

## SUBCHAPTER B—MERCHANT MARINE OFFICERS AND SEAMEN

### PART 10—MERCHANT MARINER CREDENTIAL

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SOURCE: USCG–2006–24371, 74 FR 11216, Mar. 16, 2009, unless otherwise noted.

#### Subpart A—General

##### § 10.101 Purpose.

The regulations in this part provide:

(a) A means of determining and verifying the qualifications an applicant must possess to be eligible for certification to serve on merchant vessels;

(b) A means of determining that an applicant is competent to serve under the authority of his or her merchant mariner credential (MMC);

(c) A means of confirming that an applicant does not pose a threat to national security through the requirement to hold a Transportation Worker Identification Credential (TWIC); and

(d) A means of determining whether the applicant for an MMC is a safe and suitable person.

[USCG–2006–24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG–2004–17914, 78 FR 77882, Dec. 24, 2013]

##### § 10.103 Incorporation by reference.

(a) Certain material is incorporated by reference into this part with the approval of the Director of the Federal Register under 5 U.S.C. 552(a) and 1 CFR part 51. To enforce any edition

other than that specified in this section, the Coast Guard must publish notice of change in the FEDERAL REGISTER and the material must be available to the public. All approved material is available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030 or go to [http://www.archives.gov/federal\\_register/code\\_of\\_federal\\_regulations/ibr\\_locations.html](http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html). Also, it is available for inspection at the Office of Merchant Mariner Credentialing (CG-MMC), U.S. Coast Guard Stop 7509, 2703 Martin Luther King Jr. Avenue SE., Washington, DC 20593-7509, 202-372-1492 and is available from the sources indicated in this section.

(b) International Maritime Organization (IMO), 4 Albert Embankment, London SE1 7SR, England, telephone: + 44 (0)20 7735 7611, <http://www.imo.org>.

(1) The International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended, 2011 (the STCW Convention or the STCW), incorporation by reference approved for §§ 10.107, 10.109, 10.201, and 10.410.

(2) The Seafarers' Training, Certification and Watchkeeping Code, as amended, 2011 (the STCW Code), incorporation by reference approved for §§ 10.107, 10.109, 10.201, 10.404, 10.411, and 10.412.

[USCG-2006-24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG-2009-0702, 74 FR 49224, Sept. 25, 2009; USCG-2013-0671, 78 FR 60145, Sept. 30, 2013; USCG-2004-17914, 78 FR 77882, Dec. 24, 2013; USCG-2016-0315, 81 FR 43955, July 6, 2016]

#### § 10.105 Paperwork approval. [Reserved]

#### § 10.107 Definitions in subchapter B.

(a) With respect to part 16 of this subchapter only, if the definitions in paragraph (b) of this section differ from those set forth in § 16.105, the definition set forth in § 16.105 applies.

(b) As used in this subchapter, the following terms apply only to merchant marine personnel credentialing and the manning of vessels subject to the manning provisions in the navigation and shipping laws of the United States:

*Able seafarer-deck* means a rating qualified in accordance with the provisions of Regulation II/5 of the STCW Convention.

*Able seafarer-engine* means a rating qualified in accordance with the provisions of Regulation III/5 of the STCW Convention.

*Apprentice mate (steersman) of towing vessels* means a credentialed mariner in training to perform bridge watchkeeping duties onboard a towing vessel, who must be under the direct supervision and in the continuous presence of a master or mate (pilot) of towing vessels.

*Approved* means approved by the Coast Guard.

*Approved training* means training that is approved by the Coast Guard or meets the requirements of § 10.408 of this part.

*Articulated tug barge or ATB* means any tug-barge combination which, through the use of an articulated or "hinged" connection system between the tug and barge, allows independent movement in the critical area of fore and aft pitch.

*Assistance towing* means towing a disabled vessel for consideration.

*Assistant engineer, for national endorsements*, means a qualified officer in the engine department other than the chief engineer.

*Authorized official* includes, but is not limited to, a Federal, State or local law enforcement officer.

*Ballast control operator or BCO* means an officer restricted to service on mobile offshore drilling units (MODUs) whose duties involve the operation of the complex ballast system found on many MODUs. When assigned to a MODU, a ballast control operator is equivalent to a mate on a conventional vessel.

*Barge* means a non-self propelled vessel as defined in 46 U.S.C 102.

*Barge supervisor or BS* means an officer restricted to service on MODUs whose duties involve support to the offshore installation manager (OIM) in marine-related matters including, but not limited to, maintaining watertight integrity, inspecting and maintaining mooring and towing components, and

maintaining emergency and other marine-related equipment. A barge supervisor, when assigned to a MODU, is equivalent to a mate on a conventional vessel.

*Boatswain* means the leading seaman and immediate supervisor of deck crew who supervises the maintenance of deck gear.

*Boundary line* marks the dividing point between internal and offshore waters for the purposes of several U.S. statutes and, with exceptions, generally follows the trend of the seaward, highwater shorelines. See 46 CFR part 7.

*Cargo engineer* means a person holding an officer endorsement on a dangerous-liquid tankship or a liquefied-gas tankship whose primary responsibility is maintaining the cargo system and cargo-handling equipment.

*Ceremonial license* means a document that reflects a mariner's existing national officer endorsement and is suitable for framing, but is not valid for use as a Merchant Mariner Credential (MMC).

*Chemical tanker* means a tank vessel that is certificated to carry or carries chemicals in bulk as cargo or cargo residue. For the purposes of qualifying for an STCW endorsement for advanced chemical tanker cargo operations, this includes tank barges.

*Chief engineer* means the senior engineer responsible for the mechanical propulsion and the operation and maintenance of the mechanical and electrical installations of the vessel.

*Chief mate* means the deck officer next in rank to the master and upon whom the command of the vessel will fall in the event of incapacity of the master.

*Coast Guard-accepted* means—

(1) That the Coast Guard has officially acknowledged in writing that the material or process at issue meets the applicable requirements;

(2) That the Coast Guard has issued an official policy statement listing or describing the material or process as meeting the applicable requirements; or

(3) That an entity acting on behalf of the Coast Guard under a Memorandum of Agreement has determined that the

material or process meets the applicable requirements.

*Coast Guard-accepted QSS organization* means an entity that has been approved by the Coast Guard to accept and monitor training on behalf of the Coast Guard.

*Coastwise seagoing vessel* means a vessel that is authorized by its Certificate of Inspection to proceed beyond the Boundary Line established in part 7 of this chapter.

*Coastwise voyage* is a domestic voyage and means a voyage in which a vessel proceeds—

(1) From one port or place in the United States to another port or place in the United States;

(2) From a port or place in a United States possession to another port or place in the same possession, and passes outside the line dividing inland waters from the high seas; or

(3) From a port or place in the United States or its possessions and passes outside the line dividing inland waters from the high seas and navigates on the high seas, and then returns to the same port or place.

*Communicable disease* means any disease capable of being transmitted from one person to another directly, by contact with excreta or other discharges from the body; or indirectly, via substances or inanimate objects contaminated with excreta or other discharges from an infected person. Pursuant to 42 U.S.C. 12113, the Department of Health and Human Services periodically publishes in the FEDERAL REGISTER a list of infectious and communicable diseases that are transmissible through the food supply, and that list provides examples of communicable diseases for purposes of § 10.304 of this title.

*Conviction* means that the applicant for a merchant mariner credential has been found guilty, by judgment or plea by a court of record of the United States, the District of Columbia, any State, territory, or possession of the United States, a foreign country, or any military court, of a criminal felony or misdemeanor or of an offense described in section 205 of the National Driver Register Act of 1982, as amended (49 U.S.C. 30304). If an applicant pleads guilty or no contest, is granted deferred adjudication, or is required by

the court to attend classes, make contributions of time or money, receive treatment, submit to any manner of probation or supervision, or forgo appeal of a trial court's conviction, then the Coast Guard will consider the applicant to have received a conviction. A later expungement of the conviction will not negate a conviction unless the Coast Guard is satisfied that the expungement is based upon a showing that the court's earlier conviction was in error.

*Credential* means any or all of the following:

- (1) Merchant mariner's document.
- (2) License.
- (3) STCW endorsement.
- (4) Certificate of registry.
- (5) Merchant Mariner Credential.

*Criminal record review* means the process or action taken by the Coast Guard to determine whether an applicant for, or holder of, a credential is a safe and suitable person to be issued such a credential or to be employed on a vessel under the authority of such a credential.

*Dangerous drug* means a narcotic drug, a controlled substance, or a controlled-substance analogue (as defined in section 102 of the Comprehensive Drug Abuse and Control Act of 1970 (21 U.S.C. 802)).

*Dangerous liquid or DL* means a liquid listed in 46 CFR 153.40 of this chapter that is not a liquefied gas as defined in this part. Liquid cargoes in bulk listed in 46 CFR part 153, Table 2, of this chapter are not dangerous-liquid cargoes when carried by non-oceangoing barges.

*Day* means, for the purpose of complying with the service requirements of this subchapter, 8 hours of watchstanding or day-working not to include overtime. On vessels authorized by 46 U.S.C. 8104 and 46 CFR 15.705, to operate a two-watch system, a 12-hour working day may be creditable as 1½ days of service. On vessels of less than 100 GRT, a day is considered as 8 hours unless the Coast Guard determines that the vessel's operating schedule makes this criteria inappropriate; in no case will this period be less than 4 hours. When computing service on MODUs for any endorsement, a day of MODU service must be a minimum of 4

hours, and no additional credit is received for periods served over 8 hours. For cadet service on a training ship furnished by the Maritime Administration under 46 CFR 310.4, a day may be creditable as 1½ days of service.

*Deck crew (excluding individuals serving under their officer endorsement)* means, as used in 46 U.S.C. 8702, only the following members of the deck department: able seamen, boatswains, and ordinary seamen.

*Deck department* means the department aboard a ship responsible for navigation, cargo, command, and control functions.

*Designated areas* means those areas within pilotage waters for which first-class pilot's endorsements are issued under part 11, subpart G, of this chapter, by the Officer in Charge, Marine Inspection (OCMI). The areas for which first-class pilot's endorsements are issued within a particular Marine Inspection Zone and the specific requirements to obtain them may be obtained from the OCMI concerned.

*Designated duty engineer or DDE* means a qualified engineer, who may be the sole engineer on vessels with a periodically unmanned engine room.

*Designated examiner or DE* means a person who has been trained or instructed in techniques of training or assessment on towing vessels and is otherwise qualified to evaluate whether an applicant has achieved the level of proficiency required to hold a towing vessel endorsement on a merchant mariner credential (MMC). This person must be approved by the Coast Guard.

*Designated medical examiner* means a licensed physician, licensed physician's assistant, or licensed nurse practitioner who has been trained and approved to conduct medical and physical examinations of merchant mariners on behalf of the U.S. Coast Guard and may be delegated limited authority to grant waivers and approve physical/medical suitability for service.

*Directly supervised/direct supervision (only when referring to issues related to tankermen)* means being in the direct line of sight of the person-in-charge or maintaining direct, two-way communications by a convenient, reliable means, such as a predetermined working frequency over a handheld radio.

*Disabled vessel* means a vessel that needs assistance, whether docked, moored, anchored, aground, adrift, or underway. This does not mean a barge or any other vessel not regularly operated under its own power.

*Document of Continuity* means a document issued by the Coast Guard to seafarers who are unwilling or otherwise unable to meet the requirements of §10.227, for the sole purpose of maintaining an individual's eligibility for renewal of an endorsement.

*Domestic voyage* means a voyage from one United States port to another United States port, without entering waters under the jurisdiction of another country unless the United States has entered into a treaty or an agreement with that country respecting mutual recognition of national mariner qualifications. This includes a voyage to nowhere that returns to the originating port.

*Drug test* means a chemical test of an individual's urine for evidence of dangerous drug use.

*Dual-mode integrated tug barge* means an integrated tug barge (ITB) involving an articulated (flexible) coupling system where the towing unit rolls and heaves (articulates) about a horizontal pivot point. Dual mode units resemble a conventional tug and are capable of towing in other configurations (astern or alongside).

*Electro-technical officer* means an officer qualified in accordance with the provisions of Regulation III/6 of the STCW Convention.

*Electro-technical rating* means a rating qualified in accordance with the provisions of Regulation III/7 of the STCW Convention.

*Employment assigned to* means the total period of time a person is assigned to work on MODUs, including time spent ashore as part of normal crew rotation.

*Endorsement* is a statement of a mariner's qualifications and, for the purposes of this chapter, includes only those endorsements listed in §10.109 of this part.

*Engine department* means the department aboard a ship responsible for the main propulsion and auxiliary systems, and other mechanical, electrical, hydraulic, and refrigeration systems, in-

cluding deck machinery and cargo-handling equipment.

*Entry-level mariner* means a mariner holding no rating other than ordinary seaman, wiper, steward's department, or steward's department food handler (F.H.).

*Evaluation* means processing an application, from the point of receipt to approval or denial of the application, including review of all documents and records submitted with an application as well as those obtained from public records and databases.

*Fails a chemical test for dangerous drugs* means that the result of a chemical test conducted under 49 CFR part 40 was reported as "positive" by a Medical Review Officer because the chemical test indicated the presence of a dangerous drug at a level equal to or exceeding the levels established in 49 CFR part 40.

*First assistant engineer* means the engineer officer next in rank to the chief engineer and upon whom the responsibility for the mechanical propulsion and the operation and maintenance of the mechanical and electrical installations of the vessel will fall in the event of the incapacity of the chief engineer.

*Great Lakes*, for the purpose of calculating service requirements for an endorsement, means the Great Lakes and their connecting and tributary waters, including the Calumet River as far as the Thomas J. O'Brien Lock and Controlling Works (between miles 326 and 327), the Chicago River as far as the east side of the Ashland Avenue Bridge (between miles 321 and 322), and the Saint Lawrence River as far east as the lower exit of Saint Lambert Lock. For purposes of requiring MMCs with rating endorsements, the connecting and tributary waters are not part of the Great Lakes.

*Gross register tons or GRT* means the gross ton measurement of the vessel under 46 U.S.C. chapter 145, Regulatory Measurement.

*Gross tonnage or GT* means the gross tonnage measurement of the vessel under 46 U.S.C. chapter 143, Convention Measurement.

*Harbor assist* means the use of a towing vessel during maneuvers to dock, undock, moor, or unmoor a vessel, or

to escort a vessel with limited maneuverability.

*High-speed craft type rating (HSC)* means an endorsement for specific duty on a particular type and model of high-speed craft (compliant with the high-speed craft code).

*Horsepower or HP* means, for the purpose of this subchapter, the total maximum continuous shaft horsepower of the entire vessel's main propulsion machinery as determined by the manufacturer. This term is used when describing a vessel's propulsion power and also when placing limitations on an engineer officer license or endorsement. One horsepower equals 0.75 kW.

*ILO* means the International Labour Organization.

*IMO* means the International Maritime Organization.

*Increase in scope* means additional authority added to an existing credential, such as adding a new route or increasing the authorized horsepower or tonnage.

*Inland waters* means the navigable waters of the United States shoreward of the Boundary Lines as described in part 7 of this chapter, excluding the Great Lakes, and, for towing vessels, excluding the Western Rivers.

*Integrated tug barge or ITB* means any tug barge combination which, through the use of special design features or a specially designed connection system, has increased seakeeping capabilities relative to a tug and barge in the conventional pushing mode. An ITB can be divided into either a dual-mode ITB or a push-mode ITB. The definitions for those categories can be found elsewhere in this section.

*Invalid credential* means an MMC, MMD, license, STCW endorsement, or Certificate of Registry that has been suspended or revoked, has expired, has been tampered with, has not been signed, or has been superseded in accordance with §10.205 of this part.

*ISM* means the International Safety Management Code.

*Kilowatt or kW* means 1½ horsepower. This term is used when describing a vessel's propulsion power and also when placing limitations on an engineer officer license or endorsement.

*Large passenger vessel*, for the purposes of subpart H of part 12, and part

15, means a vessel of more than 70,000 gross tons, as measured under 46 U.S.C. 14302 and documented under the laws of the United States, with capacity for at least 2,000 passengers and a coastwise endorsement under 46 U.S.C. chapter 121.

*Lifeboatman* means a mariner who is qualified to take charge of, lower, and operate survival craft and related survival equipment on a vessel.

*Lifeboatman-Limited* means a mariner who is qualified to take charge of, lower, and operate liferafts, rescue boats, and other survival equipment on vessels where lifeboats are not installed.

*Liquefied gas or LG* means a cargo that has a vapor pressure of 172 kPa (25 psia) or more at 37.8 °C (100 °F).

*Liquefied gas tanker* means a tank vessel that is certificated to carry or carries liquefied gases in bulk as cargo or cargo residue. For the purposes of qualifying for an STCW endorsement for advanced liquefied gas tanker cargo operations, this includes tank barges.

*Liquid cargo in bulk* means a liquid or liquefied gas listed in §153.40 of this chapter and carried as a liquid cargo or liquid-cargo residue in integral, fixed, or portable tanks, except a liquid cargo carried in a portable tank actually loaded and discharged from a vessel with the contents intact.

*Management level* means the level of responsibility associated with—

(1) Serving as master, chief mate, chief engineer officer or second engineer officer onboard a seagoing ship; and

(2) Ensuring that all functions within the designated area of responsibility are properly performed.

*Marine chemist* means a person certificated by the National Fire Protection Association as a marine chemist.

*Master* means the officer having command of a vessel.

*Mate* means a qualified officer in the deck department other than the master.

*Medical Certificate* means a certificate issued by the Coast Guard under 46 CFR part 10, subpart C that serves as proof that the seafarer meets the medical and physical standards for merchant mariners.

*Merchant Mariner Credential or MMC* means a credential issued by the Coast Guard under 46 CFR part 10. It combines the individual merchant mariner's document, license, and certificate of registry enumerated in 46 U.S.C. subtitle II part E as well as the STCW endorsement into a single credential that serves as the mariner's qualification document, certificate of identification, and certificate of service.

*MMC application* means the application for the MMC, as well as the application for any endorsement on an MMC.

*Mobile offshore drilling unit or MODU* means a vessel capable of engaging in drilling operations for the exploration for or exploitation of subsea resources. MODU designs include the following:

(1) Bottom bearing units, which include—

(i) Self-elevating (or jack-up) units with moveable, bottom bearing legs capable of raising the hull above the surface of the sea; and

(ii) Submersible units of ship-shape, barge-type, or novel hull design, other than a self-elevating unit, intended for operating while bottom bearing.

(2) Surface units with a ship-shape or barge-type displacement hull of single or multiple hull construction intended for operating in a floating condition, including semi-submersibles and drill ships.

*Month* means 30 days, for the purpose of complying with the service requirements of this subchapter.

*National Driver Register or NDR* means the nationwide repository of information on drivers maintained by the National Highway Traffic Safety Administration under 49 U.S.C. chapter 303.

*National officer endorsement* means an annotation on an MMC that allows a mariner to serve in the capacities listed in § 10.109(a) of this part. The officer endorsement serves as the license and/or certificate of registry pursuant to 46 U.S.C. subtitle II part E.

*National rating endorsement* means an annotation on an MMC that allows a mariner to serve in those capacities set out in § 10.109(b) and (c) of this part. The rating endorsement serves as the merchant mariner's document pursuant to 46 U.S.C. subtitle II part E.

*NDR-listed convictions* means a conviction of any of the following motor vehicle-related offenses or comparable offenses:

(1) Operating a motor vehicle while under the influence of, or impaired by, alcohol or a controlled substance; or

(2) A traffic violation arising in connection with a fatal traffic accident, reckless driving, or racing on the highways.

*Near-coastal* means ocean waters not more than 200 miles offshore from the U.S. and its possessions, except for MMCs endorsed as Operator of Uninspected Passenger Vessel for which near-coastal is limited to waters not more than 100 miles offshore from the U.S. and its possessions. This would also include those near-coastal waters identified by another Administration when the U.S. has entered into a treaty or an agreement with that country respecting the recognition of the U.S. near-coastal endorsement.

*Non-resident alien, for the purposes of subchapter H of part 12, and part 15,* means an individual who is not a citizen or alien lawfully admitted to the United States for permanent residence, but who is employable in the United States under the Immigration and Nationality Act (8 U.S.C. 1101 et seq.), including an alien crewman described in section 101(a)(15)(D)(i) of that Act who meets the requirements of 46 U.S.C. 8103(k)(3)(A).

*Oceans* means the waters seaward of the Boundary Lines as described in 46 CFR part 7. For the purposes of establishing sea service credit, the waters of the Inside Passage between Puget Sound and Cape Spencer, Alaska, and the inland waters of another country are not considered oceans.

*Officer endorsement* means an annotation on an MMC that allows a mariner to serve in the capacities listed in § 10.109 of this part.

*Officer in Charge, Marine Inspection, or OCMI* means, for the purposes of this subchapter, the commanding officer of the National Maritime Center, or any person designated as such by the Commandant, in accordance with 46 CFR 1.01–5(b).

*Officer in charge of an engineering watch in a manned engine room or designated duty engineer in a periodically*

*unmanned engine room (OICEW)* means an engineering officer qualified at the operational level.

*Officer in charge of a navigational watch (OICNW)* means a deck officer qualified at the operational level.

*Offshore installation manager or OIM* means an officer restricted to service on MODUs. An assigned offshore installation manager is equivalent to a master on a conventional vessel and is the person designated by the owner or operator to be in complete and ultimate command of the unit.

*Oil tanker* means a tank vessel that is certificated to carry or carries oil in bulk as cargo or cargo residue. For the purposes of qualifying for an STCW endorsement for advanced oil tanker cargo operations, this includes tank barges.

*On location* means that a mobile offshore drilling unit is bottom bearing or moored with anchors placed in the drilling configuration.

*Operate, operating, or operation (as applied to the manning requirements of vessels carrying passengers)* refers to a vessel any time passengers are embarked whether the vessel is underway, at anchor, made fast to shore, or aground.

*Operational level* means the level of responsibility associated with—

(1) Serving as officer in charge of a navigational or engineering watch, or as designated duty engineer for periodically unmanned machinery spaces, or as radio operator onboard a seagoing ship; and

(2) Maintaining direct control over the performance of all functions within the designated area of responsibility in accordance with proper procedures and under the direction of an individual serving in the management level for that area of responsibility.

*Orally assisted examination* means an examination as described in 46 CFR, part 11, subpart I of this subchapter administered orally and documented by a Coast Guard examiner.

*Overriding operational condition* means circumstances in which essential shipboard work cannot be delayed due to safety or environmental reasons, or could not have reasonably been anticipated at the commencement of the voyage.

*Participation*, when used with regard to the service on transfers required for tankerman by §§13.120, 13.203, or 13.303 of this chapter, means either actual participation in the transfers or close observation of how the transfers are conducted and supervised.

*Passes a chemical test for dangerous drugs* means that the result of a chemical test conducted according to 49 CFR part 40 is reported as “negative” by a Medical Review Officer according to that part.

*Periodically unattended engine room* means a space containing main propulsion and associated machinery and all sources of main electrical supply which is not at all times manned under all operating conditions, including maneuvering.

*PIC* means a person in charge.

*Pilot of towing vessels* means a qualified officer of a towing vessel operated only on inland routes.

*Pilotage waters* means the navigable waters of the United States, including all inland waters and offshore waters to a distance of 3 nautical miles from the baseline from which the Territorial Sea is measured.

*Practical demonstration* means the performance of an activity under the direct observation of a designated examiner or qualified assessor for the purpose of establishing that the performer is sufficiently proficient in a practical skill to meet a specified standard of competence or other objective criterion.

*Propulsion power* means the total maximum continuous-rated output power of the main propulsion machinery of a vessel determined by the manufacturer, in either kilowatts or horsepower, which appears on the ship's Certificate of Registry or other official document and excludes thrusters and other auxiliary machinery.

*Public vessel* means a vessel that—

(1) Is owned, or demise chartered, and operated by the United States Government or a government of a foreign country; and

(2) Is not engaged in commercial service.

*Push-mode ITBs* means those ITBs that involve a rigid coupling system and, when not coupled to the barge, are incapable of conducting towing in any

other configuration (such as astern or alongside) because, by themselves, they have very limited seakeeping capability. The propelling unit moves as one with the barge unit.

*Qualified Assessor or QA* means a person who is qualified to evaluate, for STCW endorsements, whether an applicant has demonstrated the necessary level of competence in the task for which the assessment is being made. This person must be individually approved by the Coast Guard.

*Qualified instructor* means a person who has been trained in instructional techniques and is otherwise qualified to provide required training to candidates for an MMC endorsement. A faculty member employed at a State maritime academy or the U.S. Merchant Marine Academy operated under 46 CFR part 310 and instructing a course on merchant marine officer or rating knowledge, understanding, or proficiency requirements is qualified to serve as a qualified instructor in his or her area of specialization without individual evaluation by the Coast Guard.

*Qualified rating* means various categories of able seaman, qualified member of the engine department, or tankerman endorsements issued on MMCs.

*Quality Standard System or QSS* means a set of policies, procedures, processes, and data required to establish and fulfill the organization's objectives.

*Raise of grade* means an increase in the level of authority and responsibility associated with an officer or rating endorsement, such as from mate to master or second assistant engineer to first assistant engineer.

*Rating endorsement* is an annotation on an MMC that allows a mariner to serve in those capacities set out in §10.109 of this part.

*Regional examination center or REC* means a field office of the National Maritime Center that receives and screens credential applications, conducts approved course oversight, and administers Coast Guard examinations as required by this subchapter.

*Rest* means a period of time during which the person concerned is off duty, is not performing work (which includes administrative tasks such as chart correction or preparation of port-entry

documents), and is allowed to sleep without interruption.

*Restricted tankerman endorsement* means a valid tankerman endorsement on a merchant mariner credential restricting its holder as the Coast Guard deems appropriate. For instance, the endorsement may restrict the holder to one or a combination of the following: A specific cargo or cargoes; a specific vessel or vessels; a specific facility or facilities; a specific employer or employers; a specific activity or activities (such as loading or unloading in a cargo transfer); or a particular area of water.

*Rivers* means a river, canal, or other similar body of water designated as such by the Coast Guard.

*Safe and suitable person* means a person whose prior record, including but not limited to criminal record and/or NDR record, provides no information indicating that his or her character and habits of life would support the belief that permitting such a person to serve under the MMC and/or endorsement sought would clearly be a threat to the safety and security of life or property, detrimental to good discipline, or adverse to the interests of the United States. See 46 CFR 10.211 and 10.213 for the regulations associated with this definition.

*Seagoing service* means service onboard a ship/vessel relevant to the issue of a credential or other qualification.

*Seagoing vessel* means a ship that operates beyond the boundary line specified in 46 CFR part 7.

*Second engineer officer* means an engineer officer next in rank to the chief engineer officer and upon whom the responsibility for the mechanical propulsion and the operation and maintenance of the mechanical and electrical installations of the ship will fall in the event of the incapacity of the chief engineer officer.

*Self propelled* has the same meaning as the terms "propelled by machinery" and "mechanically propelled." This term includes vessels fitted with both sails and mechanical propulsion.

*Senior company official* means the president, vice president, vice president for personnel, personnel director,

or similarly titled or responsible individual, or another employee designated in writing by one of these individuals for the purpose of certifying employment.

*Service (as used when computing the required service for endorsements)* means the time period, in days, a person is assigned to work. On MODUs, this excludes time spent ashore as part of crew rotation.

*Ship* means a vessel using any mode of propulsion, including sail and auxiliary sail.

*Simulated transfer* means a transfer practiced in a course meeting the requirements of § 13.121 of this subchapter that uses simulation to meet part of the service on transfers required for tankerman by §§ 13.203 or 13.303 of this subchapter.

*Staff officer* means a person who holds an MMC with an officer endorsement listed in § 10.109(a)(36) through (a)(43) of this part.

*Standard of competence* means the level of proficiency to be achieved for the proper performance of duties onboard vessels according to national and international criteria.

*Steward's department* means the department that includes entertainment personnel and all service personnel, including wait staff, housekeeping staff, and galley workers, as defined in the vessel security plan approved by the Secretary under 46 U.S.C. 70103(c). These personnel may also be referred to as members of the hotel department on a large passenger vessel.

*STCW* means the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended (incorporated by reference, see § 10.103 of this subpart).

*STCW Code* means the Seafarers' Training, Certification and Watchkeeping Code (incorporated by reference, see § 10.103 of this subpart).

*STCW endorsement* means an annotation on an MMC that allows a mariner to serve in those capacities under § 10.109(d) of this subpart. The STCW endorsement serves as evidence that a mariner has met the requirements of the STCW Convention.

*Support level* means the level of responsibility associated with per-

forming assigned tasks, duties, or responsibilities onboard a seagoing ship under the direction of an individual serving in the operational or management level.

*Tank barge* means a non-self-propelled tank vessel.

*Tank vessel* means a vessel that is constructed or adapted to carry, or that carries, oil or hazardous material in bulk as cargo or cargo residue, and that—

- (1) Is a vessel of the United States;
- (2) Operates on the navigable waters of the United States; or
- (3) Transfers oil or hazardous material in a port or place subject to the jurisdiction of the United States.

*Tankerman assistant* means a person holding a valid "Tankerman-Assistant" endorsement on his or her MMC. See 46 CFR, part 13, subpart D.

*Tankerman engineer* means a person holding a valid "Tankerman-Engineer" endorsement on his or her MMC. See 46 CFR part 13, subpart E.

*Tankerman PIC* means a person holding a valid "Tankerman-PIC" endorsement on his or her MMC. See 46 CFR part 13, subpart B.

*Tankerman PIC (Barge)* means a person holding a valid "Tankerman-PIC (Barge)" endorsement on his or her MMC. See 46 CFR part 13, subpart C.

*Tankship* means any self-propelled tank vessel constructed or adapted primarily to carry oil or hazardous material in bulk as cargo or as cargo residue.

*Training program* means a combination of training, practical assessment, and service which provides an individual with all or part of the necessary knowledge, understanding, and proficiency required for a specific qualification.

*Transfer* means any movement of fuel, dangerous liquid, or liquefied gas as cargo in bulk or as cargo residue to or from a vessel by means of pumping, gravitation, or displacement.

*Transportation Worker Identification Credential or TWIC* means an identification credential issued by the Transportation Security Administration under 49 CFR part 1572.

*Underway* means that a vessel is not at anchor, made fast to the shore, or aground. When referring to a mobile

offshore drilling unit (MODU), underway means that the MODU is not in an on-location or laid-up status and includes that period of time when the MODU is deploying or recovering its mooring system.

*Undocumented vessel* means a vessel not required to have a certificate of documentation issued under the laws of the United States.

*Unlimited* means an annotation on an MMC authorizing service on vessels of any tonnage or any propulsion power.

*Vessel personnel with designated security duties* means a person, excluding the designated security officer (e.g., Company Security Officer (CSO), as defined in 33 CFR chapter I, subchapter H, and Vessel Security Officer (VSO)), having specific security duties and responsibilities in accordance with the ship security plan.

*Vessel Security Officer (VSO)* means a person onboard the vessel accountable to the Master and designated by the Company as responsible for security of the vessel, including implementation and maintenance of the Vessel's Security Plan, and for liaison with the Facility Security Officer and the vessel's Company Security Officer.

*Western Rivers* means—

- (1) The Mississippi River;
- (2) The Mississippi River's tributaries, South Pass, and Southwest Pass, to the navigational demarcation lines dividing the high seas from harbors, rivers, and other inland waters of the United States;
- (3) The Port Allen-Morgan City Alternate Route;
- (4) That part of the Atchafalaya River above its junction with the Port Allen-Morgan City Alternate Route including the Old River and the Red River; and
- (5) Those waters specified in 33 CFR 89.25.

*Year* means 360 days for the purpose of complying with the service requirements of this subchapter.

[USCG–2004–17914, 78 FR 77882, Dec. 24, 2013]

#### § 10.109 Classification of endorsements.

(a) *National officer endorsements.* The following national officer endorsements are established in part 11 of this subchapter. The endorsements indicate

that an individual holding a valid MMC with this endorsement is qualified to serve in that capacity and the endorsement has been issued under the requirements contained in part 11 of this subchapter:

- (1) Master.
- (2) Chief mate.
- (3) Second mate.
- (4) Third mate.
- (5) Mate.
- (6) Master of towing vessels.
- (7) Master of towing vessels, limited.
- (8) Mate (pilot) of towing vessels.
- (9) Apprentice mate (Steersman).
- (10) Apprentice mate (Steersman), limited.
- (11) Assistance towing.
- (12) Offshore installation manager (OIM).
- (13) Barge supervisor (BS).
- (14) Ballast control operator (BCO).
- (15) Operator of uninspected passenger vessels (OUPV).
- (16) Master of uninspected fishing industry vessels.
- (17) Mate of uninspected fishing industry vessels.
- (18) Master (OSV).
- (19) Chief mate (OSV).
- (20) Mate (OSV).
- (21) Chief engineer.
- (22) Chief engineer (limited).
- (23) First assistant engineer.
- (24) Second assistant engineer.
- (25) Third assistant engineer.
- (26) Assistant engineer (limited).
- (27) Designated duty engineer (DDE).
- (28) Chief engineer (OSV).
- (29) Assistant engineer (OSV).
- (30) Chief engineer MODU.
- (31) Assistant engineer MODU.
- (32) Chief engineer uninspected fishing industry vessels.
- (33) Assistant engineer uninspected fishing industry vessels.
- (34) Radio officer.
- (35) First-class pilot.
- (36) Chief purser.
- (37) Purser.
- (38) Senior assistant purser.
- (39) Junior assistant purser.
- (40) Medical doctor.
- (41) Professional nurse.
- (42) Marine physician assistant.
- (43) Hospital corpsman.
- (44) High-speed craft type rating.
- (45) Radar observer.
- (b) *National rating endorsements.* The following national rating endorsements

are established in part 12 of this subchapter. The endorsements indicate that an individual holding a valid MMC with this endorsement is qualified to serve in that capacity and the endorsement has been issued under the requirements contained in part 12 of this subchapter:

- (1) Able seaman:
  - (i) Unlimited;
  - (ii) Limited;
  - (iii) Special;
  - (iv) Special (OSV);
  - (v) Sail; and
  - (vi) Fishing industry.
- (2) Ordinary seaman.
- (3) Qualified member of the engine department (QMED), including the following specialty endorsements:
  - (i) Oiler;
  - (ii) Fireman/Watertender;
  - (iii) Junior engineer;
  - (iv) Pumpman/Machinist; and
  - (v) Electrician/Refrigerating engineer.
- (4) Lifeboatman.
- (5) Lifeboatman-Limited.
- (6) Wiper.
- (7) Steward's department.
- (8) Steward's department (F.H.).
- (9) Cadet (deck or engine).
- (10) Student observer.
- (11) Apprentice engineer.
- (12) Apprentice mate.
- (c) The following ratings are established in part 13 of this subchapter. The national endorsements indicate that an individual holding a valid MMC with this endorsement is qualified to serve in that capacity and the endorsement has been issued under the requirements contained in part 13 of this subchapter:
  - (1) Tankerman-PIC.
  - (2) Tankerman-PIC (Barge).
  - (3) Restricted Tankerman-PIC.
  - (4) Restricted Tankerman-PIC (Barge).
  - (5) Tankerman assistant.
  - (6) Tankerman engineer.
- (d) *STCW endorsements.* The following STCW endorsements are issued according to the STCW Convention, the STCW Code, and parts 11, 12, and 13 of this subchapter. The endorsements indicate that an individual holding a valid MMC with this endorsement is qualified to serve in that capacity and the endorsement has been issued under the requirements contained in parts 11,

12 or 13 of this subchapter as well as the STCW Convention and STCW Code (incorporated by reference, see §10.103 of this subpart):

- (1) Master.
- (2) Chief mate.
- (3) Officer in charge of a navigational watch (OICNW).
- (4) Chief engineer officer.
- (5) Second engineer officer.
- (6) Officer in charge of an engineering watch in a manned engine room or designated duty engineer in a periodically unmanned engine room (OICEW).
- (7) Electro-technical officer (ETO).
- (8) Rating forming part of a navigational watch (RFPNW).
- (9) Able seafarer-deck.
- (10) Rating forming part of an engineering watch in a manned engine room or designated to perform duties in a periodically unmanned engine room (RFPEW).
- (11) Able seafarer-engine.
- (12) Electro-technical rating.
- (13) Basic training (BT).
- (14) Advanced firefighting.
- (15) Proficiency in survival craft and rescue boats other than fast rescue boats (PSC).
- (16) Proficiency in survival craft and rescue boats other than fast rescue boats—limited (PSC—limited).
- (17) Proficiency in fast rescue boats.
- (18) Person in charge of medical care.
- (19) Medical first-aid provider.
- (20) GMDSS at-sea maintainer.
- (21) GMDSS operator.
- (22) Advanced oil tanker cargo operation.
- (23) Advanced chemical tanker cargo operation.
- (24) Advanced liquefied gas tanker cargo operation.
- (25) Basic oil and chemical tanker cargo operation.
- (26) Basic liquefied gas tanker cargo operation.
- (27) Vessel Security Officer.
- (28) Vessel personnel with designated security duties.
- (29) Security awareness.
- (30) High-speed craft (HSC) type rating certificate.

[USCG-2004-17914, 78 FR 77887, Dec. 24, 2013]

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### Subpart B—General Requirements for All Merchant Mariner Credentials

#### § 10.201 General characteristics of the merchant mariner credential.

(a) A merchant mariner credential (MMC) (Coast Guard Form CG-4610), is a credential combining the elements of the merchant mariner's document (MMD), merchant mariner's license (license), and certificate of registry (COR) enumerated in 46 U.S.C. subtitle II part E as well as the STCW endorsement issued pursuant to the STCW Convention and STCW Code (incorporated by reference, see § 10.103 of this part). MMDs, licenses, STCW endorsements and CORs are no longer issued as separate documents and all qualifications formerly entered on those separate documents appear in the form of an endorsement(s) on an MMC.

(b) An MMC authorizes the holder to serve in any capacity endorsed thereon, or in any lower capacity in the same department, or in any capacity covered by a general endorsement.

(c) An MMC may be issued to qualified applicants by the Coast Guard.

[USCG-2006-24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG-2004-17914, 78 FR 77888, Dec. 24, 2013]

#### § 10.203 Requirement to hold a TWIC and a merchant mariner credential.

(a) Failure to obtain or hold a valid TWIC serves as a basis for the denial of an application for an original, renewal, new endorsement, duplicate, or raise of grade of a mariner's credential and may serve as a basis for suspension and revocation under 46 U.S.C. 7702 and 7703.

(b) An MMC, license, MMD, COR, or STCW endorsement must be retained by the mariner to whom it was issued and, while valid, must be produced to verify qualifications when requested by an authorized official as identified in 33 CFR 101.515(d). Posting of the officer endorsement may be necessary as required in 46 U.S.C. 7110.

(c) Although an MMD and an MMC serve as certificates of identification, a TWIC must be retained by the mariner to whom it was issued and, while valid, serves as the mariner's primary identification document. The TWIC must be

produced to verify identity when required by an authorized official as identified in 33 CFR 101.515(d).

[USCG-2006-24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG-2018-0874, 84 FR 30881, June 28, 2019]

#### § 10.205 Validity of a merchant mariner credential.

(a) An MMC is valid for a term of 5 years from the date of issuance. Except upon the written request for the immediate issuance by the applicant, the Coast Guard will post-date the issuance of an MMC renewal that includes no other transactions up to 8 months from the date that the Coast Guard accepts a complete application as required in this part. If the expiration date of the mariner's active credential is beyond 8 months of the date that the Coast Guard accepts a complete application as required in this part, the new credential issue date will be 8 months from the date of application acceptance at which time the currently active credential will become invalid in accordance with paragraph (d) of this section. Otherwise, the new credential issue validity date will coincide with the expiration date of the active credential held by the mariner. All other MMC transactions will be processed for immediate issuance.

(b) All endorsements, unless otherwise noted, are valid until the expiration date of the MMC on which they appear.

(c) A mariner may not serve under the authority of an MMC past its expiration date. An expired MMC may be renewed during an administrative grace period of up to 1 year beyond its expiration date as per § 10.227(h) of this part.

(d) When an MMC is renewed or reissued before its expiration date in accordance with § 10.227, of this part the MMC that has been replaced becomes invalid unless otherwise noted in paragraph (a) of this section.

(e) An MMC is not valid until signed by the applicant and a duly authorized Coast Guard official.

(f) A mariner's endorsements authorize the holder to serve in any capacity endorsed on the MMC, or in any lower capacity in the same department, or in

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any capacity covered by a general endorsement thereon.

(g) If a mariner chooses to renew his or her license, MMD, COR, or STCW endorsement and receive their first MMC, the Coast Guard may also renew all other credentials for which the mariner is qualified.

(h) When a Document of Continuity is replaced with an MMC re-issued in accordance with §10.227 of this part, the Document of Continuity that has been replaced becomes invalid. In the event that not all endorsements on a Document of Continuity are activated, a new Document of Continuity will be issued for the remaining endorsements.

[USCG–2006–24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG–2004–17914, 78 FR 77888, Dec. 24, 2013]

### § 10.207 Identification number.

For recordkeeping purposes only, a mariner's official MMC identification number is the individual's social security number. However, a unique serial number, called the mariner reference number, and not the social security number, will appear on the credential.

[USCG–2006–24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG–2004–17914, 78 FR 77888, Dec. 24, 2013]

### § 10.209 General application procedures.

(a) The applicant for an MMC, whether for an original, renewal, duplicate, raise of grade, or a new endorsement on a previously issued MMC, must establish that he or she satisfies all the requirements for the MMC and endorsement(s) sought before the Coast Guard will issue the MMC. This section contains the general requirements for all applicants. Additional requirements for duplicates, renewals, new endorsements, and raises of grade appear later in this part.

(b) The Coast Guard may refuse to process an incomplete MMC application. The requirements for a complete application for an original MMC are contained in §10.225 of this part, the requirements for a renewal MMC application are contained in §10.227 of this part, the requirements for a duplicate MMC application are contained in §10.229 of this part, and the requirements for an application for a new en-

dorsement or raise of grade are contained in §10.231 of this part.

(c) Applications are valid for 12 months from the date that the Coast Guard approves the application.

(d) The application may be submitted in person, by mail, fax, or other electronic means. A complete MMC application, which is described in §§10.223, 10.225, 10.227, 10.229, and 10.231 may include—

(1) The application, consent for National Driver Register (NDR) check, and notarized oath on Coast Guard-furnished forms, and the evaluation fee required by §10.219 of this part;

(2) The applicant's continuous discharge book, certificate of identification, MMD, MMC, license, STCW endorsement, Certificate of Registry (COR), or, if it has not expired, a photocopy of the credential, including the back and all attachments;

(3) Proof, documented on CG–719K or CG–719K/E, as appropriate, that the applicant passed the applicable vision, hearing, medical, or physical exam as required by subpart C of this part, or an unexpired medical certificate issued by the Coast Guard;

(4) Copies of course completion certificates or other evidence of course completion;

(5) Evidence of sea service, or an accepted substitute for sea service, if required;

(6) For an endorsement as a medical doctor or professional nurse as required in §11.807 of this subchapter, evidence that the applicant holds a currently valid, appropriate license as physician, surgeon, or registered nurse, issued under the authority of a state or territory of the United States, the Commonwealth of Puerto Rico, or the District of Columbia. Any MMC issued will retain any limitation associated with the medical license;

(7) Any certificates or other supplementary materials required to show that the mariner meets the mandatory requirements for the specific endorsement sought, as established in parts 11, 12 or 13 of this subchapter; and

(8) An open-book exercise, in accordance with §10.227(e)(1) of this part.

(e) The following requirements must be satisfied before an original or renewal MMC, or new endorsement or a

raise of grade added to a previously issued MMC, will be issued. These materials will be added to the individual's record by the Coast Guard:

(1) *Determination of safety and suitability.* No MMC will be issued as an original or reissued with a new expiration date, and no new officer endorsement will be issued if the applicant fails the criminal record review as set forth in § 10.211 of this part.

(2) *NDR review.* No MMC will be issued as an original or reissued with a new expiration date, and no new officer endorsement will be issued if the applicant fails the NDR review as set forth in § 10.213 of this part.

(3) *Information supplied by the Transportation Security Administration (TSA).* No MMC or endorsement will be issued until the Coast Guard receives the following information from the applicant's TWIC enrollment: the applicant's fingerprints, FBI number and criminal record (if applicable), photograph, proof of citizenship, or Nationality with proof of legal resident status (if applicable). If the information is not available from TSA, the mariner may be required to visit a Regional Exam Center or a TWIC enrollment center to provide this information.

(f) Upon determining that the applicant satisfactorily meets all requirements for an MMC or an endorsement thereon, the Coast Guard will issue the properly endorsed MMC to the applicant. The Coast Guard will not issue an MMC until it has received proof that the mariner holds a valid TWIC.

(g) When a new MMC is issued, the mariner must return any previously issued and unexpired MMC, license, MMD, COR, or STCW endorsement to the Coast Guard, unless the new MMC is being issued to replace a lost or stolen credential.

(h) No MMC will be issued if the applicant fails a chemical test for dangerous drugs as required in §§ 10.223, 10.225(b)(5), 10.227(d)(5), and 10.231(c)(6).

(i) *Ceremonial licenses.* A mariner may obtain a ceremonial license when applying for his or her credential or Document of Continuity.

[USCG–2004–17914, 78 FR 77888, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30881, June 28, 2019]

**§ 10.211 Criminal record review.**

(a) The Coast Guard may conduct a criminal record review to determine the safety and suitability of an applicant for an MMC and any endorsements. An applicant conducting simultaneous MMC transactions will undergo a single criminal record review. At the time of application, each applicant must provide written disclosure of all prior convictions not previously disclosed to the Coast Guard on an application.

(b) A criminal record review is not required for applicants seeking a duplicate MMC under § 10.229.

(c) *Fingerprints.* The Transportation Security Administration (TSA) will provide to the Coast Guard the applicant's fingerprints submitted by the applicant with his or her TWIC application and, if applicable, the applicant's FBI number and criminal record generated in the TWIC review process. This information, or the fingerprints taken by the Coast Guard at an REC, will be used by the Coast Guard to determine whether the applicant has a record of any criminal convictions.

(d) When a criminal record review leads the Coast Guard to determine that an applicant is not a safe and suitable person or cannot be entrusted with the duties and responsibilities of the MMC or endorsement applied for, the application may be denied.

(e) If an application is denied, the applicant will be notified in writing of that fact, the reason or reasons for denial, and advised that the appeal procedures in subpart 1.03 of part 1 of this chapter apply. No examination will be given pending decision on appeal.

(f) No person who has been convicted of a violation of the dangerous drug laws of the United States, the District of Columbia, any State, territory, or possession of the United States, or a foreign country, by any military or civilian court, is eligible for an MMC, except as provided elsewhere in this section. No person who has ever been the user of, or addicted to the use of a dangerous drug, or has ever been convicted of an offense described in section 205 of the National Driver Register Act of 1982, as amended (49 U.S.C. 30304) because of addiction to or abuse of alcohol is eligible for an MMC, unless he or

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she furnishes satisfactory evidence of suitability for service in the merchant marine as provided in paragraph (1) of this section. A conviction for a drug offense more than 10 years before the date of application will not alone be grounds for denial.

(g) The Coast Guard will use table 1 to §10.211 of this section to evaluate applicants who have criminal convictions. The table lists major categories of criminal activity and is not to be construed as an all-inclusive list. If an

applicant is convicted of an offense that does not appear on the list, the Coast Guard will establish an appropriate assessment period using the list as a guide. The assessment period commences when an applicant is no longer incarcerated. The applicant must establish proof of the time incarcerated and periods of probation and parole to the satisfaction of the Coast Guard. The assessment period may include supervised or unsupervised probation or parole.

TABLE 1 TO 10.211—GUIDELINES FOR EVALUATING APPLICANTS FOR MMCs WHO HAVE CRIMINAL CONVICTIONS

Crime <sup>1</sup>	Assessment periods	
	Minimum	Maximum
<b>Assessment Periods for Officer and Rating Endorsements</b>		
Crimes Against Persons:		
Homicide (intentional) .....	7 years .....	20 years.
Homicide (unintentional) .....	5 years .....	10 years.
Assault (aggravated) .....	5 years .....	10 years.
Assault (simple) .....	1 year .....	5 years.
Sexual Assault (rape, child molestation) .....	5 years .....	10 years.
Robbery .....	5 years .....	10 years.
Other crimes against persons <sup>2</sup>		
<b>Vehicular Crimes</b>		
Conviction involving fatality .....	1 year .....	5 years.
Reckless Driving .....	1 year .....	2 years.
Racing on the Highways .....	1 year .....	2 years.
Other vehicular crimes <sup>2</sup>		
<b>Crimes Against Public Safety</b>		
Destruction of Property .....	5 years .....	10 years.
Other crimes against public safety <sup>2</sup>		
<b>Dangerous Drug Offenses <sup>3 4 5</sup></b>		
Trafficking (sale, distribution, transfer) .....	5 years .....	10 years.
Dangerous drugs (Use or possession) .....	1 year .....	10 years.
Other dangerous drug convictions <sup>6</sup>		
<b>Assessment Periods for Officer Endorsements Only</b>		
<b>Criminal Violations of Environmental Laws</b>		
Criminal violations of environmental laws involving improper handling of pollutants or hazardous materials.	1 year .....	10 years.
<b>Crimes Against Property</b>		
Burglary .....	3 years .....	10 years.
Larceny (embezzlement) .....	3 years .....	5 years.
Other crimes against property <sup>2</sup>		

<sup>1</sup> Conviction of attempts, solicitations, aiding and abetting, accessory after the fact, and conspiracies to commit the criminal conduct listed in this table carry the same minimum and maximum assessment periods provided in the table.

<sup>2</sup> Other crimes will be reviewed by the Coast Guard to determine the minimum and maximum assessment periods depending on the nature of the crime.

<sup>3</sup> Applicable to original applications only. Any applicant who has ever been the user of, or addicted to the use of, a dangerous drug shall meet the requirements of paragraph (f) of this section. Note: Applicants for reissue of an MMC with a new expiration date including a renewal or additional endorsement(s), who have been convicted of a dangerous drug offense while holding a license, MMC, MMD, STCW endorsement or COR, may have their application withheld until appropriate action has been completed by the Coast Guard under the regulations which appear in 46 CFR part 5 governing the administrative actions against merchant mariner credentials.

<sup>4</sup> The Coast Guard may consider dangerous drug convictions more than 10 years old only if there has been another dangerous drug conviction within the past 10 years.

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<sup>5</sup> Applicants must demonstrate rehabilitation under paragraph (l) of this section, including applicants with dangerous drug use convictions more than 10 years old.

<sup>6</sup> Other dangerous drug convictions will be reviewed by the Coast Guard on a case by case basis to determine the appropriate assessment period depending on the nature of the offense.

(h) When an applicant has convictions for more than one offense, the minimum assessment period will be the longest minimum in table 1 to §10.211 of this section and table 10.213(c) in §10.213 based upon the applicant's convictions; the maximum assessment period will be the longest shown in table 1 to §10.211 of this section and table 10.213(c) of §10.213 based upon the applicant's convictions.

(i) If a person with a criminal conviction applies before the minimum assessment period shown in table 1 to §10.211 of this section of this section or established by the Coast Guard under paragraph (g) of this section has elapsed, then the applicant must provide, as part of the application package, evidence of suitability for service in the merchant marine. Factors that are evidence of suitability for service in the merchant marine are listed in paragraph (l) of this section. The Coast Guard will consider the applicant's evidence submitted with the application and may issue the MMC and/or endorsement in less than the listed minimum assessment period if the Coast Guard is satisfied that the applicant is suitable to hold the MMC and/or endorsement for which he or she has applied. If an application filed before the minimum assessment period has elapsed does not include evidence of suitability for service in the merchant marine, then the application will be considered incomplete and will not be processed by the Coast Guard.

(j) If a person with a criminal conviction submits his or her MMC application during the time between the minimum and maximum assessment periods shown in table 1 to §10.211 or established by the Coast Guard under paragraph (g) of this section, then the Coast Guard will consider the conviction and, unless there are offsetting factors, will grant the applicant the MMC and/or endorsement for which he or she has applied. Offsetting factors include such factors as multiple convictions, failure to comply with court orders (e.g., child support orders), pre-

vious failures at rehabilitation or reform, inability to maintain steady employment, or any connection between the crime and the safe operation of a vessel. If the Coast Guard considers the applicant unsuitable for service in the merchant marine at the time of application, the Coast Guard may deny the application.

(k) If a person with a criminal conviction submits his or her MMC application after the maximum assessment period shown in table 1 to §10.211 of this section or established by the Coast Guard under paragraph (g) of this section has elapsed, then the Coast Guard will grant the applicant the MMC or endorsement for which he or she has applied unless the Coast Guard considers the applicant still unsuitable for service in the merchant marine. If the Coast Guard disapproves an applicant with a conviction older than the maximum assessment period listed in table 1 to §10.211 of this section, the Coast Guard will notify the applicant in writing of the reason(s) for the disapproval. The Coast Guard will also inform the applicant, in writing, that the reconsideration and appeal procedures contained in subpart 1.03 of this chapter apply.

(l) If an applicant has one or more alcohol or dangerous drug related criminal or NDR-listed convictions, if the applicant has ever been the user of, or addicted to the use of, a dangerous drug, or if the applicant applies before the minimum assessment period has elapsed for his or her conviction, the Coast Guard may consider the following factors, as applicable, in assessing the applicant's suitability to hold an MMC. This list is intended as a guide for the Coast Guard. The Coast Guard may consider other factors appropriate to a particular applicant, such as:

(1) Proof of completion of an accredited alcohol or drug abuse rehabilitation program;

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(2) Active membership in a rehabilitation or counseling group, such as Alcoholics Anonymous or Narcotics Anonymous;

(3) Character references from persons who can attest to the applicant's sobriety, reliability, and suitability for employment in the merchant marine including parole or probation officers;

(4) Steady employment; and

(5) Successful completion of all conditions of parole or probation.

[USCG–2006–24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG–2006–24371, 74 FR 39218, Aug. 6, 2009; USCG–2004–17914, 78 FR 77889, Dec. 24, 2013; USCG–2014–0688, 79 FR 58275, Sept. 29, 2014]

### § 10.213 National Driver Register.

(a) No MMC will be issued as an original or reissued with a new expiration date, and no new officer endorsement will be issued, unless the applicant consents to a check of the NDR for offenses described in section 205(a)(3)(A) or (B) of the NDR Act (i.e., operation of a motor vehicle while under the influence of, or impaired by, alcohol or a controlled substance; and any traffic violations arising in connection with a

fatal traffic accident, reckless driving, or racing on the highways).

(b) The Coast Guard will not consider NDR-listed civil convictions that are more than 3 years old from the date of request unless that information relates to a current suspension or revocation of the applicant's license to operate a motor vehicle. The Coast Guard may determine minimum and maximum assessment periods for NDR-listed criminal convictions using table 10.213(c) of this section. An applicant conducting simultaneous MMC transactions is subject to only one NDR check.

(c) The guidelines in table 1 to paragraph (c) will be used by the Coast Guard in evaluating applicants who have drug or alcohol related NDR-listed convictions. Non-drug or alcohol related NDR-listed convictions will be evaluated by the Coast Guard under table 1 to §10.211 of this part as applicable. The Coast Guard may consider non-drug or alcohol related NDR-listed convictions that are more than 3 years old from the date of the request when the information relates to a current suspension or revocation of the applicant's license to operate a motor vehicle.

TABLE 1 TO § 10.213(c)—GUIDELINES FOR EVALUATING APPLICANTS FOR MMCs WHO HAVE NDR MOTOR VEHICLE CONVICTIONS INVOLVING DANGEROUS DRUGS OR ALCOHOL <sup>1</sup>

Number of convictions	Date of conviction	Assessment period
1 .....	Less than 1 year .....	1 year from date of conviction.
1 .....	More than 1, less than 3 years	Application will be processed, unless suspension, or revocation <sup>2</sup> is still in effect. Applicant will be advised that additional conviction(s) may jeopardize merchant mariner credentials.
1 .....	More than 3 years old .....	Application will be processed.
2 or more ...	Any less than 3 years old .....	1 year since last conviction and at least 3 years from 2nd most recent conviction, unless suspension or revocation is still in effect.
2 or more ...	All more than 3 years old .....	Application will be processed unless suspension or revocation is still in effect.

<sup>1</sup>Any applicant who has ever been the user of, or addicted to the use of, a dangerous drug must meet the requirements of paragraph (f) of this section.

<sup>2</sup>Suspension or revocation, when referred to in table 10.213, means a State suspension or revocation of a motor vehicle operator's license.

(d) Any application may be denied if information from the NDR check leads the Coast Guard to determine that the applicant cannot be entrusted with the duties and responsibilities of the endorsement for which the application is made. If an application is denied, the Coast Guard will notify the applicant in writing of the reason(s) for denial and advise the applicant that the appeal procedures in subpart 1.03 of part

1 of this chapter apply. No examination will be given pending decision on appeal.

(e) Before denying an application because of information received from the NDR, the Coast Guard will make the information available to the applicant for review and written comment. The applicant may submit records from the applicable State concerning driving record and convictions to the Coast

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Guard processing the application. The Coast Guard will hold an application with NDR-listed convictions pending the completion of the evaluation and delivery by the individual of the underlying State records.

(f) If an applicant has one or more alcohol or dangerous drug-related criminal or NDR-listed convictions, if the applicant has ever been the user of, or addicted to the use of, a dangerous drug, or if the applicant applies before the minimum assessment period for his or her conviction has elapsed, the Coast Guard may consider the following factors, as applicable, in assessing the applicant's suitability to hold an MMC. This list is intended as a guide for the Coast Guard. The Coast Guard may consider other factors which it judges appropriate to a particular applicant, such as—

(1) Proof of completion of an accredited alcohol or drug abuse rehabilitation program;

(2) Active membership in a rehabilitation or counseling group, such as Alcoholics Anonymous or Narcotics Anonymous;

(3) Character references from persons who can attest to the applicant's sobriety, reliability, and suitability for employment in the merchant marine, including parole or probation officers;

(4) Steady employment; and

(5) Successful completion of all conditions of parole or probation.

[USCG-2004-17914, 78 FR 77889, Dec. 24, 2013]

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### § 10.214 Security Check.

Until April 15, 2009, the Coast Guard may conduct a security check on an applicant for an MMC, utilizing the criminal record review discussed in § 10.211 of this part.

### § 10.217 Merchant mariner credential application and examination locations.

(a) Applicants for an MMC may apply to any of the Regional Examination Centers (RECs) or any other location designated by the Coast Guard. Applicants may contact the National Maritime Center at 100 Forbes Drive, Martinsburg, WV 25404, by telephone 1-888-427-5662 or 304-433-3400, or by email at [IASKNMC@uscg.mil](mailto:IASKNMC@uscg.mil). A list of locations approved for application submittal is available through the Coast Guard Web site at <http://www.uscg.mil/nmc>.

(b) *Exam Locations.* (1) Coast Guard units abroad may conduct exams for ratings at locations other than the RECs, but are not prepared to conduct practical examinations.

(2) The Coast Guard may designate additional exam facilities/locations to provide services to applicants for MMCs.

[USCG-2004-17914, 78 FR 77890, Dec. 24, 2013]

### § 10.219 Fees.

(a) Use table 1 to § 10.219(a) to calculate the mandatory fees for MMCs and associated endorsements.

TABLE 1 TO § 10.219(a)—FEES

If you apply for	And you need		
	Evaluation then the fee is . . .	Examination then the fee is . . .	Issuance then the fee is . . .
MMC with officer endorsement:			
Original:			
Upper level <sup>1</sup> .....	\$100	\$110	\$45
Lower level <sup>2</sup> .....	100	95	45
Renewal .....	50	45	45
Raise of grade .....	100	45	45
Modification or removal of limitation or scope .....	50	45	45
Radio officer endorsement:			
Original .....	50	45	45
Renewal .....	50	n/a	45
Staff officer endorsements:			
Original .....	90	n/a	45
Renewal .....	50	n/a	45
MMC with rating endorsement:			
Original endorsement for ratings other than qualified ratings	95	n/a	45
Original endorsement for qualified rating .....	95	140	45
Upgrade or raise of Grade .....	95	140	45
Renewal endorsement for ratings other than qualified ratings	50	n/a	45
Renewal endorsement for qualified rating .....	50	45	45

TABLE 1 TO § 10.219(a)—FEES—Continued

If you apply for	And you need		
	Evaluation then the fee is . . .	Examination then the fee is . . .	Issuance then the fee is . . .
Modification or removal of limitation or scope .....	50	45	45
STCW endorsement:			
Original .....	<sup>(4)</sup>	<sup>(4)</sup>	<sup>(4)</sup>
Renewal .....	<sup>(4)</sup>	<sup>(4)</sup>	<sup>(4)</sup>
Reissue, replacement, and duplicate .....	n/a	n/a	<sup>3</sup> 45

<sup>1</sup> Upper level means credentials authorizing service on vessels of any gross tons/unlimited tonnage or unlimited propulsion power.

<sup>2</sup> Lower level means credentials authorizing service on vessels of less than 1,600 GRT/3,000 GT.

<sup>3</sup> Duplicate for MMC lost as result of marine casualty—No Fee.

<sup>4</sup> No Fee.

(b) *Fee payment procedures.* Applicants may pay—

(1) All fees required by this section at the time the application is submitted; or

(2) A fee for each phase as follows:

(i) An evaluation fee when the application is submitted.

(ii) An examination fee before the first examination section is taken.

(iii) An issuance fee before issuance of the MMC.

(c) If the examination is administered at a place other than a Regional Examination Center (REC), the examination fee must be paid to the REC at least one week before the scheduled examination date.

(d) Unless the Coast Guard provides additional payment options, fees must be paid as follows:

(1) Fee payments must be for the exact amount.

(2) Fee payments may be made by electronic payment in a manner specified by the Coast Guard. For information regarding current forms of electronic payment, go to the National Maritime Center's (NMC) Web site, [www.uscg.mil/nmc](http://www.uscg.mil/nmc). To assist with the automation of mariner credential applications, applicants are encouraged to pay the fees electronically.

(3) Payments may be made by cash, check, money order, or credit card.

(4) Payments submitted by mail may not be made in cash. Mailed payments should specify the type of credential sought and the type of fee (e.g., evaluation, examination, issuance) being paid. The address for sending payment by mail can be found at the NMC Web site, [www.uscg.mil/nmc](http://www.uscg.mil/nmc).

(5) Checks or money orders must be made payable to the U.S. Coast Guard, and the full legal name and last four digits of applicant's social security number must appear on the front of each check or money order.

(e) Unless otherwise specified in this part, when two or more endorsements are processed on the same application the fees will be as follows:

(1) *Evaluation fees.* If an applicant simultaneously applies for a rating endorsement and a deck or engineer officer's endorsement, only the evaluation fee for the officer's endorsement will be charged. If an applicant simultaneously applies for a staff officer or radio officer endorsement along with the deck or engineer officer endorsement, only the evaluation fee for the deck or engineer officer's endorsement will be charged. No evaluation fee is charged for an STCW endorsement.

(2) *Examination fees.* One examination fee will be charged for each exam or series of exams for an original, raise of grade, or renewal of an endorsement on an MMC taken within 1 year from the date of the application approval. An examination fee will also be charged to process an open-book exercise used to renew an MMC. If an officer endorsement examination under part 11 of this chapter also fulfills the examination requirements in part 12 of this chapter for rating endorsements, only the fee for the officer endorsement examination is charged.

(3) *Issuance fees.* Only one issuance fee will be charged for each MMC issued, regardless of the number of endorsements placed on the credential. There is no fee for a Document of Continuity.

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(f) The Coast Guard may assess additional charges to anyone to recover collection and enforcement costs associated with delinquent payments or failure to pay a fee. The Coast Guard will not provide credentialing services to a mariner who owes money for credentialing services previously provided.

(g) Anyone who fails to pay a fee or charge established under this section is liable to the United States Government for a civil penalty of not more than \$6,500 for each violation.

(h) *No-fee MMC for certain applicants.* For the purpose of this section, a no-fee MMC applicant is a person who is a volunteer or a part- or full-time employee of an organization that is—

- (1) Charitable in nature;
- (2) Not for profit; and
- (3) Youth oriented.

(i) *Determination of eligibility.* (1) An organization may submit a written request to U.S. Coast Guard National Maritime Center, 100 Forbes Drive, Martinsburg, WV 25404, in order to be considered an eligible organization under the criteria set forth in paragraph (h) of this section. With the written request, the organization must provide evidence of its status as a youth-oriented, not-for-profit, charitable organization.

(2) The following organizations are accepted by the Coast Guard as meeting the requirements of paragraph (h) of this section and need not submit evidence of their status: Boy Scouts of America, Sea Explorer Association, Girl Scouts of the United States of America, and Young Men's Christian Association of the United States of America.

(j) A letter from an organization determined eligible under paragraph (h) of this section must also accompany the person's MMC application to the Coast Guard. The letter must state that the purpose of the person's application is solely to further the conduct of the organization's maritime activities. The applicant will then be eligible under this section to obtain a no-fee MMC if other requirements for the MMC are met.

(k) An MMC issued to a person under paragraph (h) of this section will be endorsed restricting its use to vessels

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owned or operated by the sponsoring organization.

(l) The holder of a no-fee MMC issued under paragraph (h) of this section may have the restriction removed by paying the appropriate evaluation, examination, and issuance fees that would have otherwise applied.

[USCG–2004–17914, 78 FR 77890, Dec. 24, 2013]

### § 10.221 Citizenship.

(a)(1) *MMCs with officer Endorsements.* Only individuals with valid U.S. citizenship may apply for officer endorsements, except individuals applying for endorsements as operators of uninspected passenger vessels authorizing service on undocumented vessels in accordance with § 11.201(d) of this subchapter.

(2) *All other MMCs.* All other applicants, except as noted in § 12.809 of this subchapter, must be either:

- (i) A citizen of the United States;
- (ii) An alien, as defined under section 101(a)(3) of the Immigration and Nationality Act (8 U.S.C. 1101 *et seq.*) (the Act), who is lawfully admitted to the United States for permanent residence, as defined by section 101(a)(20) of the Act.; or
- (iii) A foreign national who is enrolled in the United States Merchant Marine Academy (USMMA).

(b) Proof of citizenship or alien status must be submitted to the Transportation Security Administration (TSA) with the applicant's TWIC application in accordance with 49 CFR 1572.17(a)(11).

(c) TSA and the Coast Guard may reject any evidence of citizenship that is not believed to be authentic. Acceptable evidence of citizenship may be an original or a copy certified as true by the agency responsible for issuing the document of the following:

(1) If the individual is applying for an officer endorsement (with the exception of those applying for an MMC endorsed only as Operator of an Uninspected Passenger Vehicle (OUPV) of an undocumented vessel), the individual must provide an original of any one of the following documents:

- (i) Certified copy of a birth certificate, issued by a State, county, municipality or outlying possession of the U.S. bearing an official seal;

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(ii) U.S. passport (expired or unexpired);

(iii) Certificate of Citizenship issued by U.S. Citizenship and Immigration Services or the Immigration and Naturalization Service;

(iv) Certificate of Naturalization issued by U.S. Citizenship and Immigration Services or the Immigration and Naturalization Service; or

(v) Merchant mariner's document issued by the Coast Guard after February 3, 2003, that shows that the holder is a citizen of the United States.

(2) If the individual is applying for a rating endorsement and they hold one of the documents listed in paragraph (c)(1)(i) through (v) of this section, these documents are also acceptable as evidence of citizenship. If the individual does not hold any one of those documents listed in paragraph (c)(1)(i) through (v), the individual must provide an original unexpired foreign passport and an original of any one of the following documents:

(i) Permanent resident card (form I-551) issued by U.S. Citizenship and Immigration Services bearing the certification that the alien was admitted to the United States as an immigrant,

(ii) A declaration of intention to become a citizen of the United States issued by a naturalization court; or

(iii) A certificate issued by the consular representative of the country of which the alien is a citizen or subject.

(3) If the individual is the holder of or applying for a rating endorsement and the individual does not hold any of the documents listed in paragraphs (c)(1) or (2) of this section, proof of enrollment in the United States Merchant Marine Academy (USMMA) in the form of an original letter from the USMMA, signed by the Superintendent attesting to the individual's enrollment along with an unexpired foreign passport issued by the government of the country in which the alien is a citizen or subject, with a valid U.S. visa affixed to the passport, will be acceptable evidence of lawful status in the United States.

(4) If the individual is applying for an MMC endorsed only as OUPV of an undocumented vessel, the individual must provide an original of any one of the documents enumerated in paragraphs

(c)(1)(i) through (v) or (c)(2)(i) or (ii) of this section, or proof of acceptable alien status as provided in 49 CFR 1572.105.

[USCG-2006-24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG-2004-17914, 78 FR 77892, Dec. 24, 2013; USCG-2018-0874, 84 FR 30881, June 28, 2019]

### § 10.223 Modification or removal of limitations or scope.

(a) If the Coast Guard is satisfied by the documentary evidence submitted that an applicant is entitled by experience, training, and knowledge to an endorsement or increase in the scope of any MMC held, any limitations that were previously placed upon the MMC by the Coast Guard may be changed or removed. Such an increase in scope may include a change in horsepower or tonnage limitations, or geographic route restrictions.

(b) Modifications or removal of limitations or scope to MMC endorsement(s) under this section will not change the expiration date of the mariner's MMC unless the applicant renews all endorsements that would appear on the MMC under § 10.227 of this part.

(c) A complete application for modification or removal of limitation of scope must contain the following:

(1) A completed signed application;

(2) Proof that the mariner either holds a valid TWIC or has applied for a TWIC.

(3) All supplementary materials required to show that the mariner meets the mandatory requirements for the transaction sought:

(i) The mandatory requirements for officer endorsements are contained in part 11 of this subchapter.

(ii) The mandatory requirements for rating endorsements are contained in part 12 of this subchapter.

(iii) The mandatory requirements for tankerman rating endorsements are contained in part 13 of this subchapter.

(iv) The mandatory requirements for STCW endorsements are contained in parts 11, 12, and 13 of this subchapter.

(4) The appropriate fee as set forth in § 10.219 of this part; and

(5) Any uncanceled MMD, MMC, license, STCW endorsement, or COR held by the applicant. If one or more of these credentials are still valid at the

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time of application, a photocopy, front and back of all pages, and all attachments, will satisfy this requirement. If the applicant submits a photocopy, upon the issuance of the new MMC, the applicant must surrender the old, original credential to the Coast Guard. If requested in writing at the time of submission, the old MMD, MMC, license, COR, or STCW endorsement may be returned to the applicant after cancellation.

(d) No limitation on any endorsement may be changed before the applicant has made up any deficiency in the experience prescribed for the endorsement or endorsement desired and passed any necessary examination.

[USCG–2006–24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG–2004–17914, 78 FR 77892, Dec. 24, 2013]

### § 10.225 Requirements for original merchant mariner credentials.

(a) An applicant must apply as an original if the MMC sought is—

(1) The first credential issued to the applicant;

(2) The first credential issued to applicants after their previous credential has expired beyond the grace period and they do not hold a Document of Continuity under § 10.227(g) of this part or an equivalent unexpired continuity endorsement on their license or MMD; or

(3) The first credential issued to applicants after their previous credential was revoked pursuant to § 10.235 of this part.

(b) A complete application for an original MMC must contain the following, except as otherwise noted in § 10.227(i) of this subpart:

(1) A completed, signed application.

(2) Proof that the mariner either holds a valid TWIC or has applied for a TWIC.

(3) All supplementary materials required to show that the mariner meets the mandatory requirements for all endorsements sought as follows:

(i) The mandatory requirements for officer endorsements are contained in part 11 of this subchapter.

(ii) The mandatory requirements for rating endorsements are contained in part 12 of this subchapter.

(iii) The mandatory requirements for tanker rating endorsements are contained in part 13 of this subchapter.

(iv) The mandatory requirements for STCW endorsements are contained in parts 11, 12, and 13 of this subchapter.

(4) The appropriate fee as set forth in § 10.219 of this part.

(5) Evidence of having passed a chemical test for dangerous drugs or of qualifying for an exemption from testing in § 16.220 of this subchapter.

(6) Where sea service is required, documentary evidence in accordance with § 10.232 of this part.

(7) Proof, documented on CG–719–K or CG–719–K/E, as appropriate, that the applicant passed all applicable vision, hearing, medical, and/or physical exams as required by subpart C of this part or a valid medical certificate issued by the Coast Guard.

(8) Consent to a Coast Guard check of the NDR for offenses described in section 205(a)(3)(A) or (B) of the National Driver Register Act of 1982, as amended.

(9) The oath as required in paragraph (c) of this section.

(c) *Oath.* Every person who receives an original MMC must first take an oath, before an official authorized to give such an oath, that he or she will faithfully and honestly, according to his or her best skill and judgment, without concealment or reservation, perform all the duties required by law and obey all lawful orders of superior officers. An oath may be administered by any Coast Guard-designated individual or any person legally permitted to administer oaths in the jurisdiction where the person taking the oath resides. An oath administered at a location other than the Coast Guard must be verified in writing by the administering official and submitted to the same Regional Examination Center (REC) where the applicant applied for his or her MMC. This oath remains binding for any subsequently issued MMC and endorsements added to the MMC, unless specifically renounced in writing.

[USCG–2004–17914, 78 FR 77892, Dec. 24, 2013]

**§ 10.227 Requirements for renewal.**

(a) Except as provided in paragraph (g) of this section, an applicant for renewal of a credential must establish possession of all of the necessary qualifications before the MMC will be renewed.

(b) A credential may be renewed at any time during its validity and for 1 year after expiration.

(c) No credential will be renewed if it has been suspended without probation or revoked as a result of action under part 5 of this chapter or if facts that would render a renewal improper have come to the attention of the Coast Guard.

(d) Except as provided in paragraph (g) of this section, a complete application for renewal must contain the following:

(1) A completed, signed application.

(2) Proof that the mariner either holds a valid TWIC or has applied for a TWIC.

(3) The appropriate fee as set forth in § 10.219 of this part.

(4) Any uncanceled MMD, MMC, license, STCW endorsement, Certificate of Registry (COR), or Document of Continuity held by the applicant. If one or more of these credentials are still valid at the time of application, a photocopy—front, back, and all attachments—will satisfy this requirement.

(5) Evidence of having passed a chemical test for dangerous drugs or of qualifying for an exemption from testing in § 16.220 of this subchapter.

(6) Applicants seeking a national endorsement must either hold an unexpired medical certificate or submit a medical certificate application.

(7) Consent to a Coast Guard check of the NDR for offenses described in section 205(a)(3)(A) or (B) of the National Driver Register Act of 1982, as amended.

(e) Except as provided in paragraph (e)(8) of this section and 46 CFR 13.120, the applicant must meet the following professional requirements for renewal:

(1) The applicant must either—

(i) Present evidence of at least 1 year of sea service during the past 5 years;

(ii) Pass a comprehensive, open-book exercise covering the general subject matter contained in appropriate sections of subpart (I) of this part;

(iii) Complete an approved refresher training course;

(iv) Provide evidence of employment as a qualified instructor or in a position closely related to the operation, construction, or repair of vessels (either deck or engineer as appropriate) for at least 3 years during the past 5 years. An applicant for a deck license or officer endorsement with this type of employment must also demonstrate knowledge on an applicable Rules of the Road open-book exercise; or

(v) Provide evidence of being a qualified instructor who has taught a Coast Guard-approved or -accepted course relevant to the endorsement or credential being applied for, at least twice within the past 5 years, therefore meeting the standards needed to receive a course completion certificate for that course.

(2) The qualification requirements for renewal of radar observer endorsement as contained in § 11.480 of this subchapter.

(3) Additional qualification requirements for renewal of an officer endorsement as first-class pilot as contained in § 11.713 of this subchapter.

(4) An applicant for renewal of a radio officer's endorsement must, in addition to meeting the requirements of this section, present a copy of a currently valid license as first- or second-class radiotelegraph operator issued by the Federal Communications Commission.

(5) An applicant for renewal of an endorsement as medical doctor or professional nurse must, in addition to meeting the requirements of this section, present evidence that he or she holds a currently valid, appropriate license as physician, surgeon, or registered nurse issued under the authority of a State or territory of the United States, the Commonwealth of Puerto Rico, or the District of Columbia. Any such renewal will retain the limitations placed upon the medical license by the issuing body. There are no professional requirements for renewal of an endorsement as marine physician assistant or hospital corpsman.

(6) An applicant for renewal of an endorsement as master or mate (pilot) of towing vessels, in addition to the other

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requirements in this paragraph, must also submit satisfactory evidence of—

(i) Having completed a practical demonstration of maneuvering and handling a towing vessel to the satisfaction of a designated examiner; or

(ii) Ongoing participation in training and drills during the validity of the license or MMC being renewed.

(7) An applicant seeking to renew a tankerman endorsement must meet the additional requirements listed in § 13.120 of this subchapter.

(8) There are no professional requirements for renewal for the following endorsements:

- (i) Staff officers (all types).
- (ii) Ordinary seaman.
- (iii) Wiper.
- (iv) Steward's department.
- (v) Steward's department (F.H.).
- (vi) Cadet.
- (vii) Student observer.
- (viii) Apprentice engineer.
- (ix) Apprentice mate (issued under part 12 of this subchapter).
- (x) Person in charge of medical care.
- (xi) Medical first-aid provider.
- (xii) GMDSS at-sea maintainer.
- (xiii) GMDSS operator.

(f) Except as otherwise provided, each candidate for a renewal of an STCW endorsement must meet the applicable requirements of part 11, subpart C, and/or part 12, subpart F.

(g) *Document of Continuity.* (1) Applicants for renewal of national endorsements, who are unwilling or otherwise unable to meet the requirements of paragraph (d) of this section, including but not limited to the medical and physical standards of subpart C of this part, suitability standards of § 10.211 of this part, drug tests, professional requirements, and TWIC, may apply for a Document of Continuity issued by the Coast Guard. Documents of Continuity do not expire and are issued solely to maintain an individual's eligibility for renewal. A Document of Continuity does not entitle an individual to serve as a merchant mariner. A holder of a Document of Continuity may obtain a properly endorsed, valid MMC at any time by satisfying the requirements for renewal as provided in paragraphs (d), (e), or (f) of this section as applicable. When a valid MMC is issued to replace a previously held Document of Con-

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tinuity, the previously issued Document of Continuity becomes void.

(2) Applications for a Document of Continuity must include the following:

(i) The endorsements to be placed into continuity.

(ii) An application including a signed statement from the applicant attesting to an awareness of the limited purpose of the Document of Continuity, his or her inability to serve, and the requirements to obtain an MMC.

(3) If not all MMC endorsements are to be converted into a Document of Continuity, a new MMC will be issued with the active endorsements. Once the new MMC and/or Document of Continuity is issued the previous MMC is no longer valid and must be returned to the Coast Guard.

(4) STCW endorsements may not be placed in continuity. If an individual continues to maintain a valid MMC while placing specific national endorsements into continuity, those STCW endorsements associated with the national endorsements that were placed in continuity are no longer valid.

(5) No credential expired beyond the 12-month administrative grace period in paragraph (h) of this section can be converted into a Document of Continuity.

(6) A holder of a Document of Continuity may obtain a properly endorsed, valid MMC, including STCW endorsements, at any time by satisfying the requirements for renewal as provided in paragraphs (d) and (f) of this section.

(h) *Administrative grace period.* A credential may be renewed up to 12 months after expiration. For a credential to be re-issued by the Coast Guard more than 12 months after its expiration, an applicant must comply with the requirements of paragraph (i) of this section. When an applicant's credential expires during a time of service with the Armed Forces and there is no reasonable opportunity for renewal, including by mail, this period may be extended. The period of military service following the date of expiration which precluded renewal may be added to the 12-month grace period. The 12-month grace period and any extensions do not affect the expiration date of the credential. A license, MMD, COR, STCW

endorsement, MMC, and any endorsements thereon, are not valid for use after the expiration date.

(i) *Re-issuance of expired credentials.*

(1) If an applicant applies for re-issuance of an endorsement as deck officer, engineer officer, or qualified rating more than 12 months after its expiration, instead of the requirements of paragraph (e) of this section, the applicant must demonstrate continued professional knowledge by completing a course approved for this purpose, or by passing the complete examination for original issue of the endorsement. The examination may be oral-assisted if the expired credential was awarded based on the results of an oral exam. The fees set forth in § 10.219 of this part apply to these examinations. In the case of an expired radio officer's endorsement, the endorsement may be issued upon presentation of a valid first- or second-class radiotelegraph operator license issued by the Federal Communications Commission.

(2) An endorsement for chief purser, purser, senior assistant purser, junior assistant purser, hospital corpsman, marine physician assistant, medical doctor, or professional nurse that has been expired for more than 12 months must be renewed in the same way as a current endorsement of that type. There are no additional requirements for re-issuing endorsements for chief purser, purser, senior assistant purser, junior assistant purser, hospital corpsman, marine physician assistant, medical doctor, or professional nurse that have been expired for more than 12 months.

(3) Applicants applying for re-issuance of an endorsement as master or mate (pilot) of towing vessels more than 12 months after expiration of the previous endorsement must complete the practical demonstration of maneuvering and handling a towing vessel required under (e)(6)(i) of this section.

(4) Applicants applying for re-issuance of an endorsement as any tankerman rating more than 12 months after expiration of the previous endorsement must meet the requirements in § 13.117 of this subchapter.

[USCG-2004-17914, 78 FR 77892, Dec. 24, 2013]

#### **§ 10.229 Replacement of lost merchant mariner credentials.**

(a) Upon request and without examination, a mariner may be issued a duplicate credential and medical certificate after submitting an application with an affidavit describing the circumstances of the loss. The Coast Guard will only issue the duplicate credential, MMC and/or medical certificate, after confirming the validity of the mariner's credentials and the validity of the mariner's TWIC.

(b) The duplicate credential will have the same authority, wording, and expiration date as the lost credential.

(c) If a person loses a credential by shipwreck or other casualty, a duplicate credential will be issued free of charge. The term "other casualty" includes any damage to a ship caused by collision, explosion, tornado, wreck, flooding, beaching, grounding, or fire; or personal loss associated with a federally declared natural disaster.

(d) If a person loses a credential by means other than those noted in paragraph (c) of this section and applies for a duplicate, the appropriate fee set out in § 10.219 of this part must be paid.

(e) No application from an alien for a duplicate credential will be accepted unless the alien complies with the requirements of § 10.221 of this part.

(f) Applications for duplicate credentials will not be subject to a criminal record review.

[USCG-2006-24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG-2004-17914, 78 FR 77894, Dec. 24, 2013; USCG-2018-0874, 84 FR 30881, June 28, 2019]

#### **§ 10.231 Requirements for raises of grade or new endorsements.**

(a) This section applies to applicants who already hold a valid credential and want to make either of the following transactions:

(1) Add a new endorsement.

(2) Obtain a raise of grade of an existing endorsement.

(b) If an applicant for new endorsement or raise of grade meets the renewal requirements under § 10.227 of this subpart for every endorsement

listed on the MMC and requests renewal, the applicant will receive a credential valid for 5 years. When an applicant does not meet the renewal requirements for every endorsement held, the applicant's new endorsement will be issued with the expiration date that is the same as the current MMC.

(c) A complete application for a new endorsement or raise of grade must contain the following:

(1) A completed, signed application.  
 (2) Proof that the mariner either holds a valid TWIC or has applied for a TWIC.

(3) All supplementary materials required to show that the mariner meets the mandatory requirements for the new endorsements sought as follows:

(i) The mandatory requirements for officer endorsements as contained in part 11 of this subchapter and paragraph (d) of this section.

(ii) The mandatory requirements for rating endorsements as contained in part 12 of this subchapter.

(iii) The mandatory requirements for tankerman rating endorsements are contained in part 13 of this subchapter.

(iv) The mandatory requirements for STCW endorsements as contained in parts 11, 12, and 13 of this subchapter.

(4) The appropriate fee as contained in § 10.219 of this part.

(5) Any uncanceled MMD, MMC, license, STCW endorsement, or COR held by the applicant. If one or more of these credentials are still valid at the time of application, a photocopy—front, back, and all attachments—will satisfy this requirement.

(6) Applicants for the following endorsements must produce evidence of having passed a chemical test for dangerous drugs or of qualifying for an exemption from testing in § 16.220 of this subchapter:

(i) Any officer endorsement.  
 (ii) The first endorsement as able seaman, lifeboatman, lifeboatman-limited, qualified member of the engine department, or tankerman.

(7) Where sea service is required, documentary evidence in accordance with § 10.232 of this part.

(8) Applicants seeking a new endorsement must either hold an unexpired medical certificate or submit a medical certificate application.

(9) Consent to a Coast Guard check for offenses described in section 205(a)(3)(A) or (B) of the National Driver Register Act of 1982, as amended.

(d) Additional requirements for an applicant seeking a raise of grade of an officer endorsement are as follows:

(1) Sea service acquired before the issuance of an officer endorsement is generally not accepted as any part of the service required for a raise of grade of that endorsement. However, service acquired before issuance of an officer endorsement will be accepted for certain crossovers, endorsements, or increases in scope of an MMC, as appropriate. In the limited tonnage categories for deck officers, total accumulated service is a necessary criterion for most raises of grade; therefore, service acquired before the issuance of such officer endorsements will be accepted.

(2) An applicant remains eligible for a raise of grade while on probation as a result of action under part 5 of this chapter. A raise of grade issued to a person on probation will be subject to the same probationary conditions imposed against his or her other credentials. The offense for which he or she was placed on probation will be considered on the merits of the case in determining fitness to hold the endorsement applied for. No applicant will be examined for a raise of grade during any period when a suspension without probation or a revocation imposed under part 5 of this chapter is effective against his or her credential or while an appeal from these actions is pending.

(3) *Professional examination.* (i) When the Coast Guard finds an applicant's experience and training for raise of grade is satisfactory, and the applicant is eligible in all other respects, the Coast Guard will authorize a professional examination.

(ii) Oral-assisted examinations may be administered in accordance with § 11.201(j) of this subchapter.

(iii) The general instructions for administration of examinations and the lists of subjects for all endorsements are found in part 11, subpart I; part 12, subpart E; and part 13, subpart A of this subchapter.

[USCG–2004–17914, 78 FR 77894, Dec. 24, 2013]

**§ 10.232 Sea service.**

(a) *Documenting sea service.* (1) Sea service may be documented in various forms such as certificates of discharge, pilotage service and billing forms, and service letters or other official documents from marine companies signed by the owner, operator, master, or chief engineer of the vessel. The Coast Guard must be satisfied as to the authenticity and acceptability of all evidence of experience or training presented.

(2) Documentary evidence produced by the applicant, unless in the form of a Certificate of Discharge conforming to § 14.307 of this subchapter, must contain all of the following information:

(i) Vessel name(s) and official numbers listed on the registration, certificate, or document issued.

(ii) Gross tonnage of the vessel.

(iii) Propulsion power and mode of propulsion of the vessel.

(iv) The amount and nature (e.g. chief mate, assistant engineer, etc.) of the applicant's experience.

(v) Applicable dates of service for each vessel, and the ports or terminals if applicable.

(vi) The routes upon which the experience was acquired.

(vii) For those seeking to renew a radar observer endorsement, whether the vessel is equipped with radar and if the mariner served in a position that routinely uses radar for navigation and collision avoidance purposes.

(viii) For those seeking service credit on towing vessels in accordance with § 11.211(e) of this subchapter, the aggregate tonnage of the tug and barges during the mariner's service.

(ix) Any other information necessary to determine the applicability of STCW to the vessel.

(x) Whether the vessel is manned and equipped in accordance with SOLAS.

(xi) Where required for an officer endorsement, time served as bridge watchkeeping or engine watchkeeping duties under the supervision of a qualified officer.

(3) An MMC endorsement, in certain cases, may be considered as satisfactory evidence of any qualifying experience for obtaining other endorsements.

(4) For service on vessels of less than 200 GRT, owners of vessels may attest

to their own service and provide proof of ownership. Those who do not own a vessel must obtain letters or other evidence from licensed personnel or the owners of the vessels listed.

(5) If the required sea service is associated with watchkeeping functions and the performance of duties, as required in §§ 11.323, 11.329, and 11.333, the service must be documented as having been carried out under the direct supervision of the appropriate person. If the required sea service is associated with the performance of duties, as required in §§ 11.470, 11.472, and 11.474, the service must be documented as having been carried out under the supervision of the appropriate person.

(6) An applicant who has been acting as a pilot may submit a letter from a pilot's association attesting to the applicant's sea service. For those pilots seeking to renew a radar observer endorsement, the association's letter should indicate that the vessels piloted were equipped with radar, and that radar was used by the pilot for navigation and collision avoidance purposes. Pilots not part of an association may submit other relevant records indicating service, such as billing forms. For a raise-of-grade, pilots must comply with the requirements of paragraph (a)(2) of this section.

(b) Service toward an oceans, near-coastal, or STCW endorsement will be credited as follows:

(1) Service on the Great Lakes will be credited on a day-for-day basis up to 100 percent of the total required service.

(2) Service on inland waters, other than Great Lakes, that are navigable waters of the United States, will be credited on a day-for-day basis for up to 50 percent of the total required service.

(3) Service on vessels to which STCW applies, whether inland or coastwise, will be credited on a day-for-day basis. For establishing credit for sea service, the waters of the Inside Passage between Puget Sound and Cape Spencer, Alaska will be credited for a near-coastal and STCW endorsement.

(c) Service toward a near-coastal or a Great Lakes endorsement will be credited on a day-for-day basis and in accordance with the individual requirements for the specific credential.

(d) *Sea service as a member of the Armed Forces of the United States and civilian service on vessels owned by the United States as required experience.* (1) Sea service as a member of the Armed Forces of the United States will be accepted as required experience for an original, raise of grade, renewal, or increase in scope of all endorsements. In most cases, military sea service will have been performed upon ocean waters; however, inland service, as may be the case on smaller vessels, will be credited in the same manner as conventional evaluations. The applicant must submit an official transcript of sea service or history of assignments as verification of the service claimed when the application is submitted. A DD-214 is not acceptable evidence of sea service. The applicant must also provide the Coast Guard with other necessary information as to tonnage, routes, propulsion power, percentage of time underway, and assigned duties upon the vessels on which he or she served. Such service will be evaluated by the Coast Guard for a determination of its equivalence to sea service acquired on merchant vessels and the appropriate grade, class, and limit of endorsement for which the applicant is eligible. Normally, 60 percent of the total time onboard is considered equivalent underway service; however, the periods of operation of each vessel may be evaluated separately. In order to be eligible for a master's or chief engineer's unlimited endorsement, the applicant must have acquired military service in the capacity of commanding officer or engineer officer, respectively.

(2) Applicants for management-level, operational-level or support-level STCW endorsements must demonstrate competence in accordance with part 11, subpart C; part 12, subpart F; and part 13, subpart F of this subchapter.

(3) Service in deck ratings on military vessels such as seaman apprentice, seaman, boatswain's mate, quartermaster, or Radarman/Operations Specialist are considered deck service for the purposes of this part. Service in

other ratings may be considered if the applicant establishes that his or her duties required a watchstanding presence on or about the bridge of a vessel. Service in engineer ratings on military vessels such as fireman apprentice, fireman, engineman, machinists mate, machinery technician, or boiler tender are considered engineer service for the purposes of this part. There are also other ratings such as electrician, hull technician, or damage controlman, which may be credited when the applicant establishes that his or her duties required watchstanding duties in an operating engine room.

(4) In addition to service on vessels that get underway regularly, members of the Armed Forces may obtain creditable service for assignment to vessels that get underway infrequently, such as tenders and repair vessels. Normally, a 25-percent factor is applied to these time periods. This experience can be equated with general shipboard familiarity, training, ship's business, and other related duties.

(5) Sea service obtained on submarines is creditable, as if it were surface vessel service, for deck and engineer officer and qualified ratings endorsements under the provision of paragraph (a) of this section. For application for deck officer and qualified ratings endorsements, submarine service may be creditable if at least 25 percent of all service submitted for the endorsement was obtained on surface vessels (e.g. if 4 years' total service were submitted for an original officer endorsement, at least 1 year must have been obtained on surface craft in order for the submarine service to be eligible for evaluation).

(6) Service gained in a civilian capacity as commanding officer, master, mate, engineer, or pilot, etc., of any vessel owned and operated by the United States, in any service in which a license or officer endorsement as master, mate, engineer, or pilot was not required at the time of such service, will be evaluated by the Coast Guard for a determination of equivalence.

(e) *Sea service on vessels that do not get underway.* This requirement applies to service obtained on vessels mandated by the Certificate of Inspection (COI)

which are in operation but do not get underway or occasionally get underway for short voyages. Service while the vessel is not underway must be credited as follows:

(1) Engineering department. Service may be credited day-for-day for up to 50 percent of the service credit for renewal, raise of grade, and original issue for each day the engineering plant is operational.

(2) Deck department. Service may be credited as follows:

(i) Original issue and raise of grade. Service is creditable on a 3-for-1 basis (12 months of experience equals 4 months of creditable service) for up to 6 months of service credit.

(ii) Renewal. Service in any capacity in the deck department is creditable as closely related service under §10.227(e)(1)(iv). When submitted in combination with underway service, service is creditable on a 3-for-1 basis (12 months of experience equals 4 months of creditable service) for up to 6 months of service credit.

(f) *Foreign sea service.* (1) Experience and service acquired on foreign vessels is creditable for establishing eligibility for an original or renewal of an officer, rating, or STCW endorsement, subject to evaluation by the Coast Guard to determine that it is a fair and reasonable equivalent to service acquired on merchant vessels of the United States with respect to grade, tonnage, horsepower, waters, and operating conditions. This experience and service is also creditable to meet recency requirements.

(2) Experience and service acquired on foreign vessels while holding a valid U.S. endorsement is creditable for establishing eligibility for a raise of grade of an officer, rating, or STCW endorsement, subject to evaluation as specified in paragraph (d)(1) of this section. This experience and service is also creditable to meet recency requirements.

(3) An applicant who has obtained qualifying experience on foreign vessels must submit satisfactory documentary evidence of such service (including any necessary official translation to the English language) in accordance with paragraph (a)(1) and (a)(2) of this section.

(g) *Closely related service.* The Coast Guard may accept evidence of employment in a position closely related to the operation, construction, or repair of vessels (either deck or engineer as appropriate) as meeting the sea service requirements for renewal under §10.227(e)(1)(iv). Service as port engineer, port captain, shipyard superintendent, qualified instructor, or similar related service may be creditable for service for raise of grade of an engineer or deck officer endorsement; however, it may not be used for obtaining an original management-level endorsement. The service is creditable as follows:

(1) Port engineer, port captain or shipyard superintendent experience is creditable on a 3-for-1 basis for a raise of grade (e.g., 12 months of experience equals 4 months of creditable service). For a raise-of-grade, this credit is limited to 6 months of service.

(2) Service as a qualified instructor in a Coast Guard approved course or a training program is creditable on a 2-for-1 basis for a raise of grade (e.g., 12 months of experience equals 6 months of creditable service). For a raise-of-grade, this credit is limited to 6 months of service.

(h) *Day.* (1) Except as noted otherwise, for the purpose of calculating service in this subchapter, a day is equal to 8 hours of watchstanding or day-working not to include overtime.

(2) On vessels authorized by 46 U.S.C. 8104 and 46 CFR 15.705, to operate a two-watch system, a 12-hour working day may be creditable as 1½ days of service.

(3) On vessels of less than 100 GRT, a day is considered as 8 hours unless the Coast Guard determines that the vessel's operating schedule makes this criterion inappropriate; in no case will this period be less than 4 hours.

(4) When computing service on MODUs for any endorsement, a day of MODU service must be a minimum of 4 hours, and no additional credit is received for periods served over 8 hours.

(5) For cadet service on a training ship furnished by the Maritime Administration under 46 CFR 310.4, a day may be creditable as 1½ days of service.

(i) *Tonnage equivalency.* For the purpose of parts 10, 11 and 12, 200 GRT will

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be considered equivalent to 500 GT, and 1,600 GRT will be considered equivalent to 3,000 GT.

[USCG–2004–17914, 78 FR 77894, Dec. 24, 2013, as amended by USCG–2018–0100, 84 FR 26591, June 7, 2019; USCG–2018–0874, 84 FR 30881, June 28, 2019]

### § 10.233 Obligations of the holder of a merchant mariner credential.

(a) The holder of a credential may not voluntarily part with it or place it beyond his or her personal control by pledging or depositing it with any other person, except as required by regulation or as necessary to safeguard the credential. If the holder violates this section, the Coast Guard may pursue suspension or revocation of the license, MMD, COR, or MMC under the provisions of part 5 of this chapter.

(b) Whenever a mariner loses a credential, he or she must immediately report the loss to the Coast Guard. The report must be made in writing, giving the facts incident to its loss.

(c) Invalid credentials must be returned to the Coast Guard. Upon written request, the Coast Guard will return the cancelled credential to the mariner.

### § 10.235 Suspension or revocation of merchant mariner credentials.

(a) Any MMC or endorsement is subject to suspension or revocation on the same grounds, in the same manner, and with like procedure as provided in 46 U.S.C. chapter 77.

(b) When any individual's credential is revoked, it is no longer valid for any purpose, and any MMC subsequently requested must be applied for as an original following the procedures of §§ 5.901–5.905 of this subchapter. When an endorsement on an individual's MMC is revoked, it is no longer valid, and any endorsement of the same type subsequently requested must be applied for as an original following the procedures of §§ 5.901–5.905 of this subchapter. When an officer's endorsement is revoked, the Coast Guard will issue an MMC containing any rating endorsement for which the holder is qualified.

(c) An applicant who has had a TWIC, credential, or endorsement revoked, and who is applying for a subsequent MMC or endorsement, must state in his

or her application the date of revocation, the serial number of the document revoked, and the type of document or endorsement revoked.

(d) A person whose credential or endorsement has been revoked or suspended without probation may not be issued a replacement credential or endorsement without approval of the Commandant. If a mariner has multiple endorsements and one or more, but not all, of those endorsements are suspended or revoked, he or she will be issued, without payment of a fee, a replacement MMC reflecting those endorsements for which the mariner remains qualified.

(e) When a credential or endorsement that is about to expire has been suspended, without probation, the renewal of the credential or endorsement will be withheld until expiration of the suspension period.

(f) When applying for an original endorsement on an MMC, pursuant to paragraph (d) of this section, an individual's existing service and training may be considered by the Coast Guard when determining the grade of the endorsement to be issued.

(g) An applicant for renewal or return of a credential with endorsement as master or mate (pilot) of towing vessels whose most recent credential has been suspended or revoked by an administrative law judge for incompetence must complete the practical demonstration required under § 10.227(e)(6)(i) of this subpart.

(h) If the Coast Guard is advised by the Transportation Security Administration (TSA) that a mariner has either been denied a TWIC or their TWIC has been revoked, the Coast Guard may initiate suspension and revocation action against the mariner's MMC, license, MMD, and COR under 46 U.S.C. 7702 and 7703. During the subsequent suspension and revocation proceeding, the TSA decision to deny issuance of, or to revoke, a mariner's TWIC will not be subject to review, and the mariner's failure to hold a TWIC will be treated by the Coast Guard as proof that the mariner is not eligible for an MMC, license, MMD or COR.

(i) A mariner that has either been denied issuance of a TWIC or whose TWIC has been revoked for a reason, other

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than administrative reasons (e.g., being lost or stolen, not functioning, or having a misspelling) will be deemed ineligible for an MMC, license, MMD or COR.

[USCG–2006–24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG–2006–24371, 74 FR 39218, Aug. 6, 2009; USCG–2004–17914, 78 FR 77894, Dec. 24, 2013]

### § 10.237 Right of appeal.

(a) If the Coast Guard refuses to grant an applicant an MMC, medical certificate, or endorsement it will pro-

vide, a written statement listing the reason(s) for denial.

(b) Any person directly affected by a decision or action taken under this subchapter, by or on behalf of the Coast Guard, may appeal under the provisions of subpart 1.03 of part 1 of this chapter.

(c) The Coast Guard will not review decisions made by the Transportation Security Administration to suspend, revoke, or deny a mariner's TWIC.

[USCG–2006–24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG–2004–17914, 78 FR 77894, Dec. 24, 2013]

**§ 10.239 Quick reference table for MMC requirements.**

Table 1 to § 10.239 provides a guide to the requirements for officer endorsements. Provisions in the reference section are controlling.

**TABLE 1 TO § 10.239: QUICK REFERENCE TABLE FOR MMC REQUIREMENTS**  
[For tankerman endorsements, see table 1 to § 13.129.]

Endorsement category	Minimum age	Citizenship	Medical and physical exam	Experience	Recommendations and character check	Firefighting	Professional exam	Demonstration of professional ability	Recency of service	First aid and CPR
Master, mates	§ 11.201(e) ... Note: excep- tions.	U.S., § 10.221(a)(1) § 11.201(d).	§ 10.302(a) .....	46 CFR Part 11— Subpart D.	N/A. Note exceptions in § 11.201(g) for original national or STCW endorse- ments.	§ 11.201(h) .....	§ 11.201(i); § 11.903; § 11.910. Note: § 11.903(b)	N/A .....	original § 11.201 (c)(2); renewal § 10.227(e)	§ 11.201(i) Note: exceptions.
Operator of Uninspected Passenger Vessels (OUPV), § 11.201(i).	§ 11.201(e) ... Note: excep- tions here and in § 11.201(i).	§ 10.221(a)(1) ... § 11.201(d).	§ 10.302(a) .....	§ 11.467(c); (d); (e); (f); (g).	N/A. Note exceptions in § 11.201(g) for original national or STCW endorse- ments.	N/A .....	§§ 11.201(i); § 11.903; § 11.910.	N/A .....	original § 11.201 (c)(2); renewal § 10.227(e)	§§ 11.201(i); Note excep- tions.
STCW Deck Officer en- dorsements.	§ 11.201(e) ... Note: excep- tions.	U.S., § 10.221(a)(1) § 11.201(d).	§ 10.302(a) .....	46 CFR Part 11— Subpart C.	N/A. Note exceptions in § 11.201(g) for original national or STCW endorse- ments.	§ 11.303 Renewal: § 11.303(b) and (c)	N/A .....	Master § 11.305; 311, 315, 317; Chief Mate § 11.307; 313; OOW § 11.309; 11.318; 11.321; § 11.1105(a)(1); (2) ..	original § 11.201 (c)(2); renewal § 10.227(e).	§ 11.201(i).
Officer on a passenger ship when on an inter- national voy- age. Engineers (original).	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	§ 11.1105(c) .....	N/A.
	§ 11.201(e) ... Note: excep- tions.	U.S., § 10.221(a)(1) § 11.201(d).	10.302(a) .....	46 CFR Part 11— Subpart E.	N/A. Note exceptions in § 11.201(g) for original national or STCW endorse- ments.	§ 11.201(h) .....	§ 11.201(i); 11.903; § 11.950. Note: § 11.903(b)	N/A .....	original § 11.201 (c)(2); renewal § 10.227(e)	§ 11.201(i).
STCW Engi- neering Offi- cer endorse- ments.	§ 11.201(e) ... Note: excep- tions.	U.S., § 10.221(a)(1) § 11.201(d).	§ 10.302(a) .....	46 CFR Part 11— Subpart C.	N/A. Note exceptions in § 11.201(g) for original national or STCW endorse- ments.	§ 11.303 Renewal: § 11.303(b) and (c)	N/A .....	Chief § 11.325; § 11.331; 2nd engineer officer; § 11.327; § 11.333; OCEW/DDE § 11.329.	original § 11.201 (c)(2); renewal § 10.227(e)	§ 11.201(i).
National Des- ignated Duty Engineer (DDE).	§ 11.201(e) ... Note: excep- tions.	U.S., § 10.221(a)(1) § 11.201(d).	§ 10.302(a) .....	11.524(b) .....	N/A. Note exceptions in § 11.201(g) for original national or STCW endorse- ments.	§ 11.201(h)(1)(v)	§ 11.903 .....	N/A .....	original § 11.201 (c)(2); renewal § 10.227(e)	§ 11.201(i).
Electro-tech- nical officer.	§ 11.201(e) ... Note: excep- tions.	U.S., § 10.221(a)(1) § 11.201(d).	§ 10.302(a) .....	§ 11.335(a)(1) ... note exception in § 11.335(b) & § 11.33 5(c).	N/A. Note exceptions in § 11.201(g) for original national or STCW endorse- ments.	§ 11.335(a)(3)(i)	N/A .....	§ 11.335(a)(2), (3) ... note exception in § 11.335(b) & (c).	.....	§ 11.335(a)(3)(i).

Pilot	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a); \$ 11.709	\$ 11.703; \$ 11.705	N/A	\$ 11.707; \$ 11.903; \$ 11.910.	\$ 11.705	\$ 11.705(e), \$ 11.713.	\$ 11.201(i).
Towing vessels	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	46 CFR Part 11— Subpart D.	N/A: Note exceptions in \$ 11.201(g) for original national or STCW endorse- ments.	\$ 11.201(h)(1)(i) \$ 11.201(h)(2)(i) Note: exceptions	\$ 11.201(i); \$ 11.903; \$ 11.910.	original \$ 11.201 (c)(2), renewal \$ 10.227(e)	\$ 11.201(i).
Offshore Sup- ply Vessels.	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	Master \$ 11.493 Chief Mate \$ 11.495 Mate \$ 11.497 C/E \$ 11.553 Engineer \$ 11.555	N/A: Note exceptions in \$ 11.201(g) for original national or STCW endorse- ments.	\$ 11.201(h) Master \$ 11.493 Chief Mate \$ 11.495 Mate \$ 11.497 C/E \$ 11.553; \$ 11.903 Eng \$ 11.555; \$ 11.903.	Master \$ 11.493 Chief Mate \$ 11.495 Mate \$ 11.497 C/E \$ 11.553 Engineer \$ 11.555	original \$ 11.201 (c)(2) renewal \$ 10.227(e).	\$ 11.201(i).
MODU licenses	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	OWM, \$ 11.470 B.S., \$ 11.472 BCO, \$ 11.474 C/E, \$ 11.542 Asst. Eng., \$ 11.544	N/A: Note exceptions in \$ 11.201(g) for original national or STCW endorse- ments.	\$ 11.201(h); note exceptions.	N/A	original \$ 11.201 (c)(2), renewal \$ 10.227(e).	\$ 11.201(i).
Uninspected fishing indus- try vessels.	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	Deck: \$ 11.462(c); (d); Engine: \$ 11.530(c); (d); (e).	N/A: Note exceptions in \$ 11.201(g) for original national or STCW endorse- ments.	\$ 11.201(h) Note: exceptions	N/A	original \$ 11.201 (c)(2), renewal \$ 10.227(e).	\$ 11.201(i).
Radio officer	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	N/A	N/A: Note exceptions in \$ 11.201(g) for original national or STCW endorse- ments.	N/A	\$ 11.603	N/A	\$ 11.201(i).
GMDSS Oper- ator. Officer raises of grade.	N/A	N/A	N/A	N/A	N/A	N/A	11.604	N/A	N/A.
Officer renew- als.	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	\$ 10.231(c); Part 11, subparts D and E.	N/A	\$ 10.231(d); \$ 11.903; \$ 11.910; \$ 11.920; \$ 11.950.	Part 11, subparts D and E.	3 months in past 3 years, \$ 11.201 (c)(2).	N/A.
Staff officer	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	\$ 10.227(d) and (e) Note: exceptions	N/A	N/A	Towing officers, \$ 10.227(d) and (e).	1 year in past 5, \$ 10.227(e) and (f). Note: alternative, N/A	N/A.
Staff officer re- newals.	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	\$ 11.807	N/A: Note exceptions in \$ 11.201(g) for original national or STCW endorse- ments.	N/A	\$ 11.807	N/A	\$ 11.201(i).
	\$ 11.201(e) ... Note: excep- tions.	U.S., \$ 10.221(a)(1) \$ 11.201(d).	\$ 10.302(a)	N/A	N/A	N/A	N/A	N/A	N/A.

TABLE 1 TO § 10.239: QUICK REFERENCE TABLE FOR MMC REQUIREMENTS—Continued  
[For tankerman endorsements, see table 1 to § 13.129.]

Endorsement category	Minimum age	Citizenship	Medical and physical exam	Experience	Recommendations and character check	Firefighting	Professional exam	Demonstration of professional ability	Recency of service	First aid and CPR
Able seaman ..	§ 12.401(c)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	§ 10.302(a), § 12.401(c)(2).	§ 12.403 .....	N/A .....	N/A .....	§ 12.401(c)(5) .....	§ 12.401(c)(6) and § 12.405.	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative	N/A.
Able-seater deck.	§ 12.603(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	§ 10.302(a) .....	§ 12.603(a)(3) .....	N/A .....	N/A .....	N/A .....	§ 12.603(a)(2) and § 12.603(a)(4) and § 12.603(a)(5).	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative	§ 12.602(a).
Ratings for forming a navigational watch.	§ 12.605(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	§ 10.302(a) .....	§ 12.605(a)(2) .....	N/A .....	N/A .....	N/A .....	§ 12.605(a)(3) .....	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative	§ 12.602(a).
Qualified members of engine department.	§ 12.501(c)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	§ 10.302(a) .....	§ 12.503 .....	N/A .....	N/A .....	§ 12.505 .....	N/A .....	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative	N/A.
Able-seater engine.	§ 12.607(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	§ 10.302(a) .....	§ 12.607(a)(3) .....	N/A .....	N/A .....	N/A .....	§ 12.607(a)(2); (4) and § 12.607(b); (c).	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative	§ 12.602(a).
Ratings for forming an engineering watch.	§ 12.609(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	§ 10.302(a) .....	§ 12.609(a)(2) .....	N/A .....	N/A .....	N/A .....	§ 12.609(a)(3) .....	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative	§ 12.602(a).
Electro-technical rating.	§ 12.611(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	§ 10.302(a) .....	§ 12.611(a)(2) .....	N/A .....	N/A .....	N/A .....	§ 12.611(a)(3); § 12.611(b).	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative	§ 12.602(a).
Entry level ratings.	N/A .....	U.S. or alien admitted for permanent residence, § 12.803; § 12.809 ....	N/A; note exception in § 12.811(a)(2). Note: Food Handler (F.H.) requirements in Table (xiii) § 10.302(a)(xiv).	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	N/A.
Lifeboatman ...	N/A .....	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	§ 10.302(a) .....	§ 12.407(b)(1) .....	N/A .....	N/A .....	§ 12.407(b)(2); (4)	§ 12.407(b)(2); (3) ....	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative.	N/A.

Lifeboatman-Limited.	N/A	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	\$ 10.302(a)	\$ 12.409(b)(1)	N/A	N/A	N/A	\$ 12.409(b)(2); (4)	\$ 12.409(b)(2); (3)	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative. Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative. Renewal	N/A.
Proficiency in fast rescue boats.	\$ 12.617(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	N/A	N/A	N/A	N/A	N/A	N/A	\$ 12.617(a)(2); (3); (4).	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative. Renewal	\$ 12.602(a).
Proficiency in survival craft and rescue boats other than fast rescue boats.	\$ 12.613(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	N/A	\$ 12.613(a)(2)	N/A	N/A	N/A	N/A	\$ 12.613(a)(3)	\$ 12.617(b)(2). Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative. Renewal	\$ 12.602(a).
Proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats-limited.	\$ 12.615(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	N/A	\$ 12.615(a)(2)	N/A	N/A	N/A	N/A	\$ 12.615(a)(3)	\$ 12.613(b)(2). Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative. Renewal	\$ 12.602(a).
Assistance	N/A	N/A	N/A	\$ 11.482	N/A	N/A	N/A	\$ 11.482	\$ 11.482	original § 11.201(c)(2).	N/A.
Towing endorsement.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 11.480(d); (h)	N/A	N/A.
Radar Observer endorsement.	\$ 11.337(a)	U.S. or alien admitted for permanent residence, § 10.221(a)(1)	\$ 10.302(a)	\$ 11.337(a)	N/A	N/A	N/A	N/A	\$ 11.337(a)	original § 11.201(c)(2). renewal § 10.227(e).	\$ 11.201(i).
Vessel Security Officer.	N/A	U.S. § 10.221(a)(1)	N/A	\$ 11.821(b)(1) § 11.821(c).	N/A	N/A	N/A	N/A	\$ 11.821(b)(2)	Renewal: § 11.821(e).	N/A.
High Speed Craft.											
GMDSS at sea maintainer.	\$ 12.623(a)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 12.623(b)	N/A	N/A.
Medical first-aid provider.	N/A	N/A	N/A	\$ 12.619(b)	N/A	N/A	N/A	N/A	\$ 12.619(a)(1); (2)	N/A	\$ 12.619(a)(1).
Person in charge of medical care.	N/A	N/A	N/A	\$ 12.621(b)	N/A	N/A	N/A	N/A	\$ 12.621(a)(1); (2)	N/A	\$ 12.621(a)(1).
Vessel personnel with designated security duties.	\$ 12.625(a)(1)	U.S. or alien admitted for permanent residence, § 10.221(a)(2).	\$ 12.625(a)(2)	\$ 12.625(a)(1)	N/A	N/A	N/A	N/A	\$ 12.625(a)(1)	Renewal only, 1 year in past 5, § 10.227(e) and (f). Note: alternative.	N/A.

TABLE 1 TO § 10.239: QUICK REFERENCE TABLE FOR MMC REQUIREMENTS—Continued  
 [For tankerman endorsements, see table 1 to § 13.129.]

Endorsement category	Minimum age	Citizenship	Medical and physical exam	Experience	Recommendations and character check	Firefighting	Professional exam	Demonstration of professional ability	Recency of service	First aid and CPR
Security awareness.	§ 12.627(a)(1)	U.S. or alien admitted for permanent residence. § 10.221(a)(2). § 12.803	§ 12.627(a)(2) ...	§ 12.627(a)(1) .....	N/A .....	N/A .....	N/A .....	§ 12.627(a)(1) .....	Renewal only, 1 year in past 5 years. § 10.227(e) and (f). Note: alternative. Renewal § 12.905(d).	N/A.
Ratings serving on passenger ships on international voyages.	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	N/A .....	§ 12.905(a); (b) .....		N/A.

[USCG-2004-17914, 78 FR 77896, Dec. 24, 2013, as amended by USCG-2019-0874, 84 FR 30881, June 28, 2019]

**Subpart C—Medical Certification**

SOURCE: USCG–2004–17914, 78 FR 77900, Dec. 24, 2013, unless otherwise noted.

**§ 10.301 General requirements.**

(a) The Coast Guard will issue a medical certificate to a mariner meeting the medical and physical standards for merchant mariners. The medical certificate will be issued for various periods of time based upon the endorsements the mariner holds. The Coast Guard will review all information provided and will determine whether—

(1) The applicant is physically and medically qualified for the medical certificate without any limitations, waivers and/or other conditions;

(2) The applicant is physically and medically qualified for the medical certificate with limitations and/or other conditions as specified by the Coast Guard;

(3) For an applicant who does not possess the vision, hearing, or general physical condition necessary, a medical certificate may be issued with appropriate limitations, waivers and/or other conditions as specified by the Coast Guard;

(4) Additional information is necessary to determine if the applicant is physically and/or medically qualified for the medical certificate. The Coast Guard will request additional information from the applicant. The Coast Guard may hold the package pending receipt of that information before the package and/or application is denied; or

(5) The applicant is not physically and/or medically qualified for the medical certificate. The application for a medical certificate will be denied by the Coast Guard.

(b) Except as otherwise noted, medical certificates will be issued for the following periods of time:

(1) All persons employed or engaged onboard vessels to which STCW applies will be issued a medical certificate valid for 2 years unless the mariner is under the age of 18, in which case the

maximum period of validity will be 1 year.

(2) Medical certificates issued to a mariner who is serving as a first-class pilot, or acting as a pilot under § 15.812 of this subchapter, will be issued for a maximum period of 2 years.

(3) Medical certificates issued to all other mariners will be issued for a maximum period of 5 years.

(4) Applicants seeking additional MMC endorsements holding a current medical certificate are not required to submit a new medical physical exam if their existing medical certification meets all of the requirements of this section for the endorsement sought.

(c) Applicants holding no endorsement other than a staff officer endorsement need not meet the medical and physical requirements of this section.

**§ 10.302 Medical and physical requirements.**

(a) To qualify for a medical certificate, a mariner must provide evidence of meeting the medical and physical standards in this section on a CG–719–K or CG–719–K/E, as appropriate. The Coast Guard retains final authority for determining whether a mariner is medically and physically qualified. Columns 2 through 5 of Table 1 to paragraph (a) of this section provide the specific exam, test, or demonstrations required to obtain the corresponding credential listed in column 1. Further clarifications of the requirements contained in the table are found throughout this subpart.

(b) Any required test, exam, or demonstration must have been performed, witnessed, or reviewed by a licensed medical doctor, licensed physician assistant, licensed nurse practitioner, or a designated medical examiner. All licensed medical practitioners must hold a valid license issued in the United States. Medical examinations for Great Lakes Pilots must be conducted by a licensed medical doctor in accordance with the physical exam requirements in 46 CFR 402.210.

TABLE 1 TO § 10.302(a)—MEDICAL AND PHYSICAL REQUIREMENTS FOR MARINER ENDORSEMENTS

1 Credential	2 Vision test	3 Hearing test	4 General medical exam	5 Demonstration of physical ability
(1) Deck officer, including pilot .....	§ 10.305(a)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(2) Engineering officer .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(3) Radio officer .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(4) Offshore installation manager, barge supervisor, or ballast control operator .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(5) Able seaman .....	§ 10.305(a)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(6) QMED .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(7) Able seafarer deck .....	§ 10.305(a)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(8) RFPNW .....	§ 10.305(a)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(9) Able seafarer engine .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(10) RFPEW .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(11) Electro-technical rating .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(12) Tankerman .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(13) Lifeboatman and Proficiency in survival craft and rescue boats other than fast rescue boats (PSC) .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(14) Lifeboatman-Limited and Proficiency in survival craft and rescue boats other than fast rescue boats—limited (PSC—limited) .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(15) Fast Rescue Boat .....	§ 10.305(b)	§ 10.306	§ 10.304(a)	§ 10.304(c)
(16) Food handler serving on vessels to which STCW does not apply .....			§ 10.304(b)	
(17) Food handler serving on vessels to which STCW applies .....			§ 10.304(b)	§ 10.304(c)
(18) Ratings, including entry level, serving on vessels to which STCW applies, other than those listed above .....				§ 10.304(c)
(19) Ratings, including entry level, serving on vessels to which STCW does not apply, other than those listed above .....				
(20) Vessel security officer .....	§ 10.305(a)	§ 10.306	§ 10.304(a)	§ 10.304(c)

### § 10.303 Medical waivers, limitations, and restrictions.

(a) The Coast Guard may grant a waiver if, after review of all relevant supporting medical documents and consultation with the examining physician, as needed, an applicant does not possess the vision, hearing, or general physical condition necessary; and extenuating circumstances warrant special consideration. An applicant may submit to the Coast Guard additional correspondence, records, and reports in support of a waiver. In this regard, recommendations from agencies of the Federal Government operating government vessels, as well as owners and operators of private vessels, made on behalf of their employees, will be given full consideration.

(b) In general, medical waivers are approved when an applicant does not meet the applicable medical standards, but objective medical evidence indicates that the condition is sufficiently controlled and the effects of medication pose no significant risk to maritime and public safety. The Coast Guard retains final authority for the issuance of medical waivers.

(c) Medical waivers may be granted with specific conditions to which the applicant must adhere, such as more frequent monitoring of the medical conditions, submission of medical exams and/or tests at varying intervals to track the ongoing status of the medical condition, or operational limitations in the manner the mariner may serve under the MMC.

(d) The Coast Guard may place an operational limitation on medical and physical conditions. Any operational limitations will be reflected in the medical certificate.

(e) The Coast Guard may place a restriction on a medical certificate based upon medical and physical conditions of an applicant. Any restriction will be reflected on the medical certificate and may include restriction of route or trade.

### § 10.304 General medical exam.

(a) The general medical exam must be documented and of such scope to ensure that there are no conditions that pose significant risk of sudden incapacitation or debilitating complication. This exam must also document any condition requiring medication

that impairs cognitive ability, judgment, or reaction time. The Coast Guard will provide guidance on the conduct of general medical exams. Examiners should be familiar with the content and recommended medical evaluation data compiled in the medical guidelines.

(b) Food handlers are not required to submit to a general medical exam, but must obtain a statement from a licensed physician, physician assistant, or nurse practitioner attesting that they are free of communicable diseases that pose a direct threat to the health or safety of other individuals in the workplace.

(c) *Demonstration of physical ability.* (1) A demonstration of physical ability is required only if—

(i) The medical practitioner conducting the general medical exam is concerned that an applicant's physical ability may impact maritime safety; or

(ii) Table 1 to §10.302(a) of this subpart shows that the mariner must pass a demonstration of physical ability.

(2) For an applicant to satisfactorily pass a demonstration of physical ability, the examiner must be satisfied that the applicant—

(i) Has no disturbance in the sense of balance;

(ii) Is able, without assistance, to climb up and down vertical ladders and inclined stairs;

(iii) Is able, without assistance, to step over a door sill or coaming;

(iv) Is able to move through a restricted opening of 24-by-24 inches (61-by-61 centimeters);

(v) Is able to grasp, lift, and manipulate various common shipboard tools, move hands and arms to open and close valve wheels in vertical and horizontal directions, and rotate wrists to turn handles;

(vi) Does not have any impairment or disease that could prevent normal movement and physical activities;

(vii) Is able to stand and walk for extended periods of time;

(viii) Does not have any impairment or disease that could prevent response to a visual or audible alarm; and

(ix) Is capable of normal conversation.

(3) Guidance on demonstration of physical ability is contained in the rel-

evant Coast Guard guidance for the conduct of general medical exams.

(d) *Reports of medical and physical exams, demonstrations, and tests.* These reports must be submitted within 12 months from the date signed by the licensed medical professional. When submitted with a complete application package, these reports remain valid for 12 months from the date the Coast Guard accepts a complete application.

#### § 10.305 Vision requirements.

(a) *Deck standard.* (1) A mariner must have correctable vision to at least 20/40 in one eye and uncorrected vision of at least 20/200 in the same eye. The color sense must be determined to be satisfactory when tested by any of the following methods or an alternative test acceptable to the Coast Guard, without the use of color-sensing lenses:

(i) Pseudoisochromatic Plates (Dvorine, 2nd Edition; AOC; revised edition or AOC-HRR; Ishihara 14-, 24-, or 38-plate editions).

(ii) Farnsworth Lantern.

(iii) Titmus Vision Tester/OPTEC 2000.

(iv) Optec 900.

(v) Richmond Test, 2nd and 4th edition.

(2) Applicants for an STCW endorsement must have correctable vision to at least 20/40 in both eyes and uncorrected vision of at least 20/200 in both eyes. A mariner who previously met these requirements and who suffers loss of vision in one eye after being issued an MMC is subject to the requirements of paragraphs (c), (d), and (e) of this section, as applicable. A mariner holding an MMC prior to January 1, 2017, must continue to meet the requirements of paragraph (a)(1) of this section.

(b) *Engineering, radio officer, tankerman, and MODU standard.* A mariner must have correctable vision to at least 20/50 in one eye and uncorrected vision of at least 20/200 in the same eye and need only the ability to distinguish the colors red, green, blue, and yellow. The color sense must be determined to be satisfactory when tested by any color-vision test listed in paragraph (a) of this section, or an alternative test acceptable to the Coast Guard, without the use of color-sensing lenses. The

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Coast Guard will accept Farnsworth D–15 Hue Test as a color vision test to meet the requirements of this paragraph.

(c) *Vision waiver.* Any applicant whose uncorrected vision does not meet the 20/200 standard and is correctable to listed standards above may be granted a medical waiver in accordance with §10.303 of this subpart. If a vision waiver is granted, a limitation will be placed on his or her a medical certificate indicating the mariner may not serve under the authority of the endorsement unless corrective lenses are worn and spare lenses are carried onboard a vessel. Waivers are not normally granted to an applicant whose corrected vision in the better eye is not at least 20/40 for deck officers or 20/50 for engineer officers.

(d) *Vision operational limitation.* If corrective lenses are required in order to meet the vision standards above, a mariner may not serve under the authority of the endorsement unless corrective lenses are worn and spare lenses are carried onboard a vessel. This operational limitation will be placed on his or her medical certificate.

(e) *Loss of vision.* A mariner having lost vision in one eye must wait 6 months from the date of the vision loss before submitting any application, and must provide a statement of demonstrated ability on his or her medical examination.

[USCG–2004–17914, 78 FR 77900, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30881, June 28, 2019]

### § 10.306 Hearing requirements.

(a) If the medical practitioner conducting the general medical exam has concerns that an applicant's ability to hear may impact maritime safety, the examining medical practitioner must refer the applicant to an audiologist or other hearing specialist to conduct an audiometer test and a speech discrimination test, as appropriate.

(b) The audiometer test must include testing at the following thresholds: 500 Hz; 1,000 Hz; 2,000 Hz; and 3,000 Hz. The frequency responses for each ear must be averaged to determine the measure of an applicant's hearing ability. Applicants must demonstrate an unaided

threshold of 30 decibels or less in at least one ear.

(c) The functional speech discrimination test must be carried out at a level of 65 decibels. For issuance of an original MMC or endorsement the applicant must demonstrate functional speech discrimination of at least 90 percent. For renewal or raise of grade, the applicant must demonstrate functional speech discrimination of at least 80 percent.

(d) *Hearing waivers.* An applicant who is unable to meet the hearing standards of the audiometer test, but who can pass the functional speech discrimination test; or who requires hearing aids to meet the hearing standards, may be eligible for a medical waiver in accordance with §10.303 of this subpart.

(e) *Hearing operational limitation.* If hearing aids are required in order to meet the hearing standards above, a mariner may not serve under the authority of the endorsement unless hearing aids are worn in the operational mode, and spare batteries are carried onboard a vessel. This operational limitation will be placed on his or her medical certificate.

## Subpart D—Training Courses and Programs

SOURCE: USCG–2004–17914, 78 FR 77903, Dec. 24, 2013, unless otherwise noted.

### § 10.401 Applicability.

This subpart prescribes the general requirements applicable to offerors of all approved courses and training programs which may be accepted instead of sea service, examination required by the Coast Guard, or STCW assessments, or which satisfy course completion requirements.

### § 10.402 Approval of training courses.

(a) *Categories.* The Coast Guard may approve courses designed to substitute for or fulfill any or all of the following:

- (1) A portion of sea service requirement.
- (2) Examinations required by the Coast Guard.
- (3) Professional competency requirements.
- (4) Regulatory requirements.

(b) *Request for approval.* Organizations desiring course approval by the Coast Guard must submit a written request and a complete curriculum package to the National Maritime Center, either by mail or electronically. The curriculum package must be provided in a format specified by the Office of Merchant Mariner Credentialing and include the following:

(1) *A cover letter.* The cover letter must contain—

(i) The name of the organization providing the instruction and the course name;

(ii) The locations where the course will be held;

(iii) A general description and overview of the course;

(iv) The category of acceptance being sought, as listed in paragraph (a) of this section; and

(v) Reference to regulatory requirements met by the training.

(2) *Part A: Course framework.* The course framework must contain—

(i) The following specific course intentions:

(A) Course scope.

(B) Course objective;

(ii) The following conditions relative to students:

(A) Student entry standards.

(B) Class-size limitations.

(C) Student/teacher ratio;

(iii) Documentary evidence that each instructor and/or assessor—

(A) Has either experience, training, or evidence of instruction in effective instructional techniques and/or effective assessment techniques;

(B) Is qualified in the task for which the training is being conducted and have relevant experience; and

(C) Has attained a level of experience and qualification equal or superior to the relevant level of knowledge, skills, and abilities described in the performance objective;

(iv) Site information, which must include—

(A) A description of the facility, measurements of the instructional space, pictures showing multiple views of the space, and a description of the instruction or assessment being performed; and

(B) A request, if applicable, to teach at an alternative site. This requires

contact with the local Regional Exam Center and approval by the National Maritime Center; and

(v) A description of the following materials used for development, instruction, and performance measurement:

(A) Equipment.

(B) Teaching aids.

(C) Textbooks and presentations.

(D) Reference bibliography.

(3) *Part B: Course outline.* The course outline must contain—

(i) Course subjects/topics; and

(ii) Course schedule, including the duration and order of lessons, and an indication as to whether each lesson is—

(A) A classroom lecture;

(B) A practical demonstration;

(C) A simulator exercise;

(D) An examination; or

(E) Another method of instructional reinforcement.

(4) *Part C: Detailed teaching syllabus.* The detailed teaching syllabus must be written in a learning objective format in which the objectives describe what the student must do to demonstrate that the specific knowledge has been transferred. The detailed teaching syllabus must contain—

(i) The learning objectives as related to the subjects/topics;

(ii) The specific references from which the instruction was developed; and

(iii) Reference to the specific teaching aids, textbooks, or technical materials used for instruction and performance measurement.

(5) *Part D-1: Lesson plans.* The lesson plans must contain the following specific instructional contents of the individual course lessons:

(i) The main element learning objective.

(ii) Student assignments.

(iii) Training outcomes, which are statements that identify the specific knowledge, skill, or ability that students must gain and display as a result of the training or instructional activity. A training outcome is made up of three elements: expected student performance, condition, and criterion.

(6) *Part D-2: Instructor notes.* The instructor notes must contain—

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(i) The specific instructional methodologies utilized in the particular lesson; and

(ii) The instructional materials, including instructional directions containing the following:

(A) Pre-instructional activities.

(B) Content presentation.

(C) Student participation.

(D) Assessment process.

(E) Other instructional activities, such as homework and reading assignments.

(7) Part E: Evaluations. The evaluations section must contain—

(i) Any methodology that is used to measure a student's knowledge, performance, or level of achievement, including—

(A) Homework;

(B) Quizzes;

(C) Exams;

(D) Laboratory projects;

(E) Competency assessments;

(F) Remediation; and

(G) Testing strategies;

(ii) Assessment instruments, which are any tools used to determine whether the student has achieved the desired level of knowledge, understanding, or proficiency; and

(iii) Any methodology that is used to measure the effectiveness of the training or instructor, including—

(A) Instructor evaluations;

(B) Course evaluations/surveys; and

(C) Other feedback.

(8) *Course completion certificate.* A sample course completion certificate that allows for the following information to be entered:

(i) Course provider number.

(ii) Course number.

(iii) Terms of approval.

(c) *Approval notification.* The Coast Guard will notify each applicant for course approval when an approval is granted or denied. If the Coast Guard denies a request for approval, the Coast Guard will inform the applicant of the reasons for the denial and describe the corrections required for granting an approval.

(d) *Validity of course approval.* Unless surrendered, suspended, or withdrawn, an approval for a course is valid for up to a maximum of 5 years after issuance, unless—

(1) The school ceases operation;

(2) The school gives notice that it will no longer offer the course;

(3) The owner or operator fails to submit any required information; or

(4) Any change occurs in the ownership of the school to which the approval was issued.

(e) *Significant changes to the course approval.* (1) Any significant changes to the course approval or the content of the course will be handled as a request for renewal of an approval (as specified in paragraph (f) of this section), or as a request for an original approval (as specified in paragraph (b) of this section), depending on the nature and scope of the change.

(2) The Coast Guard may not accept course completion certificates if the course does not follow the conditions of the course approval.

(f) *Renewal of course approval.* (1) If the owner or operator of a training school desires to have a course's approval renewed, the owner or operator must submit a request to the NMC accompanied by the information from paragraph b of this section.

(2) If satisfied that the content and quality of instruction remain satisfactory, the Coast Guard will approve the request.

(3) The renewed approval is valid as detailed in paragraph (d) of this section.

(g) *Suspension of approval.* (1) The Coast Guard may suspend the approval, require the holder to surrender the certificate of approval, and may direct the holder to cease claiming the course is Coast Guard-approved, if it determines that a specific course does not comply with the—

(i) Applicable provisions of 46 CFR parts 10, 11, 12, or 13;

(ii) Requirements specified in the course's approval; or

(iii) Course's curriculum package as submitted for approval.

(2) The Coast Guard will notify the approval holder in writing of the intent to suspend course approval and the reasons for suspension. If the approval holder fails to correct the conditions leading to suspension, the course will

be suspended. The Coast Guard will notify the approval holder that the specific course fails to meet applicable requirements and explain how the deficiencies can be corrected.

(3) The Coast Guard may grant the approval holder up to 90 days to correct the deficiency.

(4) Course completion certificates will not be accepted for training provided during a period of suspension or expiration.

(h) *Withdrawal of approval.* The Coast Guard may withdraw approval for any course—

(1) When the approval holder fails to correct the deficiency of a suspended course within 90 days; or

(2) Upon determining that the approval holder has demonstrated a pattern or history of any of the following:

(i) Failing to comply with the applicable regulations or the course approval requirements.

(ii) Deviating from approved course curricula.

(iii) Presenting courses in a manner that does not achieve the learning objectives.

(iv) Falsifying any document required and integral to the conduct of the course, including, but not limited to, attendance records, written test grades, course completion grades, or assessment of practical demonstrations.

(i) *Appeals of suspension or withdrawal of approval.* Anyone directly affected by a decision to suspend or withdraw an approval may appeal the decision to the Commandant as provided in §1.03-40 of this chapter.

[USCG-2004-17914, 78 FR 77903, Dec. 24, 2013, as amended by USCG-2018-0874, 84 FR 30881, June 28, 2019]

#### § 10.403 General standards.

(a) Each school with an approved course must—

(1) Have a well-maintained facility that accommodates the students in a safe and comfortable environment conducive to learning;

(2) Have the necessary equipment, including simulators where appropriate, sufficient for the number of students to be accommodated, and support the objectives of the course;

(3) Administer training entirely in the English language unless specifically approved to be presented in another language;

(4) Administer written examinations to each student appropriate for the course material and the knowledge requirements of the position or endorsement for which the student is being trained. For a course approved to substitute for a Coast Guard-administered examination, the courses must be of such a degree of difficulty that a student who successfully completes them would most likely pass, on the first attempt, an examination prepared by the Coast Guard;

(5) Require each student to successfully demonstrate practical skills appropriate for the course material and equal to the level of endorsement for which the course is approved;

(6) Effective March 24, 2014, keep physical or electronic copies of the following records for at least 5 years after the end of each student's completion or disenrollment from a course or program:

(i) A copy of each student's examination scores.

(ii) A copy of each examination or, in the case of a practical test, a report of such test.

(iii) A record of each student's classroom attendance.

(iv) A copy of each student's course completion certificate or program completion certificate, as appropriate.

(v) A summary of changes or modification to the last course submittal.

(vi) A list of all locations at which the training course was presented and the number of times it was presented at each location.

(vii) The name(s) of the instructor(s) who taught the course, which does not include lab assistants or other non-teaching assistants.

(viii) The number of students who began the training.

(ix) The number of students who successfully completed the training.

(x) The number of students who were required to retest.

(xi) The number of students who were required to retake the entire course.

(xii) The number of students who were required to retake a portion of the course;

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(7) Not significantly change its approved curriculum without approval from the NMC as specified in §10.402(e) of this subpart;

(8) Conduct an internal audit midway through the term of the course's approval and maintain the results of the audit for a period of not less than 5 years. The audit will evaluate whether—

(i) Records are being maintained according to these regulations;

(ii) The course is being presented in accordance with the approval letter; and

(iii) Surveys from students indicate that the course is meeting their needs; and

(9) At any time, allow the Coast Guard to—

(i) Inspect its facilities, equipment, and records, including scholastic records;

(ii) Conduct interviews and surveys of students to aid in course evaluation and improvement;

(iii) Assign personnel to observe or participate in the course of instruction; and

(iv) Supervise or administer the required examinations or practical demonstrations, including the substitution of an applicable Coast Guard examination in a course approved to substitute for a Coast Guard administered examination.

(b) [Reserved]

#### **§ 10.404 Substitution of training for required service, use of training-record books (TRBs), and use of towing officer assessment records (TOARs).**

(a) *Substitution of training for required service.* (1) Satisfactory completion of an approved training course may be substituted for a portion of the required service on deck or in the engine department for national deck or engineer endorsements. Satisfactory completion of an approved training program which includes sea service may be substituted for a portion of or all of the required service on deck or in the engine department, except as limited by law for ratings. The list of all currently approved courses and programs, including the equivalent service and applicable endorsements, is maintained by the NMC.

(2) Unless otherwise allowed, recency requirements may not be achieved by service granted as a result of successful completion of approved training or by training on a simulator; however, underway service obtained as a portion of an approved course or program may be used for this purpose.

(3) Unless otherwise allowed, training obtained before receiving an endorsement may not be used for service credit for subsequent raises of grade, increases in scope, or renewals.

(4) This provision for crediting service for training is not applicable to STCW endorsements unless provided otherwise.

(b) *Use of training-record books (TRBs).*

(1) Approved training programs for STCW endorsements for OICNW and OICEW must maintain a TRB for each student where training and/or assessments of competence are conducted on-board the ship. The TRB must contain at least the following information:

(i) The name of the applicant.

(ii) The tasks to be performed or the skills to be demonstrated, with reference to the standards of competence set forth in the tables of the appropriate sections in part A of the STCW Code (incorporated by reference, see §10.103 of this part).

(iii) The method for demonstrating competence to be used in determining that the tasks or skills have been performed properly, with reference to the standards of competence set forth in the tables of competence in the appropriate sections in part A of the STCW Code (incorporated by reference, see §10.103 of this part).

(iv) A place for a qualified instructor to indicate by his or her initials that the applicant has received training in the proper performance of the task or skill.

(v) A place for a qualified assessor (QA) to indicate by his or her initials that the applicant has successfully completed a practical demonstration and has proved competent in the task or skill under the criteria, when assessment of competence is to be documented in the record books.

(vi) The printed name of each qualified instructor, including any MMC endorsements held, and the instructor's signature.

(vii) The printed name of each qualified assessor, when any assessment of competence is recorded, including any MMC endorsement, license, or document held by the assessor, and the assessor's signature confirming that his or her initials certify that he or she has witnessed the practical demonstration of a particular task or skill by the applicant.

(2) The TRB referred to in paragraph (b) of this section may be maintained electronically, provided the electronic record meets Coast Guard-accepted standards for accuracy, integrity, and availability.

(3) The Coast Guard may accept other forms of documentation as meeting the requirements to maintain the training-record book.

(c) *Use of towing officer assessment records (TOARs).* Each applicant for an endorsement as master or mate (pilot) of towing vessels, and each master or mate of self-propelled vessels of 200 GRT or more, seeking an endorsement for towing vessels, must complete a TOAR approved by the Coast Guard that contains at least the following:

(1) Identification of the applicant, including his or her full name, and reference number.

(2) Objectives of the training and assessment.

(3) Tasks to perform or skills to demonstrate.

(4) Criteria to use in determining that the tasks or skills have been performed properly.

(5) A means for a designated examiner (DE) to attest that the applicant has successfully completed a practical demonstration and has proved proficient in the task or skill under the criteria.

(6) Identification of each DE by his or her full name and reference number, job title, ship name and official number, and serial number of the MMC, license, or document held, and printed name and signature confirming that his or her initials certify that he or she has witnessed the practical demonstration of a particular task or skill by the applicant.

#### **§ 10.405 Qualification as qualified assessor (QA) and designated examiner (DE).**

(a) To become a QA, an applicant must have documentary evidence to establish—

(1) Experience, training, or instruction in assessment techniques;

(2) Qualifications in the task for which the assessment is being conducted; and

(3) Possession of the level of endorsement, or other professional credential, which provides proof that he or she has attained a level of experience and qualification equal or superior to the relevant level of knowledge, skills, and abilities to be assessed.

(b) To become a DE for towing officer assessment records (TOARs), an applicant must have documentary evidence to establish—

(1) Experience, training, or instruction in assessment techniques on towing vessels;

(2) Qualifications on towing vessels in the task for which the assessment is being conducted; and

(3) Possession of the level of endorsement on towing vessels, or other professional credential, which provides proof that he or she has attained a level of qualification equal or superior to the relevant level of knowledge, skills, and abilities described in the training objectives.

(c) Documentary evidence may be in the form of performance evaluations, which include an evaluation of effectiveness in on-the-job organization and delivery of training, or a certificate of successful completion from an "assessor training" course.

(d) In order to renew his or her qualifications, each QA and DE must have either experience, training, or evidence of instruction in effective assessment within the past 5 years.

#### **§ 10.406 Approved courses.**

The NMC maintains the list of training organizations and the approvals given to the training they offer. This information is available online at [www.uscg.mil/nmc](http://www.uscg.mil/nmc).

**§ 10.407 Approval of training programs.**

(a) Training programs approved to qualify a mariner to hold an STCW or national endorsement must meet the standards in this section or the requirements in § 10.402 of this subpart. All such programs must also meet the same standards as those found in § 10.403 of this subpart. The Coast Guard will accept information submitted by training providers to state, regional, and/or national accrediting bodies as evidence such providers satisfy one or more of the requirements of this section.

(b) *Categories.* The Coast Guard may approve programs designed to substitute for or fulfill any or all of the following:

- (1) A portion of sea service requirements.
- (2) Examinations required by the Coast Guard.
- (3) Professional competency requirements.
- (4) Regulatory requirements.

(c) *Request for approval.* Organizations desiring program approval by the Coast Guard must submit a written request and a complete curriculum package to the National Maritime Center (NMC), either by mail or electronically. The curriculum package must include the following information:

- (1) *A cover letter.* The cover letter must contain—
  - (i) The name of the organization providing the instruction;
  - (ii) The location(s) where it will be held;
  - (iii) A general description and overview of the program, including the individual courses that are part of the program;
  - (iv) The category of acceptance being sought as listed in paragraph (b) of this section; and
  - (v) Reference to regulatory requirements met by the training.
- (2) *A goal statement(s).* The goal statement should describe—
  - (i) The specific performance behaviors to be measured;
  - (ii) The conditions under which the performance behavior(s) will be exhibited; and
  - (iii) The level of performance behavior(s) that is to be achieved.

(3) *Performance objectives.* Performance objectives are statements, which identify the specific knowledge, skill, or ability the student should gain and display as a result of the training or instructional activity. A performance objective is made up of three elements: Expected student performance, condition, and criterion.

(4) *Assessment instruments.* Assessment instruments are any tools used to determine whether the student has achieved the desired level of knowledge, understanding, or proficiency.

(5) *Instructor information.* Documentary evidence that each instructor and assessor—

- (i) Has either experience, training, or evidence of instruction in effective instructional techniques and/or in effective assessment techniques;
- (ii) Is qualified in the task for which the training is being conducted and have relevant experience; and
- (iii) Has attained a level of experience and qualification equal or superior to the relevant level of knowledge, skills, and abilities described in the performance objective.

(6) *Site information.* Site information must include a description of the facility or facilities at which the training will be held. Authority to teach at an alternative site requires approval by the NMC.

(7) *A teaching syllabus.* A detailed teaching syllabus providing the following information:

- (i) Instructional strategy. Aspects of instructional strategies should include—
  - (A) The order of presentation;
  - (B) The level of interaction, including the student-to-teacher ratio;
  - (C) Feedback;
  - (D) Remediation;
  - (E) Testing strategies; and
  - (F) Media used to present information.
- (ii) Instructional materials, including lesson plans containing—
  - (A) Pre-instructional activities;
  - (B) Content presentation;
  - (C) Student participation;
  - (D) Assessment processes; and
  - (E) Other instructional activities, such as homework and reading assignments.

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(iii) Course surveys on the relevance and effectiveness of the training completed by students.

(iv) Course schedule, including the duration and order of lessons, and an indication as to whether each lesson is—

- (A) A classroom lecture;
- (B) A practical demonstration;
- (C) A simulator exercise;
- (D) An examination; or
- (E) Another method of instructional reinforcement.

(8) *Program completion certificate.* A sample program completion certificate.

(d) *Approval notification.* The Coast Guard will notify each applicant for program approval when an approval is granted or denied. If the Coast Guard denies a request for approval, the Coast Guard will inform the applicant of the reasons for the denial and describe the corrections required for granting an approval.

(e) *Validity of program approval.* Unless surrendered, suspended, or withdrawn, an approval for a program is valid for up to a maximum of 5 years after issuance, unless—

- (1) The school ceases operation;
- (2) The school gives notice that it will no longer offer the program;
- (3) The owner or operator fails to submit any required report; or
- (4) Any change occurs in the ownership of the school to which the approval was issued.

(f) *Significant changes to the course program approval.* (1) Any significant changes to the program approval or the content of the program will be handled as a request for renewal of an approval (as specified in paragraph (f) of this section), or as a request for an original approval (as specified in paragraph (b) of this section), depending on the nature and scope of the change.

(2) The Coast Guard may not accept program completion certificates if the program does not follow the conditions of its approval.

(g) *Renewal of program approval.* (1) If the owner or operator of a training school desires to have a program's approval renewed, the owner or operator must submit a request to the NMC accompanied by the information from paragraphs (c)(1), (c)(5), (c)(6), and (c)(7) of this section.

(2) If satisfied that the content and quality of instruction remain satisfactory, the Coast Guard will approve the request.

(3) The renewed approval is valid as detailed in paragraph (d) of this section.

(h) *Suspension of approval.* (1) The Coast Guard may suspend the approval, require the holder to surrender the certificate of approval, and may direct the holder to cease claiming the program is Coast Guard-approved, if it determines that a specific program does not comply with the—

(i) Applicable provisions of 46 CFR parts 10, 11, 12, or 13;

(ii) Requirements specified in the program's approval; or

(iii) Program's curriculum package as submitted for approval.

(2) The Coast Guard will notify the approval holder in writing of the intent to suspend program approval and the reasons for suspension. If the approval holder fails to correct the reasons for suspension, the program will be suspended. The Coast Guard will notify the approval holder that the specific program fails to meet applicable requirements and explain how the deficiency can be corrected.

(3) The Coast Guard may grant the approval holder up to 90 days to correct the deficiency.

(4) Program completion certificates will not be accepted for training provided during a period of suspension or expiration.

(i) *Withdrawal of approval.* The Coast Guard may withdraw approval for any program—

(1) When the approval holder fails to correct the deficiency of a suspended program within 90 days; or

(2) Upon determining that the approval holder has demonstrated a pattern or history of any of the following:

(i) Failing to comply with the applicable regulations or the program approval requirements.

(ii) Deviating from approved program curricula.

(iii) Presenting instructional material in a manner that does not achieve the learning objectives.

(iv) Falsifying any document required and integral to the conduct of the program, including, but not limited

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to, attendance records, written test grades, course completion grades, or assessment of practical demonstrations.

(j) *Appeals of suspension or withdrawal of approval.* Anyone directly affected by a decision to suspend or withdraw an approval may appeal the decision to the Commandant as provided in §1.03-40 of this chapter.

### § 10.408 Coast Guard-accepted training other than approved courses and programs.

(a) When the training and assessment of competence required by this part are not subject to Coast Guard approval under §§10.402 and 10.407 of this subpart, but are used to qualify a mariner to hold an endorsement, the offeror of the course or program must ensure that such training and assessment meets the same standards as those found in §§ 10.402 and 10.403 of this subpart.

(b) The Coast Guard will accept courses approved and monitored by a Coast Guard-accepted Quality Standard System (QSS) organization. The Coast Guard maintains a list of training organizations conducting accepted training that are independently monitored by a Coast Guard-accepted QSS organization. The Coast Guard-accepted QSS organization must comply with the following requirements:

(1) Submit a certificate of acceptance of training to the Coast Guard.

(2) Submit an updated certificate of acceptance to the Coast Guard if the terms of acceptance have been changed.

(3) Sign each certificate to the training organization owner or operator, or its authorized representative(s), stating that the training fully complies with the requirements of this section, and identifying the Coast Guard-accepted QSS organization being used for independent monitoring.

(c) The training must be audited periodically in accordance with the requirements of §10.409(e)(7) of this subpart. If the Coast Guard determines, on the basis of its own observations or conclusions or those of the Coast Guard-accepted QSS organization, that the particular training does not satisfy

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one or more of the conditions described in paragraph (a) of this section—

(1) The Coast Guard or Coast Guard-accepted QSS organization will so notify the offeror of the training by letter, enclosing a report of the observations and conclusions;

(2) The offeror may, within a period of time specified in the notice, either appeal the observations or conclusions to the Commandant (CG-MMC) or bring the training into compliance; and

(3) If the appeal is denied—or if the deficiency is not corrected in the allotted time, or within any additional time period judged by the Coast Guard to be appropriate, considering progress toward compliance—the Coast Guard will remove the training from the list maintained under paragraph (b) of this section until it can verify full compliance. The Coast Guard may deny applications for endorsements based, in whole or in part, on training not on the list, until additional training or assessment is documented.

[USCG-2006-24371, 74 FR 11216, Mar. 16, 2009, as amended by USCG-2016-0315, 81 FR 43955, July 6, 2016]

### § 10.409 Coast Guard-accepted Quality Standard System (QSS) organizations.

(a) Organizations wishing to serve as a Coast Guard-accepted QSS organization, to accept and monitor training on behalf of the Coast Guard, should apply to the National Maritime Center. An organization submitting an application may not act as a Coast Guard-accepted QSS organization until it has received its letter of acceptance.

(b) *Validity of acceptance.* Organizations meeting the requirements in paragraph (e) of this section will be issued a letter of acceptance valid for a maximum period of 5 years from the date of issuance.

(c) An organization wishing to become a Coast Guard-accepted QSS organization must have processes for reviewing, accepting, and monitoring training that are equal to the Coast Guard's course approval and oversight processes in §§10.402 through 10.410 of this subpart.

(d) Each person conducting evaluation and monitoring of the training

must be knowledgeable about the subjects being evaluated or monitored and about the national and international requirements that apply to the training, and must not be involved in the training and assessment of students.

(e) The documentation submitted to the Coast Guard must contain the information listed below. An organization approved as a recognized classification society in accordance with 46 CFR part 8, subpart B, need not present evidence of compliance with paragraphs (e)(1) and (e)(8) of this section.

(1) Identification of the organization: Name of the organization, address, contact information, and organizational structure (including the QSS department).

(2) Scope of approval: Training and assessment the organization wishes to accept and monitor.

(3) Background of the organization: Historical information outlining the organization's experience reviewing and accepting training and/or assessment activities.

(4) Staffing and support infrastructure, including—

(i) Names and qualifications of the individuals who will be involved in the review, acceptance, and monitoring of training and assessment;

(ii) Description of the training given to individuals who will be conducting review, acceptance, and monitoring activities; and

(iii) Technical and support resources within the organization that support the review, acceptance and monitoring activities.

(5) Submission guidelines: Information for client organizations to submit courses for review and acceptance, including criteria for course design, instructor/assessor qualifications, syllabi, equipment, and facilities.

(6) *Review and acceptance procedures.* (i) Descriptions of the methods of evaluation of the physical, administrative, and infrastructure support aspects of client organizations;

(ii) Descriptions of the methods of evaluation of the instructors or qualified assessors of a client organization and the maintenance of their records;

(iii) Descriptions of format for accepting training material;

(iv) Descriptions of the methods by which the course acceptance process responds to the client organization modifications to the training curriculum, changes to instructors or examiners, changes to the infrastructure support; and

(v) Descriptions of the renewal procedures.

(7) Audit procedures: Description of the methods for auditing accepted courses. Client organizations must be audited once in a 5-year period.

(8) Quality commitment: Provide evidence of having a quality management system that includes the following elements:

(i) A documented statement of a quality policy and quality objectives.

(ii) A quality manual.

(iii) Documented procedures and records.

(iv) Documents, including records, determined by the organization to be necessary to ensure the effective planning, operation, and control of its processes.

(f) Coast Guard-accepted QSS organizations must notify the NMC of the training they have accepted within 14 days of the acceptance date. The notification must include the name and address of the institution, the course title and the requirement the course meets, and a one-paragraph description of the course's content.

(g) *Audits.* (1) A Coast Guard-accepted QSS organization must conduct internal audits at least once in 5 years with a minimum of 2 years between reviews. Results of the internal audits must be available upon request to the Coast Guard within 60 days of completion.

(2) Each Coast Guard-accepted QSS organization may be audited by the Coast Guard at least once every 5 years. The results of the audit will be available to the Coast Guard-accepted QSS organization within 60 days of completion of the audit.

(3) Results of Coast Guard-accepted QSS organizations' audits to client organizations must be available upon request to the Coast Guard within 60 days of completion.

(h) *Disenrollment.* (1) A Coast Guard-accepted QSS organization must give each client organization it serves a 180-day notice of its intention to cease to

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function as a Coast Guard-accepted QSS organization.

(2) If the Coast Guard determines that a Coast Guard-accepted QSS organization is not meeting its obligations to review, accept, and monitor training and assessment, the NMC will notify the organization in writing and will enclose information about the events that led to this determination. The organization will then have a specified period of time to correct the deficiency or appeal the conclusions to the Commandant (CG-5P). If the organization appeals, and the appeal is denied, or the deficiencies are not corrected within the allotted time, the NMC will withdraw the acceptance of the Coast Guard-accepted QSS organization. The NMC will notify all client organizations affected by this decision so that they may make arrangements to transfer to another Coast Guard-accepted QSS organization or seek NMC approval for their training.

(i) A Coast Guard-accepted QSS organization may not approve courses provided by subsidiary organizations.

### § 10.410 Quality Standard System (QSS) requirements.

(a) Providers of Coast Guard-approved courses, programs, training, and Coast Guard-accepted training creditable towards an STCW endorsement must establish and maintain a Quality Standard System (QSS), in accordance with Regulation I/8 of the STCW Convention (incorporated by reference, see § 10.103 of this part).

(b) The QSS must be monitored by the Coast Guard or monitored through a third party that is designated as a Coast Guard-accepted QSS organization.

(c) The Coast Guard-monitored QSS must—

(1) Have a documented quality policy and quality objectives that align with the commitment by the training institution to achieve its missions and goals;

(2) Maintain a manual that documents the objectives, authorities, and responsibilities that are essential controls for the implementation of the QSS, including—

(i) The core procedures required to meet the missions and goals of the institution;

(ii) The documents necessary for effective design, planning, operation, and control for the delivery of courses meeting the regulatory requirements;

(iii) The filing and archiving of records so they are retrievable and legible;

(iv) Action taken to stop recurrence of system, process, and product non-conformity; and

(v) Auditing, reviewing, and improving the performance of the training management system.

(d) Documentation from a nationally recognized academic accreditation body may be accepted by the Coast Guard as meeting one or more of the requirements listed in paragraph (c) of this section. The documentation must be readily available for inspection upon request.

(e) The Coast Guard will accept documentation from a training institution certified under a national or international Quality Management System Standard as meeting one or more of the requirements listed in paragraph (c) of this section. The documentation must be readily available for inspection upon request.

(f) The Coast Guard will accept company ISM documentation as meeting one or more of the requirements listed in paragraph (c) of this section.

(g) Organizations are subject to audits at least twice in a 5-year period. Organizations must cooperate with Coast Guard audits.

[USCG-2004-17914, 78 FR 77903, Dec. 24, 2013, as amended by USCG-2018-0874, 84 FR 30881, June 28, 2019]

### § 10.411 Simulator performance standards.

Simulators used in assessment of competence must meet the appropriate performance standards set out in Section A-I/12 of the STCW Code (incorporated by reference, see § 10.103 of this part). However, a simulator installed or brought into use before February 1, 2002, need not meet those standards if it fulfills the objectives of the assessment of competence or demonstration of proficiency.

**§ 10.412 Distance and e-learning.**

The Coast Guard may allow the training of mariners by means of distance learning and e-learning in accordance with the standards of training and assessment set forth in section B-I/6 (Training and assessment) of the STCW Code (incorporated by reference, see § 10.103 of this part).

## **PART 11—REQUIREMENTS FOR OFFICER ENDORSEMENTS**

### **Subpart A—General**

Sec.

- 11.101 Purpose of regulations.
- 11.102 Incorporation by reference.
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AUTHORITY: 14 U.S.C. 503; 31 U.S.C. 9701; 46 U.S.C. 2101, 2103, and 2110; 46 U.S.C. chapter 71; 46 U.S.C. 7502, 7505, 7701, 8906, and 70105; Executive Order 10173; Department of Homeland Security Delegation No. 0170.1. Section 11.107 is also issued under the authority of 44 U.S.C. 3507.

SOURCE: USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, unless otherwise noted.

## Subpart A—General

### § 11.101 Purpose of regulations.

(a) The purpose of this part is to provide—

(1) A means of determining the qualifications an applicant must possess to be eligible for an officer endorsement as a staff officer, deck officer, engineer officer, pilot, or radio officer on merchant vessels, or for an endorsement to operate uninspected passenger vessels; and

(2) A means of determining that an applicant is competent to serve as a master, chief mate, officer in charge of a navigational watch, chief engineer officer, second engineer officer (first assistant engineer), officer in charge of an engineering watch, designated duty engineer, or Global Maritime Distress and Safety System (GMDSS) radio operator, in accordance with the provisions of the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended (the STCW Convention or STCW), and other laws, and to receive the appropriate endorsement as required by STCW.

(b) With few exceptions, these regulations do not specify or restrict officer endorsements to particular types of service such as tankships, freight vessels, or passenger vessels. However, each officer credentialed under this part must become familiar with the relevant characteristics of a vessel prior to assuming his or her duties as required in the provisions of § 15.405 of this subchapter.

(c) The regulations previously found in subpart C of this part that prescribe the requirements applicable to approved training courses, training for a particular officer endorsement, and training and assessment associated with meeting the standards of competence established by the STCW Convention have been moved to 46 CFR part 10, subpart C.

#### § 11.102 Incorporation by reference.

(a) Certain material is incorporated by reference into this part with the approval of the Director of the Federal Register under 5 U.S.C. 552(a) and 1 CFR part 51. All approved material is available for inspection at the Coast Guard, Office of Merchant Mariner Credentialing (CG–MMC), U.S. Coast Guard, Stop 7509, 2703 Martin Luther King Jr. Avenue SE., Washington, DC 20593–7509, 202–372–1492, and is available from the sources listed below. It is also available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202–741–6030 or go to [http://www.archives.gov/federal\\_register/](http://www.archives.gov/federal_register/)

*code\_of\_federal\_regulations/ibr\_locations.html.*

(b) International Maritime Organization (IMO), 4 Albert Embankment, London SE1 7SR, England:

(1) The International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended, 2011 (the STCW Convention or the STCW), incorporation by reference approved for §§ 11.201, 11.426, 11.427, 11.428, 11.429, 11.493, 11.495, 11.497, 11.553, 11.555, 11.1001, 11.1003, 11.1009, and 11.1105.

(2) The Seafarers' Training, Certification and Watchkeeping Code, as amended, 2011 (the STCW Code), incorporation by reference approved for §§ 11.201, 11.301, 11.302, 11.303, 11.305, 11.307, 11.309, 11.311, 11.313, 11.315, 11.317, 11.319, 11.321, 11.325, 11.327, 11.329, 11.331, 11.333, 11.335, 11.604, 11.901, and 11.1105.

(3) The International Convention for the Safety of Life at Sea, 1974 (SOLAS), incorporation by reference approved for § 11.601.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2016–0315, 81 FR 43955, July 6, 2016]

#### §§ 11.103–11.105 [Reserved]

#### § 11.107 Paperwork approval.

(a) This section lists the control numbers assigned by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1980 (Pub. L. 96–511) for the reporting and record-keeping requirements in this part.

(b) The following control numbers have been assigned to the sections indicated:

(1) OMB 1625–0040–46 CFR 11.201, 11.202, 11.205, 11.470, 11.472, 11.474, 11.542, and 11.544.

(2) OMB 1625–028–46 CFR 11.480.

#### §§ 11.109–11.113 [Reserved]

### Subpart B—General Requirements for Officer Endorsements

#### § 11.201 General requirements for national and STCW officer endorsements.

(a) *General.* In addition to the requirements of part 10 of this subchapter, the applicant for an officer endorsement, whether original, renewal,

duplicate, or raise of grade, must establish to the satisfaction of the Coast Guard that he or she possesses all the qualifications necessary (including but not limited to age, experience, character, physical health, citizenship, approved training, professional competence, and a test for dangerous drugs) before the Coast Guard will issue to him or her a merchant mariner credential (MMC). An applicant for any STCW endorsement must hold the appropriate national endorsement unless otherwise specified.

(b) *English language requirements.* Except as provided in §11.467(h) of this part, an applicant for an officer endorsement must demonstrate an ability to speak and understand English as found in the navigation rules, aids to navigation publications, emergency equipment instructions, machinery instructions, and radiotelephone communications instructions.

(c) *Experience and service.* (1) Applicants for officer endorsements should refer to §10.232 of this subchapter for information regarding requirements for documentation and proof of sea service.

(2) An applicant for a national officer endorsement must have at least 3 months of required service on vessels of appropriate tonnage or horsepower within the 3 years immediately preceding the date of application.

(3) No original officer endorsement may be issued to any naturalized citizen based on less experience in any grade or capacity than would have been required of a citizen of the United States by birth.

(4) Experience and service acquired on foreign vessels is creditable for establishing eligibility for an officer endorsement, subject to evaluation by the Coast Guard to determine that it is a fair and reasonable equivalent to service acquired on merchant vessels of the United States, with respect to grade, tonnage, horsepower, waters, and operating conditions. An applicant who has obtained qualifying experience on foreign vessels must submit satisfactory documentary evidence of such service (including any necessary translation into English) in accordance with §10.232 of this subchapter.

(5) No applicant for an original officer endorsement who is a naturalized citizen and who has obtained experience on foreign vessels will be given an original officer endorsement in a grade higher than that upon which he or she has actually served while acting under the authority of a foreign credential.

(6) Experience acquired while the applicant was less than 16 years of age is generally not creditable. Compelling circumstances and unique experiences acquired before the applicant reaches 16 years of age will be evaluated on a case-by-case basis.

(d) *Citizenship.* No officer endorsement may be issued to any person who is not a citizen of the United States with the exception of operators of uninspected passenger vessels that are not documented under the laws of the United States.

(e) *Age.* Except as specified in this paragraph, no officer endorsement may be issued to a person who has not attained the age of 21 years. The required evidence of age may be established using any of the items submitted to establish citizenship set out in 49 CFR 1572.17.

(1) An endorsement may be granted to an applicant who has reached the age of 19 years as—

(i) Master of near-coastal, Great Lakes and inland, or river vessels of 25–200 GRT;

(ii) Third mate;

(iii) Third assistant engineer;

(iv) Mate of vessels of between 200 GRT and 1,600 GRT;

(v) Ballast control operator (BCO);

(vi) Assistant engineer (MODU);

(vii) Assistant engineer of fishing industry vessels;

(viii) Mate (pilot) of towing vessels;

(ix) Radio officer;

(x) Assistant engineer (limited); or

(xi) Designated duty engineer of vessels of less than 4,000 HP/3,000 kW.

(2) An endorsement may be granted to an applicant who has reached the age of 18 years as—

(i) Limited master of near-coastal vessels of less than 100 GRT;

(ii) Limited master of Great Lakes and inland vessels of less than 100 GRT;

(iii) Mate of Great Lakes and inland vessels of 25–200 GRT;

(iv) Mate of near-coastal vessels of 25–200 GRT;

(v) Operator of uninspected passenger vessels (OUPV);

(vi) Designated duty engineer of vessels of less than 1,000 HP/750 kW;

(vii) Apprentice mate (steersman) of towing vessels;

(viii) Officer in charge of a navigational watch (OICNW);

(ix) Officer in charge of an engineering watch (OICEW); and

(x) Electro-technical officer (ETO).

(f) *Physical examination.* (1) Persons serving or intending to serve in the merchant marine service are encouraged to take the earliest opportunity to ascertain, through examination, whether their visual acuity, color vision, hearing, and general physical condition, are such as to qualify them for service in that profession. Any physical impairment or medical condition that would render an applicant incompetent to perform the ordinary duties required of an officer is cause for denial of an officer endorsement.

(2) Applications for an original officer endorsement, raises of grade, and extensions of route, must be current and up to date with respect to service and the physical examination, as appropriate. Physical examinations and applications are valid for 12 months from the date the application is approved.

(g) *Character check.* (1) An individual may apply for an original officer endorsement, or officer or STCW endorsement of a different type, while on probation as a result of administrative action under part 5 of this chapter. The offense for which the applicant was placed on probation will be considered in determining his or her fitness to hold the endorsement applied for. An officer or STCW endorsement issued to an applicant on probation will be subject to the same probationary conditions as were imposed against the applicant's other credential. An applicant may not take an examination for an officer or STCW endorsement during any period of time when a suspension without probation or a revocation is effective against the applicant's currently held license, merchant mariner document (MMD), or MMC, or while an appeal from these actions is pending.

(2) If information about the applicant's habits of life and character is brought to the attention of the Coast Guard after an original license, certificate of registry, or officer endorsement has been issued, and if such information reasonably supports the conclusion that the applicant cannot be entrusted with the duties and responsibilities of the license, certificate of registry, or officer endorsement issued, or indicates that the application for the license, certificate of registry, or officer endorsement was false or incomplete, the Coast Guard may notify the holder in writing that the license, certificate of registry, or officer endorsement is considered null and void, direct the holder to return the credential to the Coast Guard, and advise the holder that, upon return of the credential, the appeal procedures of § 10.237 of this subchapter apply.

(h) *Firefighting certificate.* (1) Applicants for an original officer endorsement in the following categories must present a certificate of completion from a firefighting course of instruction that has been approved by the Coast Guard. The firefighting course must have been completed within the past 5 years, or if it was completed more than 5 years before the date of application, the applicant must provide evidence of maintaining the standard of competence in accordance with the firefighting requirements for the credential sought.

(2) The following categories must meet the requirements for basic and advanced firefighting in Regulations VI/1 and VI/3 of the STCW Convention and Tables A–VI/1–2 and A–VI/3 of the STCW Code (both incorporated by reference, see § 11.102 of this part):

(i) National officer endorsements as master or mate on seagoing vessels of 200 GRT or more.

(ii) All national officer endorsements for master or mate (pilot) of towing vessels, except apprentice mate (steersman) of the vessels, on oceans.

(iii) All national officer endorsements for MODUs.

(iv) All national officer endorsements for engineers.

(v) All national officer endorsements for OSVs.

(vi) All STCW officer endorsements except GMDSS radio operator.

(3) The following categories must meet the requirements for basic fire-fighting in Regulation VI/1 of the STCW Convention and Table A-VI/1-2 of the STCW Code:

(i) Officer endorsement as master on vessels of less than 500 GT in ocean service.

(ii) All officer endorsements for master or mate (pilot) of towing vessels, except apprentice mate (steersman) of towing vessels, in all services except oceans.

(4) Applicants for a raise of grade of an officer endorsement who have not previously met the requirements of paragraph (h) of this section must do so.

(i) *First-aid and cardiopulmonary resuscitation (CPR) course certificates.* All applicants for an original officer endorsement, except as provided in §§11.429, 11.456, and 11.467 of this part, must present to the Coast Guard—

(1) Evidence of continued competency in STCW basic training in accordance with §11.302 of this part or a certificate indicating completion not more than 1 year from the date of application of —

(i) The American National Red Cross Standard First Aid course or American National Red Cross Community First Aid & Safety course; or

(ii) A Coast Guard-approved first-aid course; and

(2) A currently valid certificate of completion of a CPR course from either—

(i) The American National Red Cross;

(ii) The American Heart Association; or

(iii) A Coast Guard-approved CPR course.

(j) *Professional examination.* (1) When the Coast Guard finds the applicant's experience and training to be satisfactory, and the applicant is eligible in all other respects, the Coast Guard will authorize examination in accordance with the following requirements:

(i) Except for an endorsement required by the STCW Convention, any applicant for a deck or engineer officer endorsement limited to vessels less than 200 GRT, or an officer endorsement limited to uninspected fishing industry vessels, may request an orally

assisted examination instead of any written or other textual examination. If there are textual questions that the applicant has difficulty reading and understanding, the Coast Guard will offer the orally assisted examination. Each officer endorsement based on an orally assisted examination is limited to the specific route and type of vessel upon which the applicant obtained the majority of service.

(ii) The general instructions for administration of examinations and the lists of subjects for all officer endorsements appear in subpart I of this part. The Coast Guard will place in the applicant's file a record indicating the subjects covered.

(iii) An applicant enrolled in an approved comprehensive program of training, service, and assessment will be authorized for an examination not more than 6 months prior to completion of the comprehensive program, provided all sea service and assessments of competency are completed prior to the examination.

(iv) The examination, whether administered orally or by other means, must be conducted only in the English language.

(2) When the application has been approved for examination, the approval is valid for 1 year.

(3) An examination is not required for a staff officer or radio officer endorsement.

(k) *Radar observer.* Applicants for an endorsement as radar observer must present a certificate of completion from a radar observer course as required by §11.480 of this part.

(l) *Restrictions.* The Coast Guard may modify the service and examination requirements in this part to satisfy the unique qualification requirements of an applicant or distinct group of mariners. The Coast Guard may also lower the age requirement for OUPV applicants. The authority granted by an officer endorsement will be restricted to reflect any modifications made under the authority of this paragraph.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2014-0688, 79 FR 58275, Sept. 29, 2014; USCG-2018-0874, 84 FR 30882, June 28, 2019]

§§ 11.202–11.210 [Reserved]

**§ 11.211 Creditable service and equivalents for national and STCW officer endorsements.**

(a) Applicants for officer endorsements should refer to §10.232 of this subchapter for information regarding requirements for documentation and proof of sea service.

(b) Service toward an oceans, near-coastal, or STCW endorsement will be credited as follows:

(1) Service on the Great Lakes will be credited on a day-for-day basis up to 100 percent of the total required service.

(2) Service on inland waters, other than Great Lakes, that are navigable waters of the United States, will be credited on a day-for-day basis for up to 50 percent of the total required service.

(c) *Service on mobile offshore drilling units.* (1) MODU service is creditable for raise of grade of an officer endorsement. Evidence of 1 year of service on MODUs as mate or equivalent while holding an officer endorsement or license as third mate, or as engineering officer of the watch or equivalent while holding an officer endorsement or license as third assistant engineer, is acceptable for a raise of grade to second mate or second assistant engineer, respectively. However, any subsequent raises of grade of unlimited, non-restricted officer licenses or endorsements must include a minimum of 6 months of service on conventional vessels.

(2) Service on MODUs maintaining station by means of dynamic positioning, may be credited as service on conventional vessels for any raise of grade; however, time more than 8 hours each day will not be credited.

(3) A day of creditable MODU service must be a minimum of 4 hours, and no additional credit will be granted for periods of more than 8 hours.

(4) Creditable MODU service excludes time spent ashore due to crew rotation.

(d) *Service on Articulated Tug Barges (ATBs) and Integrated Tug Barges (ITBs).* Service on ATB or Dual Mode ITB units is creditable for an original deck officer endorsement or raise of grade of any deck officer endorsement.

Service on an ATB or Dual Mode ITB with an aggregate tonnage of 1,600 GRT/3,000 GT or more is creditable on a two-for-one basis (2 days experience equals 1 day of creditable service) for up to 50 percent of the total service on vessels of 1,600 GRT/3,000 GT or more required for an unlimited officer endorsement. The remaining required service on vessels of more than 1,600 GRT/3,000 GT must be obtained on conventional vessels or Push Mode ITBs.

(e) *Service on towing vessels.* Service as master or mate (pilot) on towing vessels, when the aggregate tonnage of the tug and barges is 1,600 GRT/3,000 GT or more, is creditable, using the aggregate tonnage, on a two-for-one basis (2 days experience equals 1 day of creditable service) for up to 50 percent of the total service on vessels of 1,600 GRT/3,000 GT or more required for an unlimited officer endorsement. The remaining required service on vessels of more than 1,600 GRT/3,000 GT must be obtained on conventional vessels. This service must be documented as specified in §10.232(a) of this subchapter.

(f) Individuals obtaining sea service as part of an approved training curriculum pursuant to either §11.407(a)(2) or §11.516(a)(3) of this part must do so in the capacity of cadet (deck) or cadet (engine), as appropriate, notwithstanding any other rating endorsements the individual may hold or any other capacity in which the individual may have served.

(g) *Other experience.* Other experience in a marine-related area, other than at sea, or sea service performed on unique vessels, will be evaluated by the Coast Guard for a determination of equivalence to traditional service.

(h) *Tonnage.* When determining sea service credit for officer endorsement applicants under subpart D of this part, the tonnage of a vessel solely admeasured using the Convention measurement scheme under 46 U.S.C. Chapter 143 will be credited as Gross Register Tonnage. This paragraph does not apply to those vessels measured under the optional regulatory measurement provisions of 46 U.S.C. 14305.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30882, June 28, 2019]

## §§ 11.212–11.216 [Reserved]

## § 11.217 Examination procedures and denial of officer endorsements.

(a) The examination fee set out in Table 1 to § 10.219(a) of this subchapter must be paid before the applicant may take the first examination section. If an applicant fails three or more sections of the examination, a complete re-examination must be taken. On the subsequent exam, if the applicant again fails three or more sections, at least 3 months must elapse before another complete examination is attempted, and a new examination fee is required. If an applicant fails one or two sections of an examination, the applicant may be retested twice on these sections during the next 3 months. If the applicant does not successfully complete these sections within the 3-month period, a complete re-examination must be taken at least 3 months from the date of the last retest, and a new examination fee is required. The 3-month retest period may be extended by the Coast Guard if the applicant presents evidence documenting sea time that prevented the taking of a retest during the 3-month period. The retest period may not be extended beyond 7 months from the initial examination. All examinations and retests must be completed within 1 year of approval for examination.

(b) If the Coast Guard refuses to grant an applicant the endorsement applied for due to the applicant's failure to pass a required examination, the Coast Guard will provide the applicant with a written statement setting forth the portions of the examination that must be retaken and the date by which the examination must be completed.

## §§ 11.219–11.223 [Reserved]

## Subpart C—STCW Officer Endorsements

## § 11.301 Requirements for STCW officer endorsements.

(a) *Standard of competence.* (1) The Coast Guard will accept one or more methods listed in the STCW Code to demonstrate meeting the standard of competence in this subpart. See Column 3—Methods for demonstrating

competence—of the Tables of Competence in the STCW Code (incorporated by reference, see § 11.102 of this part). The Coast Guard will accept the following as evidence of meeting the standard of competence under each of these methods:

(i) In-service experience: Documentation of successful completion of assessments, approved or accepted by the Coast Guard, and signed by a qualified assessor (QA)—deck or engineering—as appropriate.

(ii) Training ship experience: Documentation of successful completion of an approved training program involving formal training and assessment on-board a training ship.

(iii) Simulator training: Documentation of successful completion of training and assessment from a Coast Guard-approved course involving maritime simulation.

(iv) Laboratory equipment training: Documentation of successful completion of training and assessments from an approved training course or facility.

(v) Practical training or instruction:

(A) Documentation of successful completion of assessment as part of a structured/formal training or instruction provided by an organization or company as part of an accepted safety or quality management system; or

(B) Documentation of successful completion of an approved training course from a school or facility.

(vi) Specialist training: Documentation of successful completion of assessment as part of a company training or specialized training provided by a maritime or equipment specialist.

(vii) Workshop skills training: Documentation of successful completion of assessments or completion certificate from an approved training program, school or facility.

(viii) Training program: Documentation of successful completion of an approved training program.

(ix) Training on a manned scale ship model: Documentation of successful completion of assessment as part of a structured/formal training or instruction provided by an approved training school or facility.

(x) Practical demonstration of competence: Documentation of successful

completion of assessments approved or accepted by the Coast Guard.

(xi) Practical test and practical experience: Documentation of successful completion of assessments approved or accepted by the Coast Guard.

(xii) Examination: Successful completion of a Coast Guard examination.

(xiii) Instruction or course: Documentation of successful completion of an approved or accepted course of instruction.

(2) Knowledge components may be documented by—

(i) Successful completion of the Coast Guard examination for the associated officer endorsement;

(ii) Successful completion of an approved course; or

(iii) Successful completion of an approved program.

(3) The Coast Guard will publish assessment guidelines that should be used to document assessments that demonstrate meeting the standard of competence, as required by paragraph (a)(1) of this section. Organizations may develop alternative assessment documentation for demonstrations of competence; however, such documentation must be approved by the Coast Guard prior to its use and submittal with an application.

(b) *Service.* (1) Service as a rating will not be accepted to raise of grade from the operational-level to management-level STCW endorsements.

(2) Service on the Great Lakes will be credited on a day-for-day basis for up to 100 percent of the total required service.

(3) Service on inland waters other than Great Lakes, which are navigable waters of the United States, will be credited on a day-for-day basis for up to 50 percent of the total required service.

(4) Service accrued onboard vessels with dual tonnages (both domestic and international) will be credited using the international tonnage for the credential sought.

(5) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years as described in §11.303(c) of this subpart, will be required to meet the requirements of §11.303(a) of this subpart.

(c) *Operational-level endorsement.* Applicants holding national officer endorsements, who seek to add an STCW endorsement at the operational level, must provide evidence of meeting the STCW requirements found in this subpart, including—

(1) Meeting the service requirements for the operational-level STCW endorsement;

(2) Satisfactory completion of the STCW operational-level standards of competence; and

(3) Satisfactory completion of the STCW operational-level training as required in this part.

(d) *Management-level endorsement.* Applicants holding national officer endorsements as master, chief mate, chief engineer, or first assistant engineer, and who seek to add an STCW endorsement at the management level, must provide evidence of meeting the STCW requirements found in this subpart, including—

(1) Meeting the service requirements for the management-level STCW endorsement;

(2) Satisfactory completion of the STCW operational- and management-level standards of competence; and

(3) Satisfactory completion of the STCW operational- and management-level training as required in this part.

(e) *Training and assessment for Automatic Radar Plotting Aids (ARPA), Electronic Chart Display and Information System (ECDIS), or Global Maritime Distress and Safety System (GMDSS).* Training and assessment in the use of ARPA, ECDIS, or GMDSS is not required for those who serve exclusively on ships not fitted with ARPA, ECDIS, or GMDSS. For ARPA and ECDIS, this limitation must be reflected in the endorsement issued to the seafarer concerned. GMDSS is a separate endorsement that will only be added if the applicant qualifies for it.

(f) *Exemptions and Limitations.* (1) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in the appropriate table of competence in the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type.

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Under these circumstances, the certificate may include a corresponding limitation. (2) A seafarer may have a limitation removed by providing the Coast Guard with evidence of having completed the individual knowledge, understanding, and proficiency required.

(g) Notwithstanding §11.901 of this part, each mariner found qualified to hold any of the following national officer endorsements will also be entitled to hold an STCW endorsement corresponding to the service or other limitations of the license or officer endorsements on the MMC. The vessels concerned are not subject to further obligation under STCW because of their special operating conditions as small vessels engaged in domestic, near-coastal voyages.

(1) Masters, mates, or engineers endorsed for service on small passenger vessels that are subject to subchapter T or K of this chapter and that operate beyond the boundary line.

(2) Masters, mates, or engineers endorsed for service on seagoing vessels of less than 200 GRT, other than passenger vessels subject to subchapter H of this chapter.

(h) Mariners serving on, and owners or operators of any of the following vessels, do not need to hold an STCW endorsement, because they are exempt from application of STCW:

(1) Fishing vessels as defined in 46 U.S.C. 2101(11)(a).

(2) Fishing vessels used as fish-tender vessels as defined in 46 U.S.C. 2101(11)(c).

(3) Barges as defined in 46 U.S.C. 102, including non-self-propelled mobile offshore drilling units.

(4) Vessels operating exclusively on the Great Lakes or on the inland waters of the United States in the Straits of Juan de Fuca or on the Inside Passage between Puget Sound and Cape Spencer.

(i) Mariners serving on, and owners or operators of uninspected passenger vessels as defined in 46 U.S.C. 2101(42)(B), do not need to hold an STCW endorsement. The vessels concerned are not subject to further obligation under STCW because of their special operating conditions as small

vessels engaged in domestic, near-coastal voyages.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2014-0688, 79 FR 58276, Sept. 29, 2014; USCG-2018-0874, 84 FR 30882, June 28, 2019]

### § 11.302 Basic training.

(a) Applicants seeking an STCW officer endorsement must provide evidence of meeting the standard of competence for basic training (BT) as follows:

(1) Personal survival techniques as set out in Table A-VI/1-1 of the STCW Code (incorporated by reference, see §11.102 of this part).

(2) Fire prevention and firefighting as set out in Table A-VI/1-2 of the STCW Code.

(3) Elementary first aid as set out in Table A-VI/1-3 of the STCW Code.

(4) Personal safety and social responsibilities as set out in Table A-VI/1-4 of the STCW Code.

(b) Every 5 years seafarers qualified in accordance with §11.301(c) and (d) of this subpart must provide evidence of maintaining the standard of competence for BT.

(c) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, for the following areas:

(1) Personal survival techniques as set out in Table A-VI/1-1 of the STCW Code:

(i) Donning a lifejacket.

(ii) Boarding a survival craft from the ship, while wearing a lifejacket.

(iii) Taking initial actions on boarding a lifeboat to enhance chance of survival.

(iv) Streaming a lifeboat drogue or sea-anchor.

(v) Operating survival craft equipment.

(vi) Operating location devices, including radio equipment.

(2) Fire prevention and firefighting as set out in Table A-VI/1-2 of the STCW Code:

(i) Using self-contained breathing apparatus.

(ii) Performing a rescue in a smoke-filled space, using an approved smoke-generating device aboard, while wearing a breathing apparatus.

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(3) Elementary first aid as set out in Table A–VI/1–3 of the STCW Code.

(4) Personal safety and social responsibilities as set out in Table A–VI/1–4 of the STCW Code.

(d) The Coast Guard will only accept evidence of approved assessments conducted ashore for the following areas:

(1) Personal survival techniques as set out in Table A–VI/1–1 of the STCW Code:

(i) Donning and using an immersion suit.

(ii) Safely jumping from a height into the water.

(iii) Righting an inverted liferaft while wearing a lifejacket.

(iv) Swimming while wearing a lifejacket.

(v) Keeping afloat without a lifejacket.

(2) Fire prevention and firefighting as set out in Table A–VI/1–2 of the STCW Code:

(i) Using various types of portable fire extinguishers.

(ii) Extinguishing smaller fires, e.g., electrical fires, oil fires, and propane fires.

(iii) Extinguishing extensive fires with water, using jet and spray nozzles.

(iv) Extinguishing fires with foam, powder, or any other suitable chemical agent.

(v) Fighting fire in smoke-filled enclosed spaces wearing self-contained breathing apparatus.

(vi) Extinguishing fire with water fog or any other suitable firefighting agent in an accommodation room or simulated engineroom with fire and heavy smoke.

(vii) Extinguishing oil fire with fog applicator and spray nozzles, dry chemical powder, or foam applicators.

(e) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (c) of this section, will be required to meet the requirements of paragraph (a) of this section or complete approved or accepted refresher training.

#### § 11.303 Advanced firefighting.

(a) *Advanced firefighting.* Applicants seeking an STCW officer endorsement must provide evidence of meeting the standard of competence as set out in

Table A–VI/3 of the STCW Code (incorporated by reference, see § 11.102 of this part). Applicants for an original STCW officer endorsement, who met the requirements of § 11.201(h) of this part will be deemed to have met the requirement of this paragraph.

(b) Every 5 years seafarers qualified in accordance with paragraph (a) of this section must provide evidence of maintaining the standard of competence as set out in Table A–VI/3 of the STCW Code.

(c) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (b) of this section for the following areas as set out in Table A–VI/3 of the STCW Code:

(1) Control firefighting operations aboard ships with the following knowledge, understanding, and proficiencies:

(i) Firefighting procedures at sea and in port, with particular emphasis on organization, tactics and command.

(ii) Communication and coordination during firefighting operations.

(iii) Ventilation control, including smoke extraction.

(iv) Control of fuel and electrical systems.

(v) Firefighting process hazards (dry distillation, chemical reactions, boiler uptake).

(vi) Fire precautions and hazards associated with the storage and handling of materials.

(vii) Management and control of injured persons.

(viii) Procedures for coordination with shore-based firefighters.

(2) Inspect and service fire-detection and extinguishing systems and equipment.

(i) Requirements for statutory and classification surveys.

(ii) Reserved.

(d) The Coast Guard will only accept evidence of assessments conducted ashore as meeting the requirements of paragraph (b) of this section for the following areas as set out in Table A–VI/3 of the STCW Code:

(1) Control firefighting operations aboard ships with the following knowledge, understanding, and proficiencies:

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(i) Use of water for fire-extinguishing, the effect on ship stability, precautions and corrective procedures.

(ii) Firefighting involving dangerous goods.

(2) Organize and train fire parties.

(3) Inspect and service fire-detection and extinguishing systems and equipment.

(i) Fire detection. Fire-detection systems; fixed fire-extinguishing systems; portable and mobile fire-extinguishing equipment, including appliances, pumps and rescue, salvage; life-support; personal protective and communication equipment.

(ii) Reserved.

(4) Investigate and compile reports on incidents involving fire.

(e) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (c) of this section, will be required to meet the requirements of paragraph (a) of this section or complete approved or accepted refresher training.

### § 11.304 STCW deck officer endorsements.

(a) Specific requirements for all STCW deck officer endorsements are detailed in the applicable sections in this part.

(1) Master on vessels of 3,000 GT or more (management level).

(2) Chief mate on vessels of 3,000 GT or more (management level).

(3) Officer in charge of a navigational watch (OICNW) of vessels of 500 GT or more (operational level).

(4) Master of vessels of 500 GT or more and less than 3,000 GT (management level).

(5) Chief mate of vessels of 500 GT or more and less than 3,000 GT (management level).

(6) Master of vessels of less than 500 GT (management level).

(7) Master of vessels of less than 500 GT limited to near-coastal waters (management level).

(8) OICNW of vessels of less than 500 GT (operational level).

(9) OICNW of vessels of less than 500 GT limited to near-coastal waters (operational level).

(b) [Reserved]

### § 11.305 Requirements to qualify for an STCW endorsement as master of vessels of 3,000 GT or more (management level).

(a) To qualify for an STCW endorsement as master, an applicant must—

(1) Provide evidence of 36 months of service as OICNW on vessels operating in oceans, near-coastal waters, and/or Great Lakes. This period may be reduced to not less than 24 months if the applicant served as chief mate for not less than 12 months. Service on inland waters that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department on vessels may be creditable for up to 3 months of the service requirements;

(2) Provide evidence of meeting the standard of competence specified in Section A-II/2 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following subject areas:

(i) Advanced ship handling.

(ii) Advanced stability.

(iii) Advanced meteorology.

(iv) Leadership and managerial skills.

(v) Search and rescue.

(vi) ARPA, if serving on a vessel with this equipment.

(vii) ECDIS, if serving on a vessel with this equipment.

(viii) GMDSS, if serving on a vessel with this equipment.

(ix) Management of medical care.

(b) For a renewal of an STCW endorsement as master of vessels of 3,000 GT or more to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

(1) Leadership and managerial skills.

(2) ECDIS, if serving on a vessel with this equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/2 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

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(d) Seafarers holding an STCW endorsement as masters of vessels of 500 GT or more and less than 3,000 GT, in accordance with §11.311 of this subpart, are eligible to apply for the endorsement as master on vessels of 3,000 GT or more upon completion of 6 months of sea service, under the authority of the endorsement, and must complete

any items in paragraphs (a)(2) and (a)(3) of this section not previously satisfied.

(e) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in table 1 to this paragraph:

TABLE 1 TO § 11.305(e)—STCW ENDORSEMENT AS MASTER OF VESSELS OF 3,000 GT OR MORE

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/2 <sup>2</sup>	Training required by this section <sup>3</sup>
Master ocean or near-coastal, unlimited tonnage .....	None .....	Yes .....	Yes.
Master OSV .....	None .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 11.307 Requirements to qualify for an STCW endorsement as chief mate of vessels of 3,000 GT or more (management level).**

(a) To qualify for an STCW endorsement as chief mate, an applicant must—

(1) Provide evidence of 12 months of service as OICNW on vessels operating in oceans, near-coastal waters, and/or Great Lakes. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department on vessels may be creditable for up to 1 month of the service requirements;

(2) Meet the standard of competence specified in Section A–II/2 of the STCW Code (incorporated by reference, see §11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following subject areas:

- (i) Advanced ship handling.
- (ii) Advanced stability.
- (iii) Advanced meteorology.
- (iv) Leadership and managerial skills.
- (v) Search and rescue.
- (vi) ARPA, if serving on a vessel with this equipment.
- (vii) ECDIS, if serving on a vessel with this equipment.

(viii) GMDSS, if serving on a vessel with this equipment.

(ix) Management of medical care.

(b) For a renewal of an STCW endorsement as chief mate of vessels of 3,000 GT or more to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

- (1) Leadership and managerial skills.
- (2) ECDIS, if serving on a vessel with this equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A–II/2 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers holding an STCW endorsement as chief mate of vessels of 500 GT or more and less than 3,000 GT, in accordance with §11.313 of this subpart, are eligible to apply for the endorsement as chief mate on vessels of 3,000 GT or more upon completion of 6 months of sea service, under the authority of the endorsement, and must complete any items in paragraphs (a)(2) and (a)(3) of this section not previously satisfied.

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(e) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.307(e)—STCW ENDORSEMENT AS CHIEF MATE OF VESSELS OF 3,000 GT OR MORE

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/2 <sup>2</sup>	Training required by this section <sup>3</sup>
Chief mate ocean or near-coastal, unlimited tonnage .....	None .....	Yes .....	Yes.
Master ocean or near-coastal, less than 500 GRT .....	12 months .....	Yes .....	Yes.
Chief mate OSV .....	None .....	Yes .....	Yes.
Master towing vessel ocean or near-coastal .....	12 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

### § 11.309 Requirements to qualify for an STCW endorsement as Officer in charge of a navigational watch (OICNW) of vessels of 500 GT or more (operational level).

(a) To qualify for an STCW endorsement as OICNW, an applicant must—

(1) Provide evidence of seagoing service as follows:

(i) Thirty-six months of seagoing service in the deck department on vessels operating in oceans, near-coastal waters, and/or Great Lakes. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service; or

(ii) Twelve months of seagoing service as part of an approved training program, which includes onboard training that meets the requirements of Section A-II/1 of the STCW Code (incorporated by reference, see § 11.102 of this part);

(2) Provide evidence of having performed, during the required seagoing service, bridge watchkeeping duties under the supervision of an officer holding the STCW endorsement as master, chief mate, second mate, or OICNW, for a period of not less than 6 months;

(3) Provide evidence of meeting the standard of competence specified in Section A-II/1 of the STCW Code; and

(4) Provide evidence of having satisfactorily completed approved training in the following subject areas:

- (i) Medical first-aid provider.
- (ii) Radar observer.

(iii) Search and rescue.

(iv) Basic and advanced firefighting in accordance with § 11.303 of this subpart.

(v) Proficiency in survival craft and rescue boats other than fast rescue boats (PSC) or proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats (PSC-limited).

(vi) Visual signaling.

(vii) Bridge resource management (BRM).

(viii) Terrestrial and celestial navigation, and electronic navigation systems.

(ix) Watchkeeping, including International Regulations for Preventing Collisions at Sea (COLREGS) and IMO standard marine communication phrases (SMCP).

(x) Cargo handling and stowage.

(xi) Ship handling.

(xii) Stability and ship construction.

(xiii) Meteorology.

(xiv) ARPA, if serving on a vessel with this equipment.

(xv) GMDSS, if serving on a vessel with this equipment.

(xvi) ECDIS, if serving on a vessel with this equipment.

(b) Experience gained in the engine department on vessels may be creditable for up to 3 months of the service requirements in paragraph (a)(1)(i) of this section.

(c) For a renewal of an STCW endorsement as OICNW of vessels of 500

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GT or more to be valid on or after January 1, 2017, each candidate must provide the following:

(1) Evidence of meeting the standard of competence in leadership and teamworking skills.

(2) Completion of approved training in ECDIS, if serving on a vessel with this equipment.

(d) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and pro-

ficiency required in Section A-II/1 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(e) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.309(e)—STCW ENDORSEMENT AS OICNW OF VESSELS OF 500 GT OR MORE

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/1 <sup>2</sup>	Training required by this section <sup>3</sup>
Mate ocean or near-coastal, unlimited tonnage .....	None .....	Yes .....	Yes.
Master ocean or near-coastal, less than 500 GRT .....	6 months .....	Yes .....	Yes.
Mate ocean or near-coastal, less than 1,600 GRT .....	None .....	Yes .....	Yes.
Mate ocean or near-coastal, less than 500 GRT .....	12 months .....	Yes .....	Yes.
Mate OSV .....	12 months <sup>1</sup> .....	Yes .....	Yes.
Mate towing vessel ocean or near-coastal .....	6 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(4) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

### § 11.311 Requirements to qualify for an STCW endorsement as master of vessels of 500 GT or more and less than 3,000 GT (management level).

(a) To qualify for an STCW endorsement as master, an applicant must—

(1) Provide evidence of 36 months of service as OICNW on vessels operating in oceans, near-coastal waters, and/or Great Lakes. However, this period may be reduced to not less than 24 months if the applicant served as chief mate for not less than 12 months. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department on vessels may be creditable for up to 3 months of the service requirements;

(2) Provide evidence of meeting the standard of competence specified in Section A-II/2 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following subject areas:

(i) Advanced ship handling.

(ii) Advanced stability.

(iii) Advanced meteorology.

(iv) Leadership and managerial skills.

(v) Search and rescue.

(vi) Management of medical care.

(vii) ECDIS, if serving on a vessel with this equipment.

(viii) ARPA, if serving on a vessel with this equipment.

(ix) GMDSS, if serving on a vessel with this equipment.

(b) For a renewal of an STCW endorsement as master of vessels of 500 GT or more and less than 3,000 GT to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

(1) Leadership and managerial skills.

(2) ECDIS, if serving on a vessel with this equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/2 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these

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circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements

are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.311(d)—STCW ENDORSEMENT AS MASTER OF VESSELS OF 500 GT OR MORE AND LESS THAN 3,000 GT

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/2 <sup>2</sup>	Training required by this section <sup>3</sup>
Master oceans or near-coastal, less than 1,600 GRT .....	None .....	Yes .....	Yes.
Master OSV .....	None .....	Yes .....	Yes.
Master oceans or near-coastal, less than 500 GRT .....	12 months .....	Yes .....	Yes.
Master towing vessel oceans or near-coastal .....	12 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

### § 11.313 Requirements to qualify for an STCW endorsement as chief mate of vessels of 500 GT or more and less than 3,000 GT (management level).

(a) To qualify for an STCW endorsement as chief mate, an applicant must—

(1) Provide evidence of 12 months of service as OICNW on vessels operating in oceans, near-coastal waters, and/or Great Lakes. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department on vessels may be creditable for up to 1 month of the service requirements;

(2) Provide evidence of meeting the standard of competence specified in Section A-II/2 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following subject areas:

- (i) Advanced ship handling.
- (ii) Advanced stability.
- (iii) Advanced meteorology.
- (iv) Leadership and managerial skills.
- (v) Search and rescue.

(vi) Management of medical care.

(vii) ECDIS, if serving on a vessel with this equipment.

(viii) ARPA, if serving on a vessel with this equipment.

(ix) GMDSS, if serving on a vessel with this equipment.

(b) For a renewal of an STCW endorsement as chief mate of vessels of 500 GT or more and less than 3,000 GT to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

(1) Leadership and managerial skills.

(2) ECDIS, if serving on a vessel with this equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/2 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.313(d)—STCW ENDORSEMENT AS CHIEF MATE OF VESSELS OF 500 GT OR MORE AND LESS THAN 3,000 GT

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/2 <sup>2</sup>	Training required by this section <sup>3</sup>
Chief mate OSV .....	None .....	Yes .....	Yes.
Master oceans or near-coastal, less than 500 GRT .....	6 months .....	Yes .....	Yes.
Master towing vessel oceans or near-coastal .....	6 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 11.315 Requirements to qualify for an STCW endorsement as master of vessels of less than 500 GT (management level).**

(a) To qualify for an STCW endorsement as master, an applicant must—

(1) Provide evidence of 36 months of seagoing service as OICNW on vessels operating in oceans, near-coastal waters, and/or Great Lakes; however, this period may be reduced to not less than 24 months if not less than 12 months of such seagoing service has been served as chief mate. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department may be creditable for up to 3 months of the service requirements;

(2) Provide evidence of meeting the standard of competence specified in Section A–II/2 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following subject areas:

- (i) Search and rescue.
- (ii) Management of medical care.

(iii) Leadership and managerial skills.

(iv) ECDIS, if serving on a vessel with this equipment.

(v) ARPA, if serving on a vessel with this equipment.

(vi) GMDSS, if serving on a vessel with this equipment.

(b) For a renewal of an STCW endorsement as master of vessels of less than 500 GT to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

- (1) Leadership and managerial skills.
- (2) ECDIS, if serving on a vessel with this equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A–II/2 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.315(d)—STCW ENDORSEMENT AS MASTER OF VESSELS OF LESS THAN 500 GT

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/2 <sup>2</sup>	Training required by this section <sup>3</sup>
Master oceans or near-coastal, less than 500 GRT .....	None .....	Yes .....	Yes.
Master towing vessel oceans or near-coastal .....	None .....	Yes .....	Yes.
Master oceans or near-coastal, less than 200 GRT .....	12 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

## Coast Guard, DHS

## § 11.317

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by 84 FR 30882, June 28, 2019]

### § 11.317 Requirements to qualify for an STCW endorsement as master of vessels of less than 500 GT limited to near-coastal waters (management level).

(a) To qualify for an STCW endorsement as master, an applicant must—

(1) Provide evidence of 12 months of service as OICNW, on vessels operating in oceans, near-coastal waters, and/or Great Lakes. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department on vessels may be creditable for up to 1 month of the service requirements;

(2) Provide evidence of meeting the standard of competence specified in Section A-II/3 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following subject areas:

- (i) Medical first-aid provider.
- (ii) Basic and advanced firefighting in accordance with § 11.303 of this subpart.
- (iii) Proficiency in survival craft and rescue boats other than fast rescue boats (PSC) or proficiency in survival

craft and rescue boats other than lifeboats and fast rescue boats (PSC-limited).

(iv) Leadership and managerial skills.

(v) ECDIS, if serving on a vessel with this equipment.

(vi) Radar observer, if serving on a vessel with this equipment.

(vii) ARPA, if serving on a vessel with this equipment.

(b) For a renewal of an STCW endorsement as master of vessels of less than 500 GT limited to near-coastal waters to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

- (1) Leadership and managerial skills.
- (2) ECDIS, if serving on a vessel with this equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/3 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.317(d)—STCW ENDORSEMENT AS MASTER OF VESSELS OF LESS THAN 500 GT LIMITED TO NEAR-COASTAL WATERS

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/3 <sup>2</sup>	Training required by this section <sup>3</sup>
Mate oceans or near-coastal, less than 500 GRT .....	None .....	Yes .....	Yes.
Mate towing vessel oceans or near-coastal .....	None .....	Yes .....	Yes.
Master oceans or near-coastal, less than 200 GRT .....	6 months .....	Yes .....	Yes.
Mate oceans or near-coastal, less than 200 GRT .....	12 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014]

**§ 11.319 Requirements to qualify for an STCW endorsement as Officer in Charge of a Navigational Watch (OICNW) of vessels of less than 500 GT (operational level).**

(a) To qualify for an STCW endorsement as OICNW, an applicant must—

(1) Provide evidence of seagoing service as follows:

(i) Provide evidence of 36 months of service in the deck department on vessels operating in oceans, near-coastal waters, and/or Great Lakes. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the required service. Experience gained in the engine department may be creditable for up to 3 months of the service requirements; or

(ii) Provide evidence of not less than 12 months of seagoing service as part of an approved training program that includes onboard training that meets the requirements of Section A-II/1 of the STCW Code (incorporated by reference, see § 11.102 of this part).

(2) Provide evidence of having performed during the required seagoing service, bridge watchkeeping duties, under the supervision of an officer holding the STCW endorsement as master, chief mate, or OICNW, for a period of not less than 6 months. The Coast Guard will accept service on vessels as boatswain, able seaman, or quartermaster while holding the appropriate deck watchkeeping rating endorsement, which may be accepted on a two-for-one basis to a maximum allowable substitution of 3 months (6 months of experience equals 3 months of creditable service);

(3) Provide evidence of meeting the standard of competence specified in Section A-II/1 of the STCW Code; and

(4) Provide evidence of having satisfactorily completed approved training in the following subject areas:

(i) Medical first-aid provider.  
(ii) Radar observer, if serving on a vessel with this equipment.

(iii) Watchkeeping, including COLREGS and IMO standard marine communication phrases (SMCP).

(iv) Basic and advanced firefighting in accordance with § 11.303 of this subpart.

(v) Proficiency in survival craft and rescue boats other than fast rescue boats (PSC) or proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats (PSC-limited).

(vi) Visual signaling.

(vii) Bridge resource management;

(viii) ARPA, if serving on a vessel with this equipment.

(ix) GMDSS, if serving on a vessel with this equipment.

(x) ECDIS, if serving on a vessel with this equipment.

(b) For a renewal of an STCW endorsement as OICNW of vessels of less than 500 GT to be valid on or after January 1, 2017, each candidate must provide the following:

(1) Evidence of meeting the standard of competence in leadership and teamworking skills.

(2) Completion of approved training in ECDIS, if serving on a vessel with this equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/1 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.319(d)—STCW ENDORSEMENT AS OFFICER IN CHARGE OF A NAVIGATIONAL WATCH (OICNW) OF VESSELS OF LESS THAN 500 GT.

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/1 <sup>2</sup>	Training required by this section <sup>3</sup>
Mate oceans or near-coastal, less than 500 GRT .....	None .....	Yes .....	Yes.
Mate towing vessel oceans or near-coastal .....	None .....	Yes .....	Yes.
Master oceans or near-coastal, less than 200 GRT .....	6 months .....	Yes .....	Yes.

TABLE 1 TO § 11.319(d)—STCW ENDORSEMENT AS OFFICER IN CHARGE OF A NAVIGATIONAL WATCH (OICNW) OF VESSELS OF LESS THAN 500 GT.—Continued

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/1 <sup>2</sup>	Training required by this section <sup>3</sup>
Mate oceans or near-coastal, less than 200 GRT .....	12 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(4) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 11.321 Requirements to qualify for an STCW endorsement as officer in charge of a navigational watch (OICNW) of vessels of less than 500 GT limited to near-coastal waters (operational level).**

(a) To qualify for an STCW endorsement as OICNW, an applicant must—

(1) Provide evidence of seagoing service as follows:

(i) Twenty-four months of seagoing service in the deck department on vessels operating in oceans, near-coastal waters, and/or Great Lakes. Service on inland waters, bays, or sounds that are navigable waters of the United States may be substituted for up to 50 percent of the total required service. Experience gained in the engine department may be creditable for up to 3 months of the service requirements; or

(ii) Successful completion of an approved training program that includes seagoing service as required by the Coast Guard; or

(iii) Successful completion of approved training for this section and obtain 12 months of seagoing service;

(2) Provide evidence of meeting the standard of competence specified in Section A-II/3 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following subject areas:

(i) Medical first-aid provider.

(ii) Basic and advanced firefighting in accordance with § 11.303 of this subpart.

(iii) Proficiency in survival craft and rescue boats other than fast rescue boats (PSC) or proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats (PSC-limited).

(iv) Bridge resource management;

(v) ECDIS, if serving on a vessel with this equipment.

(vi) Radar observer, if serving on a vessel with this equipment.

(vii) ARPA, if serving on a vessel with this equipment.

(b) For a renewal of an STCW endorsement as OICNW of vessels of less than 500 GT limited to near-coastal waters to be valid on or after January 1, 2017, each candidate must provide the following:

(1) Evidence of meeting the standard of competence in leadership and teamworking skills.

(2) Completion of approved training in ECDIS, if serving on a vessel with this equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/3 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.321(d)—STCW ENDORSEMENT AS OICNW OF VESSELS OF LESS THAN 500 GT LIMITED TO NEAR-COASTAL WATERS

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/3 <sup>2</sup>	Training required by this section <sup>3</sup>
Mate oceans or near-coastal less than 500 GRT .....	None .....	Yes .....	Yes.
Mate towing vessel oceans or near-coastal .....	None .....	Yes .....	Yes.
Master oceans or near-coastal, less than 200 GRT .....	None .....	Yes .....	Yes.
Mate oceans or near-coastal, less than 200 GRT .....	6 months .....	Yes .....	Yes.

<sup>1</sup>This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup>Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup>Complete any items in paragraph (a)(3) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014]

### § 11.323 STCW engineer officer endorsements.

(a) Specific requirements for all STCW engineer officer endorsements are detailed in the applicable sections in this part.

(1) Chief engineer officer on vessels powered by main propulsion machinery of 3,000 kW/4,000 HP propulsion power or more (management level).

(2) Second engineer officer on vessels powered by main propulsion machinery of 3,000 kW/4,000 HP propulsion power or more (management level).

(3) Officer in charge of an engineering watch (OICEW) in a manned engine room, or as a designated duty engineer in a periodically unmanned engine room, on vessels powered by main propulsion machinery of 750 kW/1,000 HP propulsion power or more (operational level).

(4) Chief engineer officer on vessels powered by main propulsion machinery of between 750 kW/1,000 HP and 3,000 kW/4,000 HP propulsion power (management level).

(5) Second engineer officer on vessels powered by main propulsion machinery of 750 kW/1,000 HP to 3,000 kW/4,000 HP propulsion power (management level).

(6) Electro-technical officer on vessels powered by main propulsion machinery of 750 kW/1,000 HP or more (operational level).

(b) *Limitations.* (1) STCW engineer officer endorsements issued in accordance with §§ 11.325, 11.327, 11.329, 11.331, 11.333, and 11.335 of this subpart will be restricted to specific propulsion modes for steam, motor, or gas turbine-propelled vessels as appropriate.

(2) STCW engineer officer endorsements issued in accordance with §§ 11.325, 11.327, 11.329, 11.331, 11.333, and 11.335 of this subpart for motor or gas turbine-propelled vessels may be endorsed as limited to serve on vessels without auxiliary boilers, waste-heat boilers, distilling plants, oily water separators, or sewage treatment plants. An applicant may qualify for removal of any of these limitations by demonstrating the appropriate competencies.

(c) An engineer officer who does not hold an STCW endorsement may serve on seagoing vessels propelled by machinery of less than 750 kW/1,000 HP, the vessels specified in § 15.105(f) and (g) of this subchapter, and vessels operating on the Great Lakes or inland waters of the United States.

(d) An officer endorsement issued in the grade of chief engineer (limited) or assistant engineer (limited) allows the holder to serve within any propulsion power limitations on vessels of unlimited tonnage on inland waters, on vessels of less than 3,000 GT in Great Lakes service, and on the vessels specified in § 15.105(f) and (g) of this subchapter.

### § 11.325 Requirements to qualify for an STCW endorsement as chief engineer officer on vessels powered by main propulsion machinery of 3,000 kW/4,000 HP propulsion power or more (management level).

(a) To qualify for an STCW endorsement as chief engineer officer, an applicant must—

(1) Provide evidence of not less than 36 months of service as OICEW on ships

powered by main propulsion machinery of 750 kW/1,000 HP propulsion power or more. This period may be reduced to not less than 24 months if the applicant has served for not less than 12 months as second engineer officer on ships powered by propulsion machinery of 3,000 kW/4,000 HP or more;

(2) Provide evidence of meeting the standard of competence specified in Section A-III/2 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following areas:

(i) Engineroom resource management (ERM) if not completed at the operational level.

(ii) Leadership and managerial skills.

(iii) Management of electrical and electronic control equipment.

(b) For a renewal of an STCW endorsement as chief engineer officer on vessels powered by main propulsion

machinery of 3,000 kW/4,000 HP propulsion power or more to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

(1) ERM if not completed at the operational level.

(2) Leadership and managerial skills.

(3) Management of electrical and electronic control equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-III/2 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.325(d)—STCW ENDORSEMENT AS CHIEF ENGINEER OFFICER ON VESSELS POWERED BY MAIN PROPULSION MACHINERY OF 3,000kW/4,000HP PROPULSION POWER OR MORE

Entry path from national endorsements	Sea service <sup>1</sup>	Competence—STCW Table A-III/2 <sup>2</sup>	Training required by this section <sup>3</sup>
Chief engineer .....	None .....	Yes .....	Yes.
Chief engineer (limited) .....	12 months .....	Yes .....	Yes.
Chief engineer (MODU) .....	12 months/24 months <sup>4</sup> .....	Yes .....	Yes.
Chief engineer (OSV) .....	None .....	Yes .....	Yes.
Designated duty engineer, any horsepower <sup>5</sup> .....	24 months as DDE .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

<sup>4</sup> Depending on the type of sea service used to obtain chief engineer (MODU) (refer to § 11.542 of this part)

<sup>5</sup> STCW certificate should be limited to vessels less than 500 GRT.

**§ 11.327 Requirements to qualify for an STCW endorsement as second engineer officer on vessels powered by main propulsion machinery of 3,000kW/4,000 HP propulsion power or more (management level).**

(a) To qualify for an STCW endorsement as second engineer officer, an applicant must—

(1) Provide evidence of not less than 12 months of service as OICEW on vessels powered by main propulsion machinery of 750kW/1,000 HP or more; or 12 months of sea service as a chief engineer on vessels powered by propulsion machinery of vessels between 750kW/1,000 HP and 3,000 kW/4,000 HP;

(2) Provide evidence of meeting the standard of competence specified in Section A-III/2 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following areas:

(i) Engineroom resource management (ERM) if not completed at the operational level.

(ii) Leadership and managerial skills.

(iii) Management of electrical and electronic control equipment.

(b) For a renewal of an STCW endorsement as second engineer officer on vessels powered by main propulsion

machinery of 3,000 kW/4,000 HP propulsion power or more to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

- (1) ERM if not completed at the operational level.
- (2) Leadership and managerial skills.
- (3) Management of electrical and electronic control equipment.
- (c) The Coast Guard may exempt an applicant from meeting any individual

knowledge, understanding, and proficiency required in Section A-III/2 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.327(d)—STCW ENDORSEMENT AS SECOND ENGINEER OFFICER ON VESSELS POWERED BY MAIN PROPULSION MACHINERY OF 3,000 kW/4,000 HP PROPULSION POWER OR MORE

Entry path from national endorsements	Sea service <sup>1</sup>	Competence— STCW Table A-III/ 2 <sup>2</sup>	Training required by this section <sup>3</sup>
First assistant engineer .....	None .....	Yes .....	Yes.
Second assistant engineer .....	None .....	Yes .....	Yes.
Third assistant engineer .....	12 months .....	Yes .....	Yes.
Assistant engineer (limited) .....	12 months .....	Yes .....	Yes.
Chief engineer MODU .....	12 months .....	Yes .....	Yes.
Chief engineer OSV .....	None .....	Yes .....	Yes.
Designated duty engineer, unlimited <sup>4</sup> .....	12 months as DDE ..	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

<sup>4</sup> STCW certificate should be limited to vessels less than 500 GRT.

**§ 11.329 Requirements to qualify for an STCW endorsement as Officer in Charge of an Engineering Watch (OICEW) in a manned engineroom or designated duty engineer in a periodically unmanned engineroom on vessels powered by main propulsion machinery of 750 kW/1,000 HP propulsion power or more (operational level).**

(a) To qualify for an STCW endorsement as OICEW, an applicant must—

(1) Provide evidence of seagoing service as follows:

- (i) Thirty-six months of seagoing service in the engine department; or
- (ii) Successful completion of an approved training program, which includes a combination of workshop skill training and seagoing service of not less than 12 months, and that meets the requirements of Section A-III/1 of the STCW Code (incorporated by reference, see § 11.102 of this part);

(2) Provide evidence of having performed during the required seagoing service, engine room watchkeeping duties, under the supervision of an officer holding the STCW endorsement as

chief engineer officer or as a qualified engineer officer, for a period of not less than 6 months;

(3) Provide evidence of meeting the standard of competence specified in Section A-III/1 of the STCW Code; and

(4) Provide evidence of having satisfactorily completed approved training in the following subject areas:

- (i) Medical first-aid provider.
- (ii) Basic and advanced firefighting in accordance with § 11.303 of this subpart.
- (iii) Proficiency in survival craft and rescue boats other than fast rescue boats.
- (iv) Engineroom resource management (ERM).
- (v) Engineering terminology and shipboard operations.
- (vi) Auxiliary machinery.
- (vii) Gas turbine plants, as applicable.
- (viii) Steam plants, as applicable.
- (ix) Motor plants, as applicable.
- (x) Electrical machinery and basic electronics.
- (xi) Control systems.

(b) Experience gained in the deck department may be creditable for up to 3 months of the service requirements in paragraph (a)(1)(i) of this section.

(c) For a renewal of an STCW endorsement as OICEW to be valid on or after January 1, 2017, each candidate must provide evidence of having satisfactorily completed ERM training and meeting the standard competence in leadership and teamworking skills if not previously completed.

(d) The Coast Guard may exempt an applicant from meeting any individual

knowledge, understanding, and proficiency required in Section A-III/1 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(e) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.329(e)—STCW ENDORSEMENT AS OICEW IN A MANNED ENGINE ROOM OR DESIGNATED DUTY ENGINEER IN A PERIODICALLY UNMANNED ENGINE ROOM ON VESSELS POWERED BY MAIN PROPULSION MACHINERY OF 750 kW/1,000 HP PROPULSION POWER OR MORE

[Operational level]

Entry path from national endorsements	Sea service *	Competence— STCW Table A- III/1 **	Training required by this section ***
Second assistant engineer any horsepower .....	None .....	Yes	Yes
Third assistant engineer any horsepower .....	None .....	Yes	Yes
Assistant engineer (limited) .....	None .....	Yes	Yes
Designated duty engineer, (unlimited) (less than 500 GRT) .....	None .....	Yes	Yes
Assistant engineer (MODU) .....	None .....	Yes	Yes
Assistant engineer (OSV) .....	None .....	Yes	Yes
Designated duty engineer, 3,000 kW/4,000 HP <sup>1</sup> .....	12 months .....	Yes	Yes
Designated duty engineer, 750 kW/1,000 HP <sup>1</sup> .....	24 months .....	Yes	Yes

\* This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

\*\* Complete any items in paragraph (a)(3) of this section not previously satisfied.

\*\*\* Complete any items in paragraph (a)(4) of this section not previously satisfied.

<sup>1</sup> STCW certificate should be limited to vessels less than 500 GRT.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58276, Sept. 29, 2014; USCG–2015–0867, 80 FR 62469, Oct. 16, 2015]

EDITORIAL NOTE: At 79 FR 58276, Sept. 29, 2014, § 11.329 was amended; however, a portion of the amendment could not be incorporated due to inaccurate amendatory instruction.

**§ 11.331 Requirements to qualify for an STCW endorsement as chief engineer officer on vessels powered by main propulsion machinery of 750 kW/1,000 HP or more and less than 3,000 kW/4,000 HP propulsion power (management level).**

(a) To qualify for an STCW endorsement as chief engineer officer, an applicant must—

(1) Provide evidence of meeting the requirements for certification as OICEW, and have not less than 24 months of service on seagoing vessels powered by main propulsion machinery of not less than 750 kW/1,000 HP, of which not less than 12 months must be served while qualified to serve as second engineer officer. Experience gained

in the deck department may be creditable for up to 2 months of the total service requirements;

(2) Provide evidence of meeting the standard of competence specified in Section A-III/3 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following areas:

(i) Engine room resource management (ERM) if not completed at the operational level.

(ii) Leadership and managerial skills.

(iii) Management of electrical and electronic control equipment.

(b) For a renewal of an STCW endorsement as chief engineer officer on

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vessels powered by main propulsion machinery of 750 kW/1,000 HP or more and less than 3,000 kW/4,000 HP propulsion power to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

(1) ERM if not completed at the operational level.

(2) Leadership and managerial skills.

(3) Management of electrical and electronic control equipment.

(c) An engineer officer qualified to serve as second engineer officer on vessels powered by main propulsion machinery of 3,000 kW/4,000 HP or more, may serve as chief engineer officer on vessels powered by main propulsion

machinery of 750 kW/1,000 HP or more and less than 3,000 kW/4,000 HP provided the certificate is so endorsed.

(d) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A–III/3 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(e) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.331(e)—STCW ENDORSEMENT AS CHIEF ENGINEER OFFICER ON VESSELS POWERED BY MAIN PROPULSION MACHINERY OF 750 kW/1,000 HP OR MORE AND LESS THAN 3,000 kW/4,000 HP PROPULSION POWER

Entry path from national endorsements	Sea service <sup>1</sup>	Competence— STCW Table A–III/ 3 <sup>2</sup>	Training required by this section <sup>3</sup>
Chief engineer .....	None .....	Yes .....	Yes.
First assistant engineer .....	None .....	Yes .....	Yes.
Chief engineer (limited) .....	None .....	Yes .....	Yes.
Chief engineer OSV .....	None .....	Yes .....	Yes.
Chief engineer MODU .....	12 months .....	Yes .....	Yes.
Designated duty engineer, 3,000 kW/4,000 HP <sup>4</sup> .....	12 months .....	Yes .....	Yes.
Designated duty engineer, 750 kW/1,000 HP <sup>4</sup> .....	24 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

<sup>4</sup> STCW certificate should be limited to vessels less than 500 GRT.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58277, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 11.333 Requirements to qualify for an STCW endorsement as second engineer officer on vessels powered by main propulsion machinery of 750kW/1,000 HP or more and less than 3,000 kW/4,000 HP propulsion power (management level).**

(a) To qualify for an STCW endorsement as second engineer officer, an applicant must—

(1) Provide evidence of meeting the requirements for certification as OICEW, as well as serving for not less than 12 months as assistant engineer officer or engineer officer on vessels powered by main propulsion machinery of not less than 750 kW/1,000 HP. Experience gained in the deck department may be creditable for up to 1 month of the total service requirements;

(2) Provide evidence of meeting the standard of competence specified in Section A–III/3 of the STCW Code (incorporated by reference, see § 11.102 of this part); and

(3) Provide evidence of having satisfactorily completed approved training in the following areas:

(i) Engineerroom resource management (ERM) if not completed at the operational level.

(ii) Leadership and managerial skills.

(iii) Management of electrical and electronic control equipment.

(b) For a renewal of an STCW endorsement as second engineer officer on vessels powered by main propulsion machinery of 750 kW/1,000 HP or more

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and less than 3,000 kW/4,000 HP propulsion power to be valid on or after January 1, 2017, each candidate must provide evidence of successful completion of approved training in the following:

(1) ERM if not completed at the operational level.

(2) Leadership and managerial skills.

(3) Management of electrical and electronic control equipment.

(c) The Coast Guard may exempt an applicant from meeting any individual

knowledge, understanding, and proficiency required in Section A-III/3 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the credential may include a corresponding limitation.

(d) Seafarers with one of the following national officer endorsements are eligible to apply for this endorsement upon completion of the requirements in the following table:

TABLE 1 TO § 11.333(d)—STCW ENDORSEMENT AS SECOND ENGINEER OFFICER ON VESSELS POWERED BY MAIN PROPULSION MACHINERY OF 750 kW/1,000 HP OR MORE AND LESS THAN 3,000 kW/4,000 HP PROPULSION POWER

Entry path from national endorsements	Sea service <sup>1</sup>	Competence—STCW Table A-III/3 <sup>2</sup>	Training required by this section <sup>3</sup>
First assistant engineer .....	None .....	Yes .....	Yes.
Second assistant engineer .....	None .....	Yes .....	Yes.
Third assistant engineer .....	12 months .....	Yes .....	Yes.
Assistant engineer (limited) .....	None .....	Yes .....	Yes.
Assistant engineer OSV .....	None .....	Yes .....	Yes.
Assistant engineer MODU .....	12 months .....	Yes .....	Yes.

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30882, June 28, 2019]

### § 11.335 Requirements to qualify for an STCW endorsement as an electro-technical officer on vessels powered by main propulsion machinery of 750 kW/1,000 HP or more (operational level).

(a) To qualify for an STCW endorsement as an electro-technical officer (ETO), an applicant must—

(1) Provide evidence of 36 months combined workshop skills training and approved seagoing service of which not less than 30 months must be seagoing service in the engine department of vessels. Experience gained in the deck department may be creditable for up to 3 months of the service requirements; or completion of an approved training program, that includes a combination of workshop skill training and seagoing service of not less than 12 months, and which meets the requirements of Section A-III/6 of the STCW Code (incorporated by reference, see § 11.102 of this part);

(2) Provide evidence of meeting the standard of competence specified in Section A-III/6 of the STCW Code;

(3) Provide evidence of having satisfactorily completed approved training in the following subject areas:

(i) Medical first-aid provider.

(ii) Basic and advanced firefighting in accordance with § 11.303 of this subpart.

(iii) Proficiency in survival craft and rescue boats other than fast rescue boats (PSC) or proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats (PSC-limited); and

(4) Provide evidence of having satisfactorily completed approved professional training in the following subject areas:

(i) Onboard computer networking and security.

(ii) Radio electronics.

(iii) Integrated navigation equipment.

(iv) Ship propulsion and auxiliary machinery.

(v) Instrumentation and control systems.

(vi) High-voltage power systems.

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(b) Any applicant who has served in a relevant capacity onboard a vessel for a period of not less than 12 months within the last 60 months must provide evidence of—

(1) Seagoing service; and

(2) Having achieved the standards of competence specified in Section A-III/6 of the STCW Code.

(c) An applicant who holds an STCW endorsement as OICEW, second engineer officer, or chief engineer officer will be allowed to receive the ETO endorsement upon completion of the requirements in Section A-III/6 of the STCW Code.

(d) An applicant who does not hold any other national or STCW endorsement will be issued, upon completion of the requirements in this section, the ETO endorsement without any corresponding national endorsement.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58277, Sept. 29, 2014]

### § 11.337 Requirements to qualify for an STCW endorsement as vessel security officer.

(a) The applicant for an endorsement as vessel security officer must present satisfactory documentary evidence in accordance with the requirements in 33 CFR 104.215.

(b) All applicants for an endorsement must meet the physical examination requirements in 46 CFR part 10, subpart C.

(c) All applicants for this endorsement must meet the safety and suitability requirements and the National Driver Registry review requirements in §10.209(e) of this subchapter, unless they have met these requirements within the previous 5 years in connection with another endorsement.

### Subpart D—Professional Requirements for National Deck Officer Endorsements

#### § 11.401 Ocean and near-coastal national officer endorsements.

(a) Subject to the provisions of §§11.464(e) and 11.465(b) of this subpart, any license or MMC endorsement for service as master or mate on ocean waters qualifies the mariner to serve in the same grade on any waters, except

towing vessels upon western rivers subject to the limitations of the endorsement.

(b) Subject to the provisions of §§11.464(e) and 11.465(b) of this subpart, any license or MMC endorsement issued for service as master or mate on near-coastal waters qualifies the mariner to serve in the same grade on Great Lakes and inland waters, except towing vessels upon western rivers subject to the limitations of the endorsement.

(c) Near-coastal endorsements for unlimited tonnage require the same number of years of service as the ocean-unlimited endorsements. The primary differences in these endorsements are the nature of the service and the scope of the required training, examination, and assessment.

(d) A master or mate on vessels of 200 GRT or more, and a master or mate on vessels under 200 GRT, may be endorsed for sail or auxiliary sail as appropriate. The applicant must present the equivalent total service required for conventional officer endorsements, including at least 1 year of deck experience on that specific type of vessel. For example, for an officer endorsement as master of vessels of less than 1,600 GRT endorsed for auxiliary sail, the applicant must meet the total experience requirements for the conventional officer endorsement, including time as mate, and the proper tonnage experience, including at least 1 year of deck service, on appropriately sized auxiliary sail vessels. For an endorsement to serve on vessels of less than 200 GRT, see the individual endorsement requirements.

(e) Service toward an oceans, near-coastal or STCW endorsement will be credited as follows:

(1) Service on the Great Lakes will be credited on a day-for-day basis.

(2) Service on inland waters, other than Great Lakes, that are navigable waters of the United States, may be substituted for up to 50 percent of the total required service.

(3) Service on vessels to which STCW applies, whether inland or coastwise, will be credited on a day-for-day basis.

**§ 11.402 Tonnage requirements for national ocean or near-coastal endorsements for vessels of 1,600 GRT or more.**

(a) To qualify for a national ocean or near-coastal endorsement for service on vessels of unlimited tonnage—

(1) All the required experience must be obtained on vessels of 100 GRT or more; and

(2) At least one-half of the required experience must be obtained on vessels of 1,600 GRT or more.

(b) If an applicant for a national endorsement as master or mate of unlimited tonnage does not have the service on vessels of 1,600 GRT or more as required by paragraph (a)(2) of this section, a tonnage limitation will be placed on the MMC based on the applicant's qualifying experience. The endorsement will be limited to the maximum tonnage on which at least 25 percent of the required experience was obtained, or 150 percent of the maximum tonnage on which at least 50 percent of the service was obtained, whichever is higher. However, the minimum tonnage limitation calculated according to this paragraph will be 2,000 GRT. Limitations are in multiples of 1,000 GRT using the next higher figure when an intermediate tonnage is calculated. When the calculated limitation equals or exceeds 10,000 GRT, the applicant is issued an unlimited tonnage endorsement.

(c) Tonnage limitations imposed under paragraph (b) of this section may be raised or removed in one of the following manners:

(1) When the applicant provides evidence of 6 months of service on vessels of 1,600 GRT or more in the highest grade endorsed, all tonnage limitations will be removed.

(2) When the applicant provides evidence of 6 months of service on vessels of 1,600 GRT or more in any capacity as an officer other than the highest grade for which he or she is endorsed, all tonnage limitations for the grade in which the service is performed will be removed and the next higher grade endorsement will be raised to the tonnage of the vessel on which the majority of the service was performed. The total cumulative service before and after issuance of the limited license or MMC officer endorsement may be considered in removing all tonnage limitations.

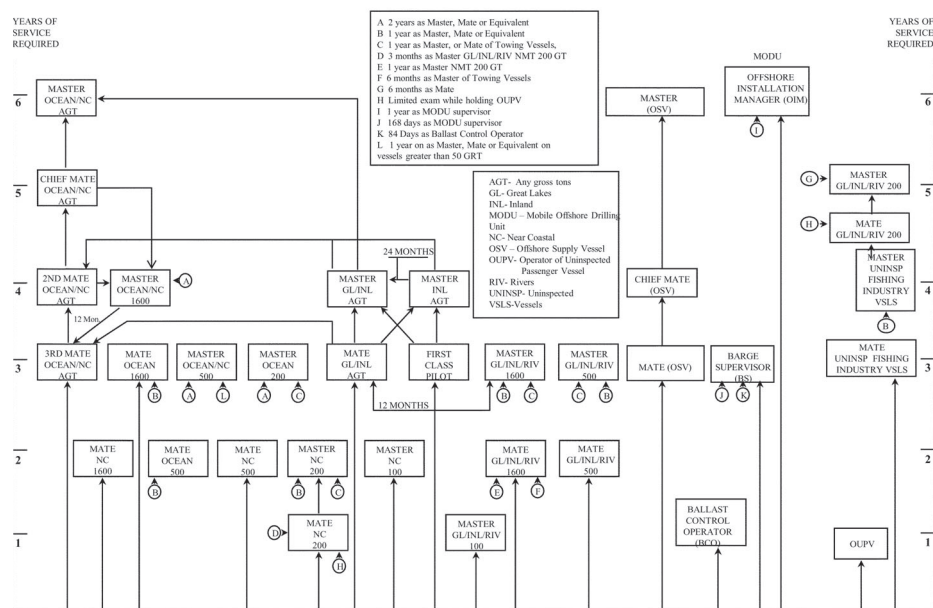
(3) When the applicant has 12 months of service as able seaman on vessels of 1,600 GRT or more while holding a license or endorsement as third mate, all tonnage limitations on the third mate's license or MMC officer endorsement will be removed.

(d) No applicant holding any national endorsement as master or mate of vessels of less than 1,600 GRT, less than 500 GRT, or less than 25-200 GRT may use the provisions of paragraph (c) of this section to increase the tonnages of his or her license or endorsement.

**§ 11.403 Structure of national deck officer endorsements.**

Figure 11.403 illustrates the national deck officer endorsement structure, including crossover points. The section numbers on the diagram refer to the specific requirements applicable.

Figure 11.403: Structure of national deck officer endorsements



**§ 11.404 Service requirements for master of ocean or near-coastal self-propelled vessels of unlimited tonnage.**

(a) The minimum service required to qualify an applicant for an endorsement as master of ocean or near-coastal self-propelled vessels of unlimited tonnage is—

(1) One year of service as chief mate on ocean self-propelled vessels; or

(2) While holding a license or MMC endorsement as chief mate of ocean self-propelled vessels of unlimited tonnage, 12 months of service on deck as follows:

(i) A minimum of 6 months of service as chief mate.

(ii) Service as second mate, third mate, or officer in charge of a navigational watch accepted on a two-for-one basis (12 months as officer in charge of a navigational watch equals 6 months of creditable service).

(b) An individual holding an endorsement or license as master of Great Lakes and inland, self-propelled vessels of unlimited tonnage, or master of inland, self-propelled vessels of unlimited tonnage, may obtain an endorsement as master of oceans or near-coastal self-propelled vessels of unlimited tonnage by providing evidence of sea service of not less than 24 months under the authority of the credential and by completing the prescribed examination in subpart I of this part. Service will be credited as follows:

(1) Service on the Great Lakes will be credited on a day-for-day basis up to 100 percent of the total required service.

(2) Service on inland waters, other than Great Lakes, that are navigable waters of the United States, will be credited on a day-for-day basis for up

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to 50 percent of the total required service.

(3) Service on vessels to which STCW applies, whether inland or coastwise, will be credited on a day-for-day basis.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to § 11.305 of this part.

### **§ 11.405 Service requirements for chief mate of ocean or near-coastal self-propelled vessels of unlimited tonnage.**

(a) The minimum service required to qualify an applicant for an endorsement as chief mate of ocean or near-coastal self-propelled vessels of unlimited tonnage is 1 year of service as officer in charge of a navigational watch on ocean self-propelled vessels while holding a license or MMC endorsement as second mate.

(b) Service towards an oceans, near-coastal, or STCW endorsement will be credited as follows:

(1) Service on the Great Lakes will be credited on a day-for-day basis.

(2) Service on inland waters, other than Great Lakes, that are navigable waters of the United States, may be substituted for up to 50 percent of the total required service.

(3) Service on vessels to which STCW applies, whether inland or coastwise, will be credited on a day-for-day basis.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to § 11.307 of this part.

### **§ 11.406 Service requirements for second mate of ocean or near-coastal self-propelled vessels of unlimited tonnage.**

(a) The minimum service required to qualify an applicant for an endorsement as second mate of ocean or near-coastal self-propelled vessels of unlimited tonnage is—

(1) One year of service as officer in charge of a navigational watch on ocean self-propelled vessels while holding a license or endorsement as third mate; or

(2) While holding a license or MMC endorsement as third mate of ocean self-propelled vessels of unlimited tonnage, 12 months of service on deck as follows:

(i) A minimum of 6 months service as officer in charge of a deck watch on ocean self-propelled vessels.

(ii) Service on ocean self-propelled vessels as boatswain, able seaman, or quartermaster while holding a certificate or MMC endorsement as able seaman, which may be accepted on a two-for-one basis to a maximum allowable substitution of six months (12 months of experience equals 6 months of creditable service).

(b) Service towards an oceans, near-coastal or STCW endorsement will be credited as follows:

(1) Service on the Great Lakes will be credited on a day-for-day basis up to 100 percent of the total required service.

(2) Service on inland waters, other than Great Lakes, that are navigable waters of the United States, will be credited on a day-for-day basis for up to 50 percent of the total required service.

(3) Service on vessels to which STCW applies, whether inland or coastwise, will be credited on a day-for-day basis.

(c) If an individual holds an endorsement or license as master of Great Lakes and inland self-propelled vessels of unlimited tonnage or master of inland self-propelled vessels of unlimited tonnage, he or she may obtain an endorsement as second mate of ocean or near-coastal self-propelled vessels of unlimited tonnage by completing the prescribed examination in subpart I of this part.

(d) A person holding this endorsement may qualify for an STCW endorsement, according to § 11.309 of this part.

### **§ 11.407 Service requirements for third mate of ocean or near-coastal self-propelled vessels of unlimited tonnage.**

(a) The minimum service or training required to qualify an applicant for an endorsement as third mate of ocean or near-coastal self-propelled vessels of unlimited tonnage is—

(1) Three years of service in the deck department on ocean self-propelled vessels, with a minimum of 6 months of bridge watchkeeping duties under the supervision of the master or a qualified officer. Experience gained in the engine

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department on vessels of appropriate tonnage may be creditable for up to 3 months of the service requirements for this officer endorsement;

(2) Graduation from—

(i) The U.S. Merchant Marine Academy (deck curriculum);

(ii) The U.S. Coast Guard Academy with qualification as an underway officer in charge of a navigational watch, underway officer of the deck, or deck watch officer;

(iii) The U.S. Naval Academy with qualification as an underway officer in charge of a navigational watch, underway officer of the deck or deck watch officer; or

(iv) The deck class of a maritime academy approved by and conducted under rules prescribed by the Maritime Administrator and listed in part 310 of this title, including the ocean option program in the deck class of the Great Lakes Maritime Academy; or

(3) Satisfactory completion of a comprehensive apprentice mate training program approved by the Coast Guard.

(b) Graduation from the deck class of the Great Lakes Maritime Academy will qualify the graduate to be examined for an endorsement as third mate self-propelled vessels of unlimited tonnage with a route appropriate to the program completed.

(c) While holding a license or MMC endorsement as master of ocean or near-coastal self-propelled vessels of less than 1,600 GRT, 1 year of service as master on vessels of more than 200 GRT operating on ocean or near-coastal waters will qualify the applicant for an endorsement as third mate of ocean or near-coastal self-propelled vessels of unlimited tonnage.

(d) An individual holding an endorsement or license as mate of Great Lakes and inland, self-propelled vessels of unlimited tonnage, or master of inland, self-propelled vessels of unlimited tonnage, may obtain an endorsement as third mate of oceans or near-coastal self-propelled vessels of unlimited tonnage by completing the prescribed examination in subpart I of this part.

(e) A person holding this endorsement may qualify for an STCW endorsement, according to § 11.309 of this part.

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### § 11.410 Requirements for deck officer endorsements for vessels of less than 1,600 GRT.

(a) Endorsements as master and mate of vessels of less than 1,600 GRT are issued in the following tonnage categories:

(1) Less than 1,600 GRT.

(2) Less than 500 GRT.

(3) Between 25 and 200 GRT in 50-ton increments and with appropriate mode of propulsion such as self-propelled, sail, or auxiliary sail.

(b) Experience gained in the engine department on vessels of appropriate tonnage may be creditable for up to 90 days of the service requirements for any master or mate endorsement in this category.

(c) An officer's endorsement in this category obtained with an orally assisted examination will be limited to 500 GRT. In order to raise that tonnage limit to 1,600 GRT, the written examination and service requirements must be satisfied.

### § 11.412 Service requirements for master of ocean or near-coastal self-propelled vessels of less than 1,600 GRT.

(a) The minimum service required to qualify an applicant for an endorsement as master of ocean or near-coastal self-propelled vessels of less than 1,600 GRT is—

(1) Four years total service on ocean or near-coastal waters. Service on Great Lakes and inland waters may substitute for up to 2 years of the required service. Two years of the required service must have been on vessels of more than 100 GRT. Two years of the required service must have been as a master or mate of self-propelled vessels, or master or mate (pilot) of towing vessels, or equivalent position while holding a license or MMC endorsement as master or mate of self-propelled vessels, or master or mate (pilot) of towing vessels. One year of the service as master or mate of self-propelled vessels, or master or mate (pilot) of towing vessels, or equivalent position must have been on vessels of more than 100 GRT; or

(2) One year of service on vessels of more than 100 GRT on ocean or near-coastal waters as a master or mate of

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self-propelled vessels, or master or mate of towing vessels while holding a license or MMC endorsement as mate of ocean self-propelled vessels of less than 1,600 GRT or as master or mate of towing vessels.

(b) An applicant holding a license or MMC endorsement as chief mate of ocean or near-coastal self-propelled vessels of 1,600 GRT or more is eligible for this endorsement without further examination. An applicant holding a license or MMC endorsement as second mate of ocean or near-coastal self-propelled vessels of 1,600 GRT or more is eligible for this endorsement upon completion of a limited examination.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to § 11.311 of this part.

### **§ 11.414 Service requirements for mate of ocean self-propelled vessels of less than 1,600 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement as mate of self-propelled vessels of less than 1,600 GRT is—

(1) Three years of total service in the deck department of ocean or near-coastal self-propelled, sail, or auxiliary sail vessels, as follows:

(i) Service on Great Lakes and inland waters may substitute for up to 18 months of the required service.

(ii) One year of the required service must have been on vessels of more than 100 GRT.

(iii) One year of the required service must have been as a master or mate of self-propelled vessels, or master or mate (pilot) of towing vessels, or equivalent position while holding a license or MMC endorsement as master, mate, or master or mate (pilot) of towing vessels. Six months of the required service as master or mate of self-propelled vessels, or master or mate (pilot) of towing vessels, or equivalent position must have been on vessels of more than 100 GRT; or

(2) Three years of total service in the deck department on ocean or near-coastal self-propelled, sail, or auxiliary sail vessels of more than 100 GRT. Six months of the required service must have been while performing bridge watchkeeping duties under the super-

vision of the master or a qualified officer.

(b) A person holding this endorsement may qualify for an STCW endorsement, according to § 11.309 of this part.

### **§ 11.416 Service requirements for mate of near-coastal self-propelled vessels of less than 1,600 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement as mate of near-coastal self-propelled vessels of less than 1,600 GRT is 2 years of total service in the deck department of ocean or near-coastal self-propelled, sail, or auxiliary sail vessels. Service on Great Lakes and inland waters may substitute for up to 1 year of the required service. One year of the required service must have been on vessels of more than 100 GRT. Six months of the required service must have been while performing bridge watchkeeping duties under the supervision of the master or a qualified officer.

(b) A person holding this endorsement may qualify for an STCW endorsement, according to § 11.309 of this part.

### **§ 11.418 Service requirements for master of ocean or near-coastal self-propelled vessels of less than 500 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement as master of ocean or near-coastal self-propelled vessels of less than 500 GRT is—

(1) Three years total of service on ocean or near-coastal waters. Service on Great Lakes and inland waters may substitute for up to 18 months of the required service. Two years of the required service must have been as a master, mate, or equivalent position while holding a license or MMC endorsement as master, mate, or operator of uninspected passenger vessels. One year of the required service as master, mate, or equivalent position must have been on vessels of more than 50 GRT; or

(2) One year of service on vessels of more than 50 GRT on ocean or near-coastal waters as a master or mate of self-propelled vessels, or master or mate of towing vessels while holding a license or MMC endorsement as mate

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of ocean self-propelled vessels of less than 500 GRT.

(b) The holder of a license or MMC endorsement as master or mate (pilot) of towing vessels authorizing service on oceans or near-coastal routes is eligible for an endorsement as master of ocean or near-coastal self-propelled vessels of less than 500 GRT after both 1 year of service as master or mate of towing vessels on oceans or near-coastal routes and completion of a limited examination.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to §§11.307, 11.309, 11.311, 11.313, and 11.315 of this part.

### § 11.420 Service requirements for mate of ocean self-propelled vessels of less than 500 GRT.

(a) The minimum service required to qualify an applicant for an endorsement as mate of ocean self-propelled vessels of less than 500 GRT is 2 years of total service in the deck department of ocean or near-coastal self-propelled, sail, or auxiliary sail vessels. Service on Great Lakes and inland waters may substitute for up to 1 year of the required service. One year of the required service must have been as a master, mate, or equivalent position while holding a license or endorsement as master, mate, or operator of uninspected passenger vessels. Six months of the required service as master, mate, or equivalent position must have been on vessels of more than 50 GRT.

(b) A person holding this endorsement may qualify for an STCW endorsement, according to §§11.309, 11.317, 11.319, and 11.321 of this part.

### § 11.421 Service requirements for mate of near-coastal self-propelled vessels of less than 500 GRT.

(a) The minimum service required to qualify an applicant for an endorsement as mate of near-coastal self-propelled vessels of less than 500 GRT is 2 years of total service in the deck department of ocean or near-coastal self-propelled, sail, or auxiliary sail vessels. Service on Great Lakes and inland waters may substitute for up to 1 year of the required service. One year of the required service must have been on ves-

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sels of more than 50 GRT. Three months of the required service must have been while performing bridge watchkeeping duties under the supervision of the master or a qualified officer on vessels of more than 50 GRT.

(b) A person holding this endorsement may qualify for an STCW endorsement, according to §§11.309, 11.317, 11.319, and 11.321 of this part.

### § 11.422 Tonnage limitations and qualifying requirements for endorsements as master or mate of vessels of less than 200 GRT.

(a) Each national endorsement as master or mate of vessels of less than 200 GRT is issued with a tonnage limitation based on the applicant's qualifying experience. The tonnage limitation will be issued at the 25, 50, 100, or 200 GRT level. The endorsement will be limited to the maximum GRT on which at least 25 percent of the required experience was obtained, or 150 percent of the maximum GRT on which at least 50 percent of the service was obtained, whichever is higher. Limitations are as stated above, using the next higher figure when an intermediate tonnage is calculated. If more than 75 percent of the qualifying experience is obtained on vessels of 5 GRT or less, the MMC will automatically be limited to vessels of less than 25 GRT.

(b) The tonnage limitation may be raised as follows:

(1) For an endorsement as mate, with at least 45 days of additional service on deck of a vessel in the highest tonnage increment authorized by the officer endorsement.

(2) For an endorsement as master, with at least 90 days of additional service on deck of a vessel in the highest tonnage increment authorized by the master endorsement.

(3) With additional service, which, when combined with all previously accumulated service, will qualify the applicant for a higher tonnage officer endorsement under the basic formula specified in paragraph (a) of this section.

(4) With 6 months additional service in the deck department on vessels within the highest tonnage increment on the officer's license or MMC endorsement. In this case, the tonnage

limitation may be raised one increment.

(c) When the service is obtained on vessels upon which no personnel need an officer endorsement or license, the Coast Guard must be satisfied that the nature of this required service (i.e., size of vessel, route, equipment, etc.) is a reasonable equivalent to the duties performed on vessels which are required to engage individuals with officer endorsements.

(d) Service gained in the engine room on vessels of 200 GRT or less may be creditable for up to 90 days of the deck service requirements for mate.

**§ 11.424 Requirements for master of ocean self-propelled vessels of less than 200 GRT.**

(a) The minimum service required to qualify an applicant for an officer endorsement as master of ocean self-propelled vessels of less than 200 GRT is—

(1) Three years of total service on ocean or near-coastal waters. Service on Great Lakes and inland waters may substitute for up to 18 months of the required service. Two years of the required service must have been as master, mate, or equivalent position while holding a license or MMC endorsement as master, as mate, or as operator of uninspected passenger vessels; or

(2) Two years of total service as a master or mate of ocean or near-coastal towing vessels. Completion of an examination is also required.

(b) In order to obtain an officer endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 12 months of service on sail or auxiliary sail vessels. The required 12 months of service may have been obtained prior to issuance of the master's license or MMC endorsement.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.315, 11.317, 11.319, and 11.321 of this part.

**§ 11.425 Requirements for mate of ocean self-propelled vessels of less than 200 GRT.**

(a) The minimum service required to qualify for the endorsement as mate of ocean self-propelled vessels of less than 200 GRT is—

(1) Twelve months of total service in the deck department of ocean or near-coastal self-propelled, sail, or auxiliary sail vessels. Service on Great Lakes and inland waters may substitute for up to 6 months of the required service; or

(2) Three months of service in the deck department of self-propelled vessels operating on ocean, near-coastal, Great Lakes, or inland waters while holding a license or MMC endorsement as master of inland self-propelled, sail, or auxiliary sail vessels of less than 200 GRT.

(b) The holder of a license or MMC endorsement as operator of uninspected passenger vessels with a near-coastal route endorsement may obtain this endorsement by successfully completing an examination on rules and regulations for small passenger vessels.

(c) To obtain this officer endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 6 months of deck service on sail or auxiliary sail vessels.

(d) A license or MMC endorsement as master of near-coastal self-propelled vessels may be endorsed as mate of sail or auxiliary sail vessels upon presentation of 3 months of service on sail or auxiliary sail vessels.

(e) To obtain a tonnage endorsement for 100 GRT or more, the applicant must complete the additional examination topics indicated in subpart I of this part.

(f) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.319 and 11.321 of this part.

**§ 11.426 Requirements for master of near-coastal self-propelled vessels of less than 200 GRT.**

(a) The minimum service required to qualify for a master of near-coastal self-propelled vessels of less than 200 GRT is—

(1) Two years total service on ocean or near-coastal waters. Service on Great Lakes and inland waters may substitute for up to 1 year of the required service. One year of the required service must have been as a master, mate, or equivalent position while holding a license or endorsement as

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master, mate, or operator of uninspected passenger vessels; or

(2) One year of total service as master or mate of towing vessels on ocean or near-coastal routes. Completion of an examination is also required.

(b) To obtain this officer endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 12 months of service on sail or auxiliary sail vessels. These 12 months of experience may have been obtained before qualifying for an officer endorsement.

(c) Holders of this endorsement are considered to be in compliance with the STCW Convention (incorporated by reference, see §11.102) while operating within the limitations of this endorsement.

## § 11.427 Requirements for mate of near-coastal self-propelled vessels of less than 200 GRT.

(a) The minimum service required to qualify for the endorsement as mate of near-coastal self-propelled vessels of less than 200 GRT is—

(1) Twelve months of total service in the deck department of ocean or near-coastal self-propelled, sail, or auxiliary sail vessels. Service on Great Lakes and inland waters may substitute for up to 6 months of the required service; or

(2) Three months of service in the deck department of self-propelled vessels operating on ocean, near-coastal, Great Lakes, or inland waters while holding a license or MMC endorsement as master of inland self-propelled, sail, or auxiliary sail vessels of less than 200 GRT.

(b) The holder of a license or MMC endorsement as operator of uninspected passenger vessels with a near-coastal route endorsement may obtain this endorsement by successfully completing an examination on rules and regulations for small passenger vessels.

(c) To obtain this officer endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 6 months of deck service on sail or auxiliary sail vessels.

(d) A license or MMC endorsement as master of near-coastal self-propelled vessels may be endorsed as mate of sail

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or auxiliary sail vessels upon presentation of 3 months of service on sail or auxiliary sail vessels.

(e) To obtain a tonnage endorsement for 100 GRT or more, the applicant must complete the additional examination topics indicated in subpart I of this part.

(f) Holders of this endorsement are considered to be in compliance with the STCW Convention (incorporated by reference, see §11.102) while operating within the limitations of this endorsement.

## § 11.428 Requirements for master of near-coastal self-propelled vessels of less than 100 GRT.

(a) The minimum service required to qualify for the endorsement as master of self-propelled, seagoing vessels of less than 100 GRT limited to domestic voyages upon near-coastal waters is 2 years of service in the deck department of a self-propelled vessel on ocean or near-coastal waters. Service on Great Lakes and inland waters may substitute for up to 1 year of the required service.

(b) To obtain an endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 12 months of service on sail or auxiliary-sail vessels. This required service may have been obtained before issuance of the license or MMC.

(c) Holders of this endorsement are considered to be in compliance with the STCW Convention (incorporated by reference, see §11.102 of this part) while operating within the limitations of this endorsement.

(d) All endorsements issued for master or mate of vessels of less than 100 GRT are issued in tonnage increments based on the applicant's qualifying experience in accordance with the provisions of §11.422 of this subpart.

## § 11.429 Requirements for a limited master of near-coastal self-propelled vessels of less than 100 GRT.

(a) An endorsement as limited master for service on near-coastal waters on vessels of less than 100 GRT may be issued to an applicant to be employed by organizations such as yacht clubs, marinas, formal camps, and educational institutions. An endorsement

issued under this section is limited to the specific activity and the locality of the yacht club, marina, or camp. To obtain this restricted endorsement, an applicant must—

(1) Have 4 months of service on any waters in the operation of the type of vessel for which the endorsement is requested;

(2) Satisfactorily complete a safe boating course approved by the National Association of State Boating Law Administrators, or a safe boating course conducted by the U.S. Power Squadron or the American Red Cross, or a Coast Guard-approved course. This course must have been completed within 5 years before the date of application; and

(3) Pass a limited examination appropriate for the activity to be conducted and the route authorized.

(b) The first aid and cardiopulmonary resuscitation (CPR) course certificates required by §11.201(i) of this part will only be required when, in the opinion of the Coast Guard, the geographic area over which service is authorized precludes obtaining medical services within a reasonable time.

(c) To obtain an endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 4 months of service on sail or auxiliary sail vessels. The required 4 months of service may have been obtained prior to issuance of the license or MMC endorsement.

(d) Holders of this endorsement are considered to be in compliance with the STCW Convention (incorporated by reference, see §11.102 of this part) while operating within the limitations of this endorsement.

#### **§ 11.430 Endorsements for the Great Lakes and inland waters.**

(a) Any officer endorsement issued for service on Great Lakes and inland waters self-propelled vessels, excluding towing vessels, is valid on all of the inland waters of the United States as defined in §10.107 of this subchapter.

(b) Any officer endorsement issued for service on inland waters self-propelled vessels, excluding towing vessels, is valid for the inland waters of the United States, excluding the Great Lakes.

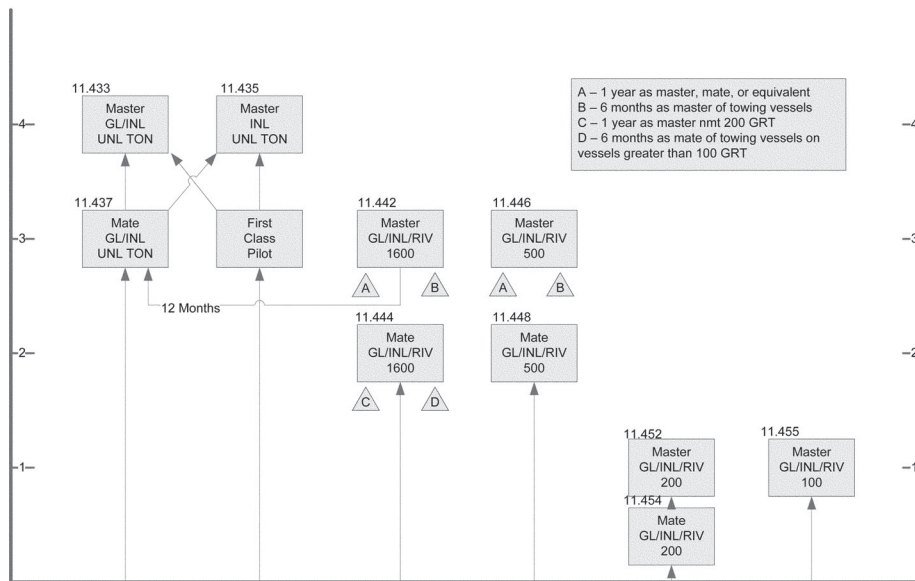
(c) Any officer endorsement issued for service on inland waters or an inland route is valid for service on the sheltered waters of the Inside Passage between Puget Sound and Cape Spencer, Alaska.

(d) Because these officer endorsements authorize service on waters seaward of the International Regulations for Preventing Collisions at Sea (COLREGS) demarcation lines, as defined in 33 CFR part 80, the applicant must complete an examination on the COLREGS or the endorsement will exclude such waters.

(e) To obtain a master or mate endorsement with a tonnage limit of 200 GRT or more, whether an original, raise of grade, or increase in the scope of authority, the applicant must meet the training requirements in §11.201(h) and (i) of this part and successfully complete radar observer training in §11.480 of this part.

(f) Figure 11.430(f) illustrates the deck officer endorsement structure, including crossover points, for Great Lakes and inland waters service. The section numbers on the diagram refer to the specific requirements applicable.

Figure 11.430(f) -- Structure of deck officer endorsements for Great Lakes and inland waters service



[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2018-0874, 84 FR 30882, June 28, 2019]

**§ 11.431 Tonnage requirements for Great Lakes and inland endorsements for vessels of 1,600 GRT or more.**

(a) All required experience for Great Lakes and inland unlimited endorsements must be obtained on vessels of 100 GRT or more. At least one-half of the required experience must be obtained on vessels of 1,600 GRT or more.

(b) Tonnage limitations may be imposed on these endorsements in accordance with § 11.402(b) and (c) of this subpart.

**§ 11.433 Requirements for master of Great Lakes and inland self-propelled vessels of unlimited tonnage.**

(a) The minimum service required to qualify an applicant for an endorsement as master of Great Lakes and inland self-propelled vessels of unlimited tonnage is—

(1) One year of service as a mate or first-class pilot while acting in the capacity of first mate of Great Lakes self-propelled vessels of 1,600 GRT or more while holding a license or MMC endorsement as mate inland or first-class pilot of Great Lakes and inland self-propelled vessels of unlimited tonnage;

(2) Two years of service as master of self-propelled vessels of 1,600 GRT or more on inland waters, excluding the Great Lakes; or

(3) One year of service upon Great Lakes waters while holding a license or MMC endorsement as mate or first-class pilot of Great Lakes and inland self-propelled vessels of 1,600 GRT or more. A minimum of 6 months of this service must have been in the capacity of first mate. Service as second mate is accepted for the remainder on a two-for-one basis to a maximum of 6 months (2 days of service equals 1 day of creditable service).

(b) [Reserved]

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**§ 11.435 Requirements for master of inland self-propelled vessels of unlimited tonnage.**

(a) The minimum service required to qualify an applicant for an endorsement as master of self-propelled vessels of unlimited tonnage on inland waters, excluding the Great Lakes is—

(1) One year of service as first-class pilot (of other than canal and small lakes routes) or mate of Great Lakes or inland self-propelled vessels of 1,600 GRT or more while holding a license or MMC endorsement as mate inland or first-class pilot of Great Lakes and inland self-propelled vessels of unlimited tonnage; or

(2) Two years of service performing bridge watchkeeping duties under the supervision of the master or a qualified officer while holding a mate/first-class pilot license or MMC endorsement.

(b) [Reserved]

**§ 11.437 Requirements for mate of Great Lakes and inland self-propelled vessels of unlimited tonnage.**

(a) The minimum service required to qualify an applicant for an endorsement as mate of Great Lakes and inland self-propelled vessels of unlimited tonnage is—

(1) Three years of service in the deck department of self-propelled vessels, at least 3 months of which must have been on vessels on inland waters and at least 6 months of which must have been while performing bridge watchkeeping duties under the supervision of the master or a qualified officer;

(2) Graduation from the deck class of the Great Lakes Maritime Academy; or

(3) While holding a license or MMC endorsement as master of Great Lakes and inland self-propelled vessels of less than 1,600 GRT, 1 year of service as master on vessels of 200 GRT or more. A tonnage limitation may be placed on this license in accordance with § 11.431 of this subpart.

(b) Service gained in the engine department on vessels of appropriate tonnage may be creditable for up to 6 months of the service requirements under paragraph (a)(1) of this section.

**§ 11.442 Requirements for master of Great Lakes and inland self-propelled vessels of less than 1,600 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement as master of Great Lakes and inland self-propelled vessels of less than 1,600 GRT is—

(1) Three years of total service on vessels. Eighteen months of the required service must have been on vessels of 100 GRT or more. One year of the required service must have been as a master, mate, or equivalent position on vessels of 100 GRT or more while holding a license or MMC endorsement as master, mate, or master of towing vessels; or

(2) Six months of service as operator on vessels of 100 GRT or more while holding a license or MMC endorsement as master of towing vessels.

(b) [Reserved]

**§ 11.444 Requirements for mate of Great lakes and inland self-propelled vessels of less than 1,600 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement as mate of Great Lakes and inland self-propelled vessels of less than 1,600 GRT is—

(1) Two years of total service in the deck department of self-propelled vessels. One year of the required service must have been on vessels of 100 GRT or more. Six months of the required service must have been while performing bridge watchkeeping duties under the supervision of the master or a qualified officer on vessels of 100 GRT or more;

(2) One year of total service as master of self-propelled, sail, or auxiliary sail vessels, or operator of uninspected passenger vessels of 50 GRT or more while holding a license or MMC endorsement as master of self-propelled vessels of less than 200 GRT or OUPV; or

(3) Six months of total service as mate (pilot) of towing vessels on vessels of 100 GRT or more.

(b) [Reserved]

**§ 11.446 Requirements for master of Great Lakes and inland self-propelled vessels of less than 500 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement as master of Great Lakes and inland self-propelled vessels of less than 500 GRT is—

(1) Three years of total service on vessels. One year of the required service must have been as a master, mate, or equivalent position on vessels of 50 GRT or more while holding a license or MMC endorsement as master, mate, or OUPV.

(2) [Reserved]

(b) An applicant holding a license or MMC endorsement as master of ocean, near-coastal, or Great Lakes and inland towing vessels is eligible for this endorsement after 6 months of service as master of towing vessels and completion of a limited examination. This requires 3½ years of service. Two years of this service must have been served while holding a license or MMC endorsement as master or mate (pilot) of towing vessels, or mate.

**§ 11.448 Requirements for mate of Great Lakes and inland self-propelled vessels of less than 500 GRT.**

The minimum service required to qualify an applicant for an endorsement as mate of Great Lakes and inland self-propelled vessels of less than 500 GRT is 2 years of total service in the deck department of self-propelled vessels. One year of the required service must have been on vessels of 50 GRT or more. Three months of the required service must have been while performing bridge watchkeeping duties under the supervision of the master or a qualified officer on vessels of 50 GRT or more.

**§ 11.450 Tonnage limitations and qualifying requirements for endorsements as master or mate of Great Lakes and inland vessels of less than 200 GRT.**

(a) Except as noted in paragraph (d) of this section, all endorsements issued for master or mate of vessels of less than 200 GRT are issued in 50 GRT increments based on the applicant's qualifying experience in accordance

with the provisions of § 11.422 of this subpart.

(b) Service gained in the engineroom on vessels of less than 200 GRT may be creditable for up to 25 percent of the deck service requirements for mate.

(c) When the service is obtained on vessels upon which personnel with licenses or endorsements are not required, the Coast Guard must be satisfied that the nature of this required service (i.e., size of vessel, route, equipment, etc.) is a reasonable equivalent to the duties performed on vessels which are required to engage individuals with endorsements.

(d) If more than 75 percent of the qualifying experience is obtained on vessels of 5 GRT or less, the license will automatically be limited to vessels of less than 25 GRT.

**§ 11.452 Requirements for master of Great Lakes and inland self-propelled vessels of less than 200 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement or license as master of Great Lakes and inland self-propelled vessels of less than 200 GRT is 1 year of service on vessels. Six months of the required service must have been as master, mate, or equivalent position while holding a license or endorsement as master or mate of self-propelled vessels, or master or mate (pilot) of towing vessels, or OUPV. To obtain authority to serve on the Great Lakes, 3 months of the required service must have been on Great Lakes waters; otherwise the endorsement will be limited to the inland waters of the United States (excluding the Great Lakes).

(b) To obtain an endorsement for sail or auxiliary sail vessels, the applicant must have 6 months of service on sail or auxiliary sail vessels. This required service may have been obtained prior to issuance of the license or MMC endorsement as master.

**§ 11.454 Requirements for mate of Great Lakes and inland self-propelled vessels of less than 200 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement as mate of Great Lakes and inland self-propelled vessels of less than 200 GRT is 6 months of service in the

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deck department of self-propelled vessels. To obtain authority to serve on the Great Lakes, 3 months of the required service must have been on Great Lakes waters; otherwise the endorsement will be limited to the inland waters of the United States (excluding the Great Lakes).

(b) To obtain an endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 3 months of service on sail or auxiliary sail vessels.

(c) A mariner holding an endorsement as master of self-propelled vessels may be endorsed as mate of sail or auxiliary sail vessels upon presentation of 3 months service on sail or auxiliary sail vessels.

(d) The holder of a license or MMC endorsement as operator of inland uninspected passenger vessels may obtain this endorsement by successfully completing an examination on rules and regulations for small passenger vessels. To obtain authority to serve on the Great Lakes, 3 months of the required service must have been on Great Lakes waters; otherwise the endorsement will be limited to the inland waters of the United States (excluding the Great Lakes).

(e) To obtain a tonnage endorsement for 100 GRT or more, the applicant must complete the additional examination topics indicated in subpart I of this part.

### **§ 11.455 Requirements for master of Great Lakes and inland self-propelled vessels of less than 100 GRT.**

(a) The minimum service required to qualify an applicant for an endorsement as master of Great Lakes and inland self-propelled vessels of less than 100 GRT is 1 year of total service in the deck department of self-propelled, sail, or auxiliary sail vessels. To obtain authority to serve on the Great Lakes, 3 months of the required service must have been on Great Lakes waters; otherwise the endorsement will be limited to the inland waters of the United States (excluding the Great Lakes).

(b) To obtain an endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 6 months of service on sail or auxiliary sail vessels. The required 6 months of service may

have been obtained prior to issuance of the endorsement.

(c) All endorsements issued for master or mate of vessels of less than 100 GRT are issued in tonnage increments based on the applicant's qualifying experience in accordance with the provisions of § 11.422 of this subpart.

### **§ 11.456 Requirements for limited master of Great Lakes and inland self-propelled vessels of less than 100 GRT.**

(a) An endorsement as limited master for vessels of less than 100 GRT upon Great Lakes and inland waters may be issued to an applicant to be employed by organizations such as formal camps, educational institutions, yacht clubs, and marinas with reduced service requirements. An endorsement issued under this paragraph is limited to the specific activity and the locality of the camp, yacht club, or marina. To obtain this restricted endorsement, an applicant must—

(1) Have 4 months of service in the operation of the type of vessel for which the endorsement is requested;

(2) Satisfactorily complete a safe boating course approved by the National Association of State Boating Law Administrators, a public education course conducted by the U.S. Power Squadron or the American Red Cross, or a Coast Guard-approved course. This course must have been completed within 5 years before the date of application; and

(3) Pass a limited examination appropriate for the activity to be conducted and the route authorized.

(b) The first aid and cardiopulmonary resuscitation (CPR) course certificates required by § 11.201(i) of this part will only be required when, in the opinion of the Coast Guard, the geographic area over which service is authorized precludes obtaining medical services within a reasonable time.

### **§ 11.457 Requirements for master of inland self-propelled vessels of less than 100 GRT.**

(a) An applicant for an endorsement as master of inland self-propelled vessels of less than 100 GRT must present 1 year of service on any waters. In order to raise the tonnage limitation to more than 100 GRT, the examination

topics indicated in subpart I of this part must be completed in addition to satisfying the experience requirements of § 11.452(a) of this subpart.

(b) To obtain an endorsement for sail or auxiliary sail vessels, the applicant must submit evidence of 6 months of service on sail or auxiliary sail vessels. The required 6 months of service may have been obtained prior to issuance of the license or MMC endorsement.

(c) All endorsements issued for master or mate of vessels of less than 100 GRT are issued in tonnage increments based on the applicant's qualifying experience in accordance with the provisions of § 11.422 of this subpart.

**§ 11.459 Requirements for national endorsement as master or mate on rivers.**

(a) An applicant for an endorsement as master of river self-propelled vessels of unlimited tonnage must meet the same service requirements as master of inland self-propelled vessels of unlimited tonnage.

(b) An applicant for an endorsement as master or mate of river self-propelled vessels, with a limitation of 25 to 1,600 GRT, must meet the same service requirements as those required by this subpart for the corresponding tonnage Great Lakes and inland self-propelled endorsement. Service on the Great Lakes is not, however, required.

**§ 11.462 Requirements for national endorsement as master or mate of uninspected fishing industry vessels.**

(a) This section applies to endorsements for masters and mates of all vessels, however propelled, navigating the high seas, which are documented to engage in the fishing industry, with the exception of—

- (1) Wooden ships of primitive build;
- (2) Unrigged vessels; and
- (3) Vessels of less than 200 GRT.

(b) Endorsements as master or mate of uninspected fishing industry vessels are issued for either ocean or near-coastal routes, depending on the examination completed. To qualify for an uninspected fishing industry vessel endorsement, the applicant must satisfy the training and examination requirements of § 11.201(h)(1) of this part.

(c) An applicant for an endorsement as master of uninspected fishing industry vessels must have 4 years of total service on ocean or near-coastal routes. Service on Great Lakes or inland waters may substitute for up to 2 years of the required service. One year of the required service must have been as master, mate, or equivalent position while holding a license or MMC endorsement as master or mate of self-propelled vessels, or master or mate (pilot) of towing vessels, or OUPV.

(1) To qualify for an endorsement for less than 500 GRT, at least 2 years of the required service, including the 1 year as master, mate, or equivalent, must have been on vessels of 50 GRT or more.

(2) To qualify for an endorsement for less than 1,600 GRT, at least 2 years of the required service, including the 1 year as master, mate, or equivalent, must have been on vessels of 100 GRT or more.

(3) To qualify for an endorsement for more than 1,600 GRT, but not more than 5,000 GRT, the vessel tonnage upon which the 4 years of required service was obtained will be used to compute the tonnage. The endorsement is limited to the maximum tonnage on which at least 25 percent of the required service was obtained or 150 percent of the maximum tonnage on which at least 50 percent of the service was obtained, whichever is higher. Limitations are in multiples of 1,000 GRT, using the next higher figure when an intermediate tonnage is calculated. An endorsement as master of uninspected fishing industry vessels authorizing service on vessels more than 1,600 GRT also requires 1 year as master, mate, or equivalent on vessels of 100 GRT or more.

(4) The tonnage limitation for this endorsement may be raised using one of the following methods but cannot exceed 5,000 GRT. Limitations are in multiples of 1,000 GRT, using the next higher figure when an intermediate tonnage is calculated.

(i) Three months of service as master on a vessel results in a limitation in that capacity equal to the tonnage of that vessel rounded up to the next multiple of 1,000 GRT.

(ii) Six months of service as master on a vessel results in a limitation in that capacity equal to 150 percent of the tonnage of that vessel.

(iii) Six months of service as master on vessels more than 1,600 GRT results in raising the limitation to 5,000 GRT.

(iv) Six months of service as mate on vessels more than 1,600 GRT results in raising the limitation for master to the tonnage on which at least 50 percent of the service was obtained.

(v) Two years of service as a deckhand on a vessel while holding a license or MMC endorsement as master results in a limitation on the MMC equal to 150 percent of the tonnage of that vessel up to 5,000 GRT.

(vi) One year of service as deckhand on a vessel while holding a license or MMC endorsement as master results in a limitation on the MMC equal to the tonnage of that vessel.

(d) An applicant for an endorsement as mate of uninspected fishing industry vessels must have 3 years of total service on ocean or near-coastal routes. Service on Great Lakes or inland waters may substitute for up to 18 months of the required service.

(1) To qualify for an endorsement of less than 500 GRT, at least 1 year of the required service must have been on vessels of 50 GRT or more.

(2) To qualify for an endorsement of less than 1,600 GRT, at least 1 year of the required service must have been on vessels of 100 GRT or more.

(3) To qualify for an endorsement of more than 1,600 GRT, but not more than 5,000 GRT, the vessel tonnage upon which the 3 years of required service was obtained will be used to compute the tonnage. The endorsement is limited to the maximum tonnage on which at least 25 percent of the required service was obtained, or 150 percent of the maximum tonnage on which at least 50 percent of the service was obtained, whichever is higher. Limitations are in multiples of 1,000 GRT, using the next higher figure when an intermediate tonnage is calculated.

(4) The tonnage limitation on this endorsement may be raised using one of the following methods, but cannot exceed 5,000 GRT. Limitations are in multiples of 1,000 GRT, using the next

higher figure when an intermediate tonnage is calculated.

(i) Three months of service as mate on a vessel results in a limitation in that capacity equal to the tonnage of that vessel rounded up to the next multiple of 1,000 GRT.

(ii) Six months of service as mate on a vessel results in a limitation in that capacity equal to 150 percent of the tonnage of that vessel.

(iii) Six months of service as mate on vessels more than 1,600 GRT results in raising the limitation to 5,000 GRT.

(iv) One year of service as deckhand on vessels more than 1,600 GRT while holding a license or MMC endorsement as mate, results in raising the limitation on the MMC to 5,000 GRT;

(v) Two years of service as a deckhand on a vessel while holding a license or MMC endorsed as mate results in a limitation on the MMC equal to 150 percent of the tonnage of that vessel up to 5,000 GRT.

(vi) One year of service as deckhand on a vessel while holding a license or MMC endorsement as mate results in a limitation on the MMC equal to the tonnage of that vessel.

(e) Applicants may request an oral examination on the subjects listed in subpart I of this part.

**§ 11.463 General requirements for national endorsements as master, mate (pilot), and apprentice mate (steersman) of towing vessels.**

(a) The Coast Guard issues the following endorsements for towing vessels:

- (1) Master of towing vessels.
- (2) Master of towing vessels, limited.
- (3) Mate (pilot) of towing vessels.
- (4) Apprentice mate (steersman).
- (5) Apprentice mate (steersman), limited.

(b) An endorsement as master of towing vessels means an endorsement to operate towing vessels not restricted to local areas designated by OCMI. This also applies to a mate (pilot) of towing vessels.

(c) For this section, "limited" means an endorsement to operate a towing vessel of less than 200 GRT only within a local area on the Great Lakes, inland waters, or Western Rivers designated by the OCMI.

(d) Mariners who met the training and service requirements for towing vessels before May 21, 2001, and have maintained a valid Coast Guard-issued credential may obtain a towing endorsement if they meet the following:

(1) Demonstrate at least 90 days of towing service before May 21, 2001.

(2) Provide evidence of successfully completing the apprentice mate exam, its predecessor exam, or a superior exam.

(3) Meet the renewal requirements in § 10.227(e)(6)(i) of this subchapter.

(e) Mariners who operated towing vessels in the offshore oil and mineral industry prior to October 15, 2010, may obtain a towing endorsement until December 24, 2018 as follows:

(1) Mariners who held officer endorsements as operator of uninspected towing vessels (OUTV) or mate or master of inspected self-propelled vessels may qualify for a towing endorsement if they meet the following:

(i) Provide evidence of at least 90 days of service on towing vessels in the offshore oil and mineral industry prior to October 15, 2010.

(ii) Provide evidence of successfully completing the apprentice mate (steersman) examination, its predecessor exam, or a superior exam.

(iii) Meet the renewal requirements in § 10.227(e)(6) of this subchapter.

(2) Mariners who have not held any of the officer endorsements listed in paragraph (e)(1) of this section may qualify for an endorsement as master of towing vessels if they meet the following:

(i) Provide evidence of at least 48 months of service on towing vessels in the offshore oil and mineral industry prior to October 15, 2010.

(ii) Successfully complete the appropriate apprentice mate (steersman) exam.

(3) Mariners who have not held any of the officer endorsements listed in paragraph (e)(1) of this section may qualify for an endorsement as mate of towing vessels if they meet the following:

(i) Provide evidence of at least 36 months of service on towing vessels in the offshore oil and mineral industry prior to October 15, 2010.

(ii) Successfully complete the appropriate apprentice mate (steersman) exam.

(f) Deck officers who serve on the following seagoing vessels must comply with the requirements of §§ 11.309 and 11.311 of this subpart for the appropriate STCW endorsement:

(1) A towing vessel on an oceans voyage operating beyond near-coastal waters.

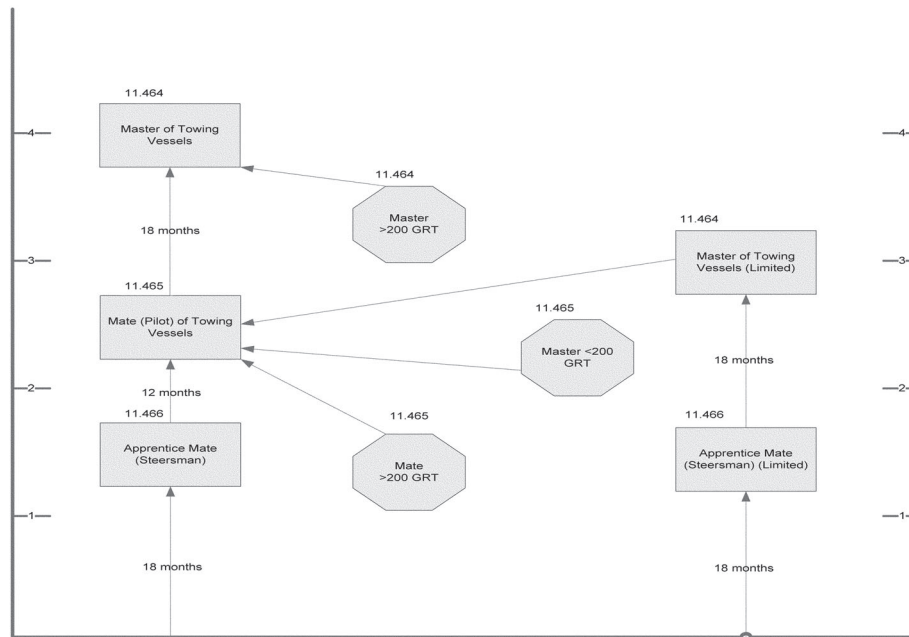
(2) A towing vessel on an international voyage.

(3) A towing vessel of 200 GRT or more on a domestic, near-coastal voyage.

(g) Endorsements as mate (pilot) or master of towing vessels may be issued with a restriction to specific types of towing vessels and/or towing operations such as articulated tug barge (ATB) vessels that do not routinely perform all of the tasks identified in the Towing Officer Assessment Record (TOAR).

(h) Figure 11.463(h) illustrates the towing officer endorsement structure, including crossover points. The section numbers on the diagram refer to the specific requirements applicable.

Figure 11.463(h) -- Structure of towing officer endorsements



**§ 11.464 Requirements for national endorsements as master of towing vessels.**

(a) An applicant for an endorsement as master of towing vessels with a

route listed in column 1 of table 1 to this section, must complete the service requirements indicated in columns 2 through 5. Applicants may serve on the subordinate routes listed in column 5 without further endorsement.

TABLE 1 TO § 11.464(a)—REQUIREMENTS FOR ENDORSEMENT AS MASTER OF TOWING VESSELS <sup>1</sup>

1 Route endorsed	2 Total service <sup>2</sup>	3 TOS <sup>3</sup> on T/V as mate (pilot)	4 TOS <sup>3</sup> on particular route	5 Sub-ordinate route authorized
(1) OCEANS (O) .....	48	18	3	NC, GL-I.
(2) NEAR-COASTAL (NC) .....	48	18	3	GL-I.
(3) GREAT LAKES-INLAND (GL-I) .....	48	18	3	None.
(4) WESTERN RIVERS (WR) .....	48	18	3	None.

<sup>1</sup> The holder of an endorsement as master of towing vessels may have an endorsement placed on the MMC as mate (pilot) of towing vessels for a route superior to the current route on which the holder has no operating experience after passing an examination for that additional route. After the holder completes 90 days of experience and completes a Towing Officer Assessment Record (TOAR) on that route, the Coast Guard will add it to the holder's endorsement as master of towing vessels and remove the endorsement for mate (pilot) of towing vessels.

<sup>2</sup> Service is in months.

<sup>3</sup> TOS is time of service.

(b) A person holding this endorsement may qualify for an STCW en-

dorsement, according to §§ 11.307, 11.311, 11.313, and 11.315 of this part.

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(c) To obtain an endorsement as master of towing vessels (limited), applicants must complete the requirements

listed in columns 2 through 5 of table 1 to paragraph (c) of this section.

TABLE 1 TO § 11.464(c)—REQUIREMENTS FOR NATIONAL ENDORSEMENT AS MASTER OF TOWING VESSELS (LIMITED)

1 Route endorsed	2 Total service <sup>1</sup>	3 TOS <sup>2</sup> on T/V as limited apprentice mate (steersman)	4 TOAR or an approved course	5 TOS on particular route
LIMITED LOCAL AREA (LLA) .....	36	18	Yes	3.

<sup>1</sup> Service is in months.

<sup>2</sup> TOS is time of service.

(d) Those holding a license or MMC endorsement as mate (pilot) of towing vessels, may have master of towing vessels (limited) added to their MMC for a limited local area within the scope of their current route.

(e) Before serving as master of towing vessels on the Western Rivers, mariners must possess 90 days of observation and training and their MMC must include an endorsement for Western Rivers.

(f) Each company must maintain evidence that every vessel it operates is under the direction and control of a mariner with the appropriate endorsement and experience, including 30 days of observation and training on the intended route other than Western Rivers.

(g) Those holding a license or MMC endorsement as a master of self-propelled vessels of more than 200 GRT, may operate towing vessels within any restrictions on their endorsement if they—

(1) Have a minimum of 30 days of training and observation on towing vessels for the route being assessed, except as noted in paragraph (e) of this section; and

(2) Either—

(i) Hold a completed Towing Officer Assessment Record (TOAR) described in § 10.404(c) of this part that shows evidence of assessment of practical demonstration of skills; or

(ii) Complete an approved training course.

(h) A license or MMC does not need to include a towing endorsement if mariners hold a TOAR or complete an approved training course.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 11.465 Requirements for national endorsements as mate (pilot) of towing vessels.**

(a) To obtain an endorsement as mate (pilot) of towing vessels endorsed with a route listed in column 1 of Table 1 to paragraph (a) of this section, applicants must complete the service in columns 2 through 5. Mariners holding a license or MMC endorsement as master of towing vessels (limited) wishing to raise of grade to mate (pilot) of towing vessels must complete the service in columns 5 and 6. An endorsement with a route endorsed in column 1 authorizes service on the subordinate routes listed in column 7 without further endorsement. Time of service requirements as an apprentice mate (steersman) of towing vessels may be reduced by an amount equal to the time specified in the approval letter for a completed Coast Guard-approved training program.

TABLE 1 TO § 11.465(a)—REQUIREMENTS FOR NATIONAL ENDORSEMENT AS MATE (PILOT<sup>1</sup>) OF TOWING VESSELS

1 Route endorsed	2 Total service <sup>2</sup>	3 TOS <sup>3</sup> on T/V as apprentice mate (steersman) <sup>4</sup>	4 TOS on particular route	5 TOAR <sup>5</sup> or an approved course	6 30 days of observation and training while holding master (limited) and pass an examination	7 Subordinate route authorized
(1) OCEANS (O) .....	30	12	3	YES .....	YES .....	NC, GL-I. GL-I.
(2) NEAR-COASTAL (NC)	30	12	3	YES .....	YES .....	
(3) GREAT LAKES-IN-LAND (GL-I).	30	12	3	YES .....	YES.	
(4) WESTERN RIVERS (WR).	30	12	3	YES .....	NO (90 days service required).	

<sup>1</sup>For all inland routes, as well as Western Rivers, the endorsement as pilot of towing vessels is equivalent to that as mate of towing vessels. All qualifications and equivalencies are the same.

<sup>2</sup>Service is in months unless otherwise indicated.

<sup>3</sup>TOS is time of service.

<sup>4</sup>Time of service requirements as an apprentice mate (steersman) of towing vessels may be reduced by an amount equal to the time specified in the approval letter for a completed Coast Guard-approved training program.

<sup>5</sup>TOAR is a Towing Officer Assessment Record.

(b) Before serving as mate (pilot) of towing vessels on the Western Rivers, mariners must possess 90 days of observation and training and have their MMC include an endorsement for Western Rivers.

(c) Each company must maintain evidence that every vessel it operates is under the direction and control of a mariner with the appropriate endorsement and experience, including 30 days of observation and training on the intended route other than Western Rivers.

(d) Those holding a license or MMC endorsement as a mate of inspected, self-propelled vessels of more than 200 GRT or one as first-class pilot, may operate towing vessels within any restrictions on their credential if they—

(1) Have a minimum of 30 days of training and observation on towing vessels for the route being assessed, except as noted in paragraph (b) of this section; and

(2) Hold a completed Towing Officer Assessment Record (TOAR) described in §10.404(c) of this subchapter that shows evidence of assessment of practical demonstration of skills.

(e) A license or MMC does not need to include a towing endorsement if you hold a TOAR or a course completion certificate.

(f) Those holding any endorsement as a master of self-propelled vessels of any tonnage that is less than 200 GRT,

except for the limited masters endorsements specified in §§11.429 and 11.456 of this subpart, may obtain an endorsement as mate (pilot) of towing vessels by meeting the following requirements:

(1) Providing proof of 36 months of service as a master under the authority of an endorsement described in this paragraph.

(2) Successfully completing the appropriate TOAR.

(3) Successfully completing the appropriate apprentice mate exam.

(4) Having a minimum of 30 days of training and observation on towing vessels for the route being assessed, except as noted in paragraph (b) of this section.

(g) An approved training course for mate (pilot) of towing vessels must include formal instruction and practical demonstration of proficiency either on-board a towing vessel or at a shoreside training facility before a designated examiner, and must cover the material (dependent upon route) required by Table 2 to §11.910 of this part for apprentice mate (steersman), towing vessels on ocean and near-coastal routes; apprentice mate (steersman), towing vessels on Great Lakes and inland routes; or steersman, towing vessels on Western Rivers routes.

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(h) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.309, 11.317, 11.319, and 11.321 of this part.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58277, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 11.466 Requirements for national endorsements as apprentice mate (steersman) of towing vessels.**

(a) As Table 1 to § 11.466(a) shows, to obtain an endorsement as apprentice mate (steersman) of towing vessels listed in column 1, endorsed with a route listed in column 2, mariners must complete the service requirements indicated in columns 3 through 6.

TABLE 1 TO § 11.466(a)—REQUIREMENTS FOR NATIONAL ENDORSEMENT AS APPRENTICE MATE (STEERSMAN) OF TOWING VESSELS

1 Endorsement	2 Route endorsed	3 Total service <sup>1</sup>	4 TOS <sup>2</sup> on T/V	5 TOS on particular route	6 Pass examination <sup>3</sup>
(1) APPRENTICE MATE (STEERSMAN) .....	OCEANS (O) .....	18	12	3	YES.
	NEAR-COASTAL (NC) .....	18	12	3	YES.
	GREAT LAKES .....	18	12	3	YES.
	INLAND (GL–I) .....	18	12	3	YES.
	WESTERN RIVERS (WR)	18	12	3	YES.
(2) APPRENTICE MATE (STEERSMAN) (LIMITED).	NOT APPLICABLE .....	18	12	3	YES.

<sup>1</sup> Service is in months.

<sup>2</sup> TOS is time of service.

<sup>3</sup> The examination for apprentice mate is specified in subpart I of this part.

(b) Those holding a license or endorsement as apprentice mate (steersman) of towing vessels may obtain a restricted endorsement as apprentice mate (steersman) (limited). This endorsement will go on the mariner's MMC after passing an examination for a route that is not included in the current endorsements and on which the mariners have no operating experience. Upon completion of 3 months of experience on that route, mariners may have the restriction removed.

**§ 11.467 Requirements for a national endorsement as operator of uninspected passenger vessels of less than 100 GRT.**

(a) This section applies to an applicant for the endorsement to operate an uninspected vessel of less than 100 GRT, equipped with propulsion machinery of any type, carrying six or fewer passengers.

(b) An endorsement as OUPV for near-coastal waters limits the holder to service on domestic, near-coastal waters not more than 100 miles offshore, the Great Lakes, and all inland waters. Endorsements issued for inland

waters include all inland waters except the Great Lakes. Endorsements may be issued for a particular local area under paragraph (f) or paragraph (g) of this section.

(c) For an endorsement as OUPV on near-coastal waters, an applicant must have a minimum of 12 months of experience in the operation of vessels, including at least 3 months of service on vessels operating on ocean or near-coastal waters.

(d) For an endorsement as OUPV on the Great Lakes and inland waters, an applicant must have 12 months of service on Great Lakes or inland waters, including at least 3 months of service operating vessels on Great Lakes waters.

(e) For an endorsement as OUPV on inland waters, an applicant must have a minimum of 12 months of experience in the operation of vessels.

(f) A limited OUPV endorsement may be issued to an applicant to be employed by organizations such as formal camps, yacht clubs, educational institutions, and marinas. An endorsement issued under this paragraph will be limited to the specific activity and the

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locality of the camp, yacht club, or marina. In order to obtain this restricted endorsement, an applicant must—

(1) Have 3 months of service in the operation of the type of vessel for which the endorsement is requested;

(2) Satisfactorily complete a safe-boating course approved by the National Association of State Boating Law Administrators, or those public education courses conducted by the U.S. Power Squadron or the American National Red Cross or a Coast Guard-approved course; and

(3) Pass a limited examination appropriate for the activity to be conducted and the route authorized.

(4) Hold the first aid and cardiopulmonary resuscitation (CPR) course certificates required by § 11.201(i) of this part when, in the opinion of the Coast Guard, the geographic area over which service is authorized precludes obtaining medical services within a reasonable time.

(g) Restricted OUPV endorsements may be issued to applicants to be employed on inland navigable waters. An endorsement under this paragraph will be limited to specific bodies of water that have been approved by the cognizant OCMI. In order to obtain this endorsement, the applicant must be qualified for the endorsement under this section; however, the OCMI may modify the service and examination requirements as follows:

(1) At least 3 months of service in the operation of the type of vessel and on each body of water for which the endorsement is requested.

(2) Satisfactorily pass an examination appropriate for the activity to be conducted and the waters authorized.

(h) An applicant for an officer endorsement as OUPV who speaks Spanish, but not English, may be issued an officer endorsement restricted to the navigable waters of the United States in the vicinity of Puerto Rico.

### § 11.468 National officer endorsements for mobile offshore drilling units (MODUs).

Officer endorsements for service on MODUs authorize service on units of unlimited tonnage upon ocean waters while on location or while underway,

as restricted on the endorsement, except when moving independently under their own power.

### § 11.470 National officer endorsements as offshore installation manager.

(a) Officer endorsements as offshore installation manager (OIM) include:

(1) OIM Unrestricted.

(2) OIM Surface Units on Location.

(3) OIM Surface Units Underway.

(4) OIM Bottom Bearing Units on Location.

(5) OIM Bottom Bearing Units Underway.

(b) To qualify for an endorsement as OIM unrestricted, an applicant must—

(1) Present evidence of one of the following:

(i) Four years of employment assigned to MODUs, including at least 1 year of service as driller, assistant driller, toolpusher, assistant toolpusher, barge supervisor, mechanical supervisor, electrician, crane operator, ballast control operator, or equivalent supervisory position on MODUs, with a minimum of 14 days of that supervisory service on surface units.

(ii) A degree from a program in engineering or engineering technology which is accredited by the Accreditation Board for Engineering and Technology (ABET). The National Maritime Center will give consideration to accepting education credentials from programs having other than ABET accreditation. An applicant qualifying through a degree program must also have at least 168 days of service as driller, assistant driller, toolpusher, assistant toolpusher, barge supervisor, mechanical supervisor, electrician, crane operator, ballast control operator, or equivalent supervisory position on MODUs, with a minimum of 14 days of that supervisory service on surface units;

(2) Present evidence of training course completion as follows:

(i) A certificate from a Coast Guard-approved stability course approved for OIM unrestricted.

(ii) A certificate from a Coast Guard-approved survival suit and survival craft training course.

(iii) A certificate from a firefighting training course as required by § 11.201(h) of this part; and

(3) Provide a recommendation signed by a senior company official which—

(i) Provides a description of the applicant's experience and qualifications;

(ii) Certifies that the individual has successfully directed, while under the supervision of an experienced rig mover, two rig moves each of surface units and of bottom bearing units; and

(iii) Certifies that one of the rig moves required under paragraph (b)(3)(ii) of this section was completed within 1 year preceding date of application.

(c) An applicant for an endorsement as OIM unrestricted who holds an unlimited license or MMC endorsement as master or chief mate must satisfy the requirements in paragraphs (b)(2) and (b)(3) of this section and have at least 84 days of service on surface units and at least 28 days of service on bottom bearing units.

(d) To qualify for an endorsement as OIM surface units on location, an applicant must—

(1) Present evidence of one of the following:

(i) Four years of employment assigned to MODUs, including at least 1 year of service as driller, assistant driller, toolpusher, assistant toolpusher, barge supervisor, mechanical supervisor, electrician, crane operator, ballast control operator or equivalent supervisory position on MODUs, with a minimum of 14 days of that supervisory service on surface units.

(ii) A degree from a program in engineering or engineering technology which is accredited by the Accreditation Board for Engineering and Technology (ABET). The National Maritime Center will give consideration to accepting education credentials from programs having other than ABET accreditation. An applicant qualifying through a degree program must also have at least 168 days of service as driller, assistant driller, toolpusher, assistant toolpusher, barge supervisor, mechanical supervisor, electrician, crane operator, ballast control operator, or equivalent supervisory position of MODUs, with a minimum of 14 days of that supervisory service on surface units; and

(2) Present evidence of training course completion as follows:

(i) A certificate from a Coast Guard-approved stability course approved for a license or MMC endorsement as OIM surface units.

(ii) A certificate from a Coast Guard-approved survival suit and survival craft training course.

(iii) A certificate from a firefighting training course as required by § 11.201(h) of this part.

(e) An applicant for an endorsement as OIM surface units on location who holds an unlimited license or MMC endorsement as master or chief mate must satisfy the requirements of paragraph (d)(2) of this section and have at least 84 days of service on surface units.

(f) To qualify for an endorsement as OIM surface units underway, an applicant must—

(1) Provide the following:

(i) Evidence of the experience described in paragraph (d)(1) of this section and a recommendation signed by a senior company official which—

(A) Provides a description of the applicant's experience and qualifications;

(B) Certifies that the individual has successfully directed, while under the supervision of an experienced rig mover, three rig moves of surface units; and

(C) Certifies that one of the rig moves required under paragraph (f)(1)(i)(B) of this section was completed within 1 year preceding date of application; or

(ii) A recommendation signed by a senior company official which—

(A) Provides a description of the applicant's experience and company qualifications program completed;

(B) Certifies that the applicant has witnessed ten rig moves either as an observer in training or as a rig mover under supervision;

(C) Certifies that the individual has successfully directed, while under the supervision of an experienced rig mover, five rig moves of surface units; and

(D) Certifies that one of the rig moves required under paragraph (f)(1)(ii)(C) of this section was completed within 1 year preceding the date of application; and

(2) Present evidence of training course completion as follows:

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(i) A certificate from a Coast Guard-approved stability course approved for an OIM surface units endorsement.

(ii) A certificate from a Coast Guard-approved survival suit and survival craft training course.

(iii) A certificate from a firefighting training course as required by § 11.201(h) of this part.

(g) An applicant for endorsement as OIM surface units underway who holds an unlimited license or MMC endorsement as master or chief mate must satisfy the requirements in paragraph (f)(2) of this section and provide a company recommendation signed by a senior company official which—

(1) Provides a description of the applicant's experience and qualifications;

(2) Certifies that the individual has successfully directed, while under the supervision of an experienced rig mover, three rig moves on surface units; and

(3) Certifies that one of the rig moves required under paragraph (g)(2) of this section was completed within 1 year preceding the date of application.

(h) To qualify for an endorsement as OIM bottom bearing units on location, an applicant must—

(1) Present evidence of one of the following:

(i) Four years of employment assigned to MODUs, including at least 1 year of service as driller, assistant driller, toolpusher, assistant toolpusher, barge supervisor, mechanical supervisor, electrician, crane operator, ballast control operator, or equivalent supervisory position on MODUs.

(ii) A degree from a program in engineering or engineering technology that is accredited by ABET. The National Maritime Center will give consideration to accepting education credentials from programs having other than ABET accreditation. An applicant qualifying through a degree program must also have at least 168 days of service as driller, assistant driller, toolpusher, assistant toolpusher, barge supervisor, mechanical supervisor, electrician, crane operator, ballast control operator, or equivalent supervisory position on MODUs; and

(2) Present evidence of training course completion as follows:

(i) A certificate from a Coast Guard-approved survival suit and survival craft training course.

(ii) A certificate from a firefighting training course as required by § 11.201(h) of this part.

(i) An applicant for an endorsement as OIM bottom bearing units on location who holds an unlimited license or MMC endorsement as master or chief mate must satisfy paragraph (h)(2) of this section and have at least 28 days of service on bottom bearing units.

(j) To qualify for an endorsement as OIM bottom bearing units underway, an applicant must—

(1) Provide the following:

(i) Evidence of the experience described in paragraph (h)(1) of this section with a recommendation signed by a senior company official which—

(A) Provides a description of the applicant's experience and qualifications;

(B) Certifies that the individual has successfully directed, while under the supervision of an experienced rig mover, three rig moves of bottom bearing units; and

(C) Certifies that one of the rig moves required under paragraph (j)(1)(i)(B) of this section was completed within 1 year preceding date of application; or

(ii) A recommendation signed by a senior company official which—

(A) Provides a description of the applicant's experience and company qualifications program completed;

(B) Certifies that the applicant has witnessed ten rig moves either as an observer in training or as a rig mover under supervision;

(C) Certifies that the individual has successfully directed, while under the supervision of an experienced rig mover, five rig moves of bottom bearing units; and

(D) Certifies that one of the rig moves required under paragraph (j)(1)(ii)(C) of this section was completed within 1 year preceding date of application; and

(2) Present evidence of training course completion as follows:

(i) A certificate from a Coast Guard-approved stability course approved for a license or MMC endorsement as OIM bottom bearing units.

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(ii) A certificate from a Coast Guard-approved survival suit and survival craft training course.

(iii) A certificate from a firefighting training course as required by § 11.201(h) of this part.

(k) An applicant for endorsement as OIM bottom bearing units underway who holds an unlimited license or MMC endorsement as master or chief mate must satisfy the requirements in paragraph (j)(2) of this section and provide a company recommendation signed by a senior company official, which—

(1) Provides a description of the applicant's experience and qualifications;

(2) Certifies that the individual has successfully directed, while under the supervision of an experienced rig mover, three rig moves of bottom bearing units; and

(3) Certifies that one of the rig moves required under paragraph (k)(2) of this section was completed within 1 year preceding the date of application.

### § 11.472 National officer endorsements as barge supervisor.

(a) To qualify for an endorsement as barge supervisor (BS), an applicant must—

(1) Present evidence of one of the following:

(i) Three years of employment assigned to MODUs including at least 168 days of service as driller, assistant driller, toolpusher, assistant tool pusher, mechanic, electrician, crane operator, subsea specialist, ballast control operator, or equivalent supervisory position on MODUs. At least 84 days of that service must have been as a ballast control operator, or barge supervisor trainee.

(ii) A degree from a program in engineering or engineering technology that is accredited by the Accreditation Board for Engineering and Technology (ABET). The National Maritime Center will give consideration to accepting education credentials from programs having other than ABET accreditation. An applicant qualifying through a degree program must also have at least 168 days of service as driller, assistant driller, toolpusher, assistant toolpusher, mechanic, electrician, crane operator, subsea specialist, ballast control operator, or equivalent su-

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pervisory position on MODUs. At least 84 days of that service must have been as a ballast control operator, or barge supervisor trainee; and

(2) Present evidence of training course completion as follows:

(i) A certificate from a Coast Guard-approved stability course approved for barge supervisor.

(ii) A certificate from a Coast Guard-approved survival suit and survival craft training course.

(iii) A certificate from a firefighting training course as required by § 11.201(h) of this part.

(b) An applicant for an endorsement as barge supervisor who holds an unlimited license or MMC endorsement as master or mate must satisfy the requirements in paragraph (a)(2) of this section and have at least 84 days of service as ballast control operator or barge supervisor trainee.

### § 11.474 National officer endorsements as ballast control operator.

(a) To qualify for an endorsement as ballast control operator (BCO), an applicant must—

(1) Present evidence of one of the following:

(i) One year of employment assigned to MODUs, including at least 28 days of service as a trainee under the supervision of an individual holding a license or MMC endorsement as ballast control operator.

(ii) A degree from a program in engineering or engineering technology that is accredited by the Accreditation Board for Engineering and Technology (ABET). The National Maritime Center will give consideration to accepting education credentials from programs having other than ABET accreditation. An applicant qualifying through a degree program must also have at least 28 days of service as a trainee under the supervision of an individual holding a license or MMC endorsement as ballast control operator; and

(2) Present evidence of training course completion as follows:

(i) A certificate from a Coast Guard-approved stability course approved for barge supervisor or ballast control operator.

(ii) A certificate from a Coast Guard-approved survival suit and survival craft training course.

(iii) A certificate from a firefighting training course as required by § 11.201(h) of this part.

(b) An applicant for an endorsement as BCO who holds an unlimited license or MMC endorsement as master, mate, chief engineer, or assistant engineer must satisfy the requirements in paragraph (a)(2) of this section and have at least 28 days of service as a trainee under the supervision of an individual holding an endorsement as BCO.

#### § 11.480 Radar observer.

(a) This section contains the requirements that an applicant must meet to qualify as a radar observer.

(b) If an applicant meets the requirements of this section, one of the following radar observer endorsements will be added to his or her MMC:

(1) Radar observer (unlimited).

(2) Radar observer (inland waters and Gulf Intracoastal waterways (GIWW)).

(3) Radar observer (rivers).

(c) Radar observer (unlimited) is valid on all waters. Radar observer (inland waters and GIWW) is valid only for those waters other than the Great Lakes covered by the Inland Navigational Rules. Radar observer (rivers) is valid only on any river, canal, or similar body of water designated by the OCMI, but not beyond the boundary line.

(d) Except as provided by paragraphs (f) or (g) of this section, each applicant for a radar observer endorsement or for renewal of a radar observer endorsement must complete the appropriate course approved by the Coast Guard, receive the appropriate certificate of training, and present the certificate or a copy of the certificate to the Coast Guard in person, by mail, fax, or other electronic means.

(e) A radar observer endorsement issued under this section is valid until the expiration of the mariner's MMC.

(f) A mariner may also renew his or her radar observer endorsement by providing evidence of meeting the requirements in 46 CFR 10.227(e)(1)(v).

(g) The Coast Guard will accept on-board training and experience through acceptable documentary evidence of 1

year of relevant sea service within the last 5 years in a position that routinely uses radar for navigation and collision avoidance purposes on vessels equipped with radar as meeting the refresher or re-certification requirements of paragraph (d) of this section. This also applies to mariners applying for raises of grade or new endorsements under 46 CFR 10.231.

(h) An applicant for renewal of an MMC who does not provide evidence of meeting the renewal requirements of paragraph (d), (f), or (g) of this section will not have a radar observer endorsement placed on his or her MMC.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2018-0100, 84 FR 26592, June 7, 2019; USCG-2018-0874, 84 FR 30882, June 28, 2019]

#### § 11.482 Assistance towing.

(a) This section contains the requirements to qualify for an endorsement authorizing a mariner to engage in assistance towing. Except as noted in this paragraph, holders of MMC officer and OUPV endorsements must have an assistance towing endorsement to engage in assistance towing. Holders of endorsements as master or mate (pilot) of towing vessels or master or mate endorsements authorizing service on inspected vessels of 200 GRT or more do not need the assistance towing endorsement.

(b) An applicant for an assistance towing endorsement must pass a written examination or complete a Coast Guard-approved course demonstrating his or her knowledge of assistance towing safety, equipment, and procedures.

(c) The holder of a license or MMC for master, mate, or operator endorsed for assistance towing is authorized to engage in assistance towing on any vessel within the scope of the license or MMC.

(d) The period of validity of the endorsement is the same as the license or MMC on which it is included, and it may be renewed with the MMC.

#### § 11.491 National officer endorsements for service on offshore supply vessels.

(a) Each officer endorsement for service on offshore supply vessels (OSVs) authorizes service on OSVs as defined

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in 46 U.S.C. 2101(19) and as interpreted under 46 U.S.C. 14104(b), subject to any restrictions placed on the license or MMC.

(b) For those officers who previously received a 500 GRT limitation on their national officer endorsement due to the definition of OSV existing before October 15, 2010, the limitation will be raised to 1,600 GRT to be consistent with other national officer endorsements.

#### § 11.493 Master (OSV).

(a) The minimum service required to qualify an applicant for an endorsement as master (OSV) of offshore supply vessels less than 1,600 GRT/3,000 GT is 24 months of total service as mate, chief mate, or master of ocean or near-coastal and/or Great Lakes on self-propelled vessels of more than 100 GRT. Service on inland waters may substitute for up to 50 percent of the required service. At least one-half of the required experience must be served as chief mate.

(b) The minimum service required to qualify an applicant for master (OSV) of 1,600 GRT/3,000 GT or more is 24 months of total service as mate, chief mate, or master of ocean or near-coastal and/or Great Lakes on self-propelled vessels of more than 100 GRT. At least one-half of the required experience must be served as chief mate and be obtained on vessels of 1,600 GRT/3,000 GT or more.

(c) If an applicant for master (OSV) of more than 1,600 GRT/3,000 GT does not have the service on vessels of 1,600 GRT/3,000 GT or more as required by paragraph (b) of this section, a tonnage limitation will be placed on the officer endorsement based on the applicant's qualifying experience. The endorsement will be limited to the maximum tonnage on which at least 25 percent of the required experience was obtained, or 150 percent of the maximum tonnage on which at least 50 percent of the service was obtained, whichever is higher. However, the minimum tonnage limitation calculated according to this paragraph will be 2,000 GRT. Limitations are in multiples of 1,000 GRT using the next higher figure when an intermediate tonnage is calculated. In no case will the limitation exceed

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10,000 GRT/GT for OSVs unless the applicant meets the full requirements for an unlimited tonnage endorsement.

(d) A person holding an endorsement as master (OSV) may qualify for an STCW endorsement, according to §§ 11.305 and 11.311 of this part.

(e) The Coast Guard may exempt an applicant from meeting any requirement under STCW Regulation II/2 (incorporated by reference, see § 11.102 of this part) that the Coast Guard determines to be inappropriate or unnecessary for service on an OSV, or that the applicant meets under the equivalency provisions of Article IX of STCW.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58277, Sept. 29, 2014]

#### § 11.495 Chief mate (OSV).

(a) The minimum service required to qualify an applicant for an endorsement as chief mate (OSV) of offshore supply vessels less than 1,600 GRT/3,000 GT is 12 months of total service as mate, chief mate, or master of ocean or near-coastal and/or Great Lakes on self-propelled vessels of more than 100 GRT. Service on inland waters may substitute for up to 50 percent of the required service.

(b) The minimum service required to qualify an applicant for as chief mate (OSV) of 1,600 GRT/3,000 GT or more is 12 months of total service as mate, chief mate, or master of ocean or near-coastal and/or Great Lakes on self-propelled vessels of more than 100 GRT. At least one-half of the required experience must be obtained on vessels of 1,600 GRT/3,000 GT or more.

(c) If an applicant for as chief mate (OSV) of 1,600 GRT/3,000 GT or more does not have the service on vessels of 1,600 GRT/3,000 GT or more as required by paragraph (b) of this section, a tonnage limitation will be placed on the officer endorsement based on the applicant's qualifying experience. The endorsement will be limited to the maximum tonnage on which at least 25 percent of the required experience was obtained, or 150 percent of the maximum tonnage on which at least 50 percent of the service was obtained, whichever is higher. However, the minimum tonnage limitation calculated according to this paragraph will be 2,000 GRT.

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Limitations are in multiples of 1,000 GRT using the next higher figure when an intermediate tonnage is calculated. In no case will the limitation exceed 10,000 GRT/GT for OSVs unless the applicant meets the full requirements for an unlimited tonnage endorsement.

(d) A person holding an endorsement as chief mate (OSV) may qualify for an STCW endorsement, according to §§ 11.307 and 11.313 of this part.

(e) The Coast Guard may exempt an applicant from meeting any requirement under STCW Regulation II/2 (incorporated by reference, § 11.102 of this part) that the Coast Guard determines to be inappropriate or unnecessary for service on an OSV, or that the applicant meets under the equivalency provisions of Article IX of STCW.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2014-0688, 79 FR 58277, Sept. 29, 2014]

### § 11.497 Mate (OSV).

(a) The minimum service required to qualify an applicant for an endorsement as mate (OSV) of offshore supply vessels is—

(1) Twenty-four months of total service in the deck department of ocean or near-coastal self-propelled, sail, or auxiliary sail vessels. Service on Great Lakes and inland waters may substitute for up to 1 year of the required service. One year of the required service must have been on vessels of more than 100 GRT; or

(2) One year of total service as part of an approved or accepted mate (OSV) training program.

(b) A person holding an endorsement as mate (OSV) may qualify for an STCW endorsement, according to § 11.309 of this part.

(c) The Coast Guard may exempt an applicant from meeting any requirement under STCW Regulation II/1 (incorporated by reference, see § 11.102 of this part) that the Coast Guard determines to be inappropriate or unnecessary for service on an OSV, or that the applicant meets under the equivalency provisions of Article IX of STCW.

## Subpart E—Professional Requirements for National Engineer Officer Endorsements

### § 11.501 Grades and types of national engineer endorsements issued.

(a) National engineer endorsements are issued in the grades of—

- (1) Chief engineer;
- (2) First assistant engineer;
- (3) Second assistant engineer;
- (4) Third assistant engineer;
- (5) Chief engineer (limited);
- (6) Assistant engineer (limited);
- (7) Designated duty engineer;
- (8) Chief engineer uninspected fishing industry vessels;
- (9) Assistant engineer uninspected fishing industry vessels;
- (10) Chief engineer (MODU);
- (11) Assistant engineer (MODU);
- (12) Chief engineer (OSV); and
- (13) Assistant engineer (OSV).

(b) Engineer endorsements issued in the grades of chief engineer (limited) and assistant engineer (limited) of steam, motor, and/or gas turbine-propelled vessels allow the holder to serve within any propulsion power limitations on vessels of unlimited tonnage on inland waters and of less than 1,600 GRT in ocean, near-coastal, or Great Lakes service in the following manner:

(1) Chief engineer (limited) may serve on oceans and near-coastal waters.

(2) Assistant engineer (limited) may serve on ocean and near-coastal waters.

(c) Engineer licenses or MMC endorsements issued in the grades of designated duty engineer of steam, motor, and/or gas turbine-propelled vessels allow the holder to serve within stated propulsion power limitations on vessels of less than 500 GRT in the following manner:

(1) Designated duty engineers limited to vessels of less than 1,000 HP or 4,000 HP may serve only on near-coastal or inland waters.

(2) Designated duty engineers-unlimited may serve on any waters.

(d) An engineer officer's license or MMC endorsement authorizes service on steam, motor, or gas turbine-propelled vessels or may authorize all modes of propulsion.

(e) A person holding an engineer license or MMC endorsement that is restricted to near-coastal waters may

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serve within the limitations of the license or MMC upon near-coastal, Great Lakes, and inland waters.

### § 11.502 General requirements for national engineer endorsements.

(a) For all original and raise of grade of engineer endorsements, at least one-third of the minimum service requirements must have been obtained on the particular mode of propulsion for which the applicant seeks endorsement.

(b) If an applicant desires to add a propulsion mode (steam, motor, or gas turbine) to his or her endorsement while holding a license or MMC officer endorsement in that grade, the following alternatives are acceptable:

(1) Four months of service as an observer on vessels of the new propulsion mode.

(2) Four months of service as an engineer officer at the operational level on vessels of the new propulsion mode.

(3) Six months of service as oiler, fireman/watertender, or junior engineer on vessels of the new propulsion mode.

(4) Completion of a Coast Guard-approved training course for this endorsement.

### § 11.503 Propulsion power limitations for national endorsements.

(a) Engineer endorsements of all grades and types may be subject to propulsion power limitations. Other than as provided in § 11.524 of this subpart for the designated duty engineer (DDE), the propulsion power limitation placed on a license or MMC endorsement is based on the applicant's qualifying experience considering the total shaft propulsion power of each vessel on which the applicant has served.

(b) When an applicant for an original or raise of grade of an engineer endorsement, other than a DDE, has not obtained at least 50 percent of the required experience on vessels of 4,000 HP/3,000 kW or more, a propulsion power limitation is placed on the MMC based on the applicant's qualifying experience. The endorsement is limited to the maximum propulsion power on which at least 25 percent of the required experience was obtained, or 150 percent of the maximum propulsion

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power on which at least 50 percent of the service was obtained, whichever is higher. Limitations are in multiples of 1,000 HP/750 kW, using the next higher figure when an intermediate horsepower is calculated. When the limitation as calculated equals or exceeds 10,000 HP/7,500 kW, an unlimited propulsion power endorsement is issued.

(c) The following service on vessels of 4,000 HP/3,000 kW or more will be considered qualifying for raising or removing the propulsion power limitations placed on an engineer endorsement:

(1) Six months of service in the highest-grade endorsed: Removal of all propulsion power limitations.

(2) Six months of service as an engineer officer in any capacity other than the highest grade for which the applicant is licensed or endorsed: Removal of all propulsion power limitations for the grade in which service is performed and raised to the next higher grade endorsement to the propulsion power of the vessel on which service was performed. The total cumulative service before and after issuance of the limited engineer endorsement may be considered in removing all propulsion power limitations.

(3) Twelve months of service as oiler or junior engineer while holding a license or MMC endorsement as third assistant engineer or assistant engineer (limited): Removal of all propulsion power limitations on third assistant engineer or assistant engineer's (limited) endorsement.

(4) Six months of service as oiler or junior engineer while holding a license or MMC endorsement as second assistant engineer: removal of all propulsion power limitations on third assistant engineer's endorsement.

(d) Raising or removing propulsion power limitations based on service required by paragraph (c) of this section may be granted without further written examination, if the Coast Guard considers further examination unnecessary.

### § 11.504 Application of deck service for national limited engineer endorsements.

Service gained in the deck department on vessels of appropriate tonnage may substitute for up to 25 percent or

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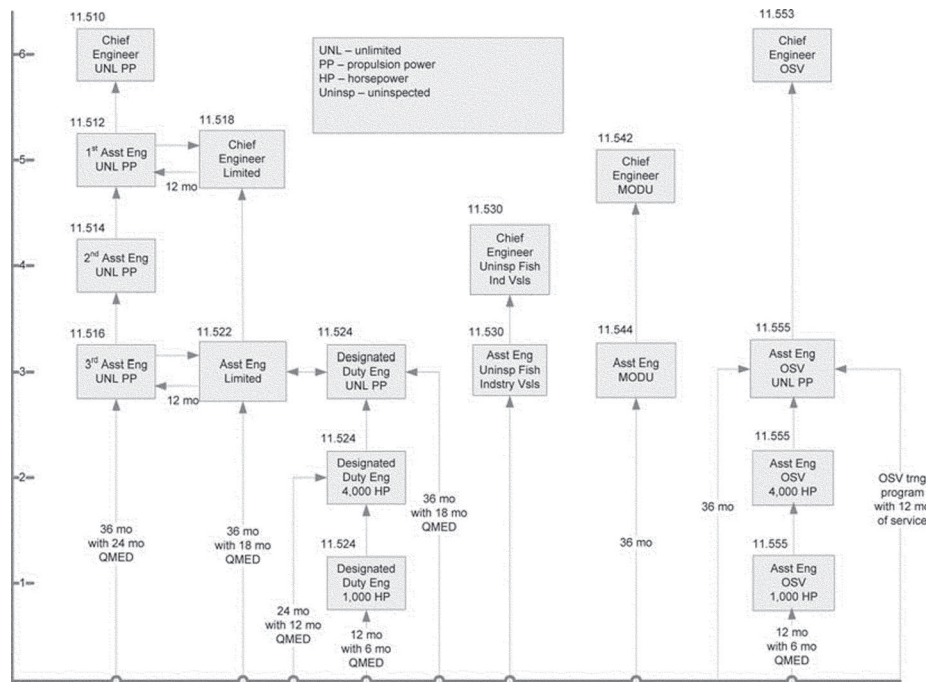
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6 months, whichever is less, of the service requirement for an endorsement as chief engineer (limited), assistant engineer (limited), or DDE.

### § 11.505 National engineer officer endorsements.

Figure 11.505(a) illustrates the national engineering endorsement structure, including crossover points.

Figure 11.505(a)—Structure of national engineer officer endorsements for non-seagoing service.



### § 11.510 Service requirements for national endorsement as chief engineer of steam, motor, and/or gas turbine-propelled vessels.

(a) The minimum service required to qualify an applicant for endorsement as chief engineer of steam, motor, and/or gas turbine-propelled vessels is—

(1) One year of service as first assistant engineer; or

(2) One year of service while holding a license or MMC endorsement as first assistant engineer. A minimum of 6 months of this service must have been as first assistant engineer, and the remainder must be as assistant engineer. Service as an assistant engineer other

than first assistant engineer is accepted on a two-for-one basis to a maximum of 6 months (2 days of service as a second or third assistant engineer equals 1 day of creditable service).

(b) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.325 and 11.331 of this part.

### § 11.512 Service requirements for national endorsement as first assistant engineer of steam, motor, and/or gas turbine-propelled vessels.

(a) The minimum service required to qualify an applicant for endorsement as first assistant engineer of steam,

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motor, and/or gas turbine-propelled vessels is—

(1) One year of service as an assistant engineer while holding a license or MMC with a second assistant engineer endorsement; or

(2) One year of service as a chief engineer (limited) and completing the appropriate examination described in subpart I of this part.

(b) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.327, 11.331, and 11.333 of this part.

### **§ 11.514 Service requirements for national endorsement as second assistant engineer of steam, motor, and/or gas turbine-propelled vessels.**

(a) The minimum service required to qualify an applicant for endorsement as second assistant engineer of steam, motor, and/or gas turbine-propelled vessels is—

(1) One year of service as an assistant engineer, while holding a license or MMC endorsement as third assistant engineer; or

(2) One year of service while holding a license or MMC endorsement as third assistant engineer, which includes—

(i) A minimum of 6 months of service as third assistant engineer; and

(ii) Additional service as a qualified member of the engine department, calculated on a two-for-one basis.

(b) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.327, 11.329, and 11.333 of this part.

### **§ 11.516 Service requirements for national endorsement as third assistant engineer of steam, motor, and/or gas turbine-propelled vessels.**

(a) The minimum service required to qualify an applicant for endorsement as third assistant engineer of steam, motor, and/or gas turbine-propelled vessels is—

(1) Three years of service in the engineroom of vessels, 2 years of which must have been as a qualified member of the engine department or equivalent position;

(2) Three years of service as an apprentice to the machinist trade engaged in the construction or repair of marine, locomotive, or stationary en-

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gines, together with 1 year of service in the engineroom as oiler, fireman/watertender, or junior engineer;

(3) Graduation from—

(i) The U.S. Merchant Marine Academy (engineering curriculum);

(ii) The U.S. Coast Guard Academy and completion of an onboard engineer officer qualification program required by the service;

(iii) The U.S. Naval Academy and completion of an onboard engineer officer qualification program required by the service; or

(iv) The engineering class of a Maritime Academy approved by and conducted under the rules prescribed by the Maritime Administrator and listed in part 310 of this title;

(4) Graduation from the marine engineering course of a school of technology accredited by the Accreditation Board for Engineering and Technology, together with 3 months of service in the engine department of steam, motor, or gas turbine-propelled vessels;

(5) Graduation from the mechanical or electrical engineering course of a school of technology accredited by the ABET, together with 6 months of service in the engine department of steam, motor, or gas turbine-propelled vessels;

(6) Satisfactory completion of a comprehensive apprentice engineers training program approved by the Coast Guard; or

(7) One year of service as assistant engineer (limited) of self-propelled vessels and completion of the appropriate examination described in subpart I of this part.

(b) Experience gained in the deck department on vessels of 100 GRT or more can be credited for up to 3 months of the service requirements under paragraph (a)(1) of this section.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.327, 11.329, and 11.333 of this part.

### **§ 11.518 Service requirements for national endorsement as chief engineer (limited) of steam, motor, and/or gas turbine-propelled vessels.**

(a) The minimum service required to qualify an applicant for endorsement as chief engineer (limited) of steam, motor, and/or gas turbine-propelled vessels is 5 years of total service in the

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engineroom of vessels. Two years of this service must have been as an engineer officer while holding an engineer officer endorsement. Thirty months of the service must have been as a qualified member of the engine department or equivalent position.

(b) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.325 and 11.331 of this part.

### **§ 11.522 Service requirements for national endorsement as assistant engineer (limited) of steam, motor, and/or gas turbine-propelled vessels.**

(a) The minimum service required to qualify an applicant for endorsement as assistant engineer (limited) of steam, motor, and/or gas turbine-propelled vessels is 3 years of service in the engineroom of vessels. Eighteen months of this service must have been as a qualified member of the engine department or equivalent position.

(b) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.327, 11.329, and 11.333 of this part.

### **§ 11.524 Service requirements for national endorsement as designated duty engineer (DDE) of steam, motor, and/or gas turbine-propelled vessels.**

(a) DDE endorsements are issued in three levels of propulsion power limitations dependent upon the total service of the applicant and completion of an appropriate examination. These endorsements are limited to vessels of less than 500 GRT on certain waters as specified in § 11.501 of this subpart.

(b) The service requirements for endorsements as DDE are—

(1) For designated duty engineer of steam, motor, and/or gas turbine-propelled vessels of unlimited propulsion power, the applicant must have 3 years of service in the engineroom. Eighteen months of this service must have been as a qualified member of the engine department or equivalent position;

(2) For designated duty engineer of steam, motor, and/or gas turbine-propelled vessels of less than 4,000 HP/3,000 kW, the applicant must have 2 years of service in the engineroom. One year of this service must have been as a quali-

fied member of the engine department or equivalent position; and

(3) For designated duty engineer of steam, motor, and/or gas turbine-propelled vessels of less than 1,000 HP/750 kW, the applicant must have 1 year of service in the engineroom. Six months of this service must have been as a qualified member of the engine department or equivalent position.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.325, 11.327, 11.329, and 11.331 of this part.

### **§ 11.530 Endorsements as engineers of uninspected fishing industry vessels.**

(a) This section applies to endorsements for chief and assistant engineers of all vessels, however propelled, which are documented to engage in the fishing industry, with the exception of—

- (1) Wooden ships of primitive build;
- (2) Unrigged vessels; and
- (3) Vessels of less than 200 GRT.

(b) Endorsements as chief engineer and assistant engineer of uninspected fishing industry vessels are issued for ocean waters and with propulsion power limitations in accordance with the provisions of § 11.503 of this subpart.

(c) For an endorsement as chief engineer, the applicant must have served 4 years in the engineroom of vessels. One year of this service must have been as an assistant engineer officer or equivalent position.

(d) For an endorsement as assistant engineer, an applicant must have served 3 years in the engine room of vessels.

(e) Two-thirds of the service required under this section must have been on motor vessels.

(f) Applicants may request an orally assisted examination on the subjects listed in subpart I of this part.

### **§ 11.540 Endorsements as engineers of mobile offshore drilling units (MODUs).**

Endorsements as chief engineer (MODU) or assistant engineer (MODU) authorize service on certain self-propelled or non-self-propelled units of unlimited propulsion power where authorized by the vessel's certificate of inspection.

**§ 11.542 Endorsement as chief engineer (MODU).**

(a) To qualify for an endorsement as chief engineer (MODU) an applicant must—

(1) Present evidence of one of the following:

(i) Six years of employment assigned to MODUs, including 3 years of employment as mechanic, motorman, subsea engineer, electrician, barge engineer, toolpusher, unit superintendent, crane operator, or equivalent. Eighteen months of that employment must have been assigned to self-propelled or propulsion assisted units.

(ii) Two years of employment assigned to MODUs as an assistant engineer (MODU). Twelve months of that employment must have been assigned to self-propelled or propulsion assisted units; and

(2) Present evidence of completion of a firefighting training course as required by § 11.201(h) of this part.

(b) If an applicant successfully completes an examination and possesses the total required sea service for an endorsement as chief engineer (MODU), but does not possess the required sea service onboard self-propelled or propulsion assisted units, the Coast Guard may issue the applicant an endorsement limited to non-self-propelled units. The Coast Guard may remove the limitation upon presentation of satisfactory evidence of the required self-propelled sea service and completion of any additional required examination.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.325, 11.327, and 11.331 of this part.

**§ 11.544 Endorsement as assistant engineer (MODU).**

(a) To qualify for an endorsement as assistant engineer (MODU) an applicant must—

(1) Present evidence of one of the following experience:

(i) Three years of employment assigned to MODUs including 18 months of employment as mechanic, motorman, subsea engineer, electrician, barge engineer, toolpusher, unit superintendent, crane operator, or equivalent. Nine months of that employment

must have been assigned to self-propelled or propulsion assisted unit.

(ii) Three years of employment in the machinist trade engaged in the construction or repair of diesel engines and 1 year of employment assigned to MODUs in the capacity of mechanic, motorman, oiler, or equivalent. Nine months of that employment must have been assigned to self-propelled or propulsion assisted units.

(iii) A degree from a program in marine, mechanical, or electrical engineering technology that is accredited by the Accreditation Board for Engineering and Technology (ABET). The National Maritime Center will give consideration to accepting education credentials from programs having other than ABET accreditation. An applicant qualifying through a degree program must also have at least 6 months of employment in any of the capacities listed in paragraph (a)(1)(i) of this section aboard self-propelled or propulsion-assisted units; and

(2) Present evidence of completion of a firefighting training course as required by § 11.201(h) of this part.

(b) If an applicant successfully completes an examination and possesses the total required sea service for an endorsement as an assistant engineer (MODU), but does not possess the required sea service onboard self-propelled or propulsion assisted units, the Coast Guard may issue the applicant an endorsement limited to non-self-propelled units. The Coast Guard may remove the limitation upon presentation of the satisfactory evidence of the required self-propelled sea service and completion of any additional required examination.

(c) A person holding this endorsement may qualify for an STCW endorsement, according to §§ 11.329 and 11.333 of this part.

**§ 11.551 Endorsements for service on offshore supply vessels.**

Each endorsement for service on OSVs as chief engineer (OSV) or engineer (OSV) authorizes service on OSVs as defined in 46 U.S.C. 2101(19) and as interpreted under 46 U.S.C. 14104(b), subject to any restrictions placed on the MMC.

**§ 11.553 Chief engineer (OSV).**

(a) The minimum service required to qualify an applicant for an endorsement as chief engineer (OSV) is 4 years of total service in the engineroom of vessels. One year of this service must have been as an engineer officer while holding an engineer officer endorsement. Two years of the service must have been as a qualified member of the engine department or equivalent position.

(b) If an applicant has not obtained at least 50 percent of the required experience on vessels of 4,000 HP/3,000 kW or more, a propulsion power limitation is placed on the MMC based on the applicant's qualifying experience. The endorsement is limited to the maximum propulsion power on which at least 25 percent of the required experience was obtained, or 150 percent of the maximum propulsion power on which at least 50 percent of the service was obtained, whichever is higher. Limitations are in multiples of 1,000 HP/750 kW, using the next higher figure when an intermediate propulsion power is calculated. When the limitation as calculated equals or exceeds 10,000 HP/7,500 kW, an unlimited propulsion power endorsement is issued.

(c) A person holding an endorsement as chief engineer (OSV) may qualify for an STCW endorsement, according to §§ 11.325, 11.327, and 11.331 of this part.

(d) The Coast Guard may exempt an applicant from meeting any requirement under STCW Regulation III/2 (incorporated by reference, see § 11.102 of this part) that the Coast Guard determines to be inappropriate or unnecessary for service on an OSV, or that the applicant meets under the equivalency provisions of Article IX of STCW.

**§ 11.555 Assistant engineer (OSV).**

(a) The minimum service required to qualify an applicant for an endorsement as assistant engineer (OSV) of unlimited propulsion power is—

(1) Three years of service in the engineroom. Eighteen months of this service must have been as a qualified member of the engine department (QMED) or equivalent position; or

(2) One year of total service as part of an approved or accepted assistant engineer (OSV) training program.

(b) The minimum service required to qualify an applicant for an endorsement as assistant engineer (OSV) of less than 4,000 HP/3,000 kW, is 2 years of service in the engineroom. One year of this service must have been as a QMED or equivalent position.

(c) The minimum service required to qualify an applicant for an endorsement as assistant engineer (OSV) of less than 1,000 HP/750 kW is 1 year of service in the engineroom. Six months of this service must have been as a QMED or equivalent position.

(d) A person holding an endorsement as assistant engineer (OSV) may qualify for an STCW endorsement, according to §§ 11.329 and 11.333 of this part.

(e) The Coast Guard may exempt an applicant from meeting any requirement under STCW Regulation III/1 (incorporated by reference, see § 11.102 of this part) that the Coast Guard determines to be inappropriate or unnecessary for service on an OSV, or that the applicant meets under the equivalency provisions of Article IX of STCW.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2014-0688, 79 FR 58277, Sept. 29, 2014]

**Subpart F—Credentialing of Radio Officers****§ 11.601 Applicability.**

This subpart provides for endorsement as radio officers for employment on vessels, and for the issue of STCW endorsements for those qualified to serve as radio operators on vessels subject to the provisions on the Global Maritime Distress and Safety System (GMDSS) of Chapter IV of SOLAS (incorporated by reference, see § 11.102 of this part).

**§ 11.603 Requirements for radio officers' endorsements.**

Each applicant for an original endorsement or renewal of license must present a current radiotelegraph operator license (T) issued by the Federal Communications Commission. The applicant must enter on the endorsement application form the number, class,

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and date of issuance of his or her Federal Communications Commission license.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2018-0874, 84 FR 30882, June 28, 2019]

### **§ 11.604 Requirements for an STCW endorsement for Global Maritime Distress and Safety System (GMDSS) radio operators.**

Each applicant for an original endorsement must present a certificate of completion from a Coast Guard-approved course for operator of radio in the GMDSS meeting the requirements of Section A-IV/2 of the STCW Code (incorporated by reference, see § 11.102 of this part).

## **Subpart G—Professional Requirements for Pilots**

### **§ 11.701 Scope of pilot endorsements.**

(a) An applicant for an endorsement as first-class pilot need not hold any other officer endorsement issued under this part.

(b) The issuance of an endorsement as first-class pilot to an individual qualifies that individual to serve as pilot over the routes specified on the endorsement, subject to any limitations imposed under paragraph (c) of this section.

(c) The OCMI issuing an endorsement as first-class pilot imposes appropriate limitations commensurate with the experience of the applicant, with respect to class or type of vessel, tonnage, route, and waters.

(d) A license or MMC endorsement issued for service as a master, mate, or operator of uninspected towing vessels authorizes service as a pilot under the provisions of § 15.812 of this subchapter. Therefore, first-class pilot endorsements will not be issued with tonnage limitations of 1,600 GRT or less.

### **§ 11.703 Service requirements.**

(a) The minimum service required to qualify an applicant for an endorsement as first-class pilot is predicated upon the nature of the waters for which pilotage is desired.

(1) *General routes (routes not restricted to rivers, canals and small lakes.* The applicant must have at least 36 months of

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service in the deck department of self-propelled vessels navigating on oceans, coastwise, and Great Lakes, or bays, sounds, and lakes other than the Great Lakes, as follows:

(i) Eighteen months of the 36 months of service must be performing bridge watchkeeping duties under the supervision of the master or a qualified officer.

(ii) At least 12 months of the 18 months of service required in paragraph (a)(1)(i) of this section must be on vessels operating on the class of waters for which pilotage is desired.

(2) *River routes.* The applicant must have at least 36 months of service in the deck department of any vessel including at least 12 months of service on vessels operating on the waters of rivers while the applicant is performing bridge watchkeeping duties under the supervision of the master or a qualified officer.

(3) *Canal and small lakes routes.* The applicant must have at least 24 months of service in the deck department of any vessel including at least 8 months of service on vessels operating on canals or small lakes.

(b) A graduate of the Great Lakes Maritime Academy in the deck class meets the service requirements of this section for an endorsement as first-class pilot on the Great Lakes.

(c) Completion of an approved or accepted pilot training course may be substituted for a portion of the service requirements of this section in accordance with § 10.404 of this subchapter. Additionally, roundtrips made during this training may apply toward the route familiarization requirements of § 11.705 of this subpart. An individual using substituted service must have at least 9 months of shipboard service.

(d) An individual holding a license or MMC endorsement as master or mate of inspected self-propelled vessels of more than 1,600 GRT meets the service requirements of this section for an endorsement as first-class pilot.

### **§ 11.705 Route familiarization requirements.**

(a) The Officer in Charge, Marine Inspection (OCMI) has jurisdiction and

determines within the range limitations specified in this section, the number of roundtrips required to qualify an applicant for a particular route, considering the following:

- (1) The geographic configuration of the waterway.
- (2) The type and size of vessels using the waterway.
- (3) The abundance or absence of aids to navigation.
- (4) The background lighting effects.
- (5) The known hazards involved, including waterway obstructions or constrictions such as bridges, narrow channels, or sharp turns.
- (6) Any other factors unique to the route that the OCMI deems appropriate.

(b) An applicant holding no other deck officer endorsement seeking an endorsement as first-class pilot must furnish evidence of having completed a minimum number of roundtrips, while serving as quartermaster, wheelsman, able seaman, apprentice pilot, or in an equivalent capacity, standing regular watches at the wheel or in the pilot house as part of routine duties, over the route sought. Evidence of having completed a minimum number of roundtrips while serving as an observer, properly certified by the master and/or pilot of the vessel, is also acceptable. The range of roundtrips for an endorsement is a minimum of 12 roundtrips and a maximum of 20 roundtrips. An applicant may have additional routes added to the first-class pilot endorsement by meeting the requirements in paragraph (c) of this section.

(c) An applicant who currently holds a deck officer license or MMC endorsement seeking an endorsement as first-class pilot for a particular route must furnish evidence of having completed the number of roundtrips over the route, specified by the OCMI, within the range limitations of this paragraph, for the particular grade of existing license or MMC endorsement held. The range of roundtrips for an endorsement is a minimum of eight roundtrips and a maximum of 15 roundtrips.

(d) Unless determined impracticable by the OCMI, 25 percent of the roundtrips required by the OCMI under

this section must be made during the hours of darkness.

(e) One of the roundtrips required by the OCMI under this section must be made over the route within the 6 months immediately preceding the date of application.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2004-17914, 79 FR 55657, Sept. 17, 2014]

#### § 11.707 Examination requirements.

(a) An applicant for an endorsement as first-class pilot, except as noted in paragraph (b) of this section, is required to pass the examination described in subpart I of this part.

(b) An applicant for an extension of route, or an applicant holding a license or MMC endorsement as master or mate authorized to serve on vessels of more than 1,600 GRT seeking an endorsement as first-class pilot, is required to pass those portions of the examination described in subpart I of this part that concern the specific route for which endorsement is sought.

#### § 11.709 Annual physical examination requirements.

(a) This section applies only to an individual who pilots a vessel of 1,600 GRT or more.

(b) Every person holding a license or MMC endorsement as first-class pilot must have a thorough physical examination each year, to be completed by the first day of the month following the anniversary of the individual's most recently completed Coast Guard-required physical examination. Every other year, in accordance with the medical certificate requirements in § 10.301(b) of this subchapter, the results of the physical examination must be recorded on a CG-719K form and submitted to the Coast Guard no later than 30 calendar days after completion of the physical examination.

(c) Each annual physical examination must meet the requirements specified in 46 CFR, part 10, subpart C and be recorded on a CG-719-K.

(d) An individual's first-class pilot endorsement becomes invalid on the first day of the month following the anniversary of the individual's most recently completed Coast Guard-required physical examination, if the person

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does not meet the physical examination requirement as provided in paragraph (b) of this section. The individual may not operate under the authority of that endorsement until a physical examination has been satisfactorily completed.

### § 11.711 Tonnage requirements.

(a) In order to obtain a first-class pilot endorsement authorizing service on vessels of unlimited tonnage over a particular route, the applicant must have sufficient experience on vessels of more than 1,600 GRT.

(b) For purposes of this section, an applicant is considered to have sufficient experience if the applicant has 18 months of experience as master, mate, quartermaster, wheelsman, able seaman, apprentice pilot, or in an equivalent capacity, standing regular watches at the wheel or in the pilothouse as part of routine duties, on vessels of 1,600 GRT or more, and two-thirds of the minimum number of roundtrips required for the route have been on vessels of 1,600 GRT or more.

(c) If an applicant does not have sufficient experience on vessels of 1,600 GRT/3,000 GT or more, the endorsement will be for a limited tonnage until the applicant completes a number of additional roundtrips, as determined by the OCMI, within the range contained in § 11.705(b) or (c) of this subpart, as appropriate on vessels of 1,600 GRT/3,000 GT or more.

(d) For purposes of this section, for experience with respect to tonnage on towing vessels, the combined gross tonnage of the towing vessels and the vessels towed will be considered. However, the Coast Guard may require that all or a portion of the required number of roundtrips be obtained on self-propelled vessels of 1,600 GRT or more, when the Coast Guard determines that due to the nature of the waters and the overall experience of the applicant, self-propelled vessel experience is necessary to obtain a first-class pilot endorsement that is not restricted to tug and barge combinations.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2004–17914, 79 FR 55657, Sept. 17, 2014]

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### § 11.713 Requirements for maintaining current knowledge of waters to be navigated.

(a) If a first-class pilot has not served over a particular route within the past 60 months, that person's license or MMC endorsement is invalid for that route, and remains invalid until the individual has made one re-familiarization round trip over that route, except as provided in paragraph (b) of this section. Whether this requirement is satisfied or not has no effect on the renewal of other licenses or MMC endorsements. Roundtrips made within the 90-day period preceding renewal will be valid for the duration of the renewed license or MMC endorsement.

(b) For certain long or extended routes, the OCMI may, at his or her discretion, allow the re-familiarization requirement to be satisfied by reviewing appropriate navigation charts, coast pilots tide and current tables, local Notice to Mariners, and any other materials that would provide the pilot with current knowledge of the route. Persons using this method of re-familiarization must certify, when applying for renewal of their license or MMC endorsement, the material they have reviewed and the dates on which this was accomplished. Review within the 90-day period preceding renewal is valid for the duration of the renewed MMC endorsement.

## Subpart H—Registration of Staff Officers and Miscellaneous Endorsements

### § 11.801 Applicability.

This subpart provides for the registration of staff officers for employment on vessels documented or numbered under the laws of the United States. Staff officers must be registered if serving on most vessels in ocean service or on the Great Lakes.

### § 11.803 Staff departments.

(a) Title 46 U.S.C. 8302 contains the requirements for staff departments on U.S. flag vessels.

(b) Title 46 U.S.C. 8302 does not apply to—

(1) A fishing or whaling vessel or yacht;

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(2) A vessel operated only on bays, sounds, inland waters, and lakes (other than the Great Lakes); and

(3) A vessel ferrying passengers and cars on the Great Lakes.

### § 11.805 General requirements.

(a) The applicant for an endorsement as staff officer is not required to take any examination; however, the applicant must present to the Coast Guard a letter justifying the need for the endorsement.

(b) An applicant for a higher grade in the staff department must apply in the same manner as for an original endorsement and must surrender the previous Coast Guard-issued credentials upon issuance of the new MMC. A staff officer may serve in a lower grade of service for which he or she is registered.

(c) Title 46 U.S.C. 8302 addresses uniforms for staff officers who are members of the Naval Reserve.

(d) A duplicate MMC may be issued by the Coast Guard. (See § 10.229 of this subchapter.)

(e) An MMC is valid for a term of 5 years from the date of issuance. Procedures for renewing endorsements are found in § 10.227 of this subchapter.

(f) Each applicant for an original or a higher grade of endorsement, as described in paragraph (b) of this section, must produce evidence of having passed a chemical test for dangerous drugs or of qualifying for an exception from testing in § 16.220 of this subchapter. An applicant who fails a chemical test for dangerous drugs will not be issued an MMC.

### § 11.807 Experience requirements for registry.

(a) The applicant for a certificate of registry as staff officer must submit evidence of experience as follows:

(1) *Chief purser*. Two years of service aboard vessels performing duties relating to work in the purser's office.

(2) *Purser*. One year of service aboard vessels performing duties relating to work in the purser's office.

(3) *Senior assistant purser*. Six months of service aboard vessels performing duties relating to work in the purser's office.

(4) *Junior assistant purser*. Previous experience not required.

(5) *Medical doctor*. A valid license as physician or surgeon issued under the authority of a state or territory of the United States, the Commonwealth of Puerto Rico, or the District of Columbia.

(6) *Professional nurse*. A valid license as a registered nurse issued under authority of a state or territory of the United States, the Commonwealth of Puerto Rico, or the District of Columbia.

(7) *Marine physician assistant*. Successful completion of an accredited course of instruction for a physician's assistant or nurse practitioner program.

(8) *Hospital corpsman*. A rating of at least hospital corpsman or health services technician, first class in the U.S. Navy, U.S. Coast Guard, U.S. Marine Corps, or an equivalent rating in the U.S. Army (not less than Staff Sergeant, Medical Department, U.S.A.), or in the U.S. Air Force (not less than Technical Sergeant, Medical Department, U.S.A.F.), and a period of satisfactory service of at least 1 month in a military hospital or U.S. Public Health Service Hospital.

(b) Employment on shore in connection with a vessel's business may be accepted instead of service aboard vessels. Related shore employment is accepted in the ratio of 2 months of shore service to 1 month of creditable service aboard vessels.

(c) In computing the length of service required of an applicant for an endorsement, service of one season on vessels on the Great Lakes is counted as service of 1 year.

(d) In the event an applicant for an endorsement, other than medical doctor or professional nurse, presents evidence of other qualifications that, in the opinion of the Coast Guard, is equivalent to the experience requirements of this section and is consistent with the duties of a staff officer, the Coast Guard may issue the MMC.

### § 11.821 High-speed craft type-rating.

(a) This section is only applicable to those persons who will be serving or have served upon those vessels built and operated in accordance with the

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International Code of Safety for High Speed Craft (HSC Code).

(b) To qualify for a high-speed craft type-rating endorsement (TRE) for operating vessels to which the HSC Code applies, an applicant must—

(1) Hold a valid officer endorsement for vessels of commensurate grade, tonnage, route, and/or horsepower; and

(2) Present evidence of successful completion of a Coast Guard-approved type rating training program.

(c) A separate TRE will be issued for each type and class of high speed craft. The original route will be as specified in the approved type rating program. Additional routes may be added to an existing TRE by completing at least 12 roundtrips over each route under the supervision of a type-rated master on the class of high speed craft the TRE will be valid for. Six of the trips must be made during the hours of darkness or a “daylight only” restriction will be imposed.

(d) A TRE will be valid for 2 years. The expiration date of a TRE will not be changed due to the addition of additional routes.

(e) To renew a TRE, an applicant must provide evidence of—

(1) At least 6 months of service in the appropriate position on the type crafts to which the TRE applies during the preceding 2 years, including at least 12 roundtrips over each route, together with evidence of a completed revalidation assessment; or

(2) Completion of an approved revalidation training program.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2014-0688, 79 FR 58277, Sept. 29, 2014]

## Subpart I—Subjects of Examinations

### § 11.901 General provisions.

(a) Where required by § 11.903 of this subpart, each applicant for an endorsement listed in that section must pass an examination on the appropriate subjects listed in this subpart.

(b) If the endorsement is to be limited in a manner that would render any of the subject matter unnecessary or inappropriate, the examination may be amended accordingly by the Coast

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Guard. Limitations that may affect the examination content are as follows:

(1) Restricted routes for reduced service officer endorsements (master or mate of vessels of less than 200 GRT, OUPV, or master or mate (pilot) of towing vessels).

(2) Limitations to a certain class or classes of vessels.

(c) Simulators used in assessments of competence required by subpart C of this part must meet the appropriate performance standards set out in Section A-I/12 of the STCW Code (incorporated by reference, see § 11.102 of this part). However, simulators installed or brought into use before February 1, 2002, need not meet these performance standards if they fulfill the objective of the assessment of competence or demonstration of proficiency.

### § 11.903 Officer endorsements requiring examinations.

(a) The following officer endorsements require examinations for issuance:

(1) Chief mate of ocean or near-coastal self-propelled vessels of unlimited tonnage (examined at the management level).

(2) Third mate of ocean or near-coastal self-propelled vessels of unlimited tonnage (examined at the operational level).

(3) Master of ocean or near-coastal self-propelled vessels of less than 1,600 GRT.

(4) Mate of ocean or near-coastal self-propelled vessels of less than 1,600 GRT.

(5) Master of near-coastal vessels less than 200 GRT.

(6) Mate of near-coastal vessels less than 200 GRT.

(7) Master of near-coastal vessels less than 100 GRT.

(8) Mate of near-coastal vessels less than 100 GRT.

(9) Master of Great Lakes and inland vessels of unlimited tonnage.

(10) Mate of Great Lakes and inland vessels of unlimited tonnage.

(11) Master of inland vessels of unlimited tonnage.

(12) Master of river vessels of unlimited tonnage.

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(13) Master of Great Lakes and inland/river vessels less than 500 GRT or less than 1,600 GRT.

(14) Mate of Great Lakes and inland/river vessels less than 500 GRT or less than 1,600 GRT.

(15) Master of Great Lakes and inland/river vessels less than 200 GRT.

(16) Mate of Great Lakes and inland/river vessels less than 200 GRT.

(17) Master of Great Lakes and inland/river vessels less than 100 GRT.

(18) First-class pilot.

(19) Apprentice mate (steersman) of towing vessels.

(20) Apprentice mate (steersman) of towing vessels, limited.

(21) Offshore Installation Manager.

(22) Barge Supervisor.

(23) Ballast Control Operator.

(24) Operator of uninspected passenger vessels.

(25) Master of uninspected fishing industry vessels.

(26) Mate of uninspected fishing industry vessels.

(27) Master (OSV).

(28) Chief mate (OSV).

(29) Mate (OSV).

(30) First assistant engineer (limited or unlimited propulsion power).

(31) Third assistant engineer (limited or unlimited propulsion power).

(32) Chief engineer (limited) steam/motor vessels.

(33) Assistant engineer (limited) steam/motor vessels.

(34) Designated duty engineer steam/motor vessels.

(35) Chief engineer (uninspected fishing industry vessels).

(36) Assistant engineer (uninspected fishing industry vessels).

(37) Chief engineer (MODU).

(38) Assistant engineer (MODU).

(39) Chief engineer (OSV).

(40) Assistant engineer (OSV).

(b) In paragraphs (a)(1) through (4), and (a)(6), (7), (15), and (16) of this section, examinations will vary depending on route desired.

(c) The following officer endorsements do not require examinations:

(1) Master of oceans or near-coastal vessels of unlimited tonnage when upgrading from MMC officer endorsements, or a license as chief mate of oceans or near-coastal vessels of unlimited tonnage, provided the appli-

cant has already been examined at the management level.

(2) Master of oceans or near-coastal vessels of unlimited tonnage when adding an endorsement as offshore installation manager (OIM).

(3) Master of oceans or near-coastal self-propelled vessels of less than 200 GRT, when upgrading from mate of near-coastal self-propelled vessels of less than 200 GRT. Master of oceans self-propelled vessels of less than 200 GRT would, however, require an examination in celestial navigation.

(4) Second mate of oceans or near-coastal vessels when upgrading from third mate of oceans or near-coastal vessels, provided the applicant has already been examined at the operational level.

(5) Master of Great Lakes and inland vessels, or river vessels of less than 200 GRT when upgrading from mate of less than 200 GRT on the same route.

(6) Chief engineer unlimited, provided the applicant has already been examined at the management level.

(7) Chief engineer limited to service on steam, motor, or gas turbine-propelled vessels of less than 10,000 HP/7,500 kW on near-coastal routes, provided the applicant has already been examined at the management level.

(8) Chief engineer limited to service on steam, motor, and/or gas turbine-propelled vessels of less than 4,000 HP/3,000 kW on near-coastal routes, provided the applicant has already been examined at the management level.

(9) Second assistant engineer when upgrading from third assistant engineer, provided the applicant has already been examined at the operational level.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2014-0688, 79 FR 58277, Sept. 29, 2014]

### § 11.910 Subjects for deck officer endorsements.

Table 1 to § 11.910 gives the codes used in Table 2 to § 11.910 for all deck officers. Table 2 to § 11.910 indicates the examination subjects for each endorsement, by code number. Figures in the body of Table 2 to § 11.910, in place of the letter “x”, refer to notes.

TABLE 1 TO § 11.910—CODES FOR DECK OFFICER ENDORSEMENTS

**Deck Officer Endorsements**

1. Master/chief mate, oceans/near-coastal, unlimited tonnage.
2. Master, oceans/near-coastal, less than 500 GRT and less than 1,600 GRT.
3. Second mate/third mate, oceans/near-coastal, unlimited tonnage, and mate less than 500 GRT and less than 1600 GRT, oceans/near-coastal.
4. Master, oceans/near-coastal, and mate, near-coastal, less than 200 GRT (includes master, near-coastal, less than 100 GRT).
5. Operator, uninspected passenger vessels, near-coastal.
6. Operator, uninspected passenger vessels, Great Lakes/inland.
7. Apprentice mate, towing vessels, ocean (domestic trade) and near-coastal routes.
8. Apprentice mate (steersman), towing vessels, Great Lakes, and inland routes.
9. Steersman, towing vessels, Western Rivers.
10. Master, Great Lakes/inland, or master, inland, unlimited tonnage.
11. Mate, Great Lakes/inland, unlimited tonnage.
12. Master, Great Lakes/inland, less than 500 GRT and less than 1,600 GRT.
13. Mate, Great Lakes/inland, less than 500 GRT and less than 1,600 GRT.
14. Master or mate, Great Lakes/inland, less than 200 GRT (includes master, Great Lakes/inland, less than 100 GRT).
15. Master, rivers, unlimited tonnage.
16. Master, rivers, less than 500 GRT and less than 1,600 GRT.
17. Mate, rivers, less than 500 GRT and less than 1,600 GRT.
18. Master or mate, rivers, less than 200 GRT (includes master, rivers, less than 100 GRT).
19. Master, uninspected fishing industry vessels, oceans/near-coastal.
20. Mate, uninspected fishing industry vessels, oceans/near-coastal.
21. First-class pilot.
22. Master (OSV).
23. Chief mate (OSV).
24. Mate (OSV).

Table 2 to § 11.910 -- Subjects For Deck Officer Endorsements

Examination topics	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Navigation and position determination:																								
Ocean Track Plotting:																								
Middle Latitude Sailing	1	1	1	1															1	1		1	1	1
Mercator Sailing	X	X	X	7															X	X		X	X	X
Great Circle Sailing	1	1	1	7															1	1		1	1	1
Parallel Sailing	1	1	1																1	1		1	1	1
Estimated Time of Arrival	X	X	X				1												X	1	1	X	X	1
Piloting:																								
Distance Off	X	X	X	X	X	X	X	X		X	X	X	X	X					X	X	X	X	X	X
Bearing Problems	X	X	X	X	X	X	X	X		X	X	X	X	X					X	X	X	X	X	X
Fix or Running Fix	X	X	X	X	X	X	X	X		X	X	X	X	X					X	X	X	X	X	X
Chart Navigation	X	X	X	X	X	X	X	X	2	X	X	X	X	X	2	2	2		X	X	X	X	X	X
Dead Reckoning	X	X	X	X	X	X	X	X		X	X	X	X	X					X	X	X	X	X	X
Celestial Observations:																								
Latitude by Polaris	1	1	1	1															1	1		1	1	1
Latitude by Meridian	1	1																	1			1	1	1
Transit (Any Body)																								
Latitude by Meridian			1	1			1												1					1
Transit (Sun Only)																								
Fix or Running Fix (Any Body)	1	1	1																1		1	1	1	1
Fix or Running Fix (Sun Only)				1			1												1					
Star Identification	1	1	1				1												1			1	1	1
Star Selection	1	1	1				1												1			1	1	1
Times of Celestial																								
Phenomena:																								
Time of Meridian	1	1																	1		1	1	1	1
Transit (Any Body)																								
Time of Meridian			1	1			1												1					1
Transit (Sun Only)																								
Zone Time of Sun	1	1	1	1			1												1	1		1	1	1
Rise/Set/Twilight																								
Speed by RPM	X	X	X							3									X	X		X	X	X
Fuel Conservation	X	X		1			1			3									X			X	X	X

Examination topics	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Electronic Navigation	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Instruments & Accessories	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Aids to Navigation	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Charts, Navigation Publication, & Notices to Mariners	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Nautical Astronomy & Navigation Definitions	1	1	1	1			1												1	1		1	1	1
Chart Sketch																					4			
Seamanship:																								
Marlinspike Seamanship			X	X	X	X	X	X	X		X		X	X	X	X	X	X	X	X	X			X
Purchases, Blocks, & Tackle			X	X			X	X	X		X		X	X	X	X	X	X	X	X	X			X
Watchkeeping:																								
COLREGS	X	X	X	X	X	5	X	5		5	5	5	5	5					X	X	5	X	X	X
Inland Navigational Rules	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Basic Principles, Watchkeeping	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Navigation Safety Regulations (33 CFR 164)	X		X				X	X	X	X	X				X				6	6	6	6	6	6
Compass - Magnetic & Gyro: Principles, Operation, and Maintenance of Gyro Compass	X	X	X	7			1			X	X	X	X	7	X				X	X		X	X	X
Principles of Magnetic Compass	X	X	X	X	X	3	X	3	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Gyro Compass Error/Correction	X	X	X	7			1	X		X	X	X	X	7	X				X	X	X	X	X	X
Magnetic Compass Error/Correction	X	X	X	X	X	3	X	3	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Determination of Compass Error:																								
Azimuth (Any Body)	X	X	X	7			X															X	X	X
Azimuth (Sun Only)									3									1	1					
Amplitude (Any Body)	X	X	X	7			X															X	X	X
Amplitude (Sun Only)										3								1	1					
Terrestrial Observation	X	X	X	X	X	X	X	X		X	X	X	X	X					X	X	X	X	X	X

Examination topics		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Meteorology and Oceanography:																									
Characteristics of Weather Systems		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Ocean Current Systems		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Weather Charts and Reports		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Tides and Tidal Currents:																									
Terms and Definitions		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Publications		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Calculations		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Vessel Maneuvering and Handling:																									
Approaching Pilot Vessel or Station		X	X																			X			
Vessel Handling in Rivers & Estuaries		X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Maneuvering in Shallow Water		X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Interaction with Bank/Passing Ship		X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Berthing and Unberthing		X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Anchoring and Mooring		X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Dragging of, Clearing Fouled Anchors		X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Heavy Weather Operations		X	X		X	X	X	X	X	X	3	3	3	3	3						X		X	X	X
Maneuvering for Launching of Lifeboats and Liferrafts in Heavy Weather		X	X		X			X	X	3	3	3	3	3						X			X		
Receiving Survivors From Lifeboats/Liferrafts		X	X		X			X	X														X		
General: Turn Circle, Pivot Point, Advance and Transfer				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			X

Examination topics	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Determine Maneuvering Characteristics of Major Vessel Types	X	X							3													X		
Wake Reduction	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Ice Operations/Ice Navigation	X	X	X				X	X	X	X	3	X	3							X	X	X	X	X
Towing Vessel Operations							X	X	X															
Stability, Construction, and Damage Control:																								
Principles of Vessel Construction	X	X	X	X			X	3	X	X	3	X	3	X	X	X	X					X	X	X
Trim and Stability	X	X	X	X			X	X	X	X	3	X	3	X	X	X		X	X			X	X	X
Damage Trim and Stability	X	X																						
Stability, Trim, and Stress Calculation	X	X	X																			X	X	X
Vessel Structural Members	X	X	X	7							X	X	3	7								X	X	X
IMO Ship Stability Recommendations	X	X																				X	X	
Damage Control	X	X	X	7			X	X		X	X	X	X	7	X	X	X	7	X	X		X	X	X
Change in Draft Due to Density	X																							
Vessel Power Plants:																								
Marine Power Plant Operating Principles	X	X		7			X	X	X	X		X		7	X	X			X			X	X	
Vessel's Auxiliary Machinery	X	X							X			X			X	X						X	X	
Marine Engineering Terms	X	X	X	7			X	X	X	X	X	X	X	7	X	X	X	7	X	X		X	X	X
Small Engine Operations and Maintenance				X	X	X								X				X						
Cargo Handling and Stowage:																								
Cargo Stowage and Security, including Cargo Gear	X	X	X	7						X	X	X	X	7	X	X	X	7	X	X		X	X	X
Loading and Discharging Operations	X	X	X							X	X	X	X		X	X	X		X	X		X	X	X
International Regulations for Cargoes, especially	X	X																				X	X	

Examination topics	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
International Maritime Dangerous Goods Code	X	X	X				X	X	X	X	X	X	X		X	X	X					X	X	
Tank Vessel and Fuel Oil Operations	X	X	X	7					X	X	X	X	X	7	X	X	X	7	X	X		X	X	X
Cargo Piping and Pumping Systems																						X	X	X
Cargo Oil Terms and Definitions																						X	X	X
Barge Regulations (Operations)							X	X	X															
Fire Prevention and Firefighting Appliances:																								
Organization of Fire Drills	X	X	X	X			X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X
Classes and Chemistry of Fire	X	X	X	X			X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X
Firefighting Systems	X	X	X	X			X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X
Firefighting Equipment & Regulations	X	X	X	7			X	X	X	X	X	X	X	7	X	X	X	7	X	X		X	X	X
Firefighting Equipment & Regulations for T-Boats				9										9				9						
Basic Firefighting and Prevention	X	X	X	X			X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X
Emergency Procedures:																								
Ship Beaching	X	X								X		X							X			X	X	
Precautions	X	X								X		X			X	X			X			X	X	
Actions Prior to/after Grounding, Including Refloating	X	X																						
Collision	X	X		X	X	X	X	X	X	X		X		X	X	X	X	X	X			X	X	
Temporary Repairs	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			X	X	X
Passenger/Crew Safety in Emergencies	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			X	X	X
Fire or Explosion	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			X	X	X
Abandon Ship Procedures	X	X	X	X	X																	X	X	X
Emergency Steering	X	X	X	7			X	X	X	X	X	X	X	7	X	X	X	7	X			X	X	X

Examination topics	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Rescuing Survivors from Ship/Aircraft in Distress	X	X	X	X			X	X	X	X	X	X	X	X	X	X	X	X	X			X	X	X
Man Overboard Procedures	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X
Emergency Towing	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	X
Medical Care:																								
Knowledge and use of:																								
International Medical Guide for Ships	X	X																				X	X	
Ship's Medical Chest & Medical Aid at Sea	X	X																				X	X	
Medical Section, International Code of Signals	X	X	X																			X	X	X
Maritime Law:																								
International Maritime Law:																								
International Convention on Load Lines	X	X	X																			X	X	
SOLAS	X	X																				X	X	
MARPOL 73/78	X	X	X	X															X			X	X	X
International Health Regulations	X	X																				X	X	
Other International Instruments for Ship/Passenger/Crew/Cargo Safety	X	X		X																		X	X	
National Maritime Law:																								
Load Lines	X	X	X	X	X		X	X	X	3	3	3	3	X	X				X			X	X	X
Certification & Documentation of Vessels	X	X		X	X		X	X	X	X		X		X	X	X		X	X			X	X	
Rules & Regulations for Inspected Vessels	X	X	X	7						X	X	X	X	7	X	X	X	7				X	X	X
Rules & Regulations for Inspected T-Boats				9									9					9						

Examination topics	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Vessels																								
Rules & Regulations for Inspected Vessels	X	X	X	7						X	X	X	X	7	X	X	X	7				X	X	
Rules & Regulations for Inspected T-Boats				9										9				9						
Rules and Regulations for Uninspected Vessels					X	X	X	X	X										X	X				
Pollution Prevention Regulations	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Pilotage	X	X					X	X	X													X	X	
Credentialed of Seamen	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Shipment and Discharge, Manning	X	X		X			X			X		X			X	X						X	X	
Title 46, U.S. Code										X		X			X	X						X	X	
Captain of the Port Regulations, Vessel Traffic Service																					X			
Procedures for the Route Desired																								
Shipboard Management and Training:																								
Personnel Management	X	X								X		X			X	X			X			X	X	
Shipboard Organization	X	X								X		X			X	X			X			X	X	
Required Crew Training	X	X								X		X			X	X			X			X	X	
Ship Sanitation	X	X		X	X	X	X	X	X	X		X		X	X	X			X	X		X	X	
Vessel Alteration/Repair	X	X	X	X			X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	X	
Hot Work																								
Safety	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Ship's Business:																								
Charters	X	X					X	X	X	X		X			X	X						X	X	
Liens and Salvage	X	X					X	X	X	X		X			X	X						X	X	
Insurance	X	X					X	X	X	X		X			X	X						X	X	
Entry and Clearance	X	X					X	X	X	X		X			X	X						X	X	
ISM and Safety Management Systems	X	X	X				X	X	X													X	X	
Certificates and	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

Examination topics	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Signals: Storm/Wreck/Distress/ Special	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
International Code of Signals	X	X	X																			X	X	X
IMO Standard Maritime Communication Phrases	X	X	X																			X	X	X
Lifesaving: Survival at Sea	X	X	X	X	X		X												X	X		X	X	X
Lifesaving Appliance Regulations	X	X	X	7					X		X	X	X	7	X	X	X	7				X	X	X
Lifesaving Appliance Regulations for T-Boats				9									9					9						
Lifesaving Appliance Operation	X	X	X	7	X	X	X	X	X	X	X	X	X	7	X	X	X	7	X	X	X	X	X	X
Lifesaving Appliance Operations for T-Boats				9									9					9						
Search and Rescue: Search and Rescue Procedures	X	X	X						X		X	X							X			X	X	X
Automated Mutual- Assistance Vessel Rescue System and International Aeronautical and Maritime Search And Rescue Manual Sail/Auxiliary Sail Vessels Addendum (8)	X	X	X	X	X	X			X															

1 For ocean routes only.

2 River chart navigation only.

3 Only on Great Lakes specific modules taken for "Great Lakes and Inland" routes.

4 Including recommended courses, distances, prominent aids to navigation, depths of waters in channels and over hazardous shoals, and other important features of the route,

such as character of the bottom. The Coast Guard may accept chart sketching of only a portion or portions of the route for long or extended routes.

5 COLREGS required if endorsement is not limited to non-COLREGS waters.

6 For officer endorsements of 1,600 GRT or more.

7 Only for officer endorsements of 100 GRT or more.

8 Sail vessel safety precautions, rules of the road, operations, heavy weather procedures, navigation, maneuvering, and sailing terminology. Applicants for sail/auxiliary sail endorsements to master, mate or operator of uninspected passenger vessels are also tested in the subjects contained in this addendum.

9 For officer endorsements of less than 100 GRT.

[USCG-2004-17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG-2014-0688, 79 FR 58277, Sept. 29, 2014]

## § 11.920

## 46 CFR Ch. I (10–1–19 Edition)

### § 11.920 Subjects for MODU endorsements.

Table 1 to § 11.920 gives the codes used in Table 2 to § 11.920 for MODU endorsements. Table 2 to § 11.920 indicates the examination subjects for each endorsement by the code number.

TABLE 1 TO § 11.920—CODES FOR MODU ENDORSEMENTS

1. OIM/Unrestricted.
2. OIM/Surface Units Underway.
3. OIM/Surface Units on Location.
4. OIM/Bottom Bearing Units Underway.
5. OIM/Bottom Bearing Units on Location.
6. Barge Supervisor.
7. Ballast Control Operator.

TABLE 2 TO § 11.920—SUBJECTS FOR MODU LICENSES

Examination topics	1	2	3	4	5	6	7
Watchkeeping:							
COLREGS .....	X	X	.....	X	.....	X	
“Basic Principles for Navigational Watch” .....	X	X	X	X	X	X	
MODU obstruction lights .....	X	.....	X	.....	X	X	
Meteorology and oceanography:							
Synoptic chart weather forecasting .....	X	X	X	X	X	X	
Characteristics of weather systems .....	X	X	X	X	X	X	X
Ocean current systems .....	X	X	X	X	X	X	
Tide and tidal current publications .....	X	X	X	X	X	X	
Stability, ballasting, construction and damage control:							
Principles of ship construction, structural members .....	X	X	X	X	X	X	X
Trim and stability .....	X	X	X	X	X	X	X
Damaged trim and stability countermeasures .....	X	X	X	X	.....	X	X
Stability and trim calculations .....	X	X	X	X	.....	X	X
Load line requirements .....	X	X	X	X	X	X	X
Operating manual:							
Rig characteristics and limitations .....	X	X	X	X	X	X	X
Hydrostatics data .....	X	X	X	X	.....	X	X
Tank tables .....	X	X	X	X	X	X	X
KG limitations .....	X	X	X	X	.....	X	X
Severe storm instructions .....	X	X	X	X	X	X	X
Transit instructions .....	X	X	.....	X	.....	X	X
On-station instructions .....	X	.....	X	.....	X	X	X
Unexpected list or trim .....	X	X	X	X	.....	X	X
Ballasting procedures .....	X	X	X	.....	.....	X	X
Operation of bilge system .....	X	X	X	X	.....	X	X
Leg loading calculations .....	X	.....	.....	X	X	.....	
Completion of variable load form .....	X	X	X	X	X	X	X
Evaluation of variable load form .....	X	X	X	X	X	X	X
Emergency procedures .....	X	X	X	X	X	X	X
Maneuvering and handling:							
Anchoring and anchor handling .....	X	X	X	.....	.....	X	
Heavy weather operations .....	X	X	X	X	X	X	X
Mooring, positioning .....	X	X	X	X	.....	X	X
Moving, positioning .....	X	X	.....	X	.....	X	
Fire prevention and firefighting appliances:							
Organization of fire drills .....	X	X	X	X	X	X	X
Classes and chemistry of fire .....	X	X	X	X	X	X	X
Firefighting systems .....	X	X	X	X	X	X	X
Firefighting equipment and regulations .....	X	X	X	X	X	X	X
Basic firefighting and prevention of fires .....	X	X	X	X	X	X	X
Emergency procedures and contingency plans:							
Temporary repairs .....	X	X	X	X	.....	X	
Fire or explosion .....	X	X	X	X	X	X	X
Abandon unit .....	X	X	X	X	X	X	X
Man overboard .....	X	X	X	X	X	X	X
Heavy weather .....	X	X	X	X	X	X	X
Collision .....	X	X	X	X	X	X	X
Failure of ballast control system .....	X	X	X	.....	.....	X	X
Mooring emergencies .....	X	.....	X	.....	.....	X	X
Blowouts .....	X	.....	X	.....	X	X	X
H.S safety .....	X	.....	X	.....	X	X	X
General Engineering—Power plants and auxiliary systems:							
Marine engineering terminology .....	X	X	X	X	X	X	X
Engineering equipment, operations and failures .....	X	X	X	X	X	X	
Offshore drilling operations .....	.....	.....	.....	.....	.....	.....	X
Deck seamanship—general:							
Transfer of personnel .....	X	X	X	X	X	X	
Support boats/helicopters .....	X	X	X	X	X	X	
Cargo stowage and securing .....	X	X	X	X	X	X	

**Coast Guard, DHS**

**§ 11.950**

**TABLE 2 TO § 11.920—SUBJECTS FOR MODU LICENSES—Continued**

Examination topics	1	2	3	4	5	6	7
Hazardous materials/dangerous goods precautions .....	X	X	X	X	X	X	
Mooring equipment .....	X	X	X	X	X	X	
Crane use procedures and inspections .....	X	X	X	X	X	X	
Medical care:							
Knowledge and use of:							
First aid .....	X	X	X	X	X	X	X
First response medical action .....	X	X	X	X	X	X	X
Maritime law and regulation:							
National maritime law:							
Certification and documentation of vessels .....	X	X	X	X	X		
Ship sanitation .....	X	X	X	X	X		
Regulations for vessel inspection .....	X	X	X	X	X		
Pollution prevention regulations .....	X	X	X	X	X	X	X
Credentialing regulations .....	X	X	X	X	X		
Rules and regulations for MODUs .....	X	X	X	X	X	X	
International Maritime law:							
International Maritime Organization .....	X	X	X	X	X		
International Convention on Load Lines .....	X	X	X	X			X
MARPOL 73/78 .....	X	X	X	X	X		
Personnel Management and Training:							
Ship's business including:							
Required logs and recordkeeping .....	X	X	X	X	X	X	
Casualty reports and records .....	X	X	X	X	X		
Communications:							
Radio communications and FCC permit .....	X	X	X	X	X	X	
Radiotelephone procedures .....	X	X	X	X	X	X	
Lifesaving/Survival:							
Lifesaving appliance operation (launching, boat handling) ..	X	X	X	X	X	X	X
Procedures/rules for lifeboats, survival suits, personal flotation devices (PFDs), life rafts and emergency signals .....	X	X	X	X	X	X	X
Emergency radio transmissions .....	X	X	X	X	X	X	X
Survival at sea .....	X	X	X	X	X	X	X

**§ 11.950 Examination subjects for engineer officer endorsements.**

Table 1 to § 11.950 gives the codes used in Table 2 to § 11.950 for engineer officer endorsements. Table 2 to § 11.950 indicates the examination subjects for each endorsement by the code number.

**TABLE 1 TO § 11.950—CODES FOR ENGINEER OFFICER ENDORSEMENTS**

1. First assistant engineer (unlimited).
2. Third assistant engineer (unlimited).
3. Chief engineer (limited).

**TABLE 1 TO § 11.950—CODES FOR ENGINEER OFFICER ENDORSEMENTS—Continued**

4. Assistant engineer (limited).
5. Designated duty engineer (unlimited).
6. Designated duty engineer (4,000 HP).
7. Designated duty engineer (1,000 HP).
8. Chief engineer (uninspected fishing industry vessels).
9. Assistant engineer (uninspected fishing industry vessels).
10. Chief engineer (MODU).
11. Assistant engineer (MODU).
12. Chief engineer (OSV unlimited).
13. Assistant engineer (OSV unlimited).
14. Chief engineer (OSV 4,000 HP).
15. Assistant engineer (OSV 4,000 HP).

Table 2 to § 11.950 -- Subjects for engineer officer endorsements

	1			2			3			4			5			6		
	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G
General Subjects:																		
Prints and tables	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Hand tools				X	X	X				X	X	X	X	X	X	X	X	X
Pipes, fittings, and valves				X	X	X				X	X	X	X	X	X	X	X	X
Hydraulics	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Materials science				X	X	X				X	X	X						
Bilge systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Oil water separators	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Sanitary/sewage systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Freshwater systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Lubricants				X	X	X				X	X	X	X	X	X	X	X	X
Lubrication systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Automation systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Control systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Propellers/shafting systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Machine shop				X	X	X				X	X	X	X	X	X	X	X	X
Distilling systems	X	X	X	X	X	X				X	X	X	X	X	X			
Pumps				X	X	X				X	X	X	X	X	X	X	X	X
Compressors				X	X	X				X	X	X	X	X	X	X	X	X
Administration	X	X	X				X	X	X				X	X	X	X	X	X
Bearings	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Governors	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Cooling systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Instruments				X	X	X				X	X	X	X	X	X	X	X	X
Ship construction and repair				X	X	X				X	X	X	X	X	X	X	X	X
Steering systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

	1			2			3			4			5			6		
	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G
Deck machinery	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Ventilation systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Thermodynamics				X	X	X				X	X	X	X	X	X			
Heat exchangers				X	X	X				X	X	X	X	X	X	X	X	X
Watch duties				X	X	X				X	X	X	X	X	X			
International rules and regulations				X	X	X				X	X	X	X	X	X			
Refrigeration and air conditioning:																		
Theory				X	X	X				X	X	X	X	X	X	X	X	X
Air conditioning systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Refrigeration systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Control systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Instruments-gauges				X	X	X				X	X	X	X	X	X	X	X	X
Safety	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Casualty control	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Electricity, electronics and control systems:																		
Theory				X	X	X				X	X	X	X	X	X	X	X	X
General maintenance				X	X	X				X	X	X	X	X	X	X	X	X
Generators				X	X	X				X	X	X	X	X	X	X	X	X
Motors				X	X	X				X	X	X	X	X	X	X	X	X
Motor controllers	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Propulsion systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Distribution systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Electronic systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Batteries				X	X	X				X	X	X	X	X	X	X	X	X
Communications				X	X	X				X	X	X	X	X	X	X	X	X
Safety	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Casualty control	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Troubleshooting	X	X	X				X	X	X				X	X	X	X	X	X

	1			2			3			4			5			6		
	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G
High voltage systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Computers and networks	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Bridge navigation equipment	X	X	X				X	X	X									
Steam Generators:																		
Steam-theory				X	X					X			X			X		
Main boilers	X			X			X			X			X			X		
Auxiliary boilers		X	X	X	X	X				X	X	X	X	X	X	X	X	X
Feedwater systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Condensate systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Recovery systems	X	X	X	X	X	X				X	X	X	X	X	X	X	X	X
Fuel	X			X			X			X			X			X		
Main fuel systems	X			X			X			X			X			X		
Boiler water chemistry	X			X			X			X			X			X		
Control systems	X			X			X			X			X			X		
Automation systems	X			X			X			X			X			X		
Safety	X			X			X			X			X			X		
Casualty control	X			X			X			X			X			X		
Steam engines:																		
Main turbines	X			X			X			X			X			X		
Auxiliary turbines	X	X		X	X		X			X	X		X	X		X		
Governor systems	X			X			X			X			X			X		
Control systems	X			X			X			X			X			X		
Automation systems	X			X			X			X			X			X		
Lubrication systems	X			X						X			X			X		
Drive systems	X			X			X			X			X			X		
Auxiliary diesels	X			X			X			X			X			X		
Safety	X			X			X			X			X			X		
Casualty control	X			X			X			X			X			X		
Motor propulsion:																		
Fundamentals					X					X				X			X	

	1			2			3			4			5			6		
	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G
Main engines		X			X			X			X			X			X	
Auxiliary engines		X			X			X			X			X			X	
Starting systems		X			X			X			X			X			X	
Lubrication systems		X			X			X			X			X			X	
Fuel		X			X			X			X			X			X	
Fuel systems		X			X			X			X			X			X	
Fuel injection systems		X			X			X			X			X			X	
Intake systems					X						X			X			X	
Exhaust systems					X						X			X			X	
Cooling systems					X						X			X			X	
Air-charging systems		X			X			X			X			X			X	
Drive systems					X						X			X			X	
Control systems		X			X			X			X			X			X	
Automation systems		X			X			X			X			X			X	
Governors		X			X			X			X			X			X	
Steam systems		X			X						X			X			X	
Water chemistry		X			X			X			X			X			X	
Safety		X			X			X			X			X			X	
Casualty control		X			X			X			X			X			X	
Safety:																		
Fire theory	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Fire prevention	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Fire fighting	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Flooding	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Dewatering	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Stability and trim	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Damage control	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Emergency equipment and lifesaving appliances.																		
General safety	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Hazardous materials	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

	1			2			3			4			5			6		
	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G
Pollution prevention	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Inspections and surveys	X	X	X				X	X	X				X	X	X	X	X	X
U.S. rules and regulations	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Gas Turbines																		
Configurations												X				X		X
Fundamentals												X				X		X
Thermo-dynamics			X						X			X				X		X
Construction												X				X		X
Operating parameters			X						X			X				X		X
Start systems																		
Lubrication			X						X			X				X		X
systems																		
Fuel systems			X						X			X				X		X
Drive systems			X						X			X				X		X
Bleed air systems									X			X				X		X
Intake and exhaust systems									X			X				X		X
Instrumentation and controls			X						X			X				X		X
Maintenance			X						X			X				X		X
Inspection			X						X			X				X		X
Troubleshooting			X						X			X				X		X
Casualty control			X						X			X				X		X
Management level																		
Management skills	X	X	X															
Crisis	X	X	X				X	X	X									
management																		
Shipyard	X	X	X															
Inspections-	X	X	X															
surveys																		
Vessel layout	X	X	X															
Employee	X	X	X															
familiarization																		
Operational	X	X	X															
planning							X	X	X									

	1			2			3			4			5			6		
	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G
Assessing competency	X	X	X				X	X	X									
Management practices	X	X	X				X	X	X									
Arbitration	X	X	X				X	X	X									
Internal documents	X	X	X				X	X	X									
International laws-conventions	X	X	X				X	X	X									
Technical analysis	X	X	X				X	X	X									
Maintenance systems	X	X	X				X	X	X									
Troubleshooting	X	X	X				X	X	X									
Codes and regulations	X	X	X				X	X	X									

Note: Numbers on the top row of this table represent endorsement titles found in table 1 to 11.950

S - Steam propulsion  
M - Motor propulsion  
G - Gas turbine propulsion

Table 3 to § 11.950 -- Subjects for Engineer Officer Endorsements

	7			8			9			10			11			12			13			14			15		
	S	M	G	S	M	S	S	M	S	S	M	S	S	M	S	S	M	S	S	M	S	S	M	S	M		
General Subjects:																											
Prints and tables	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Hand tools																											
Pipes, fittings, and valves																											
Hydraulics	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Materials science																											
Bilge systems	X	X	X	X	X	X	X	X			X	X	X	X	X												
Oil water separators	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Sanitary/sewage systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Freshwater systems	X	X	X	X	X	X	X	X			X	X	X	X			X										
Lubricants	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X												
Lubrication	X	X	X	X	X	X	X	X			X	X	X	X													
Automation	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Control systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Propellers/shafting systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X													
Machine shop	X	X	X	X	X	X	X	X	X		X	X	X	X			X	X									
Distilling systems							X	X	X		X	X	X	X													
Pumps	X	X	X	X	X	X	X	X	X		X	X	X	X			X	X									
Compressors	X	X	X	X	X	X	X	X	X		X	X	X	X			X	X									
Administration	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			X	X							
Bearings	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Governors	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Cooling systems	X	X	X	X	X	X	X	X	X		X	X	X	X			X	X									
Instruments	X	X	X	X	X	X	X	X	X		X	X	X	X			X	X									
Ship construction	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X											
Steering systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		

	7		8		9		10		11		12		13		14		15	
	S	M	G	S	M	S	M	S	M	S	M	S	M	S	M	S	M	S
Deck machinery	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Ventilation systems	X	X	X			X	X		X	X			X	X			X	X
Thermodynamics																		
Heat exchangers	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Watch duties				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
International rules and regulations						X	X		X	X			X	X			X	X
Refrigeration and air conditioning:																		
Theory	X	X	X			X	X		X	X			X	X			X	X
Air conditioning systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Refrigeration systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Control systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Instruments-gauges	X	X				X	X		X	X			X	X			X	X
Safety	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Casualty control	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Electricity, electronics and control systems:																		
Theory	X	X	X			X	X		X	X			X	X			X	X
General maintenance	X	X	X			X	X		X	X			X	X			X	X
Generators	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Motors	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Motor controllers	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Propulsion systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Distribution systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Electronic systems	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Batteries	X	X	X			X	X		X	X			X	X			X	X
Communications	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Safety	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Casualty control	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Troubleshooting	X	X	X	X	X	X	X				X	X			X	X	X	X

	7		8		9		10		11		12		13		14		15	
	S	M	G	S	M	S	S	M	S	M	S	M	S	M	S	M	S	M
High voltage systems							X	X			X	X			X	X		
Computers and networks							X	X			X	X			X	X		
Bridge navigation equipment							X	X			X	X			X	X		
Steam Generators:																		
Steam-theory	X					X	X	X		X			X	X			X	X
Main boilers	X			X		X			X		X		X					
Auxiliary boilers	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X
Feedwater systems	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X
Condensate systems	X	X	X															
Recovery systems	X	X	X		X	X	X	X	X	X	X	X	X	X	X	X	X	X
Fuel	X			X		X	X		X		X		X		X			
Main fuel systems				X		X			X				X					
Boiler water chemistry	X			X		X			X		X		X		X			
Control systems	X			X		X			X		X		X		X			
Automation	X			X		X			X		X		X		X			
Automation systems																		
Safety	X			X		X			X		X		X		X			
Casualty control	X			X		X			X		X		X		X			
Steam engines:																		
Main turbines	X			X		X			X		X		X		X			
Auxiliary turbines	X					X			X				X					
Governor systems	X			X		X			X		X		X		X			
Control systems	X			X		X			X		X		X		X			
Automation systems	X			X		X			X		X		X		X			
Lubrication systems	X					X			X				X				X	
Drive systems	X			X		X			X		X		X		X		X	
Safety	X			X		X			X		X		X		X		X	
Casualty control	X			X		X			X		X		X		X		X	
Motor propulsion:																		
Fundamentals	X									X				X			X	X
Main engines	X				X		X		X		X		X		X			X

	7			8			9			10			11			12			13			14			15		
	S	M	G	S	M	S	M	S	M	S	M	S	M	S	M	S	M	S	M	S	M	S	M	S	M	S	M
Auxiliary engines	X	X			X		X		X		X		X		X		X		X		X		X		X		X
Starting systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Lubrication systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Fuel		X			X		X		X		X		X		X		X		X		X		X		X		X
Fuel systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Fuel injection systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Intake systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Exhaust systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Cooling systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Air-charging systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Drive systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Control systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Automation systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Governors		X			X		X		X		X		X		X		X		X		X		X		X		X
Steam systems		X			X		X		X		X		X		X		X		X		X		X		X		X
Water chemistry		X			X		X		X		X		X		X		X		X		X		X		X		X
Safety		X			X		X		X		X		X		X		X		X		X		X		X		X
Casualty control		X			X		X		X		X		X		X		X		X		X		X		X		X
Safety:																											
Fire theory	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Fire prevention	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Fire fighting	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Flooding	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Dewatering	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Stability and trim	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Damage control	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Emergency equipment and lifesaving appliances.																											
General safety	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Hazardous materials	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Pollution	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X

	7			8			9			10			11			12			13			14			15		
	S	M	G	S	M	S	S	M	S	S	M	S	S	M	S	S	M	S	S	M	S	S	M	S	M	S	M
Inspections and surveys	X	X	X	X	X					X	X	X				X	X				X	X					
U.S. rules and regulations	X	X	X	X	X			X	X	X	X	X	X	X		X	X		X	X	X	X	X	X	X	X	X
Gas Turbines																											
Configurations			X																								
Fundamentals			X																								
Thermo-dynamics			X																								
Construction			X																								
Operating parameters			X																								
Start systems			X																								
Lubrication systems			X																								
Fuel systems			X																								
Drive systems			X																								
Bleed air systems			X																								
Intake and exhaust systems			X																								
Instrumentation and controls			X																								
Maintenance			X																								
Inspection			X																								
Troubleshooting			X																								
Casualty control			X																								
Management level																											
Management skills				X	X					X	X					X	X					X	X				
Crisis management				X	X					X	X					X	X					X	X				
Shipyard				X	X					X	X					X	X					X	X				
Inspections-surveys				X	X					X	X					X	X					X	X				
Vessel layout				X	X					X	X					X	X					X	X				
Employee familiarization				X	X					X	X					X	X					X	X				
Operational planning				X	X					X	X					X	X					X	X				
Assessing competency				X	X					X	X					X	X					X	X				

	7			8			9			10			11			12			13			14			15		
	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G	S	M	G			
Management practices				X	X		X	X		X	X					X	X		X	X		X	X				
Arbitration				X	X		X	X		X	X					X	X		X	X		X	X				
Internal documents				X	X		X	X		X	X					X	X		X	X		X	X				
International laws-conventions				X	X		X	X		X	X					X	X		X	X		X	X				
Technical analysis				X	X		X	X		X	X					X	X		X	X		X	X				
Maintenance systems				X	X		X	X		X	X					X	X		X	X		X	X				
Troubleshooting				X	X		X	X		X	X					X	X		X	X		X	X				
Codes and regulations				X	X		X	X		X	X					X	X		X	X		X	X				

Note: Numbers on the top row of this table represent endorsement titles found in table 1 to § 11.950

S - Steam propulsion  
M - Motor propulsion  
G - Gas turbine propulsion

**Subpart J—Recognition of Other Parties' STCW Certificates**

**§ 11.1001 Purpose of rules.**

(a) The rules in this subpart implement Regulation I/10 of the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 as amended (STCW) (incorporated by reference, see § 11.102 of this part) by establishing requirements and procedures for the recognition and endorsement of officer certificates of competence issued by other Parties to STCW.

(b) Specific regulations on the use of non-U.S. credentialed officers and mariners with officer endorsements (except those of master) are found in § 15.720 of this subchapter.

**§ 11.1003 General requirements.**

(a) The Coast Guard recognizes certificates only from countries that the United States has assured itself comply with requirements of the STCW Convention and STCW Code (incorporated by reference, see § 11.102 of this part).

(b) The Coast Guard will publish a list of countries whose certificates it will recognize.

(c) The Coast Guard will issue a "Certificate attesting recognition" to an applicant after ensuring the validity and authenticity of the credential (certificate of competency) issued by his or her country of origin.

(d) No application from a non-US citizen for a "Certificate attesting recognition" issued pursuant to this subpart will be accepted unless the applicant's employer satisfies the requirements of § 11.1005 of this subpart.

**§ 11.1005 Employer application requirements.**

(a) The employer must submit the following to the Coast Guard, as a part of the applicant's application for a "Certificate attesting recognition," on behalf of the applicant:

(1) A signed report that contains all material disciplinary actions related to the applicant, such as, but not limited to, violence or assault, theft, drug and alcohol policy violations, and sexual harassment, along with an explanation of the criteria used by the employer to

determine the materiality of those actions.

(2) A signed report regarding an employer-conducted background check. The report must contain—

(i) A statement that the applicant has successfully undergone an employer-conducted background check;

(ii) A description of the employer-conducted background check; and

(iii) All information derived from the employer-conducted background check.

(b) If a "Certificate attesting recognition" is issued to the applicant, the employer must maintain a detailed record of the seaman's total service on all authorized U.S. flag vessels, and must make that information available to the Coast Guard upon request.

(c) In addition to the initial material disciplinary actions report and the initial employer-conducted background check specified in paragraph (a) of this section, the employer must submit an annual material disciplinary actions report to update whether there have been any material disciplinary actions related to the applicant since the last material disciplinary actions report was submitted to the Coast Guard.

(d) The employer must also submit to the Coast Guard the applicant's copy of the following:

(1) Base credential (certificate of competency), as well as any other documentary evidence of proficiency (such as Basic Training in accordance with § 11.302 of this part, Basic/Advanced Firefighting in accordance with § 11.303 of this part, Survival Craft, etc.) to verify that the applicant meets the manning requirements. The documentation must include any necessary official translation into the English language.

(2) Valid medical certificate.

(3) Valid identification document, such as a passport or Seaman's Identity Document (SID).

(e) The employer is subject to the civil penalty provisions specified in 46 U.S.C. 8103(f) for any violation of this section.

**§ 11.1007 Basis for denial.**

An applicant for a "Certificate attesting recognition" of an officer certificate issued by another party must—

(a) Have no record of material disciplinary actions during employment on any U.S. flag vessel of the employer, as verified in writing by the owner or managing operator of the U.S. flag vessels on which the applicant will be employed; and

(b) Have successfully completed an employer-conducted background check, to the satisfaction of both the employer and the Coast Guard.

#### § 11.1009 Restrictions.

(a) A “Certificate attesting recognition” of an STCW certificate issued by another party to a non-resident alien under this subpart authorizes service only on vessels owned and/or operated in accordance with § 15.720 of this subchapter.

(b) The certificate will be issued for service only in the department for which the application was submitted.

(c) No other certificate is authorized, unless all applicable requirements of this subpart and the STCW Convention (incorporated by reference, see § 11.102 of this part) are met, and the employer makes subsequent application for a new endorsement.

(d) This certificate is not valid for service on U.S. vessels operating in U.S. waters.

### Subpart K—Officers on a Passenger Ship When on an International Voyage

#### § 11.1101 Purpose of rules.

The rules in this subpart establish requirements for officers serving on passenger ships as defined in § 11.1103 of this subpart.

#### § 11.1103 Definitions.

*Passenger ship* in this subpart means a ship carrying more than 12 passengers when on an international voyage.

#### § 11.1105 General requirements for officer endorsements.

(a) To serve on a passenger vessel on international voyages, masters, deck officers, chief engineers and engineer officers, must—

(1) Meet the appropriate requirements of the STCW Regulation V/2 and

of section A-V/2 of the STCW Code (incorporated by reference, see § 11.102 of this part) as follows:

(i) Masters, officers, and other personnel designated on the muster list to assist passengers in emergency situation onboard passenger ships must have completed training in crowd management specified in section A-V/2 of the STCW Code.

(ii) Personnel providing direct service to passengers in passenger spaces onboard passenger ships must have completed the safety training specified in section A-V/2 of the STCW Code.

(iii) Masters, chief engineer officers, chief mates, second engineer officers, and any person designated on muster lists of having responsibility for the safety of passengers in emergency situations onboard passenger ships must have completed approved training in crisis management and human behavior as specified in section A-V/2 of the STCW Code.

(iv) Masters, chief engineer officers, chief mates, second engineer officers, and every person assigned immediate responsibility for embarking and disembarking passengers, loading, discharging or securing cargo, or closing hull openings onboard Ro-Ro passenger ships must have completed approved training in passenger safety, cargo safety, and hull integrity as specified in section A-V/2 of the STCW Code; and

(2) Hold documentary evidence as proof of meeting these requirements through approved or accepted training.

(b) Seafarers who are required to be trained in accordance with paragraph (a) of this section must provide, at intervals not exceeding 5 years, evidence of maintaining the standard of competence.

(c) The Coast Guard will accept onboard training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (b) of this section.

(d) Personnel serving onboard small passenger vessels engaged in domestic, near-coastal voyages, as defined in

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§10.107 of this subchapter, are not subject to any obligation for the purpose of this STCW requirement.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30882, June 28, 2019]

**PART 12—REQUIREMENTS FOR RATING ENDORSEMENTS**

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12.903 Definitions.  
12.905 General requirements.

AUTHORITY: 31 U.S.C. 9701; 46 U.S.C. 2101, 2103, 2110, 7301, 7302, 7503, 7505, 7701, and 70105; Department of Homeland Security Delegation No. 0170.1.

SOURCE: USCG–2004–17914, 78 FR 77975, Dec. 24, 2013, unless otherwise noted.

**Subpart A—General**

**§ 12.101 Purpose.**

(a) The purpose of this part is to provide—

(1) A comprehensive and adequate means of determining and verifying the professional qualifications an applicant must possess to be eligible for certification to serve on merchant vessels of the United States; and

(2) A means of determining that an applicant is qualified to receive the endorsement required by the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended (the STCW Convention, or STCW).

(b) The requirements applicable to approved and accepted training, training for a particular rating endorsement, and training and assessment associated with meeting the standards of competence established by the STCW Convention have been moved to 46 CFR part 10, subpart D.

**§ 12.103 Incorporation by reference.**

(a) Certain material is incorporated by reference into this part with the approval of the Director of the Federal Register under 5 U.S.C. 552(a) and 1 CFR part 51. All approved material is available for inspection at the Coast Guard, Office of Merchant Mariner Credentialing (CG–MMC), U.S. Coast Guard, Stop 7509, 2703 Martin Luther King Jr. Avenue SE., Washington, DC 20593–7509, and is available from the sources listed below. It is also available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202–741–6030 or go to [http://](http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html)

[www.archives.gov/federal\\_register/code\\_of\\_federal\\_regulations/ibr\\_locations.html](http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html).

(b) International Maritime Organization (IMO), 4 Albert Embankment, London SE1 7SR, England:

(1) The Seafarers' Training, Certification and Watchkeeping Code, as amended, 2011 (the STCW Code), incorporation by reference approved for §§ 12.601, 12.602, 12.603, 12.605, 12.607, 12.609, 12.611, 12.613, 12.615, 12.617, 12.619, 12.621, 12.623, 12.811, and 12.905.

(2) [Reserved]

[USCG–2004–17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG–2016–0315, 81 FR 43955, July 6, 2016]

**§ 12.105 Paperwork approval.**

(a) This section lists the control numbers assigned by the Office of Management and Budget under the Paperwork Reduction Act of 1980 (Pub. L. 96–511) for the reporting and record-keeping requirements in this part.

(b) The following control numbers have been assigned to the sections indicated:

(1) OMB 1625–0079—46 CFR 12.217 and 12.301.

(2) [Reserved]

**Subpart B—General Requirements for Rating Endorsements**

**§ 12.201 General requirements for national and STCW rating endorsements.**

(a) *General.* (1) An MMC issued to a deck or engineer officer will be endorsed for all entry-level ratings and any other ratings for which they qualify under this part. An applicant for any STCW endorsement must hold the appropriate national endorsement, unless otherwise specified.

(2) The authorized holder of any valid rating endorsement may serve in any capacity in the staff department of a vessel, except in those capacities requiring a staff officer; except that whenever the service includes the handling of food, no person may be so employed unless his or her credential bears the food handler's endorsement indicated by the notation “(F.H.)”.

(3) When an applicant meets the requirements for certification set forth

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in this part, the Coast Guard will issue the appropriate endorsement.

(b) *Physical and medical requirements.* The physical and medical requirements applicable to the endorsements in this subpart are found in 46 CFR part 10, subpart C.

## § 12.203 Creditable service and equivalents for national and STCW ratings endorsements.

Applicants for endorsements should refer to §10.232 of this subchapter for information regarding requirements for documentation and proof of sea service.

## § 12.205 Examination procedures and denial of rating and STCW endorsements.

(a) The examination fee set out in Table 1 to §10.219(a) of this subchapter must be paid before the applicant may take the first section of the examination.

(b) Upon receipt of an application for a rating endorsement, the Coast Guard will give any required examination as soon as practicable after determining that the applicant is otherwise qualified for the endorsement.

(c) An applicant for a rating endorsement who has been duly examined and failed the examination may seek reexamination at any time after the initial examination. However, an applicant who fails an examination for the third time must wait 90 days before re-testing. All examinations and retests must be completed within 1 year of approval for examination.

(d) Upon receipt of an application for an STCW endorsement, the Coast Guard will evaluate the applicant's qualifications. The Coast Guard will issue the appropriate endorsement after determining that the applicant satisfactorily meets all requirements for any requested STCW rating or qualification.

## Subpart C [Reserved]

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## Subpart D—Requirements for National Deck Rating Endorsements

### § 12.401 General requirements for able seaman (A/B) endorsements.

(a) *General.* An A/B is any person below officer and above ordinary seaman who holds a merchant mariner credential (MMC) or merchant mariner document (MMD) endorsed as A/B by the Coast Guard.

(b) *Categories.* The following categories of able seaman endorsements are established:

- (1) Able seaman—unlimited.
- (2) Able seaman—limited.
- (3) Able seaman—special.
- (4) Able seaman—offshore supply vessels.
- (5) Able seaman-sail.
- (6) Able seaman-fishing industry.

(c) *Requirements for certification.* To qualify for an endorsement as able seaman, an applicant must—

- (1) Be at least 18 years of age;
- (2) Pass the prescribed physical and medical examination requirements specified in 46 CFR, part 10, subpart C;
- (3) Present evidence of having passed a chemical test for dangerous drugs or of qualifying for an exemption from testing as described in §16.220 of this subchapter;
- (4) Meet the sea service or training requirements set forth in this part;
- (5) Pass an examination for able seaman;
- (6) Qualify for an endorsement as lifeboatman or lifeboatman-limited; and
- (7) Speak and understand the English language as would be required in performing the general duties of able seaman and during an emergency aboard ship.

(d) *Additional requirements.* (1) The holder of an MMC or MMD endorsed for the rating of A/B may serve in any rating in the deck department without obtaining an additional endorsement, provided—

- (i) That the holder possesses the appropriate A/B endorsement for the service of the vessel; and
- (ii) That the holder possesses the appropriate STCW endorsement when

serving as an able seafarer-deck or Ratings forming part of the navigational watch on a seagoing ship.

(2) After March 24, 2014, any MMC endorsed as A/B will also be endorsed as lifeboatman or lifeboatman-limited, as appropriate.

(3) The A/B endorsement will clearly describe the type of rating that it represents (see paragraph (a) of this section).

**§ 12.403 Service or training requirements for able seaman (A/B) endorsements.**

(a) The minimum service required to qualify for the various categories of endorsement as able seaman is as follows:

(1) *Able seaman—unlimited.* Three years of service on deck on vessels operating on oceans or on the Great Lakes.

(2) *Able seaman—limited.* Eighteen months of service on deck on vessels of 100 GRT or more which operate in a service not exclusively confined to the rivers and smaller inland lakes of the United States.

(3) *Able seaman—special.* Twelve months of service on deck on vessels operating on oceans or the navigable waters of the United States, including the Great Lakes.

(4) *Able seaman—offshore supply vessels.* Six months of service on deck on vessels operating on oceans or on the navigable waters of the United States, including the Great Lakes.

(5) *Able seaman—sail.* Six months of service on deck on sailing school vessels, oceanographic research vessels powered primarily by sail, or equivalent sailing vessels operating on oceans or on the navigable waters of the United States, including the Great Lakes.

(6) *Able seaman—fishing industry.* Six months of service on deck, not as a processor, onboard vessels operating on oceans or on the navigable waters of the United States, including the Great Lakes.

(b) Approved training programs may be substituted for the required periods of service on deck as follows:

(1) A graduate of a school ship may be qualified for a rating endorsement as A/B, without further service, upon satisfactory completion of the program

of instruction. For this purpose, “school ship” is interpreted to mean an institution that offers a complete approved program of instruction, including a period of at-sea training, in the skills appropriate to the rating of A/B.

(2) Training programs, other than those classified as a school ship, may be substituted for up to one-third of the required service on deck. The Coast Guard will determine the service/training ratio for each program and may allow a maximum of 3 days of deck service credit for each day of instruction.

**§ 12.405 Examination and demonstration of ability for able seaman (A/B) endorsements.**

(a) Before an applicant is issued an endorsement as an A/B, he or she must prove, to the satisfaction of the Coast Guard, by oral or other means of examination, or by actual demonstration in a Coast Guard-approved course, his or her knowledge of seamanship and the ability to carry out effectively all the duties that may be required of an A/B, including those of a lifeboatman or lifeboatman-limited.

(b) The examination, whether administered orally or by other means, must be conducted only in the English language and must consist of questions regarding—

(1) The applicant’s knowledge of nautical terms, use of the compass for navigation, running lights, passing signals, and fog signals for vessels on the high seas, inland waters, or Great Lakes, and distress signals; and

(2) The applicant’s knowledge of commands in handling the wheel by obeying orders passed to him or her as helmsman, and knowledge of the use of the engine room telegraph.

(c) The applicant must provide evidence, to the satisfaction of the Coast Guard, of the knowledge of principal knots, bends, splices, and hitches in common use by actually making them.

(d) The applicant must demonstrate, to the satisfaction of the Coast Guard, knowledge of pollution laws and regulations, procedures for discharge containment and cleanup, and methods for disposal of sludge and waste material from cargo and fueling operations.

**§ 12.407 General requirements for lifeboatman endorsements.**

(a) *General.* Every person fulfilling the manning requirements as lifeboatman on any United States vessel must hold an endorsement as lifeboatman. No endorsement as lifeboatman is required of any person employed on any unrigged vessel, except on a seagoing barge and on a tank barge navigating waters other than rivers and/or canals.

(b) *Requirements for certification.* (1) To qualify for an endorsement as lifeboatman, an applicant must—

- (i) Be at least 18 years of age;
- (ii) Pass the prescribed physical and medical examination requirements specified in 46 CFR, part 10, subpart C; and
- (iii) Present evidence of having passed a chemical test for dangerous drugs or as having qualified for an exemption for testing described in § 16.220 of this subchapter.

(2) To be eligible for an endorsement as lifeboatman, an applicant must meet one of the following sea service requirements:

- (i) At least 6 months of sea service in any department of vessels and the successful completion of an approved course.
- (ii) At least 12 months of sea service in any department of vessels on ocean, coastwise, inland, and Great Lakes routes.

(3) Before an applicant is issued an endorsement as a lifeboatman, he or she must prove, to the satisfaction of the Coast Guard, by oral or other means of examination, and by actual practical demonstration of abilities, his or her knowledge of seamanship and the ability to carry out effectively all the duties that may be required of a lifeboatman. This requirement may be met by completion of an approved course in paragraph (b)(2)(i) of this section, provided the course includes actual practical demonstration of abilities.

(4) The practical demonstration must consist of a demonstration of the applicant's ability to—

- (i) Take charge of a survival craft or rescue boat during and after launch;
- (ii) Operate a survival craft engine;

(iii) Demonstrate the ability to row by actually pulling an oar in the boat;

(iv) Manage a survival craft and survivors after abandoning ship;

(v) Safely recover survival craft and rescue boats; and

(vi) Use locating and communication devices.

(5) The examination, whether administered orally or by other means, must be conducted only in the English language and must consist of questions regarding—

(i) Lifeboats and liferafts, the names of their essential parts, and a description of the required equipment;

(ii) The clearing away, swinging out, and lowering of lifeboats and liferafts, the handling of lifeboats under oars and sails, including questions relative to the proper handling of a boat in a heavy sea; and

(iii) The operation and functions of commonly used types of davits.

(6) An applicant, to be eligible for an endorsement as lifeboatman, must be able to speak and understand the English language as would be required in the rating of lifeboatman and in an emergency aboard ship.

**§ 12.409 General requirements for lifeboatman-limited endorsements.**

(a) *General.* Every person fulfilling the manning requirements for lifeboatman on any United States vessel fitted with liferafts, but not fitted with lifeboats, must hold an endorsement as lifeboatman or as lifeboatman-limited. No endorsement as lifeboatman or lifeboatman-limited is required of any person employed on any unrigged vessel, except on a seagoing barge and on a tank barge navigating waters other than rivers and/or canals.

(b) *Requirements for certification.* (1) To qualify for an endorsement as lifeboatman-limited, an applicant must—

- (i) Be at least 18 years of age;
- (ii) Pass the prescribed physical and medical examination requirements specified in 46 CFR Part 10, subpart C; and
- (iii) Present evidence of having passed a chemical test for dangerous

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drugs or of having qualified for an exemption for testing, as described in § 16.220 of this subchapter.

(2) An applicant, to be eligible for an endorsement as lifeboatman-limited, must meet one of the following sea service requirements:

(i) At least 12 months of sea service in any department of vessels on ocean, coastwise, inland, and Great Lakes routes.

(ii) At least 6 months of sea service in any department of vessels, and successful completion of an approved course.

(3) Before an applicant is issued an endorsement as a lifeboatman-limited, he or she must prove, to the satisfaction of the Coast Guard, by oral or other means of examination, and by actual practical demonstration of abilities, his or her knowledge of seamanship and ability to carry out effectively all the duties that may be required of a lifeboatman-limited.

(4) The practical demonstration must consist of a demonstration of the applicant's ability to—

(i) Take charge of a rescue boat, life-raft, or other lifesaving apparatus during and after launch;

(ii) Operate a rescue boat engine;

(iii) Manage a survival craft and survivors after abandoning ship;

(iv) Safely recover rescue boats; and

(v) Use locating and communication devices.

(5) The examination, whether administered orally or by other means, must be conducted only in the English language and must consist of questions regarding—

(i) Liferrafts, rescue boats, and other survival craft except lifeboats, the names of their essential parts, and a description and use of the required equipment;

(ii) The clearing away, launching, and handling of rescue craft, except lifeboats; and

(iii) The operation and functions of commonly used launching devices for rescue boats and survival craft other than lifeboats.

(6) An applicant, to be eligible for an endorsement as lifeboatman-limited, must be able to speak and understand the English language as would be required in the rating of lifeboatman-

limited and in an emergency aboard ship.

### Subpart E—Requirements for National Engineer Rating Endorsements

#### § 12.501 General requirements for a qualified member of the engine department (QMED).

(a) *General.* A qualified member of the engine department is any person below officer and above the rating of coal passer or wiper, who holds an MMC or MMD endorsed as QMED by the Coast Guard.

(b) *Categories.* (1) Each QMED rating must be endorsed separately, unless the applicant qualifies for all QMED ratings, in which case the endorsement will read “QMED—any rating.” The ratings are—

(i) Fireman/Watertender;

(ii) Oiler;

(iii) Junior engineer;

(iv) Electrician/Refrigerating engineer; and

(v) Pumpman/Machinist.

(2) The Coast Guard will no longer issue original endorsements for deck engineer, deck/engine mechanic, or engineman, or individual endorsements for refrigerating engineer, machinist, electrician, and pumpman. However, a mariner who holds any of these endorsements may continue to renew them as long as he or she is otherwise qualified.

(3) If the holder of an endorsement as pumpman only or machinist only seeks the combined endorsement of pumpman/machinist, the mariner must pass the examination described in Table 1 to § 12.505(c) of this subpart.

(4) If the holder of an endorsement as electrician only or refrigerating engineer only seeks the combined endorsement of electrician/refrigerating engineer, the mariner must pass the examination described in Table 1 to § 12.505(c) of this subpart.

(c) *Requirements for certification.* To qualify for any endorsement as QMED, an applicant must—

(1) Be at least 18 years of age;

(2) Pass the prescribed physical and medical examination requirements specified in 46 CFR Part 10, subpart C;

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(3) Present evidence of having passed a chemical test for dangerous drugs or of having qualified for an exemption from testing, as described in § 16.220 of this subchapter;

(4) Meet the sea service or training requirements in § 12.503 of this subpart;

(5) Pass an examination as QMED; and

(6) Speak and understand the English language as would be required in performing the general duties of QMED and during an emergency aboard ship.

**§ 12.503 Service or training requirements.**

(a) An applicant for an endorsement as QMED must provide the Coast Guard with proof of qualification based on 6 months of service in a rating at least equal to that of wiper or coal passer.

(b) Approved training programs may be substituted for the required periods of service as follows:

(1) A graduate of a school ship may qualify for a rating endorsement as QMED, without further service, upon satisfactory completion of the program of instruction. For this purpose, school

ship is interpreted to mean an institution that offers a complete approved program of instruction, including a period of at-sea training, in the skills appropriate to the rating of QMED.

(2) Training programs, other than those classified as a school ship, may be substituted for up to one-half of the required service. The service/training ratio for each program is determined by the Coast Guard.

**§ 12.505 Examination requirements.**

(a) Before an applicant is issued an endorsement as QMED in the rating of oiler, fireman/watertender, junior engineer, pumpman/machinist, or electrician/refrigerating engineer, he or she must prove, to the satisfaction of the Coast Guard, by oral or other means of examination, his or her knowledge of the subjects listed in paragraph (c) of this section.

(b) The examination, whether administered orally or by other means, must be conducted only in the English language.

(c) Table 1 to § 12.505(c) provides a list of subjects required.

TABLE 1 TO § 12.505(c)—EXAMINATION SUBJECTS FOR QMED RATINGS

Subjects	Pumpman/ machinist	Fireman/ watertender	Oiler	Electrician/ refrigerating engineer	Junior engineer
General subjects:					
Auxiliary machinery .....	X	X	X	X	X
Basic safety procedures .....	X	X	X	X	X
Bearings .....	X		X	X	X
Care of equipment and machine parts .....	X	X	X	X	X
Deck machinery .....	X			X	X
Drawings and tables .....	X			X	X
Heat exchangers .....	X	X	X	X	X
Hydraulic principles .....	X			X	X
Instrumentation principles .....	X	X	X	X	X
Lubrication principles .....	X		X	X	X
Maintenance procedures .....	X	X	X	X	X
Measuring instruments .....	X	X	X	X	X
Pipes, fittings, and valves .....	X	X	X	X	X
Pollution prevention .....	X	X	X	X	X
Properties of fuel .....		X	X		X
Pumps, fans, and blowers .....	X			X	X
Refrigeration principles .....			X	X	X
Remote control equipment .....	X	X	X	X	X
Use of hand/power tools .....	X	X	X	X	X
Watch duties .....		X	X		X
Electrical subjects:					
A/C circuits .....				X	X
Batteries .....				X	X
Calculations .....				X	X
Communication devices .....				X	X
D/C circuits .....				X	X
Distribution systems .....				X	X
Electronic principles .....				X	X
Generation equipment .....			X	X	X
Maintenance .....			X	X	X

TABLE 1 TO § 12.505(c)—EXAMINATION SUBJECTS FOR QMED RATINGS—Continued

Subjects	Pumpman/ machinist	Fireman/ watertender	Oiler	Electrician/ refrigerating engineer	Junior engineer
Measuring devices .....	.....	.....	.....	X	X
Motor controllers .....	.....	.....	.....	X	X
Motors .....	.....	.....	X	X	X
Safety .....	X	X	X	X	X
Troubleshooting .....	.....	.....	.....	X	.....
Safety and environmental protection subjects:					
Communications .....	X	X	X	X	X
Damage control .....	X	X	X	X	X
Elementary first aid .....	X	X	X	X	X
Emergency equipment .....	X	X	X	X	X
Environmental awareness .....	X	X	X	X	X
Fire prevention .....	X	X	X	X	X
Firefighting equipment .....	X	X	X	X	X
Firefighting principles .....	X	X	X	X	X
General safety .....	X	X	X	X	X
Hazardous materials .....	X	X	X	X	X
Shipboard equipment and systems subjects:					
Air conditioning .....	.....	.....	.....	X	X
Ballast .....	X	X	X	.....	X
Bilge .....	X	X	X	.....	X
Compressed air .....	X	X	X	X	X
Desalination .....	.....	.....	X	.....	X
Fuel oil storage/transfer .....	.....	X	X	.....	X
Fuel treatment .....	.....	X	X	.....	X
Heating/ventilation .....	X	.....	.....	X	X
Lubrication .....	X	.....	X	X	X
Potable water .....	.....	.....	X	.....	X
Refrigeration .....	.....	.....	X	X	X
Sanitary/sewage .....	.....	.....	X	.....	X
Steering .....	.....	.....	X	X	X
Steam propulsion subjects:					
Auxiliary turbines .....	.....	X	X	.....	X
Boiler fundamentals .....	.....	X	X	.....	X
Combustion principles .....	.....	X	X	.....	X
Condensate systems .....	.....	X	X	.....	X
Drive systems .....	.....	X	X	.....	X
Feedwater systems .....	.....	X	X	.....	X
Fuel service systems .....	.....	X	X	.....	X
Maintenance .....	X	X	X	.....	X
Safety .....	X	X	X	X	X
Steam fundamentals .....	X	X	X	.....	X
Turbine fundamentals .....	.....	X	X	.....	X
Motor propulsion subjects:					
Air-charge systems .....	.....	.....	X	.....	X
Cooling water systems .....	.....	.....	X	.....	X
Diesel engine principles .....	X	.....	X	.....	X
Drive systems .....	X	.....	X	.....	X
Fuel service systems .....	.....	.....	X	.....	X
Intake/exhaust .....	.....	.....	X	.....	X
Lubrication systems .....	X	.....	X	.....	X
Starting systems .....	.....	.....	X	.....	X
Waste heat/auxiliary boiler .....	.....	.....	X	.....	X

## Subpart F—Requirements for STCW Rating Endorsements

### § 12.601 General requirements for STCW rating endorsements.

(a) *General.* An applicant for any STCW endorsement must hold the appropriate national endorsement, unless otherwise specified. The Coast Guard

will issue an STCW endorsement to qualified applicants for any of the following ratings or qualifications:

- (1) Able seafarer-deck.
- (2) Ratings forming part of a navigational watch (RFPNW).
- (3) Able seafarer-engine.
- (4) Ratings forming part of a watch in a manned engine room or designated

to perform duties in a periodically unmanned engine room (RFPEW).

(5) Electro-technical rating on vessels powered by main propulsion machinery of 750 kW/1,000 HP or more.

(6) Proficiency in survival craft and rescue boats, other than fast rescue boats (PSC).

(7) Proficiency in survival craft and rescue boats, other than lifeboats and fast rescue boats (PSC-limited).

(8) Proficiency in fast rescue boats.

(9) Medical first-aid provider.

(10) Person in charge of medical care.

(11) GMDSS at-sea maintainer.

(12) Vessel personnel with designated security duties.

(13) Security awareness.

(b) *Standard of competence.* (1) The Coast Guard will accept one or more methods listed in the STCW Code to demonstrate meeting the standard of competence in this subpart. See Column 3, “Methods for demonstrating competence,” of the Tables of Competence in the STCW Code (incorporated by reference, see §12.103 of this part). The Coast Guard will accept the following as evidence of meeting the standard of competence under each of these methods:

(i) *In-service experience:* Documentation of successful completion of assessments, approved or accepted by the Coast Guard, and signed by a qualified assessor, deck or engineering, as appropriate.

(ii) *Training ship experience:* Documentation of successful completion of an approved training program involving formal training and assessment on-board a training ship.

(iii) *Simulator training:* Documentation of successful completion of training and assessment from a Coast Guard-approved course involving maritime simulation.

(iv) *Laboratory equipment training:* Documentation of successful completion of training and assessments from an approved training course or completion certificate from an approved training school or facility.

(v) *Practical training or instruction:*

(A) Documentation of successful completion of assessment as part of structured/formal training or instruction provided by an organization or

company as part of an accepted safety or quality management system; or

(B) Documentation of successful completion of an approved training course from a school or facility.

(vi) *Specialist training:* Documentation of successful completion of assessment as part of a company training or specialized training provided by a maritime or equipment specialist.

(vii) *Workshop skills training:* Documentation of successful completion of assessments or completion certificate from an approved training program, school or facility.

(viii) *Training program:* Documentation of successful completion of an approved training program.

(ix) *Practical demonstration and practical demonstration of competence:* Documentation of successful completion of assessments approved or accepted by the Coast Guard.

(x) *Practical test and practical experience:* Documentation of successful completion of assessments approved or accepted by the Coast Guard.

(xi) *Examination:* Successful completion of a Coast Guard examination.

(xii) *Instruction or course:* Documentation of successful completion of a course of instruction offered by an approved training school or facility.

(2) Knowledge components may be documented by—

(i) Successful completion of the Coast Guard examination for the associated rating endorsement;

(ii) Successful completion of an approved course; or

(iii) Successful completion of an approved program.

(3) The Coast Guard will publish assessment guidelines that should be used to document assessments that demonstrate meeting the standard of competence, as required by paragraph (b)(1) of this section. Organizations may develop alternative assessment documentation for demonstrations of competence; however, such documentation must be approved by the Coast Guard prior to its use and submittal with an application.

[USCG–2004–17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58279, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 12.602 Basic training.**

(a) Applicants seeking an STCW rating endorsement must provide evidence, with their application, of meeting the standard of competence for basic training as described below:

(1) Personal survival techniques, as set out in Table A-VI/1-1 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(2) Fire prevention and firefighting, as set out in Table A-VI/1-2 of the STCW Code.

(3) Elementary first aid, as set out in Table A-VI/1-3 of the STCW Code.

(4) Personal safety and social responsibilities, as set out in Table A-VI/1-4 of the STCW Code.

(b) Every 5 years, seafarers qualified in accordance with § 12.601 (a) of this subpart must provide evidence of maintaining the standard of competence for basic training (BT).

(c) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years for the following areas:

(1) Personal survival techniques, as set out in Table A-VI/1-1 of the STCW Code:

- (i) Donning a lifejacket.
- (ii) Boarding a survival craft from the ship, while wearing a lifejacket.
- (iii) Taking initial actions on board a lifeboat to enhance chance of survival.
- (iv) Streaming a lifeboat drogue or sea-anchor.
- (v) Operating survival craft equipment.
- (vi) Operating location devices, including radio equipment.

(2) Fire prevention and firefighting, as set out in Table A-VI/1-2 of the STCW Code:

- (i) Using self-contained breathing apparatus.
- (ii) Performing a rescue in a smoke-filled space, using an approved smoke-generating device aboard, while wearing a breathing apparatus.

(3) Elementary first aid, as set out in Table A-VI/1-3 of the STCW Code.

(4) Personal safety and social responsibilities, as set out in Table A-VI/1-4 of the STCW Code.

(d) The Coast Guard will only accept evidence of approved assessments conducted ashore for the following areas:

(1) Personal survival techniques, as set out in Table A-VI/1-1 of the STCW Code:

- (i) Donning and use an immersion suit.
- (ii) Safely jumping from a height into the water.
- (iii) Righting an inverted liferaft while wearing a lifejacket.
- (iv) Swimming while wearing a lifejacket.
- (v) Keeping afloat without a lifejacket.

(2) Fire prevention and firefighting as set out in Table A-VI/1-2 of the STCW Code:

- (i) Using various types of portable fire extinguishers.
- (ii) Extinguishing smaller fires, e.g., electrical fires, oil fires, and propane fires.
- (iii) Extinguishing extensive fires with water, using jet and spray nozzles.
- (iv) Extinguishing fires with foam, powder, or any other suitable chemical agent.
- (v) Fighting fire in smoke-filled enclosed spaces wearing self-contained breathing apparatuses.
- (vi) Extinguishing fire with water fog or any other suitable firefighting agent in an accommodation room or simulated engine room with fire and heavy smoke.
- (vii) Extinguishing oil fire with fog applicator and spray nozzles, dry chemical powder, or foam applicators.

(e) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (c) of this section, will be required to meet the requirements of paragraph (a) of this section or complete approved or accepted refresher training.

**§ 12.603 Requirements to qualify for an STCW endorsement as able seafarer-deck.**

(a) To qualify for this endorsement as able seafarer-deck, an applicant must—

- (1) Be not less than 18 years of age;
- (2) Meet the requirements for certification as a RFPNW;
- (3) While qualified as an RFPNW, have seagoing service in the deck department of—
  - (i) Not less than 18 months; or

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(ii) Not less than 12 months and have completed approved training;

(4) Provide evidence of meeting the standard of competence specified in Table A-II/5 of the STCW Code (incorporated by reference, see § 12.103 of this part); and

(5) Provide evidence of having satisfactorily completed approved training in—

(i) Proficiency in survival craft and rescue boats other than fast rescue boats (PSC); or

(ii) Proficiency in survival craft and rescue boats, other than lifeboats or fast rescue boats-limited (PSC-limited), as appropriate.

(b) Seafarers holding a rating endorsement as able seaman before January 1, 2017, will be eligible for this endorsement upon showing evidence of—

(1) Holding an endorsement as an RFPNW; and

(2) Having satisfactorily completed approved training in—

(i) Proficiency in survival craft and rescue boats, other than fast rescue boats (PSC); or

(ii) Proficiency in survival craft and rescue boats, other than lifeboats or fast rescue boats-limited (PSC-limited), as appropriate.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/5 of the STCW Code. These exemptions must be approved by the Coast Guard, based upon vessel type. Under these circumstances, the endorsement may include a corresponding limitation.

(d) Except as provided in paragraph (b) of this section, seafarers with the following national rating endorsements will be eligible for this endorsement upon completion of the requirements designated in this section:

TABLE 1 TO § 12.603(d)—STCW ENDORSEMENT AS ABLE SEAFARER-DECK

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/4 <sup>2</sup>	Competence—STCW Table A-II/5 <sup>3</sup>	Training required by this section <sup>4</sup>
A/B unlimited .....	None .....	Y	Y	N
A/B limited .....	None .....	Y	Y	N
A/B special .....	6 months <sup>5</sup> .....	Y	Y	N
A/B-offshore supply vessels .....	12 months <sup>6</sup> .....	Y	Y	N
A/B sail .....	12 months <sup>6</sup> .....	Y	Y	N
A/B-fishing industry .....	12 months <sup>6</sup> .....	Y	Y	N

<sup>1</sup> This column provides the minimum additional service required of the seafarer already holding an RFPNW endorsement in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(4) of this section not previously satisfied.

<sup>4</sup> Complete any items in paragraph (a)(5) of this section not previously satisfied.

<sup>5</sup> The service may be reduced to 3 months if training has been completed as part of an approved training program meeting the requirements of paragraph (a)(4) of this section.

<sup>6</sup> The service may be reduced to 6 months if training has been completed as part of an approved training program meeting the requirements of (a)(4) of this section.

[USCG–2004–17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 12.605 Requirements to qualify for an STCW endorsement as ratings forming part of a navigational watch (RFPNW).**

(a) To qualify for endorsement as an RFPNW on a seagoing vessel of 500 GT or more, an applicant must—

(1) Be not less than 16 years of age;

(2) Provide evidence of service as follows:

(i) Six months of seagoing service, which includes training and experience associated with navigational

watchkeeping functions and involves the performance of duties carried out under the supervision of the master, mate, or qualified STCW deck rating; or

(ii) Proof of successful completion of Coast Guard-approved or -accepted training, which includes not less than 2 months of approved seagoing service; and

(3) Provide evidence of meeting standards of competence prescribed in Table A-II/4 of the STCW Code (incorporated by reference, see § 12.103 of this part).

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(b) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/4 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the endorsement may include a corresponding limitation.

(c) Seafarers with the following national rating endorsements will be eligible for this endorsement upon completion of requirements designated in this section:

TABLE 1 TO § 12.605(c)—STCW ENDORSEMENT AS RFPNW

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/4 <sup>2</sup>
A/B unlimited .....	None .....	Y
A/B limited .....	None .....	Y
A/B special .....	None .....	Y
A/B-offshore supply vessels	None .....	Y
A/B sail .....	None .....	Y
A/B-fishing industry .....	None .....	Y
Ordinary seaman .....	6 mo. <sup>3</sup> .....	Y

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

<sup>3</sup> The service may be reduced to 2 months if training has been completed as part of an approved training program meeting the requirements of paragraph (a)(2)(ii) of this section.

### § 12.607 Requirements to qualify for an STCW endorsement as rating as able seafarer-engine.

(a) To qualify for an STCW endorsement as an able seafarer-engine, an applicant must—

- (1) Be not less than 18 years of age;
- (2) Meet the requirements for certification as a ratings forming part of an engineering watch (RFPEW);

(3) While qualified as an RFPEW, have seagoing service in the engine department of—

- (i) Not less than 12 months; or
- (ii) Not less than 6 months and have completed approved training; and

(4) Provide evidence of meeting the standard of competence specified in Table A-III/5 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(b) Seafarers holding a rating endorsement as QMED, junior engineer, electrician or electrician/refrigerating engineer, pumpman or pumpman/ma-

chinist, refrigerating engineer, or machinist before January 1, 2017, will be eligible for this endorsement upon showing evidence of holding an endorsement as an RFPEW.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-III/5 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the endorsement may include a corresponding limitation.

(d) Except as provided in paragraph (b) of this section, seafarers with the following national rating endorsements will be eligible for this endorsement upon completion of requirements designated in this section:

TABLE 1 TO § 12.607(d)—STCW ENDORSEMENT AS ABLE SEAFARER-ENGINE

Domestic QMED endorsement	Additional sea service for AS-E
Engineman .....	None.
Deck Engine Mechanic .....	None.
Electrician .....	6 months. <sup>1</sup>
Refrigerating Engineer .....	6 months. <sup>1</sup>
Pumpman .....	6 months. <sup>1</sup>
Machinist .....	6 months. <sup>1</sup>

<sup>1</sup> Service may be reduced to 3 months if training has been completed as part of an approved training program.

[USCG-2004-17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG-2018-0874, 84 FR 30882, June 28, 2019]

### § 12.609 Requirements to qualify for an STCW endorsement as rating forming part of an engineering watch (RFPEW).

(a) To qualify for an STCW endorsement as an RFPEW in a manned engine room or to qualify to be designated to perform duties in a periodically unmanned engine room, an applicant must—

- (1) Be not less than 16 years of age;
- (2) Provide evidence of service as follows:

(i) Six months of seagoing service, which includes training and experience associated with engine room functions, and involves the performance of duties carried out under the supervision of an engineer officer or a qualified STCW rating; or

(ii) Proof of successful completion of a Coast Guard-approved or -accepted

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training, which includes not less than 2 months approved seagoing service; and

(3) Provide evidence of meeting the standard of competence as specified in Table A–III/4 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(b) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A–III/4 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the endorsement may include a corresponding limitation.

(c) Seafarers with the following national rating endorsements will be eligible for this endorsement upon completion of requirements designated in this section:

TABLE 1 TO § 12.609(c)—STCW ENDORSEMENT AS RFPEW

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/4 <sup>2</sup>
Any QMED .....	None .....	Y
Wiper .....	6 months .....	Y

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

(d) *Limitations.* (1) STCW RFPEW endorsements issued in accordance with this section will be restricted to specific propulsion modes for steam, motor, or gas turbine-propelled vessels, as appropriate.

(2) STCW RFPEW endorsements issued in accordance with this section for motor or gas turbine-propelled vessels may be endorsed as limited to serve on vessels without auxiliary boilers, waste-heat boilers, or distilling plants. An applicant may qualify for removal of any of these limitations by demonstrating the appropriate competencies.

### § 12.611 Requirements to qualify for an STCW endorsement as electro-technical rating (ETR) on vessels powered by main propulsion machinery of 750 kW/1,000 HP or more.

(a) To qualify for an STCW endorsement as an electro-technical rating, an applicant must—

(1) Be not less than 18 years of age;

(2) Provide evidence of—

(i) Twelve months of seagoing service, that includes training and experience associated with engine room watchkeeping functions and involves the performance of duties carried out under the supervision of an engineer officer, electro-technical officer, or a qualified STCW engine rating;

(ii) Proof of successful completion of a Coast Guard-approved or -accepted program, which includes not less than 6 months of approved seagoing service; or

(iii) Qualifications meeting the standard of competence specified in Table A–III/7 of the STCW Code (incorporated by reference, see § 12.103 of this part) and approved seagoing service of not less than 3 months;

(3) Provide evidence of meeting the standard of competence specified in Table A–III/7 of the STCW Code; and

(4) Provide evidence of completion of an approved course in—

(i) Computer systems and maintenance; and

(ii) High-voltage power systems.

(b) An applicant who holds an STCW endorsement as able seafarer-engineer and a national rating endorsement as electrician, electrician/refrigerating engineer, or junior engineer will be issued the ETR endorsement upon completion of the requirements in Section A–III/7 of the STCW Code and evidence of completion of the training required in paragraph (a)(4) of this section.

(c) Seafarers with the following national rating endorsement will be eligible for this endorsement upon completion of the requirements designated in this section:

TABLE 1 TO § 12.611(c)—STCW ENDORSEMENT AS ELECTRO-TECHNICAL RATING

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/7 <sup>2</sup>
Electrician/refrigerating engineer.	None .....	Y
Junior engineer .....	None .....	Y

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

**§ 12.613 Requirements to qualify for an STCW endorsement in proficiency in survival craft and rescue boats other than fast rescue boats (PSC).**

(a) To qualify for an STCW endorsement in proficiency in survival craft and rescue boats other than fast rescue boats (PSC), the applicant must—

- (1) Be at least 18 years of age;
- (2) Meet the requirements for a lifeboatman endorsement in §12.407 of this part and Table A-VI/2-1 of the STCW Code (incorporated by reference, see §12.103 of this part); and
- (3) Complete basic training (BT), found in §12.602 of this subpart.

(b) *Continued professional competence.*  
(1) Seafarers qualified in accordance with paragraph (a) of this section must provide evidence of maintaining the standard of competence as set out in Table A-VI/2-1 of the STCW Code every 5 years.

(2) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (b)(1) of this section for the following areas, as set out in Table A-VI/2-1 of the STCW Code:

(i) Taking charge of a survival craft or rescue boat during and after launch, including—

(A) Interpreting the markings on survival craft as to the number of persons they are intended to carry;

(B) Giving correct commands for launching and boarding survival craft, clearing the ship, and handling and disembarking persons from survival craft;

(C) Preparing and safely launch survival craft, operating its engine, and clearing the ship's side quickly; and

(D) Safely recovering survival craft and rescue boats.

(ii) Operating a survival craft engine, including—

(A) Rowing and steering a boat and steer by compass;

(B) Using individual items of equipment of survival craft, except for pyrotechnics; and

(C) Rigging devices to aid location.

(iii) Using locating devices, including communication and signaling apparatus, including—

(A) Using of portable radio equipment for survival craft.

(B) [Reserved]

(iv) Applying first aid to survivors.

(3) The Coast Guard will only accept evidence of assessments conducted ashore as meeting the requirements of paragraph (b)(1) of this section for the areas not included in paragraph (b)(2) of this section, as set out in Table A-VI/2-1 of the STCW Code.

(4) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (b)(2) of this section, will be required to meet the requirements of paragraph (a) of this section or complete approved or accepted refresher training.

(c) Seafarers holding an MMD or MMC endorsement as lifeboatman before January 1, 2017 will be eligible for this endorsement upon showing evidence of sea service of not less than 12 months within the last 60 months. The sea service must be completed prior to January 1, 2017.

[USCG-2004-17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG-2018-0874, 84 FR 30882, June 28, 2019]

**§ 12.615 Requirements to qualify for an STCW endorsement in proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats-limited (PSC-limited).**

(a) To qualify for an STCW endorsement in proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats-limited (PSC-limited), the applicant must—

(1) Be at least 18 years of age;

(2) Meet the requirements for a lifeboatman-limited endorsement in §12.409 of this part and Table A-VI/2-1 of the STCW Code (incorporated by reference, see §12.103 of this part); and

(3) Complete BT, found in §12.601(c) of this subpart.

(b) *Continued professional competence.*  
(1) Seafarers qualified in accordance with paragraph (a) of this section must provide evidence of maintaining the standard of competence as set out in Table A-VI/2-1 of the STCW Code every 5 years.

(2) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (b)(1) of this

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section for the following areas, as set out in Table A–VI/2–1 of the STCW Code:

(i) Taking charge of a survival craft or rescue boat during and after launch including—

(A) Interpreting the markings on survival craft as to the number of persons they are intended to carry;

(B) Giving correct commands for launching and boarding rescue boats and survival craft other than lifeboats, clearing the ship, and handling and disembarking persons from survival craft;

(C) Preparing and safely launching rescue boats and survival craft, other than lifeboats, starting the engine, and clearing the ship's side quickly; and

(D) Safely recovering rescue boats.

(ii) Managing survivors and survival craft after abandoning ship, including—

(A) Steering a rescue boat and steer by compass;

(B) Using individual items of equipment of survival craft other than lifeboats, except for pyrotechnics; and

(C) Rigging devices to aid location.

(iii) Using locating devices, including communication and signaling apparatuses, including—

(A) Using portable radio equipment for rescue boats and survival craft;

(B) [Reserved]

(iv) Applying first aid to survivors.

(3) The Coast Guard will only accept evidence of assessments conducted ashore as meeting the requirements of paragraph (b)(1) of this section for the areas not included in paragraph (b)(2) of this section as set out in Table A–VI/2–1 of the STCW Code.

(4) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (b)(2) of this section, will be required to meet the requirements of paragraph (a) of this section or complete approved or accepted refresher training.

(c) Seafarers holding an MMD or MMC endorsement as lifeboatman-limited before January 1, 2017, will be eligible for this endorsement upon showing evidence of sea service of not less than 12 months within the last 60 months. The sea service must be completed prior to January 1, 2017.

### § 12.617 Requirements to qualify for an STCW endorsement in proficiency in fast rescue boats.

(a) To qualify for an STCW endorsement in proficiency in fast rescue boats, an applicant must—

(1) Be not less than 18 years of age;

(2) Hold an endorsement in proficiency in survival craft and rescue boats other than fast rescue boats (PSC) or in proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats-limited (PSC-limited) under this subpart;

(3) Provide evidence of successful completion of a Coast Guard-approved or -accepted course; and

(4) Provide evidence of meeting the standard of competence specified in Table A–VI/2–2 of the STCW Code (incorporated by reference, see §12.103 of this part).

(b) *Continued professional competence.*

(1) Seafarers qualified in accordance with paragraph (a) of this section must provide evidence of maintaining the standard of competence as set out in Table A–VI/2–2 of the STCW Code every 5 years.

(2) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (b)(1) of this section for the following areas, as set out in Table A–VI/2–2 of the STCW Code:

(i) Taking charge of a fast rescue boat during and after launch, including—

(A) Controlling safe launching, operating of the engine, and recovering a fast rescue boat;

(B) Handling a fast rescue boat in prevailing weather and sea conditions;

(C) Using communication and signaling equipment between the fast rescue boat and a helicopter and a ship;

(D) Using the emergency equipment carried; and

(E) Carrying out search patterns, taking account of environmental factors.

(ii) [Reserved]

(3) The Coast Guard will only accept evidence of assessments conducted ashore as meeting the requirements of paragraph (b)(1) of this section for the areas not included in paragraph (b)(2)

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of this section, as set out in Table A-VI/2-2 of the STCW Code.

(4) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (b)(2) of this section, will be required to meet the requirements of paragraph (a)(3) of this section or complete approved or accepted refresher training.

### § 12.619 Requirements to qualify for an STCW endorsement as medical first-aid provider.

(a) To qualify for an STCW endorsement as medical first-aid provider, an applicant must—

(1) Provide evidence of successful completion of an approved course in medical first aid; and

(2) Provide evidence of meeting the standard of competence specified in Table A-VI/4-1 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(b) An applicant holding one of the following credentials is qualified for an endorsement as medical first-aid provider:

(1) A valid professional license listed in § 11.807(a)(5) or (a)(6) of this subchapter, without restriction or limitation placed upon it by the issuing State.

(2) A rating listed in § 11.807(a)(7) or (a)(8) of this subchapter.

### § 12.621 Requirements to qualify for an STCW endorsement as person in charge of medical care.

(a) To qualify for an STCW endorsement as person in charge of medical care, an applicant must—

(1) Provide evidence of successful completion of an approved course that leads to an endorsement for seafarers designated to take charge of medical care onboard a ship; and

(2) Provide evidence of meeting the standard of competence specified in Table A-VI/4-2 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(b) An applicant holding any of the following credentials is qualified for an endorsement as person in charge of medical care:

(1) A valid professional license listed in § 11.807(a)(5) or (a)(6) of this subchapter, without restriction or limita-

tion placed upon it by the issuing State.

(2) A rating listed in § 11.807(a)(7) or (a)(8) of this subchapter.

### § 12.623 Requirements to qualify for an STCW endorsement as Global Maritime Distress and Safety System (GMDSS) at-sea maintainer.

To qualify for an STCW endorsement as GMDSS at-sea maintainer, an applicant must—

(a) Be not less than 18 years of age;

(b) Provide evidence of—

(1) Successful completion of a training program that covers at least the scope and content of the training outlined in Section B-IV/2 of the STCW Code (incorporated by reference, see § 12.103 of this part); or

(2) Passing an approved GMDSS at-sea maintainer course; and

(c) Hold a valid Federal Communications Commission (FCC) certificate as GMDSS at-sea maintainer.

### § 12.625 Requirements to qualify for an STCW endorsement as vessel personnel with designated security duties.

(a) An applicant for an STCW endorsement as vessel personnel with designated security duties must—

(1) Present satisfactory documentary evidence, such as a certificate or letter signed by a company official, or a certificate of completion from a Coast Guard-accepted or Coast Guard-approved course, of meeting the requirements in 33 CFR 104.220;

(2) Meet the physical examination requirements in 46 CFR Part 10, subpart C; and

(3) Meet the safety and suitability requirements and the National Driver Registry review requirements in § 10.209(e) of this subchapter, unless the applicant has met these requirements within the previous 5 years in connection with another endorsement.

(b) Until March 24, 2014, seafarers will be able to apply for an endorsement as vessel personnel with designated security duties by—

(1) Having completed approved sea-going service with designated security duties, for a period of at least 6 months in total during the preceding 3 years;

(2) Having performed security functions considered to be equivalent to the

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seagoing service required in paragraph (b)(1) of this section; or

(3) Successfully completing Coast Guard-accepted or Coast Guard-approved training.

### § 12.627 Requirements to qualify for an STCW endorsement for security awareness.

(a) An applicant for an endorsement for security awareness must—

(1) Present satisfactory documentary evidence, such as a certificate or letter signed by a company official, or a certificate of completion from a Coast Guard-accepted or Coast Guard-approved course, of meeting the requirements in 33 CFR 104.225;

(2) Meet the physical examination requirements in 46 CFR, part 10, subpart C; and

(3) Meet the safety and suitability requirements and the National Driver Registry review requirements in § 10.209(e) of this subchapter, unless the applicant has met these requirements within the previous 5 years in connection with another endorsement.

(b) Until March 24, 2014, seafarers will be able to apply for an endorsement in security awareness by—

(1) Having performed approved seagoing service for a period of at least 6 months in total during the preceding 3 years;

(2) Having performed security functions considered to be equivalent to the seagoing service required in paragraph (b)(1) of this section; or

(3) Successfully completing Coast Guard-accepted or Coast Guard-approved training.

## Subpart G—Entry-Level National Ratings and Miscellaneous Ratings

### § 12.701 Credentials required for entry-level and miscellaneous ratings.

Every person employed or engaged on a vessel subject to 46 U.S.C. 8701, must produce an MMC or MMD with the appropriate endorsement to the master or person in charge (PIC), if appropriate, before signing shipping articles.

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### § 12.703 General requirements for entry-level ratings.

(a) Rating endorsements will be issued without professional examination to applicants in capacities other than able seaman, lifeboatman, lifeboatman-limited, tankerman, or QMED, including—

(1) Ordinary seaman;

(2) Wiper;

(3) Steward's department; and

(4) Steward's department (F.H.).

(b) Holders of MMCs or MMDs endorsed as ordinary seaman may serve in any unqualified rating in the deck or steward's department, except as a food handler.

(c) Holders of MMCs or MMDs endorsed as wiper may serve in any unqualified rating in the engine or steward's department, except as a food handler.

(d) Only MMCs or MMDs endorsed as steward's department (F.H.) will authorize the holder's service in any capacity in the steward's department, including food handler.

### § 12.705 Endorsements for persons enrolled in a Maritime Administration-approved training program.

MMCs issued to individuals obtaining sea service as part of an approved training curriculum while enrolled at either the United States Merchant Marine Academy or a deck or engineering class of a Maritime Academy approved by and conducted under the rules prescribed by the Maritime Administrator and listed in 46 CFR Part 310 will include an endorsement of cadet (deck) or cadet (engine), as appropriate, and lifeboatman. Individuals obtaining sea service as part of such an approved training curriculum must do so in the capacity of cadet (deck) or cadet (engine), as appropriate, notwithstanding any other rating endorsements the individual may hold or any other capacity in which the individual may have previously served.

### § 12.707 Student observers.

Students in technical schools who are enrolled in courses in marine management, naval architecture, and ship operations, and who present a letter or other documentary evidence that they

are enrolled, will be issued an MMC endorsed as “student observer—any department” and may be signed on ships as such. Students holding these endorsements will not take the place of any of the crew, or replace any of the regular required crew.

**§ 12.709 Apprentice engineers.**

(a) Persons enrolled in an engineer training program approved by the Coast Guard, and who present a letter or other documentary evidence that they are enrolled, may be issued an MMC endorsed as apprentice engineer and may be signed on ships as such. The endorsement as apprentice engineer may be in addition to other endorsements; however, this endorsement does not authorize the holder to replace any of the regular required crew.

(b) Persons holding the endorsement as apprentice engineer are deemed to be seamen.

**§ 12.711 Apprentice mate.**

(a) A person enrolled in a mate training program approved by the Coast Guard, and who presents a letter or other documentary evidence that he or she is enrolled, may be issued an MMC rating endorsement as apprentice mate and may be signed on a vessel in this capacity. The rating endorsement as apprentice mate may be in addition to other endorsements; however, this endorsement does not authorize the holder to replace any of the regular required crew.

(b) Persons holding the endorsement as apprentice mate are deemed to be seamen.

**Subpart H—Non-Resident Alien Members of the Steward’s Department on U.S. Flag Large Passenger Vessels**

**§ 12.801 Purpose.**

The rules in this subpart implement 46 U.S.C. 8103(k) by establishing requirements for the issuance of MMCs, valid only for service in the steward’s department of U.S. flag large passenger vessels, to non-resident aliens.

**§ 12.803 General requirements.**

(a) Unless otherwise specified in this subpart, non-resident alien applicants for Coast Guard-issued MMCs are subject to all applicable requirements contained in this subchapter.

(b) No application for an MMC from a non-resident alien issued pursuant to this subpart will be accepted unless the applicant’s employer satisfies all of the requirements of § 12.805 of this subpart.

**§ 12.805 Employer requirements.**

(a) The employer must submit the following to the Coast Guard, as a part of the applicant’s MMC application, on behalf of the applicant:

(1) A signed report that contains all material disciplinary actions related to the applicant, such as, but not limited to, violence or assault, theft, drug and alcohol policy violations, and sexual harassment, along with an explanation of the criteria used by the employer to determine the materiality of those actions.

(2) A signed report regarding an employer-conducted background check. The report must contain—

(i) A statement that the applicant has successfully undergone an employer-conducted background check;

(ii) A description of the employer-conducted background check, including all databases and records searched. The background check must, at a minimum, show that the employer has reviewed all information reasonably and legally available to the owner or managing operator, including the review of available court and police records in the applicant’s country of citizenship, and any other country in which the applicant has received employment referrals, or resided, for the past 20 years prior to the date of application; and

(iii) All information derived from the employer-conducted background check.

(3) An employer-conducted background check, which must be conducted to the satisfaction of the Coast Guard for an MMC to be issued to the applicant.

(b) If an MMC is issued to the applicant, the report and information required in paragraph (a)(2) of this section must be securely kept by the employer on the U.S. flag large passenger

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vessel on which the applicant is employed. The report and information must remain on the last U.S. flag large passenger vessel on which the applicant was employed until such time as the MMC is returned to the Coast Guard in accordance with paragraph (d) of this section.

(c) If an MMC or a transportation worker identification credential (TWIC) is issued to the applicant, each MMC and TWIC must be securely kept by the employer on the U.S. flag large passenger vessel on which the applicant is employed. The employer must maintain a detailed record of the seaman's total service on all authorized U.S. flag large passenger vessels, and must make that information available to the Coast Guard upon request, to demonstrate that the limitations of § 12.811(c) of this subpart have not been exceeded.

(d) In the event that the seaman's MMC and/or TWIC expires, the seaman's visa status terminates, the seaman serves onboard the U.S. flag large passenger vessel(s) for 36 months in the aggregate as a nonimmigrant crewman, the employer terminates employment of the seaman, or, if the seaman otherwise ceases working with the employer, the employer must return the MMC to the Coast Guard and/or the TWIC to the Transportation Security Administration (TSA) within 10 days of the event.

(e) In addition to the initial material disciplinary actions report and the initial employer-conducted background check specified in paragraph (a) of this section, the employer must—

(1) Submit to the National Maritime Center an annual material disciplinary actions report to update whether there have been any material disciplinary actions related to the applicant since the last material disciplinary actions report was submitted to the Coast Guard. The annual material disciplinary actions report must—

(i) Be submitted to the satisfaction of the Coast Guard in accordance with the same criteria set forth in paragraph (a)(1) of this section, except that the period of time examined for the material disciplinary actions report need only extend back to the date of the last

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material disciplinary actions report; and

(ii) Be submitted to the Coast Guard on or before the anniversary of the issuance date of the MMC; and

(2) Conduct a background check each year that the MMC is valid to search for any changes that might have occurred since the last employer-conducted background check was performed. The annual background check must—

(i) Be conducted to the satisfaction of the Coast Guard in accordance with the same criteria set forth in paragraph (a)(2) of this section, except that the period of time examined during the annual background check need only extend back to the date of the last background check; and

(ii) Be submitted to the Coast Guard on or before the anniversary of the issuance date of the MMC.

(f) The employer is subject to the civil penalty provisions specified in 46 U.S.C. 8103(f) for any violation of this section.

### § 12.807 Basis for denial.

In addition to the requirements for an MMC established elsewhere in this subchapter, and the basis for denial established in §§ 10.209, 10.211, and 10.213 of this subchapter, an applicant for an MMC issued pursuant to this subpart must—

(a) Have been employed for a period of at least 1 year on a foreign flag passenger vessel that is under the same common ownership or control as the U.S. flag large passenger vessel on which the applicant will be employed upon issuance of an MMC under this subpart;

(b) Have no record of material disciplinary actions during the employment required under paragraph (a) of this section, as verified in writing by the owner or managing operator of the U.S. flag large passenger vessel on which the applicant will be employed;

(c) Have successfully completed an employer-conducted background check to the satisfaction of both the employer and the Coast Guard; and

(d) Meet the citizenship and identity requirements of § 12.809 of this subpart.

**§ 12.809 Citizenship and identity.**

(a) Instead of the requirements of § 10.221 of this subchapter, a non-resident alien may apply for a Coast Guard-issued MMC, endorsed and valid only for service in the steward's department of a U.S. flag large passenger vessel, as defined in 46 U.S.C. 8103(k)(5)(B), if he or she is employable in the United States under the Immigration and Nationality Act (8 U.S.C. 1101, et seq.), including an alien crewman described in section 101 (a)(15)(D)(i) of that Act.

(b) To meet the citizenship and identity requirements of this subpart, an applicant must present an unexpired passport issued by the government of the country of which the applicant is a citizen or subject, and either a valid U.S. C-1/D Crewman Visa or another valid U.S. visa or authority deemed acceptable by the Coast Guard.

(c) Any non-resident alien applying for an MMC under this subpart may not be a citizen of, or a temporary or permanent resident of, a country designated by the Department of State as a "State Sponsor of Terrorism" pursuant to section 6(j) of the Export Administration Act of 1979 (50 U.S.C. App. 2405(j)) or section 620A of the Foreign Assistance Act of 1961 (22 U.S.C. 2371).

**§ 12.811 Restrictions.**

(a) An MMC issued to a non-resident alien under this subpart authorizes service only in the steward's department of the U.S. flag large passenger vessel(s), that is/are under the same common ownership and control as the foreign flag passenger vessel(s) on which the non-resident alien served to meet the requirements of § 12.807(a) of this subpart.

(1) The MMC will be endorsed for service in the steward's department, in accordance with § 12.703 of this part.

(2) The MMC may also be endorsed for service as a food handler if the applicant meets the requirements of § 12.703 of this part.

(3) No other rating or endorsement is authorized, except lifeboatman or lifeboatman-limited, in which case all applicable requirements of this subchapter and the STCW Convention and STCW Code (incorporated by reference, see § 12.103 of this part) must be met.

(b) The following restrictions must be printed on the MMC, or be listed in an accompanying Coast Guard letter, or both:

(1) The name and official number of all U.S. flag vessels on which the non-resident alien may serve. Service is not authorized on any other U.S. flag vessel.

(2) Upon issuance, the MMC must remain in the custody of the employer at all times.

(3) Upon termination of employment, the MMC must be returned to the Coast Guard within 10 days, in accordance with § 12.805 of this subpart.

(4) A non-resident alien issued an MMC under this subpart may not perform watchstanding, engine room duty watch, or vessel navigation functions.

(5) A non-resident alien issued an MMC under this subpart may perform emergency-related duties, provided that—

(i) The emergency-related duties do not require any other rating or endorsement, except lifeboatman or lifeboatman-limited as specified in paragraph (a)(3) of this section;

(ii) The non-resident alien has completed familiarization and basic training (BT), as required in § 15.1105 of this subchapter;

(iii) If the non-resident alien serves as a lifeboatman or lifeboatman-limited, he or she has the necessary lifeboatman or lifeboatman-limited endorsement; and

(iv) The non-resident alien has completed the training for crewmembers on passenger ships performing duties involving safety or care for passengers, as required in § 15.1103 of this subchapter.

(c) A non-resident alien may only serve for an aggregate period of 36 months of actual service on all authorized U.S. flag large passenger vessels combined under the provisions of this subpart.

(d) Once this 36-month limitation is reached, the MMC becomes invalid and must be returned to the Coast Guard under § 12.805(d) of this subpart, and the non-resident alien is no longer authorized to serve in a position requiring an MMC on any U.S. flag large passenger vessel.

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(e) An individual who successfully adjusts his or her immigration status to become either an alien lawfully admitted for permanent residence to the United States, or a citizen of the United States, may apply for an MMC, subject to the requirements of §10.221 of this subchapter, without any restrictions or limitations imposed by this subpart.

### § 12.813 Alternative means of compliance.

(a) The owner or managing operator of a U.S. flag large passenger vessel seeking to employ non-resident aliens issued MMCs under this subpart may submit a plan to the Coast Guard, which, if approved, will serve as an alternative means of complying with the requirements of this subpart.

(b) The plan must address all the elements contained in this subpart, as well as the related elements contained in §15.530 of this subchapter, to the satisfaction of the Coast Guard.

## Subpart I—Crewmembers on a Passenger Ship on an International Voyage

### § 12.901 Purpose.

This subpart establishes requirements for the qualification of ratings serving on passenger ships as defined in §12.903 of this part.

### § 12.903 Definitions.

*Passenger ship* in this subpart means a ship carrying more than 12 passengers when on an international voyage.

### § 12.905 General requirements.

(a) Any seafarer may serve on a passenger vessel on an international voyage and perform duties that involve safety or care for passengers, only after—

(1) Meeting the appropriate requirements of the STCW Regulation V/2 and of section A-V/2 of the STCW Code (incorporated by reference, see §12.103 of this part); and

(2) Holding documentary evidence to show that the mariner meets these requirements through approved or accepted training.

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(b) Seafarers who are required to be trained in accordance with paragraph (a)(1) of this section must, at intervals not exceeding 5 years, provide evidence of maintaining the standard of competence.

(c) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (a)(2) of this section.

(d) Personnel serving onboard small passenger vessels engaged in domestic, near-coastal voyages, as defined in §15.105(g)(1) of this subchapter, are not subject to any obligation for the purpose of this STCW requirement.

## PART 13—CERTIFICATION OF TANKERMEN

### Subpart A—General

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13.101	Purpose.
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13.106	Requirement to hold an MMC.
13.107	Tankerman endorsement: General.
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13.117	Re-issuance of expired tankerman endorsements.
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13.120	Renewal of tankerman endorsement.
13.121	Courses for tankerman endorsements.
13.123	Recency of service or experience for original tankerman endorsement.
13.125	Physical and medical requirements.
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### Subpart B—Requirements for Tankerman-PIC Endorsement

13.201	Original application for tankerman-PIC endorsement.
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### Subpart C—Requirements for Tankerman-PIC (Barge) Endorsement

13.301	Original application for tankerman-PIC (barge) endorsement.
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### Subpart D—Requirements for Tankerman-Assistant Endorsement

- 13.401 Original application for tankerman-assistant endorsement.
- 13.403 Service requirements.
- 13.405 Proof of service for tankerman-assistant endorsement.

### Subpart E—Requirements for Tankerman-Engineer Endorsement

- 13.501 Original application for tankerman-engineer endorsement.
- 13.503 Service requirements.
- 13.505 Proof of service for tankerman-engineer endorsement.

### Subpart F—Requirements for STCW Tankerman Endorsements

- 13.601 General.
- 13.603 Requirements to qualify for an STCW endorsement for advanced oil tanker cargo operations.
- 13.605 Requirements to qualify for an STCW endorsement for advanced chemical tanker cargo operations.
- 13.607 Requirements to qualify for an STCW endorsement for advanced liquefied gas tanker cargo operations.
- 13.609 Requirements to qualify for an STCW endorsement for basic oil and chemical tanker cargo operations.
- 13.611 Requirements to qualify for an STCW endorsement for basic liquefied gas tanker cargo operations.

AUTHORITY: 46 U.S.C. 3703, 7317, 8105, 8703, 9102; Department of Homeland Security Delegation No. 0170.1.

SOURCE: CGD 79-116, 60 FR 17142, Apr. 4, 1995, unless otherwise noted.

### Subpart A—General

#### § 13.101 Purpose.

This part describes the various tankerman endorsements issued by the Coast Guard on a merchant mariner credential (MMC).

(a) This part prescribes the requirements for the following endorsements:

- (1) Tankerman-PIC.
- (2) Tankerman-PIC (Barge).
- (3) Restricted Tankerman-PIC.
- (4) Restricted Tankerman-PIC (Barge).
- (5) Tankerman-assistant.
- (6) Tankerman-engineer.

(b) This part prescribes the requirements for the following STCW endorsements:

(1) Advanced oil tanker cargo operation.

(2) Advanced chemical tanker cargo operation.

(3) Advanced liquefied gas tanker cargo operation.

(4) Basic oil and chemical tanker cargo operation.

(5) Basic liquefied gas tanker cargo operation.

[USCG-2004-17914, 78 FR 77987, Dec. 24, 2013]

#### § 13.103 Incorporation by reference.

(a) Certain material is incorporated by reference into this part with the approval of the Director of the Federal Register under 5 U.S.C. 552(a) and 1 CFR part 51. All approved material is available for inspection at the Coast Guard, Office of Merchant Mariner Credentialing (CG-MMC), U.S. Coast Guard, Stop 7509, 2703 Martin Luther King Jr. Avenue SE., Washington, DC 20593-7509, 202-372-1492, and is available from the sources listed below. It is also available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030 or go to [http://www.archives.gov/federal\\_register/code\\_of\\_federal\\_regulations/ibr\\_locations.html](http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html).

(b) International Maritime Organization (IMO), 4 Albert Embankment, London SE1 7SR, England:

(1) The Seafarers' Training, Certification and Watchkeeping Code, as amended, 2011 (the STCW Code), approved for incorporation by reference in §§ 13.601, 13.603, 13.605, 13.607, 13.609, and 13.611; and

(2) [Reserved]

[USCG-2004-17914, 78 FR 77987, Dec. 24, 2013, as amended by USCG-2016-0315, 81 FR 43955, July 6, 2016]

#### § 13.105 Paperwork approval.

(a) This section lists the control numbers assigned by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1980 [Pub. L. 96-511] for the reporting and record-keeping requirements in this part.

(b) OMB has assigned the following control numbers to the sections indicated:

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(1) OMB 1625-0040—46 CFR 13.113, 13.115, 13.117, 13.201, 13.203, 13.205, 13.301, 13.303, 13.305, 13.401, 13.403, 13.405, 13.501, 13.503, 13.505.

(2) OMB 1625-0028—46 CFR 13.121, 13.207, 13.209, 13.307, 13.309, 13.407, 13.409, 13.507, 13.509.

[CGD 79-116, 60 FR 17142, Apr. 4, 1995, as amended by USCG-2004-18884, 69 FR 58343, Sept. 30, 2004]

### § 13.106 Requirement to hold an MMC.

An applicant for any endorsement in this part must also meet the requirements for the MMC on which the endorsement would appear. These requirements are set out in part 10 of this subchapter.

[USCG-2006-24371, 74 FR 11259, Mar. 16, 2009, as amended by USCG-2004-17914, 78 FR 77988, Dec. 24, 2013]

### § 13.107 Tankerman endorsement: General.

(a) If an applicant meets the requirements of subpart B of this part, the Coast Guard may endorse his or her MMC as tankerman-PIC with the appropriate cargo classification or classifications. A person holding this endorsement and meeting the other requirements of 33 CFR 155.710(a) may act as a PIC of a transfer of fuel oil, of a transfer of liquid cargo in bulk, or of cargo-tank cleaning on any tank vessel. That person may also act as a tankerman-engineer, provided that he or she also holds an engineer license or engineer endorsement.

(b) If an applicant meets the requirements of subpart C of this part, the Coast Guard may endorse his or her MMC as tankerman-PIC (barge) with the appropriate cargo classification or classifications. A person holding this endorsement and meeting the other requirements of 33 CFR 155.710(b) may act as a PIC of a transfer of liquid cargo in bulk only on a tank barge.

(c) If an applicant meets the requirements of subpart D of this part, the Coast Guard may endorse his or her MMC as tankerman-assistant with the appropriate cargo classification or classifications. No person holding this endorsement may act as a PIC of any transfer of fuel oil, of any transfer of liquid cargo in bulk, or of cargo-tank cleaning unless he or she also holds an

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endorsement authorizing service as PIC. He or she may, however, without being directly supervised by the PIC, perform duties relative to cargo and cargo-handling equipment assigned by the PIC of transfers of fuel oil, of transfers of liquid cargo in bulk, or of cargo-tank cleaning. When performing these duties, he or she shall maintain continuous two-way voice communications with the PIC.

(d) If an applicant meets the requirements of subpart E of this part, the Coast Guard may endorse his or her MMC as tankerman-engineer. No person holding this endorsement may act as a PIC or tankerman-assistant of any transfer of liquid cargo in bulk, or of cargo-tank cleaning unless he or she also holds an endorsement authorizing such service. A person holding this endorsement and acting in this capacity has the primary responsibility, on his or her self-propelled tank vessel carrying dangerous liquid (DL) or liquefied gas (LG), for maintaining both the cargo systems and equipment for transfer of liquid cargo in bulk. No person licensed or credentialed under part 11 of this chapter may serve as a chief engineer, first assistant engineer, or cargo engineer aboard an inspected self-propelled tank vessel when liquid cargo in bulk or cargo residue is carried unless he or she holds an endorsement as tankerman-engineer or equivalent.

(e) If an applicant meets the requirements of § 13.111 of this subpart, the Coast Guard may place on his or her MMC an endorsement as a tankerman-PIC restricted according to the definitions of “restricted tankerman endorsement” in § 10.107 of this subchapter.

(f) This section does not apply to any person solely by reason of his or her involvement in bunkering or fueling.

[CGD 79-116, 60 FR 17142, Apr. 4, 1995, as amended by CGD 79-116, 62 FR 25127, May 8, 1997; USCG-2008-0906, 73 FR 56508, Sept. 29, 2008; USCG-2006-24371, 74 FR 11259, Mar. 16, 2009; USCG-2004-17914, 78 FR 77988, Dec. 24, 2013]

### § 13.109 Tankerman endorsement: Authorized cargoes.

(a) Each tankerman endorsement described in § 13.107 will expressly limit

the holder's service under it to transfers involving one or both of the following cargo classifications:

- (1) Dangerous liquid (DL).
- (2) Liquefied gas (LG).

(b) No tankerman endorsement is necessary to transfer the liquid cargoes in bulk listed in table 2 of part 153 of this chapter when those cargoes are carried on barges not certified for ocean service.

[CGD 79-116, 60 FR 17142, Apr. 4, 1995, as amended by USCG-2008-0906, 73 FR 56508, Sept. 29, 2008; USCG-2006-24371, 74 FR 11259, Mar. 16, 2009; USCG-2004-17914, 78 FR 77988, Dec. 24, 2013]

#### **§ 13.111 Restricted tankerman endorsement.**

(a) An applicant may apply for a tankerman endorsement restricted to specific cargoes, specific vessels, or groups of vessels (such as uninspected towing vessels and Oil Spill Response Vessels), specific facilities, and/or specific employers. The Coast Guard will evaluate each application and may modify the applicable requirements for the endorsement, allowing for special circumstances and for whichever restrictions the endorsement will state.

(b) To qualify for a restricted tankerman-PIC endorsement, an applicant must meet §§13.201 (excluding paragraph (c)(4)), 13.203, and 13.205 of this part.

(1) Twenty-five percent of the service described in §13.203(a) of this part must have occurred within the past 5 years.

(2) Two of the transfers described in §13.203(b) of this part must have occurred within the past 5 years.

(c) To qualify for a restricted tankerman-PIC (barge) endorsement, an applicant must meet §§13.301 (excluding paragraph (c)(4)), 13.303, and 13.305 of this part.

(1) Twenty-five percent of the service described in §13.303(a) of this part must have occurred within the past 5 years.

(2) Two of the transfers described in §13.303(b) of this part must have occurred within the past 5 years.

(d) To qualify for a restricted tankerman-PIC (barge) endorsement restricted to a tank-cleaning and gas-freeing facility, an applicant must—

- (1) Be at least 18 years old;

(2) Apply on a form provided by the Coast Guard;

(3) Present evidence of passing a physical and medical examination according to §13.125 of this part;

(4) Present evidence in the form of a letter, which must be dated within the 5 years prior to the application for the credential, on company letterhead from the operator of the facility stating that OSHA considers the applicant a “competent person (as designated under 29 CFR 1915.7)” for the facility and that the applicant has the knowledge necessary to supervise tank-cleaning and gas-freeing; and

(5) Be capable of speaking and understanding, in English, all instructions needed to commence, conduct, and complete a transfer of cargo, and of reading and understanding the English found in the Declaration of Inspection, vessel response plans, and Cargo Information Cards.

(e) The restricted tankerman-PIC (barge) endorsement restricted to a tank-cleaning and gas-freeing facility is valid only while the applicant is employed by the operator of the facility that provided the letter of service required by paragraph (d)(4) of this section, and this and any other appropriate restrictions will appear in the endorsement.

(f) A restricted tankerman-PIC endorsement limited to operation on vessels inside the boundary line is not valid where STCW certification is required.

[USCG-2004-17914, 78 FR 77988, Dec. 24, 2013]

#### **§ 13.113 [Reserved]**

#### **§ 13.115 Chemical testing requirements.**

Each applicant for an original tankerman endorsement must provide evidence of having passed a chemical test for dangerous drugs or of qualifying for an exemption from testing in §16.220 of this chapter as specified in §10.225(b)(5) of this subchapter.

[USCG-2004-17914, 78 FR 77988, Dec. 24, 2013]

#### **§ 13.117 Re-issuance of expired tankerman endorsements.**

Whenever an applicant applies for re-issuance of an endorsement as any tankerman rating more than 12 months

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after expiration of the previous endorsement, the applicant must meet the requirements for an original endorsement.

[USCG-2004-17914, 78 FR 77988, Dec. 24, 2013]

#### § 13.119 Expiration of endorsement.

An endorsement as tankerman is valid for the duration of the merchant mariner's document or merchant mariner credential on which the endorsement appears.

[CGD 79-116, 60 FR 17142, Apr. 4, 1995, as amended by USCG-2006-24371, 74 FR 11259, Mar. 16, 2009]

#### § 13.120 Renewal of tankerman endorsement.

An applicant seeking renewal of a tankerman endorsement or an STCW endorsement valid for service on tank vessels must meet the requirements of § 10.227 of this subchapter, except § 10.227(e)(1), for renewing an MMC and meet the following additional requirements:

(a) For endorsements as tankerman-PIC, advanced oil and chemical tanker cargo operation; and advanced liquefied gas tanker cargo operations, present evidence of—

(1) At least 90 days of service during the preceding 5 years onboard a tank vessel for which the endorsement is valid, performing duties appropriate to the tankerman endorsement held; and participation in at least two transfers of liquid cargo in bulk of the type for which the endorsement is valid within the preceding 5 years; or

(2) Completion of an approved course for Tankship: Dangerous Liquids or Tankship: Liquefied Gases, appropriate for the endorsement to be renewed, within the previous 5 years.

(b) For endorsements as tankerman-assistant, basic oil and chemical tanker cargo operation; and basic liquefied gas tanker cargo operations, present evidence of—

(1) At least 90 days of service during the preceding 5 years onboard a tank vessel for which the endorsement is valid, performing duties appropriate to the tankerman endorsement held; or

(2) Completion of an approved course for Tankship: Dangerous Liquids or Tankship: Liquefied Gases, appropriate

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for the endorsement to be renewed, within the previous 5 years.

(c) For endorsements as tankerman-PIC (Barge), present evidence of—

(1) Participation in at least two transfers of liquid cargo in bulk of the type for which the endorsement is valid, within the preceding 5 years; or

(2) Completion of a course approved for this purpose, appropriate for the endorsement to be renewed, within the previous 5 years.

(d) For endorsements as tankerman-engineer, present evidence of—

(1) At least 90 days of service during the preceding 5 years onboard a tank vessel for which the endorsement is valid, performing duties appropriate to the tankerman endorsement held; or

(2) Completion of a course approved for this purpose, appropriate for the endorsement to be renewed, within the previous 5 years.

[USCG-2004-17914, 78 FR 77989, Dec. 24, 2013]

#### § 13.121 Courses for tankerman endorsements.

(a) This section prescribes the requirements, beyond those in §§ 10.302 and 10.304 of this subchapter, applicable to schools offering courses required for a tankerman endorsement and courses that are a substitute for experience with transfers of liquid cargo in bulk required for the endorsement.

(b) A course that uses simulated transfers to train students in loading and discharging tank vessels may replace up to two loadings and two discharges, one commencement and one completion of loading, and one commencement and one completion of discharge required for a tankerman-PIC or tankerman-PIC (barge) endorsement. The request for approval of the course must specify those segments of a transfer that the course will simulate. The letter from the Coast Guard approving the course will state the number and kind of segments that the course will replace.

(c) The liquid cargo course required for an endorsement as—

(1) Tankerman-PIC DL is Tankship: Dangerous Liquids;

(2) Tankerman-PIC (barge) DL is Tank Barge: Dangerous Liquids;

(3) Tankerman-PIC LG is Tankship: Liquefied Gases;

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(4) Tankerman-PIC (barge) LG is Tank Barge: Liquefied Gases;

(5) Tankerman assistant DL is Tankship: Familiarization (Dangerous Liquids);

(6) Tankerman assistant LG is Tankship: Familiarization (Liquefied Gases);

(7) Tankerman-engineer DL is Tankship: Dangerous Liquids; and

(8) Tankerman-engineer LG is Tankship: Liquefied Gases.

(d) The firefighting course required for an endorsement as—

(1) Tankerman-PIC (barge) is Tank Barge: Firefighting or basic firefighting; and

(2) Tankerman-PIC, tankerman-assistant, and tankerman-engineer is basic firefighting.

(e) The Coast Guard will evaluate and approve the curricula of courses to ensure adequate coverage of the required subjects. Training may employ classroom instruction, demonstrations, or simulated or actual operations.

(1) The course curricula for Tankship Familiarization must consist of the topics identified in Table 1 to § 13.121(e) of this subpart.

(2) The course curricula for tankerman-PIC, tankerman-PIC (barge), and tankerman-engineer endorsements must consist of the topics identified in Table 2 to § 13.121(e) of this subpart.

(3) The course curricula for firefighting courses must consist of the topics identified in Table 3 to § 13.121(e) of this subpart.

TABLE 1 TO § 13.121(e)

Tankship familiarization topics	1	2
Basic knowledge of tankers:		
types of oil and chemical vessels or liquefied gas tanker vessels .....	X	X
general arrangement and construction .....	X	X
Basic knowledge of cargo operations:		
piping systems and valves .....	X	X
cargo pumps and cargo handling equipment .....	X	X
loading and unloading and care in transit .....	X	X
tank cleaning, purging, gas-freeing and inerting .....	X	X
Basic knowledge of the physical properties of oil and chemicals:		
pressure and temperature, including vapor pressure/temperature relationship .....	X	
types of electrostatic charge generation .....	X	
chemical symbols .....	X	
Basic knowledge of the physical properties of liquefied gases, including:		
properties and characteristics .....		X
pressure and temperature, including vapor pressure/temperature relationship .....		X
types of electrostatic charge generation .....		X
chemical symbols .....		X
Knowledge and understanding of tanker safety culture and safety management .....	X	X
Basic knowledge of the hazards associated with tanker operations, including:		
health hazards .....	X	X
environmental hazards .....	X	X
reactivity hazards .....	X	X
corrosion hazards .....	X	X
explosion and flammability hazards .....	X	X
sources of ignition .....	X	X
electrostatic hazards .....	X	X
toxicity hazards .....	X	X
vapor leaks and clouds .....	X	X
extremely low temperatures .....		X
pressure hazards .....		X
Basic knowledge of hazard controls:		
inerting, water padding, drying agents and monitoring techniques .....	X	X
anti-static measures .....	X	X
ventilation .....	X	X
segregation .....	X	X
cargo inhibition .....	X	X
importance of cargo compatibility .....	X	X
atmospheric control .....	X	X
gas testing .....	X	X
Understanding of information on a Material Safety Data Sheet (MSDS) .....	X	X
Function and proper use of gas-measuring instruments and similar equipment .....	X	X
Proper use of safety equipment and protective devices, including:		
breathing apparatus and tank-evacuating equipment .....	X	X
protective clothing and equipment .....	X	X
resuscitators .....	X	X
rescue and escape equipment .....	X	X

TABLE 1 TO § 13.121(e)—Continued

Tankship familiarization topics	1	2
Basic knowledge of safe working practices and procedures in accordance with legislation and industry guidelines and personal shipboard safety relevant to oil and chemical tankers, including:		
precautions to be taken when entering enclosed spaces .....	X	X
precautions to be taken before and during repair and maintenance work .....	X	X
safety measures for hot and cold work .....	X	X
electrical safety .....	X	X
ship/shore safety checklist .....	X	X
Basic knowledge of first aid with reference to a Material Safety Data Sheet (MSDS) .....	X	X
Basic knowledge of emergency procedures, including emergency shutdown .....	X	X
Basic knowledge of the effects of oil and chemical pollution on human and marine life .....	X	X
Basic knowledge of shipboard procedures to prevent pollution .....	X	X
Basic knowledge of measures to be taken in the event of spillage, including the need to:		
report relevant information to the responsible persons .....	X	X
assist in implementing shipboard spill-containment procedures .....	X	X
prevent brittle fracture .....		X

Column 1—Tankship familiarization (dangerous liquids).

Column 2—Tankship familiarization (liquefied gases).

TABLE 2 TO § 13.121(e)

Tankship and tank barge course topics	1	2	3	4
General characteristics, compatibility, reaction, firefighting procedures, and safety precautions for the cargoes of:				
Bulk liquids defined as Dangerous Liquids in 46 CFR Part 13 .....	X	X		
Bulk liquefied gases & their vapors defined as Liquefied Gases in 46 CFR Part 13 ....			X	X
Knowledge and understanding of the physical and chemical properties of oil and chemical cargoes .....	X			
Physical phenomena of liquefied gas, including:				
Basic concept .....			X	X
Compression and expansion .....			X	X
Mechanism of heat transfer .....			X	X
Potential hazards of liquefied gas, including:				
Chemical and physical properties .....			X	X
Combustion characteristics .....			X	X
Results of gas release to the atmosphere .....			X	X
Health hazards (skin contact, inhalation, and ingestion) .....			X	X
Control of flammability range with inert gas .....			X	X
Thermal stress in structure and piping of vessel .....			X	X
Cargo systems, including:				
Principles of containment systems .....	X	X	X	X
Construction, materials, coating, & insulation of cargo tanks .....			X	X
General arrangement of cargo tanks .....	X	X	X	X
Venting and vapor-control systems .....	X	X	X	X
Cargo-handling systems, including:				
Piping systems, valves, pumps, and expansion systems .....	X	X	X	X
Operating characteristics .....	X	X	X	X
Instrumentation systems, including:				
Cargo-level indicators .....	X	X	X	X
Gas-detecting systems .....	X		X	X
Temperature-monitoring systems, cargo .....	X		X	X
Temperature-monitoring systems, hull .....			X	X
Automatic-shutdown systems .....	X		X	X
Auxiliary systems, including:				
Ventilation, inerting .....	X	X	X	X
Valves, including:				
Quick-closing .....	X	X	X	X
Remote-control .....	X	X	X	X
Pneumatic .....	X	X	X	X
Excess-flow .....	X	X	X	X
Safety-relief .....	X	X	X	X
Pressure-vacuum .....	X	X	X	X
Heating-systems: cofferdams & ballast tanks .....			X	X
Operations connected with the loading and discharging of cargo, including:				
Lining up the cargo and vapor-control systems .....	X	X	X	X
Pre-transfer inspections and completion of the Declaration of Inspection .....	X	X	X	X
Hooking up of cargo hose, loading arms, and grounding-strap .....	X	X	X	X
Starting of liquid flow .....	X	X	X	X
Calculation of loading rates .....			X	
Discussion of loading .....	X	X	X	X

TABLE 2 TO § 13.121(e)—Continued

Tankship and tank barge course topics	1	2	3	4
Ballasting and deballasting .....	X	X	X	X
Topping off of the cargo tanks .....	X	X	X	X
Discussion of discharging .....	X	X	X	X
Stripping of the cargo tanks .....	X	X		
Monitoring of transfers .....	X	X	X	X
Gauging of cargo tanks .....	X	X	X	X
Disconnecting of cargo hoses or loading arms .....	X	X	X	X
Cargo-tank-cleaning procedures and precautions .....	X	X		
Slop arrangements .....	X			
Ship-to-ship transfers .....	X			
Operating procedures and sequence for:				
Inerting of cargo tanks and void spaces .....	X	X	X	X
Cooldown and warmup of cargo tanks .....			X	X
Gas-freeing .....	X	X	X	X
Loaded or ballasted voyages .....	X		X	
Testing of cargo-tank atmospheres for oxygen & cargo vapor .....	X	X	X	X
Stability and stress considerations connected with loading and discharging of cargo .....	X	X	X	X
Loadline, draft, and trim .....	X	X	X	X
Disposal of boil-off, including:				
System design .....			X	X
Safety features .....			X	X
Stability-letter requirements .....	X		X	
Emergency procedures, including notice to appropriate authorities, for:				
Fire .....	X	X	X	X
Collision .....	X	X	X	X
Grounding .....	X	X	X	X
Equipment failure .....	X	X	X	X
Leaks and spills .....	X	X	X	
Structural failure .....	X	X	X	X
Emergency discharge of cargo .....	X	X	X	X
Entering cargo tanks .....	X	X	X	X
Emergency shutdown of cargo-handling .....	X	X	X	X
Emergency systems for closing cargo tanks .....	X	X		
Rules & regulations (international and Federal, for all tank vessels) on conducting operations and preventing pollution .....	X	X	X	X
Pollution prevention, including:				
Procedures to prevent air and water pollution .....	X	X	X	X
Measures to take in event of spillage .....	X	X	X	X
Danger from drift of vapor cloud .....	X	X	X	X
Environmental protection equipment, including oil discharge monitoring equipment ....	X			
Terminology for tankships carrying oil and chemicals .....	X			
Terminology for tank barges carrying oil and chemicals .....		X		
Terminology for tankships carrying liquefied gases .....			X	
Terminology for tank barges carrying liquefied gases .....				X
Principles & procedures of crude-oil-washing (COW) systems, including:				
Purpose .....	X			
Equipment and design .....	X			
Operations .....	X			
Safety precautions .....	X			
Maintenance of plant and equipment .....	X			
Principles & procedures of the inert-gas systems (IGSs), including:				
Purpose .....	X		X	
Equipment and design .....	X		X	
Operations .....	X		X	
Safety precautions .....	X		X	
Maintenance of plant and equipment .....	X		X	
Principles & procedures of vapor-control systems, including:				
Purpose .....	X	X	X	X
Principles .....	X	X	X	X
Coast Guard regulations .....	X	X	X	X
Hazards .....	X	X	X	X
Active system components .....	X	X	X	X
Passive system components .....	X	X	X	X
Operating procedures, including:				
Testing and inspection requirements .....	X	X	X	X
Pre-transfer procedures .....	X	X	X	X
Connecting sequence .....	X	X	X	X
Start-up sequence .....	X	X	X	X
Normal operations .....	X	X	X	X
Loading and unloading plans .....	X			
Emergency procedures .....	X	X	X	X
Cargo-hazard-information systems .....	X	X	X	X

TABLE 2 TO § 13.121(e)—Continued

Tankship and tank barge course topics	1	2	3	4
Safe entry into confined spaces, including:				
Testing tank atmospheres for oxygen & hydrocarbon vapors .....	X	X		
Definition and hazards of confined spaces .....	X	X	X	X
Cargo tanks and pumprooms .....	X	X	X	X
Evaluation and assessment of risks and hazards .....	X	X	X	X
Safety precautions and procedures .....	X	X	X	X
Enclosed space rescue .....	X			
Personnel protective equipment (PPE) and clothing .....	X	X	X	X
Maintenance of PPE .....	X	X	X	X
Dangers of skin contact .....	X	X	X	X
Inhalation of vapors .....	X	X		
Electricity and static electricity—hazards and precautions .....	X	X	X	X
Emergency procedures .....	X	X	X	X
Federal regulations, national standards & industry guidelines .....	X	X	X	X
Inspections by marine chemists & competent persons, including hot-work permits & procedures .....	X	X	X	X
Vessel response plans:				
Purpose, content, and location of information .....	X	X	X	X
Procedures for notice and mitigation of spills .....	X	X	X	X
Geographic-specific appendices .....	X	X	X	X
Vessel-specific appendices .....	X	X	X	X
Emergency-action checklist .....	X	X	X	X

Column 1—Tankship: Dangerous Liquids.  
Column 2—Tank Barge: Dangerous Liquids.  
Column 3—Tankship: Liquefied Gases.  
Column 4—Tank Barge: Liquefied Gases.

TABLE 3 TO § 13.121(e)

Firefighting course topics	1	2
Elements of fire (Fire triangle):		
Fuel .....	X	X
Source of ignition .....	X	X
Oxygen .....	X	X
Ignition sources (general):		
Chemical .....		X
Biological .....		X
Physical .....		X
Ignition sources applicable to barges .....	X	
Definitions of flammability and combustibility:		
Flammability .....	X	X
Ignition point .....	X	X
Burning temperature .....	X	X
Burning speed .....		X
Thermal value .....		X
Lower flammable limit .....	X	X
Upper flammable limit .....	X	X
Flammable range .....	X	X
Inerting .....		X
Static electricity .....	X	X
Flash point .....	X	X
Auto-ignition .....	X	X
Spread of fire:		
By radiation .....	X	X
By convection .....	X	X
By conduction .....	X	X
Reactivity .....	X	X
Fire classifications and applicable extinguishing agents .....	X	X
Main causes of fires:		
Oil leakage .....	X	X
Smoking .....	X	X
Overheating pumps .....	X	X
Galley appliances .....		X
Spontaneous ignition .....	X	X
Hot work .....	X	X
Electrical apparatus .....		X
Reaction, self-heating, and auto-ignition .....		X
Fire prevention:		
General .....	X	X
Fire hazards of DL and LG .....	X	X
Fire detection:		

TABLE 3 TO § 13.121(e)—Continued

Firefighting course topics	1	2
Fire- and smoke-detection systems .....		X
Automatic fire alarms .....		X
Firefighting equipment:		
Fire mains, hydrants .....		X
International shore-connection .....		X
Smothering-installations, carbon dioxide (CO <sub>2</sub> ), foam * * * .....		X
Pressure-water spray system in special-category spaces .....		X
Automatic sprinkler system .....		X
Emergency fire pump, emergency generator .....		X
Chemical-powder applicants .....		X
General outline of required and mobile apparatus .....		X
Fireman's outfit, personal equipment .....		X
Breathing apparatus .....		X
Resuscitation apparatus .....		X
Smoke helmet or mask .....		X
Fireproof life-line and harness .....		X
Fire hose, nozzles, connections, and fire axes .....		X
Fire blankets .....		X
Portable fire extinguishers .....	X	X
Limitations of portable and semiportable extinguishers .....	X	X
Emergency procedures:		
Arrangements:		
Escape routes .....	X	X
Means of gas-freeing tanks .....	X	X
Class A, B, and C divisions .....		X
Inert-gas system .....		X
Ship firefighting organization:		
General alarms .....		X
Fire-control plans, muster stations, and duties .....		X
Communications .....		X
Periodic shipboard drills .....		X
Patrol system .....		X
Basic firefighting techniques:		
Sounding alarm .....	X	X
Locating and isolating fires .....	X	X
Stopping leakage of cargo .....	X	X
Jettisoning .....		X
Inhibiting .....		X
Cooling .....		X
Smothering .....		X
Sizing up situation .....	X	
Locating information on cargo .....	X	
Extinguishing .....	X	X
Extinguishing with portable units .....	X	X
Setting reflash watch .....	X	X
Using additional personnel .....	X	X
Firefighting extinguishing-agents:		
Water (solid jet, spray, fog, and flooding) .....		X
Foam (high, medium and low expansion) .....		X
Carbon dioxide (CO <sub>2</sub> ) .....	X	X
Aqueous-film-forming foam (AFFF) .....		X
Dry chemicals .....	X	X
Use of extinguisher on:		
Flammable and combustible liquids .....	X	X
Manifold-flange fire .....	X	X
Drip-pan fire .....	X	X
Pump fire .....	X	X
Drills for typical fires on barges .....	X	
Field exercises:		
Extinguish small fires using portable extinguishers:		
Electrical .....	X	X
Manifold-flange .....	X	X
Drip-pan .....	X	X
Pump .....	X	X
Use self-contained breathing apparatus (SCBA) .....		X
Extinguish extensive fires with water .....		X
Extinguish fires with foam, or chemical .....		X
Fight fire in smoke-filled enclosed space wearing SCBA .....		X
Extinguish fire with water fog in an enclosed space with heavy smoke .....		X
Extinguish oil fire with fog applicator and spray nozzles, dry-chemical, or foam applicators .....		X
Effect a rescue in a smoke-filled space while wearing breathing apparatus .....		X

Column 1—tankerman-PIC (barge).

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Column 2—tankerman-PIC, tankerman-engineer, and tankerman-assistant.

[USCG–2004–17914, 78 FR 77989, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58279, Sept. 29, 2014]

### § 13.123 Recency of service or experience for original tankerman endorsement.

An applicant for an original tankerman endorsement in subpart B, C, D, or E of this part must have obtained at least 25 percent of the qualifying service and, if the endorsement requires transfers, at least two of the qualifying transfers, within 5 years of the date of application.

[CGD 79–116, 60 FR 17142, Apr. 4, 1995, as amended by USCG–2004–17914, 78 FR 77994, Dec. 24, 2013]

### § 13.125 Physical and medical requirements.

Each applicant for an original tankerman endorsement must meet the physical requirements of part 10, subpart C, of this chapter.

[CGD 79–116, 60 FR 17142, Apr. 4, 1995, as amended by USCG–2006–24371, 74 FR 11259, Mar. 16, 2009; USCG–2004–17914, 78 FR 77994, Dec. 24, 2013]

### § 13.127 Service: General.

(a) A service letter must be signed by the owner, operator, master, or chief engineer of the vessel and must specify the following:

(1) The name of the vessel, official number for the vessel, and date of service for each vessel.

(2) For endorsements as tankerman-PIC, tankerman-PIC (barge), and tankerman-assistant, the classification of cargo (DL, LG, or, for a restricted endorsement, a specific product) handled while the applicant accumulated the service.

(3) The dates, the numbers and kinds of transfers the applicants have participated in, the ports or terminals, if applicable, and the number of transfers that involved commencement or completion of loading or discharge.

(4) For endorsements as tankerman-PIC or tankerman-PIC (barge), that the applicant has demonstrated to the satisfaction of the signer that he or she is fully capable of supervising transfers of liquid cargo, including—

- (i) Pre-transfer inspection;
- (ii) Pre-transfer conference and execution of the Declaration of Inspection;
- (iii) Connection of cargo hoses or loading-arms;
- (iv) Line-up of the cargo system for loading and discharge;
- (v) Start of liquid flow during loading;
- (vi) Start of cargo pump and increase of pressure to normal discharge pressure;
- (vii) Calculation of loading-rates;
- (viii) Monitoring;
- (ix) Topping-off of cargo tanks during loading;
- (x) Stripping of cargo tanks;
- (xi) Ballasting and deballasting, if appropriate;
- (xii) Disconnection of the cargo hoses or loading-arms; and
- (xiii) Securing of cargo systems.

(5) For endorsements as tankerman-engineer, that the applicant has demonstrated to the satisfaction of the signer that he or she is fully capable of supervising transfers of fuel oil, including—

- (i) Pre-transfer inspection;
- (ii) Pre-transfer conference and execution of the Declaration of Inspection;
- (iii) Connection of hoses or loading-arms;
- (iv) Line-up of the piping system for loading and transfer of fuel oil;
- (v) Start of liquid flow during loading;
- (vi) Calculation of loading rates;
- (vii) Monitoring;
- (viii) Topping-off of tanks during loading;
- (ix) Disconnection of the hoses or loading arms; and
- (x) Securing of fuel oil systems.

(b) In determining the numbers and kinds of transfers that the applicant has participated in under paragraph (a)(3) of this section, the following rules apply:

(1) A transfer must involve the loading or discharge from at least one of the vessel's cargo tanks to or from a shore facility or another vessel. A shift

of cargo from one tank to another tank is not a transfer for this purpose.

(2) Regardless of how long the transfer lasts beyond 4 hours, it counts as only one transfer.

(3) A transfer must include both a commencement and a completion.

(4) Regardless of how many tanks or products are being loaded or discharged at the same time, a person may receive credit for only one transfer, one loading, and one discharge conducted during each watch.

(5) Credit for a transfer during a watch of less than 4 hours accrues only if the watch includes either the connection and the commencement of transfer or the completion of transfer and the disconnection.

(6) Credit for a commencement of loading accrues only if the applicant participates in the pre-transfer inspection, the pre-transfer conference including execution of the Declaration of Inspection, the connection of hoses or loading-arms, the line-up of the system for the loading, the start of liquid flow, and the calculation of loading-rates, where applicable.

(7) Credit for a commencement of discharge accrues only if the applicant participates in the pre-transfer inspection, the pre-transfer conference including execution of the Declaration of Inspection, the connection of hoses or loading-arms, the line-up of the cargo

system for the discharge, the start of the pump or pumps and increase of pressure to normal pressure for discharge, and the monitoring of discharge rates.

(8) Credit for a completion of transfer, whether loading or discharge, accrues only if the applicant participates in the topping-off at the loading port, or in the stripping of cargo tanks and the commencement of ballasting, if required by the vessel's transfer procedures, at the discharge port.

(9) Personnel desiring credit for transfers during off-duty hours may satisfy requirements of competence through incremental training periods that include segments of transfers. The cumulative number of transfers must equal the minimum specified in §§13.203(b) or 13.303(b) of this subchapter.

(c) Service on Articulated Tug Barges (ATBs). Service on ATBs with an aggregate tonnage of 1,600 GRT or more will be creditable on a case-by-case basis and with prior authorization by the Coast Guard, provided the ATB equipment is comparable to tank vessel equipment. The Coast Guard may issue blanket authorizations for classes of ATBs.

[CGD 79-116, 60 FR 17142, Apr. 4, 1995, as amended by CGD 79-116, 62 FR 25133, May 8, 1997; USCG-2004-17914, 78 FR 77994, Dec. 24, 2013]

**§ 13.129 Quick-reference table for tankerman endorsements.**

Table 1 to § 13.129 provides a guide to the requirements for various tankerman endorsements. Provisions in the reference sections are controlling.

TABLE 1 TO § 13.129

Category	Minimum age	Physical required	Service	Recency of service	Proof of service	Firefighting	Cargo training	English language
Tankerman-PIC Subpart B .....	18; 13.201(a) .....	Yes; Part 10, subpart C ...	13.203 .....	13.123 .....	13.205 .....	13.201(c)(3) ...	13.201(c)(4) ...	13.201(d).
Tankerman-PIC (Barge) Subpart C ..	18; 13.301(a) .....	Yes; Part 10, subpart C ...	13.303 .....	13.123 .....	13.305 .....	13.301(c)(3) ...	13.301(c)(4) ...	13.301(d).
Tankerman-Assistant Subpart D ...	18; 13.401(a) .....	Yes; Part 10, subpart C ...	13.401(e)(2) ...	13.123 .....	13.405 .....	13.401(d) .....	13.401(e)(1) ...	13.401(f).
Tankerman-Engineer Subpart E ...	18; 13.501(a) .....	Yes; Part 10, subpart C ...	13.503 .....	13.123 .....	13.505 .....	13.501(c)(3) ...	13.501(c)(4) ...	13.501(d).
Restricted Tankerman-PIC .....	18; 13.111(b) .....	Yes; Part 10, subpart C ...	13.111(b) .....	13.111(b) .....	13.111(b) .....	13.111(b) .....	No .....	13.111(b).
Restricted Tankerman-PIC (Barge) ..	18; 13.111(c) .....	Yes; Part 10, subpart C ...	13.111(c) .....	13.111(c) .....	13.111(c) .....	13.111(c) .....	No .....	13.111(c).
Restricted Tankerman-PIC (Barge), Facility.	18; 13.111(d)(1) ...	Yes; Part 10, subpart C ...	13.111(d)(4) ...	No .....	13.111(d)(4) ...	No .....	No .....	13.111(d)(5).

[USCG-2004-17914, 78 FR 77995, Dec. 24, 2013]

### Subpart B—Requirements for Tankerman-PIC Endorsement

#### § 13.201 Original application for tankerman-PIC endorsement.

Each applicant for an original tankerman-PIC endorsement must—

- (a) Be at least 18 years old;
- (b) Apply on a form provided by the Coast Guard;
- (c) Present evidence of—
  - (1) Passing a physical and medical examination in accordance with § 13.125 of this part;
  - (2) Service on tankships in accordance with § 13.203 of this subpart;
  - (3) Completion of an approved fire-fighting course that provides training in the subjects listed in Table 1 to § 13.121(g) of this part completed within 5 years of the date of application for the endorsement, unless he or she has previously submitted such a certificate for a license, tankerman endorsement, or officer endorsement on an MMC; and
  - (4) Completion of an approved course for Tankship: Dangerous Liquids or Tankship: Liquefied Gases appropriate to the endorsement applied for within the previous 5 years. A course certificate used for original issuance or renewal of an endorsement cannot be used for a subsequent renewal of the same endorsement; and
- (d) Be capable of speaking and understanding, in English, all instructions needed to commence, conduct, and complete a transfer of cargo, and be capable of reading and understanding the English language found in the Declaration of Inspection, vessel response plans, and Material Safety Data Sheet.

[USCG–2004–17914, 78 FR 77995, Dec. 24, 2013]

#### § 13.203 Service requirements.

Each applicant for a tankerman-PIC endorsement for DL or LG must meet the requirements of either paragraphs (a) and (b) or paragraph (c) of this section.

(a) Each applicant must present evidence of—

- (1) At least 90 days of service as a deck officer or an engineering officer on one or more tankships or self-propelled tank vessels certified to carry

DL or LG appropriate to the endorsement applied for;

(2) At least 90 days of rating or cadet service on deck or in the engine department on one or more tankships or self-propelled tank vessels certified to carry DL or LG appropriate to the endorsement applied for; or

(3) A combination of the service in paragraphs (a) (1) and (2) of this section.

(b) Each applicant must present evidence of participation, under the supervision of a tankerman-PIC, in at least 10 transfers of liquid cargo in bulk of the classification desired on tankships or self-propelled tank vessels, including at least—

- (1) Five loadings and five discharges;
- (2) Two commencements of loading and two completions of loading; and
- (3) Two commencements of discharge and two completions of discharge.

(c) Each applicant already holding an MMD or MMC endorsed tankerman-PIC for DL and seeking an endorsement for LG, or the converse, must—

- (1) Provide evidence of at least half the service required by paragraph (a) of this section; and
- (2) Comply with paragraph (b) of this section, except that he or she need provide evidence of only three loadings and three discharges along with evidence of compliance with paragraphs (b)(2) and (3) of this section.

[CGD 79–116, 60 FR 17142, Apr. 4, 1995, as amended by CGD 79–116, 62 FR 25134, May 8, 1997; USCG–2006–24371, 74 FR 11259, Mar. 16, 2009; USCG–2004–17914, 78 FR 77995, Dec. 24, 2013]

#### § 13.205 Proof of service for tankerman-PIC endorsement.

Proof of service must be provided in a letter on company letterhead from the owner, operator, or master of the vessel on which the applicant obtained the service. The letter must contain the information described in § 13.127(a).

[CGD 79–116, 60 FR 17142, Apr. 4, 1995, as amended by USCG–2004–17914, 78 FR 77995, Dec. 24, 2013]

**Subpart C—Requirements for Tankerman-PIC (Barge) Endorsement**

**§ 13.301 Original application for tankerman-PIC (barge) endorsement.**

Each applicant for a tankerman-PIC (barge) endorsement must—

- (a) Be at least 18 years old;
- (b) Apply on a form provided by the Coast Guard;
- (c) Present evidence of—
  - (1) Passing a physical and medical examination according to § 13.125 of this part;
  - (2) Service on tank vessels in accordance with § 13.303 of this subpart;
  - (3) Completion of an approved Tank Barge: Firefighting course providing training in the subjects identified in Table 1 to § 13.121(g) of this part completed within 5 years of the date of application for the endorsement, unless he or she has previously submitted such a certificate for a license, tankerman endorsement, or officer endorsement on an MMC; and
  - (4) Completion of an approved Tank Barge: Dangerous Liquids or Tank Barge: Liquefied Gases course appropriate for the endorsement applied for within the previous 5 years. A course certificate used for original issuance or renewal of an endorsement cannot be used for a subsequent renewal of the same endorsement; and
- (d) Be capable of speaking, and understanding, in English, all instructions needed to commence, conduct, and complete a transfer of cargo, and be capable of reading and understanding the English language found in the Declaration of Inspection, vessel response plans, and Material Safety Data Sheet.

[USCG–2004–17914, 78 FR 77995, Dec. 24, 2013]

**§ 13.303 Service requirements.**

Each applicant for a tankerman-PIC (barge) endorsement for DL or LG must meet the requirements of either paragraphs (a) and (b) or paragraph (c) of this section.

- (a) Each applicant must present evidence of—

- (1) At least 60 days of service, whether by shore-based or by vessel-based personnel, on one or more tank vessels certified to carry DL or LG appropriate to the endorsement applied for; or

- (2) At least 6 months of closely related service directly involved with tank barges appropriate to the endorsement applied for; and

- (b) Participation, under the supervision of a tankerman-PIC or tankerman-PIC (barge), in at least 10 transfers of liquid cargo in bulk of the classification desired on any tank vessel, including at least—

- (1) Five loadings and five discharges;
- (2) Two commencements of loading and two completions of loading; and
- (3) Two commencements of discharge and two completions of discharge.

- (c) Each applicant already holding an MMD or MMC endorsed tankerman-PIC (barge) for DL and seeking an endorsement for LG, or the converse, must—

- (1) Provide evidence of at least half the service required by paragraph (a) of this section; and

- (2) Comply with paragraph (b) of this section, except that he or she need provide evidence of only three loadings and three discharges along with evidence of compliance with paragraphs (b)(2) and (3) of this section.

[CGD 79–116, 60 FR 17142, Apr. 4, 1995, as amended by CGD 79–116, 62 FR 25134, May 8, 1997; USCG–2006–24371, 74 FR 11260, Mar. 16, 2009; USCG–2004–17914, 78 FR 77996, Dec. 24, 2013]

**§ 13.305 Proof of service for tankerman-PIC (barge).**

Proof of service must be provided in a letter on company letterhead from the owner or operator of a terminal; the owner or operator of a tank barge; the owner, operator, or master of a tank vessel; or the employer of shore-based tankermen. The letter must contain the information required by § 13.127(a), excluding paragraph (a)(4)(vii).

[CGD 79–116, 62 FR 25134, May 8, 1997, as amended by USCG–2004–17914, 78 FR 77996, Dec. 24, 2013]

### Subpart D—Requirements for Tankerman-Assistant Endorsement

#### § 13.401 Original application for tankerman-assistant endorsement.

Each applicant for a tankerman-assistant endorsement must—

- (a) Be at least 18 years old;
- (b) Apply on a form provided by the Coast Guard;
- (c) Present evidence of passing a physical and medical examination according to § 13.125 of this part;
- (d) Present evidence of completion of an approved firefighting course providing training in the subjects identified in Table 1 to § 13.121(g) of this part completed within 5 years of the date of application for the endorsement, unless he or she has previously submitted such a certificate for a license, tankerman endorsement, or officer endorsement on an MMC;
- (e) Present evidence of either—
  - (1) Completion of an approved Tankship Familiarization course providing training in the subjects identified in Table 1 to § 13.121(e) of this part within the previous 5 years. A course certificate used for original issuance or renewal of an endorsement cannot be used for a subsequent renewal of the same endorsement; or
  - (2) At least 90 days of deck service on tankships or self-propelled tank vessels certified to carry DL or LG appropriate to the endorsement applied for and successfully complete a professional examination for the topics identified in Table 1 to § 13.121(e) of this part; and
- (f) Be capable of speaking and understanding, in English, all instructions needed to commence, conduct, and complete a transfer of cargo.

[USCG-2004-17914, 78 FR 77996, Dec. 24, 2013]

#### § 13.403 Service requirements.

- (a) Each applicant already holding an MMD or MMC endorsed tankerman-assistant for DL and seeking one for LG, or the converse, must—
  - (1) Provide evidence of at least half the service required in § 13.401(e)(2) of this subpart and successfully complete a professional examination for the topics identified in Table 1 to § 13.121(e) of this part appropriate to the endorsement applied for; or

- (2) Complete a course in DL or LG appropriate to the endorsement applied for as prescribed in § 13.401(e)(1) of this subpart.

(b) [Reserved]

[USCG-2004-17914, 78 FR 77996, Dec. 24, 2013]

#### § 13.405 Proof of service for tankerman-assistant endorsement.

Service must be proved by either—

- (a) A letter on company letterhead from the owner, operator, or master of a tankship or self-propelled tank vessel. The letter must specify—
  - (1) The name of the vessel(s), the applicable dates, and the port(s) or terminal(s);
  - (2) The classification of cargo (DL or LG) carried while the applicant accumulated the service;
  - (3) The number of days of deck service the applicant accumulated on the tankship or self-propelled tank vessel; and
  - (4) That the applicant has demonstrated an understanding of cargo transfer and a sense of responsibility that, in the opinion of the signer, will allow the applicant to safely carry out duties respecting cargo transfer and transfer equipment assigned by the PIC of the transfer without direct supervision by the PIC; or
- (b) Certificates of Discharge from tankships with the appropriate classification of cargo (DL, LG, or both); and a letter on company letterhead from the owner, operator, or master of one of the tankships or self-propelled tank vessels stating that he or she has demonstrated—

- (1) An understanding of cargo transfers; and
- (2) A sense of responsibility that, in the opinion of the signer, will allow him or her to safely carry out duties respecting cargo and its equipment assigned by the PIC of the transfer without direct supervision by the PIC.

[USCG-2004-17914, 78 FR 77996, Dec. 24, 2013]

### Subpart E—Requirements for Tankerman-Engineer Endorsement

#### § 13.501 Original application for tankerman-engineer endorsement.

Each applicant for a tankerman-engineer endorsement must—

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- (a) Be at least 18 years old;
- (b) Apply on a form provided by the Coast Guard;
- (c) Present evidence of—
  - (1) Passing a physical and medical examination according to §13.125 of this part;
  - (2) Service on tankships and self-propelled tank vessels in accordance with §13.503 of this subpart;
  - (3) Completion of an approved fire-fighting course providing training in the subjects identified in Table 1 to §13.121(g) of this part completed within 5 years of the date of application for the endorsement, unless he or she has previously submitted such a certificate for a license, tankerman endorsement, or officer endorsement on an MMC; and
  - (4) Completion of an approved Tankship course in dangerous liquids or liquefied gases, appropriate for the endorsement applied for within the previous 5 years. A course certificate used for original issuance or renewal of an endorsement cannot be used for a subsequent renewal of the same endorsement; and
- (d) Be capable of speaking and understanding, in English, all instructions needed to commence, conduct, and complete a transfer of cargo or fuel.

[USCG-2004-17914, 78 FR 77996, Dec. 24, 2013]

#### § 13.503 Service requirements.

- (a) Each applicant for a tankerman-engineer endorsement must present evidence of at least—
  - (1) 90 days of service as an engineering officer on tankships or self-propelled tank vessels certified to carry DL or LG appropriate to the endorsement applied for;
  - (2) 90 days of rating or cadet service in the engine department on tankships or self-propelled tank vessels certified to carry DL or LG appropriate to the endorsement applied for; or
  - (3) A combination of the service in paragraphs (a) (1) and (2) of this section.
- (b) Each applicant already holding an MMD or MMC endorsed as tankerman-engineer for DL and seeking an endorsement for LG, or the converse,

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must prove at least half the service required by paragraph (a) of this section.

[CGD 79-116, 60 FR 17142, Apr. 4, 1995, as amended by CGD 79-116, 62 FR 25134, May 8, 1997; USCG-2006-24371, 74 FR 11260, Mar. 16, 2009; USCG-2004-17914, 78 FR 77997, Dec. 24, 2013]

#### § 13.505 Proof of service for tankerman-engineer endorsement.

- (a) Service must be proved by a letter on company letterhead from the owner, operator, master, or chief engineer of a tankship or self-propelled tank vessel. The letter must specify—
  - (1) The classification of cargo (DL, LG, or both) carried while the applicant accumulated the service; and
  - (2) The number of days of officer, rating, and cadet service in the engine department on tankships or self-propelled tank vessels; or
- (b) Service must be proved by certificates of discharge from tankships or self-propelled tank vessels with the appropriate classification of cargo (DL, LG, or both).

[CGD 79-116, 60 FR 17142, Apr. 4, 1995, as amended by CGD 79-116, 62 FR 25135, May 8, 1997; USCG-2006-24371, 74 FR 11260, Mar. 16, 2009]

### Subpart F—Requirements for STCW Tankerman Endorsements

SOURCE: USCG-2004-17914, 78 FR 77997, Dec. 24, 2013, unless otherwise noted.

#### § 13.601 General.

- (a) When all tankerman endorsements are issued, renewed, or otherwise modified, the Coast Guard will determine, upon request, whether the applicant meets the requirements for an STCW tankerman endorsement for service on seagoing vessels. If the applicant is qualified, the Coast Guard will issue the appropriate endorsement. An applicant for any STCW endorsement must hold the appropriate national endorsement unless otherwise specified.
- (b) Applicants for an STCW tankerman endorsement must—
  - (1) Meet the training and service requirements for the endorsement sought; and
  - (2) Meet the appropriate standard of competence identified in the STCW

Code (incorporated by reference, see § 13.103 of this part).

(c) The Coast Guard will accept the following as proof of meeting the standards of competence:

(1) In-service experience: Documentation of successful completion of assessments, approved or accepted by the Coast Guard, and signed by a qualified assessor, deck or engineering, as appropriate.

(2) Training ship experience: Documentation of successful completion of an approved training program involving formal training and assessment on-board a school ship.

(3) Simulator training: Documentation of successful completion of training and assessment from a Coast Guard-approved course involving maritime simulation.

(4) Training program: Documentation of successful completion of an approved training program involving formal training and assessments.

(d) The Coast Guard will publish guidelines that should be used to document successful demonstrations of competence. Organizations may develop alternative assessment documentation for demonstrations of competence; however, such documentation must be approved by the Coast Guard prior to its use and submittal with an application.

**§ 13.603 Requirements to qualify for an STCW endorsement for advanced oil tanker cargo operations.**

(a) Every applicant for an endorsement in advanced oil tanker cargo operations must—

(1) Qualify for a national endorsement as tankerman-PIC dangerous liquid;

(2) Meet the standards of competence identified in Table A-V/1-1-2 of the STCW Code (incorporated by reference, see § 13.103 of this part); and

(3) Provide evidence of 90 days of sea service onboard oil tankers. The Coast Guard will accept service submitted to qualify for a national endorsement as required in § 13.203 of this part, provided that the service was on oil tankers.

(b) Applicants may qualify for an endorsement in advanced oil tanker cargo operations with a limitation to non-

self-propelled vessels. To qualify for this endorsement, an applicant must—

(1) Hold a national endorsement as tankerman-PIC (barge) dangerous liquids;

(2) Provide evidence of meeting the standards of competence identified in Table A-V/1-1-2 of the STCW Code; and

(3) Provide evidence of at least 90 days of service, whether shore-based or vessel-based, on one or more oil tankers. The Coast Guard will accept service submitted to qualify for a national endorsement required in § 13.303 of this part, provided that the service was on oil tankers.

(c) Applicants may qualify for an endorsement in advanced oil tanker cargo operations with a limitation to maintenance and repair of cargo equipment. To qualify for this endorsement, an applicant must—

(1) Qualify for a national endorsement as tankerman-engineer;

(2) Provide evidence of meeting the standards of competence identified in Table A-V/1-1-2 of the STCW Code applicable to maintenance and repair of cargo equipment; and

(3) Provide evidence of—

(i) At least 90 days of service as an engineering officer on oil tankers;

(ii) At least 90 days of rating or cadet service on deck or in the engine department on oil tankers; or

(iii) A combination of the service in paragraphs (c)(3)(i) and (c)(3)(ii) of this section.

(d) Applicants holding an endorsement in advanced chemical tanker cargo operations or advanced liquefied gas tanker cargo operations may qualify for an endorsement in advanced oil tanker cargo operations by completing, in a supernumerary capacity, an approved training program onboard oil tankers. The program must be at least 1 month and include at least three loading and three discharge operations.

(e) *Grandfathering.* Seafarers holding valid tankerman-PIC dangerous liquid, tankerman-PIC (barge) dangerous liquid, or tankerman-engineer endorsements issued prior to March 24, 2014, will be issued STCW endorsements for advanced oil and chemical tanker cargo operations, with any appropriate limitations, without meeting the requirements of this section. Seafarers

holding an endorsement as tankerman-PIC (barge) dangerous liquid, and holding an advanced oil tanker cargo operations endorsement issued on or before March 24, 2014, will be limited to non-self-propelled vessels. Seafarers holding an endorsement as tankerman-engineer, and holding an advanced oil tanker cargo operations endorsement issued on or before March 24, 2014, will be limited to maintenance and repair of cargo equipment. After March 24, 2014, all seafarers applying for an original endorsement in advanced oil tanker cargo operations must meet the requirements of this section.

**§ 13.605 Requirements to qualify for an STCW endorsement for advanced chemical tanker cargo operations.**

(a) Every applicant for an endorsement in advanced chemical tanker cargo operations must:

(1) Qualify for a national endorsement as tankerman-PIC dangerous liquid;

(2) Meet the standards of competence identified in Table A-V/1-1-3 of the STCW Code (incorporated by reference, see § 13.103 of this part); and

(3) Provide evidence of 90 days of sea service onboard chemical tankers. The Coast Guard will accept service submitted to qualify for a national endorsement as required in § 13.203 of this part, provided that the service was on chemical tankers.

(b) Applicants may qualify for an endorsement in advanced chemical tanker cargo operations with a limitation to non-self-propelled vessels. To qualify for this endorsement, an applicant must:

(1) Qualify for a national endorsement as tankerman-PIC (barge) dangerous liquid;

(2) Provide evidence of meeting the standards of competence identified in Table A-V/1-1-3 of the STCW Code; and

(3) Provide evidence of at least 90 days of service, whether shore-based or vessel-based, on chemical tankers. The Coast Guard will accept service submitted to qualify for a national endorsement as required in § 13.303 of this part, provided that the service was on chemical tankers.

(c) Applicants may qualify for an endorsement in advanced chemical tank-

er cargo operations with a limitation to maintenance and repair of cargo equipment. To qualify for this endorsement, an applicant must:

(1) Qualify for a national endorsement as tankerman-engineer;

(2) Provide evidence of meeting the standards of competence identified in Table A-V/1-1-3 of the STCW Code applicable to maintenance and repair of cargo equipment; and

(3) Provide evidence of—

(i) At least 90 days of service as an engineering officer on chemical tankers;

(ii) At least 90 days of rating or cadet service on deck or in the engine department on chemical tankers; or

(iii) A combination of the service in paragraphs (c)(3)(i) and (c)(3)(ii) of this section.

(d) Applicants holding an endorsement in advanced oil tanker cargo operations or advanced liquefied gas tanker cargo operations may qualify for an endorsement in advanced chemical tanker cargo operations by completing, in a supernumerary capacity, an approved training program onboard chemical tankers. The program must be at least 1 month and include at least three loading and three discharge operations.

(e) *Grandfathering.* Seafarers holding valid tankerman-PIC dangerous liquid, tankerman-PIC (barge) dangerous liquid, or tankerman-engineer endorsements issued prior to March 24, 2014 will be issued STCW endorsements for advanced oil and chemical tanker cargo operations, with any appropriate limitations, without meeting the requirements of this section. Seafarers holding an endorsement as tankerman-PIC (barge) dangerous liquid, and holding an advanced chemical tanker cargo operations endorsement issued on or before March 24, 2014, will be limited to non-self-propelled vessels. Seafarers holding an endorsement as tankerman-engineer, and holding an advanced chemical tanker cargo operations endorsement issued on or before March 24, 2014, will be limited to maintenance and repair of cargo equipment. After March 24, 2014, all seafarers applying

for an original endorsement in advanced chemical tanker cargo operations must meet the requirements of this section.

**§ 13.607 Requirements to qualify for an STCW endorsement for advanced liquefied gas tanker cargo operations.**

(a) Every applicant for an endorsement in advanced liquefied gas tanker cargo operations must:

- (1) Qualify for a national endorsement as tankerman-PIC liquefied gas;
- (2) Meet the standards of competence identified in Tables A-V/1-2-2 of the STCW Code (incorporated by reference, see § 13.103 of this part); and
- (3) Provide evidence of 90 days of service on liquefied gas tankers. The Coast Guard will accept service submitted to qualify for a national endorsement as required in § 13.203 of this part, provided that the service was on liquefied gas tankers.

(b) Applicants may qualify for an endorsement in advanced liquefied gas tanker cargo operations with a limitation to non-self-propelled vessels. To qualify for this endorsement, an applicant must:

- (1) Qualify for a national endorsement as tankerman-PIC (barge) liquefied gas;
- (2) Provide evidence of meeting the standards of competence identified in Table A-V/1-2-2 of the STCW Code; and
- (3) Provide evidence of at least 90 days of service, whether shore-based or vessel-based, on liquefied gas tankers. The Coast Guard will accept service submitted to qualify for a national endorsement as required in § 13.303 of this part, provided that the service was on liquefied gas tankers.

(c) Applicants may qualify for an endorsement in advanced liquefied gas tanker cargo operations with a limitation to maintenance and repair of cargo equipment. To qualify for this endorsement, an applicant must:

- (1) Qualify for a national endorsement as tankerman-engineer;
- (2) Provide evidence of meeting the standards of competence identified in Table A-V/1-2-2 of the STCW Code applicable to maintenance and repair of cargo equipment; and
- (3) Provide evidence of—

(i) At least 90 days of service as an engineering officer on liquefied gas tankers;

(ii) At least 90 days of rating or cadet service on deck or in the engine department on liquefied gas tankers; or

(iii) A combination of the service in paragraphs (c)(3)(i) and (c)(3)(ii) of this section.

(d) Applicants holding an endorsement in advanced oil tanker cargo operations or advanced chemical tanker cargo operations may qualify for an endorsement in advanced liquefied gas tanker cargo operations by completing, in a supernumerary capacity, an approved training program onboard liquefied gas tankers. The program must be at least 1 month and include at least three loading and three discharge operations.

(e) *Grandfathering.* Seafarers holding valid tankerman-PIC liquefied gas, tankerman-PIC (barge) liquefied gas, or tankerman-engineer endorsements issued prior to March 24, 2014, will be issued an STCW endorsement for advanced liquefied gas tanker cargo operations, with any appropriate limitations, without meeting the requirements of paragraph (a) of this section. Seafarers holding an endorsement as tankerman-PIC (barge) liquefied gas, and holding an advanced liquefied gas tanker cargo operations endorsement issued on or before March 24, 2014, will be limited to non-self-propelled vessels. Seafarers holding an endorsement as tankerman-engineer, and holding an advanced liquefied gas tanker cargo operations endorsement issued on or before March 24, 2014, will be limited to maintenance and repair of cargo equipment. After March 24, 2014, all seafarers applying for an original endorsement in advanced liquefied gas tanker operations must meet the requirements of this section.

**§ 13.609 Requirements to qualify for an STCW endorsement for basic oil and chemical tanker cargo operations.**

(a) Every applicant for an endorsement in basic oil and chemical tanker operations must:

- (1) Qualify for a national endorsement as tankerman-assistant dangerous liquid; and

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(2) Provide evidence of meeting the standards of competence identified in Table A-V/1-1-1 of the STCW Code (incorporated by reference, see § 13.103 of this part).

(b) *Grandfathering*. Seafarers holding a valid tankerman-assistant dangerous liquid or tankerman-engineer endorsement issued prior to March 24, 2014 will be issued an STCW endorsement for basic oil and chemical tanker cargo operations without meeting the requirements of paragraph (a) of this section. After March 24, 2014, all seafarers applying for an original endorsement in basic oil and chemical tanker operations must meet the requirements of this section.

### § 13.611 Requirements to qualify for an STCW endorsement for basic liquefied gas tanker cargo operations.

(a) Every applicant for an endorsement in basic liquefied gas tanker operations must:

(1) Qualify for a national endorsement as tankerman-assistant liquefied gas; and

(2) Provide evidence of meeting the standards of competence identified in Table A-V/1-2-1 of the STCW Code (incorporated by reference, see § 13.103 of this part).

(b) *Grandfathering*. Seafarers holding a valid tankerman-assistant liquefied gas or tankerman-engineer endorsement issued prior to March 24, 2014, will be issued an STCW endorsement for basic liquefied gas tanker cargo operations without meeting the requirements of paragraph (a) of this section. After March 24, 2014, all seafarers applying for an original endorsement in basic liquefied gas tanker operations must meet the requirements of this section.

## PART 14—SHIPMENT AND DISCHARGE OF MERCHANT MARINERS

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AUTHORITY: 5 U.S.C. 552; 46 U.S.C. Chapters 103 and 104; 46 U.S.C. 70105.

SOURCE: CGD 94-004, 61 FR 56637, Nov. 4, 1996, unless otherwise noted.

### Subpart A—General

#### § 14.101 Purpose of part.

This part prescribes rules for the shipment and discharge of merchant mariners aboard certain vessels of the United States.

#### § 14.103 Addresses of Coast Guard.

(a) U.S. postal mail: U.S. Coast Guard National Maritime Center (NMC-42), 100 Forbes Drive, Martinsburg, West Virginia 25404.

(b) Electronic mail: [IASKNMC@uscg.mil](mailto:IASKNMC@uscg.mil).

(c) World wide web: <http://www.uscg.mil/nmc>.

[USCG-2008-0906, 73 FR 56508, Sept. 29, 2008]