

General Guidance on the Voluntary Interim Application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea

All 21 countries in HELCOM and OSPAR have signed up to the General Guidance on the Voluntary Interim Application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea.

General Guidance on the Voluntary Interim application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea.

1. In anticipation of the coming into force of the International Maritime Organization's International Convention for the Control and Management of Ship's Ballast Water and Sediments (the Ballast Water Management Convention), vessels entering the marine areas of:
 - the Convention for the Protection of the Marine Environment of the North-East Atlantic (OSPAR Convention); and,
 - the Convention on the Protection of the Marine Environment of the Baltic Sea Area (Helsinki Convention)

would be expected to apply on a voluntary basis, as from 1st April 2008, the following guidelines to reduce the risk of non-indigenous species invasion through ballast water. The guidelines are addressed to those vessels covered by Article 3 of the Ballast Water Management Convention, taking into account the exceptions in Regulation A-3 of that Convention. These Guidelines do not replace the requirements of the Ballast Water Management Convention, but provide the first part of interim Ballast Water Regional Management Strategies for the North-East Atlantic and the Baltic Sea under Article 13 (3). These Guidelines will no longer apply when a ship is in a position to apply the D-2 Standard of this Convention, or the Ballast Water Management Convention comes into force and a ship has to apply the D-2 Standard.
2. If the safety of the vessel is in any way jeopardised by a ballast water exchange, it should not take place. Additionally these guidelines do not apply to the uptake or discharge of ballast water and sediments for ensuring the safety of the vessel in emergency situations or saving life at sea in the waters of the North East Atlantic and the Baltic Sea.
3. Such Waters are defined as
 - the internal waters and the territorial seas of Contracting Parties to the OSPAR and Helsinki Conventions who are also Member States of the IMO*, the sea beyond and adjacent to the territorial sea under the jurisdiction of the coastal state to the extent recognised by international law, and the high seas, including the bed of all those waters and its sub-soil, situated within the following limits:
 - those parts of the Atlantic and Arctic Oceans and their dependent seas, including the Baltic Sea, which lie north of 36° north latitude and between 42° west longitude and 51° east longitude, but excluding the Mediterranean Sea and its dependent seas as far as the point of intersection of the parallel of 36° north latitude and the meridian of 5° 36' west longitude;
 - that part of the Atlantic Ocean north of 59° north latitude and between 44° west longitude and 42° west longitude.
4. Each vessel entering these waters should have a Ballast Water Management Plan which complies with the Guidelines for ballast water management and development of ballast water management plans (G4) (IMO resolution MEPC.127(53)).
5. Each vessel entering these waters should keep a record of all ballast water operations.
6. Vessels entering these waters should exchange all their ballast tanks to the standards set out by the D-1 Standard of the Ballast Water Management Convention, at least 200 nautical miles from the nearest land in water at least 200 metres deep. This includes vessels transiting the Atlantic, or entering the areas of the OSPAR and Helsinki Conventions from routes passing the West African Coast. It does not apply to vessels entering the area from the Mediterranean Sea. A map identifying these areas can be found in Figure 1.

7. If this has not been undertaken, vessels will be expected to exchange (to the D-1 Standard) in waters at least 200 nautical miles from the nearest land in water at least 200 metres deep within the North-East Atlantic. (If this is not possible for operational reasons then such exchange should be undertaken as far from the nearest land as possible, and in all cases in waters at least 50 nautical miles from the nearest land in waters of at least 200 metres depth). It should be noted that nowhere in the Baltic Sea fulfils these criteria. A map identifying these areas can be found in Figure 1.
8. The release of sediments during the cleaning of ballast tanks should not take place within 200nm of the coastline of the North-East Atlantic or within the Baltic Sea.

* The Contracting Parties of OSPAR and/or the Helsinki Convention, who are also Member States of the IMO, are as follows: Belgium, Denmark, Estonia, Finland, France, Germany, Latvia, Lithuania, Luxembourg, Iceland, Ireland, The Netherlands, Norway, Poland, Portugal, The Russian Federation, Spain, Sweden, Switzerland and the United Kingdom of Great Britain and Northern Ireland. These Guidelines are also supported by the European Commission.

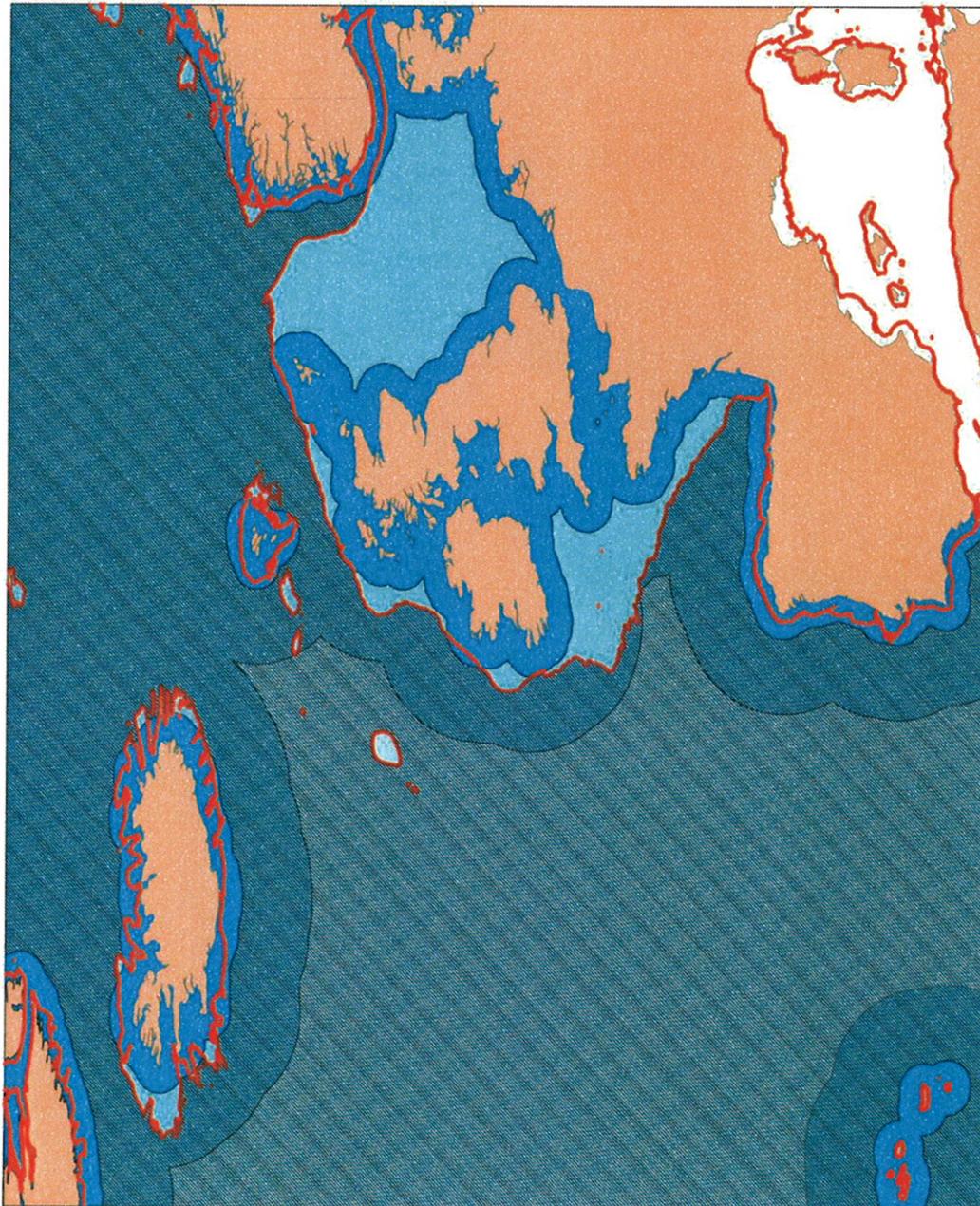
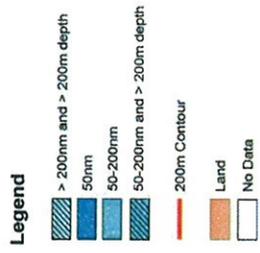


Figure 1: Map of North West Europe showing the 200nm and 50nm contours and the 200m depth contour.

Joint Notice to shipping from the Contracting Parties of HELCOM and OSPAR on General Guidance on the Voluntary Interim application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea.

1. Introduction

1.1 Loading and discharging ballast water is an essential part of a ships operation, with large ships requiring many thousands of tonnes of water to maintain their stability, draft and manoeuvrability. Contained within this ballast water are hundreds of microscopic species that will be carried to new destinations by the ship. The vast majority of these species will not survive the journey; however, the species that do survive may establish themselves in a new environment if the biological and physical conditions are favourable. There are numerous well documented examples, from all parts of the world, of the negative effects of non-native species introduced through ballast water. Such non-native species may cause serious ecological, economic and public health impacts, particularly when they become invasive.

1.2 In response to this the International Maritime Organization (IMO) through its Marine Environment Protection Committee (MEPC), has over many years, been developing international legislation to prevent the harmful effects of transporting aquatic organisms in ships ballast water.

2. IMO Convention

2.1. Over 9-13 February 2004 a Diplomatic Conference was held to adopt the "International Convention for the Control and Management of Ships' Ballast Water and Sediments" (the Convention). This Convention puts in place international legislation for the first time and will enter into force 12 months after it has been signed by 30 States, representing 35% of world merchant shipping tonnage. The first application date of this Convention is 2009, however this date is subject to the IMO Assembly Resolution A.1005(25), which states that "A ship subject to regulation B.3-3 constructed in 2009 will not be required to comply with regulation D-2 until its second annual survey, but no later than 31 December 2011."

2.2. The Convention provides two standards for the industry – the first providing a standard for ballast water exchange and the second based on ballast water treatment. These are set out below:

- **D1 Standard** - Ballast Water Exchange (at least 95% volumetric exchange) or if using the pump through method - pumping through three times the volume of each tank.
- **D2 Standard** - Ballast Water Treatment systems approved by the Administration which treat ballast water to an efficacy of:
 - less than 10 viable organisms per m³ \geq 50 micrometres in minimum dimension, and
 - less than 10 viable organisms per millilitre < 50 micrometres in minimum dimension and \geq 10 micrometers in minimum dimension.

Indicator Microbe concentrations shall not exceed: a) toxicogenic vibrio cholerae (O1 and O139): 1 colony forming unit (cfu) per 100 millilitre or 1 cfu

per gram of zooplankton samples; b) *Escherichia coli*: 250 cfu per 100 millilitre c) Intestinal Enterococci: 100 cfu per 100 millilitre.

These will apply to different vessels at different times as set out in Regulation B-3 of the Convention.

2.3. Article 13 (3) of the Convention states that:

“In order to progress further the objectives of the Convention, Parties with common interests to protect the environment, human health, property and resources in a given geographical area, in particular, those parties bordering enclosed and semi-enclosed seas, shall endeavour, taking into account characteristic regional features, to enhance regional co-operation, including through the conclusion of regional arrangements consistent with this Convention. Parties shall seek to co-operate with the Parties to regional agreements to develop harmonized procedures”

Therefore, the Contracting Parties of OSPAR and the Helsinki Convention: Belgium, Denmark, Estonia, Finland, France, Germany, Latvia, Lithuania, Luxembourg, Iceland, Ireland, The Netherlands, Norway, Poland, Portugal, The Russian Federation, Spain, Sweden, Switzerland and the United Kingdom of Great Britain and Northern Ireland, have been working together to develop voluntary interim guidance on ballast water management for the North-East Atlantic and the Baltic Sea, to reduce the risk of non-indigenous species invasion through ballast water, prior to the Convention coming into force. These Guidelines are also supported by the European Commission.

3.0 General Guidance on the Voluntary Interim application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea.

3.1 This guidance forms part of two separate interim strategies being developed through the Convention for the Protection of the Marine Environment of the North-East Atlantic (OSPAR Convention) and the Convention on the Protection of the Marine Environment of the Baltic Sea (Helsinki Convention). After discussion the two Commissions managing the OSPAR and Helsinki Conventions realised that there were key management options common to both strategies. This has resulted in the development of General Guidance on the Voluntary Interim application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea, which is based on the ballast water exchange requirements of the Convention.

3.2 In order to help reduce the risk of non-indigenous species entering the OSPAR maritime area through ballast water exchange, vessels entering North-East Atlantic waters are expected to apply these voluntary guidelines (as found in Appendix 1) from 1st April 2008. It should be noted that once the Convention comes into force these guidelines will become mandatory. However, when vessels have to apply the D-2 Performance Standard of the Convention, after the Convention comes into force, then these Guidelines will no longer apply.

3.3 It should be noted that this guidance is addressed specifically to vessels entering the OSPAR Maritime Area from transatlantic routes and those routes passing West Africa. It does not apply to vessels entering the OSPAR Area from the Mediterranean. It should be noted that further guidance and appropriate management measures to reduce

the risk arising from the transfer of non-indigenous species through ballast water will be developed and distributed in the near future for vessels operating between ports within the OSPAR and HELCOM regions.

3.4 Further information on these strategies can be found at:

[\[http://www.mcga.gov.uk\]](http://www.mcga.gov.uk) [add and delete as appropriate] for the OSPAR Ballast Water Management Strategy

http://www.helcom.fi/BSAP/ActionPlan/otherDocs/en_GB/roadmap/ for the HELCOM Road Map

4.0 Further information

Further information can be obtained from the following:

[add and delete as appropriate]

For the United Kingdom:

Environmental Quality Branch,
Maritime and Coastguard Agency,
Spring Place,
105 Commercial Road,
Southampton,
SO53 3NW
+44 (0) 2380 329193
environment@mcga.gov.uk

Appendix 1

General Guidance on the Voluntary Interim application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea.

1. In anticipation of the coming into force of the International Maritime Organization's International Convention for the Control and Management of Ship's Ballast Water and Sediments (the Ballast Water Management Convention), vessels entering the marine areas of:

- the Convention for the Protection of the Marine Environment of the North-East Atlantic (OSPAR Convention); and,
- the Convention on the Protection of the Marine Environment of the Baltic Sea Area (Helsinki Convention)

would be expected to apply on a voluntary basis, as from 1st April 2008, the following guidelines to reduce the risk of non-indigenous species invasion through ballast water. The guidelines are addressed to those vessels covered by Article 3 of the Ballast Water Management Convention, taking into account the exceptions in Regulation A-3 of that Convention. These Guidelines do not replace the requirements of the Ballast Water Management Convention, but provide the first part of interim Ballast Water Regional Management Strategies for the North-East Atlantic and the Baltic Sea under Article 13 (3). These Guidelines will no longer apply when a ship is in a position to apply the D-2 Standard of this Convention, or the Ballast Water Management Convention comes into force and a ship has to apply the D-2 Standard.

2. If the safety of the vessel is in any way jeopardised by a ballast water exchange, it should not take place. Additionally these guidelines do not apply to the uptake or discharge of ballast water and sediments for ensuring the safety of the vessel in emergency situations or saving life at sea in the waters of the North East Atlantic and the Baltic Sea.

3. Such Waters are defined as

- the internal waters and the territorial seas of Contracting Parties to the OSPAR and Helsinki Conventions who are also Member States of the IMO*, the sea beyond and adjacent to the territorial sea under the jurisdiction of the coastal state to the extent recognised by international law, and the high seas, including the bed of all those waters and its sub-soil, situated within the following limits:

those parts of the Atlantic and Arctic Oceans and their dependent seas, including the Baltic Sea, which lie north of 36^o north latitude and between 42^o west longitude and 51^o east longitude, but excluding the Mediterranean Sea and its dependent seas as far as the point of intersection of the parallel of 36^o north latitude and the meridian of 5^o 36' west longitude;

- that part of the Atlantic Ocean north of 59^o north latitude and between 44^o west longitude and 42^o west longitude.

4. Each vessel entering these waters should have a Ballast Water Management Plan which complies with the Guidelines for ballast water management and development of ballast water management plans (G4) (IMO resolution MEPC.127(53)).
5. Each vessel entering these waters should keep a record of all ballast water operations.
6. Vessels entering these waters should exchange all their ballast tanks to the standards set out by the D-1 Standard of the Ballast Water Management Convention, at least 200 nautical miles from the nearest land in water at least 200 metres deep. This includes vessels transiting the Atlantic, or entering the areas of the OSPAR and Helsinki Conventions from routes passing the West African Coast. It does not apply to vessels entering the area from the Mediterranean Sea. A map identifying these areas can be found in Figure 1.
7. If this has not been undertaken, vessels will be expected to exchange (to the D-1 Standard) in waters at least 200 nautical miles from the nearest land in water at least 200 metres deep within the North-East Atlantic. (If this is not possible for operational reasons then such exchange should be undertaken as far from the nearest land as possible, and in all cases in waters at least 50 nautical miles from the nearest land in waters of at least 200 metres depth). It should be noted that nowhere in the Baltic Sea fulfils these criteria. A map identifying these areas can be found in Figure 1.
8. The release of sediments during the cleaning of ballast tanks should not take place within 200nm of the coastline of the North-East Atlantic or within the Baltic Sea.

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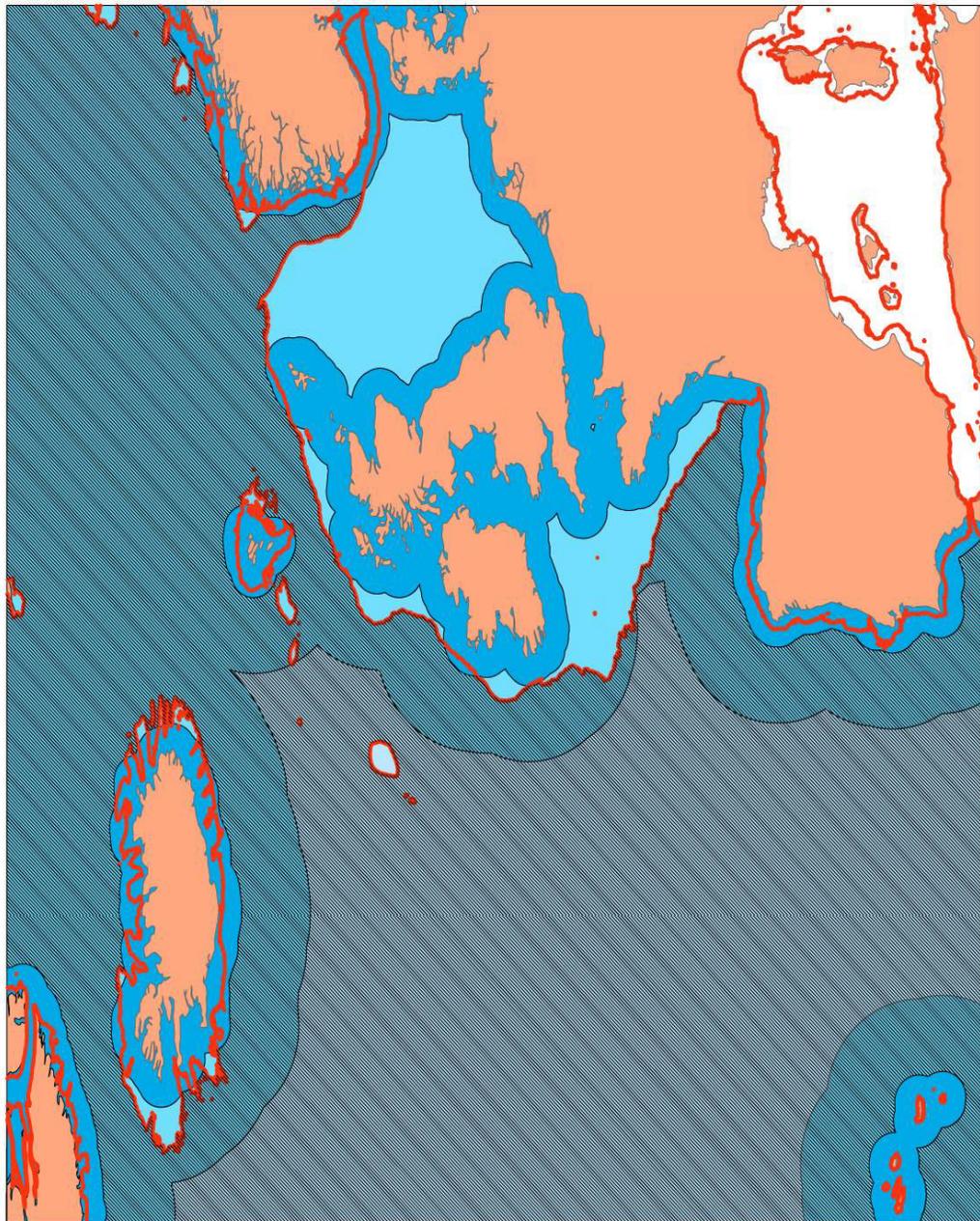
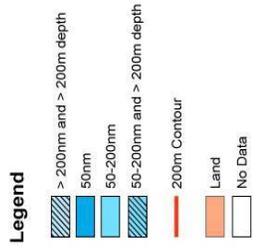


Figure 1: Map of North West Europe showing the 200nm and 50nm contours and the 200m depth contour.

Instructions to Surveyors regarding the General Guidance on the Voluntary Interim application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea, published by the Contracting Parties of HELCOM and OSPAR

1. Introduction

1.1 Loading and discharging ballast water is an essential part of a ships operation, with large ships requiring many thousands of tonnes of water to maintain their stability, draft and manoeuvrability. Contained within this ballast water are hundreds of microscopic species that will be carried to new destinations by the ship. The vast majority of these species will not survive the journey; however, the species that do survive may establish themselves in a new environment if the biological and physical conditions are favourable. There are numerous well documented examples, from all parts of the world, of the negative effects of non-native species introduced through ballast water. Such non-native species may cause serious ecological, economic and public health impacts, particularly when they become invasive.

1.2 In response to this the International Maritime Organization (IMO) through its Marine Environment Protection Committee (MEPC), adopted the “International Convention for the Control and Management of Ships’ Ballast Water and Sediments” (the Convention). This Convention puts in place international legislation for the first time and will enter into force 12 months after it has been signed by 30 States, representing 35% of world merchant shipping tonnage.

1.3 The Convention provides two standards for the industry – the first providing a standard for ballast water exchange and the second based on ballast water treatment. These are set out below:

- **D1 Standard** - Ballast Water Exchange (at least 95% volumetric exchange) or if using the pump through method - pumping through three times the volume of each tank.
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 - less than 10 viable organisms per m³ \geq 50 micrometres in minimum dimension, and
 - less than 10 viable organisms per millilitre < 50 micrometres in minimum dimension and \geq 10 micrometers in minimum dimension.

Indicator Microbe concentrations shall not exceed: a) toxicogenic vibrio cholerae (O1 and O139): 1 colony forming unit (cfu) per 100 millilitre or 1 cfu per gram of zooplankton samples; b) Escherichia coli: 250 cfu per 100 millilitre c) Intestinal Enterococci: 100 cfu per 100 millilitre.

These will apply to different vessels at different times as set out in Regulation B-3 of the Convention.

1.3 Article 13 (3) of the Convention states that:

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resources in a given geographical area, in particular, those parties bordering enclosed and semi-enclosed seas, shall endeavour, taking into account characteristic regional features, to enhance regional co-operation, including through the conclusion of regional arrangements consistent with this Convention. Parties shall seek to co-operate with the Parties to regional agreements to develop harmonized procedures”

Therefore, the Contracting Parties of OSPAR and the Helsinki Conventions: Belgium, Denmark, Estonia, Finland, France, Germany, Latvia, Lithuania, Luxembourg, Iceland, Ireland, The Netherlands, Norway, Poland, Portugal, The Russian Federation, Spain, Sweden, Switzerland and the United Kingdom of Great Britain and Northern Ireland, have been working together to develop voluntary interim guidance on ballast water management for the North-East Atlantic and the Baltic Sea to reduce the risk of non-indigenous species invasion through ballast water, prior to the Convention coming into force. These Guidelines are also supported by the European Commission.

2.0 Application of the General Guidance on the Voluntary Interim application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea.

2.1 Vessels entering North-East Atlantic waters and progressing to ports in any or the countries listed in paragraph 1.3 will be expected to apply these voluntary guidelines (as found in Appendix 1) and apply the Convention’s D1 Ballast Water Exchange Standard from 1st April 2008.

2.2 These Guidelines apply to vessels entering the OSPAR Maritime Area or transiting through this area en route to the Baltic Sea from transatlantic routes and routes passing West Africa. They do not apply to vessels entering this region from the Mediterranean Sea. It should be noted that further guidance and appropriate management measures to reduce the risk arising from the transfer of non-indigenous species through ballast water will be developed and distributed in the near future for vessels operating between ports within the OSPAR and HELCOM regions.

2.3 It should be noted that once the Convention comes into force these guidelines will become mandatory. However, when vessels have to apply the D-2 Performance Standard of the Convention, after the Convention comes into force, then these Guidelines will no longer apply.

3.0 Action requested of Surveyors during port State Control and flag State Control

3.1 As these guidelines are voluntary they cannot be enforced through port or flag State Control Inspections. However, if time allows during such inspections, surveyors should proactively promote this guidance by asking the following:

- Is the ship’s master aware of the “General Guidance on the Voluntary Interim application of the D1 Ballast Water Exchange Standard in the North-East Atlantic and the Baltic Sea”, as published in IMO Circular [tbc]* and

[the relevant information document published by the OSPAR/HELCOM Contracting Party]**.

* for foreign flagged vessels, ** for own flag vessels

- If so has the vessel adhered to the guidance? To test this, surveyors should:
 1. Check the Ballast Water Log book has been filled in appropriately to ensure that the vessel has exchanged water to the D1 Standard of the Convention (see Section 1.3 above) in an area that is 200nm from the coast in waters greater than 200m deep, either outside the designated area in the Guidance, inside this area, or if this could not happen for safety reasons, then in waters 50nm from the coastline in waters 200m deep;
 2. Check that a vessel has a Ballast Water Management Plan which is in the format recommended in Appendix 1 of the IMO's Guidelines for ballast water management and development of ballast water management plans (G4) (IMO resolution MEPC.127(53)) (as attached in Appendix 2). Please note if this has been approved by a Class Society, Recognised Organisation or an Administration, it will comply with the IMO Guideline; and,
 3. Check that any release of sediments during the cleaning of ballast tanks has not taken place within 200nm of the coastline of the North-East Atlantic or within the Baltic Sea.

3.2 If the ship's master has not heard of this guidance, he should be either provided with the guidelines, or directed to the relevant IMO Circular or Flag State Guidance Document (as provided in Section 3.1, Bullet Point 1 of this document).

4.0 Further information

Further information can be obtained from the following: [add and delete as appropriate]

For the United Kingdom:

Environmental Quality Branch,
Maritime and Coastguard Agency,
Spring Place,
105 Commercial Road,
Southampton,
SO53 3NW
+44 (0) 2380 329193
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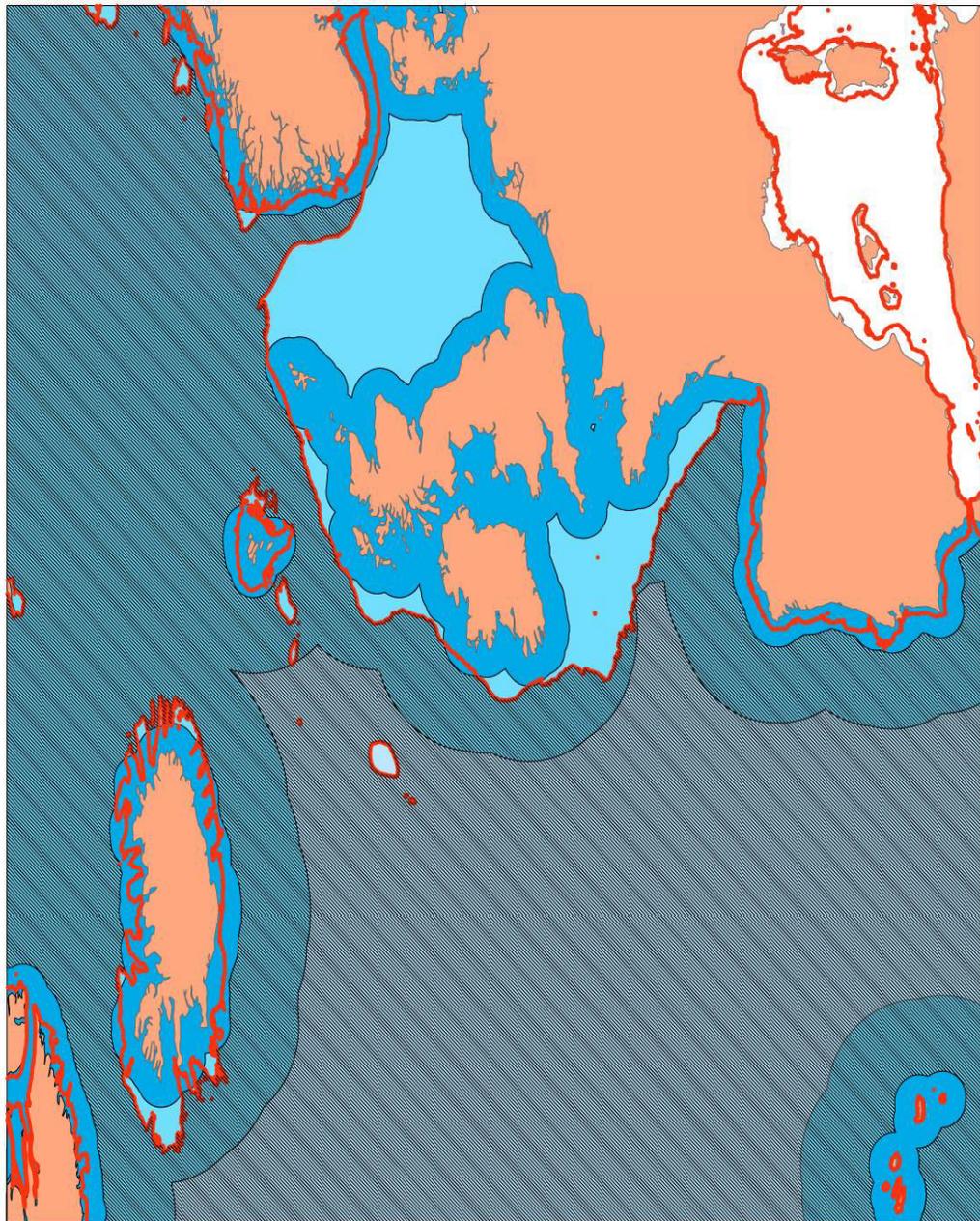
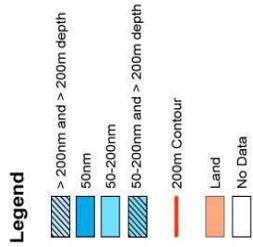


Figure 1: Map of North West Europe showing the 200nm and 50nm contours and the 200m depth contour.

Appendix 2: Appendix 1 of the IMO's Guidelines for ballast water management and development of ballast water management plans (G4) (IMO resolution MEPC.127(53)).

STANDARD FORMAT FOR THE BALLAST WATER MANAGEMENT PLAN

PREAMBLE

The ballast water management plan should contain the information required by Regulation B-1 of the Convention.

For guidance in preparing the plan the following information is to be included. The plan should be specific to each ship.

INTRODUCTION

At the beginning of each plan, wording should be included to reflect the intent of the following text.

1 This Plan is written in accordance with the requirements of Regulation B-1 of the International Convention for the Control and Management of Ships' Ballast Water and Sediments, 2004 (the Convention) and the associated Guidelines.

2 The purpose of the Plan is to meet the requirements for the control and management of ship's ballast water and sediments in accordance with the Guidelines for Ballast Water Management and the Development of Ballast Water Management Plans resolution MEPC 127(53) (The Guidelines). It provides standard operational guidance for the planning and management of ships' ballast water and sediments and describes safe procedures to be followed.

3 This Plan has been approved by the Administration and no alteration or revision shall be made to any part of it without the prior approval of the Administration.

4 This Plan may be inspected on request by an authorized authority.

Note: The Plan is to be written in the working language of the crew, if the text is not in English, French, or Spanish, the plan is to include a translation into one of these languages.

SHIP PARTICULARS

At least the following details should be included:

Ships' name;

Flag;

Port of registry;

Gross Tonnage;

IMO number*;

Length (BP);

Beam;

International call sign;

Deepest ballast drafts (normal and heavy weather);

Total ballast capacity of the ship in cubic meters and other units if applicable to the ship;

A brief description of the main ballast water management method(s) used on the ship; and

Identification (rank) of the appointed ballast water management officer.

* In accordance with resolution A.600(15), IMO Ship Identification Number Scheme.

INDEX

An index of sections should be included to reference the content of the Plan.

PURPOSE

Should contain a brief introduction for the ship's crew, explaining the need for ballast water management, and the importance of accurate record keeping.

PLANS/DRAWINGS OF THE BALLAST SYSTEM

Plans or drawings of the ballast system for example:

- 1) ballast tank arrangement;
- 2) ballast capacity plan;
- 3) a ballast water piping and pumping arrangement, including air pipes and sounding arrangements;
- 4) ballast water pump capacities;
- 5) the ballast water management system used onboard, with references to detailed operational and maintenance manuals held on board;
- 6) installed ballast water treatment systems; and
- 7) a plan and profile of the ship, or a schematic drawing of the ballast arrangement.

DESCRIPTION OF THE BALLAST SYSTEM

A description of the ballast system.

BALLAST WATER SAMPLING POINTS

Lists and/or diagrams indicating the location of sampling and access points in pipelines and ballast water tanks.

A note that sampling of ballast water is primarily a matter for the authorized authority, and there is unlikely to be any need for crew members to take samples except at the express request, and under the supervision, of the authorized authority.

OPERATION OF THE BALLAST WATER MANAGEMENT SYSTEM

A detailed description of the operation of the Ballast Water Management System(s) used on board.

Information on general ballast water management precautionary practices.

SAFETY PROCEDURES FOR THE SHIP AND THE CREW

Details of specific safety aspects of the ballast water management system used.

OPERATIONAL OR SAFETY RESTRICTIONS

Details of specific operational or safety restrictions including those associated with the management system which affects the ship and or the crew including reference to procedures for safe tank entry.

DESCRIPTION OF THE METHOD(S) USED ON BOARD FOR BALLAST WATER MANAGEMENT AND SEDIMENT CONTROL

Details of the method(s) used on board for the management of ballast and for sediment control including step-by-step operational procedures.

PROCEDURES FOR THE DISPOSAL OF SEDIMENTS

Procedures for the disposal of sediments at sea and to shore.

METHODS OF COMMUNICATION

Details of the procedures for co-ordinating the discharge of ballast in waters of a coastal State.

DUTIES OF THE BALLAST WATER MANAGEMENT OFFICER

Outline of the duties of the designated officer.

RECORDING REQUIREMENTS

Details of the record-keeping requirements of the Convention.

CREW TRAINING AND FAMILIARIZATION

Information on the provision of crew training and familiarization.

EXEMPTIONS

Details of any exemptions granted to the ship under Regulation A-4.

APPROVING AUTHORITY

Details and stamp of approving authority.