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## Application Instructions

1. **General:** Applications for approval of experimental ballast water treatment systems will be accepted and reviewed via the following process:

- a. Applications for approval of experimental BWT systems may be submitted beginning 01 April 2004. Potential applicants are strongly encouraged to discuss the process with G-MSO-4 prior to submission of applications.
- b. Application packages can be accessed via the Internet at <http://www.uscg.mil/hq/g-m/mso/mso4/bwm/step.htm>. Application packages can also be requested via phone (202-267-2716), postal mail, facsimile transmission (202-267-4690), or electronic mail (EnvironmentalStandards@comdt.uscg.mil).
- c. Completed applications shall be submitted to:

Commandant (G-MSO-4) STEP  
United States Coast Guard  
2100 2nd Street S.W.  
Washington, DC 20593-0001

- d. The application package will be evaluated for completeness and either forwarded to the independent panel for review or returned to the submitter for correction and re-submittal. The initial evaluation for completeness will typically be completed within 10 working days of receipt of the application. Incomplete packages will not be submitted to the independent panel for consideration, but will instead be returned to the submitter with an explanation of the reason(s) the package is incomplete. Applicants will be allowed to resubmit after completing the application package, with no prejudice.
  - e. Complete applications received by the Coast Guard will be immediately forwarded and evaluated by a review panel under the coordination of the Department of Transportation's Volpe National Transportation Systems Center (Volpe). The information will also be shared with U. S. Fish and Wildlife Service, the National Marine Fisheries Service, state coastal commissions, state historic preservation officers and other necessary regulatory officials.
  - f. Upon receipt of the application for full review, applicants will be sent (via postal mail, electronic mail, or facsimile transmission) a letter of introduction explaining the review process.
2. **Components of the Application:** Applications will be evaluated on the completeness of the following information:

Enclosure (3) to NVIC 01-04

- a. A letter of commitment from the vessel owner, the manufacturer or developer of the treatment system, and the principal investigators conducting the tests, stating their intent to carry out all components of the study plan for which they are responsible.
- b. A complete system description including:
  - (1) Location, arrangement, and integration with existing equipment.
  - (2) Vessel specifics.
  - (3) Vessel Route.
  - (4) All relevant piping modifications.
  - (5) System start up and operating procedures.
  - (6) Principles of operation.
  - (7) Unit construction material and standards.
  - (8) Power system and requirements.
  - (9) Controls and monitoring.
  - (10) Performance specifications and limitations.
  - (11) The expectations of performance in this application.
- c. Documentation stating that the residual concentrations of any primary treatment chemicals, chemicals that occur as disinfection by-products, or other changes to water quality parameters of discharged ballast water meet all applicable local, state, federal, and tribal requirements. Any significant effects on the quality of human health and the environment that are not mentioned elsewhere in the application should also be documented.
- d. Documentation that the system and its installation are acceptable to the vessel's classification society or the Marine Safety Center. This may include documents stamped "EXAMINED", a class report, or condition of class. Acceptance into STEP does not take the place of class society requirements.
- e. Documentation from prior experiments that demonstrates the potential of the system to significantly reduce the threat of introducing nonindigenous species via ballast water discharges. The results would demonstrate a taxonomic breadth of effectiveness across a suite of organisms such as, but not limited to, bacteria, phytoplankton (including dinoflagellates and diatoms), heterotrophic protists, rotifers, copepods (cyclopoid and harpacticoid; larval, post-larval, and adult life stages), mollusc larvae, polychaete larvae, mysids, decapod crustaceans (crabs and shrimp; larval, post-larval; and adult), and fish.
- f. A statement with explanations of the scalability of prior experiments relative to the proposed shipboard installation.
- g. A detailed study plan that is organized according to a standardized format outlined in the application package.

















