

U.S. Department  
of Transportation

United States  
Coast Guard



## Marine Safety Center Technical Note

---

Date: November 23 , 1998  
SSIC: 16717/46 CFR 69  
MTN: 01-98 CH-1

Subj: CH-1 TO MTN 01-98, TONNAGE ADMINISTRATIVE POLICY

1. Purpose: This Technical Note revises Marine Safety Center Technical Note (MTN) 01-98 to require additional information to be included on International Tonnage Certificates (1969) (ITC's), provide additional requirements and options for marking of certified copies of tonnage certificates, include a listing of authorized measurement organizations, and incorporate clarifications and corrections.
2. Discussion: The changes provided by this MTN reflect comments from authorized measurement organizations and the National Vessel Documentation Center (NVDC). The requirement for a remark on the ITC identifying builder, hull number, and official number, where appropriate, was added to assist the NVDC and other parties in relating tonnage certificates to associated vessels. The changes to marking requirements were made to allow additional flexibility consistent with current measurement organization practices, and to help preclude unauthorized marking of copies of tonnage certificates. A listing of measurement organizations was included to provide a formal mechanism for alerting measurement organizations and the NVDC to changes in measurement organization authorization status.
3. 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.
4. Action: The Tonnage Administrative Policy, as amended by Change 1, is attached as Enclosure (1). Authorized measurement organizations are requested to implement Change 1 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

# 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.**

## TABLE OF CONTENTS

<b>1. ISSUING TONNAGE CERTIFICATES.....</b>	<b>1</b>
1.1 PURPOSE .....	1
1.2 GENERAL .....	1
1.3 REQUIRED TONNAGE CERTIFICATES .....	1
(a) U.S. TONNAGE CERTIFICATE.....	1
(b) INTERNATIONAL TONNAGE CERTIFICATE (1969).....	1
1.4 DISTRIBUTION OF ORIGINAL CERTIFICATES .....	1
1.5 DISTRIBUTION OF COPIES .....	1
(a) WRITTEN STATEMENT.....	2
(b) STAMP WITHOUT SEAL.....	2
(c) STAMP WITH SEAL.....	2
(d) EMBOSSSED / WATERMARKED PAPER.....	2
1.6 REVISIONS TO TONNAGE CERTIFICATES .....	2
<b>2. PREPARING INTERNATIONAL TONNAGE CERTIFICATES.....</b>	<b>3</b>
2.1 PURPOSE .....	3
2.2 GENERAL .....	3
(a) DIMENSIONS.....	3
(b) VOLUMES.....	3
2.3 FRONT SIDE OF CERTIFICATE.....	3
(a) CERTIFICATE NUMBER .....	3
(b) GENERAL INFORMATION.....	3
(c) MAIN DIMENSIONS.....	4
(d) CONVENTION TONNAGES.....	5
(e) ISSUING INFORMATION .....	5
(f) AUTHORIZATION SIGNATURE AND SEAL .....	5
2.4 REVERSE SIDE OF CERTIFICATE .....	5
(a) SPACES INCLUDED IN TONNAGE (GROSS AND NET) .....	5
(b) EXCLUDED SPACES .....	6
(c) NUMBER OF PASSENGERS.....	6
(d) MOULDED DRAUGHT.....	6
(e) DATE AND PLACE OF ORIGINAL MEASUREMENT .....	6
(f) DATE AND PLACE OF LAST PREVIOUS REMEASUREMENT.....	6
(g) REMARKS .....	6
<b>3. PREPARING U.S. TONNAGE CERTIFICATES.....</b>	<b>9</b>
3.1 PURPOSE .....	9
3.2 GENERAL .....	9
(a) DIMENSIONS.....	9
(b) VOLUMES.....	9
3.3 FRONT SIDE OF CERTIFICATE.....	9
(a) CERTIFICATE NUMBER .....	9
(b) GENERAL INFORMATION.....	9
(c) REGISTERED TONNAGES .....	12
(d) REGULATORY TONNAGES.....	13
(e) CERTIFICATION AND ISSUING INFORMATION.....	14
(f) AUTHORIZATION SIGNATURE AND SEAL .....	15
3.4 REVERSE SIDE OF CERTIFICATE .....	15
(a) CONVENTION MEASUREMENT SYSTEM INFORMATION .....	15
(b) REGULATORY MEASUREMENT SYSTEM INFORMATION .....	15
<b>4. MEASUREMENT ORGANIZATION OVERSIGHT BY USCG.....</b>	<b>17</b>

4.1 PURPOSE ..... 17

4.2 PERIODIC OVERSIGHT REVIEWS ..... 17

    (a) REPORT SUBMITTAL ..... 17

    (b) FILE TRANSFER REQUEST ..... 17

    (c) FILE TRANSFER..... 17

    (d) OVERSIGHT REVIEWS AND REPORTING OF RESULTS ..... 17

    (e) FILE RETURN..... 18

    (f) CORRECTIVE ACTION AND MEASUREMENT ORGANIZATION RESPONSE ..... 18

4.3 NON-PERIODIC OVERSIGHT REVIEWS..... 19

**5. REQUESTS FOR TONNAGE FILE INFORMATION.....20**

5.1 PURPOSE ..... 20

5.2 TYPES OF REQUESTS..... 20

    (a) ROUTINE ..... 20

    (b) URGENT ..... 20

5.3 MSC REPLY/RESPONSE ..... 20

5.4 FILE TRANSFER ..... 20

5.5 SISTER VESSELS ..... 21

**6. REQUIREMENTS FOR MAINTAINING TONNAGE FILES .....22**

6.1 PURPOSE ..... 22

6.2 FILE CONTENTS..... 22

    (a) VESSELS BEING INITIALLY MEASURED ..... 22

    (b) VESSELS BEING REMEASURED ..... 22

6.3 RETENTION OF RECORDS ..... 22

**7. APPROVAL OF WATER BALLAST JUSTIFICATION REQUESTS .....23**

7.1 PURPOSE ..... 23

7.2 GENERAL ..... 23

7.3 APPROVAL LETTER CONTENTS ..... 23

    (a) VESSEL NAME..... 23

    (b) OFFICIAL NUMBER ..... 23

    (c) PURPOSE OF WATER BALLAST..... 23

    (d) BALLAST TANK INFORMATION..... 23

    (d) SERVICE ..... 23

**APPENDIX**

Vessel Tonnage File Request Form 1 ..... A-1

Vessel Tonnage File Request Form 2 ..... A-2

Sample U.S. Tonnage Certificate (front) ..... A-3

Sample U.S. Tonnage Certificate (back)..... A-4

Sample International Tonnage Certificate (1969) (front)..... A-5

Sample International Tonnage Certificate (1969) (back)..... A-6

List of Authorized Measurement Organizations ..... A-7

## LIST OF EFFECTIVE PAGES

<u>PAGE</u>	<u>CHANGE NUMBER</u>
i.....	1
ii.....	1
iii.....	1
1.....	1
2.....	1
3.....	1
4.....	1
5.....	1
6.....	1
7.....	1
8.....	1
9.....	1
10.....	0
11.....	0
12.....	0
13.....	1
14.....	1
15.....	0
16.....	0
17.....	0
18.....	1
19.....	0
20.....	0
21.....	0
22.....	0
23.....	0

### APPENDIX

A-1.....	0
A-2.....	0
A-3.....	1
A-4.....	0
A-5.....	1
A-6.....	1
A-7.....	1

# 1. ISSUING TONNAGE CERTIFICATES

## 1.1 PURPOSE

The purpose of this section is to delineate general requirements for issuing tonnage certificates. This section specifically addresses circumstances under which tonnage certificates must be issued, and the handling of original tonnage certificates and certified copies. Detailed instructions on preparing tonnage certificates are provided in Sections 2 and 3 of this document.

## 1.2 GENERAL

Appropriate tonnage certifying documents are issued to certify tonnages and registered dimensions assigned in accordance with U.S. tonnage regulations. Vessels measured under 46 CFR 69, Subparts B, C and D (convention, standard, and dual measurement systems, respectively) are issued tonnage certificates. Vessels measured under 46 CFR 69, Subpart E (simplified measurement system) are not issued tonnage certificates. For documented vessels measured under Subpart E, the Certificate of Documentation is used to certify tonnages and registered dimensions based on information provided by the vessel owner. For undocumented vessels measured under Subpart E, no tonnage certifying document is issued.

## 1.3 REQUIRED TONNAGE CERTIFICATES

The following documents, as applicable, must be issued as evidence that a vessel has been measured in accordance with 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.

### (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)

An ITC is issued upon the request of the vessel owner if the vessel is 79 feet or over in convention length and engages on foreign voyages. Refer to the most recent revision of Navigation and Vessel Inspection Circular (NVIC) 11-93 for appropriate definitions of foreign voyages and convention length.

## 1.4 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.

## 1.5 DISTRIBUTION OF COPIES

If a vessel is to be documented as a vessel of the United States, a certified copy of any associated tonnage certificate 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.

**1.6 REVISIONS TO TONNAGE CERTIFICATES**

Revisions to tonnage certificates are required to reflect remeasurement, correct errors, and indicate changes in applicability of measurement systems to a given vessel. There are no MSC requirements on returning superseded or invalid original tonnage certificates.

## 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, 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 ZZZZZ.", 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 ZZZZZ 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 remeasured 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 YYYYYY. The reduced gross tonnage which should be used for the calculation of tonnage based fees is ZZZZZZ.”, where YYYYYY and ZZZZZZ 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 ZZZZZZ.”, where ZZZZZZ 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, 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 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) and certificate number. 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. REQUIREMENTS FOR MAINTAINING TONNAGE FILES

### 6.1 PURPOSE

The purpose of this section is to delineate minimum requirements for maintaining 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 or sketches that were used as the basis for obtaining dimensions or other information used in establishing tonnages or registered dimensions.

#### (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)

		<b>UNITED STATES OF AMERICA</b> DEPARTMENT OF TRANSPORTATION UNITED STATES COAST GUARD		Certificate Number: <b>MSC-111</b>
		<h1>TONNAGE CERTIFICATE</h1>		
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 checked="" 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.</b> <b>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>4317</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: <b>J. C. DOE</b>	(SEAL)	ISSUING OFFICER: <b>T. G. ATKINS</b>
ISSUED AT: <b>Washington DC</b>		
DATE: <b>March 3 1998</b>		



CONVENTION MEASUREMENT SYSTEM				REGULATORY MEASUREMENT SYSTEM		
GROSS TONNAGE				GROSS TONNAGE		
SPACE	LOCATION	LENGTH (meters)	VOLUME (cubic meters)	SPACE	TONNAGE (to gross)	
Underdeck	----	-----	<b>20164.51</b>	Underdeck .....	<b>3144.00</b>	
1st Tier	Fr 15-16	28.57	7279.54	Between-deck .....	<b>1396.00</b>	
2nd Tier*	Fr 16-60	28.57	4509.26	Forecastle .....		
3rd Tier	Fr 16-40	13.29	738.64	1st Tier .....	<b>131.87</b>	
4th Tier	Fr 16-23	9.10	162.50	2nd Tier .....	<b>142.27</b>	
P/S Funnel	Fr 65-67	22.59	11.05	3rd Tier .....	<b>55.67</b>	
Crane Posts	FR 56	1.32	11.05	4th Tier .....	<b>0.00</b>	
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>	
				<b>EXEMPTED SPACES (Except Water Ballast)</b>		
				SPACE	TONNAGE (exempted)	
				Anchor gear .....	<b>10.90</b>	
				Companions .....	<b>8.67</b>	
				Dry cargo and stores .....		
				Galley .....	<b>28.61</b>	
				Light and air .....	<b>26.97</b>	
				Machinery .....		
				Open space .....	<b>32.85</b>	
				Passenger space .....		
				Skylights and air .....		
				Steering gear .....		
				Water closets .....	<b>40.95</b>	
				Wheelhouse .....	<b>10.01</b>	
TOTAL VOLUME			<b>33458.14</b>			
<b>EXCLUDED SPACES</b>				<b>WATER BALLAST</b>		
SPACE	LOCATION	LENGTH (meters)	VOLUME (cubic meters)	TANK	LOCATION	TONNAGE (exempted)
Recess P/S 2nd Tier	Fr 18-20	1.22	3.62	Forepeak .....		<b>75.01</b>
				Afterspeak .....		
				<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>
<b>NET TONNAGE</b>						
SPACE	LOCATION	LENGTH (meters)	VOLUME (cubic meters)			
Proc 1st Tier	Fr 15-50	20.65	6987.83			
Proc 2nd Tier	Fr 15-50	20.65	4267.95			
Cargo Hold 1	Fr 5-9	7.95	261.00			
Cargo Hold 2	Fr 30-35	8.97	411.52			
Cargo Hold 3	Fr 60-65	8.97	411.72			
TOTAL VOLUME			<b>12340.02</b>	<b>DEDUCTED SPACES</b>		
MOLDED		PASSENGERS (cabins of 8 berths or less):	0	SPACE	TONNAGE (deducted)	
<b>6.52</b> m	<b>21.4</b> ft	OTHER PASSENGERS:	0	Anchor gear .....	<b>10.32</b>	
				Boatswain's stores .....	<b>41.22</b>	
				Chart house .....	<b>5.91</b>	
				Crew space .....	<b>440.14</b>	
				Generators .....		
				Master's cabin .....	<b>53.46</b>	
				Propelling machinery .....		
				Radio house .....	<b>10.00</b>	
				Steering gear .....	<b>0.55</b>	
				Waste material space .....	<b>4.32</b>	
				<b>DUAL MEASUREMENT SYSTEM</b>		
				NUMBER OF COMPLETE DECKS: TONNAGE MARK ASSIGNED:		

Rev. 2-98



# International Tonnage Certificate, 1969



Certificate Number:  
**MSC-111-J**

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: <b>0</b>		
			Number of other passengers: <b>0</b>		
<b>EXCLUDED SPACES</b> (Regulation 2(5)) <b>2nd Tier P/S Fr 18-20</b>			<b>MOULDED DRAUGHT</b> (Regulation 4(2)) <b>6.52 m</b>		
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>					

## 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  
Point of Contact: Mr. Mark Treder

**Det Norske Veritas (DNV)**

70 Grand Avenue  
River Edge, NJ 07661  
Phone(201) 343-0800  
Fax (201) 343-4061  
Point of Contact: Mr. Phil Essex

**Lloyd's Register of Shipping**

100 Leadenhall Street  
London, England EC3A 3BP  
Phone 011-44-171-423-2510  
Fax 011-44-171-423-2058  
Point of Contact: Mr. Kevin Jones