
National Ballast Water Management Requirements

22 March 2019





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1. Introduction

This document contains a synopsis of a number of known national, regional and local ballast water management regulations and requirements.

The information here is an overview of the regulations and requirements to the best of our knowledge at the time of writing, but may not be an exhaustive list. **Individual country authorities should be consulted before entering their jurisdiction, to ensure compliance with any relevant ballast water management regulations.** In addition, the complete text of each regulation referenced in this document should be consulted for full details.

2. Status of the Convention

The International Convention for the Control and Management of Ships' Ballast Water and Sediments was adopted on 13 February 2004 and entered into force on 8 September 2017.

The list of countries who have ratified or acceded to the Convention is listed below. The current status of the Convention is 82 contracting States and 80.94% of world's tonnage.

1. Albania
2. Antigua & Barbuda
3. Argentina
4. Australia
5. Bahamas
6. Bangladesh
7. Barbados
8. Belgium
9. Brazil
10. Bulgaria
11. Canada
12. China, R.P.
13. Congo
14. Cook Islands
15. Croatia
16. Cyprus
17. Denmark
18. Egypt
19. Estonia
20. Faroe Islands
21. Fiji
22. Finland
23. France
24. Georgia
25. Germany
26. Ghana
27. Greece
28. Grenada
29. Guyana
30. Honduras
31. Indonesia
32. Iran (Islamic Republic of)
33. Jamaica
34. Japan
35. Jordan
36. Kenya
37. Kiribati
38. Latvia
39. Lebanon
40. Liberia
41. Lithuania
42. Macao, China
43. Madagascar
44. Malaysia
45. Maldives
46. Malta
47. Marshall Islands
48. Mexico
49. Mongolia
50. Montenegro
51. Morocco
52. Netherlands

53. New Zealand
54. Nigeria
55. Niue
56. Norway
57. Palau
58. Panama
59. Peru
60. Philippines
61. Portugal
62. Qatar
63. Republic of Korea
64. Russian Federation
65. Saint Kitts and Nevis
66. Saint Lucia
67. Saudi Arabia
68. Serbia
69. Seychelles
70. Sierra Leone
71. Singapore
72. South Africa
73. Spain
74. Sweden
75. Switzerland
76. Syrian Arab Republic
77. Togo
78. Tonga
79. Trinidad & Tobago
80. Turkish Republic
81. Tuvalu
82. United Arab Emirates

3. Descriptions

BWE	Ballast Water Exchange
BWMC	Ballast Water Management Certificate
BWMP	Ballast Water Management Plan
BWMS	Ballast Water Management System
BWRB	Ballast Water Record Book
BWT	Ballast Water Treatment
BWTS	Ballast Water Treatment System
EEZ	Exclusive Economic Zone
IMO	International Maritime Organization
PSC	Port State Control
The Convention	The International Convention for the Control and Management of Ships' Ballast Water and Sediments

4. National requirements

4.1. Argentina

Authority: Prefectura Naval Argentina

Ports affected: The area is delineated as:

The zone from Punta del Este (Republic of Uruguay) to Punta Rasa, Cape San Antonio (Republic of Argentina); from there to a point located latitude 37° 32' South, longitude 55° 23' West; from there to a point located in latitude 36° 14' South and longitude 53° 32' West; from there back to Punta del Este.

Ships affected: All ships entering the River Plate Basin

Implementation: Mandatory

Status: Argentina is a signatory to the Convention.

Acceptable methods:

1. BWE to be conducted in line with the Convention requirements. The salinity levels following the exchange must not be below 30 parts per thousand (30 milligrams per cubic centimetre).
2. BWT to be conducted in line with the Convention requirements.

Vessels calling at Argentine ports must apply a chlorination treatment to their ballast tanks as a measure to counteract the potential inception of intrusive aquatic species that could affect river ecosystems in Argentina. Certificates of chlorination were required from all ships in order for the ship to obtain clearance to enter the port of San Lorenzo.

BWT methods that are admitted include filtering systems (self-cleaning mechanisms are most effective), oxidising and non-oxidising biocides, thermal techniques, electric and plasma pulses, ultraviolet treatment, acoustic systems (including ultrasound), magnetic fields, deoxidation, biological techniques and anti-adherent coatings.

3. Ballast tank cleaning shall be carried out to remove sediments to the extent possible. Ships shall refrain from cleaning ballast tanks or removing sediments in the zone of polluting actions prohibition located in front of the River Plate external limit, and in river waters or internal waters, corresponding to the relevant basin.

BWMP:

In line with the Convention requirements.

BWRB:

In line with the Convention requirements.

Additional useful information:

Ships are advised to seek instructions on all BWM matters from their local agents prior to the vessel's arrival.

The ratification of Resolution 85-E/2017 came into force on 24 February 2017 and this precedes the Convention, to which Argentina is party by Act 27.011/2014 and entered into force on 8 September 2017.

4.1.1. Argentina - Buenos Aires

Authority: Direccion Nacional de Sanidad de Fronteras, del Ministerio de Salud Publica

Ports affected: Buenos Aires

Ships affected: Ships arriving from areas where cholera is endemic.

Implementation: Mandatory

Acceptable methods:

Ships are required to treat ballast water with chlorine through air pipes if ballast has been taken up in a World Health Organisation listed cholera high risk area. Chlorine dilution is specified as 50 litres of chlorine to 100 tonnes of ballast water or 15 parts per million. It is understood that if the vessel has no chlorine it can be provided at the Racalada pilot station.

BWMP:

In line with the Convention requirements.

BWRB:

In line with the Convention requirements.

PSC:

Random sampling may be undertaken by Argentine authorities.

Additional useful information:

Ships should note that new regulations are introduced under Ordinance No. 12-97, dated 7 January 1998, entitled Rules for the Protection of the Environment. The regulations designate coastal areas in which discharge of ballast water is prohibited. The areas in question are generally small and mostly comprise enclosed bays. Ships should seek the latest information from their agents prior to arrival.

4.2. Australia

Authority: Department of Agriculture and Water Resources

Ports affected: All

Ships affected: All ships entering Australian ports or waters from overseas territories

Exemptions:

- Exemptions apply to some vessels in regard to meeting the D-2 discharge standard of the Convention. If your vessel fits the eligibility criteria, the exemption applies automatically.
- Other exemptions are available on application, including risk based exemptions.
- To apply for an exemption email pestsmarine@agriculture.gov.au. The application will be assessed within 28 working days of receipt of a valid application. Assessment fees may apply.

Implementation: Mandatory

Status: Australia is a signatory to the Convention.

Acceptable methods:

The approved methods of BWM are:

- use of a BWMS (any IMO Type Approved BWMS)
- BWE conducted in an acceptable area
- use of low risk ballast water (such as fresh potable water, high seas water or fresh water from an on-board fresh water production facility)
- retention of high-risk ballast water on board the vessel
- discharge to an approved ballast water reception facility.

Australia is phasing out ballast water exchange in line with the agreed schedule set out under the Convention.

All ballast water should be managed using one of the approved ballast water management options.

Carrying high risk ballast water is strongly discouraged, as a vessel's itinerary may change or discharge may be necessary to ensure the safety of the vessel or prevent pollution.

BWMP:

In line with the Convention requirements.

For Australian flagged vessels, a BWMP must be approved by the Director of Biosecurity, or an approved survey authority.

BWMC:

In line with the Convention requirements.

The majority of Australian domestic vessels designed to carry ballast water will also need to obtain a ballast water management certificate.

PSC:

The department officers will conduct ballast water verification inspections on-board vessels to ensure compliance with Australia's ballast water management requirements.

The department officers will use the Ballast Water Report (BWR), the BWMS and the vessel's deck, engineering and ballast water management logs to verify that the information supplied to the department is correct.

The verification inspection will take around 30 minutes to complete and in most cases it will be conducted at the same time as a routine vessel inspection.

Reporting:

All vessels submit a BWR. Vessels intending to discharge ballast are obligated to report.

International vessels can submit a BWR through the Maritime Arrivals Reporting System (MARS). Vessels that are intending to discharge internationally sourced ballast water must submit a BWR through MARS at least 12 hours prior to arrival.

Domestic trading vessels can request a low risk exemption through a Domestic Risk Assessment. All applications must be submitted through MARS.

A vessel must maintain a minimum of two years of records on board from 8 September 2017.

Additional useful information:

Disposal of tank sediment is prohibited in Australia's EEZ. A vessel may discharge ballast tank sediment outside 200 nautical miles from the nearest land, and in at least a depth of 200 metres or at an approved land-based reception facility.

Ballast water must not be exchanged within 12 nautical miles of the Great Barrier Reef, or within the Ningaloo Reef ballast water exchange exclusion area, **BWM.2/Circ.59**.

The waters within the following areas are considered Same Risk Areas and water may be taken up and discharged within these areas: Gulf St Vincent and the Spencer Gulf; and Port Phillip Bay.

For vessels with a BWMS, also known as a BWTS, a Type Approval Certificate should be retained on board. A Type Approval Certificate relates specifically to the ballast water management system, and is not vessel specific.

Australian Ballast Water Management Requirements Version 7:

<http://www.agriculture.gov.au/biosecurity/avm/vessels/ballast/australian-ballast-water-management-requirements>

Ballast water unit:

pestsmarine@agriculture.gov.au

4.2.1. Australia – State of Victoria

EPA no longer regulates domestic ballast water management in Victoria. The management was taken over by the Commonwealth on 8 September 2017. This means vessels visiting a Victorian port no longer need to provide ballast water documentation to EPA Victoria.

All vessels are now required to manage their ballast water and sediments in accordance with the Convention and Biosecurity Act 2015, as mentioned in Section 4.2.

The Australian Ballast Water Management Requirements, available from the Department of Agriculture and Water Resources, explain how vessel operators should manage ballast water while in Australia.

Victoria EPA website:

<http://www.epa.vic.gov.au/your-environment/water/ballast-water>

4.3. Brazil

Authority: Diretoria De Portos E Costas (DPC)

Ports affected: All

Ships affected: All national or foreign vessels fitted with ballast water tanks/holds, operating in Brazilian ports and terminals.

Exemptions: The following are exempted:

- a. any warship, Navy auxiliary ship or any other vessel owned or operated by a State and used temporarily, only in a governmental, non-commercial service;
- b. vessels with sealed tanks containing permanent Ballast Water not subject to discharge to the aquatic environment, if bearing a valid Exemption Certificate issued by the DPC - Directorate of Ports and Coasts;
- c. maritime and port support vessels;
- d. vessels with characteristics which do not allow the exchange of ballast, if bearing a valid Exemption Certificate issued by the DPC; and
- e. sports and recreational vessels used only for recreation/contests, or those used for search and rescue, with a total length not exceeding 50 meters and a maximum Ballast Water capacity of eight cubic meters.

Implementation: Mandatory

Status: Brazil is a signatory to the Convention

Acceptable methods:

BWE to be conducted in line with the Convention requirements. If this requirement cannot be met, discharge may only take place with the permission of the Harbour Master or his agent.

A second BWE is required for vessels calling at Amazon Basin and River Pará ports.

Ships entering the Amazon River from international voyages or from other hydrographical region are required to undertake two water ballast exchanges as follows. The first exchange is to be as detailed above and the second is to reduce the salinity of the ballast water between the 20 metres isobars contour and Macapá. When the ballast volume is less than 5,000 cubic metres the additional exchange should be carried out at the mouth of the Jari river. In this second exchange it will be necessary only to pump the tank volume once. The same applies to the River Para for which the second exchange must be conducted at least 60 nautical miles from Salinópolis as far as the lighthouse of Ponta do Chapéu Virado (Mosqueiro Island).

When, due to the vessel's route, it is not possible to meet the provisions of the IMO BWE requirements, the vessel will not be exempted from performing the exchange of ballast water, and must do it at the deepest tract of her route.

The ballast water discharge is prohibited in Ecologically Sensitive Areas and in Nature Conservation Units or in other cautionary areas established by environmental or sanitation bodies in Brazilian Jurisdictional Waters, when plotted in a nautical chart.

BWMP:

In line with the Convention requirements.

BWMPs for Brazilian vessels operating only in Brazilian jurisdictional waters shall be written in Portuguese. If these vessels begin operating also in long-range navigation, the Plan shall meet the provisions of the Convention.

BWRB:

In line with the Convention requirements.

Reporting:

A completed Ballast Water Form must be forwarded to the Maritime Authority Agent of jurisdiction over the destination port, by the vessels' masters or their agents, within a maximum of two hours after the vessel is moored or anchored.

The vessel shall retain a copy of this form on board for a period of at least two years for Naval Inspection.

The Maritime Authority Agents, on their side, shall reroute- the forms, every month, to the Admiral Paulo Moreira Sea Studies Institute (IEAPM).

Additional useful information:

As new technologies and new BWMS or BWTS are being developed for avoiding, minimizing and controlling the carriage of alien aquatic or pathogenic organisms by ballast water, provided they are assessed and accepted by the Maritime Authority, the DPC will timely establish the adequate normative instructions.

All vessels sailing between river ports/terminals of distinct hydrographic basins, when navigating by sea, shall carry out the ballast water exchange, if not carrying on board an operational BWMS with the respective International Certificate valid.

For the purpose of this Standard, the hydrographic basins and their existing river ports/terminals shall be considered, in accordance with information below:

**HYDROGRAPHIC BASINS IN BRAZIL AND
MAIN RIVER PORTS AND TERMINALS**

MAIN RIVER PORTS AND TERMINALS

STATES	PORTS AND TERMINALS
AMAZON	Port of Eirunepé
	Terminal of Itacoatiara
	Port of Manaus
	Port of Parintins
	Port of Tabatinga
BAHIA	Port of Juazeiro
MATO GROSSO	Port of Cáceres
	Port of Corumbá and Ladário
MATO GROSSO DO SUL	Port of Porto Murtinho
MINAS GERAIS	Port of Pirapora
PARÁ	Port of Santarém
PERNAMBUCO	Port of Petrolina
RORAIMA	Port of Caracarái
RONDÔNIA	Port of Porto Velho
RIO GRANDE DO SUL	Port of Cachoeira do Sul
	Port of Charqueadas
	Port of Estrela
	Port of Porto Alegre
	International Port of Porto Xavier

**HYDROGRAPHIC BASINS AND THEIR RESPECTIVE
RIVER PORTS AND TERMINALS**

HYDROGRAPHIC BASINS	PORTS AND TERMINALS
AMAZON RIVER BASIN	Port of Eirunepé
	Terminal of Itacoatiara
	Port of Manaus
	Port of Parintins
	Port of Tabatinga
	Port of Santarém
	Port of Caracarái
	Port of Porto Velho
SÃO FRANCISCO RIVER BASIN	Port of Juazeiro
	Port of Pirapora
	Port of Petrolina
PARAGUAI RIVER BASIN	Port of Cáceres
	Port of Corumbá and Ladário
	Port of Porto Murtinho
URUGUAI RIVER BASIN	Port of Cachoeira do Sul
	Port of Charqueadas
	Port of Estrela
	Port of Porto Alegre
	International Port of Porto Xavier

More detailed information about these provisions can be obtained from:

secom@dpc.mar.mil.br

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4.4. Canada

Authority: Government of Canada, The Director Operations and Environmental Programs.

Ports affected: All

Ships affected: All ships (including Canadian vessels everywhere)

Exceptions:

- a. Vessels that operate exclusively in waters under Canadian jurisdiction
- b. Vessels that operate exclusively in waters under Canadian jurisdiction and in the United States waters of the Great Lakes Basin or the French waters of the islands of Saint Pierre and Miquelon;
- c. Vessels engaged in search and rescue operations that are less than 50 m in overall length and that have a maximum ballast water capacity of 8 m³;
- d. Pleasure craft that are less than 50 m in overall length and that have a maximum ballast water capacity of 8 m³;
- e. Vessels that carry permanent ballast water in sealed tanks such that it is not subject to release; or
- f. Vessels that are owned or operated by a state and used only in government non-commercial service.

Implementation: Mandatory

Status: Canada is a signatory to the Convention.

Acceptable methods:

a) A BWE must achieve at least 95% volumetric exchange and a ballast water salinity of at least 30 parts per thousand, if the exchange is conducted in an area not less than 50 nautical miles from shore. In the case of a vessel that exchanges ballast water through flow-through exchange, pumping through three times the volume of each ballast tank is considered to meet the requirements.

Note: an on-board inspection may be undertaken to verify whether BWE has been conducted. If BWE has not been undertaken, clear proof as to why it could not be performed must be provided.

b) Treatment system/ballast discharge standard: the treatment standard is the same as that contained in the IMO Convention – Regulation D-2. The use of a treatment system that does not meet the standard specified in section 9 of the Regulations may also be acceptable if it is at least equivalent to ballast water exchange, but such systems would have to be evaluated and accepted by Transport Canada on a case by case basis.

c) Sequential exchange or flow-through exchange.

All ships must exchange ballast water outside the EEZ. Exchange areas are in an area at least 50 nautical miles from shore where the water depth is at least 500 m.

Procedure for unacceptable ballast water:

In determining the alternative measures, the master of the vessel must, in consultation with the Minister, consider the following factors:

- a. The nature of the ballast water that the vessel is carrying, including its origin and any operations previously performed on it on board the vessel;
- b. Any possible operations that would, taking into account prevailing sea conditions, remove or render harmless harmful aquatic organisms or pathogens into the ballast water taken on board the vessel outside waters under Canadian jurisdiction, or minimize their introduction in that ballast water or their release with that ballast water into waters under Canadian jurisdiction;
- c. The feasibility of implementing the possible operations, taking into account their compatibility with the design and operation of the vessel; and
- d. The consequences of the possible operations on the safety of the vessel and of persons on board the vessel.

Should a vessel be unable to exchange or treat its ballast it may be requested to conduct exchange in an alternative area under Canadian jurisdiction. Please refer to the text of the regulations and their guidance notes (link below) for exact details.

Ships are encouraged to conduct mid-ocean ballast water exchange on ballast-laden voyages. If the vessel cannot conduct mid-ocean exchange, they are encouraged to conduct a saltwater flushing of their empty ballast tanks to eliminate freshwater-tolerant organisms.

BWMP:

In line with the Convention requirements.

BWMP carried on Canadian and non-Canadian vessels should be reviewed by the national Administration, but do not have to be approved. In the case of Canadian vessels, the authorised representative must ensure that a copy of the BWMP carried on board has been submitted to the Minister.

Reporting:

A Ballast Water Reporting Form should be submitted by email before entering Canadian waters.

For vessels proceeding to areas situated on the East Coast, in Quebec or in Ontario (Great Lakes Basin) email:

atlanticballastwater@tc.gc.ca

For vessels proceeding to areas situated north of 60° N, including all the waters of Hudson's Bay, Ungava Bay, and James Bay email:

atlanticballastwater@tc.gc.ca

For vessels proceeding to areas situated on the West Coast email:

pacballastwater@tc.gc.ca

The master or operator must keep on board a copy of each Ballast Water Reporting Form for 24 months after it's submitted.

Additional useful information:

<https://www.tc.gc.ca/eng/marinesafety/tp-tp13617-menu-2138.htm>

4.5. Chile

Authority: Chilean Navy

Ports affected: All

Ships affected: All ships coming from abroad and ballasted with sea water. All ships coming from zones affected by cholera or by any similar contagious epidemic.

Implementation: Mandatory

Status: Chile is **not** a signatory to the Convention.

Acceptable methods:

Any ship coming from abroad ballasted with seawater shall be required to renew its ballast at least once before arriving in Chilean ports, at a distance of not less than 12 nautical miles from the coast, and that this procedure must be recorded in the bridge and engine-room logs, with the inclusion of the data for place, volume, date and time.

In cases where irrefutable proof cannot be provided, by means of the bridge and engine-room logs, that this requirement has been complied with, the ship, before commencing deballasting in port, must add to its ballast tanks 100 grams of powdered sodium hypochloride or 14 grams of powdered calcium hypochloride per tonne of ballast water, ensuring that it is mixed throughout the content of the tank and allowing a minimum of 24 hours to elapse before beginning the emptying process. Compliance with this rule shall be the responsibility of the ship's master in his capacity as certifying officer. Without prejudice to the foregoing, the Maritime Authority may carry out any inspections it deems necessary to ensure that this provision is complied with.

Any ship coming from zones affected by cholera or by any similar contagious epidemic shall be required to adopt the procedures indicated above.

BWMP:

In line with the Convention requirements.

Reporting:

Entries in bridge and engine room logbooks, showing geographical co-ordinates, amount replaced and what percentage of total ballast capacity it represents.

The system of the format of electronic log books will ensure that the information contained is not altered, violated, sabotaged or forced in the way that will guarantee the use and storage of the information on an effective manner. The electronic books will be preferably in the working language of the crew and will contain the official translation to the English language in case that English is not the working language.

Additional useful information:

Chilean Declaration MEPC/Circ.308, 11 October 1995, "Order for Preventative Measures to Avoid Transmission of Harmful Organisms and Epidemics by Ballast Water".

4.6. China

Authority: China Maritime Safety Administration (MSA)

Ports affected: All

Ships affected: All ocean-going ships which are sailing, berthing and operating in waters under Chinese jurisdiction.

Exemptions: In any of the following circumstances, a vessel or its agent may apply to the local MSA for exemption from ballast water and sediment management:

1. Vessels sailing only in mutually exempt waters for ballast water management designated by China and other countries;
2. Vessels sailing only in waters under our jurisdiction and on high seas;
3. Vessels using only drinking water as ballast water;
4. Unmanned barges;
5. Specialized vessels for search, rescue and removal of pollutants from vessels.

Implementation: Mandatory

Status: China is a signatory to the Convention.

Acceptable methods:

BWE: Vessels requiring exchange of ballast water in accordance with the requirements of the Convention shall carry out exchange of ballast water in waters at least 200 nautical miles from the nearest land and at least 200 metres in water depth; if the voyage is less than 200 nautical miles, replacement may be carried out in waters at least 50 nautical miles from the nearest land and at least 200 metres in water depth, unless China has alternative agreement with the relevant neighbouring country.

BWT: The contents of surviving aquatic organisms in ballast water discharged from vessels requiring treatment of ballast water in accordance with the requirements of the Convention shall meet the D-2 Discharge Standard.

Reporting:

Vessels which discharge ballast water shall report to the local MSA 12 hours in advance. After berthing, the vessel or its agent shall submit the Ballast Water Report Form to the local MSA when handling the declaration of the import port of an international voyage vessel. The report form may be submitted in writing or in the form of electronic data upload as required by MSA.

Where ballast water and sediments are discharged without treatment or are not up to the standard, vessels shall submit them to units with receiving and processing capacity for receiving and processing. The receiving and processing unit shall issue a ballast water or sediment receiving document to the ship. After the completion of the receiving operation (confirmed by captain's signature), vessels shall keep the receiving documents together with the Ballast Water Record Book. Receiving and treating ballast water and sediments shall not cause secondary pollution to the ecological environment of the waters.

PSC:

Local MSA in each Chinese port will supervise and inspect the management of ballast water and sediments of ships entering the waters under its jurisdiction after 22nd January 2019, including certificate documents, crew's familiarity with ballast water management operations, the operation of ballast water management systems and the reception and disposal of ballast water/sediments. Measures for supervision and management of ship ballast water and sediment is the general guidance published by China MSA, while local MSA may have local ballast water regulation guidelines as well as sampling/testing procedures, so that owner are recommended to double check with their local agents in due time to obtain the latest update on local requirements before Chinese port call. Owners are also reminded to ensure satisfaction of relevant requirements mentioned in this requirement and the Convention to avoid any penalty or problems.

Vessels shall be equipped with relevant certificate documents as below :

1. International Ballast Water Management Certificate issued by the competent authority or its authorized ship inspection institution;
2. Ballast Water Management Plan, which shall conform to the actual operation of the ship and be issued by the competent authority or its authorized ship inspection institution;
3. The Ballast Water Record Book, which shall include at least the time, latitude and longitude of the operation of ballast water and the types of operation of ballast water;
4. Vessels installed ballast water management systems shall also hold copies of the Ballast Water Management System Type Accreditation Certificate;
5. Other relevant documents/certificates.

Additional useful information:

If a vessel or its agent applies for exemption from ballast water and sediment management, the following documents shall be submitted:

1. Copies of the Ship Nationality Certificate and the Ship Registration Certificate (applicable to foreign vessels);
2. Declaration of ballast water and sediment management cannot be implemented in accordance with the Convention;
3. Measures taken to minimize the introduction of harmful aquatic organisms and pathogens into ballast water and sediments;
4. The captain's declaration undertaking to sail only in exempted waters.

The directly affiliated MSA shall issue a certificate of exemption to vessels that meet the exemption requirements and may grant a maximum exemption period of not more than five years. Between the second and third year of the exemption period, the directly affiliated MSA shall conduct a mid-term inspection of these exemption vessels.

Further information may be found on:

en.msa.gov.cn

4.7. Georgia

Authority: Georgian Environmental Protection Ministry

Ports affected: All Georgian ports

Ships affected: All

Implementation: Mandatory

Status: Georgia is a signatory to the Convention.

Acceptable methods:

BWE must be conducted in the Black Sea.

BWE and BWT must be in line with the Convention.

BWMP:

In line with the Convention requirements.

4.8. Israel

Authority: Ministry of Transport, Administration of Shipping and Ports

Ports affected: All

Ships affected: All

Exceptions: Israeli flagged tugs over 400 GT operating in Israeli waters are exempted from the requirements of the Convention.

Implementation: Mandatory

Status: Israel is **not** a signatory to the Convention.

Acceptable methods:

All ships arriving at any Israeli port are obliged to comply with the requirements of the Convention.

The State of Israel has published a requirement for mandatory BWE for all ships destined for Israeli Ports and/or navigating along the coast of Israel.

All ships arriving at Mediterranean ports of Israel are required to perform BWE at the Atlantic Ocean.

All ships arriving at the Port of Eilat are required to perform BWE outside the Red Sea when practicable i.e. the Indian Ocean or Atlantic Ocean.

Ships equipped with IMO approved BWMS will be requested to produce evidence of appropriate certification and demonstrate proficiency in the safe and efficient operation and maintenance of the BWMS.

Alternatives management procedures:

Retention on board

Procedure for unacceptable ballast water:

Retention on board

BWMP:

In line with the Convention requirements.

BWRB:

In line with the Convention requirements.

Reporting:

Israel has issued a format for recording the status of ballast (please refer to Israeli Ministry of Transport).

Additional useful information:

Israeli Notice to Mariners No. 4/96 dated 19 April 1996, issued by the Israeli Administration of Shipping and Ports.

4.9. Republic of Korea

Authority: The South Korean Ministry of Oceans and Fisheries (MOF)

Ports affected: South Korean ports

Ships affected: All ship entering Korean jurisdictional waters after taking up ballast water from other jurisdictional waters

Implementation: Mandatory

Status: Republic of Korea is a signatory to the Convention.

Acceptable methods:

In line with the Convention requirements.

BWMP:

In line with the Convention requirements.

BWRB:

In line with the Convention requirements.

Reporting:

All ships entering Korean jurisdictional waters after taking up ballast water on board at any waters other than the jurisdictional waters shall provide a Ballast Water Reporting Form to the MOF. Please contact a local agency for detailed reporting procedures.

4.10. New Zealand

Authority: Maritime New Zealand

Ports affected: All

Ships affected: All ships entering New Zealand territorial seas carrying ballast water loaded within the territorial water of another country.

Implementation: Mandatory

Status: New Zealand is a signatory to the Convention.

Acceptable methods:

- a) BWE in line with the Convention requirements.
- b) Use of an approved shipboard BWMS from the list of MPI-approved BWMS:

<http://www.mpi.govt.nz/news-and-resources/resources/registers-and-lists/ballast-treatment/>

- c) Use of fresh water in ballast tanks (<2.5ppt NaCl)

Never discharge sediment from cleaning of ballast tanks, holds or anchor chain lockers in New Zealand territorial waters. You can only dispose of sediment at a landfill approved by a quarantine inspector.

Prior to entry or re-entry into exclusive operations:

- Fully discharge all ballast water, including any residual ballast water, and completely remove and dispose of all sediments, in accordance with the ship's approved ballast water management plan
- Carry out the cleaning procedure and record the results

BWMP:

In line with the Convention requirements.

It should also be approved by the Director.

It should also provide advice to the master in responding to the following circumstances:

- Notification of any additional standards or requirements for ballast water management in areas specified by a coastal State or States
- Use of any coastal State designated areas for ballast water exchange where fulfilment of the exchange standard is not possible
- Warnings received from a coastal State not to uptake ballast water in defined areas due to, for example, the presence of sewage outfalls or outbreaks of toxic algal blooms.

Plans should be simple documents.

PSC:

Samples may be taken to verify the information given in the Ballast Water Declaration. Ballast tank covers should be maintained in good order to allow access for sampling.

On arrival an MPI inspector may ask to see your original ballast declaration and ballast management records. The inspector may also talk with crew members about loading and exchange of ballast water, and may take ballast water samples for testing.

Reporting:

Before ships arrive in New Zealand waters, they must send a Ballast Water Declaration. This can be sent with the Advance notice of arrival form.

You must complete parts 1 and 2 of the Biofouling and ballast declaration if your vessel has ballast water. If you need to discharge ballast water in New Zealand, you must request permission by completing part 3.

The Ballast Water Declaration form should include

- a. Vessel's identification, arrival date and location
- b. Intention to discharge ballast water from a vessel in New Zealand waters
- c. Whether the ballast water is fresh water
- d. Whether exchange or a ship board treatment system will be used to meet IHS (Import Health Standard)

Completed forms are emailed to:

apicustodian@customs.govt.nz

The record book must remain on board the ship for at least two years and in the owner's control for a further period of at least three years (if a ship's ownership changes, the obligation passes to the new owner). The ship may keep ballast water management records electronically, and they may be part of another record or log.

Additional useful information:

New Zealand Import Health Standard for Ballast Water from All Countries – a standard issued under the Biosecurity Act 1993 (New Zealand statute).

Further information can be found on the MPI New Zealand website:

www.biosecurity.govt.nz/enter/ships/ballast

and:

<https://maritimenz.govt.nz/commercial/environment/operators/documents/Ballast-water-management-guidelines.pdf>

4.11. Panama

Authority:	Canal De Panama
Ports affected:	Panama Canal
Ships affected:	All
Implementation:	Mandatory
Status:	Panama is a signatory to the Convention.

Acceptable methods:

Discharge of ballast water, managed and unmanaged, is strictly prohibited from the southern ends of Miraflores and Cocoli locks to the northern ends of Gatun and Agua Clara locks.

At least two (2) hours prior to the scheduled pilot time for the vessel's Canal transit, ballast water overboard discharge valves must be closed and secured by padlocks or other approved method, and must remain in that condition until vessel completes the Canal transit.

Vessels that arrive to the Atlantic or Pacific anchorage areas are strongly encourage to manage their ballast water to prevent the discharge of high risk ballast. Discharge of unmanaged ballast water is prohibited in these areas.

Vessels arriving to either the Pacific or Atlantic port terminals to undertake cargo loading/BW discharging operations, shall be fitted with an approved and operational BWMS. In cases where the vessel is not fitted with an approved BWMS, it may commence cargo loading operations; however it would not be allowed to discharge ballast water. If the vessel is unable to complete its cargo loading operations without discharging ballast water, it would be required to cease cargo loading.

Ballast water taken up and discharged in the same place is considered low risk, provided that the water comprises 95 percent or greater of the volume of water in the tank. At the Pacific side of the Panama Canal, the same place is considered to be the waters within the Port of Vacamonte, the islands of Melones, Taboga, Taboguilla, the eastern boundaries of the Pacific Merchant anchorage and the Balboa basin. At the Atlantic side of the Canal, the same place is considered as waters within the boundaries of the Outer Atlantic anchorage and the northern ends of Agua Clara and Gatun locks.

Vessels that only uptake and discharge ballast water in the same place are not required to meet the Regulation D2 (Treatment Discharge Standard), and therefore are not required to have an IMO type-approved BWMS.

Vessels will only maintain the low-risk ballast water condition if they operate within the "same place". However, if these vessels are relocated from the Pacific to the Atlantic side or from the Atlantic to the Pacific side of the Canal with ballast water within their tanks, the same place condition for the ballast water is void. Consequently, their ballast water will be considered high risk to their new location and shall not be discharged until properly managed as per the vessel's BWMP.

Disposal of tank sediment is strictly prohibited in water bodies under the responsibility of the Panama Canal. Eductors are not permitted to strip ballast tanks, unless a vessel seeks permission from the Canal Port Captain to discharge sediment to a reception facility.

BWMP:

In line with the Convention requirements.

BWRB:

In line with the Convention requirements.

PSC:

BWRB and BWMP shall be available for inspection by the Panama Canal authorities on request.

Additional useful information:

<http://www.pancanal.com/eng/op/notices/2019/N01-2019.pdf>

4.12. Peru

Authority: General Directorate of Captainships and Coastguards acting as the National Maritime Authority

Ports affected: All Peruvian ports

Ships affected: All ships excluding domestic shipping

Implementation: Mandatory

Status: Peru is a signatory to the Convention.

Acceptable methods:

All ships trading internationally proceeding from foreign ports that have on-board ballast water and which have Peruvian ports as destination or as port of calls must renew their ballast water at least once beyond 12 nautical miles off the coast before entering a Peruvian port. Ballast not previously changed cannot be discharged at Peruvian ports, unless authorisation to discharge in a designated area is granted by the maritime authority (Harbour Master). Every time it is possible they will carry out the cleaning of the ballast tanks to withdraw sediments.

All ships from foreign ports carrying ballast water and intending to discharge ballast water shall conduct BWE at least once out of the 12 nautical miles from the coast, before entering in national port, according to the IMO Res.A.868(20). Ballast not previously changed cannot be discharged at Peruvian ports, unless authorisation to discharge in a designated area is granted by the local maritime authority (Harbour Master).

The cleaning of the ballast water tanks to remove sediments will be carried out whenever possible.

BWMP:

In line with the Convention requirements.

BWRB:

In line with the Convention requirements.

Reporting:

A 'Ballast Water Reporting Form' should be submitted to the National Maritime Authority on arrival at the Port which should record every ballast water discharge including to terminal reception facilities as well as accidental and other exceptional discharges.

Ships on domestic voyages are exempted from the requirements of submitting the BWRB.

4.13. United Kingdom

Authority: Orkney Islands Council Harbour Authority

Ports affected: The 29 piers and harbours located in the Orkney Islands, including Scapa Flow

Ships affected: The policy applies to all vessels over 400 gt within or using Scapa Flow Harbour Area.

With reference to vessels carrying out ship to ship oil or liquid gas operations, within 500m (radius) of designated STS locations 1 to 4 as shown on United Kingdom Hydrographic Office (UKHO) Chart 35.

Implementation: Mandatory

Status: The UK is not a signatory to the Convention.

Acceptable methods:

The discharge of a ship's ballast water whilst within Scapa Flow as defined by the harbour limits is prohibited unless in accordance with the policy as adopted by Orkney Islands Council on 29 November 2017.

A Ballast Water Exchange Certificate must be submitted containing all ship's details, and a full record of ballast water exchange must be submitted before entering the Harbour Area. This Certificate must be in accordance with the vessel's International Ballast Water Management Certificate.

If the vessel is fitted with a ballast water treatment system the Harbour Authority should be supplied with copies of ship details, type of treatment system and certification of the same, and as necessary the latest survey date of the treatment system.

Vessels that for any reason cannot comply with the acceptable methods of ballast water management will not be permitted to de-ballast within Harbour limits.

BWMP:

In line with the Convention requirements.

BWRB:

In line with the Convention requirements.

PSC:

Ballast water records will be inspected for details on exchange and treatment operations. Sampling of vessels ballast water will be carried out in accordance with Article 9 of the Convention. If there are grounds for believing that the condition of the ship or its equipment does not correspond to the particulars on the Certificate, or the Master and crew are not familiar with the essential onboard procedures relating to ballast water management, then a detailed inspection will be carried out.

Reporting:

The Master must submit to the Harbour Authority prior to arrival a ballast water reporting form or similar indicating the times, quantities and positions of all ballast water intake operations and indicating those tanks to be discharged.

[Additional useful information:](#)

For further information and download forms visit:

<https://www.orkneyharbours.com/port-authority/services/ballast-water-management>

The rest of the UK is looking to implement ballast water regulations and sign the Convention however this has not yet occurred. For further information visit:

<https://www.gov.uk/government/publications/min-569-ballast-water-management>

4.14. Ukraine

Authority: State Inspection for Protection of the Black Sea/ Statue of Marine Ecological Inspections (SIPBS)

Ports affected: All

Ships affected: All

Implementation: Mandatory

Status: Ukraine is not a signatory to the Convention.

Acceptable methods:

BWE and possible BWT

BWMP:

In line with the Convention requirements.

PSC:

Ukrainian ecological inspectors are now granted the authority to board vessels and take samples of ballast water.

Upon berthing, a representative of SIPBS will visit the vessel and take samples of the ballast water. These samples will be examined in the SIPBS laboratory (or in one of the laboratories approved by SIPBS) for the presence of the following admixtures: oil products, metals, suspended substances. De-ballasting will only be permitted where admixtures do not exceed the required levels.

If any of these levels are exceeded, de-ballasting will be prohibited. In such circumstances the Master will be permitted to de-ballast on payment of a fine for damage to environment.

Reporting:

When entering the Black Sea vessels with segregated ballast tanks carrying ballast water from other seas must carry out BWE and this must be recorded in BWRB.

The Master must declare to the agent the quantity of the ballast water which the vessel intends to discharge in port.

4.15. United States

Authority: US Coast Guard

Ports affected: All US ports

Ships affected: All non-recreational vessels, U.S. and foreign, that are equipped with ballast tanks and operate in the waters of the United States.

Exemptions:

Any Department of Defense or Coast Guard vessel subject to the requirements of section 1103 of the Nonindigenous Aquatic Nuisance Prevention and Control Act

Any warship, naval auxiliary, or other vessel owned or operated by a foreign state and used, for the time being, only on government non-commercial service.

Crude oil tankers engaged in coastwise trade are exempt from the requirements of ballast water management, reporting, and recordkeeping.

Vessels that operate exclusively on voyages between ports or places within a single COTP (Captain of the Port) Zone are exempt from the requirements of ballast water management, reporting, and recordkeeping.

Seagoing vessels that operate in more than a single COTP Zone, do not operate outside of the EEZ, and are less than or equal to 1,600 gross register tons are exempt from the requirements of ballast water management.

Non-seagoing vessels are exempt from the requirements of ballast water management.

Vessels that operate in more than a single COTP Zone and take on and discharge ballast water exclusively in a single COTP Zone are exempt from the requirements of ballast water management.

A foreign vessel that is merely traversing the territorial sea of the United States (unless bound for, entering or departing a U.S. port or navigating the internal waters of the U.S.) does not fall within the applicability of this regulation.

Implementation: Mandatory

Status: The United States is **not** a signatory to the Convention.

Acceptable methods:

1. Install and operate a BWMS that has been approved by the Coast Guard under 46 CFR part 162.
2. Use only water from a U.S. public water system (PWS), as defined in 40 CFR 141.2, that meets the requirements of 40 CFR parts 141 and 143 as ballast water.
3. Perform complete BWE in an area 200 nautical miles from any shore prior to discharging ballast water, unless the vessel is required to employ an approved BWMS. An alternate management system (AMS) that meets the requirements may also be used, so long as it was installed on the vessel prior to the date that the vessel is required to comply with the BWDS. If using an AMS, the master, owner, operator, agent, or person in charge of the vessel may employ the AMS for no longer than 5 years from the date they would otherwise be required to comply with the BWDS.
4. Do not discharge ballast water into waters of the United States.
5. Discharge to a facility onshore or to another vessel for purposes of treatment.

Alternatives management procedures:

The Coast Guard will allow the master, owner, operator, agent, or person in charge of a vessel that cannot practicably meet the requirements, either because its voyage does not take it into waters 200 nautical miles or greater from any shore for a sufficient length of time and the vessel retains ballast water onboard or because the master of the vessel has identified safety or stability concerns, to discharge ballast water in areas other than the Great Lakes and the Hudson River north of the George Washington Bridge.

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

Nothing in this regulation relieves the master, owner, operator, agent, or person in charge of a vessel of any responsibility, including ensuring the safety and stability of the vessel and the safety of the crew and passengers.

BWMP:

In line with the Convention requirements.

Procedures for coordinating the shipboard BWM strategy with Coast Guard authorities including procedures for informing the Coast Guard of any problems in managing ballast water intended for discharge into U.S. waters should be included within BWMP.

Detailed procedures for meeting the reporting requirements for ports and places in the U.S. visited by the vessel (different reporting procedures exist for Great Lakes, upper Hudson River, and other locations) should be included within BWMP.

PSC:

The master, owner, operator, agent, or person in charge of a vessel must provide COTP with access to the vessel in order to take samples of ballast water and sediment, examine documents, and make other appropriate inquiries to assess the compliance of any vessel subject to this regulation.

The master, owner, operator, agent, or person in charge of a vessel must provide the records to the COTP upon request.

Vessels with installed BWMS are subject to Coast Guard inspection. Every vessel must have a sampling port(s) designed and installed in accordance with 46 CFR 162.060-28(f) and (f)(2) at each overboard discharge point.

Wherever multiple entities are responsible for compliance with any requirement of the rule, each entity is jointly liable for a violation of such requirement.

Reporting:

The master, owner, operator, agent, or person in charge of a vessel must submit a ballast water report to the National Ballast Information Clearinghouse (NBIC) by electronic ballast water report format using methods specified at NBIC's Web site at

<http://invasions.si.edu/nbic/submit.html>

Additional useful information:

The United States is not party to the Convention and will not accept the Convention certificates as equivalent to U.S. domestic requirements.

Also, vessel must comply with Title 33 Code of Federal Regulations (CFR) Part 151, Sections 151.1510 or 151.2025, found at:

https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title33/33cfr151_main_02.tpl

Additional States requirements:

In the Great Lakes region, seven of the eight states have issued their own ballast water management regulations. States took action through a number of legal authorities, including Section 401 of the federal Clean Water Act. Under Section 401 states certify whether a federal Clean Water Act permit is protective of state water quality. States may exercise the right to add additional conditions to any permit. All Great Lakes states have certified the Vessel General Permit (VGP) and seven have added their own permit conditions.

Additionally, three of the eight states have established a state permitting system.

Further information can be found:

<http://www.greatlakesports.org/issues/ballast-water-regulation/>

State	Requirements
<p>California</p>	<p>All vessels that arrive at California ports must submit the Ballast Water Management Report 24 hours prior to arrival at each port call in California. If a vessel’s voyage is less than 24 hours, then the report shall be submitted upon departure from the last port of call prior to arrival.</p> <p>All vessels that arrive at California ports must submit the Marine Invasive Species Program Annual Vessel Reporting Form once annually at least 24 hours in advance of the first arrival of each calendar year.</p> <p>Vessels should continue to comply with existing ballast water management requirements.</p> <p>For more information about the California State Lands Commission’s regulations or for copies of required reporting forms, please visit the Marine Invasive Species Program website: http://www.slc.ca.gov/Programs/MISP.html.</p> <p>Further details of this requirement can be found: https://www.slc.ca.gov/Programs/MISP/MISP_letter_07Jan19.pdf https://www.slc.ca.gov/Programs/MISP/InfoShts/BiofoulingBallastWater_Management.pdf</p>
<p>Indiana</p>	<p>State requirements are generally harmonized with the EPA VGP/Coast Guard.</p>
<p>Illinois</p>	<p>State requirements are generally harmonized with the EPA VGP/Coast Guard.</p>

Michigan

State requires ocean-going vessels to install one of four specific treatment technologies, which may – or may not – comply with the EPA VGP and Coast Guard water quality standards. These are filtration; the application of biocides or ultraviolet light; thermal methods; and other treatment techniques approved by the department.

Vessels entering into the Great Lakes commit to the following Code of Best Practices for Ballast Water Management.

1. to conduct ballast water management whenever practical and at every opportunity even if the vessel is not bound for a port where such a procedure may be required. This process will ensure that residual ballast on board will, to the greatest extent possible, be subjected to these practices. This process will also aid to minimize sediment accumulations in ballast tanks, and where mid-ocean exchange is practiced, subject fresh-water organisms to an extended exposure to salt water.

Where mid-ocean ballast water exchange is the, or one of the management practices used as required by IMO, USCG, Canadian or other regulations, the safety of the ship shall be a top priority and management shall be practiced according to recognized safe practices.

2. to regular inspection of ballast tanks and removal of sediment, if necessary, to at least the level comparable to that required by the vessel's Classification Society in order to conduct a "close-up" Enhanced Survey, Ballast Tank Structural and Coating Inspection.

3. to ballast water exchange procedures as provided for in US legislation and approved and enforced through United States Coast Guard Regulations.

4. to record keeping and reporting according to United States Coast Guard Regulations (ballast water report forms) – the master to record all uptake and discharge of ballast water in an appropriate log book; Ballast Water Report Forms to be completed and submitted as per Regulations; inspection and cleaning of ballast tanks to be recorded and records to be made available to inspectors upon request.

5. to provide information and logs to authorized inspectors and regulators for the purposes of verifying the vessel's compliance with this Code of Best Practices.

6. to apply a precautionary approach in the uptake of ballast water by minimizing ballasting operations under the following conditions:

- a. In areas identified in connection with toxic algal blooms, outbreaks of known populations of harmful aquatic organisms and pathogens, sewage outfalls and dredging activity.
- b. In darkness, when bottom dwelling organisms may rise in the water column.
- c. In very shallow water.
- d. Where a ship's propellers may stir up sediment.
- e. In areas with naturally high levels of suspended sediments, e.g. river mouths, and delta areas, or in locations that have been affected significantly by soil erosion from inland drainage.

State	Requirements
	<p>f. In areas where harmful aquatic organisms or pathogens are known to occur.</p> <p>7. to the disposal of accumulated sediments as provided for in the existing IMO Ballast Water Protocols during ocean passages outside International Ballast Water Management Areas or as otherwise approved by Port State Authorities.</p>
Minnesota	State requirements are generally harmonized with the EPA VGP/Coast Guard.
New York	State requirements are generally harmonized with the EPA VGP/Coast Guard.
Ohio	State requirements are generally harmonized with the EPA VGP/Coast Guard.
Pennsylvania	No state requirements.
Washington	<p>All covered vessels are required to file a ballast water management report form (BWMR) at least 24 hours prior to arrival in state waters, between Oregon and Washington ports on the Columbia River, and before transiting between Washington State ports. This is the same form required by the U.S. Coast Guard (USCG) and the same completed BWMR can be sent to both the USCG and Washington State at the same time. Submission of an IMO-approved BWMR is acceptable.</p> <p>If a vessel intends to discharge ballast water and does not have a fully operational BWMS or AMS system installed or used, the vessel must manage their ballast water under one of the following applicable options:</p> <ol style="list-style-type: none"> 1. Vessels voyaging to Washington State from a Pacific Coast port in Alaska, Canada, Oregon, California, or Central America must conduct an open sea exchange at least 50 nautical miles from any shore and in waters more than 200 meters deep unless using a USCG accepted or approved ballast water treatment system. 2. Vessels voyaging to Washington State from a port outside the U.S. EEZ, must conduct an open sea exchange at least 200 nautical miles from any shore and in waters more than 2,000 meters deep unless using a USCG accepted or approved ballast water treatment. 3. Vessels voyaging to Washington State from a port within the state's common water zone are exempt from having to conduct an open sea exchange if the ballast water and sediment originated solely from a valid exchange prior to entering the common water zone or from uptake within the common water zone. 4. Use of only water from a U.S. public water system.
Wisconsin	State requirements are generally harmonized with the EPA VGP/Coast Guard.

5. Regional ballast water management requirements

5.1. Wider Caribbean Region

Authority:

Regional Activity Centre/Regional Marine Pollution Emergency, Information and Training Centre – Wider Caribbean Region (RAC/REMPEITC-Caribe)

Ports affected:

Wider Caribbean Region area, defined by the Cartagena Convention as the marine environment of the Gulf of Mexico, the Caribbean Sea and the areas of the Atlantic Ocean adjacent thereto, south of 30 deg north latitude and within 200 nautical miles of the Atlantic coasts of the Territories and States pertaining to the following Countries: Antigua and Barbuda, the Bahamas, Barbados, Belize, Colombia, Costa Rica, Cuba, Dominica, the Dominican Republic, France, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, the Kingdom of the Netherlands, Nicaragua, Panama, Saint Kitts & Nevis, Saint Lucia, Saint Vincent & the Grenadines, Suriname, Trinidad & Tobago, the United Kingdom, the United States of America and Venezuela. In addition, the SAP also covers El Salvador.

Ships affected:

The application of these Guidelines should apply to those vessels covered by Article 3 of the Convention, taking into account the exceptions in regulation A-3 of the Convention.

Exemptions:

Exemptions may be granted to a ship on a voyage between specified ports or locations within the Wider Caribbean Region area, or to a ship operating exclusively between specified ports or locations within the Wider Caribbean area. These exemptions are to be granted according to Regulation A-4 1 of the Convention, and based on the Guidelines for risk assessment under regulation A-4 of the BWM Convention developed by the International Maritime Organization.

Implementation:

These Guidelines do not replace the requirements of the Convention, but provide an interim Ballast Water Regional Management Plan for Wider Caribbean Region areas until all RTF-WCR member states have ratified, and all applicable ships implemented, the BWM Convention. Additionally, these guidelines do not apply to vessels that operate in the waters of the United States or other States, either signatory or non-signatory to the Convention, that may implement individually or jointly more stringent measures with respect to the prevention, reduction or elimination of the transfer of Harmful Aquatic Organisms and Pathogens through the control and management of ships' ballast water and sediments, consistent with international law.

This regime will not apply to ships that meet the ballast water performance standard contained in regulation D-2 of the Convention, or for ships that have to apply the D-2 standard in accordance with the application dates set out in regulation B-3 of the Convention.

Ships entering or operating in the Wider Caribbean Region area are encouraged to apply these guidelines.



Wider Caribbean Region areas of the Cartagena Convention

Acceptable methods:

BWM Upon entering WCR areas: Ships not meeting the ballast water performance standard contained in regulation D-2 of the Convention, or that do not have to apply the D-2 standard in accordance with the application dates set out in Rule B-3 (as amended) in the Convention, when entering the waters of the Wider Caribbean Region area, from the Atlantic Ocean or from the Pacific Ocean through the Panama Canal, should:

- a. undertake ballast water exchange before entering the Wider Caribbean Region, and according to the standard set out in the D-1 Standard of the Convention, at least 200 nautical miles from the nearest land and in waters at least 200 meters in depth;
- b. in situations where this is not possible, either due to deviating the ship from its intended voyage or delaying the ship, or for safety reasons, such exchange should be undertaken before entering the Wider Caribbean Region area according to the standard set out in the D-1 Standard of the Convention, as far from the nearest land as possible, and in all cases in waters at least 50 nautical miles from the nearest land and in waters of at least 200 meters depth, unless other areas are designated by port States following an assessment in accordance with the Guidelines on Designation of Ballast Water Areas for Ballast Water Exchange, developed by the International Maritime Organization, and in consultation with adjacent States and all interested States as appropriate.

BWM for ships operating within the WCR Areas: Ships not meeting the ballast water performance standard contained in regulation D-2 of the Convention, or that do not have to apply the D-2 standard in accordance with the application dates set out in Rule B-3 (as amended) in the Convention, when engaged in traffic between ports located within the Wider Caribbean Region area;

- a. should undertake ballast water exchange, according to the standard set out in the D-1 Standard of the Convention, as far from the nearest land as possible, and in all cases in waters at least 50 nautical miles from the nearest land and in waters of at least 200 meters depth, taking into account any Particularly Sensitive Sea Areas or Marine Protected Areas designated in the region; or
- b. if a port State decides to designate ballast water exchange areas, undertake ballast water exchange in areas designated by the port State for that purpose.
- c. Ships moving between the IUCN Biographic Regions of the Wider Caribbean, that have taken on ballast water within the Wider Caribbean Region area, are encouraged to conduct BWE within the same IUCN Biographic Region where the ballast water was taken on, prior to entering and discharging ballast water in another biographic region.

BWM outside the WCR areas: If a vessel has taken on ballast water while in the Wider Caribbean Region area and is intending to discharge ballast water outside the Wider Caribbean Region area, that ballast water should be exchanged outside the Wider Caribbean Region area, and at least 200 nautical miles from the nearest land in water at least 200 meters deep. If this is not possible for operational reasons, then such exchange should be undertaken outside the Wider Caribbean Region area in waters at least 50 nautical miles from the nearest land, in waters of at least 200 meters depth.

Tanks to be exchanged: While only those tanks that will be discharged in Wider Caribbean Region areas would need to undergo ballast water exchange, ballast water exchange of all tanks is encouraged for all vessels that have the potential/capacity to load cargo in the Wider Caribbean Region, as changes in routes and planned activities may occur.

Sediment Management:

Release of sediments during the cleaning of ballast tanks should be avoided in Wider Caribbean Region areas.

Sediments collected during the cleaning or repairing operations of ballast tanks should be delivered in sediment reception facilities in ports and terminals, or be discharged beyond 200 nautical miles from the nearest land of the coastline when the ship is sailing in the Wider Caribbean area.

For vessels that have spent significant time outside the Wider Caribbean Region, ballast water sediment should preferably be discharged and tanks cleaned before entering Wider Caribbean Region areas.

BWMP:

In line with the requirements of the Convention.

BWRB

In line with the requirements of the Convention.

Reporting:

A report should be submitted to the maritime authorities of the Port of destination.

Additional useful information:

Detailed information about the Guidelines can be found in **BWM.3/Circ.2**.

5.2. Mediterranean

Authority: Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea (REMPEC)

Ports affected: All

Ships affected: All

Acceptable methods:

- a) BWE: exchange ballast water before entering the Mediterranean Sea or after leaving the Mediterranean Sea to meet the regulation D-1 standard of the Ballast Water Convention. Exchange should be carried out at least 200 nautical miles from land and in waters at least 200 metres deep. The sequential, flow-through or dilution methods of ballast water exchange are accepted as meeting the D-1 standard.
- b) When engaged in traffic between the ports and areas listed below, ships should undertake BWE in waters at least 50 nautical miles from the nearest land and at least 200 metres deep or in an area designated by a port state:
 - Ports located within the Mediterranean Sea area
 - A port located in the Black Sea area and a port located in the Red Sea area
 - A port located in the Black Sea and a port located in the Mediterranean Sea area
 - A port located in the Red Sea area and a port located in the Mediterranean Sea area.
- c) Ballast water treatment to meet D-2 standards with an IMO-approved ballast water treatment system.

Alternative management procedures:

In situations where this is not possible (because the ship will have to deviate from its intended voyage; because exchange will delay the ship; or for safety reasons) exchange should be undertaken before entering the Mediterranean Sea area, or after leaving the Mediterranean Sea area, as far from the nearest land as possible, and in all cases in waters at least 50 nautical miles from the nearest land and at least 200 metres deep.

Sediment management:

Sediments collected during cleaning or repair of ballast tanks should be delivered to appropriate reception facilities in ports and terminals, or be discharged more than 200 nautical miles from the nearest land when the ship is sailing in the Mediterranean Sea area.

BWMP:

In line with the Convention requirements.

BWRB

In line with the Convention requirements.

Additional useful information:

Detailed information about the Guidelines can be found in IMO circular **BWM.2/Circ.35 15 August 2011**.

5.3. North East Atlantic and the Baltic Sea

Authority: OSPAR and Helsinki Convention members (Belgium, Denmark, Estonia, Finland, France, Germany, Iceland, Ireland, Latvia, Lithuania, Luxembourg, the Netherlands, Norway, Poland, Portugal, the Russian Federation, Spain, Sweden, Switzerland and the United Kingdom)

Ports affected: All

Ships affected: All ships entering the waters of contracting parties to the OSPAR and Helsinki Conventions, which are also IMO member states.

Exemptions: Under certain conditions a ship may apply to be exempted from ballast water management requirements, not subject to time limit as is the case under Regulation A-4.

In 2010 the HELCOM contracting parties agreed on a regional Baltic Sea guidance on these exemptions to ensure a regionally efficient implementation. Based on the 2010 guidance and earlier work the HELCOM and OSPAR commissions agreed in October 2013 on more comprehensive and detailed joint guidelines on A-4 exemptions.

Implementation: Mandatory

Acceptable methods:

Vessels entering these waters should exchange all their ballast tanks to the standards set out by the D-1 Standard of the Convention, at least 200 nautical miles from the nearest land in water at least 200 metres deep. This includes vessels transmitting the Atlantic, or entering the areas of the OSPAR and Helsinki Conventions from routes passing the West African Coast. A map identifying these areas can be found **BWM.2/Circ.14**.

If this has not been undertaken, vessels will be expected to exchange in water 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 **BWM.2/Circ.14**.

The release of sediments during the cleaning of ballast tanks should not take place within 200 nautical miles of the coastline of the North-East Atlantic or within the Baltic Sea.

All these Guidance have an interim character and they will no longer apply when a ship is in a position to apply the D-2 Standard of the Convention.

Vessels operating between the Mediterranean Sea

Vessels leaving the Mediterranean Sea and proceeding to destinations to in the North-East Atlantic or the Baltic Sea should exchange all their ballast tanks to the standards set out by the Convention, at least 200 nautical miles from the nearest land in water at least 200 metres deep, as soon as they enter the North-East Atlantic. It should be noted that the best place to do this is in waters that meet these criteria to the west of Portugal, Spain and France, as most of the waters of the English Channel and its approached, the North Sea and the Baltic Sea are less than 200 m deep. A map identifying these areas can be found **BWM.2/Circ.39**.

Vessels entering the Mediterranean Sea from the North-East Atlantic or the Baltic Sea and proceeding to destinations in the Mediterranean Sea, the Black Sea or elsewhere should exchange all their ballast tanks to the standards set out by the Convention, at least 200 nautical miles from the

nearest land in water at least 200 metres deep, as soon as they leave the North-East Atlantic. A map identifying these areas can be found **BWM.2/Circ.39**.

If, for operational reasons, exchange is not possible at least 200 nautical miles from the nearest land in water at least 200 metres depth, then such exchange should be undertaken as far from the nearest land as possible outside the Mediterranean Sea, and 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, reference Figure 2 in **BWM.2/Circ.39**.

The release of sediments during cleaning of ballast tanks should not take place within the Mediterranean Sea.

BWMP:

In line with the Convention requirements.

BWRB

In line with the Convention requirements.

Additional useful information:

If the safety of the vessel is in any way jeopardised by a BWE, it should not take place. Additionally, these requirements 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.

Waters are defined as:

North-East Atlantic

The internal waters and the territorial seas of Contracting Parties to the OSPAR and Helsinki Commission, 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 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.

The Baltic Sea

The Baltic Sea and the entrance to the Baltic Sea is bounded by the parallel of the Skaw in the Skagerrak at 57° 44.43'N.

The Mediterranean Sea

The maritime water of the Mediterranean Sea including its gulfs and seas, bounded to the west by the meridian passing through Cape Spartel lighthouse, at the entrance of the Straits of Gibraltar, and to the east by the southern limits of the Straits of the Dardanelles between the Mehmetcik and Kumkale lighthouses.

Additionally, a Joint Notice to Shipping Industry and the Instructions to Surveyors on both Guidelines was developed for their use by HELCOM and OSPAR countries which can be downloaded via: <http://helcom.fi/>

Further information can be found in:

<http://www.helcom.fi/helcom-at-work/groups/maritime/tg-ballast/>

BWM.2/Circ.14 (2008)

BWM.2 Cir. 22 (2009)

BWM.2 Cir. 39 (2012)

5.4. North Sea ballast water exchange areas

Authority: OSPAR

Ports affected: Belgium, Denmark, France, Germany, Norway, the Netherlands, Sweden and the United Kingdom.

Ships affected: All ships for intra North Sea traffic

Acceptable methods:

A ship on a voyage between two North Sea ports, which must at least meet the standards described in regulation D-1 of the Convention, may conduct ballast water exchange in these areas. This designation of areas of ballast water exchange in the North Sea is a temporary regulation. This terminates when ships shall meet regulation D-2 of the Convention, as outlined in IMO resolution A.1088 (28).

BWMP:

In line with the Convention requirements.

BWRB:

In line with the Convention requirements.

Additional useful information:

Refer to **BWM.2/Circ.56** for the definitions of the exchange areas.

When applying BWE and using the map below, please note that:

- BWE is not allowed in the ARI > 0.75 areas;
- Within, the Traffic Separations Scheme (TSS), BWE is also allowed.

5.5. ROPME

Authority: Regional Organisation for the Protection of the Marine Environment (ROPME)

Ports affected: All ports within the Kingdom of Bahrain, the Islamic Republic of Iran, the Republic of Iraq, the State of Kuwait, the Sultanate of Oman, the State of Qatar, the Kingdom of Saudi Arabia and the United Arab Emirates.

Ships affected: All ships regardless of flag

Implementation: Mandatory

Acceptable methods:

1. Vessels arriving from outside the ROPME Sea Area should undertake ballast water exchange en route in water over 200 nautical miles from the nearest land and in waters at least 200 metres in depth.
2. If this is not possible for safety reasons, then vessels should be expected to make minor deviations to areas within the 200 nautical miles limit that can be identified as discharge area, so long as such areas are more than 50 nautical miles from the nearest land in waters at least 200 metres in depth.
3. If this is not achievable, then the ship shall provide the respective authority with the reason why she has not done so, and further ballast water management measures may be required, consistent with the Convention and other international laws.

Ballast Water, which has been treated with a BWMS approved in accordance with IMO standards, does not need to be exchanged.

BWMP:

In line with the Convention requirements.

BWRB

In line with the Convention requirements.

PSC:

All ships passing the Strait of Hormuz will be required to complete the Regional Ballast Water Reporting Form. The ships will be inspected by the PSC Officers to ensure these regional requirements are fully implemented.

Additional useful information:

The ROPME Sea Area is defined as extending between the following geographic latitudes and longitudes, respectively:

16° 39' N, 53° 3' 30" E; 16° 00' N, 53° 25' E; 17° 00' N, 56° 30' E; 20° 30' N, 60° 00' E; 25° 04' N, 61° 25' E.

If you are an owner or operator and require further assistance, please get in touch with your local Ship's Agent, or respective Port Authority, or MEMAC as the Regional Centre at e-mail address: **memac@batelco.com.bh**.

Further details can be found in **MEPC 60/INF.2**.

**Contact person**

For further information, contact your local Lloyd's Register group office,

For all other LR ballast water management guidance and information about our services go to www.lr.org/bwm

Registered name Lloyd's Register EMEA

w: [**lr.org/bwm**](http://lr.org/bwm)

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