Table of Contents

Section 1	Summary Summary
1.1	Why Have A Regulatory Reference Guide?
1.2	How to Use the Regulatory Reference Guide
Section 2	U.S. FEDERAL ENVIRONMENTAL REGULATORY REQUIREMENTS
2.1	The Oil Pollution Act 1990 (OPA 90)
2.1.1	Certificate of Financial Responsibility (COFR)
2.1.1.1	Carriage of USCG COFR Onboard No Longer Required
2.1.2	COFR Application Procedure
2.1.2.1	First Time COFR Applications
2.1.2.2	COFR Guaranty / Guarantor
2.1.2.2.1	Bridge Letter
2.1.2.3	Renew an existing COFR (adding new vessel(s))
2.1.2.4	New COFR Requirements
2.1.3	Comprehensive Environmental Response Compensation & Liability (CERCLA)
2.1.4	Recoverable Damages Under OPA 90
2.1.5	Limit of Liability Under OPA 90
2.1.6	Complete Defenses Under OPA 90
2.2	THE ROLE OF QUALIFIED INDIVIDUAL (QI)
2.3	The United States Coast Guard (USCG)
2.3.1	Explanation of the USA Ocean Boundaries"
2.3.2	Captain of the Port (COTP) Boundaries & Related Information
2.3.2.1	Necessary Action Before Entering a COTP Zone for Vessels
2.3.2.2	Recommended Actions Before a Vessel's Entry into a COTP zone by the Owner/Operator/Manager
2.4	The Role Of The Oil Spill Response Organization (OSRO)
2.4.1	Marine Spill Response Corporation (MSRC)
2.4.1.1	MSRC Addendum Concerning the Use of Dispersants
2.4.2	National Response Corporation (NRC)
2.4.2.1	NRC Addendum Concerning Use of Dispersants
2.4.3	Average Most Probable Discharge (AMPD)
2.4.3.1	Clarification of AMPD Requirements at MTR Facilities
2.4.3.2	AMPD Standby Lightering Coverage
2.4.3.2.1	Most Frequently Used U.S. Lightering Areas Requiring AMPD Standby Coverage
2.4.3.3	AMPD Requirements for Tank Vessels Calling Barber's Point (Hawaii)
2.4.3.4	Designated Lightering Zones in the Gulf of Mexico – AMPD Coverage Not Required
2.4.3.5	LOOP – AMPD Standby Lightering Coverage NOT Required
2.4.3.6	USCG Pre-Arrival Notification Requirements for Lightering Oil & HazSub Cargoes
2.4.3.6.1	Pre-Arrival Lightering Notification Form Issued by Sector Houston/Galveston
2.4.4	Additional OSRO Requirements for Vessels Operating in Remote Areas in U.S.

ECM Regulatory Reference Guide (RRG)

2.5	Salvage and Fire Fighting Requirements
2.5.1	Current Applicability for Nontank Vessels
2.5.2	Applicability for Vessels under the Final Rule 33 CFR 155.4010-4055
2.5.2.1	<u>Overview</u>
2.5.2.2	Salvage Requirements to be included in the VRPs
2.5.2.3	SMFF Criteria – Incorporation By Reference into VRPs
2.6	tank Vessel Response Plan (TVRP)
2.6.1	<u>Applicability</u>
2.6.2	Exemptions
2.6.3	Are Gas Carriers a "Tank" or "Nontank" Vessel Under OPA 90
2.6.4	OPA 90 Definition of "Oil" Under OPA 90
2.6.4.1	Nonfloating Oil (NFO)
2.6.5	Required Evidence of Plan Approval
2.6.6	TVRP Submission Timeframes
2.6.6.1	TVRP Annual Review / Resubmission / Revisions
2.6.7	TVRP One-Time Port Waiver
2.6.8	How to Obtain the TVRP
2.6.8.1	The ECM Tank Vessel Compliance Data Form
2.7	Nontank Vessel Response Plan (NTVRP)
2.7.1	USCG Enforcement of NTVRP
2.7.1.1	SMFF Requirements for NTVRP Compliance
2.7.1.2	OSRO Compliance for NTVRP Compliance
2.7.1.3	Side-by-Side OSRO Comparison for Nontank Vessels
2.7.2	How to Obtain an NTVRP
2.7.2.1	The ECM Nontank Vessel Compliance Data Form
2.7.3	Resubmission of NTVRP
2.7.4	Additional OSRO & APC Requirements for Nontank Vessels Operating in Remote Areas in USA
2.7.4.1	Nontank Vessels – Action Required Prior to Calling Alaska
2.7.4.2	Alaska APC Options for Nontank Vessels
2.7.4.3	Alaska APC Enrollment Fees for Nontank Vessels
2.8	U.S. Federal Ballast Water Management Requirements
2.8.1	Ballast Water Online Reporting
2.8.2	Ballast Water Management Fax Reporting
2.8.3	Ballast Water Sampling and BWM Examination
2.8.4	Ballast Water Management Plan
2.8.5	New USCG Ballast Water Management Requirements
2.8.6	USCG BWTS First Type Approvals

Rev. 40 – July 2022 Page 2 of 11

2.8.7	USA & Individual States BWM Matrix
2.8.8	Reporting inoperative BWTS when in US waters or bound for the US
2.9	Sewage Disposal
2.9.1	Types of Marine Sanitation Devices (MSDs)
2.9.1.1	No Discharge Zones (NDZ) for Sewage
2.10	Garbage Management and Disposal
2.10.1	Ship Sanitation Control Certificates
2.11	Engine Room Bilge Water and Sludge Disposal
2.11.1	Oily Water Separator (OWS) Operation and Use
2.12	Air Pollution Prevention
2.12.1	Vapor Control Requirements For Tank Vessels Operating In the USA
2.12.1a	USCG Requirements
2.12.1b	<u>Vessel Requirements</u>
2.12.1c	Vapor Tightness Certification
2.12.1d	Additional Requirements for Cargoes Other than Crude Oil, Gasoline, and Benzene
2.13	On Board Spill Equipment Requirements
2.13.1	Tank Vessel On Board Spill Equipment
2.13.2	Nontank Vessel On Board Spill Equipment
2.14	U.S. Meets MARPOL Annex II Requirements (Noxious Liquid Substances Carried In Bulk)
2.14.1	Provision of Cargo Information
2.14.2	Waste Reception Facilities / Certificate of Adequacy
2.14.3	US Regulations Annex II
2.14.3.1	Classification of Products
2.14.3.2	Cleaning Additives
2.14.4	Guidance for Discharge of Cargo Residue - NLS
2.14.5	Guidance of Discharge of Oily Mixtures from Oil Cargoes
2.15	Documentation Required to Be On Board in the USA
2.16	<u>Training & Exercises Requirements under OPA 90</u>
2.16.1	Requirements for Tank & Nontank Vessels
2.16.1.1	Training Requirements
2.16.2	Exercise Requirements Tank and Nontank Vessels
2.16.2.1	Purpose of PREP Guidelines
2.16.2.2	<u>Plan Holder Exercise Requirements</u>
2.16.2.3	Definition of an Incident Management Team
2.16.2.4	ECM's Incident Management Team Annual Exercise Program
2.16.2.5	In-Office Exercises
2.16.2.6	Shore-based Salvage Management Team & Marine Firefighting Management Team Exercises
21627	Qualified Individual Notification Exercise Explanation

Rev. 40 – July 2022 Page 3 of 11

2.16.2.8	Remote Assessment & Consultation Exercise - Explanation
2.16.2.9	Government-Initiated Unannounced Exercise – Tank Vessels
2.16.3	National Incident Management System (NIMS) / Incident Command System (ICS)
2.17	Clarification of the ECM Vessel Notification Procedures
2.17.1	Voyage Reporting
2.17.2	Q.I. Notification Exercise
2.18	Cruise Vessel Safety & Security Act of 2010
2.18.1	CVSSA Applicability
2.18.2	<u>Training</u>
2.18.3	Statutory Requirements
Section 3	U.S. STATES REGULATORY REQUIREMENTS
-	Map of the United States
3.1	U.S. States Rights
3.2	Alaska
3.2.1	Tank Vessels Requirements (Alaska Oil Discharge Prevention and Contingency Plan & Alaska State COFR)
3.2.1.1	How to Obtain Alaska State Compliance for Tank Vessels
3.2.1.2	USCG Requirements for Tank Vessels Operating in or Transiting Through Alaska State Waters
3.2.1.3	Documents Required to Arrange TVRP Approval for Alaska
Α.	Documents Required to Obtain TVRP Approval for Operating / Transiting through the Western Alaska COTP zone, west of Cook Inlet
B.	Documents Required to Obtain TVRP Approval for Calling Ports in Cook Inlet
C.	<u>Documents Required to Obtain TVRP Approval for Conducting STS Operations Offshore – Kivalina/Red Dog Mine in the Western Alaska COTP zone</u>
D.	Documents Required to Obtain TVRP Approval for Transiting Through the Southeast Alaska COTP zone
3.2.2	Alaska Nontank Vessels Requirements
3.2.2.1	Alaska Nontank Vessel Contingency Plan
3.2.2.2	Complete the ECM Alaska NT Vessel Supplemental Data Form B
3.2.2.3	Alaska State COFR Requirement for Nontank Vessels
3.2.2.4	Alaska OSRO & Alternative Planning Criteria Requirements for Nontank Vessels
A.	Alaska State OSROs
B. ///	USCG Alternative Planning Criteria Requirements – Western Alaska COTP Zone
C. •	USCG Requirements – Southeast Alaska COTP Zone
3.2.2.5	Alaska OSRO Rates for Nontank Vessel
A.	Southeast Alaska Petroleum Response Organization (SEAPRO)
B.	Alaska Chadux Corporation
C.	Enrollment for Nontank Vessels Operating in Kivalina (Red Dog Mine)
3.3	<u>California</u>
3.3.1	California Requirements for Tank and Nontank Vessels

Rev. 40 – July 2022 Page 4 of 11

3.3.1.1	California Vessel Emergency Services (salvage)
3.3.1.2	California Shoreline Protection Regulations
3.3.1.2.1	Required 24 Hour Advance Notice OSRO for CASP Coverage
3.3.1.3	California Drill Requirements
3.3.1.4	California Unannounced Drill
3.3.1.5	California Ballast Water Management Requirements
3.3.1.5.1	California Ballast Water Reporting Procedures
3.3.1.5.2	California Marine Invasive Species Fee
3.3.2	California Requirements for Tank Vessels
3.3.2.1	California Tank Vessel Oil Spill Contingency Plan
3.3.2.1.1	California Applicability Standards for ATBs
3.3.2.2	California Tank COFR Application
3.3.3	California Requirements for Nontank Vessels
3.3.3.1	California Nontank Vessel Contingency Plan
3.3.3.2	California Nontank Vessel COFR Application
3.3.3.2.1	Background
3.3.3.2.2	California Nontank Vessel Application Fee Submission
3.3.3.2.3	California COFR Renewal Process
3.3.3.2.4	Action Required – CA COFR Application – Vessel Name Change
3.3.3.2.5	California COFR Submission of Renewal of P& Certificate of Entry
3.3.4	Preventive Measures During Bunkering Operations
3.3.5	OTHER ENVIRONMENTAL PROTECTION MEASURES IN CALIFORNIA
3.3.5.1	California Clean Coast Act – (for sewage, gray water and incineration)
3.3.5.2	California Air Resource Board (CARB) – Ocean-Going Vessel Low Sulfur Fuel Requirements
3.3.5.2.1	CARB Ocean-Going Vessel Low Sulfur Fuel Requirements – Safety Exemption
3.3.5.3	CARB Airborne Toxic Control Measure for Auxiliary Diesel Engines Operated on Ocean-Going Vessels At-Berth in a CA Port
3.3.5.4	CSLC – Biofouling Regulations
3.3.5.5	EPA NDZ for California State Waters
3.3.5.6	Southern California Voluntary Vessel Speed Reduction Incentives
3.3.5.6.1	Port of Long Beach Green Flag Program
3.3.5.6.2	Port of Los Angeles Vessel Speed Reduction Incentive Program
3.3.5.6.3	Expansion of the Boundaries of the Cordell Bank & Gulf of the Farallones National Marine Sanctuaries
3.4	<u>Great Lakes</u>
3.4.1	Great Lakes Ballast Water Management Requirements
3.4.2	New Ballast Water Rules for the St. Lawrence Seaway
3.4.2.1	St. Lawrence Seaway Area
3.5	Guam COTP Zone

Rev. 40 – July 2022 Page 5 of 11

3.5.1	Action Required to Obtain VRP Approval to Operate in the Guam COTP zone (Saipan, Tinian)
3.5.1.1	Prior to Calling Guam (CNMI)
Α.	OSROCO/T&T Marine Rate Schedule for Tank Vessels
В.	OSROCO/T&T Marine Rate Schedule for Nontank Vessels
3.5.2	Guam & the Northern Mariana Islands Ballast Water Management Requirements
3.6	Hawaii & American Samoa
3.6.1	OPA 90 Tank & Nontank VRP Requirements
3.6.2	Alternative Planning Criteria for for Tank & Nontank Vessels calling American Samoa
3.6.2.1	American Samoa APC – Conditions of Entry
3.6.3	Hawaii & American Samoa Ballast Water Management Requirements
3.6.3.1	Hawaii Ballast Water Reporting Requirements
3.6.4	Papahanaumokuakea Marine National Monument
3.6.4.1	Vessel Required to Provide Notification
3.6.4.2	Notification Procedures
3.7	<u>Louisiana</u>
3.7.1	Requirement for Tank and Nontank Vessels Calling Louisiana
3.7.2	Louisiana Offshore Oil Port (LOOP)
3.7.2.1	OPA 90 and Tank Vessels Operating at the LOOP
3.7.2.2	Other US VLCC Ports
3.8	Intentionally blank
3.9	Intentionally blank
3.10	<u>Michigan</u>
3.10.1	Michigan Ballast Water Management Requirements
3.11	Oregon
3.11.1	Oregon Contingency Plan Requirements
3.11.2	Oregon Unannounced Drill Program
3.11.3	Oregon Spill Reporting Requirements
3.11.4	Oregon Ballast Water Management Requirements
3.12	<u>Texas</u>
3.12.1	Texas General Land Office (TGLO)
3.12.2	VRP Requirements and Enrollment in TGLO Database
3.12.3	Texas Ballast Water Reporting Requirements
3.13	<u>Virginia</u>
3.13.1	Virginia Ballast Water Reporting Requirements
3.14	Washington
3.14.1	Washington Contingency Plan Requirements
3.14.2	Washington State Maritime Cooperative (WSMC)
3.14.2.1	WSMC Areas of Coverage

Rev. 40 – July 2022 Page 6 of 11

3.14.2.2	Washington Spill Reporting Requirements
3.14.2.3	Reciprocity Agreement with WSMC
3.14.2.4	New Washington Definition of "Oil"
3.14.3	Washington Unannounced Drill Program
3.14.4	Washington Advanced Notice of Transfer (ANT) for Vessels
3.14.5	WA Pre-Booming Requirements for Vessels Delivering Oil
3.14.6	Washington Safe Bunkering Operations for Tank & Nontank Vessels
3.14.7	Washington Ballast Water Management Requirements
3.14.7.1	Acceptable Ballast Water Exchange Area
3.14.7.2	Safety Exemptions
3.14.7.3	Washington Ballast Reporting Requirements
3.14.7.4	Washington Dept. Of Fish & Wildlife Inspections
3.14.8	Washington Tank Vessel Voluntary Best Achievable Protection Program (VBAP) & Exceptional Compliance Program (ECOPRO)
3.14.9	No Discharge Zone for Puget Sound
3.14.10	WASHINGTON STATE CONTINGENCY PLANS – EMERGENCY RESPONSE TOWING VESSEL (ERTV) REQUIREMENT
3.14.10.1	ERTV Enrollment Process
3.14.10.2	Fee Structure
3.14.10.3	Other Issues
3.14.11	Washington State Area to be Avoided
3.15	Wisconsin Ballast Water Management Requirements
Section 4	U.S. CUSTOMS AND BORDER PROTECTION REGULATION
4.1	Background
4.2	Standard Carrier Alpha Code (SCAC) Application
4.3	Custom Importer Identification Number
4.4	International Carrier Bond
4.4.1	Continuous Bond
4.4.2	Single Entry Bond
4.4.3	Adding a Vessel to an ICB
4.5	Automated Manifest System (AMS) Filing
4.6	Crew Manifest
4.7	ECM Can Help Ensure Your Compliance
4.8	Customs Trade Partnership Against Terrorism (CTPAT)
4.9	US Foreign Crew ID Requirements
4.9.1	USCG Port Security Advisories
4.9.2	<u>Visa Waiver Program</u>
4.10	Crewmember Security Plans

Rev. 40 – July 2022 Page 7 of 11

Section 5	OTHER U.S. REGULATORY REQUIREMENTS
5.1	electronic Notice Of Arrival/Departure (E-NOA/D) 96 Hr. Advanced Notification
5.1.1	Exemptions from the Reporting Requirements
5.1.2	When Submit NOA Changes
5.1.3	Electronic Notice of Arrival/Departure Submissions
5.1.4	CBP Penalties
5.1.5	Crew Members Security Plan
5.2	Reporting Marine Casualties
5.2.1	Notice of Hazardous Condition
5.2.2	Accidents to Machinery
5.2.3	Written Report of Marine Casualty
5.2.4	Alcohol or Drug Use by Individuals Directly Involved in Casualties and Testing Equipment
5.3	U.S. Maritime Security Requirements
5.3.1	Background
5.3.2	The Maritime Transportation Security Act (MTSA) and ISPS Code
5.3.3	Application of MTSA to Foreign Flagged SOLAS Vessels
5.3.4	USCG Issues New Security Advisory
5.3.5	Duration and Validity of Certificate
5.4	Vessel Inspections In U.S.
5.4.1	Coast Guard Port State Control Targeting and Boarding Policy
5.4.1.1	SOLAS Port State Control and Environment of Protection
5.4.1.2	PSC ISPS/MTSA Compliance
5.4.1.3	The Port State Information eXchange (PSIX) System
5.4.1.4	The 2010 Manila Amendments to the STCW Convention
5.4.2	Oil / Chemical Tanker Certificate of Compliance Examination (COC)
5.4.2.1	COC Inspection Application
5.4.2.2	Sub-Chapter "O" Endorsement for Gas Ships
5.4.2.3	Vessel or Owner/Operator Name Change & Impact to COC
5.4.2.4	COC Mid-Term Exam and Renewal
5.4.2.5	What to Expect with a USCG Boarding to Conduct a COC
5.4.3	USCG Overseas Inspections Information
5.4.4	USCG Inspections of Nontank Vessels
5.4.4.1	Port State Control & ISPS Inspections
5.4.5	USCG Condition of Entry Examination (COE)
5.4.5.1	Vessel Visiting Ports Listed in the PSA
5.4.5.2	USCG COE Examination
5.4.5.3	Vessel Requirements by USCG COE
5.5	<u>USCG Programs</u>

Rev. 40 – July 2022 Page 8 of 11

ECM Regulatory Reference Guide (RRG)

5.5.1	QUALSHIP 21
5.5.1.1	Eligibility Requirements
5.5.1.2	Incentives for Quality Vessels
5.5.1.3	How Your Vessel Qualifies
5.5.1.4	Exit Criteria
5.5.1.5	Renewing Eligibility
5.5.1.6	<u>Appeals</u>
5.5.1.7	E-Zero Designation
5.5.1.8	Receiving the E-Zero Designation
5.5.1.9	Advantages of E-Zero
5.5.2	USCG VOLUNTARY DISCLOSURE POLICY (VDP) FOR ENVIRONMENTAL CRIMES
5.6	Tests Before Entering Or Getting Underway (33 CFR 164)
5.7	EPA – National Pollutant Discharge Elimination System (NPDES)
5.7.1	Background
5.7.2	NPDES Final Rule
5.7.3	Water Quality Based Effluent Limitations
5.7.3.1	Corrective Actions
5.7.3.2	Inspections, Monitoring, Reporting and Recordkeeping
5.7.3.3	Reporting
5.7.3.4	Vessel Class-Specific Requirements
5.7.4	State Requirements for the NPDES Vessel General Permit
5.7.5	The Vessel Incidental Discharge Act of 2018 (VIDA)
5.7.6	Recommendation
5.7.7	Compliance Assistance from ECM
5.8	Uscg Requirements For Hydrostatic Testing Of Bunker Lines
5.9	<u>Us Oil Transfer Procedures</u>
5.9.1	Contents of Oil Transfer Procedures
5.9.2	How ECM Can Assist with the Oil Transfer Procedures Plan
5.10	USCG Large Fleet Designation Program
5.11	US Wildlife And Fisheries – Right Whale Restrictions
5.12	north American Emission Control Area (ECA)
5.12.1	Caribbean Emission Control Area
5.12.2	Non-Availability of Compliant Fuel
5.13	Federal Maritime Commission
5.14	AGM (Formerly Asian Gypsy Moth) – Joint USDA & CFIA Bulletin – Feb 2019
Section 6	CANADIAN ENVIRONMENTAL REGULATORY REQUIREMENTS
6.1	Requirements Prior To Entering Canadian Waters

Rev. 40 – July 2022 Page 9 of 11

6.1.1	Canadian Response Organizations
6.1.2	Notification Prior to Entering Canadian Waters
6.1.3	Canada Ballast Water Management Requirements
6.1.4	Canada's Ratification of the Bunker Convention
6.1.4.1	<u>Applicability</u>
6.1.4.2	How to Obtain a Bunker Certificate
6.1.4.3	Increase of the Limits of Liability for Maritime Claims (LLMC)
6.1.5	CCG – Guidelines for Operating in Ice Control Zones in Eastern Canada
6.1.5.1	Additional Resources Regarding Ice Navigation in Canadian Waters
6.1.5.2	Vessels Operating in Ports North of the 60 N Parallel
6.2	Western Canada Pilotage Waiver
6.3	CBSA – Vessel Carrier Codes
6.4	Canadian ECA Requirements
6.5	AGM (Formerly Asian Gypsy Moth) – Joint USDA & CFIA Bulletin – FEB 2019
Section 7	PANAMA ENVIRONMENTAL REGULATORY REQUIREMENTS
7.1	Panama Canal Shipboard Oil Pollution Emergency Plans (PCSOPEP) Requirements
7.1.1	PCSOPEP Applicability
7.1.2	PCSOPEP Exemptions
7.1.3	PCSOPEP & the Authorized Person
7.1.4	Exercise and Drill Requirements under the PCSOPEP Regulations
7.1.5	Unannounced Drill Requirements
7.1.6	How to Obtain a PCSOPEP
7.1.7	PCSOPEP Approval Process
7.1.8	Vessel Name Change & Impact to NOI
Section 8	ARGENTINA, HONDURAS & URUGUAY ENVIRONMENTAL REGULATORY REQUIREMENTS – TANK VESSELS
8.1	Argentina National Contingency Plan – ANNEX 18 - Applicability
8.1.1	Argentina National Contingency Plan - Exemptions
8.2	Uruguay National Contingency Plan
8.2.1	Uruguay National Contingency Plan - Exemptions
8.3	Argentina & Uruguay OSRO Requirements for Tank Vessels
8.4	Honduras OSRO Requirements for Tank and Nontank Vessels
Section 9	OPRC HNS Protocol 2000 – Japan MDPC
9.1	<u>General</u>
9.1.1	<u>Applicability</u>
9.1.2	Signatories to OPRC HNS Protocol & Responsibilities
9.1.3	Definition of Hazardous & Noxious Substances Under OPRC
914	Plan Requirement for Vessels Flagged by Signatory Counties

Rev. 40 – July 2022 Page 10 of 11

9.1.5 <u>Japan – Maritime Disaster Prevention Center (MDPC)</u>

Section 10 ECM FORMS, QUESTIONNAIRES AND CHECKLISTS



Terminology and List of Acronyms



Revision History

Rev. 40 – July 2022 Page 11 of 11