



USCG Ninth District Prevention Division  
 Inspections and Investigations Branch (DPI)  
 Mission Management System (MMS) Work Instruction (WI)



Category	Inspections, General				
Title	CONCURRENT CLEARANCE PROCESS AND GUIDANCE FOR CONTROL OF COMMERCIAL VESSEL MOVEMENTS				
Serial	D9-WI-DOM-(004)(07)	Orig. Date	11DEC2018	Rev. Date	29OCT2024
Disclaimer:	This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended to nor does it impose legally binding requirements on any party outside the Coast Guard.				
References:	(a) Marine Safety Manual Ports and Waterway Activities COMDINST 16000.11 (series) (b) 33 CFR § 160 Subpart B – Control of Vessel and Facility Operations (c) Captain of the Port Orders CGTTP 3-71.3 (d) 33 CFR § 164.55 – Deviations from rules: Continuing operation or period of time. (e) Marine Safety: Marine Inspection Administration COMDTINST 16000.70 (f) 46 CFR Part 45 – Great Lakes Load Lines (g) Marine Safety Manual Technical, COMDTINST 16000.9 (series) (h) CG-543 Policy Letter 10-01, Use of Single Voyage Load Line Authorizations (i) Waterways Management (WWM): Dead Ship Movements CGTTP 3-71.4 (j) Navigation and Vessel Inspection Circular No. 01-15 (k) D9-PR-DOM-(001)(series) Issuance of Single Voyage Load Lines (l) CVC-PR-009 (series) MISLE Vessel Inspection Activity Entry and Review (m) CVC-PR-001(series) Documenting Deficiencies on US Flagged Vessels (n) Navigation and Vessel Inspection Circular No. 7-68, Notes on Inspection and Repair of Steel Hulls (o) Joint D8/D9 Tank Barge Streamlined Inspection Program (TBSIP), Change 3				

1. **PURPOSE.** This document provides guidance to Ninth District (D9) units regarding the control of commercial vessels across Captain of the Port (COTP) zones when obtaining concurrent clearance for vessel movements through two or more D9 COTP/OCMI Areas of Responsibility (AORs).
2. **ACTION.** All Ninth District COTPs/OCMIs shall ensure compliance with the requirements outlined in this instruction. Internet release authorized.
3. **DIRECTIVES AFFECTED.** Cancellation of D9-WI-DOM-(004)(06).
4. **MAJOR CHANGES.** General clarifications and updates made to Sections 8.A. and 8.B. to explain the concurrent process between units/zones.
5. **DISCUSSION.** Due to the unique geography of the Great Lakes, it is routine for vessels to transit multiple COTP/OCMI zones to reach repair facilities, shift homeports, or simply continue their

voyage with conditions that are outside normal operating parameters. Thus, it is important that the COTPs/OCMIs communicate concerns and requirements to industry in a consistent manner. If there is an agreement to notify any non-CG agencies of restrictions or operational controls on a vessel transiting a multi-zone waterway, it is the responsibility of the originating<sup>1</sup> COTP/OCMI to ensure this notification occurs either directly or through the vessel's agent, owner, or operator. For vessels that will be transiting multiple COTP/OCMI zones outside of normal operating parameters, concurrence with each COTP/OCMI shall be obtained prior to issuing any operational control documents. These transits require certain actions and documentation on the part of the COTP/OCMI depending on the nature of the transit and flag of the vessel. The intent of this policy is to define the process to be followed to facilitate efficient communications amongst affected Sectors and between the Coast Guard and the vessel; and to promote proactive and regularly reoccurring communications between COTPs/OCMIs that is not to be limited in scope to the topics contained within this work instruction.

6. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations under the National Environmental Policy Act (NEPA) were examined in the development of this Instruction. This Instruction included preparation of guidance documents that implement, without substantive change, the applicable Command Instruction or other Federal agency regulations, procedures, manuals, and other guidance documents. It is categorically excluded from further NEPA analysis and documentation requirements under Categorical Exclusion (33) as published in COMDITINST M16475.1D, Figure 2-1. An Environmental Checklist and Categorical Exclusion Determination (CED) are not required.
7. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located on the following link: [D9 dpi website](#)
8. GUIDANCE FOR CONCURRENT CLEARANCE.
  - a. Captain of the Port (COTP) Orders: Issuance of all COTP Orders shall comply with references (a), (b) and (c). When a COTP Order is issued that requires a vessel to transit through more than one COTP zone, the following actions shall be taken:
    - (1) The originating COTP shall contact the COTP in each zone through which the vessel will transit and pass all information regarding the vessel's condition and the circumstances that warrant the vessel's need of a COTP order. This process will generally be initiated by the originating unit Prevention/Inspection representatives in discussions with other COTP Prevention/Inspection representatives for which zones the vessel will transit. Once an agreement is finalized between all zones, the finalized COTP order shall be communicated through the Sector Command Center(s) for each affected

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<sup>1</sup> The term "Originating COTP" referenced in this document refers to the cognizant COTP zone that has the authority and jurisdiction to issue an operational control to a vessel. In most cases, the originating COTP is the COTP zone where the vessel is physically located upon initial notification to the Coast Guard.

In some instances, a COTP may receive initial notification, when the vessel is not physically located within the same COTP zone. In these instances, the notified COTP shall determine the appropriate COTP zone to serve as the originating COTP, and provide them of notification.

zone. Each COTP shall address the concerns and restrictions respective to their COTP zone, which will be included within the verbiage of the issued COTP order.

- (2) If a communications schedule is required within a COTP zone, at a minimum it shall address time intervals for regular status reports, vessel check in points, and criteria upon which the vessel must immediately contact the Coast Guard. Sector Command Centers shall coordinate the transfer of the communications schedule to the next COTP zone as required along the vessel's route.
- (3) COTP orders involving highly unusual circumstances not addressed in references (a), (b) and (c), shall be forwarded to D9(dp) for issuance by the District Commander.
- (4) Once satisfied with the content of the COTP order, each COTP shall agree via authenticated USCG email account to the originator.
- (5) Only the COTP or Alternate COTP of each zone may authorize the control of a vessel.
- (6) COTP Orders shall be drafted in accordance with the examples provided in reference (c) and signed by the originating COTP. The originating COTP shall acknowledge in writing on the order, which COTP zones granted concurrent clearance (i.e. "*The U. S. Coast Guard Captain of the Port (COTP) Detroit, Sault Sainte Marie, and Lake Michigan, approved of this COTP order and granted concurrent clearance in accordance with D9-WI-DOM-(004)(07)*"), and include any additional conditions as required by the COTP(s).
- (7) Per reference (c), once the COTP order requirements are met, rescinding the order is the final step, and should be generated by the originating COTP. The originating COTP shall notify all other COTPs involved via email that the COTP order has been rescinded.

b. Letter of Deviation (LOD):

- (1) LODs shall be issued in accordance with and as required by reference (d).
- (2) If a vessel is allowed to depart a COTP zone with an LOD, then a concurrent LOD will most likely be required for all COTP zones through which the vessel will transit. The concurrent issuing process for COTP Orders shall generally be used to issue a concurrent LOD while the vessel is operating within the Great Lakes.
- (3) Enclosure (1) *Deviation Request Form* provides an LOD template for concurrent LODs.

c. Permit to Proceed (PTP):

- (1) Though rarely utilized, PTP for Repairs, Form CG-948, may be issued to U.S. flagged commercial vessels upon request in accordance with reference (e).

(2) It is the responsibility of the OCMI for the zone in which the condition was discovered to initiate any concurrent clearance required prior to approval of the PTP. In such cases, the following procedures shall be used:

- (a) The issuing OCMI shall gain concurrent clearance from each OCMI along the intended route prior to the issuance of the PTP.
- (b) The PTP shall be written in accordance with reference (e) and shall include any zone-specific requirements that the vessel will have to meet as it transits to a repair facility or any additional safety considerations based on the nature of the issue.
- (c) The COI will not be removed from vessels, which remain in the Ninth District due to the short transit distances.

d. Single Voyage Load Line (SVLL):

- (1) OCMI shall use the applicable provisions of references (f), (g), (h) and (k) when evaluating and approving SVLL applications.
- (2) Enclosure (1) *Deviation Request Form* can be tailored to the specific voyage.
- (3) Prior to issuing, the OCMI shall notify all other OCMI through whose zones the vessel intends to transit to ensure that SVLLs are not being repeatedly issued to the same vessel.

e. Dead Ship Movements:

- (1) All dead ship movements plans shall be completed in accordance with reference (i).
- (2) All needs for concurrent clearance shall be addressed using the same methods outlined for COTP Orders and LODs.

9. GUIDANCE FOR VESSELS OPERATING WITH REDUCED PROPULSION.

- a. This guidance applies to U.S. flagged commercial vessels that are equipped with multiple main propulsion drives that request to operate in commercial service with only one functioning drive due to mechanical or structural failure(s) to redundant main propulsion drives; this includes vessels with multiple drives and only one shaft. *For vessels with a single shaft arrangement*, mechanical or structural failures(s) specific to the shaft and/or the propeller shall normally not be covered under this guidance due to the lack of redundancy (double shaft arrangement). This configuration may be authorized for up to 60 days, but is not authorized to exceed that under any circumstances. COTPs/OCMI are reminded that the below guidance is not limiting, and that additional operational controls may be implemented based on risk scenario (Tug Assist, etc). Additionally,

COTPs/OCMIs shall ensure appropriate Classification Society notifications are made as applicable (Condition of Class).

- b. For circumstances that require the vessel to transit through multiple COTP zones under reduced propulsion, it is the responsibility of the originating COTP to notify all other zones that the vessel is operating under reduced propulsion. The COTP will also provide the CG-835V issued or the MISLE case number associated with the vessel casualty for reference.
- c. Vessels operating under reduced propulsion must, at a minimum, meet the requirements set forth below:
  - (1) Per reference (j), the vessel must be capable of maintaining safe speed and steerage for the prevailing or anticipated conditions (i.e. weather, other vessel traffic, tidal influences) and/or adversely impacts specific vessel operations (i.e. mooring, towing, anchoring, and dynamic positioning).
  - (2) For short periods of operation (7 days or less):
    - (a) The vessel must have a fully functional bow thruster (if outfitted with one).
    - (b) The vessel must have a minimum of two operational generators.
    - (c) The OCMI/COTP may relax either requirements based on the specific configuration of the vessel, environmental conditions, or other mitigating factors.
  - (3) For extended periods of operation (more than 7 days, but not beyond 60 days):
    - (a) Comply with all the above requirements.
    - (b) The vessel must provide the USCG with a written statement from both the Master and Chief Engineer attesting to the vessel's capacity to maneuver properly to avoid collision and allision, as well as the suitability of the reduced propulsion machinery and/or system(s) used to generate thrust. The statements must be on company letterhead and signed by the Master and Chief Engineer.
    - (c) All data provided to the USCG must also consider the vessel's loaded ballast conditions.

10. USE OF CG-835V TO ALLOW INLAND TANK BARGES WITH MINOR HULL DAMAGE TO OPERATE ON THE RIVER PORTIONS OF MSU CHICAGO'S AOR. Due to the unique AOR of MSU Chicago that includes a portion of the Western Rivers, CG-835Vs may be granted in lieu of PTPs for tank barges with minor damage that are not enrolled in the TBSIP for transits. This policy aligns with District Eight (D8) practices and ensures the consistent application of OCMI requirements between D8 and D9. The D9 OCMI may also accept inland tank barges operating under CG-835Vs issued by D8 OCMI.

- a. 'Minor Damage' is defined as follows, per reference (o):
- (1) Damage to the outer hull plating, including fractures and holes not to exceed 12 inches X ¼ inch or 3 square inches; and
  - (2) Limited to no more than 1 temporary repair per void and 3 temporary repairs total on a barge; and,
  - (3) Does not involve a cargo tank.
- b. Temporary repairs shall be made to all minor damage and conform to the guidelines in reference (n) and (o), to the satisfaction of the OCMI.
- c. Barges issued a CG-835V under this policy may operate up to 45 days after the minor damage is discovered, which includes loading and unloading cargo. The CG-835V shall require permanent repairs and reflect this 45-day maximum.
- d. When the intended route of a barge with minor hull damage will carry it outside of D9, the choice between a CG-835V or a PTP shall conform to the policy or preference of the receiving District or OCMI.

11. MISLE. Timely and accurate entry of vessel inspection results in the MISLE database is necessary to ensure that the work conducted by Coast Guard marine inspectors is well documented, and the appropriate information on involved parties, vessel histories, vessel issues, unique inspection details, and potential developing problems are captured. Ninth District OCMI's shall adhere to the timelines set forth in reference (l) and are reminded that MISLE Vessel Operational Controls should remain open, while vessel inspection and examination activities shall be reviewed and closed appropriately.

12. FORMS/REPORTS. The "Deviation Request Form," enclosure (1), may be completed for concurrent LODs.

13. REQUEST FOR CHANGES. Questions and comments concerning this policy should be directed to the Ninth District Chief of Prevention.

K. A. Broyles  
Captain, U. S. Coast Guard  
Ninth Coast Guard District  
By direction

Enclosures: (1) D9-WI-DOM-(004)(02)-F(01) Deviation Request Form  
(2) D9-WI-DOM-(004)(03)-F(02) Contact List  
(3) D9-WI-DOM-(004)(02)-F(03) AOR MAP

