



## Marine Safety Center Technical Note

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Date: June 20, 2000  
SSIC: 16717/46CFR69/P002131  
MTN: 01-98 CH-3

Subj: CHANGE 3 (CH-3) TO MTN 01-98, TONNAGE ADMINISTRATIVE POLICY

1. Purpose: This Technical Note amends the Tonnage Administrative Policy, to include additional requirements, clarifications and corrections, and to reflect that Bureau Veritas North America, Inc. (BVNA) has been approved as an authorized measurement organization.
2. Applicability: The procedures and instructions provided in this Technical Note apply only to those U.S. flag vessels that are measured by an authorized measurement organization under the provisions of Title 46, Code of Federal Regulations, Part 69.
3. Action: The Tonnage Administrative Policy, as amended by Change 3, is attached as Enclosure (1). Enclosure (2) provides a discussion of specific changes implemented by Change 3. Authorized measurement organizations are requested to implement Change 3 immediately. Any deviation from this Technical Note requires written approval from the MSC.

A handwritten signature in black ink, appearing to read "J. G. Lantz".

J. G. LANTZ

Encl: (1) Tonnage Administrative Policy  
(2) Changes in MTN 01-98 CH-3



# U.S. COAST GUARD

## MARINE SAFETY CENTER



# TONNAGE ADMINISTRATIVE POLICY

**This document provides administrative policy for use by organizations authorized to perform tonnage measurement work on behalf of the U.S. Coast Guard under the provisions of Title 46, Code of Federal Regulations, Part 69. Any request for a deviation from this policy shall be submitted in writing to the U.S. Coast Guard Marine Safety Center.**



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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 CF 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**

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. Revisions to tonnage certificates may also be made to reflect a change in the vessel name, upon request by the vessel owner. There are no MSC requirements on returning tonnage certificates that are superceded by a later revision.

## **1.9 CANCELLATION OF TONNAGE CERTIFICATES**

Tonnage certificates issued under the provisions of this document do not have expirations 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. There are no MSC requirements on returning cancelled tonnage certificates.

### **(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 establishment of or changes to 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 the Appendix.

### 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 suggested 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 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.

(1) **Length** - Specify the Registered Length as defined in 46 CFR 69.53, except as discussed below.

(2) **Breadth** - Specify the Registered Breadth as defined in 46 CFR 69.53, except as discussed below.

(3) **Molded Depth** - Specify the Molded Depth as defined in 46 CFR 69.53. This is also the Registered Depth.

For a column stabilized unit such as a semi-submersible drilling unit, the length and breadth must be the overall length and overall breadth as defined in 46 CFR 69 Subpart E. These dimensions must be annotated (e.g. 146.23 m (479.8 ft) \*"), and a corresponding statement added to the "REMARKS" block which reads: "\* Vessel is a XXXXXX. Length and breadth are overall dimensions ", where XXXXXX is the type of vessel. **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, followed by the frame locations. **Example:** "1ST TIER P/S: FR 106-114; 2ND TIER CNTRLINE FR 118-119." 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) MOULDED DRAUGHT**

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 assignment of tonnages in accordance with the measurement system of the 1969 Tonnage Convention; it should not refer to measurement under the regulatory (standard or dual) system.

**(f) DATE AND PLACE OF LAST PREVIOUS REMEASUREMENT**

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 ZZZZ.", 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 ZZZZ 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 (e.g. "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 (A.494XII, A.530(13), 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, A.530(13) 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 (Vc) 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 Vc." List appropriate tanks in the blank space.
- (6) **Vessel 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) **Vessel 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 tonnages and dimensions on the front of this certificate are the registered tonnages and 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 YYYYY. The reduced gross tonnage which should be used for the calculation of tonnage based fees is ZZZZZ.”, where YYYYY 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 the Appendix.

### 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.
- (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) Passenger Vessel - A vessel of at least 100 gross tons carrying at least one passenger for hire.
  - (vii) Mobile Offshore Drilling Unit (MODU) - 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.
  - (viii) 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.
  - (ix) 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.
  - (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) Small Passenger Vessel - A vessel of less than 100 gross tons carrying more than 6 passengers. This includes "crew boats" inspected under 46 CFR Subchapters K, K' and T.

- (xii) Tanker - A self-propelled tank vessel constructed or adapted primarily to carry oil or hazardous material in bulk in the cargo spaces.
  - (xiii) Training Vessel - A vessel operated by or in connection with a nautical school or similar educational institution.
  - (xiv) 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.
  - (xv) 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) 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 virgule (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.
- (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) Date Completed** - Specify the date that construction of the vessel for its intended purpose was completed. This date generally coincides with the delivery date. Specify the year only. For cases where the vessel is under construction and is not expected to be completed in the calendar year during which the certificate is issued, the date must be annotated (e.g. "1998\*"), and a corresponding statement added to the "REMARKS/RESTRICTIONS" block which reads: "Based on a scheduled delivery date of .....". Example: "\* Based on a scheduled delivery date of January 15, 1999."
- (8) 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.
- (9) **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. If propelling machinery is located in the hull, place an "X" in the block for "Propel Mchry in Hull".
- (10) **Overall Length** - Specify the overall length of the vessel in terms of both meters and feet. For this purpose, overall length is as defined in 46 CFR 69 Subpart E (simplified measurement).
- (11) **Registered Length** - Specify the registered length of the vessel in terms of both meters and feet.
- (12) **Registered Breadth** - Specify the registered breadth of the vessel in terms of both meters and feet.
- (13) **Registered Depth** - Specify the registered depth of the vessel in terms of both meters and feet.

(c) **REGISTERED TONNAGES**

The registered tonnages are those tonnages that apply to the vessel except as provided for by 46 U.S.C. 14305. For any vessel to be documented as a vessel of the United States, the registered tonnages that appear in this block are those that will appear on the vessel's Certificate of Documentation. Refer to the most recent revision of NVIC 11-93 for information of measurement systems that may be used for vessel documentation purposes. For vessels that will not be documented, the registered tonnages are the same as would have been assigned had the vessel been documented.

- (1) **Gross Tonnage** - Specify the registered gross tonnage. Truncate to the next lower whole number (e.g. a calculated gross tonnage of 99.95 should appear as 99). If two tonnages are assigned under 46 CFR 69 Subpart D, list the higher tonnage first and separate the two tonnages by a virgule (e.g. "1600 / 400").
- (2) **Net Tonnage** - Specify the registered net tonnage. Truncate to the next lower whole number (e.g. a calculated net tonnage of 38.05 should appear as 38). If two tonnages are assigned under 46 CFR 69 Subpart D, list the higher tonnage first and separate the two tonnages by a virgule (e.g. "1600 / 400").
- (3) **Assigned under 46 CFR Subpart** - Place an "X" in the single block that applies.

- (4) **Assigned By** - Specify the measurement organization that has assigned the registered tonnages and dimensions. Note that if the vessel is not being remeasured, but is being issued a new tonnage certificate for whatever reason (e.g. original certificate lost or vessel issued an ITC without remeasuring the vessel), the assigning organization and date must correspond to those that appear on the superseded U.S. Tonnage Certificate.
- (5) **Date Assigned** - Specify the day, month and year that the measurement organization assigned the regulatory tonnages and dimensions (e.g. "JANUARY 10, 1994" or "10 JAN 1994").
- (6) **Remarks/Restrictions:** The following remarks shall be included, where applicable. Additional remarks may be included only where specifically authorized by the MSC.
- (i) Preprinted Remarks - Instructions relative to preprinted remarks are as follows:
- (1) INTERNATIONAL TONNAGE CERTIFICATE (1969): - Place an "X" in this block if the vessel has been issued an ITC by an authorized U.S. measurement organization. Include the tonnages and dimensions as indicated on the ITC if any of the tonnages or dimensions differ from the corresponding registered values. Otherwise, leave blank.
- (2) WATER BALLAST - Place an "X" in this block if a water ballast justification required by 46 CFR 69.117 (f) was approved for this vessel. Include the approving measurement organization name, approval letter date and the vessel service as stated in the approval letter. If the approval letter cannot be located, use the word "Unknown" in the space for the letter date.
- (3) GREAT LAKES VOYAGE - Place an "X" in this block if applicable.
- (ii) U.S. Tonnage Certificate Reissued - 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 issuance of International Tonnage Certificate (1969)."
- (iii) Vessels with Space Reserved for Temporary Deck Equipment - For vessels assigned registered 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).

**(d) REGULATORY TONNAGES**

The regulatory tonnages are those tonnages that apply to the vessel for special purposes as indicated in 46 U.S.C. 14305. If regulatory tonnages are not assigned to the vessel, specify "N/A"

in the blocks for regulatory gross tonnage and regulatory net tonnage, and leave all remaining portions of the regulatory tonnages portion of the certificate blank.

- (1) **Gross Tonnage** - Specify the regulatory gross tonnage. Truncate to the next lower whole number (e.g. a calculated gross tonnage of 99.95 should appear as 99). If two tonnages are assigned under 46 CFR 69 Subpart D, list the higher tonnage first and separate the two tonnages by a virgule (e.g. "1600 / 400").
- (2) **Net Tonnage** - Specify the regulatory net tonnage. Truncate to the next lower whole number (e.g. a calculated net tonnage of 38.05 should appear on the U.S. Tonnage Certificate as 38). If two tonnages are assigned under 46 CFR 69 Subpart D, list the higher tonnage first and separate the two tonnages by a virgule (e.g. "1600 / 400").
- (3) **Assigned Under 46 CFR Subpart** - Place an "X" in the single block that applies.
- (4) **Assigned By** - Specify the measurement organization that has assigned the registered tonnages and dimensions. Note that if the vessel is not being remeasured, but is being issued a new tonnage certificate for whatever reason (e.g. original certificate lost), the assigning organization and date must correspond to those that appear on the existing valid U.S. Tonnage Certificate.
- (5) **Date Assigned** - Specify the day, month and year that the measurement organization assigned the regulatory tonnages and dimensions (e.g. "JANUARY 10, 1994" or "10 JAN 1994").
- (6) **Remarks/Restrictions** - The following remarks shall be included, where applicable. Additional remarks may be included only where specifically authorized by the MSC.

Preprinted Remarks - Instructions relative to preprinted remarks are as follows:

- (1) **WATER BALLAST** - Place an "X" in this block if a water ballast justification required by 46 CFR 69.117 (f) was approved for this vessel. Include the approving measurement organization name, approval letter date and the vessel service as stated in the approval letter. If the approval letter cannot be located, use the word "UNKNOWN" in the space for the letter date.
- (2) **GREAT LAKES VOYAGES** - Place an "X" in this block if applicable.

(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 portion only if the registered tonnages are assigned under 46 CFR 69 Subpart B.

- (1) Space** - Provide a brief description of the space. Abbreviations are acceptable (e.g. "FOCL").
- (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. "-").
- (4) Volume** - Specify the volume of the associated space in cubic meters. For spaces included in gross and net tonnage, also list the total volume of all such spaces.
- (5) Molded Draft** - Specify the molded draft of the vessel in terms of both meters and feet.
- (6) 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".

**(b) REGULATORY MEASUREMENT SYSTEM INFORMATION**

Complete this portion if either the registered or the regulatory tonnages are assigned under 46 CFR 69 Subpart C or D.

- (1) Space** - Specify the applicable space, if none of the preprinted space names apply. If the tonnage of a space is "nil" (i.e. all tonnage is exempt), then the space must be listed, with the tonnage shown as "0.00", or "Nil".
- (2) Tonnage** - Specify the appropriate tonnage in tons of 100 cubic feet, rounded to the nearest hundredth of a ton. If the vessel is assigned "high" and "low" tonnages under the 46 CFR 69 Subpart D, include both tonnages for those items for which tonnages differ depending on whether or not the tonnage mark is submerged, separated by a virgule. The higher tonnage must be shown first (e.g. "204.13 / 87.26").

- (3) **Tank (Water Ballast Only)** - Specify the applicable tank, if neither of the preprinted tank names applies. Do not list tanks which are not measured (e.g. tanks situated in a "deep framed" area).
- (4) **Location (Water Ballast Only)** - Specify the longitudinal location of the applicable tank, if other than the forepeak or afterpeak tank, using the frame numbers at the extreme ends of the space, separated by a hyphen (e.g. "FR 30-40"). 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) **Number of Complete Decks** - If the vessel is measured under 46 CFR 69 Subpart D, specify the number of complete decks (e.g. "2"). Otherwise, leave blank.
- (6) **Tonnage Mark Assigned** - If the vessel is measured under 46 CFR 69 Subpart D, specify either "YES" or "NO", as applicable. Otherwise, leave blank.



## 4. MEASUREMENT ORGANIZATION OVERSIGHT BY USCG

### 4.1 PURPOSE

The purpose of this section is to delineate the administrative process by which the U.S. Coast Guard Marine Safety Center (MSC) conducts oversight of ZZZZZ measurement organizations. This section specifically outlines requirements for: 1) reporting measurement work performed on behalf of the Coast Guard; 2) providing the MSC with appropriate vessel tonnage file material for use in oversight reviews; and 3) resolving any comments generated by the MSC that result from the performance of oversight functions.

### 4.2 PERIODIC OVERSIGHT REVIEWS

The MSC conducts periodic oversight reviews of vessel 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 periodic tonnage oversight reviews is as follows:

#### (a) REPORT SUBMITTAL

Within ten days of the beginning of each quarter, the measurement organization will provide the MSC with a report listing all U.S. Tonnage Certificates and International Tonnage Certificates (1969) that have been issued during the previous quarter on behalf of the Coast Guard. The listing must include the vessel name, official number (if assigned), certificate number and the name of any part-time employee or other individual (e.g. independent contractor) designated by the measurement organization to provide measurement services, if that individual was involved in vessel modeling and/or calculation of tonnages. A copy of each tonnage certificate identified in the report must be forwarded along with the report. For the purposes of this instruction, the quarters begin on January 1<sup>st</sup>, April 1<sup>st</sup>, July 1<sup>st</sup> and October 1<sup>st</sup>.

#### (b) FILE TRANSFER REQUEST

Following receipt of the report, the MSC will determine which vessel tonnage files (if any) will be selected as candidates to receive an oversight review. The MSC will then request that the selected file(s) be forwarded by the measurement organization to the MSC.

#### (c) FILE TRANSFER

The measurement organization will transfer the requested file(s) to the MSC. 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 REVIEWS AND REPORTING OF RESULTS

The MSC may conduct oversight reviews of vessel tonnage files from among those files provided by the measurement organization. The MSC will provide the measurement organization with written results of these reviews, classifying each nonconformity as follows:

**Category 1:** A nonconformity that **does not affect** assigned tonnages, assigned dimensions, or other information that is required to appear on an associated tonnage certificate. Examples of Category 1 nonconformities include obvious typographical errors, record keeping discrepancies, or non-procedural 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 of a **non-procedural** nature that **affects** assigned tonnages, assigned dimensions, or other information that is required to appear on an associated tonnage certificate (excepting obvious typographical errors). An example of a Category II nonconformity is a 10% error in the assigned gross tonnage that resulted from the transposition of digits in a length dimension during the computational process.

**Category 3:** A nonconformity of a **procedural** nature that **affects, or could affect**, assigned tonnages, assigned dimensions, or other information that is required to appear on an associated tonnage certificate. An example of a Category 3 nonconformity is the use of an improper integration method to arrive at a hull volume, regardless of the degree of the resulting effect on tonnages.

**(e) FILE RETURN**

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

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

Within three (3) weeks of receipt of the oversight results from the MSC, the measurement organization shall complete corrective actions, 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. For nonconformities involving assigned tonnages or dimensions, the nonconformity need only be corrected if the affected portion of the vessel is being remeasured.

**Category 2:** Correct the nonconformity and reissue the associated tonnage certificate(s).

**Category 3:** Correct the nonconformity and reissue the associated tonnage certificate(s) if any information appearing on the tonnage certificate(s) is affected (e.g. tonnages and/or registered dimensions differ from those calculated by the MSC by more than 5% and 1%, respectively). Initiate necessary changes to measurement organization processes and/or procedures to preclude a recurrence of a similar nonconformity in the future. Submit a response in writing to the MSC identifying the corrective actions taken, including those taken to preclude recurrences. For nonconformities not requiring reissuance of a tonnage certificate, perform the corrective actions indicated above for Category 1 nonconformities.

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 NON-PERIODIC OVERSIGHT REVIEWS**

The MSC may perform non-periodic oversight reviews in addition to the periodic reviews identified above. These reviews 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 non-periodic review.

## 5. REQUESTS FOR TONNAGE FILE INFORMATION

### 5.1 PURPOSE

The purpose of this section is to provide instructions for measurement organizations requesting tonnage file information from the MSC. Tonnage file information consists of tonnage calculations, certificates and/or water ballast justification approval letters. They 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 tonnage file information must be made in writing in accordance with the instructions which follow and using the appropriate request form found in the Appendix. The signature block on the request form must be signed to attest to the fact that the measurement organization is authorized by the owner to remeasure the vessel.

#### (a) ROUTINE

All tonnage file information requests must be faxed or mailed to the MSC using either of the attached transfer/request forms, as appropriate. 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 tonnage file information is urgently needed, the MSC will fax file copies to the requester on the same day, as resources permit. Urgent requests must be telephoned to the Chief, Tonnage Survey Branch, 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 by providing status information on the lower portion of the transfer/request form such as content, location, and mailing service to be used, and by mailing the tonnage file information when it is available. 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. The FRC response time is beyond the control of the MSC.

### 5.4 FILE TRANSFER

The MSC will transfer the original tonnage file to a measurement organization, if it is remeasuring the vessel, by first class mail, unless other arrangements have been made by the requester. Special delivery costs must be borne by the requester. Since the MSC does not have a microfiche printer, tonnage data may be transferred in fiche form to measurement organizations. Copies of water ballast justification approval letters will be provided by fax or first class mail 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 has provided 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 vessel 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. 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). 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.

#### (b) VESSELS BEING REMEASURED

For vessels being remeasured, the tonnage file requirements for vessels being initially measured also apply. In addition, copies of any previously issued tonnage certificates and associated tonnage calculations shall be retained in the vessel tonnage file.

### **6.3 RETENTION OF RECORDS**

Tonnage calculations, tonnage certificates, and water ballast justification approval letters shall be retained as permanent records. All other vessel file material shall be retained, as a minimum, for one year following issuance of the associated tonnage certificate.

## **7. APPROVAL OF WATER BALLAST JUSTIFICATION REQUESTS**

### **7.1 PURPOSE**

The purpose of this section is to delineate minimum requirements for approving water ballast justification requests 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 vessel 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).





# **APPENDIX**



**VESSEL TONNAGE FILE  
FORM 1: FILE TRANSFER**

(This form is only for transferring files from USCG Marine Safety Center to measurement organizations.)

Request Date \_\_\_\_\_

To: **U.S. COAST GUARD**  
Marine Safety Center (Tonnage Survey Branch)  
400 7th Street, SW, Washington, DC 20590-0001  
Phone: (202) 366-6441 Fax: (202) 366-3877

From: \_\_\_\_\_ (Name)  
\_\_\_\_\_ (Organization)  
\_\_\_\_\_ (Address)  
\_\_\_\_\_ (City,State,Zip)  
(\_\_\_\_)\_\_\_\_\_/\_\_\_\_\_ (Phone/Fax)

Vessel: \_\_\_\_\_ (Name)  
\_\_\_\_\_ (O.N./ID No.)

I have been authorized by the vessel owner/agent to remeasure the subject vessel. Please mail the complete vessel tonnage file to the address specified above. I have arranged for special handling as follows:

Delivery Service. \_\_\_\_\_  
Billing Account No. \_\_\_\_\_

Signed \_\_\_\_\_

(Requesting agent/agency to fill out form only above this line).

Reply Date \_\_\_\_\_

The Coast Guard **does not have** the requested file. The location/status is:

\_\_\_ FRC\* \_\_\_ Missing \_\_\_\_\_ Other

The requested file has been sent to you via:

\_\_\_ U.S. Mail  
\_\_\_ Special delivery service (Tracking No. \_\_\_\_\_)

The file content consists of the following:

	U.S.	Suez	Panama	ITC
Calculations	___	___	___	___
Certificates	___	___	___	___
Ballast Justification	___	___	___	___

Comments:

Signed \_\_\_\_\_

\* Federal Records Center (files forwarded as soon as retrieved)

**VESSEL TONNAGE FILE**  
**FORM 2: FILE COPY REQUEST**

(This form is only for requesting copies of files from USCG Marine Safety Center)

Request Date \_\_\_\_\_

To: **U.S. COAST GUARD**  
**Marine Safety Center (Tonnage Survey Branch)**  
**400 7th Street, SW, Washington, DC 20590-0001**  
**Phone: (202) 366-6441 Fax: (202) 366-3877**

From: \_\_\_\_\_ (Name)  
 \_\_\_\_\_ (Organization)  
 \_\_\_\_\_ (Address)  
 \_\_\_\_\_ (City,State,Zip)  
 (\_\_\_\_)\_\_\_\_\_/\_\_\_\_\_ (Phone/Fax)

Vessel: \_\_\_\_\_ Sister: \_\_\_\_\_ (Name)  
 \_\_\_\_\_ (O.N./ID No.)

I have been authorized by the vessel owner/agent to remeasure the subject vessel. I have listed a sister vessel for which the desired information may be available. Please mail copies of the vessel tonnage file to the address specified above. I have arranged for special handling as follows:

Delivery Service. \_\_\_\_\_  
 Billing Account No. \_\_\_\_\_

Signed \_\_\_\_\_

(Requesting agent/agency to fill out form only above this line).

Reply Date \_\_\_\_\_

The Coast Guard **does not have** the requested file. The location/status is:

\_\_\_ FRC\* \_\_\_ Missing \_\_\_\_\_ Other

The requested information has been sent to you via:

\_\_\_ U.S. Mail  
 \_\_\_ Special delivery service (Tracking No. \_\_\_\_\_)

The file information consists of the following for the subject \_\_\_ or sister \_\_\_ vessel:

	U.S.	Suez	Panama	ITC
Calculations	___	___	___	___
Certificates	___	___	___	___
Ballast Justification	___	___	___	___

Comments:

Signed \_\_\_\_\_

\* Federal Records Center (copies forwarded as soon as retrieved)



**UNITED STATES OF AMERICA**  
 DEPARTMENT OF TRANSPORTATION  
 UNITED STATES COAST GUARD

Certificate Number:  
**MSC-111**



# TONNAGE CERTIFICATE

VESSEL NAME <b>Sample</b>		OFFICIAL NUMBER <b>123456</b>	VESSEL TYPE <b>Fish Processing Vessel</b>	
BUILDER <b>Southeastern Steel and Iron Works</b>			DATE KEEL LAID/ALTERED <b>1944 / 1998</b>	
WHERE BUILT <b>Savannah, GA</b>			DATE COMPLETED <b>1945</b>	
HULL NUMBER <b>None</b>	PROPULSION <input type="checkbox"/> Non-Self-Propelled <input type="checkbox"/> Self-Propelled <input checked="" type="checkbox"/> Propel Mchrv in Hull		OVERALL LENGTH <b>105.10 m 344.8 ft</b>	
REGISTERED LENGTH <b>103.69 m 340.2 ft</b>	REGISTERED BREADTH <b>21.31 m 69.9 ft</b>		REGISTERED DEPTH <b>8.69 m 28.5 ft</b>	

REGISTERED GROSS TONNAGE <b>9719</b>	REGISTERED NET TONNAGE <b>2915</b>	DATE ASSIGNED <b>March 3 1998</b>
ASSIGNED UNDER 46 CFR SUBPART <input checked="" type="checkbox"/> B (Convention) <input type="checkbox"/> C (Standard) <input type="checkbox"/> D (Dual Tonnage) <input type="checkbox"/> E (Simplified)		ASSIGNED BY <b>USCG MSC</b>
REMARKS/RESTRICTIONS <input checked="" type="checkbox"/> International Tonnage Certificate (1969) issued for this vessel. Tonnages and principal dimensions on International Tonnage Certificate (1969) if different from registered tonnages and dimensions: GROSS TONNAGE _____ NET TONNAGE _____ ; LENGTH _____ m _____ ft; BREADTH _____ m _____ ft; DEPTH _____ m _____ ft.		
<input type="checkbox"/> Water ballast in excess of 30% of gross tonnage approved by : _____ . Registered tonnages valid for _____ service only.		
<input type="checkbox"/> Registered tonnages valid for Great Lakes voyages only.		
<b>Certificate reissued to reflect new midbody section and reserved space for temporary deck equipment. Assigned tonnages include 579.93 cubic meters of space reserved for temporary deck equipment, located FR 52-58.</b>		

REGULATORY GROSS TONNAGE <b>4879</b>	REGULATORY NET TONNAGE <b>4313</b>	DATE ASSIGNED <b>March 3 1998</b>
ASSIGNED UNDER 46 CFR SUBPART <input checked="" type="checkbox"/> C (Standard) <input type="checkbox"/> D (Dual Tonnage) <input type="checkbox"/> E (Simplified)		ASSIGNED BY <b>USCG MSC</b>
REMARKS/RESTRICTIONS <input checked="" type="checkbox"/> Water ballast in excess of 30% of gross tonnage approved by : <u>U S Coast Guard letter dated 3/15/97</u> . Regulatory tonnages valid for <u>Fish Processing Service</u> service only.		
<input type="checkbox"/> Regulatory tonnages valid for Great Lakes voyages only.		

I CERTIFY that I am duly authorized by the United States Government to issue this certificate:

TONNAGE SURVEYOR: **J C DOE**  
 ISSUED AT: **Washington DC**  
 DATE: **March 3 1998**

(SEAL)

ISSUING OFFICER: **T G ATKINS**

CONVENTION MEASUREMENT SYSTEM				REGULATORY MEASUREMENT SYSTEM		
GROSS TONNAGE				GROSS TONNAGE		
SPACE	LOCATION	LENGTH (meters)	VOLUME (cubic meters)	SPACE	TONNAGE (to gross)	
Underdeck	----	-----	20164.51	Underdeck .....	3144.00	
1st Tier	Fr 15-16	28.57	7279.54	Between-deck .....	1396.00	
2nd Tier*	Fr 16-60	28.57	4509.26	Forecastle .....		
3rd Tier	Fr 16-40	13.29	738.64	1st Tier .....	131.87	
4th Tier	Fr 16-23	9.10	162.50	2nd Tier .....	142.27	
P/S Funnel	Fr 65-67	22.59	11.05	3rd Tier .....	55.67	
Crane Posts	FR 56	1.32	11.05	4th Tier .....	0.00	
Crane Cab	Fr 55-56	2.27	1.66	5th Tier .....		
Seasonal Trailers	Fr 52-58	12.19	579.93	6th Tier .....		
				Excess hatchways .....		
				<b>OTHER</b>	<b>9.46</b>	
TOTAL VOLUME				<b>33458.14</b>		
EXCLUDED SPACES				EXEMPTED SPACES (Except Water Ballast)		
SPACE	LOCATION	LENGTH (meters)	VOLUME (cubic meters)	SPACE	TONNAGE (exempted)	
Recess P/S 2nd Tier	Fr 18-20	1.22	3.62	Anchor gear .....	10.90	
				Companions .....	8.67	
				Dry cargo and stores .....		
				Galley .....	28.61	
				Light and air .....	26.97	
				Machinery .....		
				Open space .....	32.85	
				Passenger space .....		
				Skylights and air .....		
				Steering gear .....		
				Water closets .....	40.95	
				Wheelhouse .....	10.01	
TOTAL VOLUME				<b>33458.14</b>		
NET TONNAGE				WATER BALLAST		
SPACE	LOCATION	LENGTH (meters)	VOLUME (cubic meters)	TANK	LOCATION	TONNAGE (exempted)
				Forepeak .....		75.01
				Afterneak .....		
				<b>WB TANK #1</b>	<b>FR 10-30</b>	<b>856.75</b>
				<b>WB TANK #2</b>	<b>FR 20-30</b>	<b>793.23</b>
				<b>WB TANK #3</b>	<b>FR 30-40</b>	<b>1103.20</b>
TOTAL VOLUME				<b>12340.02</b>		
DEDUCTED SPACES				DUAL MEASUREMENT SYSTEM		
SPACE	LOCATION	LENGTH (meters)	VOLUME (cubic meters)	NUMBER OF COMPLETE DECKS: TONNAGE MARK ASSIGNED:		
Anchor gear						
Boatswain's stores						
Chart house						
Crew space						
Generators						
Master's cabin						
Propelling machinery						
Radio house						
Steering gear						
Waste material space						
TOTAL VOLUME				<b>12340.02</b>		
MOLDED		PASSENGERS (cabins of 8 berths or less):		0		
6.52 m 21.4 ft		OTHER PASSENGERS:		0		

Rev. 2-98

Certificate Number:  
**MSC-111-I**



# International Tonnage Certificate, 1969



Issued under the provisions of the International Convention on Tonnage Measurement of Ships, 1969,  
under the authority of the Government of the

## UNITED STATES OF AMERICA

for which the Convention came into force on February 10, 1983, by the

### UNITED STATES COAST GUARD

Name of Ship	Distinctive Number or Letters	Port of Registry	*Date
Sample	L00213456	Norfolk VA	1998

\*Date on which the keel was laid or the ship was at a similar stage of construction (Article 2(6)), or date on which the ship underwent alterations or modifications of a major character (Article 3(2)(b)), as appropriate.

### MAIN DIMENSIONS

Length (Article 2(8))	Breadth (Regulation 2(3))	Molded Depth amidships to Upper Deck (Regulation 2(2))
103.69 m ( 340.2 ft )	21.31 m ( 69.9 ft )	8.69 m ( 28.5 ft )

#### THE TONNAGES OF THE SHIP ARE:

GROSS TONNAGE 9719  
NET TONNAGE 2915

The Government of the United States of America certifies that the tonnages of this ship have been determined in accordance with the provisions of the International Convention on Tonnage Measurement of Ships, 1969.

Issued at Washington, DC this 3RD day of March 1998

The undersigned declares that he is duly authorized by the United States Government to issue this certificate.

(SEAL)

T G ATKINS

Issuing Officer

SPACES INCLUDED IN TONNAGE					
GROSS TONNAGE			NET TONNAGE		
Name of Space	Location	Length (m)	Name of Space	Location	Length (m)
Underdeck	----	-----	Proc 1st Tier	Fr 15-50	20.65
1st Tier	Fr 15-16	28.57	Proc 2nd Tier	Fr 15-50	20.65
2nd Tier*	Fr 16-60	28.57	Cargo Hold 1	Fr 5-9	7.95
3rd Tier	Fr 16-40	13.29	Cargo Hold 2	Fr 30-35	8.97
4th Tier	Fr 16-23	9.10	Cargo Hold 3	Fr 60-65	8.97
P/S Funnel	Fr 65-67	22.59			
Crane Posts	FR 56	1.32			
Crane Cab	Fr 55-56	2.27			
Seasonal Trailers	Fr 52-58	12.19			
			<b>NUMBER OF PASSENGERS</b> (Regulation 4(1))		
			Number of passengers in cabins with not more than 8 berths: <span style="float: right;"><b>0</b></span>		
			Number of other passengers: <span style="float: right;"><b>0</b></span>		
<b>EXCLUDED SPACES</b> (Regulation 2(5)) <b>2nd Tier P/S: Fr 18-20</b>			<b>MOULDED DRAUGHT</b> (Regulation 4(2)) <span style="float: right;"><b>6.52 m</b></span>		
An asterisk (*) should be added to those spaces listed above which comprise both enclosed and excluded spaces.					
Date and place of original measurement: <b>July 17 1994 at Washington DC</b>					
Date and place of last previous remeasurement:					
<b>REMARKS:</b> <b>Overall length as defined under 46 CFR 69 Subpart E is 105.10 m (344.8 ft). Vessel built by Southeastern Steel and Iron Works. Official number is 123456.</b> <b>Certificate reissued to reflect new midbody section and reserved space for temporary deck equipment.</b> <b>Assigned tonnages include 579.93 cubic meters of space reserved for temporary deck equipment. located FR 52-58.</b>					

Rev. 10-98



## AUTHORIZED MEASUREMENT ORGANIZATIONS

Organizations authorized to perform tonnage measurement work on behalf of the U.S. Coast Guard under the provisions of Title 46, Code of Federal Regulations, Part 69 are listed below, along with addresses, phone numbers and points of contact.

**American Bureau of Shipping (ABS)**

16855 Northchase Drive  
Houston, TX 77060-6008  
Phone (281) 877-6133  
Fax (281) 877-6795  
Email "mtreder@eagle.org"  
Point of Contact: Mr. Mark Treder

**Bureau Veritas North America, Inc. (BVNA)**

1850 Eller Drive, Suite 201  
Port Everglades, FL 33316  
Phone(954) 525-6494  
Fax (954) 763-9718  
Email "andre.slintak@us.bureauveritas.com"  
Point of Contact: Mr. Andre Slintak

**Det Norske Veritas (DNV)**

70 Grand Avenue  
River Edge, NJ 07661  
Phone(201) 343-0800  
Fax (201) 343-4061  
Email "phil.essex@dnv.com"  
Point of Contact: Mr. Phil Essex

**Lloyd's Register of Shipping**

Marine Division  
71 Fenchurch Street  
London, England EC3M 4BS  
Phone 011-44-20-7423-2524  
Fax 011-44-20-7423-2060  
Email "david.whittaker@lr.org"  
Point of Contact: Mr. David Whittaker



## CHANGES IN MTN 01-98 CH-3

1. **List of Effective Pages.** The list of effective pages has been deleted, consistent with a recent change to MTN 01-99, Tonnage Technical Policy. Originally, the MSC intended to issue changes to both these MTN's in the form of changed pages only, rather than reissuing the complete documents. Such an approach requires a list of effective pages. However, while this approach has its merits, it can lead to confusion if a user fails to correctly replace all necessary pages. In addition, the need for this approach has been diminished with the increasing availability of this document to users via the MSC's web site. Accordingly, this Change reissues MTN 01-98 in its entirety, with changes (as before) indicated by a bar in the margin.
2. **Section 1.** The title is changed to reflect the expanded scope of this section.
3. **Section 1.2.** This section is expanded to describe more completely the tonnage certification process, rather than just addressing issuance of tonnage certificates. Also, reference to simplified measurement is deleted, since authorized measurement organizations may not measure vessels under the simplified measurement system (46 CFR 69 Subpart E).
4. **Section 1.3.** This new section is added in response to recent questions from measurement organization representatives regarding the scope of restrictions on tonnage consulting. We reviewed the requirement of 46 CFR 69.27(d)(3) on tonnage consulting, including the discussion in the rulemaking (53 FR 20621) that implemented the CFR requirement. We concluded that the intent of the requirement was to avoid not only an impropriety, but also the appearance of an impropriety that could arise when tonnage consulting is done by an individual who later is involved in the tonnage certification of the vessel. Therefore, we added a section that precludes a measurement organization from certifying tonnages on a vessel if a member or a contractor of that organization has consulted on the tonnage of that vessel. "Consulting" is also defined as when an individual or organization has received a fee or other compensation for advice on the vessel's tonnage. The requirements contained in this new section exceed those of 46 CFR 69.27(d)(3) in that they also preclude a measurement organization from using one employee to consult, and another to certify the tonnages. This new section does not preclude a measurement organization from certifying tonnages on a vessel for which advice was given by an employee (or contractor) of that organization on a gratis basis, including advice with respect to tonnage reduction methods. In fact, the Coast Guard expects authorized measurement organizations to give advice and interpret the measurement regulations for vessel owners and designers. These interpretations supercede interpretations given in the past (e.g. MVI-5 letter to ABS dated April 15, 1993 and MSC-3 letter to DNV dated October 2, 1995).
5. **Section 1.4.** This new section is added to provide minimum requirements for performance of onboard surveys prior to issuance of tonnage certificates. Included is the requirement that all work on the vessel that could affect tonnage be completed before the inspection is performed, since this is not clearly specified elsewhere.
6. **Section 1.5.** This section (former Section 1.3) is revised to clarify that the tonnage certification process is not complete until the tonnage certificate is signed. Also, the section is corrected to reflect that an ITC can be issued for a vessel not engaged on foreign voyages in the event that a U.S. Tonnage Certificate is not issued for the vessel.

7. **Section 1.6-1.8.** These sections (former Sections 1.4-1.6) are renumbered consistent with the other changes made to this section. Also, Section 1.8 is revised to reflect that reissuance of a tonnage certificate is required when a new water ballast approval letter is issued, and may be done at the request of the vessel's owner to reflect a vessel name change.
8. **Section 1.9.** This new section is added to describe circumstances under which a tonnage certificate ceases to be valid and is considered cancelled. This results from a recent review of statutory requirements of Chapter 143 and Chapter 145 of Subtitle II of Title 46 United States Code, as well the requirements of the International Convention on Tonnage Measurement of Ships, 1969, regarding cancellation of tonnage certificates following flag transfer.
9. **Section 1.10.** This new section is added to clarify that measurement organizations are authorized to collect fees for the measurement services they perform. It highlights the fact that this includes those situations where owners do not supply the necessary drawings in applying for measurement services. It also requires measurement organizations to provide the MSC with a copy of the current fee schedule, consistent with the requirement of 46 CFR 69.27(d)(4)(iii).
10. **Sections 2.4(a)(2) and 3.4(a)(2).** These sections are revised to clarify that all the space below the upper deck (and not just the line of the upper deck) should be listed as "underdeck" space on the appropriate tonnage certificate(s).
11. **Section 4.2(a).** This section is revised to require measurement organizations to include in the quarterly oversight reports the name of any part-time employee or other individual (e.g. independent contractor) designated by the measurement organization to provide measurement services, if that individual was involved in vessel modeling and/or calculation of tonnages. This will permit the accumulation of performance data on individuals (especially those under contract who may operate with a large degree of autonomy), and thereby facilitate oversight by the MSC.
12. **Sections 6. and 6.1.** The title and purpose of this section are changed to more accurately reflect the section's content.
13. **Section 6.2(a)(4).** This section is revised to reinstate an option previously allowed in the regulations to include appropriate sketches in vessel files in the event that drawings are not available. Currently, the regulations require that drawings needed for admeasurement be submitted as part of the application for measurement services. However, it is recognized that this may not be practical, especially in the case of older vessels where such information may no longer be available. Accordingly, this section is revised to require that sketches meeting the specified minimum requirements be provided in the event that drawings are not available. These sketches can be developed by the measurement organization on behalf of the vessel owner. Including the sketches in the vessel file will facilitate more effective oversight by the MSC, and can help insure against claims of error on the part of the vessel owner.
14. **Appendix Page A-7** The list of authorized measurement organizations is revised to include Bureau Veritas North America, Inc. (BVNA), which became an authorized measurement organization effective April 3, 2000. The address, phone and fax numbers, and point of contact for Lloyd's Register is updated. The e-mail address for the point of contact at each measurement organization is also included, in order to further assist the public in contacting measurement organizations.