



INTERTANKO

TWENTY **18**

BWTS ROOM

Ballast Water Contingency Measures for Tankers



INTERTANKO

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Introduction

This document provides guidance on practical contingency measures that may be considered in the event of a Ballast Water Management System (BWMS) failure.

In light of the entry into force of the IMO's Ballast Water Management Convention (BWMC) as well as the step change in enforcement of the United States Coast Guard (USCG) regulations on ballast water, INTERTANKO's Members are now more frequently using their BWMS to manage ballast water to meet the necessary discharge standards. However, while the BWMS installed have been type approved in accordance with either or both the IMO and USCG requirements, it is estimated that up to 60% of BWMS installed are not operating correctly. As such, and when vessels are delivered with BWMS or retrofitted to comply with BWMC or USCG Regulations, it is important to also amend the Ballast Water Management Plans (BWMP) to ensure a practical and realistic set of contingency measures is included. With Port States, Flag Administrations and Class Societies still considering the most appropriate options in the event of a BWMS failure, it is hoped that the contingency measures identified in this document, together with the procedures recommended, will provide a clear indication of what to expect from the vessel under such circumstances.

The guidance has been drafted in order to address the different expectations of Party States to the IMO's BWMC as well as the USCG which is not a Party to the BWMC.

Part 1: IMO's Ballast Water Management Convention

1.1 Background

This section covers contingency measures that may be considered when a vessel is trading either between Party States of the BWMC, to a Party State or is registered with an Administration that is a Party State.

In July 2017, the IMO issued BWM.2/Circ.62, 'Guidance on Contingency Measures under the BWM Convention'. BWM.2/Circ.62 defines a contingency measure as, '...a process undertaken on a case-by-case basis after a determination that ballast water to be discharged from a ship is not compliant, in order to allow ballast water to be managed such that it does not pose any unacceptable risks to the environment, human health, property and resources.'

The IMO's Guidelines for Ballast Water Management and the development of Ballast Water Management Plans (G4), Resolution MEPC.127(53), do not specifically include contingency measures. However, BWM.2/Circ.62 states that in the case of non-compliant ballast water, the ship and the Port State should consider the contingency measures contained in the Ballast Water Management Plan (BWMP) of the ship. As such, the measures and details provided in this document are proposed as examples for inclusion in a ship's BWMP.

In more recent discussions at the IMO, a distinction has been made between the use of contingency measures when a BWMS fails due to a mechanical or technical problem and the use of contingency measures when the uptake water has challenged the BWMS and non-compliant ballast water has therefore been taken up. For the management of the non-compliant ballast water in both situations, the contingency measures that will need to be considered by the ship remain similar. As such the options provided in this document may be considered under both circumstances.

1.2 Reporting

The following communications are recommended in the event of a BWMS failure:

1. Using the **BWMS Failure Reporting Form** (see Annex I: Model BWMS Failure Reporting Form) or the company's current defect reporting procedure, the responsible officer should report to the company. The reporting process should be adopted by the company as part of its SMS.
2. The company should report the BWMS failure to the Flag Administration, the BWMS manufacturer and, if the failure is significant, the Class Society.
3. Based on feedback from the Flag Administration and the BWMS manufacturer the company should agree on a **BWMS Repair Plan** which would include all relevant supporting information, including historical failure and a schedule with a specific timeline for the repair to be completed (see Part 4 for guidance on the BWMS Repair Plan).
4. The company should submit a **Ballast Water Contingency Measure Request Form** to the Port State authority where the ballast water is intended to be discharged. The Ballast Water Contingency Measure Request Form should include a copy of the **BWMS Failure Reporting Form**, the **BWMS Repair Plan** and any other relevant documentation regarding the incident (see Annex I: Model Ballast Water Contingency Measure Request Form).
5. Based on the previous points, the company should confirm to the ship which Contingency Measure is to be undertaken and provide any additional guidance or instructions necessary to fulfil the requirements of the Port State authority, Flag Administration or Class Society, as necessary.

1.3 Expectations of each Party

In the event of a failure of a BWMS the communications and actions taken to resolve the issue will include the following stakeholders:

1. Company, designated person ashore

Having received the **BWMS Failure Reporting Form** from the responsible officer on the ship, the designated person ashore will need to coordinate the necessary response between the Port State authority, the Flag Administration, the BWMS manufacturer and the Class Society, as necessary. It is important to open communications as soon as possible with the Port State authority at the ballast discharge port. The result of the coordination will be the development of the **BWMS Repair Plan** as well as the submission of the **Ballast Water Contingency Measure Request Form** to the relevant Port State authority. Any necessary actions to be undertaken as advised by the Port State authority or the Flag Administration would be undertaken by the company and relayed to the ship.

2. Port State Authority

On receipt of the **Ballast Water Contingency Measure Request Form** and associated information, the Port State authority is expected to relay its consent to undertake the Contingency Measure proposed by the company or offer an alternative contingency measure together with clear guidance on how the measure is to be undertaken and any additional reporting requirements that may need to be made prior to the vessel entering the Port State's waters.

3. Flag Administration

On being advised of the BWMS failure by the Company, the Administration should acknowledge receipt of the report and accept that the report itself will act as notification of the failure. The Company should request that the Administration issue a dispensation to the vessel for an appropriate length of time acknowledging the failure of the BWMS and noting the BWMS Repair Plan and the implementation of the contingency measures.

Please note that some Administrations have chosen to retain the authority to issue the International Ballast Water Management Certificate (IBWMC) and not delegate it to Class Societies. This includes the review and approval of the BWMP.

4. Class Society

When appointed as the recognised organisation by the Administration, the Class Society's role is to approve the BWMS installation and issue the IBWMC. In issuing the IBWMC, the approval will have included the Ballast Water Management Plan and its contingency measures. The BWMP should have been updated with the contingency measures upon installation of the BWMS or on delivery with the BWMS for new buildings.

In the event of a BWMS failure, the issuing authority for the IBWMC will investigate and decide whether a survey is necessary and instruct the Class Society accordingly (see Regulation E-1.7 of the BWMC).

An additional Class Society survey may only be necessary following a significant repair of the structure, equipment, systems, fittings, arrangements and material necessary to achieve full compliance with the BWMC.

5. BWMS Manufacturer

The BWMS manufacturer is expected to provide a **BWMS Repair Plan** to the Company which includes specific details on the type of failure and the repair proposed, together with a clear timeframe for when the repairs are to be undertaken and completed.

Part 2: United States Coast Guard Regulations

2.1 Background

The United States is not a Party to the IMO's BWMC. The USCG requirements in §151.2040, 'Discharge of ballast water in extraordinary circumstances', state the following:

(b) If the installed BWMS required by this subpart stops operating properly during a voyage, or the vessel's BWM method is unexpectedly unavailable, the person directing the movement of the vessel must ensure that the problem is reported to the nearest COTP or District Commander as soon as practicable. The vessel may continue to the next port of call, subject to the directions of the COTP or District Commander, as provided by part 160 of this chapter.

(1) The Coast Guard will normally allow a vessel that cannot practicably meet the requirements of §151.2025(a)(1) of this subpart because its installed BWMS is inoperable, or the vessel's BWM method is unexpectedly unavailable, to employ one of the other ballast water management (BWM) methods listed in §151.2025(a) of this subpart.

(2) If the master of the vessel determines that the vessel cannot employ other BWM methods due to the voyage or safety concerns listed in paragraph (a) of this section, the Coast Guard will normally allow the vessel to discharge ballast water in areas other than the Great Lakes and the Hudson River north of the George Washington Bridge.

(3) If the Coast Guard approves such an allowance, the vessel must discharge only that amount of ballast water operationally necessary to ensure the safety and stability of the vessel for cargo operations. Ballast water records must be made available to the local COTP upon request.

To assist in the practical application of the above regulation, in February 2018 the USCG issued Policy Letter 18-02, 'Guidelines for evaluating potential courses of action when a vessel bound for a port in the United States has an inoperable ballast water management (BWM) system'. This Policy Letter should be taken into account when developing Contingency Measures for the ship's BWMP. A summary of the key points of the Policy Letter 18-02 follow:

1. The BWMP should address what the vessel will do if the BWMS is inoperable. As such, contingency measures should be included in the BWMP and be specific to the vessel, its operational profile, route, voyage duration and capabilities. Even though the USCG does not require the BWMP or the Contingency Measures to be class approved, there is some merit in doing so to ensure compliance with the IMO BWMC. When making the notification to the USCG (that the BWMS is inoperable), the Master/Company should present proposed alternatives to the use of the BWTS. As noted in MSIB 007-17, Acceptable U.S. Ballast Water Management Methods vs. BWM Convention Methods (issued June 30, 2017), the USCG do not consider exchange as an acceptable BWM method for vessels beyond the compliance date specified.
2. The guidance applies to vessels that are using a USCG type approved BWMS or a BWMS accepted by the USCG as an AMS.
3. A vessel with an inoperable BWMS that has not passed its compliance date may use any of the ballast water management (BWM) methods listed in §151.1510(a) or §151.2025(a). Such a vessel remains eligible to claim the route exemption allowed by §151.2040(a) and not perform BWE if its voyage will not take it beyond 200 nautical miles from shore for enough time to perform BWE. The compliance date in respect to this Policy Letter is also used to mean the Extended Compliance Date.

-
4. A vessel that HAS passed its compliance date and has an inoperable BWMS may use one of the other methods outlined in §151.2025(a). However, if the vessel intends to use BWE then it must attain approval from the District Commander or the COTP first. The route exemption allowed by §151.2040(a) is not available to a vessel using BWE under this circumstance.
 5. The BWMP should also outline the procedure for consulting with the Captain of the Port (COTP) and reporting to the National Ballast Information Clearinghouse (NBIC), see below. Note however that reporting to the NBIC does not substitute for notification to the COTP in the event of a BWMS failure, or if the vessel's BWM method is unexpectedly unavailable. The role of the Smithsonian NBIC is simply as a contractor engaged to collect vessel reports, and to perform research & analysis of same. Receipt or confirmation of successful transmission of a BWM report is an indication that the data was reported in good order and not approval of the actions reported. As noted in Contingency Measure **CM.9**, the USCG COTP may propose the alternative compliance option of partial loading and offshore (beyond 12 nm from shore) de-ballasting.
 6. A lack of consumables, e.g. active substance chemicals, that render the BWMS inoperable does not meet the intent of 'stops operating properly' as used in §151.1510 or 151.2040 and will not be justification to employ an alternative management method.
 7. The details listed in Annex I 'Model Ballast Water Contingency Measure Request Form' will provide useful information for the USCG to respond to the vessel. The USCG stresses the importance of including repair details in the request and as such the BWMS Repair Plan should also be included with the Contingency Measure request. The COTP will use this information to confirm the BWMS meets the "unexpectedly unavailable" threshold under §151.2040(b). Specifically, the COTP needs to determine if attempts to repair the BWMS are supported by communications with the manufacturer and other compliant ballast water management methods are available
 8. A vessel past its compliance date and reporting its BWMS as inoperable for the first time may be allowed to use BWE in lieu of using the BWMS, provided the COTP is notified in advance and BWE is acceptable to the COTP. An inoperable BWMS on subsequent voyages will have to report: 1) the date of the most recent repair, 2) the date and location of when the BWMS was last operable, and 3) crew training records demonstrating competency in the operation and maintenance of the BWMS.
 9. Any vessel past its compliance date must repair its BWMS before returning to the US after sailing in foreign waters.

As with other instances of potential noncompliance, if a vessel is discovered to not be in compliance with the regulations, the COTP may impose operational controls that restrict the vessel's movement or cargo operations, a monetary penalty, and a higher priority consideration for future examinations. Restrictions in cargo operations can be significant and include port, agent or pilot fees, additional fuel costs, and cargo delays. There is also the potential for prosecution if there is evidence of criminal intent.

2.2 Reporting

The reporting process laid out in section 1.2 is fundamentally the same when vessels need to discharge ballast water in US territorial waters, with the key difference being that the COTP will act as the Port State authority. As such the USCG Regulation provides that if the vessel's installed BWMS stops operating properly during a voyage, or the vessel's BWM method is unexpectedly unavailable, the vessel owner/operator must report the problem to the nearest COTP as soon as practicable. It is also recommended the vessel owner/operator contact the COTP at the next port of call, if different to the nearest COTP, as soon as practicable. The vessel may continue to the next port of call, subject to the directions of the COTP.

The USCG is clear that the COTP will confirm which contingency measure is acceptable. Because of the need to receive explicit confirmation from the relevant COTP, sufficient time is required if the decision is to undertake BWE in compliance with the USCG BWE standard, i.e. 200nm from the baseline (coast).

A brief statement regarding the failure should also be included in the Electronic Notice of Arrival (ENOA) 96 hours prior vessel arrives US waters and to both the nearest COTP as soon as possible and before the vessel enters US waters. There is limited space in the ENOA and current experience suggests that the recipients may respond and request the submission of further documentation relating to the failure by email.

In addition and as previously noted, the company must also continue to report to the NBIC.

Part 3: Contingency Measures for Tankers

The following contingency measures are considered practical management options to be taken in the event a BWMS fails on a tanker. Each contingency measure is given a distinct numbering that can then be used in a company's BWMP and included on the BWMS Failure Report as well as the Ballast Water Contingency Measure Request Form. Note however, that the contingency measures listed below are generic examples. Each company should consider each measure and decide whether they are appropriate for the specific vessel based on its operational profile and design limitations.

CM.1 Repair BWMS at the ballast loading port

This option should be considered if a minor defect of the BWMS is identified and can either be resolved by the crew or with shore support at the ballast loading port. Service centres for the BWMS used within a company's fleet should be known in advance so that emergency contact may be made with the manufacturer's agents in each port as required.

If the BWMS treats on uptake then this measure may require a ballast water exchange through the BWMS en route, as per CM.3.2, to the ballast discharge location to ensure all ballast is treated or to discharge and load ballast at the terminal to ensure all ballast on board has been successfully treated by the BWMS.

CM.2 Repair the BWMS en route

If insufficient time is available at the ballast loading port to fully complete a repair, consideration should be given to undertaking the repair while en route.

The ballast water on board will then have to be treated by the BWMS to ensure all ballast on board is compliant. Depending on the system design this may require the vessel to undertake a ballast water exchange through the BWMS as per CM.3.2.

CM.3 Ballast water exchange (BWE) options

It is important to note that compliance with Regulation D-1 may not be required to be recorded on the ship's IBWMC (together with Regulation D-2 compliance) when the relevant ballast water exchange procedure has been included as a contingency measure in the approved BWMP.

CM.3.1 Mid-ocean ballast water exchange – without BWMS

In the event the BWMS cannot be repaired at the ballast loading port or en route, and with an inoperable BWMS, the BWE should be conducted in accordance with the BWM Convention Regulations B-4 and D-1 as follows:

Regulation B-4 – Ballast Water Exchange

1. A ship conducting Ballast Water exchange to meet the standard in regulation D-1 shall:

- 1. whenever possible, conduct such Ballast Water exchange at least 200 nautical miles from the nearest land and in water at least 200 metres in depth, taking into account the Guidelines developed by the Organization;*
- 2. in cases where the ship is unable to conduct Ballast Water exchange in accordance with paragraph 1.1, such Ballast Water exchange shall be conducted taking into account the Guidelines described in paragraph 1.1 and as far from the nearest land as possible, and in all cases at least 50 nautical miles from the nearest land and in water at least 200 metres in depth.*

Regulation D-1 – Ballast Water Exchange Standard

1. Ships performing Ballast Water exchange in accordance with this regulation shall do so with an efficiency of at least 95 percent volumetric exchange of Ballast Water.

2. For ships exchanging Ballast Water by the pumping-through method, pumping through three times the volume of each Ballast Water tank shall be considered to meet the standard described in paragraph 1. Pumping through less than three times the volume may be accepted provided the ship can demonstrate that at least 95 percent volumetric exchange is met.

When undertaking BWE the procedure should follow that specified in the relevant section of the ship's BWMP and be specific to the vessel.

The USCG BWE standard in §151.2025, 'Ballast water management requirements':

Perform complete ballast water exchange in an area 200 nautical miles from any shore prior to discharging ballast water.

Policy Letter 18-02 states clearly that for BWE to be acceptable to the COTP then the exchange must occur in area 200 miles from any shore.

CM.3.2 Mid-ocean ballast water exchange – through the BWMS

In the event that a the BWMS has been repaired but there remains untreated (non-compliant) ballast water on board, the untreated ballast water may be treated en route by undertaking a ballast water exchange through the BWMS. As the ballast water being discharged may contain invasive species from the ballast loading port (depending on the BWMS design) then it is recommended to follow the procedures details in CM.3.1 in regards the Regulation B-4 and D-1 Convention requirements as well as §151.2025, as necessary. In most cases when a BWMS is used in conjunction with BWE, then the sequential method of BWE will have to be utilised.

This contingency measure may also be considered when a BWMS has been by-passed during uptake due to challenging water quality in the ballasting port. See the notes on this issue in section 1.1.

CM.4 Ballast water exchange in a designated ballast water exchange area

Some States have designated BWE areas that should be used as instructed by the Port State authority upon communication of the BWMS failure. The IMO lists those States and their designated BWE areas on the GISIS website:

<https://gisis.imo.org/Public/BWM/ExchangeAreas.aspx>

CM.5 Shore-based mobile treatment systems at the ballast discharge port

A number of entrepreneurs are developing mobile shore-based treatment options to act as contingency measures or more permanent options for vessels without BWMS installed. These options are broadly grouped into three categories:

CM5.1 Using a specifically designed **ballast water treatment boat or barge** that would either provide the vessel with treated ballast water and/or receive untreated ballast water for treatment. This option is closely aligned to the US requirements, §151.2025(a)(5).

CM5.2 A **mobile treatment facility transported on a barge or truck** at the ballast discharge port to receive untreated ballast water from the ship.

CM5.3 A small mobile ballast water treatment equipment that can be deployed on a ship by a small riding crew to inject and then mix an active substance into the ballast tanks prior to discharge. A small time would need to be allocated to allow the active substances to work and then a neutralising agent would need to be added prior to discharge.

Communication with the Port State will be necessary to determine if this option exists and the necessary connections and piping required to be able to utilise these options.

CM.6 Discharge to a port reception facility at the ballast discharge port

This is one of the options specifically mentioned in the USCG requirements, §151.2025(a)(5). However, with the exception of Flotta Oil Terminal, Scapa Flow, very few ports have the capability to receive and then treat ballast water.

Some ports are in the process of implementing a system for receiving and treating ballast water using the methods described in CM.5 above.

CM.7 Retain ballast water onboard

Not discharging ballast water into Port State waters is one of the options specifically mentioned in the USCG requirements, §151.2025(a)(4) and may also be an option in other countries and ports.

CM.8 Use water from a public water supply (PWS)

This is one of the options specifically mentioned in the USCG requirements, §151.2025(a)(2). The sub-section states that:

Vessels using water from a PWS as ballast must maintain a record of which PWS they received the water from as well as a receipt, invoice, or other documentation from the PWS indicating that water came from that system. Furthermore, they must certify that they have met the conditions in paragraphs (a)(2)(i) or (ii) of this section, as applicable, and describe in the BWM plan the procedures to be used to ensure compliance with those conditions, and thereafter document such compliance in the BW record book. Vessels using water from a PWS must use such water exclusively unless the usage is in accordance with § 151.2040 of this subpart. Vessels using PWS water as ballast must have either:

(i) Previously cleaned the ballast tanks (including removing all residual sediments) and not subsequently introduced ambient water; or

(ii) Never introduced ambient water to those tanks and supply lines.

It should be noted that only water from a US or Canadian PWS would be acceptable to the USCG. The receipt of delivery of the PWS should be kept on board and provided to the COTP as necessary.

CM.9 Partial ballast water discharge at 12nm from nearest land (US only)

Specific to the US, experience to date suggests that some COTPs are allowing tankers to partially discharge greater than 12nm from nearest land and then undertake a partial loading operation in the US port.

This contingency measure has commercial implications but may be offered by the COTP as an alternative to no ballast discharge or cargo loading.

Part 4: Reporting and reporting forms

4.1 Model Reporting Forms

The IMO has taken into account the fact that during the early stages of implementing the BWM Convention the shipping industry is likely to face challenges in operating new equipment. As such, the IMO has issued guidance to Governments and the shipping industry which clarifies the need to build experience during the early stages of implementation. In addition, during this period Governments are encouraged to recognise and respect the challenges that may occur when new equipment fails to meet the desired performance standards. The details of this agreement by the IMO, as contained in IMO Resolution MEPC.290(71), should be known by the ship and brought to the attention of the relevant Port State. The relevant text from the resolution therefore appears on the Model Ballast Water Contingency Measure Request Form as presented in Annex I of this document.

A Model BWMS Failure Reporting Form has also been provided in this document, Annex II. This should be used by the designated officer on board to initiate the process described in section 1.2 of this document.

4.2 BWMS Repair Plan

The BWMS Repair Plan should be prepared by the BWMS manufacturer in consultation with the company.

The BWMS Repair Plan should provide a schedule with a specific timeline from the BWMS manufacturer as to when the BWMS will be repaired. The schedule for repairs is important as it will allow the owner and the Port State to determine whether this is short term fix or a longer term issue that may impact future port calls. Together with the BWMS Failure Reporting Form or company defect reporting procedure, the BWMS Repair Plan should be incorporated into the company SMS.

As a minimum, the BWMS Repair Plan should provide details of:

- the BWMS, its repairs and all previous maintenance and failure history
- the length of time the system has been inoperable
- the suspected cause of failure
- repairs that have already been completed
- details relating to the attempts to repair the BWMS
- the schedule for the proposed repair (corrective action)
- communications between the company and the manufacturer
- other relevant operational data.

Annex I

Model Ballast Water Contingency Measure Request Form

The following Ballast Water Contingency Measures Report is submitted taking into account Resolution MEPC.290(71) (adopted on 7 July 2017) on the Experience-Building Phase associated with the BWM Convention, and the agreement that, during the ballast water experience-building phase, a ship should not be penalised (sanctioned, warned, detained or excluded) solely due to an exceedance of the ballast water performance standard described in regulation D-2 of the Convention following use of a ballast water management system (BWMS), provided that:

1. the BWMS is approved in accordance with regulation D-3.1;
2. the BWMS has been installed correctly;
3. the BWMS has been maintained in accordance with the manufacturer's instructions;
4. the Ballast Water Management Plan approved in accordance with regulation B-1 of the Convention has been followed, including the operational instructions and the manufacturer's specifications for the BWMS; and
5. either the self-monitoring system of the BWMS indicates that the treatment process is working properly, or the port State has been advised that the BWMS is defective prior to the discharge of any ballast water.

The undersigned therefore submits this request to undertake the described contingency measure in accordance with '5' above and can confirm that the BWMS and the ship meet the requirements in 1, 2, 3 and 4 above. The contingency measure proposed is included in the ships' Ballast Water Management Plan.

1 COMPANY INFORMATION

- 1.1 Company name: _____
- 1.2 Designated officer: _____
- 1.3 Email: _____ 1.4 Tel. _____

2 SHIP'S PARTICULARS

- 2.1 Name of ship: _____
- 2.2 IMO Number: _____
- 2.3 Master: _____

3 BALLAST WATER MANAGEMENT SYSTEM

- 3.1 BWMS Manufacturer: _____
- 3.2 BWMS Model: _____

4 PORT/LOCATION OF BWMS FAILURE

4.1 Country: _____

4.2 Name of port or area: _____

4.3 Longitude/Latitude: _____

4.4 Time and date of occurrence: _____ hrs ____/____/____ (dd/mm/yyyy)

5 INTENDED BALLAST WATER DISCHARGE

5.1 Country: _____

5.2 Name of port or area: _____

5.3 Quantity of ballast water to be discharged (m3): _____

6 INFORMATION ON THE BWMS FAILURE

6.1 Brief description of failure. Full details are provided in the BWMS Failure Report and the BWMS Repair Plan, enclosed:

7 ADDITIONAL REMARKS AND INFORMATION

8 PROPOSED CONTINGENCY MEASURE

Insert description of the proposed contingency measure including all relevant details on how the measure will be conducted, as per the details provided in the ship's BWMP.

Insert additional details relating to the time and location the measure will be conducted, as per the Ballast Water Report Form.

9 ADDITIONAL INFORMATION

The following documents are appended to this Form:

1. A completed **Ballast Water Report Form** as per the recommended format provided in the 2017 Guidelines for Ballast Water Exchange (G6) – Resolution MEPC.288 (71)

For the US, this should be in the format of the National Ballast Information Clearinghouse (NBIC) reporting form.

2. The **BWMS Failure Report** as submitted by the designated officer in charge on the vessel.
3. **BWMS Repair Plan** as developed by the BWMS manufacturer in consultation with the company.
4. **Certificate of Compliance** (IBWMC) with the IMO Ballast Water Management Convention
5. Copy of the **BWMS Type Approval Certificate**
6. Copies of the **Ballast Water Record Book** covering at least the previous three ballast water management operations.
7. *For the US, USCG approval letter for the system or a USCG Alternate Management System (AMS) letter issued to the vessel.*
8. *For the US, reference to the relevant crew training documentation as provided in the BWMP should also be included with a clear description of the training for both operation and maintenance of the BWMS.*

We invite you to review the information provided together with the proposed contingency measure and advise the undersigned as soon as possible of your consent to undertake the procedure described above.

In the event an alternative measure is proposed or more details are required, please contact the undersigned.

Company representative: _____ **Date:** __/__/____ (dd/mm/yyyy)

Annex II

BALLAST WATER MANAGEMENT SYSTEM (BWMS) FAILURE REPORTING FORM

In accordance with the ship's Ballast Water Management Plan, the Master or responsible officer, having encountered difficulties in managing ballast water due to the failure of the ballast water management system should forward the information below, together with any supporting documentation, to the company representative.

The information will be used to determine the most appropriate contingency measure to use based on the ship's Ballast Water Management Plan.

1. SHIP'S PARTICULARS

- 1.1 Name of ship: _____
- 1.2 IMO Number: _____
- 1.3 Responsible officer: _____

2. BALLAST WATER MANAGEMENT SYSTEM

- 2.1 BWMS Manufacturer: _____
- 2.2 BWMS Model: _____

3. PORT/LOCATION OF BWMS FAILURE

- 3.1 Country: _____
- 3.2 Name of port or area: _____
- 3.3 Longitude/Latitude: _____
- 3.4 Time and date of occurrence: _____ hrs ____/____/____ (dd/mm/yyyy)

4 INFORMATION ON THE BWMS FAILURE

- 4.1 Description of failure (please include any details of the components that failed):

4.2 Details of actions taken to repair BWMS:

4.3 Total volume of ballast pumped prior to failure: _____

4.4 Hours BWMS in use prior to failure: _____

4.5 Tanks treated/partially treated/untreated (T/PT/UT): _____

Tank*									
T/PT/UT									

* Refer to vessel BWMP for ballast tank coding

5 PROPOSED CONTINGENCY MEASURE(S)

Based on the Contingency Measures listed in the ships' BWMP, the following Contingency Measures are proposed for this event:

Contingency Measures listed in the BWMP	Proposed Measure*
CM.1 Repair BWMS at the ballast loading port	
CM.2 Repair the BWMS en route	
CM.3.1 Mid-ocean ballast water exchange (BWE) – without BWMS	
CM.3.2 Mid-ocean ballast water exchange (BWE) – with BWMS	
CM.4 Ballast water exchange in a designated ballast water exchange area	
CM.5 Shore based mobile treatment systems at the ballast discharge port	
CM.5.1 Ballast water treatment boat or barge	
CM.5.2 Mobile treatment facility transported on a barge or truck	
CM.5.3 Mobile ballast water treatment equipment	
CM.6 Discharge to a port reception facility at the ballast discharge port	
CM.7 Retain ballast water onboard	
CM.8 Use water from a Public Water System	
CM.9 Partial ballast water discharge at 12nm from nearest land (US only)	

* Tick as appropriate

6 ADDITIONAL REMARKS AND INFORMATION

Master's signature _____ Date: __/__/____ (dd/mm/yyyy)



ISO 9001:2008

Certificate Number: 33714

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