ship Reporting Systems and Ship Reporting Requirements" which is available through the Office of Operating and Environmental Standards (CG-522), U.S. Coast Guard Headquarters, 2100 2nd St., SW., Stop 7126, Washington, DC 20593-7126. It must include at least the following information:

(A) Vessel name, country of registry, call sign, and official number (if any);

(B) Date and time of the incident;

(C) Location of the incident;

(D) Course, speed, and intended track of vessel;

(E) Radio station(s) and frequencies guarded;

(F) Date and time of next report;

(G) Type and quantity of oil on board;

(H) Nature and detail of defects, deficiencies, and damage (e.g. grounding, collision, hull failure, etc.);

(I) Details of pollution, including estimate of oil discharged or threat of discharge;

(J) Weather and sea conditions on scene;

(K) Ship size and type;

(L) Actions taken or planned by persons on scene;

(M) Current conditions of the vessel; and

(N) Number of crew and details of injuries, if any.

(ii) After the transmission of the initial notification, as much as possible of the information essential for the protection of the marine environment as is appropriate to the incident must be reported to the appropriate on-scene coordinator in a follow-up report. This information must include—

(A) Additional details on the type of cargo on board;

(B) Additional details on the condition of the vessel and ability to transfer cargo, ballast, and fuel;

(C) Additional details on the quantity, extent and movement of the pollution and whether the discharge is continuing;

(D) Any changes in the on-scene weather or sea conditions; and

(E) Actions being taken with regard to the discharge and the movement of the ship.

(6) Identification of the person(s) to be notified of a vessel casualty potentially affecting the seaworthiness of a vessel and the information to be provided by the vessel's crew to shore-based personnel to facilitate the assessment of damage stability and stress.

(c) *Shipboard spill mitigation procedures*. This section of the response plan must include—

(1) Procedures for the crew to mitigate or prevent any discharge or a substantial threat of such discharge of oil resulting from shipboard operational activities associated with internal or external cargo transfers. Responsibilities of vessel personnel should be identified by job title. These procedures must address personnel actions in the event of a—

(i) Transfer system leak;

(ii) Tank overflow; or

(iii) Suspected cargo tank or hull leak;

(2) Procedures in the order of priority for the crew to mitigate or prevent any discharge or a substantial threat of such a discharge in the event of the following casualties or emergencies:

(i) Grounding or stranding.

- (ii) Collision.
- (iii) Explosion or fire, or both.
- (iv) Hull failure.
- (v) Excessive list.
- (vi) Equipment failure (e.g. main propulsion, steering gear, etc.);
- (3) Procedures for the crew to deploy discharge removal equipment as required under subpart B of this part;
- (4) The procedures for internal transfers of cargo in an emergency;
- (5) The procedures for ship-to-ship transfers of cargo in an emergency:
  - (i) The format and content of the ship-to-ship transfer procedures must be consistent with the Ship to Ship Transfer Guide (Petroleum) (incorporated by reference; see §155.140) published jointly by the International Chamber of Shipping and the Oil Companies International Marine Forum (OCIMF).
  - (ii) The procedures must identify the response resources necessary to carry out the transfers, including—
    - (A) Fendering equipment (ship-to-ship only);
    - (B) Transfer hoses and connection equipment;
    - (C) Portable pumps and ancillary equipment;
    - (D) Lightering and mooring masters (ship-to-ship only); and
    - (E) Vessel and barge brokers (ship-to-ship only).
  - (iii) Reference can be made to a separate oil transfer procedure and lightering plan carried aboard the vessel, provided that safety considerations are summarized in the response plan.
  - (iv) The location of all equipment and fittings, if any, carried aboard the vessel to perform such transfers must be identified;
- (6) The procedures and arrangements for emergency towing, including the rigging and operation of any emergency towing equipment, including that required by subpart B of this part, aboard the vessel;
- (7) The location, crew responsibilities, and procedures for use of shipboard equipment which may be carried to mitigate an oil discharge;
- (8) The crew responsibilities, if any, for recordkeeping and sampling of spilled oil. Any requirements for sampling must address safety procedures to be followed by the crew;
- (9) The crew's responsibilities, if any, to initiate a response and supervise shore-based response resources;
- (10) Damage stability and hull stress considerations when performing shipboard mitigation measures. This section must identify and describe—
  - (i) Activities in which the crew is trained and qualified to execute absent shore-based support or advice; and
  - (ii) The information to be collected by the vessel's crew to facilitate shore-based assistance; and
- (11)(i) Location of vessel plans necessary to perform salvage, stability, and hull stress assessments. A copy of these plans must be maintained ashore by either the vessel owner or operator or the vessel's recognized classification society unless the vessel has pre-arranged for a shore-based damage stability and residual strength calculation program with the vessel's baseline strength and stability characteristics pre-entered. The response plan must indicate the shore location and 24-hour access procedures of the calculation program or the following plans:
  - (A) General arrangement plan.
  - (B) Midship section plan.
  - (C) Lines plan or table of offsets.
  - (D) Tank tables.
  - (E) Load line assignment.
  - (F) Light ship characteristics.
- (ii) The plan must identify the shore location and 24-hour access procedures for the computerized, shore-based damage stability and residual structural strength calculation programs required by §155.240.
  - (d) *Shore-based response activities.* This section of the response plan must include the following information:
    - (1) The qualified individual's responsibilities and authority, including immediate communication with the Federal on-scene coordinator and notification of the oil spill removal organization(s) identified in the plan.
    - (2) If applicable, procedures for transferring responsibility for direction of response activities from vessel personnel to the shore-based spill management team.
    - (3) The procedures for coordinating the actions of the vessel owner or operator or qualified individual with the

predesignated Federal on-scene coordinator responsible for overseeing or directing those actions.

(4) The organizational structure that will be used to manage the response actions. This structure must include the following functional areas and must further include information for key components within each functional area:

- (i) Command and control;
- (ii) Public information;
- (iii) Safety;
- (iv) Liaison with government agencies;
- (v) Spill response operations;
- (vi) Planning;
- (vii) Logistics support; and
- (viii) Finance.

(5) The responsibilities of, duties of, and functional job descriptions for each oil spill management team position within the organizational structure identified in paragraph (d)(4) of this section.

(e) *List of contacts.* The name, location, and 24-hour contact information for the following key individuals and organizations must be included in this section of the response plan or, if more appropriate, in a geographic-specific appendix and referenced in this section of the response plan:

- (1) Vessel owner or operator.
- (2) Qualified individual and alternate qualified individual for the vessel's area of operation.
- (3) Applicable insurance representatives or surveyors for the vessel's area of operation.
- (4) The vessel's local agent(s) for the vessel's area of operation.
- (5) Person(s) within the oil spill removal organization to notify for activation of that oil spill removal organization for the three spill scenarios identified in paragraph (i)(5) of this section for the vessel's area of operation.

(6) Person(s) within the identified response organization to notify for activating that organization to provide:

- (i) The required emergency lightering required by § 155.1050(j), § 155.1052(g), § 155.1230(g), or § 155.2230(g), as applicable to the type of service of the vessel; and
- (ii) The required salvage and fire-fighting required by § 155.1050(j),

§ 155.1052(e), § 155.1230(e), and § 155.2230(e), as applicable to the type of service of the vessel.

(7) Person(s) to notify for activation of the spill management team for the spill response scenarios identified in paragraph (i)(5) of this section for the vessel's area of operation.

(f) *Training procedures.* This section of the response plan must address the training procedures and programs of the vessel owner or operator to meet the requirements in § 155.1055.

(g) *Exercise procedures.* This section of the response plan must address the exercise program to be carried out by the vessel owner or operator to meet the requirements in § 155.1060.

(h) *Plan review, update, revision, amendment, and appeal procedure.* This section of the response plan must address—

- (1) The procedures to be followed by the vessel owner or operator to meet the requirements of § 155.1070; and
- (2) The procedures to be followed for any post-discharge review of the plan to evaluate and validate its effectiveness.

(i) *Geographic-specific appendices for each COTP zone in which a vessel operates.* A geographic-specific appendix must be included for each COTP zone identified. The appendices must include the following information or identify the location of such information within the plan:

- (1) A list of the geographic areas (port areas, rivers and canals, Great Lakes, inland, nearshore, offshore, and open ocean areas) in which the vessel intends to handle, store, or transport oil within the applicable COTP zone.
- (2) The volume and group of oil on which the required level of response resources are calculated.
- (3) Required Federal or State notifications applicable to the geographic areas in which a vessel operates.
- (4) Identification of the qualified individuals.
- (5) Identification of the oil spill removal organization(s) that are identified and ensured available, through contract or other approved means, and the spill management team to respond to the following spill scenarios:
  - (i) Average most probable discharge.

(ii) Maximum most probable discharge.

(iii) Worst case discharge.

(6) The organization(s) identified to meet the requirements of paragraph (i)(5) of this section must be capable of providing the equipment and supplies necessary to meet the requirements of §§ 155.1050, 155.1052, 155.1230, and 155.2230, as appropriate, and sources of trained personnel to continue operation of the equipment and staff the oil spill removal organization(s) and spill management team identified for the first 7 days of the response.

(7) The appendix must list the response resources and related information required under §§ 155.1050, 155.1052, 155.1230, 155.2230, and Appendix B of this part, as appropriate.

(8) If an oil spill removal organization(s) has been evaluated by the Coast Guard and their capability has been determined to equal or exceed the response capability needed by the vessel, the appendix may identify only the organization and their applicable classification and not the information required in paragraph (i)(7) of this section.

(9) For vessels that handle, store, or transport Group I through Group V petroleum oils, the appendix must also separately list the resource providers identified to provide the salvage, vessel firefighting, and lightering capabilities required in this subpart.

(10) For vessels that handle, store, or transport Group II through Group IV petroleum oils, and that operate in waters where dispersant use pre-authorization agreements exist, the appendix must also separately list the resource providers and specific resources, including appropriately trained dispersant-application personnel, necessary to provide, if appropriate, the dispersant capabilities required in this subpart. All resource providers and resources must be available by contract or other approved means. The dispersant resources to be listed within this section must include the following:

(i) Identification of each primary dispersant staging site to be used by each dispersant-application platform to meet the requirements of § 155.1050(k) of this chapter;

(ii) Identification of the platform type, resource provider, location, and dispersant payload for each dispersant-application platform identified. Location data must identify the distance between the platform's home base and the identified primary dispersant-staging site(s) for this section.

(iii) For each unit of dispersant stockpile required to support the effective daily application capacity (EDAC) of each dispersant-application platform necessary to sustain each intended response tier of operation, identify the dispersant product resource provider, location, and volume. Location data must include the distance from the stockpile to the primary staging sites where the stockpile would be loaded onto the corresponding platforms. If an oil spill removal organization has been evaluated by the Coast Guard and its capability has been determined to meet the response capability needed by the owner or operator, the section may identify the oil spill removal organization only, and not the information required in paragraphs (i)(10)(i) through (i)(10)(iii) of this section.

(11) The appendix must also separately list the resource providers and specific resources necessary to provide oil-tracking capabilities required in this subpart. The oil tracking resources to be listed within this section must include the following:

(i) The identification of a resource provider; and

(ii) The type and location of aerial surveillance aircraft that have been ensured available, through contract or other approved means, to meet the oil tracking requirements of § 155.1050(1) of this chapter.

(j) *Appendices for vessel-specific information.* This section must include for each vessel covered by the plan the following information:

(1) List of the vessel's principal characteristics.

(2) Capacities of all cargo, fuel, lube oil, ballast, and fresh water tanks.

(3) The total volume and cargo groups of oil cargo that would be involved in the—

(i) Maximum most probable discharge; and

(ii) Worst case discharge.

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(4) Diagrams showing location of all tanks.

(5) General arrangement plan (can be maintained separately aboard the vessel providing the response plan identifies the location).

(6) Midships section plan (can be maintained separately aboard the vessel providing the response plan identifies the location).

(7) Cargo and fuel piping diagrams and pumping plan, as applicable (can be maintained separately aboard the vessel providing the response plan identifies the location).

(8) Damage stability data (can be maintained separately providing the response plan identifies the location).

(9) Location of cargo and fuel stowage plan for vessel (normally maintained separately aboard the vessel).

(10) Location of information on the name, description, physical and chemical characteristics, health and safety hazards, and spill and firefighting procedures for the oil cargo aboard the vessel. A material safety data sheet meeting the requirements of 29 CFR 1910.1200, cargo information required by 33 CFR 154.310, or equivalent will meet this requirement. This information can be maintained separately.

[CGD 91-034, 61 FR 1081, Jan. 12, 1996, as amended by CGD 96-026, 61 FR 33666, June 28, 1996; USCG-2005-21531, 70 FR 36349, June 23, 2005; USCG-2008-0179, 73 FR 35015, June 19, 2008; USCG-2001-8661, 74 FR 45027, Aug. 31, 2009; USCG-2010-0351, 75 FR 36285, June 25, 2010]

**§ 155.1040 Response plan requirements for unmanned tank barges carrying oil as a primary cargo.**

(a) *General information and introduction.* This section of the response plan must include—

(1) A list of tank barges covered by the plan, which must include the country of registry, call sign, IMO international numbers (if applicable), and official numbers of the listed tank barges;

(2) The name, address, and procedures for contacting the barge's owner or operator on a 24-hour basis;

(3) A list of the COTP zones in which the tank barges covered by the plan intend to handle, store, or transport oil;

(4) A table of contents or index of sufficient detail to permit personnel with

responsibilities under the response plan to locate the specific sections of the plan; and

(5) A record of change(s) page used to record information on plan reviews, updates or revisions.

(b) *Notification procedures.* This section of the response plan must include the following notification information:

(1) A checklist with all notifications. The checklist must include notifications required by MARPOL 73/78, 33 CFR part 153, and any applicable State, including telephone or other contact numbers, in the order of priority and the information required for those notifications to be made by the—

- (i) Towing vessel;
- (ii) Vessel owner or operator; or
- (iii) Qualified individual.

(2) Identification of the person(s) to be notified of a discharge or substantial threat of a discharge of oil. If the notifications vary due to the location of the barge, the persons to be notified also must be identified in a geographic-specific appendix. This section must separately identify—

- (i) The individual(s) or organization(s) to be notified by the towing vessel; and
- (ii) The individual(s) or organization(s) to be notified by shore-based personnel.

(3) The procedures for notifying the qualified individuals designated by the barge's owner or operator.

(4) Identification of the primary and, if available, secondary communications methods by which the notifications will be made, consistent with the requirements of paragraph (b)(1) of this section.

(5) The information that is to be provided in the initial and any follow-up notifications required by paragraph (b)(1) of this section.

(i) The initial notification information must include at least the following information:

- (A) Towing vessel name (if applicable);
- (B) Tank barge name, country of registry, and official number;
- (C) Date and time of the incident;
- (D) Location of the incident;
- (E) Course, speed, and intended track of towing vessel (if applicable);