

Ballast Water Reporting Form – PDF Format Instructions for Use

Any agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number.

The Coast Guard estimates that the average burden for this report is 35 minutes. You may submit any comments to:

Commandant (G-PS0-4), US Coast Guard 2100 2nd St., SW, Washington, DC 20593-0001 or Office of Management and Budget, Paperwork Reduction Project (1625-0069), Washington, DC 20593

Minimum System Requirements

Windows

Software

- Adobe Acrobat Reader 5.1 or later (starting with version 6.0, the software is known as “Adobe Reader”). Available free from <http://www.adobe.com/products/acrobat/readstep2.html>

Hardware

- Pentium-class processor
- Microsoft Windows 98 Second Edition, Windows Millennium Edition, Windows NT 4.0 with Service Pack 5 or 6 (Service Pack 6 recommended), Windows 2000, Windows XP Professional or Home Edition
- 64MB of RAM

Macintosh

Software

- Adobe Acrobat Reader 5.1 or later (starting with version 6.0, the software is known as “Adobe Reader”). Available free from <http://www.adobe.com/products/acrobat/readstep2.html>

Hardware

- PowerPC processor
- Mac OS 9.1, 9.2, or 9.2.2, or Mac OS X v.10.1.3, 10.1.5, or 10.2
- 64MB of RAM
- HFS formatted hard drive

Overview

The PDF-format Ballast Water Reporting Form is the latest Ballast Water Reporting technology developed by NBIC. It is designed to transmit data accurately and reliably, while minimizing costly data transmission time.

This Form functions like a Ballast Water Reporting computer program that resides on your PC. You can open it, add information, and save that information as many times as you like. To assist with record keeping, you can save unlimited copies of the Form on your computer, or print out paper copies.

When you are ready to send the Ballast Water Report, buttons inside the form let you transmit your Ballast Water Data directly to NBIC via either e-mail or the internet.

Note: The Form sends special data packages that are very small. You only need to download the entire 450 KB Form once – after that, the data packages you send using the Form will be 15 – 20 KB in size.

The following instructions will explain how to use the Form in standard situations and how the Form can be customized to suit specific needs.

How to Download

1. Click on the appropriate link on the NBIC website. The Form will open in your browser window.
2. Select "Save a Copy" from the toolbar directly above the image of the Form.
3. Choose a location on your PC where you want to store the PDF-format Ballast Water Reporting Form.

Entering Data

To enter data, point to a field on the form using your mouse and click once. You can then type your data into the field. Use your mouse to check “Yes” or “No” checkboxes and to select options from lists. You can also use the tab button to move between fields.

Some fields may have rules restricting the type of information that can be entered into them. For instance, a field may only accept numbers, or a date written a certain way. If you type in the wrong sort of information, one of two things might happen:

- If you try to type letters into a field that only accepts numbers, the letters you type will not appear.
- If you enter a date in the wrong format, when you move to the next field a message box will appear. It will tell you the proper way to enter the information and ask you to go back and change what you entered.

While entering information into the Form, please be careful to follow the guidelines in the Ballast Water Reporting Form Completion Instructions (Appendix 1).

Saving Data

Once you have entered information into the fields on the Form, you can save that data so it will appear the next time you open the Form. You can do this as many times as you like, and at any point in the completion process. This means you can fill out part of the form, save your progress, and return later to finish. You can also save multiple copies of the Form, with different information saved in each copy.

There are two different commands for saving data: “Save” and “Save As...”. It is important to understand the differences between them.

The “Save” Command

The “Save” command preserves any changes you have made since you opened your copy of the Form, or since you last ran the command. In most cases, this is the command you should use.

- Choose File > Save.

This action replaces any data you previously saved with what you see on the screen. If you close the Form and then re-open it, it will look exactly as it does now.

The “Save As...” Command

If you want to save a new copy of the Form that includes the data you entered without changing your original copy of the Form, use the “Save As...” command. This command creates a new copy of the Form with all the changes you have made and leaves the original copy unchanged.

- Choose File > Save As...
- Create a new name for your copy, and select a place to save it on your PC.

The data you saved can now be found in the new file. If you open the old file, it will look the same way it did before you added anything to it.

Submitting the Form

When you are ready to submit your data to NBIC, you have two options. You can submit your data via the internet, or you can submit your data via e-mail. The following table will help you decide which option is best for you:

Need web connection?	Submit Online	Submit via E-mail
	Yes	No
Printable Receipt	Instantly	Within 2 business days
Size of transmitted data	15 – 20 KB	15 – 20 KB

The “Submit Online” Option

To submit your data Online, follow these steps:

1. Open the copy of the PDF-format Ballast Water Reporting Form that contains the data you wish to submit.
2. Activate your connection to the internet (the World Wide Web). You need to have a connection that will allow you to view web pages.
3. Click on the button labeled “Submit Online” at the bottom of the first page of the Form.
4. The Form will connect to NBIC and transmit your data.
5. When the data has been transmitted, a web browser window will open displaying a receipt. This receipt will show the data you submitted and the date and time the submission was received by NBIC. You can print this receipt for your records.
6. You’ve finished! Close the PDF-format Ballast Water Reporting Form.

(Please see next page for “Submit via E-mail” option)

The “Submit via E-mail” Option

To submit your data via an e-mail message, follow these steps:

1. Open the copy of the PDF-format Ballast Water Reporting Form that contains the data you wish to submit.
2. Click on the button labeled “Submit via E-mail” at the bottom of the first page of the Form.
3. The Form will open your default e-mail program and create a new message. The message will be addressed to NBIC. The Form will automatically append a special attachment to this message containing your data.
4. You can add any text you want to the body of the message, or add other recipients. When you are ready, select “Send” to transmit your message and your data to NBIC.
5. Close the PDF-format Ballast Water Reporting Form.
6. You should receive a return e-mail within 2 business days confirming the successful receipt of your data. You can print this receipt for your records.

NOTE: The instructions above may not work with some shipboard e-mail systems. If you experience problems, please use the following set of instructions instead:

1. Enter all the necessary data into the PDF-format BW Reporting Form.

If you are using Adobe Acrobat Reader 5.1, follow 2a. If you are using Adobe Reader 6.0 or later, follow 2b.

- 2a.** *(Acrobat Reader 5.1)* Go to the "File" menu, select "Export", then select "Form Data...". This will save the data you have entered into a specially formatted data file.
- 2b.** *(Adobe Reader 6.0)* Go to the "Document" menu, select "Fill-in Form", then select "Export Forms Data...". This will save the data you have entered into a specially formatted data file.
3. In the "Export Form Data As" box that opens, change "Save as type:" to "Acrobat XFDF Files (*.xpdf)".
4. Choose a name for the data file and a place on your computer to save it.
5. Click "Save".
6. Attach the data file to an e-mail message, and send it to **nbic@ballastreport.org**. Please make sure that the name of your attached file ends with ".xpdf".
7. You should receive a return e-mail within 2 business days confirming the successful receipt of your data. You can print this receipt for your records.

Customizing the Form

The following instructions explain how to take advantage of the data-saving features of the PDF-format Ballast Water Reporting Form to meet your specific needs.

Saving Standard Data

One of the advantages to using the PDF-format Ballast Water Reporting Form is that data entered into fields can be saved. This way the user doesn't have to re-enter standard data (such as Vessel Information) each time he or she submits a Form.

Set up a copy of the PDF-format Ballast Water Reporting Form with standard information saved:

1. Start with a clean copy of the PDF-format Ballast Water Reporting Form downloaded from the NBIC website (see How to Download above).
2. Open this copy. The fields should be empty.
3. Fill in the fields whose information is unlikely to change from voyage to voyage, such as the fields in Section 1 (Vessel Information).
4. Select File > Save.
5. Close the PDF.

Use your copy of the PDF-format Ballast Water Reporting Form with standard information saved:

1. Open the PDF that you entered your standard information into in step 3 above. The information you saved should be visible in the fields.
2. Enter whatever additional, voyage-specific information is necessary.
3. Click EITHER the "Send Form by E-mail" or "Submit Form Online" button at the bottom of the first page (for more information on these buttons, see Submitting the Form, above). It is only necessary to click one button.
4. Close the PDF. If the program asks if you want to save changes, click "No".

Creating Customized Forms for Common Voyages

If your vessel travels a few standard routes most of the time, or has a few standard ballast water conditions, you might find it efficient to create a customized version of the PDF-format Ballast Water Reporting Form for each route or condition.

Create a customized version of the PDF-format Ballast Water Reporting Form:

1. Start with a clean copy of the PDF-format Ballast Water Reporting Form downloaded from the NBIC website (see How to Download above).
2. Open this copy. The fields should be empty.
3. Fill in the information for one of your standard routes or conditions. Only fill in information that will remain the same between Reports. For instance, you could fill in Arrival Port, Last Port, and Next Port, but you would not fill in Arrival Date.
4. Select File > Save As...
5. Choose a location on your PC to save the Form, and a descriptive name for the file. (Ex: Rio Haina-to-Tampa.pdf)
6. Change the information you have entered to reflect the next standard route or condition for which you would like to create a customized Form.
7. Repeat steps 4 and 5. Continue, creating as many forms as you like.

Use your customized PDF-format Ballast Water Reporting Form:

1. Open the customized PDF file that corresponds to the voyage you are reporting. The information you saved should be visible in the fields.

2. Enter whatever additional, voyage-specific information is necessary.
3. Click EITHER the "Send Form by E-mail" or "Submit Form Online" button at the bottom of the first page (for more information on these buttons, see Submitting the Form, above). It is only necessary to click one button.
4. Close the PDF. If the program asks if you want to save changes, click "No".

Contact NBIC

Visit the National Ballast Information Clearinghouse on the web at <http://invasions.si.edu/nbic/> to find:

- Information on Ballast Water Reporting
- Latest versions of electronic and paper Ballast Water Reporting Forms
- Frequently Asked Questions about Ballast Water Reporting
- NBIC news and research

Questions and comments should be directed to: nbic@ballastreport.org

Appendix 1

Completion Instructions for Ballast Water Reporting Form

(Please write in English)

Is this an Amended Ballast Reporting Form? Check Yes or No. Amendments should be submitted if there are any differences between actual ballast discharges and discharge information reported in a prior form. Please mark "Yes" if this form amends a previously submitted ballast reporting form.

SECTION 1. VESSEL INFORMATION

Vessel Name: Print the name of the vessel clearly.

IMO Number: Fill in identification number of the vessel used by the International Maritime Organization.

Owner: Write in the name of the registered owner(s) of the vessel. If under charter, enter Operator name.

Type: List specific vessel type. Use the following abbreviations: bulk (bc), ro-ro (rr), container (cs), tanker (ts), passenger (pa), oil/bulk ore (ob), general cargo (gc), reefer (rf). Write out any additional vessel types.

GT: What is the Gross Tonnage of the vessel?

Call Sign: Write in the official call sign.

Flag: Fill in the full name of the country under whose authority the ship is operating. No abbreviations please.

SECTION 2. VOYAGE INFORMATION

Arrival Port: Write in the name of your United States port or place of destination for this voyage. No abbreviations please.

Arrival Date: Fill in the arrival date to the above port. Please use European date format (DD/MM/YY).

Agent: List agent used for the Arrival Port.

Last Port: Fill in the last port at which the vessel called. No abbreviations please.

Country of Last Port: Fill in the last country at which the vessel called immediately. No abbreviations please.

Next Port: Fill in the port at which the vessel will call immediately after departing the Arrival Port. No abbreviations please.

Country of Next Port: Fill in the country of "Next Port" at which the vessel will call immediately after departing the Arrival Port. No abbreviations please.

SECTION 3. BALLAST WATER

Total Ballast Water on Board:

Volume: What was the total volume of ballast water on board upon arrival into the "Arrival Port" listed in Section 2? Do not count potable water.

Units: Please include volume units (m³, MT, LT, ST).

Number of Tanks in Ballast: Count the number of ballast tanks and holds with ballast as vessel arrives into the "Arrival Port" listed in Section 2.

Total Ballast Water Capacity:

Volume: What is the maximum volume of ballast water used when no cargo is on board?

Units: Please include volume units (m3, MT, LT, ST).

Total Number of Tanks on Ship: Count all tanks and holds that can carry ballast water (do not include tanks that carry potable water).

SECTION 4. BALLAST WATER MANAGEMENT

Total No. of tanks to be discharged: Count only tanks and holds with ballast to be discharged into waters in the port state of arrival. Count all tanks and holds separately (e.g., port and starboard tanks should be counted separately).

Of tanks to be discharged, how many Underwent Exchange: Count all tanks that are to be discharged into waters in the port state of arrival.

Of tanks to be discharged, how many Underwent Alternative Management: Count all tanks that are to be discharged into waters in the port state of arrival.

Please specify alternative method(s) used, if any: Specifically, describe methods other than Empty/Refill or Flow-Through used for ballast management.

If no ballast treatment conducted, state reason why not: This applies to all unexchanged tanks and holds being discharged into waters in the port state of arrival.

Ballast Management Plan on board?: Is there a written document on board, specific to your vessel, describing the procedure for ballast management? This should include safety and exchange procedures (usually provided by vessel's owner or operator). Check Yes or No.

Management Plan implemented?: Do you follow the above management plan? Check Yes or No.

IMO Ballast Water Guidelines on board?: Is there a copy of the International Maritime Organization (IMO) Ballast Water Guidelines on board this vessel (i.e. "Guidelines for the Control and Management of Ship's Ballast Water to Minimize the Transfer Aquatic Organisms and Pathogens", [Res. A.868(20)])? Check Yes or No.

SECTION 5. BALLAST WATER HISTORY

Record all tanks to be deballasted in port state of arrival: **If none, go to #6.**

Tanks/Holds: Please list all tanks and holds that you have discharged or plan to discharge into waters in the port state of arrival (write out, or use codes listed below table). Follow each tank across the page listing all sources, all management events, and all discharge events separately.

List each tank on a separate line. Port and starboard tanks with identical ballast water histories may be included on same line. Please use an additional page if necessary, being careful to include ship name, date, and IMO number at the top of each.

For tanks with multiple sources: list 3 largest sources from last 30 days on separate lines. If more than 3 sources, include a 4th line for the respective tank(s) that indicated "Multiple" in port column and list the remaining tank volume not included in the 3 largest sources (i.e., total tank volume minus volume of the 3 largest sources).

BW SOURCES

Date: Record date of ballast water uptake. Use European format (DD/MM/YY).

Port or latitude/longitude: Record location of ballast water uptake. No abbreviations for ports.

Volume: Record total volume of ballast water uptake, with volume units.

Temp: Record water temperature at time of ballast water uptake, in degrees Celsius (include units).

BW MANAGEMENT PRACTICES

Date: Date of ballast water management practice. If exchanges occurred over multiple days, list the day when exchanges were completed. Use European format (DD/MM/YY).

Endpoint or latitude/longitude: Report location of ballast water management practice. If an exchange occurred over an extended distance, list the end point latitude and longitude.

Volume: Report total volume of ballast water moved (i.e., gravitated and pumped into tanks, discharged to reception facility) during management practice, with units.

% Exchange: (Note: for effective flow through exchange, this value should be at least 300%).

$$\% \text{ Exchange} = \frac{\text{Total Volume Added by Refill or Flow Through}}{\text{Capacity of Ballast Tank or Hold}} \times 100$$

Method: Indicate management method using code (ER = empty/refill, FT = flow through, ALT = alternative method).

Sea Ht. (m): Estimate the sea height in meters at the time of the ballast water exchange if this method was used. (Note: this is the combined height of the wind-seas and swell, and does not refer to water depth).

BW DISCHARGES

Date: Date of ballast water discharge. Use European format (DD/MM/YY).

Port or latitude/longitude: Report location of ballast water discharge. No abbreviations for ports.

Volume: Report volume of ballast water discharged, with units.

Salinity: Document salinity of ballast water at the time of discharge, with units (i.e., specific gravity (sg) or parts per thousand (ppt)).

SECTION 6. TITLE AND SIGNATURE

Responsible officer's name and title (printed) and signature: Print name and title, include signature. *A signature is not necessary on electronic forms.*