

U.S. Department of
Homeland Security

United States
Coast Guard



Notice of Violation (NOV) User's Guide



COMDTINST M5582.1B
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COMMANDANT INSTRUCTION M5582.1B

Subj: NOTICE OF VIOLATION (NOV) USER'S GUIDE

- Ref: (a) Title 33, Code of Federal Regulations, Part 1, Subpart 1.07
(b) Civil Penalty Enforcement (CPE) Tactics, Techniques, and Procedures (TTP) – CGTTP 3-72.7
(c) Civil Penalty Procedures and Administration, COMDTINST 16200.3 (series)

1. PURPOSE. This Manual revises policies, procedures, and standards for the administration of the Notice of Violation (NOV) program established in accordance with Reference (a).
2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy and assistant commandants, and chiefs of headquarters staff elements must comply with the provisions of this Manual. Internet release is authorized.
3. DIRECTIVES AFFECTED. Notice of Violation User's Guide, COMDTINST M5582.1A, is hereby cancelled.
4. DISCUSSION. The Notice of Violation (NOV) program was implemented in 1995 to address the Coast Guard's concern that the civil penalty assessment process was too lengthy when applied to small oil discharges under 100 gallons and minor pollution prevention regulation violations (33 CFR parts 154, 155, and 156). The process time meant that a party frequently would have additional violations before being notified of an initial violation. Early resolution of these minor violations saved time and reduced costs of internal reviews, improved compliance and deterrence, and facilitated corrective action by providing more immediate notice to the charged party. Because of the success of the initial limited NOV program, it was expanded in 2004 to include oil spills of 1,000 gallons or less and to include violations of other laws and regulations that the Coast Guard enforces. Since its inception, the NOV program modified the civil penalty process by creating a regulation, 33 CFR 1.07-11, that allowed for immediate notification to the responsible party of the alleged violation(s)

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and the penalty proposed by the government. It allows the responsible party the option of accepting the proposed penalty and making direct payment to the Department of Treasury. The responsible party always has the option to decline the NOV and request that the alleged violation be processed for adjudication by the Coast Guard Hearing Office. This NOV User's Guide Manual does not alter or amend Reference (c), which should be consulted for further civil penalty guidance. This Manual only provides for improvements in the civil penalty process and is not a directive for amending field unit practices to issue civil penalties where none were issued before.

5. 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.
6. MAJOR CHANGES.
 - a. Citations in the enclosures were updated to account for regulatory changes over the past decade and a half. Additional citations were added to include violations of Government Initiated Unannounced Exercise (GIUE) requirements, changes to Ballast Water Management requirements, to include 46 U.S.C 6101(f)(1), additional facility, container safety, bridge, and vessel regulations to include the addition of cites from Subchapter M and K from Title 46 CFR. Each program office reviewed and approved all citations and penalty amounts. Citations and proposed penalty amounts were adjusted to be consistent with program goals and took into account the current maximum civil penalty amounts, as recently adjusted for inflation.
 - b. The term "commercial individual" was eliminated from the Law or Regulation Violation Criteria, [Section 3.E](#), as this term only applies to the Oil Discharge Violation Criteria, [Section 3.D](#). For oil discharge violations, there are three separate proposed penalty amounts for each party classification; "Noncommercial Entity", "Commercial Entity", and "Commercial Individual". For all other violations, the proposed amounts listed in [Enclosure \(3\)](#) apply to a "Commercial Entity"; the penalty amount for a "Noncommercial Individual" would be half of the amount listed in [Enclosure \(3\)](#) and [Enclosure \(4\)](#).
 - c. This policy was updated to include an accepted Letter of Warning (LOW) as a previous violation to be consistent with the Coast Guard Hearing Office's evaluation of violation history and the definition of previous offense, as outlined in Reference (b). The period for considering any previous violations remains 12 months.
 - d. The time period allowed for units processing the NOV within Marine Information for Safety and Law (MISLE) Enforcement Module was decreased from within 10 working days to within 5 working days of the NOV being received by the charged party. This is to facilitate timely processing of immediate payments received by the Coast Guard Finance Center (FINCEN).

- e. This policy was updated to include acceptance of online payments made through <https://www.pay.gov>, which is a convenient and fast way to make secure electronic payments to Federal Government Agencies.
 - f. Language was changed to align this Manual with organizational changes that have occurred over the past 15 years, improve understanding, and more accurately depict the processes currently in place.
 - g. Chapter 2, Section D, regarding MISLE Entry, was deleted as this section is discussed at length in [Chapter 4](#). Changes were made within [Chapter 4](#) to ensure all information from the deleted section was fully incorporated.
7. IMPACT ASSESSMENT. This Manual revision updates an existing task that is currently imposed on the field. There are no new personnel resources, training, or funding required.
8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
- a. The development of this Manual and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, Commandant (CG-47). This Manual is categorically excluded under current Department of Homeland Security (DHS) categorical exclusion (CATEX) A3 from further environmental analysis in accordance with "Implementation of the National Environmental Policy Act (NEPA), DHS Instruction Manual 023-01-001-01 (series)."
 - b. This Manual will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policy in this Manual must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Department of Homeland Security (DHS) and Coast Guard NEPA policy, and compliance with all other applicable environmental mandates.
9. DISTRIBUTION. No paper distribution will be made of this Manual. An electronic version will be located on the following Commandant (CG-612) web sites. Internet: <http://www.dcms.uscg.mil/directives>, and CGPortal: <https://cg.portal.uscg.mil/library/directives/SitePages/Home.aspx>.
10. RECORDS MANAGEMENT CONSIDERATIONS. This Manual has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., NARA requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.

11. FORMS. The Notice of Violation Form, CG-5582 may be obtained from USCG Surface Forces Logistic Center (SFLC) Baltimore via Milstrip using stock number 7530-01-GF3-2770, U/I (PG).
12. REQUEST FOR CHANGES. Units and individuals may recommend changes via the chain of command to Commandant (CG-INV-1) at HQS-DG-1st-CG-INV-1@uscg.mil.

R. V. TIMME /s/
Rear Admiral, U. S. Coast Guard
Assistant Commandant for Prevention Policy

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[Enclosure \(1\)](#) Sample NOV Issuing Officer Designation Letter

[Enclosure \(2\)](#) Notice of Violation Guidance for Oil Discharge Violations

[Enclosure \(3\)](#) Notice of Violation Guidance for Marine Safety and Security Violations

[Enclosure \(4\)](#) Notice of Violation Guidance for Unauthorized Entry into Cuban Territorial Waters

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CHAPTER 1. INTRODUCTION

A. Purpose. The Coast Guard's administrative civil penalty process is remedial in nature and seeks to achieve compliance with our regulations. The civil penalty process can be time consuming for field personnel and responsible parties. The NOV program is intended to promote efficiency by offering an expedited settlement offer that allows immediate notification to the responsible party of the violation(s) and the penalty proposed by the government. It also allows direct payment to the Treasury.

B. Overview.

1. The NOV Program was designed to be a flexible solution, which could be adopted by other Coast Guard programs in the future without an additional regulatory change. Between the NOV program's inception in 1995 and its expansion in 2004, the Coast Guard issued on average 2,150 NOVs annually for small oil discharges and minor pollution prevention regulation violations. Approximately 95 percent of these NOVs were accepted and paid by the responsible party. Because of the success of the initial limited NOV program, the NOV option expanded in 2004 to include violations of other laws and regulations the Coast Guard enforces. Since 2005, the number of NOVs issued has declined to approximately 1,400 annually.
2. All laws and regulations the Coast Guard enforces that contain a civil penalty provision are eligible for inclusion in the NOV program. A NOV may only be issued for violations of laws and regulations listed in the enclosures of this Manual. The Coast Guard Headquarters program managers designate citations for inclusion into the NOV program and set the proposed penalty amounts for each offense.
3. The Office of Investigations and Analysis, Commandant (CG-INV), incorporated these citations and proposed penalty amounts into the NOV Policy by updating this Manual and ensuring the Citation Manager feature of the Marine Information for Safety and Law Enforcement (MISLE) was and continues to be updated accordingly. See the enclosures to this Manual or the Citation Manager feature of the MISLE system for specific penalty amounts. If conflicts exist between the proposed penalty listed in MISLE and this Manual, this Manual takes precedence. However, if any discrepancies are identified, notify Commandant (CG-INV) at the following email address HQS-DG-1st-CG-INV-1@uscg.mil, so that MISLE can be updated.

C. Requirements.

1. To ensure continued success of the NOV program, each unit should issue a letter of designation, as NOV Issuing Officer, to each qualified officer, warrant officer, and petty officer. Additional details on this topic are covered in [Chapter 1, Section E](#). Thorough investigations must be completed before the decision to issue a NOV can be made. Methodical documentation of investigations and inspections, and timely processing of the NOV in MISLE, is essential.

2. This program does not in any way eliminate the need for a complete and comprehensive investigation with the associated gathering of facts supported by *prima facie* evidence, witness statements, samples, photographs, or other evidence, where appropriate. The use of the NOV program is designed to provide the responsible party with timely notification of the alleged violation(s) and the proposed penalty. This program will reduce the administrative burden on the Coast Guard and the responsible party by providing an alternative to the Class I Administrative Civil Penalty process. NOV Issuing Officers are reminded that if the charged party declines the ticket in lieu of a civil proceeding, the issuing officer is required to have the evidence prepared to support a civil penalty case. As such, all evidence required for a civil penalty case must be gathered and evaluated before issuing a NOV. To reduce the administrative burden, this evidence does not have to be entered into MISLE.

D. Command Discretion. Each command must decide within the framework of the guidance of this Manual how NOVs will be applied in their area of responsibility. Commands retain the discretion to not issue a NOV for any offense(s) for which a NOV is authorized if they believe the Coast Guard's enforcement goals would be better served by pursuing a Class I Administrative Civil Penalty. Some factors to consider include, but are not limited to: the nature of the offense, the seriousness of the offense, the deterrent effect of the NOV on the party involved, and the violation history of the party.

E. Issuing Officer Training and Qualifications.

1. Each command will determine who will be authorized to issue and sign NOVs and must ensure they receive appropriate training before being designated as a NOV Issuing Officer. In accordance with 33 CFR 1.07-5(c), an *issuing officer* means any qualified Coast Guard commissioned, warrant, or petty officer. Issuing personnel must be designated in writing by the command prior to issuing NOVs. A sample designation letter is provided as [Enclosure \(1\)](#). At a minimum, these persons should have a working knowledge of the contents of this Manual, References (b) and (c), the Coast Guard Hearing Officer Procedures, COMDTINST 16200.5 (series), and the Hearing Office Civil Penalty Case Guide. These individuals must be experienced personnel, qualified in facility or container inspections, vessel inspections, casualty investigations, pollution investigations, or law enforcement work. In this regard, the qualifications an individual holds determines their areas of expertise and must be in line with the regulations cited on any issued NOV.
2. NOV letters of designation are effective for the issuing officer's current command only. Each command is required to re-verify that new personnel meet requirements and issue NOV letters of designation accordingly. The Maritime Enforcement Officer qualification ensures that the individual demonstrates appropriate knowledge of applicable Coast Guard civil penalty enforcement statutes and authorities. This qualification is specifically intended for investigating officers and is **NOT** required to complete a NOV action. While not required, the Maritime Enforcement Officer

qualification is useful to develop proficiency in enforcing civil penalty authorities and actions.

CHAPTER 2. NOTICE OF VIOLATION COMPONENTS

- A. The NOV Form. The Notice of Violation, Form CG-5582, is a four-part, no carbon required (NCR) form. The form contains pre-printed sequential numbers in order to minimize data entry errors and to facilitate tracking by the Coast Guard Finance Center (FINCEN) and MISLE. Pages are clearly marked at the bottom in red indicating the disposition of each copy. Part 1 should be retained for the unit file. Parts 2 and 3 should be given to the party being issued the NOV. One copy is for the party's records, and the other copy is for the party to return with payment or decline the NOV. Part 4 should be mailed to FINCEN, by the issuing unit. NOVs may be batched and mailed to FINCEN weekly. The FINCEN address is:

Commanding Officer (OGR)
U. S. Coast Guard Finance Center
1430 Kristina Way, Suite A
Chesapeake, VA 23326-1000

- B. 33 CFR 1.07-11. This regulation states the NOV requirements and should be referenced whenever questions arise as to regulatory authority. It allows a NOV to be issued to an identified party for any Coast Guard civil penalty violation if predetermined criteria have been established. The party then has the option of paying the proposed penalty or declining the NOV. If the NOV is declined, the case is processed as a Class I Administrative Civil Penalty adjudicated by the Coast Guard Hearing Office. If the party fails to pay or decline the NOV within 45 days of receipt, the NOV is considered in default, the proposed penalty is considered assessed, and the case is forwarded to Commander, Legal Service Center Alameda (LSC-5), Claims and Litigations for collection of the penalty.
- C. 33 CFR 27.3.
1. This regulation identifies nearly all the U.S. Code penalty authorities that the Coast Guard is authorized to enforce by issuing a monetary civil penalty. The amounts in Table 1 capture the maximum penalty as it is adjusted for inflation annually as mandated by the Federal Civil Penalties Inflation Adjustment Act of 1990, as amended by the Federal Civil Penalties Inflation Adjustment Act Improvements Act of 2015.
 2. Annual changes to the table are announced via the Federal Register. All users must refer to the Electronic Code of Federal Regulations found at <http://www.ecfr.gov> to ensure the most up-to-date version of the table is used for determining the maximum civil penalty reflected on the face of the NOV as well as within MISLE casework. Users should be mindful of the date of the table to ensure that the penalty amount cited on the NOV is effective for the date the penalty is being assessed and take into account the date of the violation. NOV Issuing Officers must use the far right column of the tables in the enclosures of this Manual to determine the penalty authority. Once identified, units must research the penalty authority in the current version of

Title 33, Code of Federal Regulations (CFR) Table to § 27.3 to determine the current maximum penalty amount as adjusted for inflation.

3. If the penalty authority listed in this Manual is not included in the 33 CFR 27.3 table, units must use the current maximum civil penalty listed in the statute.

D. Party in Violation Information.

1. An accurate mailing address is crucial to the penalty process and must be recorded in MISLE. If the party declines the NOV and it is processed as a civil penalty, the Coast Guard Hearing Office will need a valid address to provide the due process notice required for civil penalty actions. If the NOV is unpaid, LSC-5 will require a valid address for debt collections correspondence.
2. If possible, the MISLE activity should also be updated to include a tax identification number or social security number. This information will assist with identifying the appropriate party in MISLE and will be necessary for collections purposes.

- E. Mail or Courier Payments. The responsible party may send the payment, with the “BANK / DECLINE COPY” of the NOV, to the USCG Civil Fines and Penalties Government Lockbox. Once received and processed, payment is then entered in FINCEN’s system, and the MISLE enforcement activity is automatically updated from the unit’s recommendation to an imposed sanction. The status of the activity is automatically changed to “Closed – Payment Received”. As the lockbox service is a government contract, it may change over time. The NOV issuing officer must ensure the proper address is annotated on the NOV form if changed from the below. If unsure of the proper address, contact FINCEN to verify.

Regular U.S. Postal Service payments to:

USCG Civil Fines and Penalties
P.O. Box 979123
St. Louis, MO 63197-9000

Payments sent via overnight courier should be sent to:

Lockbox No. 979123
U.S. Bank Government Lockbox
1005 Convention Plaza
ATTN: GOVERNMENT LOCKBOX, SL-MOC1 GL
St. Louis, MO 63101

- F. Online Payments. Online or web based payments through <https://www.pay.gov> are the preferred method of collection for all debts. This is a convenient and fast way to make secure electronic payments to Federal Government Agencies. Many common forms of payment are accepted, including credit cards, debit cards, and direct debit from checking

or savings accounts. This system keeps all personally identifiable information secure and sends an automatic receipt to the user once all information is correctly entered.

1. For “Oil Notice of Violation, Civil Fines and Penalties”:
 - a. Form Number: USCG OIL
 - b. Agency: Homeland Security (DHS): United States Coast Guard
 - c. Web Form: <https://www.pay.gov/public/form/start/79199633>
2. For “Non-Oil Notice of Violation, Civil Fines and Penalties”:
 - a. Form Number: USCG NonOil NOV
 - b. Agency: Homeland Security (DHS): United States Coast Guard
 - c. Web Form: <https://www.pay.gov/public/form/start/78096013>

CHAPTER 3. INITIATING A CASE

- A. Scope of NOV Program. A NOV may be issued in the field, hand delivered at a later date, mailed to the party via First Class Certified Mail with a return receipt attached, or sent via courier service with tracking and delivery confirmation. A NOV is only issued in the field when all the information necessary to document a violation is immediately available. NOVs may be issued for two types of violations: (1) Oil discharges in violation of the Federal Water Pollution Control Act (FWPCA), if they are 1,000 gallons or less or (2) violations of laws and regulations designated by the appropriate Coast Guard Headquarters program manager. A NOV cannot be issued if the total proposed penalty for all violations noted on the NOV exceeds \$10,000. In extreme cases and following consultation with Commandant (CG-LMI), Commandant (CG-INV) will consider requests through the cognizant district to waive the \$10,000 limit or the proposed penalty amounts in this Manual's enclosures.
- B. Criteria for NOV.
1. Oil Discharge Violations. To determine whether to issue a NOV for an oil discharge of 1,000 gallons or less, first conduct a full field investigation. Then refer to the Oil Discharge Violation Guidance, [Enclosure \(2\)](#) of this Manual. Determine whether your investigation enables you to document each of the five elements of an unlawful discharge: (1) Oil was discharged; (2) Oil was discharged from a vessel, an onshore facility, or an offshore facility; (3) Oil was discharged into or upon a navigable water of the United States, an adjoining shoreline, or a water of the contiguous zone and may affect natural resources belonging to, pertaining to, or exclusively managed by the United States; (4) the responsible party (owner, operator, or person in charge) can be identified; and (5) the oil is creating a visible sheen, film, sludge, or emulsion. If you cannot document all five elements, do not issue a NOV. If you can document all five elements, use the Oil Discharge Violations Guidance enclosure of this Manual to determine the proposed penalty amount. Use whole gallons when determining the volume of the discharge.
 2. Non-Oil Discharge Violations. To determine whether to issue a NOV for a violation of any other law or regulation, first conduct a full investigation into the facts and circumstances. Determine if a law or regulation was violated and refer to [Enclosure \(3\)](#) or [Enclosure \(4\)](#) of this Manual. If that law or regulation is listed in either of these enclosures, it is eligible for issuance of a NOV. Use the tables in these enclosures to determine the appropriate penalty amount, based on the party's violation history.
 3. Continuing/Multiple Violations. Only one NOV is to be issued per detection activity or incident. No more than four violations can be listed on a NOV form. If the proposed penalty amounts exceed the \$10,000 limit or there are more than four violations discovered on one detection activity or incident, the violations are not to be split amongst multiple NOV forms. Rather, a Civil Penalty Case should be initiated. When the statutory language of the referenced civil penalty authority states that each

day of a continuing violation constitutes a separate violation, each day must be treated as a separate violation and listed individually. Should the command be concerned that the number of days of the violation makes it a more severe offense, an Administrative Civil Penalty case must be initiated. The NOV program is not intended to be used as a tool to enforce long term non-compliance.

C. Determining Level of Penalty.

1. The NOV penalty guidance is a modification of Reference (c), which was last updated in October of 1992. The enclosures of this Manual specify predetermined penalties for oil discharges 1,000 gallons or less and violations of designated laws and regulations. No deviation from the proposed penalty amounts listed in the enclosures is authorized, except as discussed in [Section A](#) of this chapter. Categories are provided for noncommercial and commercial entities and commercial individuals in the Oil Discharge Violations Guidance. The proposed penalty amounts listed in the Law or Regulation Violations Guidance enclosures are only for a commercial entity. The proposed penalty amounts for a noncommercial individual should be determined by reducing the commercial entity amounts by 50 percent.
2. For cites under 33 CFR parts 104, 105, and 106, proposed penalty amounts must be multiplied by 1.5 and 2 for violations that occur during MARSEC Levels 2 and 3, respectively. For example, the proposed penalty for a violation of 33 CFR 104.125 would normally be \$1,500 for a first offense. However, if the vessel is in a port where MARSEC Level 2 has been set then the proposed penalty amount for the same violation would be \$2,250 (that is, \$1,500 x 1.5). If the total proposed penalty exceeds \$10,000 after the multiplier is applied, a NOV is not authorized.
3. As outlined in USCG Marine Safety Manual, Volume V: Investigations and Enforcement, COMDTINST M16000.10 (series), Part C, Chapter 2, Subpart B, Letters of Warning (LOW) in lieu of Civil Penalties may be appropriate in some cases. In these circumstances, a designated NOV Issuing Officer may draft and sign LOWs under by direction authority.

- D. Oil Discharge Violation Criteria. Oil Discharge violation penalty amounts are based on whether the entity or individual was engaged in a commercial capacity, see [Enclosure \(2\)](#). Determining the proper capacity is critical to determine the appropriate penalty amount for NOVs. The command has the flexibility to use the NOV program for oil discharges of 1,000 gallons or less using the below party classifications and criteria. Promptly determine if the responsible party is a credentialed mariner. If the responsible party is determined to be a credentialed mariner, the NOV issuing officer shall engage with the unit's investigations office for Suspension and Revocation (S&R) enforcement action, if the investigating officer deems such action appropriate.

1. Party Classification.
 - a. Noncommercial Entity. A person responsible for the discharge engaged in a noncommercial activity at the time of the discharge. A noncommercial penalty is always against an individual.
 - b. Commercial Entity. Vessels, facilities, or other entities involved in the discharge which are engaged in a commercial activity at the time of the discharge including any maintenance, transit, or provisioning to support a commercial activity.
 - c. Commercial Individual. An individual responsible for the discharge engaged in a commercial activity at the time of the discharge.
 2. First Offense. The first offense amount must be used if the entity or individual has no history of a previous violation for a discharge that occurred in the last 12 months from the date of the discharge being investigated. A previous discharge violation is defined as, “a violation where a Warning was imposed and accepted, a NOV has been paid, or a Coast Guard Hearing Officer has made a final civil penalty assessment or warning.”
 3. Second Offense. The second offense amount must be used if the entity or individual has ONE previous violation for a discharge in the last 12 months from the date of the discharge being investigated.
 4. Third and further offenses. The third offense amount must be used if the entity or individual has TWO or more previous violations for a discharge in the last 12 months from the date of the discharge being investigated. However, if an entity has had multiple offenses for the same law or regulation within a 12-month period, it may be appropriate to develop a Class I Administrative Civil Penalty case for submission to the Coast Guard Hearing Office identifying the habitual noncompliance.
 5. Spill history unknown. If the spill history of the entity or individual involved is unknown, the first offense penalty amount must be used.
 6. Spill violation in the past 12 months not considered. Checking this block indicates that the command has been unable to verify or has chosen not to consider the past spill history. Therefore, if this block is checked, the first offense penalty amount must be used.
- E. Law or Regulation Violation Criteria. The command has the flexibility to use the NOV program for a violation of a law or regulation listed in [Enclosure \(3\)](#) or [Enclosure \(4\)](#) using the below party classifications and criteria. Promptly determine if the responsible party is a credentialed mariner. If the responsible party is determined to be a credentialed mariner, the NOV issuing officer shall engage with the unit’s investigations division to determine if Suspension and Revocation (S&R) enforcement action is appropriate.

1. Party Classification.
 - a. Noncommercial Individual. A person responsible for the violation of the law or regulation engaged in a noncommercial activity at the time of the violation. A noncommercial penalty is always against an individual.
 - b. Commercial Entity. Vessels, facilities, or other entities involved in the violation of the law or regulation engaged in commercial activity at the time of the violation. This may also be the individual responsible for the violation if that person was employed in a commercial capacity at the time of the violation.
2. First Offense. The first offense amount must be used if the noncommercial individual or commercial entity has no prior violations of a similar or related nature within the last 12 months from the date of the violation being investigated. A previous violation is defined as, “a violation where a Warning was imposed and accepted, a NOV has been paid, or a Coast Guard Hearing Officer has made a final civil penalty assessment or warning.”
3. Second Offenses. The second offense amount must be used if the noncommercial individual or commercial entity has ONE previous violation of a similar or related nature within the last 12 months from the date of the violation being investigated.
4. Third and Further Offenses. The third offense amount must be used if the noncommercial individual or commercial entity has TWO previous violations of a similar or related nature within the last 12 months from the date of the violation being investigated. However, if an entity has had multiple offenses for the same law or regulation within a 12-month period, it may be appropriate to develop a Class I Administrative Civil Penalty case for submission to the Coast Guard Hearing Office identifying the habitual noncompliance.
5. Law or regulation violation history unknown. If the law or regulation violation history of the entity involved is unknown, the first offense penalty amount must be used.

CHAPTER 4. MISLE DOCUMENTATION FOR NOV ACTIVITIES

A. Use.

1. Document the issued NOV in the MISLE Enforcement module. All NOV enforcement activities must be referred from a detection activity (incident investigation, vessel boarding, vessel inspection or examination, facility inspection, etc.) within **3 working days** of the NOV being issued. The NOV activity must be processed within **5 working days** of the NOV being received by the charged party to facilitate the processing of immediate payments received by FINCEN from the responsible party.
2. When the NOV is properly documented in MISLE and the unit successfully processes the NOV enforcement activity, party and penalty information is automatically transmitted to FINCEN's accounting system.

B. General Process.

1. Proper documentation within MISLE requires identifying the correct charged party. This is important in that an accepted NOV will contribute to the party's violation history. When searching for parties, units are reminded to search with wildcards (%) to ensure they are not creating duplicate entries and are selecting the most accurate party. Within the NOV activity, an offense must also be identified and entered, including "Violation Details", "Jurisdictional Elements", "Factual Elements", and "Recommendations". To reduce the administrative burden, as intended by this program, all collected evidence does not have to be entered into MISLE, only the evidence that supports factual elements. This does not relieve any unit of ensuring all necessary information for a Civil Penalty case is gathered and fully evaluated prior to issuing the NOV; it merely reduces the administrative MISLE casework.
2. Units are reminded that the "Issue Date" under the recommendations tab is the date that the charged party receives the NOV. If delivered by hand, this is the date the NOV was physically presented to the party no matter whether accepted, declined, or remained unanswered for the time being. If mailed with a return receipt, the issue date is the date of delivery. The accuracy of the issue date is paramount as it serves as the basis for automatically submitting the activity into a default status. The NOV must not be processed until this date is known and entered. A scanned copy of the NOV must also be saved into correspondence.
3. Once the NOV is properly documented in MISLE and the party is in receipt of the NOV, the unit must select the "Process NOV" button on the Offense tab. This action will cause the activity, party, and penalty information to automatically be transmitted to FINCEN's accounting system. The activity's status will automatically update to "Open – Submitted to FINCEN". The unit will lose the ability to make changes to the NOV activity once the "Process NOV" button is selected. If the unit must make corrections or if the NOV was issued in error and the "Process NOV" button was

selected, contact Commandant (CG-INV), Enforcement Program manager for assistance. The activity will NOT be editable while it is in an “Open – Submitted to FINCEN” status. It will remain in this status until payment is received, the party declines the NOV, or the 60 day (45 days to decline per regulations plus 15 additional days) deadline passes.

4. If there is an error in the transmission, the activity’s status is automatically updated to “Open – Not Submitted to FINCEN” and the unit will need to attempt to process the activity at a later time or with a different user. If not rectified, submit a CG Help ticket.
 5. If corrections to the activity are required and the activity is locked in the “Open-Submitted to FINCEN” status, a NOV Rollback will need to be completed. Rollbacks can only be completed by Commandant (CG-MER) and Commandant (CG-INV). Commandant (CG-MER) will handle all rollbacks regarding pollution enforcement and Commandant (CG-INV) will handle all other activities. The rollback will withdraw the accounting data from FINCEN and set the activity status back to “Open – In Progress” so the unit has control. This action will also remove all information from the “Outcomes” tab and changes the status of all offenses to “Recommended”. Once the necessary changes are made to the activity, the NOV will need to be processed once again. All corrections to activities that have been rolled back must be processed by field units in the most expeditious manner to ensure the status of the activity is “Open – Submitted to FINCEN” to promote rapid processing of received payments.
- C. NOV Paid. When payment is entered in FINCEN’s system, the MISLE enforcement activity is automatically updated and the status of the activity is automatically changed to “Closed – Payment Received” and no further action is required by the issuing unit.
- D. NOV Declined.
1. When the unit receives written notification that the party has elected to decline the NOV, the unit will need to convert the NOV activity to an Administrative Civil Penalty (Class I) activity. This is achieved by selecting the “NOV Declined” button, which notifies FINCEN that the NOV has been declined. The activity will then be unlocked and provide the ability to change the Enforcement Type to an Administrative Civil Penalty (Class I). Finally, the activity status will change back to “Open - In Progress”.
 2. If the unit receives written notification that the party seeks to have the NOV value modified, notify the party that the request for modification is considered as a decline and proceed to process the violation as a Class I Civil Penalty to be adjudicated by the Coast Guard Hearing Office. If the party provides additional information, return the additional information to the party with an explanation that the submittal of information is considered a statement of decline and proceed to process the violation as a Class I Civil Penalty. Advise the party that they will have the opportunity to

submit such material to the Hearing Officer after they receive a preliminary penalty assessment letter from the Coast Guard Hearing Office.

3. A NOV serves as initial settlement offer to a charged party by an issuing officer. Just as a Coast Guard Hearing Officer is not bound by the amount proposed on the NOV, the issuing officer is also not bound by the NOV's proposed penalty amount when completing the required Class I Civil Penalty casework and case package for the Coast Guard Hearing Office in the event that the NOV is declined.

E. NOV Not Paid.

1. If the NOV is not paid within 60 days (45 days per regulations plus 15 additional days), the Coast Guard will enter a finding of default in the case file and a civil penalty in the amount recommended on the Notice of Violation will be imposed. The activity's status will automatically update to reflect to "Open – Forward to Collections". The unit then must update the status manually within MISLE to "Open – Submitted to Collections" and transfer Ownership and Control to "Legal Service Command Alameda" (LSC-5).
2. The unit must then email LSC-5 at D11-SG-M-LSC-5@uscg.mil and inform them that the enforcement activity has been forwarded to them for collections. Prior to transferring activity control and notifying LSC-5, the unit is to ensure the activity is complete including all evidence and that a copy of the NOV form and proof of receipt by the party (if the NOV form was not signed by the party) has been saved within the activity as correspondence. Failure to include proof of receipt may prevent collections actions.

- F. Voided NOV. There is not a specific section in the MISLE enforcement activity to document a voided NOV. The voided NOV number may be documented by making a manual entry in the activity log and a note in the activity summary. If the NOV activity has been processed, notification to FINCEN must be made in accordance with the guidance contained in the MISLE Investigation and Enforcement Process Guide. A rollback will need to be requested from Commandant (CG-INV) or Commandant (CG-MER), so the activity can be closed.

CHAPTER 5. GENERAL POLICY

- A. Notice to Party. If you issue a NOV, clearly advise the responsible party that they may either pay the proposed penalty or decline the NOV. Also, clearly state that the procedures for exercising these options and the party's rights are explained on the reverse of the Notice of Violation, Form CG-5582. It is not required that the party sign the NOV in order for it to be issued. However, if a signature is not obtained from the receiving party, a notation must be entered in the receiving signature block explaining the disposition of the NOV form (for example, mailed to party First Class Certified Mail with a return receipt attached, send via courier service with tracking and delivery confirmation, or hand delivered). If you issue a NOV for a violation of a law or regulation designated as being Sensitive Security Information (SSI) in Enclosure (3), you must write "Sensitive Security Information" across the top of the Notice of Violation, Form CG-5582. Clearly advise the responsible party that the information on the NOV is considered SSI and the party should treat the NOV accordingly.
- B. Penalty Payment Policy.
1. The NOV form specifies the suspected violation(s) for oil discharges, or both for oil discharges and violations of other laws or regulations, and the proposed penalty for each violation based on preset proposed penalties contained in the enclosures to this Manual. The NOV form also specifies the options available to the alleged responsible party. The party may pay the penalty in full and close the case or decline the NOV so that a Class I Administrative Civil Penalty case may be forwarded to the Coast Guard Hearing Office for a determination. The Hearing Officer is not bound by a NOV and their determination may result in a final assessment less than, equal to, or greater than the proposed penalty.
 2. Coast Guard field units or individuals SHALL NOT ACCEPT PAYMENT under any circumstances. Issuing Officers should facilitate the payment of NOV's by carefully explaining how payment is to be made by mail, courier, or online via <https://www.pay.gov>.
- C. Partial Payments. Partial payments are NOT ALLOWED under the NOV program. If an alleged violator states they wish to make a partial payment, they should be instructed that it is not acceptable under the NOV program. Therefore, if the party needs a partial payment schedule they should be instructed to DECLINE the NOV. The case is then processed to the Coast Guard Hearing Office as a Class I Administrative Civil Penalty. Payment received for a NOV that is less than the amount stated on the NOV will be treated by LSC-5 as a request for a partial payment. The responsible party will be informed that partial payments are not allowed under the NOV program and the payment will either be returned or held in escrow to be credited against a final determination by the Hearing Officer on the resulting Class I Administrative Civil Penalty.
- D. Partial Acceptance or Declining. There must be no partial acceptance of the NOV. Parties that are unwilling to admit to and pay the Total Penalty amount should decline the

NOV in lieu of a Civil Penalty proceeding for final determination by a Coast Guard Hearing Officer.

E. Requiring Surety for Foreign Entities.

1. If a NOV is issued to a foreign party, a Letter of Undertaking (LOU) for the maximum civil penalty must be obtained prior to departure. Surety for the maximum civil penalty is sought because the Coast Guard Hearing Officer is not bound by the amount on the NOV. It is recommended that COTPs leverage their relationship with Customs and Border Protection (CBP) and request a “Customs Hold” until surety is provided.
2. Units have the discretion to accept proof of payment of a NOV in lieu of requiring a LOU. Verification that a certified check or money order has been mailed to the proper address may be considered proof of payment. Receipts for payments made online via <https://www.pay.gov> may also be considered an acceptable proof of payment for this purpose.

Sample NOV Issuing Officer Designation Letter

U.S. Department of
Homeland Security

United States
Coast Guard



Commander
United States Coast Guard
Sector Maryland - NCR

2401 Hawkins Point Road
Baltimore, MD 21226-1791
Phone: (410) 576-2586
Fax: (410) 576-2553

5582
DD MON YEAR

MEMORANDUM

From: C. S. Binnendijk, CAPT
CG Sector Maryland - NCR

To: P. O. Smoak, MST1

Subj: DESIGNATION AS NOTICE OF VIOLATION (NOV) ISSUING OFFICER

Ref: (a) Title 33, Code of Federal Regulations, Subpart 1.07
(b) Notice of Violation (NOV) User's Guide, COMDTINST M5582.1 (series)
(c) USCG Marine Safety Manual, Volume V: Investigations and Enforcement, COMDTINST M16000.10 (series)
(d) Civil Penalty Enforcement (CPE) Tactics, Techniques, and Procedures (TTP), CGTTP 3-72.7

1. In accordance with Reference (a), you are hereby designated as an issuing officer authorized to issue Notice of Violations while assigned to this Command. This also includes the drafting and by direction signing of Letters of Warning in lieu of issuing a Notice of Violation under this policy and the references above.

2. In the performance of these duties, you must be guided by and ensure you are familiar with the Notice of Violation process as detailed in References (a), (b), (c), and (d).

3. This letter must remain in effect while you are assigned to this unit, unless otherwise rescinded.

#

Sample NOV Issuing Officer Designation Letter

Notice of Violation Guidance for Oil Discharge Violations

1. If all of the following elements of a violation are present:	2. If:	3. If the Responsible Party is a:	4. If all of the following concerning the discharge are true:	5. If the amount of the discharge was:	6. Then the Proposed Penalty is:
(1) Oil was discharged (2) From a vessel, an onshore facility, or an offshore facility; (3) Into or upon a navigable water of the United States, an adjoining shoreline, or a water of the contiguous zone and may affect natural resources belonging to, pertaining to, or exclusively managed by the United States; (4) The responsible party (owner, operator, or person in charge) can be identified; and (5) The spill created a visible sheen, film, sludge, or emulsion.	All elements can be documented in the field	Non-Commercial Entity	<ul style="list-style-type: none"> Minor spill (1,000 gallons or less) Unintentional Noncommercial source No significant gravity or culpability 	50 gallons or less	1st Offense = \$50 2nd Offense = \$100 3rd Offense = \$300
				51 - 250 gallons	1st Offense = \$300 2nd Offense = \$600 3rd Offense = \$1,250
				251 - 500 gallons	1st Offense = \$600 2nd Offense = \$1,250 3rd Offense = \$2,500
				501 - 1,000 gallons	1st Offense = \$1,250 2nd Offense = \$2,500 3rd Offense = \$6,000
		Commercial Entity	<ul style="list-style-type: none"> Minor spill (1,000 gallons or less) Unintentional Commercial or governmental source No significant gravity or culpability 	25 gallons or less	1st Offense = \$300 2nd Offense = \$600 3rd Offense = \$1,250
				26 - 250 gallons	1st Offense = \$600 2nd Offense = \$1,250 3rd Offense = \$3,500
				251 - 500 gallons	1st Offense = \$2,000 2nd Offense = \$3,500 3rd Offense = \$7,000
				501 - 1,000 gallons	1st Offense = \$3,500 2nd Offense = \$7,000 3rd Offense = *
		Commercial Individual	Same as Commercial Entity	Same as Commercial Entity	Half Commercial Entity Proposed Penalty
	All elements cannot be documented in the field	NOV is not issued in the field, but may be issued at a later time, if more evidence becomes available.			

Note: If an oil discharge does not meet the criteria in columns 1 through 5, a NOV must not be used.

* 3rd Offense NOVs not authorized. Move to next level of enforcement action, a Class I Civil Penalty action.

Notice of Violation Guidance for Marine Safety and Security Violations

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Notice of Violations Guidance for Marine Safety and Security Violations
Proposed Penalty Amounts listed in the Table below are for a Commercial Entity
Proposed Penalty Amounts for an Non-Commercial Entity must be half of the amount listed below

Encl. (3) to COMDTINST M5582.1B

<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
<u>Cites in 33 CFR</u>					
33 CFR 26.03	Failure to comply with the radiotelephone requirements of this section.	\$1,000	*	*	33 USC 1208
33 CFR 26.04	Failure to comply with the requirements for use of the designated frequency.	\$1,000	*	*	33 USC 1208
33 CFR 26.05	Failure to use radiotelephone as required.	\$1,000	*	*	33 USC 1208
33 CFR 26.07	Person maintaining listening watch as required under 33 USC 1204 not English speaking.	\$1,000	*	*	33 USC 1208
<hr/> ----- Begin Inland Navigation Rules ----- <hr/>					
33 CFR 83.01(g) (RULE 1)	Failure of operator of self-propelled vessel 12 meters or more in length to carry onboard and maintain for ready reference copy of Rules.	\$500	\$1,500	\$3,000	33 USC 2072
33 CFR 83.02 (RULE 2)	Failure of vessel, owner, master or crew to comply with these Rules or any precautions required by the ordinary practice of seaman.	\$5,000	*	*	33 USC 2072
33 CFR 83.05 (RULE 5)	Failure to maintain proper look-out by sight, hearing, and all available means appropriate in the prevailing circumstances	\$5,000	*	*	33 USC 2072
33 CFR 83.06 (RULE 6)	Failure to proceed at safe speed so as to take proper action to avoid collision and be stopped within distance appropriate for conditions.	\$5,000	*	*	33 USC 2072
33 CFR 83.07(a) (RULE 7)	Failure to use all available means appropriate to the prevailing circumstances and conditions to determine if risk of collision exists.	\$5,000	*	*	33 USC 2072
33 CFR 83.07(b) (RULE 7)	Failure to use radar equipment, if fitted and operational, to obtain early warning of risk of collision.	\$5,000	*	*	33 USC 2072
33 CFR 83.08(a) (RULE 8)	Failure to take action to avoid collision in ample time with due regard to good seamanship.	\$5,000	*	*	33 USC 2072
33 CFR 83.08(b) (RULE 8)	Failure to alter course or speed (to avoid collision) so as to be readily apparent to another vessel observing visually or by radar.	\$5,000	*	*	33 USC 2072
33 CFR 83.08(d) (RULE 8)	Failure to pass at safe distance when taking action to avoid collision.	\$5,000	*	*	33 USC 2072
33 CFR 83.08(e) (RULE 8)	When necessary to avoid collision, failure to slacken speed, stop, or reverse.	\$5,000	*	*	33 USC 2072
33 CFR 83.09(a) (RULE 9)	Failure of vessel proceeding in a narrow channel or fairway to keep as near to outer limit which lies on her starboard side as safe and practicable.	\$5,000	*	*	33 USC 2072
33 CFR 83.09(b) (RULE 9)	Vessel of less than 20 meters in length or sailing vessel impeded passage of vessel that can safely navigate only within a narrow channel or fairway.	\$5,000	*	*	33 USC 2072
33 CFR 83.09(c) (RULE 9)	Vessel engaged in fishing impeded passage of other vessel navigating within a narrow channel or fairway.	\$5,000	*	*	33 USC 2072
33 CFR 83.09(d) (RULE 9)	Vessel crossing a narrow channel or fairway impeding the passage of another vessel or latter vessel failed to use proper danger signal (Rule 34(d)).	\$5,000	*	*	33 USC 2072

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 83.09(e) (RULE 9)	Overtaking vessel's failure to indicate intentions by proper signal (Rule 34(d)).	\$5,000	*	*	33 USC 2072
33 CFR 83.09(f) (RULE 9)	Failure to navigate with alertness and sound signal when nearing a bend or area of narrow channel or fairway where view obscured.	\$5,000	*	*	33 USC 2072
33 CFR 83.09(g) (RULE 9)	Failure to avoid anchoring in a narrow channel.	\$5,000	*	*	33 USC 2072
33 CFR 83.10 (RULE 10)	Failure of vessel required to participate in VTS to comply with applicable regulations.	\$5,000	*	*	33 USC 2072
33 CFR 83.12(a) (RULE 12)	Failure to keep out of way according to prescribed methods in this rule.	\$5,000	*	*	33 USC 2072
33 CFR 83.13(a) (RULE 13)	Failure, when overtaking another vessel, to keep out of way of vessel overtaken.	\$5,000	*	*	33 USC 2072
33 CFR 83.14(a) (RULE 14)	Failure of a power driven vessel, under appropriate circumstances, to alter course to pass port to port so as to avoid collision.	\$5,000	*	*	33 USC 2072
33 CFR 83.15(a) (RULE 15)	Failure of power-driven vessel, which has other vessel on her starboard side, to keep out of way and avoid crossing ahead of other vessel.	\$5,000	*	*	33 USC 2072
33 CFR 83.15(b) (RULE 15)	On Great Lakes, Western Rivers or water specified by the Secretary, failure of vessel crossing river to keep out of way of power-driven ascending or descending vessel.	\$5,000	*	*	33 USC 2072
33 CFR 83.16 (RULE 16)	Failure of vessel directed to keep out of way of another vessel to, so far as possible, take early and substantial action to keep well clear.	\$5,000	*	*	33 USC 2072
33 CFR 83.17(a) (RULE 17)	Failure, where one of two vessels has kept out of way, to keep course and speed.	\$5,000	*	*	33 USC 2072
33 CFR 83.17(b) (RULE 17)	Failure, by the stand on vessel to take such as action as to best avoid collision, when under the circumstances, collision could not be avoided by the actions of the give way vessel alone.	\$5,000	*	*	33 USC 2072
33 CFR 83.18 (RULE 18)	Failure by a vessel operating in a defined status as described under Rule 3, to keep out of the way of certain enumerate vessels, as required by this rule.	\$5,000	*	*	33 USC 2072
33 CFR 83.19(b) (RULE 19)	Failure of power driven vessel navigating in or near areas of restricted visibility to have her engines ready for immediate maneuver.	\$5,000	*	*	33 USC 2072
33 CFR 83.19(c) (RULE 19)	Failure of vessel to have due regard to prevailing circumstances and conditions of restricted visibility when complying with Rules 4 - 10.	\$5,000	*	*	33 USC 2072
33 CFR 83.19(d) (RULE 19)	Failure of vessel which detects presence of another by radar alone to take appropriate action.	\$5,000	*	*	33 USC 2072
33 CFR 83.19(e) (RULE 19)	Failure of vessel which hears fog signal apparently forward of her beam, or which cannot avoid close-quarters situation to act appropriately.	\$5,000	*	*	33 USC 2072
33 CFR 83.20(a) (RULE 20)	Failure to comply with rules concerning lights and shapes (in any weather).	\$2,500	*	*	33 USC 2072
33 CFR 83.20(b) (RULE 20)	Failure to comply with rules concerning lights and shapes (sunset to sunrise); no others exhibited which might be mistaken, impair, etc.	\$2,500	*	*	33 USC 2072
33 CFR 83.20(c) (RULE 20)	Failure to comply with rules concerning lights and shapes (daylight restricted visibility; other circumstances).	\$2,500	*	*	33 USC 2072

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 83.20(d) (RULE 20)	Failure to comply with rules concerning shapes.	\$2,500	*	*	33 USC 2072
33 CFR 83.22(a) (RULE 22)	Failure to have lights of proper intensity in appropriate location on vessel of 50 meters or more in length.	\$2,500	*	*	33 USC 2072
33 CFR 83.22(b) (RULE 22)	Failure to have lights of proper intensity in appropriate location on vessel 12 or more meters but less than 50 meters in length.	\$2,500	*	*	33 USC 2072
33 CFR 83.22(c) (RULE 22)	Failure to have lights of proper intensity in appropriate location on vessel less than 12 meters in length.	\$2,500	*	*	33 USC 2072
33 CFR 83.22(d) (RULE 22)	Failure to have light of proper intensity on inconspicuous, partly submerged vessel or object being towed.	\$2,500	*	*	33 USC 2072
33 CFR 83.23(a) (RULE 23)	Failure of power-driven vessel, when underway, to exhibit proper lights in proper locations.	\$2,500	*	*	33 USC 2072
33 CFR 83.23(b) (RULE 23)	Failure of air-cushion vessel, when operating in non-displacement mode, to exhibit proper lights in proper locations.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(a) (RULE 24)	Failure of a power-driven vessel, when towing astern, to exhibit the correct lights in the correct positions.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(b) (RULE 24)	Failure of pushing and pushed vessels, which are rigidly connected in composite unit, to exhibit correct lights in correct locations.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(c) (RULE 24)	Failure of power driven vessel, when pushing ahead or towing alongside to exhibit proper lights.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(d) (RULE 24)	Failure of appropriate power driven vessel to comply with Rule 23(a)(i) and 23(a)(ii).	\$2,500	*	*	33 USC 2072
33 CFR 83.24(e) (RULE 24)	Failure of vessel or object being towed to be lighted properly.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(f) (RULE 24)	Failure of vessels towed or pushed as a group to be lighted properly.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(g) (RULE 24)	Failure to properly light inconspicuous, partly submerged vessel or object being towed.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(h) (RULE 24)	Failure to properly light vessel or object or take other measures to indicate presence.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(i) (RULE 24)	Failure to properly light vessel or object on the Western Rivers.	\$2,500	*	*	33 USC 2072
33 CFR 83.24(j) (RULE 24)	Failure to take all possible measures to indicate nature of relationship between towing or towed when vessel is in distress.	\$2,500	*	*	33 USC 2072
33 CFR 83.25(a) (RULE 25)	Failure of a sailing vessel underway to exhibit proper lights.	\$2,500	*	*	33 USC 2072
33 CFR 83.25(d) (RULE 25)	Failure of a sailing vessel less than 7 meters in length or vessel under oars to take appropriate lighting measures.	\$2,500	*	*	33 USC 2072
33 CFR 83.25(e) (RULE 25)	Failure of a vessel 12 meters or over proceeding under both sail and machinery to display proper shape in proper location.	\$2,500	*	*	33 USC 2072

Notice of Violations Guidance for Marine Safety and Security Violations

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 83.26(a) (RULE 26)	Use of lights or shapes other than prescribed in Rules by vessel engaged in fishing.	\$2,500	*	*	33 USC 2072
33 CFR 83.26(b) (RULE 26)	Failure to use prescribed lights or shapes by vessel engaged in trawling.	\$2,500	*	*	33 USC 2072
33 CFR 83.26(c) (RULE 26)	Failure to use prescribed lights or shapes by vessel engaged in fishing other than trawling.	\$2,500	*	*	33 USC 2072
33 CFR 83.27(a) (RULE 27)	Failure to show proper lights or shapes by vessel not under command.	\$2,500	*	*	33 USC 2072
33 CFR 83.27(b) (RULE 27)	Failure to show proper lights or shapes by vessel restricted in its ability to maneuver.	\$2,500	*	*	33 USC 2072
33 CFR 83.27(c) (RULE 27)	Failure to show proper lights or shapes by vessel engaged in towing operations.	\$2,500	*	*	33 USC 2072
33 CFR 83.27(d) (RULE 27)	Failure to show proper lights or shapes by vessel engaged in dredging or underwater operations. This includes dredge pipelines, floating, or supported.	\$2,500	*	*	33 USC 2072
33 CFR 83.27(e) (RULE 27)	Failure to show proper lights or shapes by vessel engaged in diving operations.	\$2,500	*	*	33 USC 2072
33 CFR 83.27(f) (RULE 27)	Failure to show proper lights or shapes by vessel engaged in minesweeping operations.	\$2,500	*	*	33 USC 2072
33 CFR 83.29(a) (RULE 29)	Failure to exhibit proper lights or shapes by a vessel engaged in pilotage duties.	\$2,500	*	*	33 USC 2072
33 CFR 83.30(a) (RULE 30)	Failure to exhibit proper lights or shapes by vessel at anchor.	\$2,500	*	*	33 USC 2072
33 CFR 83.30(c) (RULE 30)	Failure of vessel of 100 meters or more to use available working or equivalent lights to illuminate her decks.	\$2,500	*	*	33 USC 2072
33 CFR 83.30(d) (RULE 30)	Failure of vessel aground to exhibit proper lights or shapes.	\$2,500	*	*	33 USC 2072
33 CFR 88.30(h-l) (RULE 30)	Failure of barge in this section to display and arrange lights as required at night and in periods of restricted visibility.	\$2,500	*	*	33 USC 2072
33 CFR 83.31 (RULE 31)	Failure to exhibit appropriate lights or shapes-seaplane.	\$2,500	*	*	33 USC 2072
33 CFR 83.33(a) (RULE 33)	Failure to have proper equipment for sound signals for vessels of 12 meters or more in length.	\$2,500	*	*	33 USC 2072
33 CFR 83.33(b) (RULE 33)	Failure to have some means of making an efficient sound signal for vessel less than 12 meters in length.	\$2,500	*	*	33 USC 2072
33 CFR 83.34(a) (RULE 34)	Failure of power-driven vessel to use proper signal to indicate maneuvering or take appropriate precautionary steps.	\$2,500	*	*	33 USC 2072
33 CFR 83.34(c) (RULE 34)	Failure of power driven vessel to use proper signal to indicate maneuvering or take appropriate precautionary steps in overtaking situation.	\$2,500	*	*	33 USC 2072
33 CFR 83.34(d) (RULE 34)	Failure of vessel to use proper signal or take appropriate precautionary steps in situation of doubt or failure to understand signal.	\$2,500	*	*	33 USC 2072
33 CFR 83.34(e) (RULE 34)	Failure of vessel to use proper signal in situation of obscured visibility due to intervening obstruction.	\$2,500	*	*	33 USC 2072
33 CFR 83.34(f) (RULE 34)	Inappropriate use of multiple whistles on vessel fitted with whistles more than 100 meters apart.	\$2,500	*	*	33 USC 2072

Notice of Violations Guidance for Marine Safety and Security Violations
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Encl. (3) to COMDTINST M5582.1B

<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 83.34(g) (RULE 34)	Failure to sound proper signal when power driven vessel leaving dock or berth.	\$2,500	*	*	33 USC 2072
33 CFR 83.35(a) (RULE 35)	Failure of a power-driven vessel making way to make proper signal in or near area of restricted visibility.	\$2,500	*	*	33 USC 2072
33 CFR 83.35(b) (RULE 35)	Failure of a power-driven vessel making no way to make proper signal in or near area of restricted visibility.	\$2,500	*	*	33 USC 2072
33 CFR 83.35(c) (RULE 35)	Failure of appropriate vessel to use proper signal in situation of restricted visibility.	\$2,500	*	*	33 USC 2072
33 CFR 83.35(d) (RULE 35)	Failure of towed vessel to use proper signal in situation of restricted visibility.	\$2,500	*	*	33 USC 2072
33 CFR 83.35(e) (RULE 35)	Failure of pushing or pushed vessel rigidly connected, to use proper signal in situation of restricted visibility.	\$2,500	*	*	33 USC 2072
33 CFR 83.35(f) (RULE 35)	Failure of vessel at anchor to use proper signal in situation of restricted visibility.	\$2,500	*	*	33 USC 2072
33 CFR 83.35(g) (RULE 35)	Failure of vessel aground to use proper signal in situation of restricted visibility.	\$2,500	*	*	33 USC 2072
33 CFR 83.36 (RULE 36)	Failure to make light or sound signals to attract attention that cannot be mistaken for an aid to navigation or signal authorized in these Rules.	\$2,500	*	*	33 USC 2072
33 CFR 83.37 (RULE 37)	Failure of vessel in distress and requiring assistance to use or exhibit the signals described in Annex IV of the Rules of the Road.	\$2,500	*	*	33 USC 2072
33 CFR 87.02 (Annex IV)	Use or exhibition of a distress signal for purposes other than indicating distress and need of assistance.	\$5,000	*	*	33 USC 2072
----- End Inland Navigation Rules -----					
33 CFR 95.045	Failure of crewmember (including a licensed individual), pilot, or watch stander not a regular member of the crew to comply with general operating rules related to intoxicants on inspected vessels.	\$1,000	\$2,000	\$4,000	46 USC 2302(c)(1)
33 CFR 95.050(b)	Marine employer permitted individual to stand watch or perform other duties when he or she had reason to believe individual was intoxicated.	\$1,000	\$2,500	\$5,000	46 USC 2302(c)(1)
33 CFR 96.230	Failure to establish and implement Safety Management System.	\$500	\$2,000	\$4,000	46 USC 3318(a)
33 CFR 96.250	Failure to maintain or provide documents and reports required for a Safety Management System.	\$500	\$2,000	\$4,000	46 USC 3318(a)

Notice of Violations Guidance for Marine Safety and Security Violations

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For 33 CFR 101, 104, 105, and 106, Proposed Penalty Amounts must be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 101.305(a)	X	Failure to report suspicious activities.	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 101.305(b)	X	Failure to report security breaches.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 101.410	X	Failure to comply with an order pertaining to control of facility access	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 101.514(a)	X	Failure to present proper form of ID prior to being granted unescorted access to secure areas.	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 104.115(b)	X	Failure to carry a valid International Ship Security Certificate (ISSC) or comply with an approved alternate security program or bilateral agreement.	\$10,000	*	*	46 USC 70119(a)
33 CFR 104.115(d)	X	Failure to ensure TWIC program is properly implemented.	\$10,000	*	*	46 USC 70119(a)
33 CFR 104.120	X	Failure to provide compliance documentation.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 104.125	X	Failure of vessel owner or operator to notify cognizant COTP of temporary deviations from 33 CFR Part 104.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 104.200(b)(2)	X	Failure to designate Vessel Security Officer (VSO).	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.200(b)(9)	X	Failure to ensure coordination with and implementation of changes in Maritime Security (MARSEC) Level.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.200(b)(10)	X	Failure ensure that security systems and equipment are installed and maintained.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.200(b)(11)	X	Failure to ensure that vessel access, including the embarkation of persons and their effects, is controlled.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.210(a)(1)	X	Failure to designate Company Security Officer (CSO).	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.210(b)	X	Failure to ensure designated Company Security Officer (CSO) is qualified to perform CSO duties.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.215	X	Failure to ensure designated Vessel Security Officer (VSO) is qualified to perform VSO duties.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.220	X	Failure to ensure other crew with security duties are qualified to perform specified duties.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.225	X	Failure to provide security training for all vessel personnel.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 104.230(b)	X	Failure to conduct security drills.	\$1,500	\$5,000	\$10,000	46 USC 70119(a)
33 CFR 104.230(c)	X	Failure to conduct security exercises.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.235(b)(2)	X	Failure to provide vessel security records for drills and exercises.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.235(b)(3)	X	Failure to provide vessel security records for incidents and breaches of security.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.235(b)(4)	X	Failure to provide vessel security records for changes in Maritime Security (MARSEC) levels.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.235(b)(5)	X	Failure to provide vessel security records for maintenance, calibration, and testing of security equipment.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)

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Notice of Violations Guidance for Marine Safety and Security Violations

Encl. (3) to COMDTINST M5582.1B

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For 33 CFR 101, 104, 105, and 106, Proposed Penalty Amounts must be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 104.235(b)(6)	X	Failure to provide vessel security records for security threats.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.235(b)(7)	X	Failure to provide vessel security records for Declaration of Security (DOS).	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.235(b)(8)	X	Failure to provide vessel security records for annual audits of the Vessel Security Plan (VSP).	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.235(c)	X	Failure to protect vessel security records from unauthorized access or disclosure.	\$1,500	\$5,000	\$7,500	46 USC 70119(a)
33 CFR 104.255	X	Failure of vessel owner or operator to complete Declaration of Security (DOS).	\$1,500	\$3,500	\$7,500	46 USC 70119(a)
33 CFR 104.260(a)	X	Failure to inspect, test, calibrate, and maintain security systems and equipment.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.260(c)	X	Failure to provide procedures in Vessel Security Plan (VSP) for identifying and responding to security system and equipment failures or malfunctions.	\$1,000	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.265(a)	X	Failure to implement vessel security measures for access control.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.265(a)(4)	X	Failure to prevent an unescorted individual without a TWIC from entering a secure area.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.265(b)(1)	X	Failure to specify locations of accesses to the vessel.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.265(c)	X	Failure to provide identification system on vessel for personnel access control.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.265(c)(2)	X	Failure to properly handle lost, stolen, or damaged TWIC cards.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.265(f)	X	Failure of vessel owner or operator to be in compliance with security requirements for MARSEC Level 1.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.265(g)	X	Failure of vessel owner or operator to be in compliance with security requirements for MARSEC Level 2.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.265(h)	X	Failure of vessel owner or operator to be in compliance with security requirements for MARSEC Level 3.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.267(a)	X	Failure to be in compliance with procedures for new hires.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.267(b)	X	Failure to ensure proper escorting requirements or procedures.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.270(b)	X	Failure to designate vessel restricted areas.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.270(c)	X	Failure of vessel owner or operator to implement security measures for restricted areas.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.270(d)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 1.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.270(e)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 2.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)

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Notice of Violations Guidance for Marine Safety and Security Violations

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 104.270(f)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 3.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.275	X	Failure to provide vessel security measures for handling cargo.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.280	X	Failure to provide vessel security measures for delivery of vessel stores and bunkers.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.285	X	Failure to provide vessel security measures for monitoring as specified in Vessel Security Plan (VSP).	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 104.292	X	Failure of passenger vessel owner or operator to conduct additional security requirements.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 104.305	X	Failure of vessel owner or operator to conduct a Vessel Security Assessment (VSA).	\$10,000	*	*	46 USC 70119(a)
33 CFR 104.310	X	Failure to submit a completed Vessel Security Assessment (VSA) report.	\$10,000	*	*	46 USC 70119(a)
33 CFR 104.400	X	Failure to develop and implement a Vessel Security Plan (VSP).	\$5,000	\$10,000	*	46 USC 70119(a)
33 CFR 104.405	X	Failure to ensure proper format and content of the Vessel Security Plan (VSP).	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 104.405(b)	X	Failure to properly address TWIC requirements in the Vessel Security Plan (VSP)	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 104.410	X	Failure to submit a completed Vessel Security Plan (VSP).	\$10,000	*	*	46 USC 70119(a)
33 CFR 104.415	X	Failure to comply with Vessel Security Plan (VSP) amendment or audit procedures.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 105.115(e)	X	Failure to ensure TWIC program is properly implemented.	\$10,000	*	*	46 USC 70119(a)
33 CFR 105.120	X	Failure to provide compliance documentation.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 105.125	X	Failure of facility owner or operator to notify cognizant COTP of temporary deviations from 33 CFR Part 105.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 105.200	X	Failure of facility owner or operator to ensure the facility operates in compliance with security requirements.	\$5,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.205	X	Failure to ensure Facility Security Officer (FSO) is qualified to perform FSO duties.	\$1,500	\$3,000	\$10,000	46 USC 70119(a)
33 CFR 105.205(b)	X	Failure of Facility Security Officer (FSO) to possess the required general knowledge through training or job experience.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 105.205(c)	X	Failure of Facility Security Officer (FSO) to carry out all specified duties and responsibilities for each facility for which he or she has been designated.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 105.210	X	Failure to ensure facility personnel with security duties are qualified to perform specified duties.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.215	X	Failure to provide security training for all facility personnel.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 105.220(b)	X	Failure of facility owner or operator to meet security drill requirements.	\$1,500	\$5,000	\$10,000	46 USC 70119(a)

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For 33 CFR 101, 104, 105, and 106, Proposed Penalty Amounts must be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 105.220(c)	X	Failure of facility owner or operator to meet security exercise requirements.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.225	X	Failure of facility owner or operator to make the required records available to the Coast Guard.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 105.235	X	Failure to meet facility communications requirements.	\$1,000	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 105.245	X	Failure of a facility owner or operator to complete Declaration of Security (DOS).	\$1,500	\$3,500	\$7,500	46 USC 70119(a)
33 CFR 105.250	X	Failure to meet security systems and equipment maintenance requirements.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.255(a)	X	Failure to implement facility security measures for access control.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.255(a)(4)	X	Failure to prevent an unescorted individual without a TWIC from entering a secure area.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.255(b)(1)	X	Failure to specify locations of accesses to the facility.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 105.255(c)	X	Failure of facility owner or operator to provide identification system for personnel access control.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.255(c)(2)	X	Failure to properly handle lost, stolen, or damaged TWIC cards.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.255(e)	X	Failure of facility owner or operator to be in compliance with security requirements for MARSEC Level 1.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.255(f)	X	Failure of facility owner or operator to be in compliance with security requirements for MARSEC Level 2.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.255(g)	X	Failure of facility owner or operator to be in compliance with security requirements for MARSEC Level 3.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.257	X	Failure to ensure proper security measures for newly hired employees.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.257(a)	X	Failure to be in compliance with procedures for New Hires.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.260(b)	X	Failure to designate facility restricted areas.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 105.260(c)	X	Failure of facility owner or operator to implement security measures for restricted areas.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 105.260(d)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 1.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.260(e)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 2.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.260(f)	X	Failure of vessel owner or operator to be in compliance with the security requirements for restricted areas for MARSEC Level 3.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.265	X	Failure to implement security measures for handling cargo.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.270	X	Failure to implement security measures for delivery of vessel stores and bunkers.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)

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			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 105.275	X	Failure to implement security measures for monitoring as specified in the Facility Security Plan (FSP).	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.285	X	Failure to meet additional requirements for passenger and ferry facilities.	\$1,000	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 105.290	X	Failure to meet additional requirements for cruise ship terminals.	\$1,000	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 105.295	X	Failure to meet additional requirements for Certain Dangerous Cargo (CDC) facilities.	\$2,500	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 105.296	X	Failure to meet additional requirements for barge fleeting facilities.	\$1,000	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 105.305	X	Failure of facility owner or operator to conduct a Facility Security Assessment (FSA).	\$1,500	\$5,000	\$10,000	46 USC 70119(a)
33 CFR 105.310	X	Failure to submit a completed Facility Security Assessment (FSA) report.	\$10,000	*	*	46 USC 70119(a)
33 CFR 105.400	X	Failure to develop and implement a Facility Security Plan (FSP).	\$5,000	\$10,000	*	46 USC 70119(a)
33 CFR 105.405	X	Failure to ensure proper format and content of the Facility Security Plan (FSP).	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 105.405(b)	X	Failure to properly address TWIC requirements in the Facility Security Plan (FSP)	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 105.410	X	Failure to submit a completed Facility Security Plan (FSP).	\$10,000	*	*	46 USC 70119(a)
33 CFR 105.415	X	Failure to comply with Facility Security Plan (FSP) amendment or audit procedures.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 106.110(e)	X	Failure to ensure TWIC program is properly implemented.	\$10,000	*	*	46 USC 70119(a)
33 CFR 106.115	X	Failure to provide compliance documentation at the Outer Continental Shelf (OCS) facility.	\$1,000	\$3,000	\$5,000	46 USC 70119(a)
33 CFR 106.120	X	Failure of an Outer Continental Shelf (OCS) facility owner or operator to notify the cognizant District Commander of temporary deviations from 33 CFR Part 106.	\$1,000	\$3,000	\$5,000	46 USC 70119(a)
33 CFR 106.200	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure OSC facility operates in compliance with security requirements.	\$1,500	\$3,000	\$7,500	46 USC 70119(a)
33 CFR 106.215	X	Failure to ensure facility personnel with security duties are qualified to perform specified duties.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.220	X	Failure to provide security training for all Outer Continental Shelf (OCS) facility personnel.	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 106.225(b)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to conduct security drills.	\$1,500	\$5,000	\$10,000	46 USC 70119(a)
33 CFR 106.225(c)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to conduct security exercises.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.230	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to keep records and make available to Coast Guard upon request.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 106.250	X	Failure of an Outer Continental Shelf (OCS) facility owner or operator to complete Declaration of Security (DOS).	\$1,500	\$3,500	\$7,500	46 USC 70119(a)

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<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 106.255(a)	X	Failure to provide security systems and equipment at Outer Continental Shelf (OCS) facility in good working order (inspected, tested, calibrated, and maintained).	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.255(c)	X	Failure to provide procedures in Facility Security Plan (FSP) for identifying and responding to security system and equipment failures or malfunctions.	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 106.260(a)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure implementation of security measures for access control.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.260(a)(4)	X	Failure to prevent unescorted individual without a TWIC from entering the Outer Continental Shelf (OCS) facility.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.260(c)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to establish an identification system for personnel seeking access to OCS facility.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.260(c)(2)	X	Failure to properly handle lost, stolen, or damaged TWIC cards.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.260(d)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for MARSEC Level 1.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.260(e)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for MARSEC Level 2.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.260(f)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for MARSEC Level 3.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.262	X	Failure to ensure property security measures for newly hired employees.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.262(a)	X	Failure to be in compliance with procedures for New Hires.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.265(b)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to designate restricted areas within the OCS facility.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 106.265(c)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to implement security measures for restricted areas.	\$1,500	\$2,500	\$7,500	46 USC 70119(a)
33 CFR 106.265(d)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for restricted areas for MARSEC Level 1.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.265(e)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for restricted areas for MARSEC Level 2.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.265(f)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to be in compliance with security requirements for restricted areas for MARSEC Level 3.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.270	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure implementation of security measures for delivery stores or industrial supplies at OCS facility.	\$3,000	\$6,000	\$10,000	46 USC 70119(a)

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For 33 CFR 101, 104, 105, and 106, Proposed Penalty Amounts must be multiplied by **1.5** and **2** for violations that occur during MARSEC Levels 2 and 3, respectively

<u>Cite</u>	<u>SSI</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
			<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 106.275	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure implementation of security measures for monitoring as specified in the Facility Security Plan (FSP).	\$3,000	\$6,000	\$10,000	46 USC 70119(a)
33 CFR 106.305	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to conduct a Facility Security Assessment (FSA).	\$10,000	*	*	46 USC 70119(a)
33 CFR 106.310	X	Failure to submit a completed Outer Continental Shelf (OCS) Facility Security Assessment (FSA) report.	\$10,000	*	*	46 USC 70119(a)
33 CFR 106.400	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to develop and implement a Facility Security Plan (FSP).	\$5,000	\$10,000	*	46 USC 70119(a)
33 CFR 106.405	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to ensure proper format and content of the Facility Security Plan (FSP).	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 106.405(b)	X	Failure to properly address TWIC requirements in the Facility Security Plan (FSP).	\$1,000	\$2,500	\$5,000	46 USC 70119(a)
33 CFR 106.410	X	Failure to submit a completed Outer Continental Shelf (OCS) Facility Security Plan (FSP).	\$10,000	*	*	46 USC 70119(a)
33 CFR 106.415(b)	X	Failure of Outer Continental Shelf (OCS) facility owner or operator to complete an annual audit of the Facility Security Plan (FSP).	\$1,500	\$3,000	\$6,000	46 USC 70119(a)
33 CFR 110.1(a)		Failure to comply with Special Anchorage Area regulations prescribed in 33 CFR 110.4 through 110.129(a).	\$100	\$250	\$500	33 USC 471
33 CFR 110.1(b)		Failure to comply with the Anchorage Ground regulations prescribed in 33 CFR 110.130 through 110.150 and 33 CFR 110.156 through 110.255.	\$500	\$1,000	\$2,500	33 USC 471
33 CFR 110.155		Failure to comply with the Port of New York Anchorage Ground regulations as prescribed in 33 CFR 110.155.	\$500	\$1,000	\$2,500	33 USC 471
33 CFR 115.40		Failure to gain approval by the Coast Guard prior to making bridge repairs that alter the bridge clearances or navigation conditions.	\$1,000	\$5,000	\$10,000	33 USC 495(b)
33 CFR 117.5		Failure to fully and promptly open a drawbridge as required by 33 Subpart A.	\$1,000	\$5,000	\$10,000	33 USC 495(b)
33 CFR 117.7(a)		Failure to provide the necessary draw tender(s) for the safe and prompt opening of the drawbridge.	\$1,000	\$5,000	\$10,000	33 USC 499(c)
33 CFR 117.7(b)		Failure to maintain all working machinery in good operating condition.	\$1,000	\$5,000	\$10,000	33 USC 499(c)
33 CFR 117.7(c)		Failure to periodically cycle a drawbridge to ensure proper operation.	\$1,000	\$5,000	\$10,000	33 USC 499(c)
33 CFR 117.7(d)		Failure to ensure the drawbridge operates in accordance with applicable regulations within 33 CFR 117, Subparts A or B.	\$1,000	\$5,000	\$10,000	33 USC 499(c)
33 CFR 117.7(e)		Failure of any drawbridge allowed to remain closed to navigation prior to January 3, 2007 to return to operable condition within the designated time set forth by the District Commander.	\$1,000	\$5,000	\$10,000	33 USC 499(c)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 117.9	Unreasonable delay opening a drawbridge after the required signals were given.	\$1,000	\$5,000	\$10,000	33 USC 499(c)
33 CFR 117.11(a)	Signaling a drawbridge to open if the vertical clearance is sufficient to allow the vessel, after all lowerable nonstructural vessel appurtenances that are not essential to navigation have been lowered, to safely pass under the drawbridge in the closed position.	\$100	\$500	\$1,000	33 USC 499(c)
33 CFR 117.11(b)	Signaling a drawbridge to open for any purpose other than to pass through the drawbridge opening.	\$100	\$500	\$1,000	33 USC 499(c)
33 CFR 117.35(e)	Failure of a drawbridge to return to its regular operating schedule after a Temporary Deviation.	\$1,000	\$5,000	\$10,000	33 USC 499(c)
33 CFR 117.36	Failure to notify the Coast Guard when a bridge is closed for emergency repair(s).	\$1,000	\$5,000	\$10,000	33 USC 499(c)
33 CFR 118.55	Failure to display or operate lights or signals during the required periods of operation.	\$1,000	\$5,000	\$10,000	33 USC 495(b)
33 CFR 118.160	Failure to display and maintain required vertical clearances gauges.	\$1,000	\$5,000	\$10,000	33 USC 495(b)
33 CFR 120.220	Failure to report an unlawful act and related activities both to the COTP and the local FBI office or the DHS Response Center hotline.	\$1,000	\$2,500	\$5,000	46 USC 70036(a)
33 CFR 125.15(b)	Failure of a person to possess an identification credential required for facility access under 33 CFR 125.15(a)	\$500	\$1,000	\$2,000	46 USC 70119(a)
33 CFR 126.13(b)	Failure to be properly designated as a waterfront facility prior to handling, storing, discharging, or transporting dangerous cargo.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(1)	Failure to properly maintain fire extinguishing equipment or provide adequate equipment.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(2)	Failure to conspicuously mark locations or maintain accessibility to fire appliances.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(3)	Failure to post proper Warning signs.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(4)	Failure to provide adequate lighting between sunset and sunrise.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(5)	Failure to provide an International Shore Connection.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(6)	Failure to follow "Access to Facility" requirements.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(7)	Failure to provide guards to assure adequate surveillance, prevent unlawful entrance, detect fires, and releases of dangerous cargoes and hazardous materials.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(8)	Failure to allow Coast Guard Personnel access.	\$2,000	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 126.15(a)(9)	Failure to comply with the requirements for trucks and other motor vehicles upon the waterfront facility.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(10)	Failure to post No Smoking signs conspicuously or failure to prohibit smoking except in permitted areas on a designated waterfront facility.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(11)	Failure to maintain facility free of rubbish and waste materials.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(a)(12)	Failure to ensure adequacy of equipment, materials, and standards after notification from COTP.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 126.15(b)(1)	Failure to properly arrange and store cargo, freight, merchandise, or material.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(b)(2)	Failure to provide adequate Portable Fire Extinguishers.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(b)(3)	Failure to properly maintain or install electrical wiring and equipment in accordance with accepted safe practices and codes.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(b)(4)	Failure to properly maintain heating equipment or to prohibit open fires.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(b)(5)	Failure to properly maintain maintenance stores and supplies.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(c)(1)	Failure of Terminal Yards to conform to NFPA 307 Chapter 5 standards.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.15(c)(2)	Failure to properly stack containers packed with dangerous cargo.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.16	Failure to meet conditions for a facility of particular hazard.	\$2,500	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 126.17	Failure to obtain a permit for handling, loading, discharging, or transporting designated dangerous cargo.	\$2,500	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 126.21(b)	Failure to comply with the requirement that no amount of non-U.S. military designated dangerous cargo in excess of the maximum quantity established may be present on waterfront facility or vessel moored thereto.	\$2,500	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 126.21(c)	Failure to comply with the requirement that designated dangerous cargo brought on to a facility is promptly transhipped.	\$2,500	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 126.21(d)	Failure to obtain authorization from the COTP to have another dangerous cargo present on waterfront facility during designated dangerous cargo transactions.	\$2,500	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 126.27	Failure to comply with general permit for handling dangerous cargo.	\$2,500	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 126.28(a)(1)	Failure to mark all outside containers with proper shipping name of nitrate packed within the container.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.28(a)(2)	Failure to provide adequate ventilation in waterfront facility used to store specified materials.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.28(a)(3)	Failure to maintain safe distance from electric wiring, steam pipes, radiators or any heating mechanism when storing specified materials.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.28(a)(4)	Failure to separate specified materials by fire resistant wall or by distance of at least 30 feet from other specified materials.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.28(a)(5)	Failure to store specified materials in clean area upon clean wood dunnage, or pallets over clean floor.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.28(a)(6)	Failure to promptly, thoroughly clean up and remove spilled material from waterfront facility.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.28(a)(7)	Failure to have an abundance of water readily available for firefighting.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.28(a)(8)	Failure to plug or eliminate open drains, traps, pits or pockets which can be filled with molten ammonium nitrate if a fire occurs.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 126.29(a)	Failure to comply with Captain of the Port directions, instructions, and orders for the control of dangerous cargoes.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 126.29(b)	Failure to report the discharge of dangerous liquid commodities which may create a hazard or toxic condition in the port area.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 126.30(a)	Failure to comply with the requirements for conducting hot work on the facility or a vessel moored to the facility.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.30(b)	Failure to notify the COTP prior to welding or hot work on a vessel in the presence of containerized dangerous cargo.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 126.31	Failure to comply with a termination or suspension order of a general permit.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 126.33	Failure to comply with 33 CFR 126.27 or any other circumstances not covered by the General Permit.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.007 (a)-(b)	Failure to submit a letter of intent as required in paragraphs (a) through (b) and that meets paragraph (c) of this section.	\$2,500	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 127.007 (d)	Failure to notify COTP of update to LOI in writing within 15 days of a change.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 127.007 (e)	Failure to submit a Waterway Suitability Assessment (WSA) in the required timeframe or WSA does not meet the requirements of paragraphs (f) through (g).	\$2,500	\$5,000	\$10,000	46 USC 70036(a)
33 CFR 127.007 (h)	Failure to submit annual validation or changes to WSA to COTP in accordance with required timeframes.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.011	Failure to allow COTP or his representative to make reasonable examination and inspection of a waterfront facility regulated under this part.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 127.019	Failure of owner or operator to submit two copies of an Operations Manual or Emergency Manual to the COTP for review 30 days before transferring LHG or LNG.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 127.101	Failure of the marine transfer area for LNG to meet the applicable requirements of NFPA 59 during a transfer of LNG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.103	Failure to ensure piers and wharves meet the requirements of this section during a transfer of LNG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.105	Failure to ensure the layout and spacing of a marine transfer area for LNG meet the requirements of this section during a transfer of LNG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.107	Failure to have operable power systems during a transfer of LNG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.109	Failure to have operable and required components of lighting systems in place during a transfer of LNG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.111	Failure to have operable communication systems in place during a transfer of LNG.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.113	Failure to have warning signs in place during a transfer operation of LNG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 127.201	Failure to have operable sensing and alarm systems are not in place during a transfer of LNG.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.203	Failure to have operable portable gas detectors in place during a transfer of LNG.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.205	Failure to have an emergency shutdown for the transfer system in place during the transfer of LNG that can be activated manually or automatically.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.207	Failure to have required warning alarms in place or are not operable during a transfer of LNG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.301	Failure to ensure an individual meeting the requirements of this section is present during transfer operations.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.303	Failure to comply with an order to suspend LNG transfer operations.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 127.309 (a)	Failure to have an examined Operations Manual or Emergency Manual during transfer of LNG.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 127.309 (b)	Failure to conduct LNG transfer operations in accordance with the examined Operations Manual.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.309 (c)	Failure to conduct an emergency response in accordance with the examined Emergency Manual.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.311 (b)	Vehicles are stopped or parked outside of designated parking space during a transfer operation.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.313 (a)	Storage of unpermitted flammable materials in the marine transfer area.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.313 (b)	Failure to store flammable liquids in accordance with Chapter 4 of NFPA 30.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.315	Failure to conduct a preliminary transfer inspection.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 127.315	Failure to inspect all required items on a preliminary transfer inspection.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.317	Failure to properly complete the declaration of inspection.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.319	Failure to comply with any requirement in this section.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.321	Failure to take required action upon the release of LNG.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.403	Failure to make inspections required by this section.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.405	Failure to conduct repairs in accordance with this section.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.407	Failure to conduct tests in accordance with this section.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.409	Failure to maintain records in accordance with this section.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 127.503	Failure to ensure required training is completed.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 127.601	Failure to properly mark firefighting equipment, or provide approved fire equipment.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.603	Failure to provide serviceable portable fire extinguishers in appropriate locations and numbers.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.605	Failure to provide serviceable emergency outfits in accordance with this section.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.607	Failure to provide serviceable fire main system(s) in accordance with this section.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 127.609	Failure to provide serviceable dry chemical system in accordance with this section.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.611	Failure to provide an international shore connection when vessel is moored at facility.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.613	Failure to prevent smoking in the marine transfer area when LNG is present.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.615	Failure to prevent non-accidental fires in the marine transfer area when LNG is present.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.617	Failure to obtain a COTP permit prior to welding or hot work.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.703	Failure of operator to ensure limited access to the marine transfer area for LNG to specified personnel.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.705	Failure of operator to ensure security patrols of the marine transfer area for LNG are conducted once every hour, or manned television monitoring system is used.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.707	Failure of operator to ensure person assigned security patrol duty has been instructed on security violation procedures.	\$500	\$1,500	\$3,000	
33 CFR 127.707	Failure to provide required protective adequate enclosures.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.711	Failure to ensure direct communications between security patrol and other operating or security personnel on duty on the waterfront facility handling LNG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1101	Failure of the piping system for LHG to meet the applicable requirements of this section during a transfer of LHG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1102	Failure to comply with transfer hose and loading arm requirements during a transfer of LHG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1103	Failure to ensure piers and wharves meet the requirements of this section during a transfer of LHG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1105	Failure to ensure the layout and spacing of a marine transfer area for LHG meet the requirements of this section during a transfer of LHG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1107	Failure to have an operable electrical system installed in accordance with NFPA 70 during a transfer of LHG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1109	Failure to have operable and required components of lighting systems in place during a transfer of LHG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1111	Failure to have operable communication systems in place during a transfer of LHG.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1113	Failure to have warning signs in place during a transfer of LHG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1203	Failure to have operable gas detection in place during a transfer of LHG.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1205	Failure to have an emergency shutdown for the transfer system operable during the transfer of LHG.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1207	Failure to have required warning alarms in place or are not operable during a transfer of LHG.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 127.1209	Failure of facility to provide adequate respiratory protection for each employee in the marine transfer area during the transfer of toxic LHG's.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1301	Failure to ensure an individual meeting the requirements of this section is present during transfer operations.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1302(a)-(b)	Failure of operator to provide required training to facility personnel.	\$1,000	\$3,000	\$10,000	46 USC 70036(a)
33 CFR 127.1302(c)	Failure to maintain records of employee training.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 127.1303	Failure to comply with an order to suspend LHG transfer operations.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 127.1309 (a)	Failure to have an Operations Manual or Emergency Manual during transfer of LNG.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 127.1309 (b)	Failure to conduct LNG transfer operations in accordance with the examined Operations Manual.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1309 (c)	Failure to conduct an emergency response in accordance with the examined Emergency Manual.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1311	Vehicles are stopped or park outside of designated parking space during a transfer operation.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1313 (a)	Storage of unpermitted hazardous materials in the marine transfer area.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1313 (b)	Failure to store flammable liquids in accordance with Chapter 4 of NFPA 30.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1315	Failure to conduct a preliminary transfer inspection.	\$5,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 127.1315	Failure to inspect all required items on a preliminary transfer inspection.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1317	Failure to properly complete the declaration of inspection.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1319	Failure to comply with any requirement in this section.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1321	Failure to take required action upon the release of LNG.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1325	Failure of operator to ensure limited access to the marine transfer area for LHG to specified personnel.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1403	Failure to make inspections required by this section.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1405	Failure to conduct repairs in accordance with this section.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1407	Failure to conduct tests in accordance with this section.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1409	Failure to maintain records in accordance with this section.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 127.1501	Failure to properly mark firefighting equipment, or provide approved fire equipment.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1503	Failure to provide serviceable portable fire extinguishers in appropriate locations and numbers.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1505	Failure to provide appropriate emergency response and rescue capabilities.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1507	Failure to provide serviceable water systems for fire protection.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)

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Encl. (3) to COMDTINST M5582.1B

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 127.1509	Failure to provide serviceable equipment for controlling and extinguishing fires.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1511	Failure to provide an international shore connection when vessel is moored at facility.	\$1,000	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 127.1601	Failure to prevent smoking in the marine transfer area when LHG is present.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1603	Failure to obtain a COTP permit prior to welding or hot work, or failure to meet the conditions of the permit.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 127.1605	Failure to prevent other non-accidental sources of ignition.	\$2,000	\$6,000	\$10,000	46 USC 70036(a)
33 CFR 128.200	Failure of operator of a passenger terminal to implement a security program required under 33 CFR Part 128.	\$1,500	\$3,000	\$6,000	46 USC 70036(a)
33 CFR 138.65	Failure to have a valid Certificate of Financial Responsibility aboard.	\$1,000	\$2,500	\$5,000	33 USC 2716a(a)
33 CFR 146.103	Failure for a U.S. floating facility to provide adequate notice of arrival as required in this subpart.	\$3,000	\$10,000	*	33 USC 2716a(a)
33 CFR 146.104	Failure for a foreign floating facility to provide adequate notice of arrival as required in this subpart.	\$3,000	\$10,000	*	33 USC 2716a(a)
33 CFR 146.202	Failure to for a Mobile Offshore Drilling Unit (MODU) to provide adequate notice of arrival or relocation as required in this subpart.	\$3,000	\$10,000	*	33 USC 2716a(a)
33 CFR 150.333	Failure to provide notice of arrival at least 24 hours before entering a deepwater port.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 150.339	Failure of vessel owner or operator to obtain clearance from Vessel Traffic Supervisor before entering safety zone of a deepwater port.	\$500	\$1,500	\$3,000	46 USC 70036(a)
33 CFR 151.04(b)	Providing a false, fictitious statement or fraudulent representation when a statement or representation is required to be made to the Coast Guard.	\$1,000	\$2,000	\$4,000	33 USC 1908(b)(2)
33 CFR 151.10	Discharge of oil or oily mixtures into the sea when more than 12 nautical miles from the nearest land.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.13	Discharge of oil or oily mixtures into special areas for Annex I of MARPOL 73/78.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.15	Failure to report a discharge or probability of a discharge.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.19	Failure to have onboard a valid International Oil Pollution Prevention (IOPP) Certificate.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.21	Failure to have onboard valid documentation showing that the ship has been surveyed in accordance and complies with MARPOL 73/78.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.25	Failure to properly maintain Oil Record Book.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.26	Failure to have approved shipboard oil pollution emergency plan (SOPEP) onboard or discrepancies with the content requirements of SOPEP.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.27	Failure to have approved shipboard oil pollution emergency plan (SOPEP) onboard.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 151.29	Failure of a foreign vessel to carry or meet the requirements of an approved shipboard oil pollution emergency plan (SOPEP).	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.33	Failure to obtain proper certificates to carry Noxious Liquid Substances (NLS), Category C.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.35	Failure to obtain proper certificates to carry Noxious Liquid Substances (NLS), Category D.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.41	Failure to comply with the operating requirements for oceangoing ships with IOPP Certificates: Category C and D Oil-like NLSs.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.43	Failure to properly dispose of Noxious Liquid Substance (NLS) residue.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.45	Failure to report spill of Noxious Liquid Substance (NLS): Category A, B, C, or D.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.53	Discharge of garbage while in a special area.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.55	Failure to keep proper records.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.57	Failure to have a waste management plan onboard or failure to follow the plan.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.59	Failure to properly display Annex V Placard.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.63(a)	Failure to ensure that all garbage is discharged ashore or in accordance with 33 CFR 151.66 - 151.73.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.63(c)	Failure to ensure that garbage is deposited into a port or terminal's reception facility.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.65	Failure to notify the port or terminal, at least 24 hours before arrival, of garbage requiring disposal.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.66	Discharge of garbage into the navigable waters of the United States.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.67	Person onboard ship discharged into the sea, or into the navigable waters of the U.S., plastic or garbage mixed with plastic.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.69	Discharge of garbage outside a special area.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.71	Discharge of garbage within a special area.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.73	Discharge of garbage from a fixed or floating platform or a ship within 500 meters of such platforms.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 151.75	Use of a grinder or comminuter that does not properly process garbage.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 151.1009	Transportation of municipal or commercial waste in coastal waters without a permit or displaying number.	\$1,000	\$3,000	\$6,000	33 USC 2609(b)
33 CFR 151.1024	Failure to properly display the vessel number stated on the conditional permit.	\$1,000	\$3,000	\$6,000	33 USC 2609(b)
33 CFR 151.1506	Failure to certify, in accordance with 33 CFR 151.1516, that the requirements of this subpart have been met prior to operating in the Great Lakes or the Hudson River, north of the George Washington Bridge.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 151.1510(a)	Failure of master to employ one of the ballast water management practices provided for in this subpart.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.1510(b)	Failure of master to dispose of sediment from tanks or holds containing ballast water to shore, and in accordance with local requirements.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.1510(d)	Failure of master, owner, operator, agent, or person in charge of a vessel employing a Coast Guard-approved BWMS to meet the ballast water discharge standard, found in 33 CFR 151.1511, at all times of ballast water discharge into the waters of the United States.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.1515(a)	Failure of master, under extraordinary conditions, to request permission from the COTP to exchange the vessel's ballast water within an area agreed to by the COTP and then discharge the vessel's ballast water within that designated area.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.1515(b)	Failure of master, owner, operator, agent, or person in charge of a vessel to report to the COTP as soon as practicable if the ballast water management system required by this subpart stops operating properly during a voyage or the vessel's BWM method is unexpectedly unavailable.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.1516(a)	Failure of master to provide accurate and complete compliance monitoring documentation, in written form, to the COTP, in accordance with this subpart.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.1516(b)	Failure to allow the COTP to take samples of ballast water to assess compliance with, and the effectiveness of, this subpart.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2025 (a)	Failure of master, owner, operator, agent, or person in charge of a vessel to employ one of the ballast water management methods provided for in this subpart.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2025(a)(1)	Failure of master, owner, operator, agent, or person in charge of a vessel employing a Coast Guard-approved BWMS to meet the applicable ballast water discharge standard (BWDS), found in 33 CFR 151.2030, at all times of ballast water discharge into the waters of the US.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2025(a)(1)	Failure of master, owner, operator, agent, or person in charge of a vessel to properly maintain the BWMS in accordance with all manufacturer specifications.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2026(c)	Failure of master, owner, operator, agent or person in charge to maintain and operate the vessel's AMS in conformity with the system specifications.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2040(a)(2)	Failure of master, owner, operator, agent, or person in charge of a vessel discharging ballast water under extraordinary circumstances to discharge only that amount of ballast water operationally necessary to ensure the safety of the vessel for cargo operations.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2040(a)(3)	Failure to make records for discharges of ballast water in extraordinary circumstances available to the COTP upon request.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2040(b)	Failure of the person directing the movement of the vessel to report to the COTP as soon as practicable if the vessel's installed BWMS required by this subpart stops operating properly during a voyage or the vessel's BWM method is unexpectedly unavailable.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 151.2040(b)(3)	Failure to discharge only that amount of ballast water operationally necessary to ensure the safety and stability of the vessel for cargo operations.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2040(b)(3)	Failure to make records for discharges of ballast water in extraordinary circumstances available to the COTP upon request.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2050	Failure of master, owner, operator, agent, or person in charge to follow nonindigenous species reduction practices.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2050(c)	Failure of master, owner, operator, agent, or person in charge to dispose of ballast tank sediments in accordance with local, State, and Federal regulations.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2050(d)	Failure of master, owner, operator, agent, or person in charge to discharge only the minimal amount of ballast water essential for vessel operations while in the waters of the United States.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2050(e)	Failure of master, owner, operator, agent, or person in charge to rinse anchors and anchor chains when the anchor is retrieved to remove organisms and sediments at their places of origin.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2050(f)	Failure of master, owner, operator, agent, or person in charge to remove fouling organisms from the vessel's hull, piping, and tanks on a regular basis and dispose of any removed substances in accordance with local, State and Federal regulations.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2050(g)	Failure of master, owner, operator, agent, or person in charge to maintain a vessel specific ballast water management plan in accordance with this subpart.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2050(h)	Failure of master, owner, operator, agent, or person in charge to train the master, operator, person in charge, and crew on the application of ballast water and sediment management and treatment procedures.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2050(i)	Failure of master, owner, operator, agent, or person in charge, when discharging ballast water to a reception facility in the United States, to discharge only to reception facilities that have an NPDES permit to discharge ballast water.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2060(b)	Failure of master, owner, operator, agent, or person in charge, to submit a ballast water report to the National Ballast Information Clearinghouse (NBIC) in accordance with this subpart.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2060(b)(1)	Failure of master, owner, operator, agent, or person in charge of a vessel bound for the Great Lakes from outside the EEZ, to submit a ballast water report at least 24 hours before the vessel arrives in Montreal, Quebec.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2060(b)(2)	Failure of master, owner, operator, agent, or person in charge of a vessel bound for the Hudson River north of the George Washington Bridge entering from outside the EEZ, to submit a ballast water report at least 24 hours before the vessel enters New York, NY.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2060(b)(3)	Failure of master, owner, operator, agent, or person in charge to submit a ballast water report no later than 6 hours after arrival at the port or place of destination, or prior to departure from that port or place of destination, whichever is earlier.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 151.2060(c)	Failure of master, owner, operator, agent, or person in charge to submit a complete and accurate ballast water report containing the information required by this subpart.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2060(c)(5)	Failure of master, owner, operator, agent, or person in charge to certify the accuracy of the ballast water report.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2060(d)	Failure of master, owner, operator, agent, or person in charge to submit an amended ballast water report before the vessel departs the waters of the United States or not later than 24 hours after departure from the port or place, whichever is earlier, if the information submitted in accordance with this subpart change.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2060(e)	Failure of master, owner, operator, agent, or person in charge of a vessel operating on voyages exclusively between ports or places within a single COTP Zone to submit a ballast water report to NBIC by electronic Annual Ballast Water Summary Report format per the schedule provided in this subpart.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2060(f)	Failure of master, owner, operator, agent, or person in charge to submit a complete and accurate Annual Ballast Water Summary Report containing the information required by this subpart.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2070(a)	Failure of master, owner, operator, agent, or person in charge to maintain written or digital records of information required by this subpart.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2070(b)	Failure of master, owner, operator, agent, or person in charge to maintain a signed copy of information required by this subpart onboard the vessel for 2 years.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2070(c)	Failure of master, owner, operator, agent, or person in charge to provide the Coast Guard with readily viewable information required by this subpart.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2070(d)	Failure of master, owner, operator, agent, or person in charge to retain readily viewable monitoring records required by this subpart for 2 years.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2075(a)	Failure of master, owner, operator, agent, or person in charge to provide the COTP with access to the vessel in order to take samples of ballast water and sediment, examine documents, and make other appropriate inquiries to assess compliance with this subpart.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 151.2075(b)	Failure of master, owner, operator, agent, or person in charge to provide records to the COTP upon request.	\$2,500	\$5,000	\$7,500	16 USC 4711(g)(1)
33 CFR 151.2075(c)	Failure of master, owner, operator, agent, or person in charge to ensure vessel has sampling port(s) designed and installed in accordance with 46 CFR 162.060-28(f) and (f)(2) at each overboard discharge point.	\$5,000	\$7,500	\$10,000	16 USC 4711(g)(1)
33 CFR 153.305	Failure to follow prescribed methods and procedures for the removal of discharged oil.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.110	Failure to submit a letter of intent.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.120	Failure to allow Coast Guard examination or to perform testing to determine compliance with the regulations.	\$2,000	\$5,000	\$10,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.300	Operating manual not readily available to person in charge while conducting transfer operation.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)

A proposed penalty amount of * indicates that issuance of a NOV is not authorized

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 154.320(a)	Failure to amend operations manual when directed by COTP.	\$1,000	\$2,000	\$4,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.325	Failure to ensure operations manual has been examined by the Coast Guard prior to conducting transfer operations.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.500	Failure to meet requirements for hose assemblies used for transferring oil or hazardous material.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.510	Failure to meet requirements for loading arms used for transferring oil.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.520	Failure to properly blank off the transfer hose or loading arm.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.525	Failure to provide monitoring devices as required by the COTP.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.530	Failure to provide adequate small discharge containment.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.540	Failure to provide adequate means to safely and quickly remove discharged oil from the containment.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.545	Failure to have discharge containment equipment or material readily accessible.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.550	Failure to have operable means for emergency shutdown by Person in Charge (PIC).	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.560	Inadequate means of communication between Persons in Charge (PICs) of transfer operations.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.570	Inadequate lighting for transfer operations.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.710	Failure of facility to ensure person in charge used for transfer meets requirements of qualification.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.710(a)	Failure to properly designate a Person in Charge (PIC) of transfer operations.	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.730	Failure to provide evidence of designation for the Person in Charge (PIC).	\$1,000	\$2,500	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.735	Failure to ensure safety requirements required under 33 CFR 154.735 are met at the facility.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.740	Failure to maintain or make available required records.	\$500	\$1,500	\$3,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.750	Failure to comply with operations manual.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1017	Facility response plan not prepared and submitted to COTP.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1025	Handling, storing or transporting oil without submitting response plan.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1026	Failure to identify a qualified individual and alternate that meets the requirements of this section.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1028	Failure to ensure the availability of response resources by contract or other approved means.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1030	Failure to ensure the response plan contains the required information - written in English, training procedures, and notification procedures.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1035	Failure to include specific information in response plan for facilities that could be expected to cause significant harm to the environment.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 154.1040	Failure of facility that could cause substantial harm to the environment to comply with requirements for response plans.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1041	Failure of a mobile Marine Transportation-Related (MTR) facility to maintain specific response information while performing transfer operations.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1045	Failure to use criteria to evaluate response resources identified in response plan of facilities that handle, store, or transport Group I-IV oils.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1050	Training to be provided must be identified in the response plan & training records maintained for 3 years and made available upon request.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1055(a)	Failure to provide an exercise program containing both announced and unannounced exercises as per exercise requirements for facilities.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1055(b)	Failure of facility owner or operator to participate in a COTP directed Government initiated unannounced exercise (GUIE).	\$1,000	\$3,000	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1055(d)	Failure to ensure that adequate records of exercises were maintained at the facility for 3 years.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1057	Failure to ensure that all inspection and maintenance is documented and maintained for 3 years.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1060	Failure to submit a copy of a facility response plan meeting the requirements of this subpart to the COTP for initial review and approval.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.1065	Failure to comply with facility response plan revision and amendment procedures.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 154.2000	Failure to meet Subpart P requirements.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2020	Operating a Vapor Control System without certification or recertification by an approved certifying entity.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2021	Failure of an owner or operator to ensure an operational review is conducted by a certifying entity within five years of its initial certification or last operational review.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2030	Failure of facility to ensure person in charge meets requirements for transfer using vapor control system.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2031	Failure of facility to ensure person in charge at a tank barge cleaning facility meets requirements for transfer using vapor control system.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2100	Failure to meet vapor control system requirements.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2101	Failure to meet requirements for facility vapor connections.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2102	Failure to meet facility requirements for vessel liquid overfill protection.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2103	Failure to meet facility requirements for vessel vapor overpressure and vacuum protection.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2104	Failure to meet requirements for pigging system.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2105	Failure to meet requirements for fire, explosion, and detonation protection.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 154.2106	Failure to meet requirements for detonation arresters installation.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2107	Failure to meet requirements for inerting, enriching, and diluting systems.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2108	Failure to meet requirements for vapor-moving devices.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2109	Failure to meet requirements for vapor recovery and vapor destruction units.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2110	Failure to meet vapor balancing requirements.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2111	Failure to meet requirements for vapor control systems connected to a facility's main vapor control system.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2112	Failure to meet special requirements for vapors with potential to polymerize or freeze.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2113	Failure to meet special requirements for alkylene oxides.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2150	Failure to meet transfer facility general requirements.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2200	Failure to meet tank barge cleaning facilities design and installation requirements.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2201	Failure to meet general requirements for tank barge cleaning facilities vapor control system.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2202	Failure to meet requirements for tank barge cleaning facilities vapor line connections.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2203	Failure to meet facility requirements for barge vapor overpressure and vacuum protection.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2204	Failure to meet requirements for tank barge cleaning facilities fire, explosion, and detonation protection.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 154.2250	Failure to meet general requirements for tank barge cleaning facilities operations.	\$2,000	\$4,000	\$7,000	46 USC 70036(a)
33 CFR 155.205	Failure of an oil tanker or offshore oil barge of 400 ft or more in length to carry appropriate equipment to contain and remove on-deck oil spills of at least 12 barrels.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.210	Failure of an oil tanker or offshore oil barge less than 400 ft in length to carry appropriate equipment to contain and remove on-deck oil spills of at least 7 barrels.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.215	Failure of an inland oil barge to have required equipment ready during cargo transfer operations to control and remove on-deck oil cargo spills of one barrel.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.220	Failure of a vessel carrying oil as secondary cargo to carry appropriate equipment to contain and remove on deck oil cargo spills of one-half bbl.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.225	Failure to carry required equipment for internal transfer of cargo.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.230	Failure of an offshore oil barge and associated tugs to carry an emergency tow wire or tow line ready for use with same tow characteristics as the primary tow wire or tow line.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.310	Failure to provide adequate cargo oil discharge containment.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.320	Failure to provide adequate fuel oil or bulk lubricating oil discharge containment.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 155.330	Failure to provide adequate capacity to retain onboard all oily mixtures.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.350	Failure to provide operable oily water separating equipment when there is inadequate capacity to retain onboard all oily mixtures.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.360	Failure to provide adequate oily water separating equipment on oceangoing ships of at least 400 but less than 10,000 GTs.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.370	Failure to provide adequate oily water separating equipment on oceangoing ships 10,000 GTs and above, or oceangoing ships 400 GTs and above that carry ballast water in their fuel tanks.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.380	Failure to have approved oily-water separating equipment, bilge alarm or bilge monitor.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.400	Failure to provide oil-water separating equipment on a fixed or floating drilling rig or other platform.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.410	Failure to comply with oily mixture discharge requirements for non-oceangoing vessels 100 GT or more.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.420	Failure to comply with oily mixture discharge requirements for oceangoing vessels of at least 100 GT but less than 400 GT.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.430	Failure to provide standard discharge shore connection on vessels 400 GT or more.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.440	Failure to properly segregate fuel oil and ballast water.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.450	Failure of a ship 26 ft or more in length to display a "Discharge of Oil Prohibited" placard.	\$75	\$375	\$1,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.470	Carrying oil or hazmat in a prohibited space.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.480	Failure to maintain overfill device as required by this section.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.700	Failure to designate person in charge of oil transfer operation.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.710	Failure to ensure PICs have required qualifications.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.720	Failure to provide oil or hazmat transfer procedures.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.730	Failure to comply with transfer procedures.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.740	Failure to properly post or make available oil or hazmat transfer procedures.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.750	Failure to provide complete oil or hazmat transfer procedures.	\$500	\$1,500	\$3,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.760	Failure to amend oil or hazmat transfer procedures.	\$500	\$1,500	\$3,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.770	Intentional draining of oil or hazardous material from any source into the bilge of any vessel	\$500	\$1,500	\$3,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.780	Failure to provide an emergency shutdown for oil or hazmat transfers.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.785	Failure to provide adequate means of communication during oil or hazmat transfer.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.790	Failure to provide adequate vessel deck lighting during oil or hazmat transfer.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 155.800	Failure to provide required oil or hazmat transfer hose.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.805	Failure to blank off hoses not connected for the transfer of oil or hazmat.	\$500	\$1,500	\$3,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.810	Failure to provide required security for tank vessel.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.815	Failure to close any tank vessel openings while underway or at anchor.	\$500	\$1,500	\$3,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.820	Failure to maintain or make available required records.	\$500	\$1,500	\$3,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.1025	Failure to comply with operating restrictions or to obtain an interim operating authorization.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.1030	Failure to comply with general response plan requirements.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.1040	Failure to comply with the response plan requirements for unmanned tank barges carrying oil as a primary cargo.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.1050	Failure to comply with the requirements for vessels carrying groups I-IV petroleum oil as a primary cargo.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.1055(e)	Failure to ensure that all private shore-based response personnel are trained appropriately to meet the Occupational Safety and Health Administration (OSHA) standards for emergency response operations.	\$3,000	\$6,000	\$10,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.1060	Failure to comply with the requirements for conducting exercises in accordance with the vessel's approved response plan.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.1060(c)	Failure of tank vessel owner or operator to participate in a COTP directed Government initiated unannounced exercise (GIUE).	\$1,000	\$3,000	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.1125	Failure to comply with additional response plan requirements for Prince William Sound.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.4032(a)	Failure to justify to and receive approval from the Federal On scene Coordinator, for the selection and use of a resource provider not listed in an approved vessel response plan.	\$3,000	\$6,000	\$10,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.4032(b)	Failure to ensure that responders providing salvage and marine firefighting services are trained appropriately for worker health and safety.	\$3,000	\$6,000	\$10,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.5012	Failure to obtain approval to deviate from approved vessel response plan from the President or Federal On-Scene Coordinator.	\$3,000	\$6,000	\$10,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.5021	Failure to comply with operating restrictions.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.5023	Failure to obtain an interim operating authorization.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.5030	Failure to comply with general response plan requirements.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.5050	Failure to comply with requirements for vessels carrying group I-IV petroleum oil as fuel or secondary cargo.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 155.5055(a)(2)	Failure to ensure that all private shore-based response personnel are trained appropriately to meet the Occupational Safety and Health Administration (OSHA) standards for emergency response operations.	\$3,000	\$6,000	\$10,000	33 USC 1321(b)(6)(B)(i)
33 CFR 155.5060	Failure to comply with requirements for conducting an exercise in accordance with the vessel's approved response plan.	\$750	\$2,250	\$4,500	33 USC 1321(b)(6)(B)(i)
33 CFR 155.5060(a)(1)	Failure of nontank vessel owner or operator to participate in a COTP directed Government initiated unannounced exercise (GIUE).	\$1,000	\$3,000	\$5,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.113	Failure to comply with suspension order.	\$5,000	\$7,500	\$10,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.115(a)	Serving as person in charge of more than one ongoing transfer operation without COTP authorization.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.115(b)	Serving as the PIC for both a vessel and facility during transfer operations without COTP authorization.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.118	Failure to provide advance notice of oil transfer when required by COTP.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.120	Failure to comply with requirements for oil transfer.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.125	Failure to stop transfer after oil discharge, or resuming transfer without COTP authorization.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.130	Failure to provide proper oil transfer connections.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.150	Failure to properly complete a declaration of inspection (DOI).	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.160	Failure of the person in charge to properly supervise an oil transfer.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(a)	Failure to properly test or inspect equipment prior to oil transfer operations.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(b)	Failure to make entire external surface of hose accessible during test or inspection.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(c)(1)(i)	Use of nonmetallic oil transfer hose with unrepaired loose covers, kinks, bulges, soft spot, or any other defect which would permit discharge.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(c)(1)(ii)	Use of nonmetallic oil transfer hose with external deterioration and or internal deterioration.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(c)(2)	Failure of transfer system relief valve to open at or below pressure at which it is set to open.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(c)(3)	Failure of pressure gauge to show pressure within 10% of actual pressure.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(c)(4)	Failure of loading arm and or oil transfer pipe system (leakage) under static liquid pressure at least 1.5x max allowable working pressure.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(c)(5)	Failure of remote operating or indicating equipment (ex: remote valve, tank level alarm, emergency shutdown device) to perform its intended function.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(d)	Use of hose in underwater service for oil transfer operations without testing and inspecting in accordance with the regulations.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)

Notice of Violations Guidance for Marine Safety and Security Violations

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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 156.170(f)(1)	Failure to have oil transfer equipment inspected and or tested annually (facilities).	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.170(f)(2)	Failure to have oil transfer equipment inspected and or tested 30 days prior to first transfer after facility is removed from caretaker status.	\$2,000	\$4,000	\$7,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.210	Lightering without proper documents or authority.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.215	Failure to provide pre-arrival notice.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.220	Failure to provide notice of emergency incidents.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 156.225	Failure to conduct lightering operations inside a designated lightering zone.	\$1,500	\$3,000	\$6,000	33 USC 1321(b)(6)(B)(i)
33 CFR 157.23	Failure to provide adequate Cargo and Ballast System Information.	\$750	\$1,500	\$3,000	33 USC 1908(b)(1)
33 CFR 157.24	Failure to submit Calculations, Plan, and Specification.	\$1,500	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 157.100	Failure to provide required plans for Crude Oil Washing systems on U.S. tankers.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.102	Failure to provide required plans for Crude Oil Washing systems on foreign tank vessels in U.S. waters.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.104	Failure to provide a scale model of tanks relating to the Crude Oil Washing system when plans cannot adequately show the pattern of washing.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.108	Failure to provide required documents for Crude Oil Washing manuals for U.S. tank vessels.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.110	Failure to provide required documents for Crude Oil Washing manuals for foreign tank vessels.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.118	Failure to provide required documents for Crude Oil Washing systems, foreign vessels, while in U.S. waters.	\$1,500	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 157.130	Failure of tank vessel with a Crude Oil Washing system to be capable of washing cargo tanks with the grades of crude oil carried.	\$1,500	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 157.136	Failure to provide adequate communications between cargo discharge control stations on a tank vessel.	\$1,500	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 157.138	Failure to provide a complete Crude Oil Washing Operations and Equipment Manual.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.148	Failure to submit Crude Oil Washing system evidence for inspections.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.150	Failure to record Crude Oil Washing information after inspections.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.152	Failure to ensure that the Person in Charge (PIC) of Crude Oil Washing operations is fully trained and qualified.	\$1,500	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 157.154	Failure to ensure that the assistant Person in Charge (PIC) of Crude Oil Washing operations is fully trained and qualified.	\$750	\$1,500	\$3,000	33 USC 1908(b)(1)
33 CFR 157.155	Failure to meet the requirements for operation of the Crude Oil Washing system.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 157.156	Failure to follow the procedures listed in the Crude Oil Washing Operations and Equipment Manual.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.158	Operating a Crude Oil Washing system with changed characteristics without meeting the requirements of this regulation.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.160	Failure to meet the requirements for carrying ballast water in a cargo tank.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.162	Failure to meet the requirements for crude oil washing during a voyage.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.164	Failure to meet the requirements for inerting each cargo tank before and during washing.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.166	Failure to ensure hydrocarbon vapors are contained by a means under 157.132 in each tank being ballasted.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.168	Failure to maintain a Crude Oil Washing (COW) monitor watch on the main deck at all times during COW operations.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.170	Failure to meet the requirements for removing a deck mounted Crude Oil Washing machine.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.172	Carrying a grade of crude oil that cannot be used for Crude Oil Washing.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 157.200	Failure to submit or incomplete submission of plans for Dedicated Clean Ballast Tanks on U.S. vessels.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.202	Failure to submit or incomplete submission of plans for Dedicated Clean Ballast Tanks on foreign vessels.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.206	Failure to submit or incomplete submission of manual for Dedicated Clean Ballast Tanks on U.S. vessels.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.208	Failure to submit or incomplete submission of manual for Dedicated Clean Ballast Tanks on foreign vessels.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 157.214	Failure to provide or maintain required documents for Dedicated Clean Ballast Tanks on U.S. vessels.	\$1,500	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 157.216	Failure to provide or maintain required documents for Dedicated Clean Ballast Tanks on foreign vessels.	\$1,500	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 157.310	Failure to comply with conditions of exemptions issued under 33 CFR 157.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 CFR 158.115(b)	Made a false statement or fraudulent representation under the regulations of 33 CFR 158.	\$2,000	\$5,000	\$8,000	33 USC 1908(b)(2)
33 CFR 158.133(a)	Failure of a port or terminal which receives oceangoing tankers, or any other oceangoing ship of 400 GT or more, carrying oily mixtures, to provide a reception facility.	\$5,000	\$7,500	\$10,000	33 USC 1908(b)(1)
33 CFR 158.133(b)	Failure of a port or terminal which receives oceangoing ships carrying Noxious Liquid Substances (NLSs) to provide a reception facility.	\$5,000	\$7,500	\$10,000	33 USC 1908(b)(1)
33 CFR 158.133(c)	Failure of a port or terminal to provide a reception facility meeting Subpart D of 33 CFR 158.	\$5,000	\$7,500	\$10,000	33 USC 1908(b)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 158.135(a)	Failure of a required port or terminal to have a Certificate of Adequacy that shows compliance with 33 CFR 158.200 - 158.250 for reception of oily wastes.	\$1,000	\$2,000	\$3,000	33 USC 1908(b)(1)
33 CFR 158.135(b)	Failure of a required port or terminal to have a Certificate of Adequacy that shows compliance with 33 CFR 158.300 – 158.330 for reception of Noxious Liquid Substances.	\$1,000	\$2,000	\$3,000	33 USC 1980(b)(1)
33 CFR 158.135(c)	Failure of a required port or terminal to have a Certificate of Adequacy, that shows compliance with 33 CFR 158.400 – 158.420 for reception of garbage.	\$1,000	\$2,000	\$3,000	33 USC 1908(b)(1)
33 CFR 158.163	Failure to comply with the reception facility operation requirements in 33 CFR 158.	\$1,000	\$2,000	\$3,000	33 USC 1908(b)(1)
33 CFR 158.165	Failure to notify the COTP in writing within 30 days of information changes on the Certificate of Adequacy.	\$500	\$2,500	\$5,000	33 USC 1908(b)(1)
33 CFR 158.200	Failure to meet the requirements for reception facilities of residues and mixtures containing oil.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.210	Failure of a crude oil loading port or terminal to have the capacity to receive the amounts and material required.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.220	Failure of an oil, other than crude or bunker oil, loading port or terminal to have the capacity to receive the amounts and material required (facility loading more than 1,000 MT per day).	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.230	Failure of other port or terminal in 33 CFR 158.230, to have the capacity to receive the amounts and material required.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.240	Failure of a ship repair yard to have the capacity to receive the amounts and material required.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.250	Failure of a reception facility that received oily bilge water to have the standard discharge connection prescribed in 33 CFR 158.250(a-b).	\$500	\$1,000	\$2,000	33 USC 1908(b)(1)
33 CFR 158.310	Failure of a port or terminal that receives Noxious Liquid Substances to meet the general requirements.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.320	Failure of a port or terminal that receives Noxious Liquid Substances to have the required capacity.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.330	Failure of a port or terminal that receives Noxious Liquid Substances to have the required equipment, equipment arraignment, or manual.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.410	Failure of a reception facility to comply with the general requirements for garbage.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.420	Failure of a reception facility to comply with the capacity requirements for garbage.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.500	Failure of a port or terminal that receives Noxious Liquid Substances to have the cargo piping drained properly.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 158.520	Failure of a person in charge to ensure that the required instruction manual is followed during a transfer of Noxious Liquid Substances.	\$1,000	\$3,000	\$6,000	33 USC 1908(b)(1)
33 CFR 159.5	Failure to equip, any new vessel manufactured for sale with installed toilet facilities, with an operable, labeled Type I, II, or III MSD.	\$2,500	\$5,000	\$10,000	33 USC 1322(j)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 159.7(a)	Operated a vessel with installed toilet facilities not equipped with an operable Type I, II, or III MSD or not labeled under 159.16 or certified under 159.12 or 159.12a.	\$500	\$2,000	\$3,000	33 USC 1322(j)
33 CFR 159.7(b)	Failure to secure each Type I or II MSD prior to operating vessel in an area where the discharge of untreated sewage is prohibited by the EPA.	\$500	\$2,000	\$3,000	33 USC 1322(j)
33 CFR 159.7(c)	Failure to secure each Type III MSD prior to operating vessel in an area where the discharge of untreated sewage is prohibited by the EPA.	\$500	\$2,000	\$3,000	33 USC 1322(j)
33 CFR 159.307	Discharge of any untreated sewage from a cruise vessel into the applicable waters of Alaska.	\$500	\$2,000	\$3,000	\$10,000 Pub L 106-554, Sec. 1(a)(4) ¹
33 CFR 159.309	Failure to meet the criteria established for treated sewage or graywater from a cruise vessel into the applicable waters of Alaska.	\$500	\$2,000	\$3,000	\$10,000 Pub L 106-554, Sec. 1(a)(4) ¹
33 CFR 159.315	Failure of a cruise vessel to maintain a sewage and graywater discharge record book while in the applicable waters of Alaska.	\$500	\$2,000	\$3,000	\$10,000 Pub L 106-554, Sec. 1(a)(4) ¹
33 CFR 159.317	Failure of a cruise vessel to follow the sampling and reporting requirements book while in the applicable waters of Alaska.	\$500	\$2,000	\$3,000	\$10,000 Pub L 106-554, Sec. 1(a)(4) ¹
33 CFR 160.105	Failure to comply with an order pertaining to the control of vessel or facility operations.	\$5,000	*	*	46 USC 70036(a)
33 CFR 160.107	Failure to comply with an order denying entry into U.S. navigable waters to a vessel not in compliance with the Port and Tanker Safety Act.	\$5,000	*	*	46 USC 70036(a)
33 CFR 160.109	Failure to comply with directions concerning the handling, loading, unloading, or storage, or movement of dangerous substances or articles.	\$5,000	*	*	46 USC 70036(a)
33 CFR 160.111	Failure to comply with an order to anchor or operate a vessel in the manner directed.	\$5,000	*	*	46 USC 70036(a)
33 CFR 160.206	Failure to provide any of the required information in a Notice of Arrival.	\$5,000	*	*	46 USC 70036(a)
33 CFR 160.208	Failure to provide any of the required information in an update to a Notice of Arrival.	\$5,000	*	*	46 USC 70036(a)
33 CFR 160.216	Failure to immediately notify the nearest Coast Guard office of a hazardous condition.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.4	Failure to have required VTS rules onboard.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.5	Failure to request a deviation from the VTS rules.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.12(a)	Failure to comply with a VTS measure or direction.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.12(a)(1)	Failure to report deviation from a VTS measure or direction as soon as practicable.	\$5,000	*	*	46 USC 70036(a)

¹ Pub L 106-554, Sec. 1(a)(4) is not a part of the U.S. Coast Guard penalty authorities listed in 33 CFR Part 27. When using these citations, verify that the maximum penalty amount in this public law or 33 CFR 159.321(a)(2)(i) has not been adjusted for inflation since the publication of this Manual.

A proposed penalty amount of * indicates that issuance of a NOV is not authorized

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 161.12(b)	Failure to comply with the requirements for a proper listening watch, prompt response when hailed by VTS, and communications in English.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.12(c)	Failure to notify the VTS of hazardous vessel operating conditions and other required reports.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.13(a)	Failure to tow astern with as short a hawser as is practicable.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.13(b)(1)	Failure to obtain VTS approval prior to entering or getting underway in the special area.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.13(b)(2)	Entering the SA when hazardous vessel operating conditions or circumstances exist.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.13(b)(3)	Failure to obtain VTS approval before meeting, crossing, or overtaking any other VRMS user.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.13(b)(4)	Failure to make bridge to bridge communication passing arrangements before meeting, crossing, or overtaking any other VMRS User.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.18(b)	Failure to make required reports as soon as practicable on the designated VTS VHF channel.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.18(c)	Failure to comply with the requirements to maintain a listening watch, promptly respond to VTS, and communicate in English.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.19	Failure to make Sailing Plan Report at least 15 minutes before navigating a VTS area.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.20	Failure to make Position Report at required time.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.21(a)	Failure to make continuous, all stations, AIS broadcasts, in lieu of voice Position Reports to VTS or VMRS Centers denoted in Table 161.12(c) of 33 CFR 161.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.21(b)	Failure to restore AIS to proper operating condition, as soon as possible, while or prior to navigating a VMRS area denoted in Table 161.12(c) of 33 CFR 161.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.21(b)(1)	Failure notify the VTS or VMRS Center when AIS becomes non-operational.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.21(c)	Failure to notify the VTS or VMRS Center when AIS became non-operational.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.22	Failure to make Final Report at required time.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.23(b)(1)	Failure to provide a Sailing Plan at least 5 minutes before entering the VTS area.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.23(b)(2)	Failure to provide Position and Final Report; others when departing from schedule by more than 15 minutes or changing its limited operating area.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.23(c)	Failure to restore ADSSE to operating condition as soon as possible.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.23(c)(1)	Failure to notify VTC, provide a Position Report or other requested voice reports when ADSSE is not operational.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.23(c)(2)	Failure to provide a Position Report or other requested voice reports, when ADSSE is non-operational, due to a loss of position correction info.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.25	Caused or authorized the operation of a vessel in the New York VTS area, as defined, contrary to the rules contained in this Part.	\$5,000	*	*	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 161.30	Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.35	Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.40	Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.45	Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.50	Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.55	Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$5,000	*	*	46 USC 70036(a)
33 CFR 161.60	Caused or authorized the operation of a vessel in a VTS Area contrary to the rules contained in this Part.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(a)	Failure to man wheelhouse to direct and control the movement or fix the vessel's position.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(b)	Failure to have each person competent to perform duties.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(c)	Failure to plot fixes and failure to inform the person directing the vessel's movement of the vessel's position.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(d)	Failure to use electronic and other navigational equipment, external aids to navigation, geographic references, or hydrographic contours.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(e)	Navigating by using buoys alone to fix the vessels position.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(f)	Failure to evaluate each closing, visual, or radar contact.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(g)	Failure to execute rudder orders as given.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(h)	Failure to execute engine speed and direction orders as given.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(i)	Failure to determine compass error and correctly apply.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(j)	Failure to have competent helmsman at all times in the wheelhouse.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(k)	Failure to inform pilot of vessel particulars.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(l)	Failure to ensure information on currents is known.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(m)	Failure to ensure set and drift information is known.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(n)	Failure to ensure tidal information is known.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(o)	Failure to have vessel's anchors ready to let go.	\$5,000	*	*	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.11(p)	Failure to consider the rules for setting the vessel's speed as prescribed in 164.11(p)(1)-(8).	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(q)	Failure to make and log the tests required in 164.25.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(r)	Failure to maintain required equipment in operable condition.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(s)	Failure to test manual steering when entering U.S. waters.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.11(t)	Failure to have at least two steering gear power units in simultaneous operation when capable of such.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.13(b)	Failure to have engineering watch capable of requirements and properly manned and placed.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.13(c)	Failure to have two licensed deck officers on the bridge.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.13(d)	Operating with an auto pilot at times other than specified.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.15	Failure to provide adequate visibility as specified.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.19(a)	Failure to maintain an anchor watch.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.19(b)	Failure to have procedures to detect a dragging anchor.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.19(c)	Failure to prepare for adverse conditions when anchored.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.25(a)(1)	Failure to test primary and secondary steering gear.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.25(a)(2)	Failure to test internal vessel control communications and vessel control alarms.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.25(a)(3)	Failure to test emergency generator.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.25(a)(4)	Failure to test storage batteries for emergency service.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.25(a)(5)	Failure to test main propulsion machinery, ahead and astern.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.25(d)	Failure to conduct and log emergency steering drill.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.30	Failure to have the marine charts, publications and equipment required by 164.33 - 164.41 of this part.	\$3,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 164.33(a)(1)(i)	Failure to have proper scale charts for the area of operation.	\$3,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 164.33(a)(1)(ii)	Failure to have corrected charts for the area of operation.	\$3,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 164.33(a)(2)(i)	Failure to have corrected U.S. Coast Pilot or currently corrected applicable extract.	\$3,000	\$7,500	\$10,000	46 USC 70036(a)
33 CFR 164.33(a)(2)(ii)	Failure to have currently corrected Light List or currently corrected applicable extract.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.33(a)(3)(i)	Failure to have current tide tables.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.33(a)(3)(ii)	Failure to have current tidal current tables.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.33(b)	Failure to provide suitable foreign government charts or publications as substitutes for required U.S. charts or publications.	\$2,500	*	*	46 USC 70036(a)

Notice of Violations Guidance for Marine Safety and Security Violations

Encl. (3) to COMDTINST M5582.1B

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.35(a)	Failure to have a marine radar for surface navigation.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(b)	Failure to have an illuminated magnetic steering compass, mounted in a binnacle, that can be read at vessel's main steering stand.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(c)	Failure to have a current magnetic compass deviation table or graph or compass comparison record for the steering compass.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(d)	Failure to have a gyrocompass.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(e)	Failure to have an illuminated repeater for the gyrocompass.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(f)	Failure to have an illuminated rudder angle indicator in the wheelhouse.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)	Failure to have a Maneuvering Information Sheet posted prominently in the wheelhouse.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(1)	Failure to have a turning circle diagram.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(2)	Failure to have time and distance to stop information from either full and half speeds, or from full and slow speeds.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(3)	Failure to have a table of shaft revolutions per minute for a representative range of speeds.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(4)	Failure to have a table of control settings for a representative range of speeds.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(5)	Failure to have a table of vessel speeds at which auxiliary devices are effective in maneuvering the vessel.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(6)(i)	Failure to have maneuvering information for normal load and ballast conditions for: calm weather.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(6)(ii)	Failure to have maneuvering information for normal load and ballast conditions for: no current.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(6)(iii)	Failure to have maneuvering information for normal load and ballast conditions for: deep water conditions.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(6)(iv)	Failure to have maneuvering information for normal load and ballast conditions for: clean hull.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(g)(7)	Failure to have, at the bottom of the fact sheet, the proper warning statement.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(h)	Failure to have an echo depth sounding device.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(i)	Failure to have a device that can continuously record the depth readings of the vessel's echo depth sounding device.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(j)	Failure to have equipment on the bridge for plotting relative motion.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(k)	Failure to have steering diagram and change-over instructions, or failure to display them on the navigating bridge or steering compartment.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(l)	Failure to have an indicator readable from centerline of conning position showing the rate of revolution of each propeller.	\$2,500	*	*	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.35(m)	Failure to have an indicator readable from centerline of conning position showing the pitch and operational mode of each propeller.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.35(n)	Failure to have an indicator readable from centerline of conning position showing the direction and amount of thrust of propeller.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.37(a)	Failure to have a second radar that operates independently of the first.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.37(b)	Failure to have a radar system with short range capability, long range capability, and stabilized true north feature.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.38(b)	Failure to have an Automatic Radar Plotting Aid (ARPA) that complies with the standard adopted by the International Maritime Organization.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.38(d)	Failed to have a permanently affixed label on the Automatic Radar Plotting Aid (ARPA) device containing the required information.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.39(c)	Failure of foreign tanker constructed on or after Sept 1, 1984 to meet the requirements of Chapter II-1, Regulations 29 and 30 of SOLAS 74.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.39(d)	Failure of foreign tanker constructed before Sept 1, 1984 to meet the requirements of Chapter II-1, Regulations 29.19 of SOLAS 74.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.39(e)	Failure of foreign tanker of 40,000 GT constructed before Sept 1, 1984 that does not meet the requirements of Chapter II-1, Regulations 29.16 to meet the requirements of Chapter II-1, Regulations 29.20 of SOLAS 74.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.39(f)	Failure of foreign tanker constructed before Sept 1, 1984 to meet the requirements of Chapter II-1, Regulations 29.14 and 29.15 of SOLAS 74.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.40(a)	Failure of vessel fitted with an ARPA to be fitted with a device to indicate speed and distance of the vessel.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.41(a)	Failure of vessel to comply with the rules regarding electronic position fixing devices.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.42	Failure to have a rate of turn indicator.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.43	Failure to have required Automated Identification System Shipborne Equipment (AISSE) when operating in Prince William Sound, Alaska.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.46(b)	Failure to have onboard a USCG type-approved AIS.	\$2,500	*	*	46 USC 70119(a)
33 CFR 164.46(b)	Operating an AIS which is not properly installed.	\$2,500	*	*	46 USC 70119(a)
33 CFR 164.46(b)	Operating an AIS Class B device in lieu of a required Class A device.	\$2,500	*	*	46 USC 70119(a)
33 CFR 164.46(c)	Failure to comply with International Convention for Safety of Life at Sea (SOLAS), as amended, Chapter V, regulation 19.2.1.6 (Positioning System), 19.2.4 (AIS Class A), and 19.2.3.5 (Transmitting Heading Device) or 19.2.5.1 (Gyro Compass) as applicable (Incorporated by reference, see §164.03).or 19.2.5.1 (Gyro Compass) and 19.2.9 (Rate of Turn Indicator).	\$5,000	*	*	46 USC 70119(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.46(d)(2)	Failure to maintain the vessel's AIS in effective operating condition – unknowingly broadcasts inaccurate, improper, or outdated VOYAGE related data.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(d)(2)	Failure to keep the vessel's AIS in effective operating condition - unknowingly broadcasting inaccurate or improper dynamic or static AIS data.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(d)(2)	Failure to maintain the vessel's AIS in effective operating condition – operating the vessel's AIS with inaccurate or improper AIS data.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.46(d)(2)	Failure to maintain the vessel's AIS in effective operating condition – operating the vessel's AIS contrary to acceptable standards or guidelines.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(d)(2)	Failure to maintain the vessel's AIS in effective operating condition – broadcasting an unofficial Mobile Service Identity (MMSI) or other misleading AIS identification data.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(d)(2)(ii)	Failure to maintain the vessel's AIS in effective operation condition - inability to access AIS information from the primary conning position of the vessel.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(d)(2)(v)	Failure to properly operate the vessel's AIS when at anchor, underway, or at least 15 minutes prior to unmooring.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(d)(3)	Text messaging via AIS to communicate something other than pertinent navigation safety information.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(d)(3)	Text messaging via AIS in a language other than English.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(e)	Failure to maintain a proper periodic watch on AIS.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(f)	Operating (broadcasting) more than one AIS mobile device on a vessel at the same time.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(g)	Failure to have an AIS pilot plug on a vessel subject to pilotage by someone other than the Master or crew.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(g)	Failure to have an AIS pilot plug adjacent to a 3-prong, 120 volt, AC power receptacle (NEMA 5-15); plug beyond 6 feet.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(g)	Failure to have an AIS pilot plug adjacent to a 3-prong, 120 volt, AC power receptacle (NEMA 5-15); plug beyond 3 feet, but within 6 feet.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(g)	Failure to have an AIS pilot plug adjacent to a 3-prong, 120 volt, AC power receptacle (NEMA 5-15); receptacle is not 3 prong.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.46(i)	Failure to comply with prohibition with regard to broadcasts from AIS Class A or B devices on aircraft, non-self-propelled vessels or from land.	\$5,000	*	*	46 USC 70119(a)
33 CFR 164.53(a)	Failure to obey COTP or District Commander's direction regarding movement of a vessel with non-operating navigational equipment.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.53(b)	Failure to report non-operating navigational equipment to nearest COTP or VTS.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.55	Failure to report broken equipment, disobey COTP directions.	\$5,000	*	*	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 164.61	Failure to report marine casualty or maintain records pertaining to casualty.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.72	Failure to have required navigational safety equipment, charts or maps, and publications on towing vessels.	\$2,500	*	*	46 USC 70036(a)
33 CFR 164.74	Failure to ensure towing vessel has towline and terminal gear as required.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.76	Failure to ensure adequacy of towline and terminal gear for towing alongside or pushing ahead.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.78	Failure to ensure that each person directing and controlling the movement of a towing vessel is properly qualified.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.80	Failure to ensure tests and inspections of gear required occur before vessel embarks on voyage of more than 24 hours or when new master or operator assumes command.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.82(b)	Failure to exercise due diligence to repair inoperative navigation safety equipment required by 33 CFR 164.72 and enter its failure in vessel's log.	\$5,000	*	*	46 USC 70036(a)
33 CFR 164.82(c)	Failure to report inoperative navigational safety equipment required by 33 CFR 164.72.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.13(a)	Failure of the Master of a vessel to operate in accordance with 33 CFR 165.100 through 165.1705.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.13(b)	Caused or authorized the operation of a vessel in a regulated navigation area contrary to the regulations prescribed in 165.10.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.23(a)	Unauthorized entry into a safety zone.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.23(b)	Caused or brought an unauthorized vehicle, vessel or object into a safety zone.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.23(d)	Failure of a person in a safety zone, to obey the orders or directions of the COTP or District Commander.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.33(a)	Entered or remained in a security zone without permission of the COTP.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.33(b)	Failure of a person or vessel in a security zone, to obey a COTP order or direction.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.33(e)	Boarded, or remove, or place objects onboard, any vessel in a security zone, without COTP permission.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.33(f)	Took or placed any object upon any waterfront facility in a security zone without COTP permission.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(d)	Failure to comply with general mooring requirements of the Regulated Navigation Area regulations for the Mississippi River.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(e)	Failure to meet the requirements for mooring to a mooring device in the Regulated Navigation Area of the Mississippi River.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(f)	Failure to comply with the requirements for barge-to-barge, barge-to-vessel or barge-to-pier moorings.	\$5,000	*	*	46 USC 70036(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 165.803(g)	Failure to meet the prescribed requirements for a person in charge.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(h)	Failure to comply with the requirements for inspection of moorings.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(i)	Failure to meet the prescribed requirements for maintaining fleeting facility records.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(j)	Failure to comply with the requirements for continuous surveillance of barges in the fleeting facility.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(k)	Failure of person in charge of fleeting facility to ensure each deficiency requirement of paragraph (h) or (j) of this section is corrected.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(l)	Failure of person in charge to take immediate action to secure each breakaway and to report each breakaway as soon as possible to the COTP.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.803(m)	Failure to comply with the requirements for fleeting facilities during high water.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.810	Failure to operate a vessel in a regulated navigation area in accordance with the regulations specified for the area.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.2025	Entered or remained in an Atlantic Area Naval Vessel Protection Zone without the permission of the Coast Guard, the official patrol, or the senior naval officer present in command.	\$5,000	*	*	46 USC 70036(a)
33 CFR 165.2030	Entered or remained in a Pacific Area Naval Vessel Protection Zone without the permission of the Coast Guard, the official patrol, or the senior naval officer present in command.	\$5,000	*	*	46 USC 70036(a)
33 CFR 166.200	Failure to comply with the established fairways and anchorage areas in the Gulf of Mexico and along the Gulf Coast.	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.125	Failure of a self-propelled vessel of 300 GT or greater to participate in the reporting systems for the protection of the endangered northern right whale.	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.130	Failure to make required reports.	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.135	Failure to make the report over the required system or frequency.	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.140	Failure to follow the standard reporting and formatting requirements.	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.205	Failure to transmit LRIT information (position reports).	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.210	Failure to transmit LRIT information (position reports) based on relationship to the U.S.	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.215	Failure to transmit position reports from type-approved equipment.	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.220	Failure to be fitted with LRIT equipment when required.	\$2,500	*	*	46 USC 70036(a)
33 CFR 169.230	Failure of LRIT to transmit position at least 6-hour intervals.	\$5,000	*	*	46 USC 70036(a)
33 CFR 169.245	Failure to report that LRIT equipment is switched off or fails to operate.	\$5,000	*	*	46 USC 70036(a)
33 CFR 179.11	Failure of manufacturer to furnish notification of defect determined by Commandant.	\$1,000	\$2,000	\$6,000	46 USC 4311(b)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 CFR 181.7	Failure to comply with certification label requirement.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 181.9(a)	Failure to affix certification label.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 181.23	Failure meet requirements for Hull Identification Numbers.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 181.25	Failure meet requirements for format of Hull Identification Numbers.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 181.27	Failure meet requirements for information to be displayed near Hull Identification Numbers.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 181.29	Failure meet requirements for Hull Identification Number display.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 181.31(a)	Failure to request manufacturer identification code in writing.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 181.31(b)	Failure for U.S. importer to request manufacturer identification code in writing.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 183.25	Failure to meet requirement for display of markings on boats.	\$500	\$1,000	\$2,300	46 USC 4311(c)
33 CFR 183.23	Failure to meet capacity marking requirement for boats.	\$500	\$1,000	\$2,300	46 USC 4311(c)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
<u>Cites in 33 USC</u>					
33 USC 499(b)	Failure of a bridge owner, except a railroad bridge owner, to provide notice required by 33 USC 499 (b).	\$1,000	\$2,000	\$5,000	33 USC 499(c)
33 USC 499(f)	Failure to keep and maintain a draw bridge logbook.	\$1,000	\$2,000	\$5,000	33 USC 499(c)
----- Begin International Navigation Rules (COLREGS) -----					
33 USC 1602 (RULE 2)	Failure of vessel, owner, master or crew to comply with these Rules or any precautions required by the ordinary practice of seaman.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 5)	Failure to maintain a proper look-out.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 6)	Failure to proceed at a safe speed for prevailing conditions.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 7)	Failure to use all available means to determine if risk of collision exists.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 8)	Failure to take appropriate action to avoid collision.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 9)	Failure to take appropriate action in narrow channels.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 10)	Failure to comply with applicable vessel traffic service schemes.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 12)	Failure of sailing vessels in sight of one another to keep out of way according to the International Rules.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 13)	Failure of overtaking vessel to keep out of way of vessel being overtaken.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 14)	Failure of power-driven vessel to make appropriate course alterations in head-on situation.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 15)	Failure of appropriate power-driven vessel in crossing situation to keep out of way.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 16)	Failure of give-way vessel to take early and substantial action to keep well clear.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 17)	Failure of stand-on vessel to take appropriate action to avoid collision.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 18)	Failure of appropriate vessel to keep out of way of less maneuverable vessel.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 19)	Failure of vessel, not in sight of another, navigating in or near area of restricted visibility to conduct her behavior according to Rules.	\$5,000	*	*	33 USC 1608
33 USC 1602 (RULE 27)	Failure to exhibit appropriate lights and or shapes for a vessel not under command or restricted in ability to maneuver.	\$2,500	*	*	33 USC 1608
33 USC 1602 (RULE 30)	Failure to exhibit appropriate lights -- Anchored vessels and vessels aground.	\$2,500	*	*	33 USC 1608
33 USC 1602 (RULE 31)	Failure to exhibit appropriate lights -- Seaplane.	\$2,500	*	*	33 USC 1608
33 USC 1602 (RULE 33)	Failure to have required equipment for making sound signals.	\$2,500	*	*	33 USC 1608

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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
33 USC 1602 (RULE 34)	Failure of vessel, when in sight of another vessel, to make appropriate maneuvering or warning signal.	\$2,500	*	*	33 USC 1608
33 USC 1602 (RULE 35)	Failure to make appropriate sound signal when in or near an area of restricted visibility.	\$2,500	*	*	33 USC 1608
33 USC 1602 (RULE 36)	Use of prohibited light or sound signal to attract the attention of another vessel.	\$2,500	*	*	33 USC 1608
33 USC 1602 (RULE 37)	When vessel in distress, failure to use or exhibit signals described in Annex IV of the International Rules.	\$2,500	*	*	33 USC 1608
33 USC 1602 ANNEX IV(2)	Use or exhibition of distress signals except for the purpose of indicating distress and need of assistance.	\$5,000	*	*	33 USC 1608
----- End International Navigation Rules (COLREGS) -----					
33 USC 1907(f)	Failure to have a valid International Air Pollution Prevention Certificate Annex VI, Reg. 6.1.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 USC 1907(f)	Failure to meet the fuel sulfur limits required inside the ECA Annex VI, Reg. 14.4.3.	\$7,500	\$10,000	*	33 USC 1908(b)(1)
33 USC 1907(f)	Failure to have fuel changeover procedures or properly implement procedures Annex VI, Annex VI, Reg. 14.6.	\$3,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 USC 1907(f)	Failure to bunker delivery notes readily available or failure to maintain bunker notes Annex VI, Reg. 18.6 for 3 years.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)
33 USC 1907(f)	Failure to have fuel samples onboard Annex VI, Reg. 18.8.	\$2,000	\$6,000	\$10,000	33 USC 1908(b)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
<u>Cites in 46 CFR</u>					
46 CFR 2.10-20	Failure to comply with the requirements for vessel owners to pay fees before inspection or examination services are provided.	\$500	\$1,500	\$3,000	46 USC 2110(e)
46 CFR 4.05-1	Failure to give immediate notice of a marine casualty involving the occurrence listed in 46 CFR 4.05-1.	\$5,000	\$10,000	*	46 USC 6103(a)
46 CFR 4.05-5	Failure to include required items in the notice of a marine casualty.	\$1,000	\$3,000	\$6,000	46 USC 6103(a)
46 CFR 4.05-10(a)	Failure to report a marine casualty in writing within five days to the Officer in Charge, Marine Inspection or include any required information in the required Report of Marine Casualty, Commercial Diving Casualty, or OCS-Related Casualty Form (CG-2692) or its addendums.	\$1,000	\$3,000	\$6,000	46 USC 6103(a)
46 CFR 4.05-12(a)	Failure of a marine employer to determine whether there is any evidence of alcohol or drug use by individuals directly involved in a marine casualty.	\$1,000	\$3,000	\$5,000	46 USC 2115
46 CFR 4.05-12(b)	Failure of a marine employer to report evidence of alcohol or drug use by individuals directly involved in a marine casualty.	\$1,000	\$3,000	\$5,000	46 USC 2115
46 CFR 4.05-12(c)	Failure to make an entry in the official log book pertaining to those individuals for whom evidence of intoxication was obtained.	\$1,000	\$3,000	\$5,000	46 USC 2115
46 CFR 4.05-12(d)	Failure to document the refusal to test of an individual in the official logbook, on the CG-2692, or the Report of Mandatory Chemical Testing Following a Serious Marine Incident Involving Vessels in Commercial Service Form (CG-2692B).	\$1,000	\$3,000	\$5,000	46 USC 2115
46 CFR 4.05-15(a)	Failure to retain voyage records of a vessel involved in a marine casualty.	\$1,000	\$3,000	\$6,000	46 USC 6103(a)
46 CFR 4.05-20	Failure to report an accident with a buoy or other aid to navigation under the Coast Guard's jurisdiction to the nearest Officer in Charge, Marine Inspection.	\$2,000	5,000	\$10,000	46 USC 6103(a)
46 CFR 4.06-1(a)	Failure of a marine employer to make a determination as to whether the casualty is or is likely to become a serious marine incident.	\$2,000	5,000	\$10,000	46 USC 6103(a)
46 CFR 4.06-1(b)	Failure of a marine employer to complete chemical testing for those individuals directly involved in a serious marine incident.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 4.06-1(c)	Failure of a marine employer to complete chemical testing for those individuals determined by a law enforcement officer to be directly involved in a serious marine incident.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 4.06-1(e)	Failure of employer to indoctrinate or train vessel personnel in the requirements or practical applications for SMI chemical testing.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 4.06-3(a)	Failure of employer to conduct alcohol testing on individuals directly involved in the SMI.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-3(a)(1)(i)	Failure of employer to conduct alcohol testing on individuals directly involved in the SMI within 2 hours of the occurrence.	\$1,000	\$2,000	\$4,000	46 USC 2115

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 4.06-3(b)	Failure of employer to conduct drug testing on individuals directly involved in the SMI.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-3(b)(1)(i)	Failure of employer to conduct drug testing on individuals directly involved in the SMI within 32 hours of the occurrence.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 4.06-15(a)	Failure of employer to have sufficient number of alcohol testing devices readily accessible. onboard to determine presence of alcohol on individuals directly involved in the SMI.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-15(a)	Failure of employer to have sufficient number of urine specimen collection and shipping kits. readily accessible to use following an SMI.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-20(a)(1)	Failure of an individual directly involved in an SMI to provide a specimen of breath, blood, or saliva to the marine employer.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-20(a)(2)	Failure of employer to use qualified medical personnel to collect blood specimens.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-20(a)(3)	Failure of employer to use qualified medical personnel to operate the alcohol-testing device used in the collection of breath and saliva specimens.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-20(b)(1)	Failure of an individual directly involved in an SMI to provide a urine specimen to the marine employer.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-20(b)(2)	Failure of an employer to collect urine specimens in accordance with 49 CFR Part 40.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-60(a)	Failure of employer to complete and provide the CG a Form CG-2692B following a SMI.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 4.06-60(b)	Failure of a marine employer to provide chemical test results for each person listed on the CG-2692B to the OCMI to whom the form was submitted.	\$1,500	\$3,000	\$5,000	46 USC 2115
46 CFR 10.109	Failure to pay licensing fees or charges.	\$1,000	\$2,500	\$5,000	46 USC 2110(e)
46 CFR 12.02-7	Failure to comply with the requirements for Merchant Mariners' Documents.	\$100	\$250	\$500	46 USC 8701(d)
46 CFR 15.401	Employment of an individual, or service in a position by an individual, without the appropriate license.	\$750	\$1,500	\$3,000	46 USC 8101(g)
46 CFR 15.410	Failure to have an assistance towing vessel under the control of a properly licensed individual.	\$1,000	\$3,000	\$6,000	46 USC 8906
46 CFR 15.515(a)	Vessel operated without full complement required by vessel's certificate of inspection.	\$1,000	\$2,000	\$4,000	46 USC 8101(f)
46 CFR 15.515(b)	Failure of vessel on a voyage and subject to inspection, to be under the direction and control of an individual with the appropriate CG license.	\$1,000	\$2,000	\$4,000	46 USC 8101(f)
46 CFR 15.520	Failure to comply with the requirements for Mobile Offshore Drilling Units (MODUs).	\$1,500	\$3,000	\$6,000	46 USC 8101(f)
46 CFR 15.605	Failure to have an uninspected passenger vessel under the control of a properly licensed individual.	\$1,000	\$2,000	\$4,000	46 USC 8906
46 CFR 15.610	Failure to have an uninspected towing vessel over 26 ft in length, under the control of a properly licensed individual.	\$1,000	\$2,000	\$4,000	46 USC 8906

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46 CFR 15.701	Failure to comply with the requirements for the Officers' Competency Certificates Convention, 1936.	\$100	\$110	\$110	46 USC 8304(d)
46 CFR 15.705	Failure to comply with the requirements for watches and watch standing.	\$1,500	\$3,000	\$6,000	46 USC 8104(i)
46 CFR 15.710	Failure to comply with the requirements for working hours.	\$1,500	\$3,000	\$6,000	46 USC 8104(i)
46 CFR 15.720	Failure to comply with the requirements for use of non-U.S. credentialed or documented personnel.	\$500	\$500	\$500	46 USC 8103(f)
46 CFR 15.725	Failing to submit sailing short report as required.	\$500	\$1,000	\$1,000	46 USC 8101(e)
46 CFR 15.730	Failure to comply with the language requirements for crew.	\$750	\$1,500	\$3,000	46 USC 8702(e)
46 CFR 15.805(a)(1)	Failure to have a licensed Master on self-propelled, seagoing, documented vessels 200 GT and over.	\$3,000	\$6,000	\$10,000	46 USC 8101(g)
46 CFR 15.805(a)(2)	Failure to have a licensed Master on self-propelled, inspected vessels.	\$3,000	\$6,000	\$10,000	46 USC 8101(g)
46 CFR 15.805(a)(3)	Failure to have a licensed Master on inspected passenger vessels.	\$3,000	\$6,000	\$10,000	46 USC 8101(g)
46 CFR 15.805(a)(4)	Failure to have a licensed Master on inspected small passenger vessels.	\$3,000	\$6,000	\$10,000	46 USC 8101(h)
46 CFR 15.805(b)	Failure to have a U.S. citizen in command of a vessel.	\$3,000	\$6,000	\$10,000	46 USC 8101(g)
46 CFR 15.810(b)	Failure to have the required number of mates on an inspected vessel.	\$2,000	\$4,000	\$8,000	46 USC 8101(g)
46 CFR 15.810(c)	Failure to have a properly licensed mate on seagoing, documented vessels 200 GT and over.	\$2,000	\$4,000	\$8,000	46 USC 8101(g)
46 CFR 15.812	Failure to have a federal pilot onboard as required.	\$3,000	\$6,000	\$10,000	46 USC 8502(e)
46 CFR 15.815(b)	Failure to have radar observer endorsements on deck officer licenses for radar-equipped, inspected vessels 300 GT and over.	\$2,000	\$4,000	\$8,000	46 USC 8101(g)
46 CFR 15.815(c)	Failure to hold a valid endorsement, or a certificate from a Radar-Operation course, as a radar observer on uninspected towing vessels of 8 meters (approx. 26 ft) or more in length.	\$1,000	\$2,500	\$5,000	46 USC 8906
46 CFR 15.820(a)	Failure to have a Chief Engineer onboard inspected vessels as required.	\$3,000	\$6,000	\$10,000	46 USC 8101(g)
46 CFR 15.820(b)	Failure to have a properly licensed Chief Engineer on mechanically-propelled, seagoing, documented vessels 200 GT and over.	\$3,000	\$6,000	\$10,000	46 USC 8101(g)
46 CFR 15.825(a)	Failure to have properly licensed assistant engineers on mechanically-propelled, seagoing, documented vessels 200 GT and over.	\$2,000	\$4,000	\$8,000	46 USC 8101(g)
46 CFR 15.825(b)	Failure to have the required number of assistant engineers.	\$2,000	\$4,000	\$8,000	46 USC 8101(g)
46 CFR 15.835	Employment of, or service by, an unregistered staff officer.	\$500	\$1,500	\$3,000	46 USC 8101(g)
46 CFR 15.840	Failure to have the required number of able seamen in the crew.	\$500	\$1,500	\$3,000	46 USC 8702(e)
46 CFR 15.855(a)	Failure to provide a suitable number of watchmen on passenger vessels operating at night.	\$500	\$750	\$1,000	46 USC 8102(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 15.855(b)	Failure to provide a suitable number of watchmen trained in firefighting on fish processing vessels over 100 GT.	\$250	\$500	\$1,000	46 USC 8102(a)
46 CFR 16.113	Failure of a chemical testing service provider to follow the procedures in 49 CFR Part 40.	\$500	\$1,500	\$3,000	46 USC 2115
46 CFR 16.201	Failure of a marine employer to comply with the requirements concerning chemical testing of personnel in accordance with this subpart and 49 CFR Part 40.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.201(c)	Failure to report, in writing, results of failed test for a credentialed individual.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.201(c)	Failure to remove a credentialed individual who has failed a test from a safety sensitive position.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.201(c)	Failure to deny employment as a crewmember to a credentialed individual whom has failed a test.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.201(d)	Failure to remove an individual who does not hold a credential from a safety sensitive position upon failing a test.	\$500	\$1,500	\$3,000	46 USC 2115
46 CFR 16.201(d)	Failure to deny employment as a crewmember to an individual who does not hold a credential and has failed a test.	\$500	\$1,500	\$3,000	46 USC 2115
46 CFR 16.203(a)(1)	Failure of the marine employer to ensure meeting the requirements of 46 Part 16	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.210	Failure of a marine employer to conduct required pre-employment chemical testing for dangerous drugs prior to employment.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.230(a)	Failure of a marine employer to establish a random drug testing program for crewmembers on inspected vessels.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.230(b)	Failure of a marine employer to establish a random drug testing program for crewmembers on uninspected vessels.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.230(c)	Failure of a marine employer to ensure the random selection process is scientifically valid.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.230(e, f, or g)	Failure of a marine employer to meet the minimum annual rate for random testing.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.230(h)	Failure of a marine employer to ensure random testing is unannounced.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.250	Failure of a marine employer to conduct required reasonable cause chemical testing for dangerous drugs.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.260	Failure of a marine employer to maintain required chemical test records as required by 49 CFR 40.333.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.401	Failure of a marine employer to provide an Employee Assistance Program for all crewmembers.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 16.500	Failure of a marine employer to submit a Management Information System report.	\$1,000	\$2,000	\$4,000	46 USC 2115
46 CFR 25.25-5(a)	Operation of a vessel without meeting the requirements of this subpart.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-5(b)	Operation of a vessel not carrying passengers for hire, less than 40 ft in length, with an insufficient number or type of approved or suitable sized personal flotation devices.	\$100	\$500	\$1,000	46 USC 4106

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 25.25-5(c)	Operation of a vessel carrying passengers for hire, or a vessel 40 ft or more in length, with an insufficient number or type of approved or suitable sized personal flotation devices.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-5(d)	Operation of a vessel 26 ft or more in length without at least one Coast Guard approved ring life buoy.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-5(f)(1)	An approved commercial hybrid PFD not used in accordance with the conditions marked on that PFD or in the owner's manual.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-5(f)(2)	An approved commercial hybrid PFD not labeled for use on a commercial vessel.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-5(f)(3)	A Type V commercial hybrid PFD not worn when vessel was underway and intended wearer was not within an enclosed space.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-7	The lifesaving equipment was not legibly marked as specified in subchapter Q of title 46.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-9(a)	The lifesaving equipment designed to be worn and required by 46 CFR 25.25-5(b), (c) and (e) was not readily accessible.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-9(b)	The lifesaving equipment designed to be thrown and required by 46 CFR 25.25-5(d) was not immediately available.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-11	Lifesaving equipment was not in a serviceable condition.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-13(b)	An approved personal flotation device light was not provided for each immersion suit, life preserver, marine buoyant device, and buoyant vest.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-13(c)	Personal flotation device light not securely attached to front shoulder area of immersion suit, life preserver, or personal flotation device.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-13(d)	Use of personal flotation device light that is unserviceable or after expiration of power source.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-15(a)	Type I retroreflective material was not provided on each life preserver, marine buoyant device, and buoyant vest.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.25-15(b)	At least 200 sq. cm. (31 sq. in.) of retroreflective material was not attached to the front and back side of lifesaving device and equally distributed.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.26-5(a)	Failure of owner of a commercial fishing vessel 11 meters or more in length to operate vessel with the required EPIRB onboard.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.26-5(b)	Failure of owner of a commercial fishing vessel less than 11 meters in length to operate vessel with the required EPIRB onboard.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.26-5(c)	Failure of owner of a commercial fishing vessel 11 meters or more in length, without an installed galley or berthing facilities, to operate vessel with the required EPIRB onboard.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.26-20(a)	Failure of owner of a manned uninspected commercial vessel 11 meters or more in length to operate vessel with the required EPIRB onboard.	\$100	\$500	\$1,000	46 USC 4106

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46 CFR 25.26-20(b)	Failure of owner of a manned uninspected commercial vessel less than 11 meters in length to operate vessel with the required EPIRB installed onboard.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.26-50(a)	Failure of master, of vessel required to have an EPIRB, to ensure each EPIRB onboard is tested and serviced as required by this section.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.26-50(c)(1)	Failure to replace EPIRB battery immediately after the EPIRB is used for any purpose, other than being tested.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.26-50(c)(2)	Failure to replace EPIRB battery before the expiration date marked on the battery.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-5(b)	Fire extinguishing equipment onboard vessel was not of an approved type.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-10(d)	Portable fire extinguisher does not have metallic name plate attached giving name, rated capacity, name of person or firm for whom approved, and identifying mark of manufacturer.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-10(e)	Use of a vaporizing-liquid type fire extinguisher containing a toxic vaporizing liquid.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-10(f)	Hand portable or semi-portable extinguishers were not protected from freezing as required.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-10(g)	Failure to maintain or inspect a dry chemical fire extinguishers or store pressure fire extinguishers not fitted with pressure gauges or indicating devices.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-15	Installed fixed fire extinguishing system not of approved type or, if carbon dioxide system, not designed and installed in accordance with 46 CFR 76.15.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-20(a)	Required number of Coast Guard approved fire extinguishers were not onboard a motorboat.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-20(b)	Required number of Coast Guard approved fire extinguishers were not onboard an uninspected passenger vessel of at least 100 GT.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-20(c)(1)	Required number of Coast Guard approved fire extinguishers were not onboard a motor vessel.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-20(c)(2)(i)	Required number of Coast Guard approved portable fire extinguishers were not provided in the machinery space.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-20(c)(2)(ii)	Required Coast Guard approved semi-portable or fixed fire extinguishing system not fitted in the machinery space.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-20(c)(3)	Required frame or support for each Type B-III fire extinguisher not welded or otherwise permanently attached to a bulkhead or deck.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-20(c)(4)	An approved semi portable fire extinguisher with wheels, not in use, and not required, was not securely stowed.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.30-20(d)	Required number of Coast Guard approved fire extinguishers not onboard a barge carrying passengers.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.35-1(a)	Vessel not equipped with an acceptable means of backfire flame control.	\$100	\$500	\$1,000	46 USC 4106

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46 CFR 25.35-1(c)	Vessel's backfire flame arresters not serviceable or in good condition.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 25.40-1(a)	Vessel did not have at least two ventilator ducts, fitted with cowls or their equivalent for efficient removal of explosive or flammable gases.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 26.03-1	Failure of operator to perform a safety orientation before getting underway in any vessel carrying six or fewer passengers for hire.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 26.03-2	Failure of operator of vessel carrying 6 or less passengers to ensure that an emergency check off list is posted containing applicable portions.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 26.20-1	Failure to have valid CG license in possession and available for CG boarding officer when vessel is carrying passengers for hire.	\$150	\$750	\$1,500	46 USC 4106
46 CFR 26.30-10	Failure to stow approved buoyant work vests separate from regular stowage of required lifesaving equipment.	\$100	\$500	\$1,000	46 USC 4106
46 CFR 28.80	Failure to submit the required report for commercial fishing vessel casualties.	\$5,000	\$10,000	*	46 USC 6103(b)
46 CFR 28.100	Failure of commercial fishing industry vessel to meet the requirements of Parts 24, 25, 26, and 28.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.105	Failure to meet the general requirements for lifesaving equipment.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.110	Failure to meet the requirements for life preservers or other personal flotation devices.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.115	Failure to comply with the requirements for ring life buoys.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.120	Failure to comply with the requirement for a survival craft.	\$500	\$1,500	\$3,000	46 USC 4507
46 CFR 28.125	Failure to comply with the stowage requirements for survival craft.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.130	Failure to comply with the requirements for survival craft equipment.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.135	Failure to properly mark lifesaving equipment as required.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.140	Failure to maintain, inspect, or have lifesaving equipment readily accessible and ready for immediate use.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.145	Failure to equip vessel with proper types and amounts of required distress signals.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.150	Failure to have the required EPIRB onboard.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.155	Failure to comply with the conditions for permitted excess fire detection and prevention equipment.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.160	Failure to ensure vessel is equipped with the proper number, type, and location of portable fire extinguishers.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.165	Failure to post required injury placard.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.205	Failure to have the required fireman's outfits or self-contained breathing apparatus.	\$100	\$500	\$1,000	46 USC 4507

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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 28.210	Failure to have the required first aid equipment or required number of trained persons onboard.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.215	Failure to have suitable guards for exposed hazards.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.225	Failure to equip vessel with the required navigational charts and publications.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.230	Failure to have an operable magnetic compass with deviation table at the operating station.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.235(a)	Failure to have appropriate anchors and ground tackle for the vessel and the waters of intended operation.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.235(b)	Failure to have a nonmetallic hull vessel equipped with a required radar reflector.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.240	Failure to comply with the requirements for a general alarm system.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.245	Failure to comply with the requirements for communication equipment.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.250	Failure to equip a vessel 36 ft or over with the required high water alarms.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.255	Failure to comply with the requirements for bilge pumps, piping, and dewatering systems.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.260	Failure to equip a vessel 79 feet or over with an electronic position fixing device suitable for the area of operation.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.265	Failure to comply with the requirements for providing emergency instructions for crew members.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.270	Failure to comply with the requirements for instruction, drills and safety orientations.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.710	Failure to comply with the requirements for examination and certification of fish processing vessels.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 28.720	Failure to comply with the requirements for classification and carriage of a certificate from the classification organization.	\$100	\$500	\$1,000	46 USC 4507
46 CFR 30.01-10	Failure to perform alterations or repairs in accordance with the regulations or under the direction of the OCMI.	\$4,500	\$9,000	*	46 USC 3718(a)(1)
46 CFR 30.25-3	Failure of person in charge to ensure compliance with requirements for benzene cargo as required by 46 CFR 197.	\$1,000	\$2,000	\$4,000	46 USC 3718(a)(1)
46 CFR 31.01-1	Operation of a tank vessel without ensuring a certificate of inspection was conducted, 1600 GT or more.	\$4,500	\$9,000	*	46 USC 3718(a)(1)
46 CFR 31.01-1	Operation of a tank vessel without ensuring a certificate of inspection was conducted, <1600 GT.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 31.01-15	Failure to make application for inspection incident to reissuance of Certificate of Inspection (COI).	\$750	\$2,500	\$4,500	46 USC 3718(a)(1)
46 CFR 31.05-1(a)	Operation of tank vessel without a valid certificate of inspection, 1600 GT or more.	\$4,500	\$9,000	*	46 USC 3718(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 31.05-1(a)	Operation of tank vessel without a valid certificate of inspection, <1600 GT.	1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 31.05-5	Failure to frame and conspicuously post the certificate of inspection.	\$750	\$2,500	\$4,500	46 USC 3318(a)
46 CFR 31.05-10(a)	Operation of a tank vessel after expiration of the certificate of inspection, 1600 GT or more.	\$4,500	\$9,000	*	46 USC 3718(a)(1)
46 CFR 31.05-10(a)	Operation of a tank vessel after expiration of the certificate of inspection, <1600 GT.	1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 31.05-10(c)	Operation of a tank vessel after revocation or suspension of the certificate of inspection, 1600 GT or more.	\$7,500	\$10,000	*	46 USC 3718(a)(1)
46 CFR 31.05-10(c)	Operation of a tank vessel after revocation or suspension of the certificate of inspection, <1600 GT.	\$1,500	\$3,000	\$4,500	46 USC 3718(a)(1)
46 CFR 31.05-15	Failure to comply with terms or endorsements of certificate of inspection for tank vessel.	\$1,500	\$4,500	\$9,000	46 USC 3718(a)(1)
46 CFR 31.10-16(a)	Failure to provide certification of cargo gear.	1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 31.10-17(a)	Failure to conduct annual or periodic inspection of a tank vessel, <1600 GT.	1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 31.10-17(a)	Failure to conduct annual or periodic inspection of a tank vessel, 1600 GT or more.	\$1,500	\$4,500	\$9,000	46 USC 3718(a)(1)
46 CFR 31.10-18(a)	Failure to ensure required inspections and tests of fire extinguishing equipment were performed.	\$4,500	\$9,000	*	46 USC 3718(a)(1)
46 CFR 31.10-18a	Failure to ensure firefighting equipment required for liquefied gas vessels is tested and inspected every 12 months.	\$4,500	\$9,000	*	46 USC 3718(a)(1)
46 CFR 31.10-21	Failure to conduct dry dock examination.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 31.10-22	Failure to notify the OCMI that a tank vessel was dry docked.	\$750	\$2,500	\$4,500	46 USC 3718(a)(1)
46 CFR 31.10-25	Conducted unauthorized extensive repairs or alterations to the hull or machinery of a tank vessel.	\$1,500	\$4,500	\$9,000	46 USC 3718(a)(1)
46 CFR 31.25-1	Operation of a tank vessel not in compliance with the requirements for load lines in 46 CFR 42 to 45.	\$750	\$2,500	\$4,500	46 USC 3718(a)(1)
46 CFR 31.30-1	Operation of a tank vessel not in compliance with the marine engineering requirements in 46 CFR 50 to 63.	\$750	\$2,500	\$4,500	46 USC 3718(a)(1)
46 CFR 31.35-1	Operation of a tank not in compliance with the electrical engineering requirements in 46 CFR Subchapter J.	\$750	\$2,500	\$4,500	46 USC 3718(a)(1)
46 CFR 31.40-5	Operation of a tank vessel on an international voyage without required SOLAS Cargo Ship Safety Construction certificate.	\$750	\$2,500	\$4,500	46 USC 3718(a)(1)
46 CFR 31.40-35	Failure to post SOLAS certificates in a prominent and accessible location.	\$750	\$2,500	\$4,500	46 USC 3718(a)(1)
46 CFR 32.02-15	All exposed and dangerous places such as gears and machinery must be properly protected with covers, guards or rails.	\$750	\$2,500	\$4,500	46 USC 3718(a)(1)
46 CFR 32.53-5	Failure of master to ensure the inert gas system is operated as necessary to maintain an inert atmosphere in the cargo tanks.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 32.53-10(a)	Failure to have required inert gas system that meets the requirements of this subpart and is approved IAW 46 CFR 50.20.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 34.05-1	Failure to comply with the requirements, arrangements, or details of fire main system including fire pumps, piping, hydrants, hose and nozzles.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 34.05-5	Failure to comply with the requirements for installed fire-extinguishing systems on all tankships described in Part 34.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 34.05-10	Failure to comply with requirements set forth in subpart 34.50 for portable and Semi-portable extinguishers onboard tank vessels.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 34.50-10(a)	Failure to install portable and semi-portable extinguishers in accordance with Table 34.50-10(a).	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.01-1(b)	Conducting hot work on a tank vessel without a determination that the work can be done safely in accordance with NFPA No.306.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.01-10	Failure to have the required shipping papers onboard.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.01-35(a)	Unauthorized extensive repairs or alterations made to tank vessel firefighting equipment.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.01-50	Failure to comply with the special operating requirements for tank barges carrying certain dangerous bulk cargoes.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.05-1	Navigating a tank vessel without the complement of licensed officers or crew required by regulation and the certificate of inspection.	\$3,000	\$6,000	\$10,000	46 USC 3718(a)(1)
46 CFR 35.05-15	Failure to comply with the requirements for watchmen on tank vessels.	\$3,000	\$6,000	\$10,000	46 USC 3718(a)(1)
46 CFR 35.07-5	Failure to provide and maintain logbooks and records.	\$1,500	\$3,500	\$7,500	46 USC 3718(a)(1)
46 CFR 35.20-1	Failure of licensed officer to become acquainted with the latest aids to navigation information published.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.20-10	Failure to comply with the steering gear test requirements.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.30-1(a)	Failed to display a red warning signal (flag by day, electric lantern by night).	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.30-1(b)	Failed to display a proper warning sign at gangway.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.30-1(c)	Failed to display a proper warning sign in radio room.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.30-5(c)	Smoking in prohibited spaces onboard a tank vessel.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.30-10	Open cargo tank hatches, ullage holes or Butterworth plates not supervised or fitted with proper flame screens.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.30-15	Failure to have a suitable combustible gas indicator onboard U.S. flag tank vessels.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.30-20	Failure to provide the required emergency equipment.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 35.30-30	Use of unauthorized portable electrical equipment in a hazardous location.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 35.35-70	Failure to maintain cargo handling equipment in accordance with the regulations.	\$1,000	\$2,000	\$3,000	46 USC 3718(a)(1)
46 CFR 42.07-50	Penalties for failure to take reasonable care to prevent a violation of loading restrictions.	\$1,000	\$2,000	\$3,000	46 USC 5116(b)
46 CFR 42.09-1(b)	Failure of each vessel subject to load line requirements to carry onboard a valid certificate.	\$1,500	\$3,000	\$6,000	46 USC 5116(a)
46 CFR 42.09-1(c)	Failure of master of vessel subject to load line requirements to maintain onboard a valid load line certificate or current survey report.	\$1,500	\$3,000	\$6,000	46 USC 5116(a)
46 CFR 42.09-15	Failure to have required surveys by the American Bureau of Shipping or assigning authority.	\$1,000	\$2,000	\$4,000	46 USC 5116(a)
46 CFR 42.09-15(d)	Failure of required vessels to have annual surveys, within three months either way of the certificate's anniversary date.	\$1,000	\$2,000	\$4,000	46 USC 5116(a)
46 CFR 42.09-50(a)	Making unauthorized changes to vessel structure, equipment, arrangement, materials or scantlings after an initial or annual load line survey.	\$2,500	\$5,000	\$6,500	46 USC 5116(a)
46 CFR 42.13	Failure to mark or maintain load line as required.	\$1,500	\$3,000	\$6,000	46 USC 5116(a)
46 CFR 42.15-45	Failure to comply with the requirements for vent outlets from all tanks which may emit flammable or combustible vapors.	\$750	\$1,500	\$3,000	46 USC 5116(a)
46 CFR 67.121	Failure to comply with the marking requirements for the official number of the documented vessel.	\$500	\$1,000	\$2,500	46 USC 12507(b)
46 CFR 67.123	Failure to comply with the marking requirements for the name and the hailing port of the vessel.	\$500	\$1,000	\$2,500	46 USC 12507(b)
46 CFR 67.163	Failure to comply with the requirements for renewal of endorsements.	\$500	\$1,000	\$2,500	46 USC 12151(a)
46 CFR 67.167(b)	Operating a vessel with a COD which is invalid for any of the reasons listed in (b)(1) thru (b)(6).	\$1,000	\$3,000	\$5,000	46 USC 12151(a)
46 CFR 67.311	Intentionally altering a Certificate of Documentation.	\$1,000	\$3,000	\$5,000	46 USC 12151(a)
46 CFR 67.313	Failure of person in command of a documented vessel to have onboard the original Certificate of Documentation (COD) currently in effect.	\$500	\$1,000	\$2,500	46 USC 12151(a)
46 CFR 67.315	Failure of person in command of documented vessel to produce current & original COD upon demand of person acting in official public capacity.	\$500	\$1,000	\$2,500	46 USC 12151(a)
46 CFR 67.317	Failure to renew annually each endorsement for the current Certificate of Documentation in accordance with 46 CFR 66.163.	\$500	\$1,000	\$2,500	46 USC 12151(a)
46 CFR 67.319	Failure of documented vessel owner to immediately report any change in vessel status or to surrender the COD in accordance with requirements.	\$500	\$1,000	\$2,500	46 USC 12151(a)
46 CFR 67.321	Failure to immediately report a change in address of the managing owner of a documented vessel.	\$500	\$1,000	\$2,500	46 USC 12151(a)
46 CFR 67.323	Operating a vessel in unlimited coastwise trade, the Great Lakes trade, or the fisheries without being documented in accordance with requirements of this part.	\$2,500	\$5,000	\$10,000	46 USC 12151(a)
46 CFR 67.325	Operating a vessel in any trade other than a trade endorsed upon the COD.	\$2,500	\$5,000	\$10,000	46 USC 12151(a)

A proposed penalty amount of * indicates that issuance of a NOV is not authorized

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 67.327	Operating a vessel under a COD with endorsements which have become invalid under subpart L of this part.	\$2,500	\$5,000	\$10,000	46 USC 12151(a)
46 CFR 67.329	Failure of owner to comply with the requirements for name changes of a documented vessel.	\$500	\$1,000	\$2,500	46 USC 12151(a)
46 CFR 67.331	The owner of a documented vessel must not permit operation of that vessel unless it is marked in accordance with subpart I of this part.	\$500	\$1,000	\$2,500	46 USC 12151(a)
46 CFR 69.5(a)	Failure to have a vessel measured as required by law or regulation.	\$750	\$1,500	\$3,000	46 USC 14701
46 CFR 69.19	Failure to comply with the requirements for re-measurement and adjustment of tonnage.	\$500	\$1,000	\$2,500	46 USC 14701
46 CFR 71.01-1(a)	Operation of a vessel subject to inspection under 46 CFR Subchapter H without a valid certificate of inspection, 1600 GT or more.	\$2,500	\$5,000	\$10,000	46 USC 3318(j)(1)
46 CFR 71.01-1(a)	Operation of a passenger vessel without a valid certificate of inspection, <1600 GT.	\$750	\$1,500	\$2,000	46 USC 3318(j)(1)
46 CFR 71.01-5	Failure to frame and display the certificate of inspection in a conspicuous place on a passenger vessel.	\$250	\$750	\$1,500	46 USC 3318(a)
46 CFR 71.01-10(a)	Operation of a passenger vessel after expiration of the certificate of inspection, 1600 GT or more.	\$1,000	\$2,500	\$5,000	46 USC 3318(j)(1)
46 CFR 71.01-10(a)	Operation of a passenger vessel after expiration of the certificate of inspection, <1600 GT.	\$500	\$1,000	\$2,000	46 USC 3318(j)(1)
46 CFR 71.30-1	Failure to conduct required re-inspection(s) for a passenger vessel, 1600 GT or more.	\$1,000	\$2,500	\$5,000	46 USC 3318(a)
46 CFR 71.30-1	Failure to conduct required re-inspection(s) for a passenger vessel, <1600 GT.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 71.50-3	Failure to conduct dry dock or internal structural examination within required intervals for a passenger vessel, 1600 GT or more.	\$1,000	\$2,500	\$5,000	46 USC 3318(a)
46 CFR 71.50-3	Failure to conduct dry dock or internal structural examination within required intervals for a passenger vessel, <1600 GT.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 71.50-35(a)	Failure to notify the OCMI when a passenger vessel is dry docked for any reason.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 71.55-1(a)	Making repairs to the hull, machinery or equipment of a passenger vessel without the knowledge of the OCMI.	\$750	\$1,500	\$3,000	46 USC 3318(a)
46 CFR 78.30-15	Failure to comply with the prescribed watchmen requirements at all times when passengers are onboard vessel.	\$250	\$500	\$1,000	46 USC 8102(a)
46 CFR 78.60-1(a)	Operation of a passenger vessel not in compliance with the certificate of inspection.	\$1,000	\$2,500	\$5,000	46 USC 3318(a)
46 CFR 91.01-2(a)	Operation of a vessel subject to inspection under 46 CFR Subchapter I without a valid certificate of inspection, 1600GT or more.	\$2,500	\$5,000	\$10,000	46 USC 3318(j)(1)
46 CFR 91.01-2(a)	Operation of a cargo or miscellaneous vessel without a valid certificate of inspection, < 1600 GT.	\$750	\$1,500	\$2,000	46 USC 3318(j)(1)
46 CFR 91.01-5	Failure to frame and display the certificate of inspection in a conspicuous place on a cargo or miscellaneous vessel.	\$250	\$750	\$1,500	46 USC 3318(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 91.27-1	Failure to conduct the required annual or periodic inspection for a cargo or miscellaneous vessel, 1600 GT or more.	\$1,500	\$3,000	\$6,000	46 USC 3318(a)
46 CFR 91.27-1	Failure to conduct the required annual or periodic inspection for a cargo or miscellaneous vessel, <1600 GT.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 91.27-1(a)(3)	Failure to make any or all repairs or improvements identified at the annual inspection within the time period specified by the OCMI	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 91.27-1(b)(3)	Failure to make any or all repairs or improvements identified at the periodic inspection within the time period specified by the OCMI	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 91.40-3(a)	Failure to conduct required dry dock, internal structural, or cargo tank internal examination for a cargo or miscellaneous vessel, 1600 GT or more.	\$1,500	\$3,000	\$6,000	46 USC 3318(a)
46 CFR 91.40-3(a)	Failure to conduct required dry dock, internal structural, or cargo tank internal examination for a cargo or miscellaneous vessel, <1600 GT.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 91.40-5(a)	Failure to notify the OCMI when a cargo or miscellaneous vessel is dry docked for any reason.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 91.45-1(a)	Making repairs or alterations to the hull, machinery or equipment of a cargo or miscellaneous vessel without the knowledge of the OCMI.	\$750	\$1,500	\$3,000	46 USC 3318(a)
46 CFR 95.05-1	Failure to properly maintain installed fire detecting, manual alarm, or supervised patrol systems.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 97.05-1	Failure of licensed deck officer to become acquainted with the latest aid to navigation information published.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 97.05-5	Failure to carry adequate and up-to-date charts and nautical publications, as listed, appropriate for the intended voyage.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 97.15-7(a)	Failure of the master or person in charge to ensure vessel complies with all applicable stability requirements.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 97.50-1(a)	Operation of a cargo or miscellaneous vessel not in compliance with the certificate of inspection.	\$1,000	\$2,500	\$5,000	46 USC 3318(a)
46 CFR 115.100(a)	Failure to have a valid USCG COI onboard vessel.	\$1,500	\$3,000	\$6,000	46 USC 3318(j)(1)
46 CFR 115.100(b)	Failure to be in full compliance with the terms of the COI when operating with passengers onboard.	\$1,500	\$3,000	\$6,000	46 USC 3318 (j)(1)
46 CFR 115.302	Failure to meet the requirements for posting or having onboard Certificate of Inspection and any SOLAS Certificate.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 115.306	Failure to meet the requirements for posting or having onboard a stability letter.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 115.310	Failure to meet the requirements for displaying Certification Expiration Date Sticker(s).	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 115.500	Failure to make vessel available for annual inspection within 3 months before or after each anniversary date of issuance of the COI.	\$500	\$1,500	\$3,000	46 USC 3318 (j)(1)

Notice of Violations Guidance for Marine Safety and Security Violations

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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 115.500(b)(1)(iii)	Failure to make any or all repairs or improvements identified at the annual inspection within the time period specified by the OCMI.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 115.600	Failure to make vessel available for dry dock examinations and internal structural examinations required by this section.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 115.665	Failure to provide notices and plans as required.	\$1,000	\$2,000	\$4,000	46 USC 3318 (j)(1)
46 CFR 115.700	Failure to obtain approval of the cognizant OCMI for repairs or alterations to the hull, machinery, or equipment that affects vessel safety.	\$500	\$1,500	\$3,000	46 USC 3318 (j)(1)
46 CFR 116.820	Failure to comply with requirements for seating.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 116.900	Failure to comply with requirements for deck rails.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 116.920	Failure to comply with requirements for storm rails.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 116.960	Failure to comply with requirements for guards for exposed hazards.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 117.64	Failure to have onboard each vessel that operates on high seas, or that operates beyond 3 miles from coastline of Great Lakes, a Cat 1, 406 MHz EPIRB installed to automatically float free.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.68	Failure to meet the requirements for distress flares and smoke signals.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 117.70	Failure of vessel to have approved ring life buoy readily accessible, properly stowed, and in compliance with the requirements of 46 CFR 117.70.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 117.71	Failure to ensure there are appropriate number of life jackets for persons onboard and that life jackets comply with 46 CFR 117.71(a)-(e).	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 117.75	Failure to comply with the life jacket lights requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 117.78	Failure to meet the requirements for the stowage of life jackets.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 117.130	Failure to meet the stowage of survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.137	Failure to meet the stowage of life floats and buoyant apparatus requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.175	Failure to meet the survival craft equipment requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.202	Failure of vessels on oceans routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.204	Failure of vessels on coastwise routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.205	Failure of vessels on limited coastwise routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.206	Failure of vessels on Great Lakes routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.207	Failure of vessels on lakes, bays and sounds routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 117.208	Failure of vessels on rivers routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 118.300	Failure to comply with the fire pump requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 118.310	Failure to comply with the fire main and hydrants requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 118.320	Failure to comply with the fire hoses and nozzles requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 118.400	Failure to have spaces equipped with a fixed gas fire extinguishing system as required.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 118.410	Failure to comply with the fixed gas fire extinguishing system requirements.	\$250	\$1,000	\$2,500	46 USC 3318 (j)(1)
46 CFR 118.500	Failure to comply with the portable fire extinguisher requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 118.600	Failure to comply with the fire axe requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 119.455	Failure to comply with the fuel piping requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 119.500	Failure to maintain satisfactory arrangement for draining watertight compartments, except small buoyancy compartments, under all practicable conditions.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 119.510	Failure to comply with the bilge piping system requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 119.520	Failure to comply with the bilge pumps requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 119.530	Failure of vessels 7.9 meters (26 feet) in length to have visual and audible alarm to indicate high water level in unmanned spaces specified in this subpart.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 121.420	Failure to have on-board adequate and up-to-date charts, publications, Tide tables and current tables for area of intended voyage.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 121.502	Failure to meet FCC requirements for any radio and EPIRB installation.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 121.506	Failure to have an emergency broadcast placard posted next to all radiotelephone installations.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 121.704	Failure of vessel with installed toilet facilities to have a MSD that complies with 33 CFR Part 159.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 121.710	Failure to comply with the first-aid kit requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.202	Failure to timely notify the nearest CG unit that the vessel was involved in a marine casualty involving any items in (a)(1) thru (a)(7).	\$5,000	\$10,000	*	46 USC 6103(a)
46 CFR 122.420(a)	Failure to instruct crew members of required duties as referenced in this paragraph.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.420(c)	Failure to document crew training as required or in compliance with (1) and (2) of this paragraph.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.502	Failure to comply with the crew and passenger list requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.503	Failure to comply with the voyage plan requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.504	Failure to comply with the passenger count requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.506	Failure to comply with the passenger safety orientation requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.508	Failure of the master to require passengers to don life jackets in possibly hazardous conditions.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.510	Failure to comply with the emergency instructions requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 122.516	Failure to comply with the life jacket placards requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.520	Failure to comply with the abandon ship and man overboard drills and training requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.524	Failure to comply with the firefighting drills and training requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.602	Failure to comply with the hull markings requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.604	Failure to comply with the lifesaving equipment markings requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.608	Failure to comply with the remote fuel shutoff station marking requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.614	Failure to have portable watertight containers for distress flares and smoke signals as specified in regulation.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 122.728	Failure to comply with the EPIRB testing and servicing requirements.	\$100	\$500	\$1,000	46 USC 3318 (j)(1)
46 CFR 126.140(a)	Failure to conduct drydock examination within required interval for an OSV	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 126.140(b)	Failure to notify the OCMI when an OSV is drydocked for any reason.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 126.140(c)	Failure to conduct internal structural examination within required interval for an OSV	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 126.150	Failure to notify the OCMI of repairs or alterations to the hull or machinery, or to equipment that affects the safety of the OSV	\$750	\$1,500	\$3,000	46 USC 3318(a)
46 CFR 126.210	Operating an OSV without a valid Certificate of Inspection.	\$750	\$1,500	\$2,000	46 USC 3318(a)
46 CFR 126.240	Failure to frame and post the Certificate of Inspection in a conspicuous place.	\$250	\$750	\$1,500	46 USC 3318(a)
46 CFR 126.510	Failure to conduct required annual and periodic inspections for an OSV.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 126.510(a)(3)	Failure to make any or all repairs or improvements identified at the annual inspection within the time period specified by the OCMI	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 126.510(b)(3)	Failure to make any or all repairs or improvements identified at the periodic inspection within the time period specified by the OCMI	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 130.330	Failure to have adequate and up-to-date charts and nautical publications onboard.	\$500	\$1,000	\$2,000	46 USC 3318(a)
46 CFR 136.115	Failure to document alternate compliance arrangements within the TSMS applicable to the vessel.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 136.200(a)	Failure to have a valid USCG COI onboard vessel.	\$1,500	\$3,000	\$6,000	46 USC 3318(a)
46 CFR 136.200(b)	Failure to be in full compliance with the terms of the COI when operating.	\$1,500	\$3,000	\$6,000	46 USC 3318(a)
46 CFR 136.220	Failure to meet the requirements for posting or having a COI onboard.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 136.240	Failure to meet the requirements of a permit to proceed to another port for repairs.	\$1,500	\$3,000	\$6,000	46 USC 3318(k)
46 CFR 136.245	Failure to meet the conditions of a permit to carry excursion party.	\$100	\$500	\$1,000	46 USC 3318(h)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 137.130	Failure to implement or meet survey program requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 137.135	Failure to meet report or documentation requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 137.200	Failure to make vessel available for annual inspection within 3 months before or after each anniversary date of issuance of the COI.	\$500	\$1,000	\$3,000	46 USC 3318(a)
46 CFR 137.200(c)	Failure to make all repairs or improvements identified at the annual inspection within the time period specified by the OCMI.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 137.202	Failure to document compliance with the TSMS option in accordance with the requirements of this section.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 137.300	Failure to make vessel available for dry dock examination.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 137.305	Failure to document compliance with dry dock and internal structural surveys for the TSMS option.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 137.325	Failure to adhere to general conduct for dry dock examination.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 138.305	Failure to maintain TSMS certificate documentation as required.	\$100	\$500	\$1,000	46 USC 3318(a).
46 CFR 138.310(c)	Failure to make internal audit results available to the Coast Guard.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 138.315(c)	Failure to make external audit results available to the Coast Guard.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 138.410(f)	Failure to notify the OCMI within 24 hours of identifying a major non-conformity.	\$1,500	\$3,000	\$6,000	46 USC 3318(a)
46 CFR 138.500	Failure to notify the OCMI at least 72 hours prior to conducting an external audit.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 138.505	Failure to submit external audit as required.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 139.135	Failure to meet the documentation or notification requirements for the addition and removal of auditors and surveyors.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 139.165	Failure of third party organization to meet the survey or audit documentation requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.400	Failure to comply with list requirements for crew or persons in addition to crew.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.405	Failure to post emergency duties and duty stations at each operating station.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.410	Failure to comply with safety orientation requirements for crewmembers.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.415	Failure to comply with safety orientation requirements for individuals who are not crewmembers.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.420	Failure to meet the emergency drill and instruction requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.425	Failure to comply with fall overboard prevention requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.430	Failure to comply with work vest requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.435	Failure to comply with first aid equipment requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.500	Failure to comply with the health and safety plan requirements.	\$100	\$500	\$1,000	46 USC 3318(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 140.515	Failure to comply with the health and safety training requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.605	Failure to comply with the vessel stability requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.610	Failure to comply with the requirements for minimizing down-flooding and progressive flooding.	\$500	\$1,000	\$3,000	46 USC 3318(a)
46 CFR 140.615	Failure to complete or record the required operational safety examinations and tests.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.620	Failure to comply with the navigational safety equipment recordkeeping requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.640	Failure to comply with the pilothouse resource management requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.665	Failure to comply with the inspection and testing requirements when making alterations, repairs, or fire producing actions.	\$500	\$1,000	\$3,000	46 USC 3318(a)
46 CFR 140.670	Failure to comply with the auto pilot requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.705	Failure to have on-board adequate and up-to-date charts, maps and nautical publications for the intended voyage.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.715	Failure to comply with the communications equipment requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.725	Failure to comply with the additional navigation equipment requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.801	Failure to comply with the towing gear requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.805	Failure to comply with the towing safety requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.820	Failure to comply with the towing gear recordkeeping requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 140.915	Failure to include required items in towing vessel record, official log, or TSMS requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.230	Failure to comply with lifesaving maintenance and readiness requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.235	Failure to comply with the lifesaving inspection, testing, and maintenance requirements.	\$100	\$500	\$1,000	46 USC 3318(a).
46 CFR 141.305	Failure to comply with the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 141.320	Failure to comply with inflatable survival craft placard requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.325	Failure to comply with the survival craft equipment requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.330	Failure to comply with the requirements for skiffs used as survival craft.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.340	Failure to comply with lifejacket requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.350	Failure to comply with immersion suit requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.360	Failure to comply with lifebuoy requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.375	Failure to comply with visual distress signal requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 141.380	Failure to comply with EPIRB requirements.	\$100	\$500	\$1,000	46 USC 3318(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 141.385	Failure to comply with line throwing appliance requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.220	Failure to comply with requirements to minimize fire hazards.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.225	Failure to comply with requirements for the storage of flammable or combustible products.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.226	Failure to comply with firefighter's outfit requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.227	Failure to comply with fire axe requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.230	Failure to comply with fire extinguisher requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.240	Failure to comply with fire protection inspection, testing, maintenance, and records requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.245	Failure to comply with requirements for training crews to respond to fires.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.315	Failure to comply with the additional fire extinguishing equipment requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.325	Failure to comply with fire pump, fire main, and fire hose requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 142.330	Failure to comply with fire-detection system requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.205	Failure to comply with the machinery and electrical system requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.220	Failure to comply with machinery space fire prevention requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.225	Failure to comply with control and monitoring requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.230	Failure to comply with the alarm and monitoring requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.235	Failure to meet general alarm requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.240	Failure to meet the communication system requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.245	Failure to comply with readiness and testing requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.250	Failure to comply with requirements for system isolation and marking.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.255	Failure to comply with fuel system requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.265	Failure to comply with additional fuel system requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.275	Failure to comply with bilge pump and dewatering requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.400	Failure to comply with the electrical system requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.450	Failure to comply with pilot house alerted system requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.460	Failure to comply with towing machinery requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.575	Failure to comply with requirements for electrical conductors, connections, and equipment.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.585	Failure to comply with the propulsion, steering, and related control requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.590	Failure to comply with propulsion redundancy requirements.	\$100	\$500	\$1,000	46 USC 3318(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 143.595	Failure to comply with the propulsion requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 143.605	Failure to comply with demonstration of compliance requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 144.135	Failure to comply with the requirements for verification of compliance with design standards.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 144.145	Failure to comply with the procedures for verification of compliance with design standards.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 144.160	Failure to comply with the marking requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 144.205	Failure to comply with the structural standards for a new vessel.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 144.300	Failure to comply with stability standards for an existing vessel.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 144.320	Failure to comply with watertight or weather-tight integrity requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 144.800	Failure to comply with handrail or bulwark requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 144.810	Failure to comply with storm rail requirements.	\$100	\$500	\$1,000	46 USC 3318 a)
46 CFR 144.820	Failure to comply with the guards in dangerous places requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 148.01-7	Failure to comply with the requirements for transporting permitted or unlisted solid hazardous materials in bulk.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.01-9	Failure to comply with the requirements for obtaining special permits.	\$3,000	\$6,000	\$10,000	49 USC 5123(a)(1)
46 CFR 148.01-11	Failure to comply with special permit requirements.	\$3,000	\$6,000	\$10,000	49 USC 5123(a)(1)
46 CFR 148.02-1	Failure to have shipping papers for shipment of solid bulk hazardous materials.	\$3,000	\$6,000	\$10,000	49 USC 5123(a)(1)
46 CFR 148.02-3(a)	Failure to have a properly prepared dangerous cargo manifest for solid bulk hazardous materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.03-3	Failure to properly direct or observe the loading or off-loading of solid bulk hazardous materials.	\$3,000	\$6,000	\$10,000	49 USC 5123(a)(1)
46 CFR 148.03-5	Failure to properly prepare vessel holds before loading of solid bulk hazardous materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.03-7	Failure to comply with the requirements for inspections of solid bulk hazardous materials during transport.	\$3,000	\$6,000	\$10,000	49 USC 5123(a)(1)
46 CFR 148.03-11	Failure to comply with the stowage requirements for solid bulk hazardous materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.03-13	Failure to properly clean holds after off-load of solid bulk hazardous materials.	\$3,000	\$6,000	\$10,000	49 USC 5123(a)(1)
46 CFR 148.04-1	Failure to comply with the special requirements for radioactive material with low specific activity (LSA).	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.04-9	Failure to comply with the special requirements for fishmeal or fishmeal mixtures.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.04-13	Failure to comply with the special requirements for ferrous metal borings, shavings, turnings, or cuttings.	\$5,000	\$10,000	*	49 USC 5123(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 148.04-15	Loading of petroleum coke (uncalcined or uncalcined mixture) at a material temperature of 130 degrees F or above.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.04-17	Failure to comply with the special requirements for the loading of petroleum coke, calcined, at a material temperature of 130 degrees F or above.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.04-19	Failure to comply with the special requirements for tankage, garbage, or rough ammoniate (solid).	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.04-20	Failure to comply with the special requirements for the shipment of sulfur in bulk.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.04-21	Failure to comply with the special requirements for the shipment of coconut meal (copra) pellets.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 148.04-23	Failure to comply with the special requirements for shipment of un-slaked lime in bulk.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
46 CFR 150.130	Failure of person in charge of a vessel to ensure that the containment system for a hazardous material cargo meets the prescribed requirements.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 151.04-1(a)	Carriage of hazardous materials on a U.S. tank barge without a valid certificate of inspection.	\$3,000	\$6,000	\$10,000	46 USC 3718(a)(1)
46 CFR 151.04-1(c)	Carriage of hazardous materials on a U.S. tank barge without endorsements for specific cargoes on the certificate of inspection.	\$2,000	\$4,000	\$8,000	46 USC 3718(a)(1)
46 CFR 151.12-10	Improper operation of oceangoing non-self-propelled ships carrying category D NLS.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 151.13-5	Failure to ensure proper segregation of bulk dangerous cargoes.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 151.20-1	Failure to comply with the cargo piping system requirements.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 151.20-5	Failure to comply with the cargo system valve requirements.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 151.30-1	Improper type or installation of portable fire extinguishers.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 151.45-2	Failure to comply with the special operating requirements for barges carrying bulk liquid hazardous material cargoes.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 151.45-4	Failure to comply with cargo handling requirements for bulk liquid hazardous materials.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.554	Failure to comply with the special requirements for acids.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.900	Failure to provide required certificates or authorizations to carry bulk liquid hazardous material.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.900(a)(2)	Failure to have Subchapter D or I certificate of inspection endorsed to allow the cargo tank to carry the cargo on U.S. vessels.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.900(a)(3)	Failure to have a certificate of compliance endorsed to allow the cargo tank to carry the cargo on foreign vessels.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.901	Failure to comply with posting, availability and alteration of documents as required.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.901(a)	Operating a U.S. ship carrying hazardous materials in bulk without the Certificate of Inspection (COI) readily available on the ship.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 153.901(b)	Operating a foreign ship carrying hazardous materials in bulk without the Certificate of Inspection (COI) or Certificate of Compliance (COC) readily available on the ship.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.902	Operating a foreign ship carrying hazardous materials in bulk with an invalid Certificate of Compliance (COC).	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.904	Failure to abide by the endorsement limitations on the Certificate of Inspection (COI) or Certificate of Compliance (COC).	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.905	Operating a ship carrying hazardous materials in bulk without the most recent editions of 46 CFR parts 35, 150 and 153 onboard.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.907	Operating a ship carrying hazardous materials in bulk without the required cargo information.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.908(a)	Operating a ship carrying hazardous materials in bulk without the required statement regarding categories A, B, or C NLS cargoes.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.909(a)	Failure to make required entries in the cargo record book.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.909(b)	Failure to have the cargo record book onboard and available for inspection and copying.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.909(c)	Failure of the officer in charge or surveyor to sign the cargo record book after each entry.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.909(d)	Failure of the person in charge of a vessel to sign each completed page of the cargo record book.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.909(e)	Failure of the ship owner or operator to retain the Cargo Record Book or discharge recordings onboard the ship for at least three years.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.910	Operation of a tankship without the required cargo piping plan.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.912(a)	Operation of a tankship without the required certificate of inhibition or stabilization.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.923	Failure of the master to ensure the inert gas system is operating correctly when cargo is required to be inerted.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.930	Failure to have onboard the appropriate antidotes when a tankship is carrying a cargo listed in Table 1, 46 CFR 153.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.931	Failure of the master to ensure all cargo pump room ladders are unobstructed at all times.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.932	Failure of the master to ensure personnel wear goggles and other protective equipment or clothing when required.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.933	Failure of the master to ensure personnel wear chemical protective clothing when required.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.934(a)	Failure to obtain permission from the master prior to entry into spaces containing cargo vapor.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.934(b)	Failure of the master to ensure safe entry of a cargo tank, cargo handling space, pump room or other enclosed space in the cargo area.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.935	Improper or unauthorized opening of cargo tanks or sampling of cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 153.935a	Improper storage of cargo samples.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.936	Failure to prevent an intoxicated or unfit person from participating in cargo related operations.	\$3,000	\$6,000	\$10,000	46 USC 3718(a)(1)
46 CFR 153.940	Failure to properly mark a cargo hose.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.953	Failure to properly display required signals during cargo transfer.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.955	Failure to properly display required warning signs during cargo transfer.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.957	Failure to ensure that an authorized and qualified person supervises cargo operations.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.959	Failure to obtain authorization from the person in charge prior to making cargo transfer connections or commencing transfer of cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.964	Unauthorized use of gas pressurization for discharge of cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.966	Unauthorized use of liquid displacement for discharge of cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.968	Failure to conduct required conference or discussions prior to making cargo transfer connections.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.970(a)	Failure to ensure that only the tankship's cargo piping system is used for the transfer of cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.970(b)	Failure to ensure proper vent riser height for discharge of cargo vapor.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.972	Failure to ensure the cargo hose is satisfactory prior to authorizing connection to a cargo containment system.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.975	Failure to meet the requirements of 46 CFR 153.975 prior to commencing cargo transfer operations.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.976	Allowing a cargo transfer to be conducted while transferring packaged cargo or ships stores that endanger cargo operations.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.977	Failure of the person in charge to properly supervise and monitor the cargo transfer.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.979	Improper or unauthorized removal of a sounding tube cover.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.980	Improper isolation of an automatic closing valve.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.981	Failure to allow for expansion of cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.983	Improper termination procedures following cargo operations.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1000	Failure to ensure water reactive cargo is properly isolated and separated.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1002	Failure of the master to ensure compliance with requirements for heat sensitive cargoes.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1003	Carriage of prohibited cargoes in deck tanks.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1004	Failure of the master or person in charge to ensure compliance with the requirements for inhibited or stabilized cargoes.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 153.1010	Failure of the master or person in charge to ensure compliance with the requirements for alkylene oxide cargoes.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1011	Failure of the person in charge to ensure compliance with the requirements for changing hoses or containment systems for alkylene oxide service.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1020(a)	Failure to ensure piping and venting systems are properly separated when carrying toxic cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1020(b)	Failure of the master to ensure the heating medium used for toxic cargoes is free of contamination.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1020(c)	Failure to ensure heating steam condensate is free from toxic cargo contamination.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1025	Failure to comply with the requirements or precautions when carrying motor fuel anti-knock compounds.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1035	Failure to ensure acetone cyanohydrin or lactonitrile cargo is stabilized with inorganic acid.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1040	Failure to comply with the requirements for handling carbon disulfide cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1045	Failure to display required warning sign when transferring inorganic acid cargo.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1046	Failure to use external tank heating coils to liquefy frozen or congealed sulfuric acid.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1052	Carriage of unauthorized cargo in a cargo containment system endorsed to carry acids.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1060	Failure of the master to ensure compliance with the requirements for benzene cargoes.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1065	Failure to handle sodium chlorate cargo as required.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1100(a)	Failure of the person in charge of a ship to ensure the requirements of 46 CFR 153.1102 through 153.1132 are met.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1100(b)	Failure of the person in charge of a ship to ensure the procedures in the approved Procedures and Arrangement (P&A) Manual are followed.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1101	Failure to comply with procedures for arranging for a surveyor.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1102	Failure to comply with procedures for handling and disposing of categories A,B,C, and D NLS residue.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1104	Failure to comply with procedures for draining of cargo hoses for categories A,B,C, and D cargo and NLS residue.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1128	Failure to comply with the requirements and conditions for the discharge of NLS residues from a ship's cargo tanks to the sea.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1130	Failure to report the failure of equipment required in 153.470-488 to the OCMI within 24 hours.	\$3,000	\$6,000	\$10,000	46 USC 3718(a)(1)
46 CFR 153.1132	Failure to report a spill or non-complying discharge of a category A,B,C, or D NLS.	\$3,000	\$6,000	\$10,000	46 USC 3718(a)(1)
46 CFR 153.1500	Failure to take corrective actions after the failure of a vent rupture disk.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 153.1502	Unauthorized removal or relocation of fixed ballast.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 153.1504	Failure of the master to ensure emergency and safety equipment is inspected and properly maintained.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.315(a)	Failure to have cargo pump rooms and cargo compressor rooms above the weather deck and within the cargo area.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.315(b)	Failure to keep the bulkhead or deck gas tight or the shaft sealed where a pump or a compressor is driven by a prime mover in a gas safe space.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.345(b)	Failure to comply with the prescribed requirements for an air lock used for access from a gas-dangerous zone.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.345(c)	Failure to maintain mechanical ventilation and a means to automatically de-energize electrical equipment in a gas-safe space on a LFG carrier with an air lock.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.500	Failure to maintain cargo liquid and vapor piping and process piping systems IAW the requirements in the prescribed subparts of this chapter.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.530	Failure to comply with requirements for liquid or vapor connections or cargo piping system for cargo tanks with MARVS 69kPa gauge or lower.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.544	Failure to comply with the requirements for quick-closing shut-off valves.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.801	Failure to have the required number of pressure relief valves and or to comply with pressure relief systems requirements.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.903	Failure to meet the prescribed requirements for the carriage or generation of inert gas.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.912	Failure to fit inerted spaces with relief valves, rupture discs, or other devices specially approved by the Commandant (G-MSO).	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1010	Failure to comply with requirements for installation of electrical equipment in a gas-dangerous space or zone.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1105	Failure to have an exterior water spray system that meets sections 154.1110 - 154.1135.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1140	Failure to have a dry chemical firefighting system that meets the requirements of this chapter.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1345(a)(2)	Failure of vessel carrying cargo designated with an "I" or "I and T" to have two portable gas detectors that can measure 0- 100% of LFL of cargo carried.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1345(b)(1)	Failure of vessel carrying cargo designated with an "I" or "I and T" or cargoes listed in this spec. to have two portable gas detectors that show cargo TLV.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1350	Failure of vessel to comply with the prescribed requirements for flammable gas detection systems.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1410	Failure of vessel carrying cargo listed in Table 4 to have a decontamination shower and an eyewash and comply with the prescribed requirements.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)

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46 CFR 154.1800	Failure to comply with the requirements of 46 CFR Part 35, except 35.30-20.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1802	Failure to operate foreign flag vessel in U.S. navigable waters in accordance with requirements for certificates, letters, and endorsements.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1806	Failure to have a copy of this Part and Part 35 onboard a U.S. vessel.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1808	Failure to operate a tankship in compliance with all limitations in the endorsements on the COI or COC.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1810	Failure to have a cargo manual during vessel operations.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1812	Failure to ensure terminal personnel are told the operational information required by section 154.1810(a)(17).	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1814	Failure to have cargo information cards for each cargo transferred easily accessible to the PIC.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1826	Unauthorized opening of cargo tanks or cargo sampling.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1830	Failure to properly display required warning signs during cargo transfer.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1840	Failure to ensure each person involved in a cargo transfer wears protective clothing.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1842	Failure of master to test shut-down system and alarms prior to cargo being transferred.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1848	Failure of master to comply with requirements for hold and inter-barrier spaces or cargo tanks that are to be gas freed, filled or supplied.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1858	Failure to ensure cargo hose meets sections 154.552-154.562.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 154.1866	Failure to ensure cargo hose connection has a remotely controlled shutoff valve.	\$1,500	\$3,000	\$6,000	46 USC 3718(a)(1)
46 CFR 170.120	Failure to have a stability letter issued before vessel is placed in service or have the information placed on COI or Load Line Certificate.	\$3,000	\$5,000	\$6,000	46 USC 3318(a)
46 CFR 176.100(a)	Failure to have a valid USCG COI onboard vessel.	\$1,500	\$3,000	\$6,000	46 USC 3318(j)(1)
46 CFR 176.100(b)	Failure to be in full compliance with the terms of the COI when operating with passengers onboard.	\$1,500	\$3,000	\$6,000	46 USC 3318(a)
46 CFR 176.302	Failure to meet the requirements for posting or having onboard Certificate of Inspection and any SOLAS Certificate.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 176.306	Failure to meet the requirements for posting or having onboard a stability letter.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 176.310	Failure to meet the requirements for displaying Certification Expiration Date Sticker(s).	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 176.500	Failure to make vessel available for annual inspection within 3 months before or after each anniversary date of issuance of the COI.	\$500	\$1,500	\$3,000	46 USC 3318(a)
46 CFR 176.500(b)(1)(iii)	Failure to make any or all repairs or improvements identified at the annual inspection within the time period specified by the OCMI.	\$100	\$500	\$1,000	46 USC 3318(a)

Notice of Violations Guidance for Marine Safety and Security Violations

Encl. (3) to COMDTINST M5582.1B

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 176.600	Failure to make vessel available for dry dock examinations and internal structural examinations required by this section.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 176.665	Failure to provide notices and plans as required.	\$1,000	\$2,000	\$4,000	46 USC 3318(a)
46 CFR 176.700	Failure to obtain approval of the cognizant OCMI for repairs or alterations to the hull, machinery, or equipment that affects vessel safety.	\$500	\$1,500	\$3,000	46 USC 3318(a)
46 CFR 177.35	Failure to comply with requirements for rails and guards. (Existing Vessel)	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 177.35-1(a)	Failure to install rails or equivalent protection near the periphery of all weather-decks accessible to passengers and crews. (Existing Vessel)	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 177.820	Failure to comply with requirements for seating.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 177.900	Failure to comply with requirements for deck rails.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 177.920	Failure to comply with requirements for storm rails.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 177.960	Failure to comply with requirements for guards for exposed hazards.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 180.10-5(a)	Failure of ocean and coastwise service vessels to carry sufficient life floats or buoyant apparatus for all persons onboard as required. (Existing Vessel)	\$500	\$1,500	\$3,000	46 USC 3318(a)
46 CFR 180.10-15(a)	Failure of Great Lakes service vessels to carry sufficient life floats or buoyant apparatus as required. (Existing Vessel)	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.10-20(a)	Failure of lakes, bays and sounds service vessels to carry sufficient life floats or buoyant apparatus as required. (Existing Vessel)	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.10-25(a)	Failure of river service vessels to carry sufficient life floats or buoyant apparatus as required. (Existing Vessel)	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.20-1	Failure to comply with the stowage requirements for lifesaving appliances. (Existing Vessel)	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.64	Failure to have onboard each vessel that operates on high seas, or that operates beyond 3 miles from coastline of Great Lakes, a Cat 1, 406 MHz EPIRB installed to automatically float free.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.68	Failure to meet the requirements for distress flares and smoke signals.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 180.70	Failure of vessel to have approved ring life buoy readily accessible, properly stowed, and in compliance with the requirements of 46 CFR 180.70.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 180.71	Failure to ensure there are appropriate number of life jackets for persons onboard and that life jackets comply with 46 CFR 180.71(a)-(e).	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 180.75	Failure to comply with the life jacket lights requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 180.78	Failure to meet the requirements for the stowage of life jackets.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 180.130	Failure to meet the stowage of survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 180.137	Failure to meet the stowage of life floats and buoyant apparatus requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.175	Failure to meet the survival craft equipment requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.202	Failure of vessels on oceans routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.204	Failure of vessels on coastwise routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.205	Failure of vessels on limited coastwise routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.206	Failure of vessels on Great Lakes routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.207	Failure of vessels on lakes, bays and sounds routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 180.208	Failure of vessels on rivers routes to meet the survival craft requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 181.10-1	Failure to meet the power fire pump requirements. (Existing Vessels)	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.10-5(a)	Failure of vessel to be provided with a hand operated portable fire pump equipped in accordance with prescribed regulations. (Existing Vessel)	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.30-1(a)	Failure to have the minimum number of portable fire extinguishers in accordance with Table 181.30(a) and other provisions of this subpart. (Existing Vessel)	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.35-1	Failure to be equipped with a fire axe located in or adjacent to the pilothouse. (Existing Vessel)	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.300	Failure to comply with the fire pump requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.310	Failure to comply with the fire main and hydrants requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.320	Failure to comply with the fire hoses and nozzles requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.400	Failure to have spaces equipped with a fixed gas fire extinguishing system as required.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 181.410	Failure to comply with the fixed gas fire extinguishing system requirements.	\$250	\$1,000	\$2,500	46 USC 3318(a)
46 CFR 181.500	Failure to comply with the portable fire extinguisher requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.600	Failure to comply with the fire axe requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 181.610	Failure to comply with the fire bucket requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 182.15-40(b)	Failure to meet the prescribed requirements for the installation of gasoline fuel supply piping on small passenger vessels. (Existing Vessel)	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 182.455	Failure to comply with the fuel piping requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 182.500	Failure to maintain satisfactory arrangement for draining watertight compartments, except small buoyancy compartments, under all practicable conditions.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 182.510	Failure to comply with the bilge piping system requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 182.520	Failure to comply with the bilge pumps requirements.	\$100	\$500	\$1,000	46 USC 3318(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 182.530	Failure of vessels 7.9 meters (26 feet) in length to have visual and audible alarm to indicate high water level in unmanned spaces specified in this subpart.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 184.420	Failure to have on-board adequate and up-to-date charts, publications, Tide tables and current tables for area of intended voyage.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 184.502	Failure to meet FCC requirements for any radio and EPIRB installation.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 184.506	Failure to have an emergency broadcast placard posted next to all radiotelephone installations.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 184.704	Failure of vessel with installed toilet facilities to have a MSD that complies with 33 CFR Part 159.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 184.710	Failure to comply with the first-aid kit requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.202	Failure to timely notify the nearest CG unit that the vessel was involved in a marine casualty involving any items in (a)(1) thru(a)(7).	\$5,000	\$10,000	*	46 USC 3318(a)
46 CFR 185.420(a)	Failure to instruct crew members of required duties as referenced in this paragraph.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.420(c)	Failure to document crew training as required or in compliance with (1) and (2) of this paragraph.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.502	Failure to comply with the crew and passenger list requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.503	Failure to comply with the voyage plan requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.504	Failure to comply with the passenger count requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.506	Failure to comply with the passenger safety orientation requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.508	Failure of the master to require passengers to don life jackets when possible hazardous conditions exist.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.510	Failure to comply with the emergency instructions requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.516	Failure to comply with the life jacket placards requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.520	Failure to comply with the abandon ship and man overboard drills and training requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.524	Failure to comply with the firefighting drills and training requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.602	Failure to comply with the hull markings requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.604	Failure to comply with the lifesaving equipment markings requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.608	Failure to comply with the remote fuel shutoff station marking requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.614	Failure to have portable watertight containers for distress flares and smoke signals as specified in regulation.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 185.728	Failure to comply with the EPIRB testing and servicing requirements.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 197.210	Failure to properly designate the diving supervisor.	\$100	\$500	\$1,000	46 USC 3318(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
46 CFR 197.300	Failure to meet the requirements for a diving installation used on a vessel required to have a certificate of inspection.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 197.400	Failure to meet the requirements for diving operations conducted from a vessel required to have a certificate of inspection.	\$100	\$500	\$1,000	46 USC 3318(a)
46 CFR 197.484	Failure to provide notice of a commercial diving casualty to the Cognizant OCMI as soon as possible after the casualty occurred.	\$5,000	\$10,000	*	46 USC 6103(a)
46 CFR 197.486	Failure to provide a written report of a commercial diving casualty to the Cognizant OCMI as soon as possible after the casualty occurred.	\$1,000	\$3,000	\$6,000	46 USC 6103(a)
46 CFR 197.535	Failure of person in charge to mark and or restrict benzene regulated areas as required.	\$100	\$500	\$1,000	46 USC 3718(a)(1)
46 CFR 197.555	Failure to meet the requirements of this section for personal protective clothing and equipment.	\$100	\$500	\$1,000	46 USC 3718(a)(1)
46 CFR 197.560	Failure to meet the requirements of this section for medical surveillance of employees who will be or may be exposed to benzene.	\$100	\$500	\$1,000	46 USC 3718(a)(1)
46 CFR 197.570	Failure to maintain records as required by this section.	\$100	\$500	\$1,000	46 USC 3718(a)(1)
46 CFR 199.180(a)	Failure to comply with training requirements.	\$1,000	\$2,500	\$5,000	46 USC 3318(a)
46 CFR 199.180(b)	Failure of crewmember to be familiar with emergency procedures.	\$1,000	\$2,500	\$5,000	46 USC 3318(a)
46 CFR 199.180(c)	Failure to comply with drill requirements.	\$1,000	\$2,500	\$5,000	46 USC 3318(a)
46 CFR 199.180(d)	Failure to comply with abandon-ship drill requirements.	\$1,000	\$2,500	\$5,000	46 USC 3318(a)
46 CFR 199.510	Failure to carry a category 1 406 MHz satellite EPIRB meeting the requirements of 47 CFR Part 80 (non-SOLAS vessel).	\$1,000	\$2,500	\$5,000	46 USC 3318(a)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
<u>Cites in 46 USC</u>					
46 USC 2302(a)	"COMMERCIAL VESSEL" Operating, or interfering with operations of, a commercial vessel in a negligent manner that endangers life, limb, or property of a person.	\$5,000	\$10,000	*	46 USC 2302(a)
46 USC 2302(a)	"RECREATIONAL VESSEL" Operating, or interfering with operations of a recreational vessel in a negligent manner that endangers life, limb, or property of a person.	\$1,000	\$2,500	\$5,000	46 USC 2302(a)
46 USC 2302(c)	Operating a vessel while under the influence of alcohol or a dangerous drug.	\$1,000	\$2,500	\$5,000	46 USC 2302(c)(1)
46 USC 2306(a)	Failure to immediately notify the Coast Guard and use all available means to determine the status of a vessel when there is reason to believe that the vessel may have been lost or imperiled.	\$1,000	\$2,000	\$4,000	46 USC 2306(a)
46 USC 2306(b)	Failure of a master required to report to the U.S. Flag Merchant Vessel Location Filing System to report to the owner, charterer, managing operator, or agent at least once every 48 hours.	\$250	\$500	\$1,000	46 USC 2306(b)
46 USC 3304(b)	Failure to give notice, to an individual carried in addition to the crew, of the presence of dangerous articles onboard the vessel.	\$250	\$500	\$1,000	46 USC 3318(h)
46 USC 3309(c)	Failure to give written notice 30 days prior to expiration of the certificate of inspection that the vessel will (not) require inspection.	\$250	\$500	\$1,000	46 USC 3318(i)
46 USC 3311(b)	Failure to comply with a direction to terminate voyage, correct unsafe conditions, or make repairs on a vessel subject to inspection.	\$3,000	\$6,000	\$10,000	46 USC 3318(k)
46 USC 3502	Failure of owner, charterer, managing operator, master, or individual in charge of vessel under this section to keep a correct list of passengers.	\$50	\$75	\$110	46 USC 3502(e)
46 USC 4702	Unlawful abandonment of a barge on the navigable waters of the United States.	\$1,000	*	*	46 USC 4703
46 USC 10104(b)	Failure to report sexual offense.	\$2,000	\$5,000	*	46 USC 10104(b)
46 USC 11101	Failure to provide proper accommodations for seamen.	\$100	\$250	\$500	46 USC 11101(f)
46 USC 11301(a)	Failure to maintain official logbook.	\$100	\$150	\$200	46 USC 11303(a)
46 USC 11301(b)	Failure to make entry in logbook.	\$100	\$150	\$200	46 USC 11303(b)
46 USC 12131(a)	Failure to have a documented vessel under command of a citizen of the United States.	\$1,000	\$2,500	\$5,000	46 USC 12151(a)
46 USC 70506(c)	Maritime Drug Law Enforcement - Simple Possession	\$500	\$1,250	\$2,000	46 USC 70506

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<u>Cites in 49 CFR</u>					
49 CFR 171.2	Failure to comply with the general requirements for HAZMAT shipments.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 171.3	Failure to offer or transport Hazardous Waste in compliance with HAZMAT regulations.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 171.4	Failure to comply with requirements for marine pollutants.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 171.12	Failure to comply with requirements for North American Shipments	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 171.15	Failure to provide immediate notice of a hazardous materials incident.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 172.200(a)	Failure to prepare shipping papers for a shipment of hazardous materials.	\$2,000	\$4,000	\$6,000	49 USC 5123(a)(1)
49 CFR 172.201	Failure to properly provide required information for hazardous materials on shipping papers.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.202	Failure to properly describe hazardous materials on shipping papers.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.203	Failure to provide additional description requirements on shipping papers.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.204	Failure to provide shippers certification.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.205	Failure to prepare hazardous waste manifest	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.300	Failure to properly mark hazardous materials.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.301	Failure to comply with general marking requirements for non-bulk hazardous materials packaging.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.302	Failure to comply with general marking requirements for bulk hazardous materials packaging.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.303	Use of prohibited marking.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.304	Failure to comply with package marking requirements.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.308	Failure to use proper abbreviations in shipping names.	\$500	\$1,000	\$2,500	49 USC 5123(a)(1)
49 CFR 172.310	Failure to comply with marking requirements for radioactive materials.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 172.312	Failure to comply with marking or packing requirements for liquid hazardous materials in non-bulk packaging.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.313	Failure to comply with marking requirements for poisonous hazardous material.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.315	Failure to comply with requirements for shipment of Limited quantities.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.316	Failure to comply with marking requirements for ORM-D materials.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.320	Failure to comply with marking requirements for explosive hazardous materials.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.322	Failure to comply with marking requirements for marine pollutants.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.323	Failure to comply with marking requirements for infectious substances.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)

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49 CFR 172.324	Failure to comply with marking requirements for hazardous substances.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.325	Failure to comply with marking requirements for elevated temperature materials.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.326	Failure to comply with marking requirements for shipping portable tanks.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.328	Failure to comply with marking requirements for cargo tanks.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.330	Failure to comply with marking requirements for tank cars and multi-unit tank car tanks.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.331	Failure to comply with marking requirements for bulk packaging other than portable tanks, cargo tanks and tank cars.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.332	Failure to comply with requirements for identification number markings.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.334	Failure to ensure that a displayed ID number matches the hazardous material contained in the package, freight container, or transport vehicle.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.338	Failure to replace missing or damaged identification numbers.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.400	Failure to comply with general labeling requirements.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.401	Use of prohibited labeling.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.401(a)(1)	Use of a hazardous material label on a package containing a non-hazardous material.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.401(a)(2)	Label is for hazard class other than what is being transported.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.402	Failure to comply with additional labeling requirements.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.402(a)	Failure to provide a subsidiary hazard label.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.403	Failure to comply with labeling requirements for radioactive materials.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.404	Failure to comply with labeling requirements for mixed and consolidated packaging.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.406	Failure to comply with requirements for placement of labels.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.407	Failure to comply with requirements for label specifications.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.500	Failure to comply with general placarding requirements.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.502	Use of prohibited placarding.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.504	Failure to comply with general placarding requirements.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.504(a)	Use of placards for hazard class other than what is being transported.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.505	Failure to comply with placarding requirements for subsidiary hazards.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.516	Failure to comply with requirements for visibility and display of placards.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.519	Failure to comply with requirements for placard specifications.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)

Notice of Violations Guidance for Marine Safety and Security Violations

Proposed Penalty Amounts listed in the Table below are for a Commercial Entity
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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
49 CFR 172.600	Failure to comply with emergency response information requirements.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.602	Failure to comply with emergency response information requirements.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.604	Failure to comply with requirements for an emergency response telephone number.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 172.702(a)	Failure of hazmat employer to ensure each hazmat employee is trained in accordance with requirements prescribed in this subpart.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(3) ¹
49 CFR 172.702(b)	Failure to ensure employee obtained proper training prior to performing a hazmat function.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(3) ¹
49 CFR 172.704	Failure to meet or include the requirements for the training of hazmat employees.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(3) ¹
49 CFR 173.1	Failure to instruct officer, agents, and employees in hazmat regulations.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(3) ¹
49 CFR 173.9(b)	Failure to provide FUMIGANT placard for cars, truck bodies, freight containers, or trailers that have been fumigated.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 173.21	Offering forbidden materials or packages for transportation.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 173.21(i)	Offering a package containing a lighter, or other similar device, for transportation.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 173.22	Failure to comply with shipper's responsibility in shipment of hazardous materials.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 173.22(a)(2)	Failure to use authorized packaging or container.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 173.24	Failure to comply with the general requirements for packaging and packages.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 173.24(h)	Failure to provide the required ullage for a shipment of hazardous material, causing a release of hazardous material.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 173.25	Failure to ensure that over pack containing authorized packages of hazmat meets conditions provided for in 49 CFR 173.25.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 173.25(a)(4)	Failure to mark an over pack with the word "OVERPACK" when specification packaging's are required.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 173.29	Failure to comply with the requirements for empty packaging containing residues of hazardous material.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 173.32	Offering or accepting a hazardous material for transportation in a portable tank without meeting the requirements of this subchapter.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 173.33	Offering or accepting a hazardous material for transportation in a cargo tank motor vehicle without meeting the requirements of this subchapter.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 173.35	Offering or accepting a hazardous material for transportation in a portable tank without meeting the requirements of this subchapter.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 173.51	Offering or providing shipment of forbidden explosives.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 173.60	Failure to meet general packaging requirements for explosives.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)

Notice of Violations Guidance for Marine Safety and Security Violations

Encl. (3) to COMDTINST M5582.1B

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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
49 CFR 173.159	Failure to comply with the packing and packaging requirements for wet batteries.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 173.301(c)	Failure to comply with requirements for shipment of compressed gas and other hazardous materials in cylinders.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 176.3(a)	Transporting, by vessel, a shipment of a hazardous material not prepared in accordance with parts 172 and 173 of this subchapter.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.3(b)	Transporting by vessel any explosive or explosive composition described in 173.54 of this subchapter.	\$2,500	\$5,000	\$10,000	49 USC 5123(a)(1)
49 CFR 176.4	Failure of vessel to load or unload division 1.1 and 1.2 explosives from an authorized facility.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.13(b)	Failure to ensure that each employee has received required training prior to transporting a hazardous material by vessel.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(3) ¹
49 CFR 176.13(c)	Failure to maintain a record of training onboard a vessel while a crewmember subject to hazmat training requirements is in service onboard the vessel.	\$500	\$1,000	\$2,000	49 USC 5123(a)(3) ¹
49 CFR 176.24	Transporting a hazardous material without a properly prepared shipping paper.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.27	Transporting a hazardous material without a properly prepared shippers certification.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.30	Failure to comply with the requirements for a dangerous cargo manifest, list or stowage plan.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.30(a)	Failure to prepare Dangerous Cargo Manifest.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.31	Failure to keep a copy of exemption or Special Permit with the Dangerous Cargo Manifest.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.36	Failure to maintain hazmat records for one year after preparation.	\$500	\$1,000	\$2,000	49 USC 5123(a)(1)
49 CFR 176.39	Failure to inspect hazardous materials cargo as required by regulation.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.45	Failure to respond properly to a hazmat emergency onboard a vessel.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.48	Failure to report fire, hazardous condition, or jettison or loss of hazmat to the Captain of the Port (COTP).	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.50	Transporting damaged or leaking packages of hazardous materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.52	Failure to comply with procedures for shipments in violation.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.54	Failure to comply with regulations governing repairs involving welding, burning, power actuated tools and appliances.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.57	Failure to properly supervise handling and stowage of hazardous materials onboard vessels.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.58	Failure to properly prepare vessel for transport of hazardous materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.60	Failure to properly post No Smoking signs.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.63	Failure to properly stow hazardous materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)

Notice of Violations Guidance for Marine Safety and Security Violations

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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
49 CFR 176.69	Failure to comply with general stowage requirements for hazardous materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.69(d)	Failure to properly secure and dunnage hazardous materials to prevent movement in any direction.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.70	Failure to properly stow marine pollutants.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.72	Improper handling of break-bulk hazardous materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.74	Improper deck stowage of break-bulk hazardous materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.76	Failure to comply with regulations governing shipment of hazmat in transport vehicles, freight containers, or portable tanks.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.77	Improper stowage of barges containing hazardous materials on barge-carrying vessels.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.78	Failure to comply with requirements for power-operated industrial trucks onboard vessels.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.83	Failure to comply with segregation requirements.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.99	Failure to obtain the required permit under 176.100 or 176.415 before loading on, unloading from, or handling of materials onboard a barge or carrier.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.100	Failure to obtain Captain of the Port permit for the handling of Division 1.1 or 1.2 explosives.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.102(b)	Failure to obey all orders that are given by the officer in charge of a Class 1 (explosive) materials supervisory detail.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.104	Failure to comply with requirements for loading and unloading of Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.116	Failure to comply with general stowage requirements for Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.118	Failure to comply with electrical requirements for Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.120	Failure to comply with lightning protection requirements for Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.137	Failure to comply with portable magazine requirements for Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.138	Failure to comply with deck stowage requirements for Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.140	Failure to comply with segregation requirements for Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.144	Failure to comply with segregation requirements for Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.145	Failure to comply with segregation requirements for Class 1 (explosive) materials in a single hold vessel.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.146	Failure to comply with segregation requirements for Class 1 (explosive) materials from certain non-hazardous materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.148	Failure to comply with requirements for unauthorized use of artificial lighting while handling Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)

Notice of Violations Guidance for Marine Safety and Security Violations

Encl. (3) to COMDTINST M5582.1B

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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
49 CFR 176.150	Failure to comply with requirements governing radio and radar operation while handling Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.154	Failure to comply with requirements governing fueling (bunkering) during the handling of Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.156	Failure to comply with requirements for defective packaging containing Class 1 (explosive) materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.160	Failure to take adequate action to prevent Class 1 (explosive) materials from becoming wet.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.162	Failure to comply with security requirements for explosives.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.164	Failure to comply with requirements for fire precautions or firefighting during loading, unloading, or handling of explosives.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.166	Failure to comply with requirements governing the carriage of explosives aboard passenger vessels.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.168	Failure to comply with requirements for transport vehicles used in the transport of explosives.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.170	Failure to comply with requirements governing transport of explosives in freight containers.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.172	Failure to comply with the requirements governing serviceability of freight containers or vehicles carrying explosives.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.172(a)	Offered freight container of Class 1 (explosive) materials which was structurally unserviceable.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.174	Failure to comply with requirements governing transport of explosives in ship borne barges.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.176	Failure to comply with signal requirements while loading, handling, or unloading Class 1 explosives.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.178	Failure to comply with requirements governing mooring or towing lines.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.180	Failure to comply with requirements governing watch keeping onboard an explosive laden vessel.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.182	Failure to comply with requirements governing conditions for handling explosives onboard ship.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.182(f)	Smoking in non-designated area while Class 1 (explosive) materials are being handled or stowed.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.184	Failure to comply with requirements for handling of explosives in compatibility group L.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.192	Failure to comply with requirements governing use of cargo handling equipment for freight containers carrying explosives.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.194	Failure to comply with requirements governing stowage of explosives on magazine vessels.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.194(c)	Failure to comply with requirements governing detonators and detonating primers (Division 1.1) stowed with other Division 1.1, 1.2 or 1.3 materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.200	Failure to comply with the general stowage requirements for compressed gases.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)

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		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
49 CFR 176.200(d)	Improper stowage of poisons with foodstuffs.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.205	Failure to comply with requirements for under deck stowage of compressed gases.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.210	Failure to comply with the requirements for on deck stowage of compressed gases.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.220	Failure to comply with the requirements for no smoking, open flames, and warning signs in compartments with flammable compressed gases.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.225	Improper stowage of chlorine.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.230	Improper stowage of flammable compressed gas in multi-unit car tanks onboard vessels.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.305	Failure to comply with the general stowage requirements for flammable and combustible liquids.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.315	Failure to comply with fire protection requirements.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.320	Failure to use suitable flashlights near flammable liquids.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.325	Failure to comply with the requirements for no smoking, open flames, and warning signs in compartments with flammable liquids.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.340	Failure to comply with the requirements for transporting combustible liquids in portable tanks.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.400	Failure to comply with the stowage requirements for blasting agents, flammable solids, oxidizers, or organic peroxides.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.405	Failure to comply with the stowage requirements for charcoal.	\$1,000	\$2,500	\$5,000	49 USC 5123(a)(1)
49 CFR 176.410	Failure to comply with the requirements for transporting blasting agents, ammonium nitrate, or ammonium nitrate mixtures.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.415	Failure to obtain permits for loading or unloading blasting agents, ammonium nitrate, or certain ammonium nitrate mixtures.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.600	Failure to comply with general stowage requirements for Division 2.3 (poisonous gas) and Division 6.1 (poisonous) materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.605	Failure to follow proper procedures after leakage or sifting of Division 2.3 (poisonous gas) or 6.1 (poisonous) materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.700	Failure to comply with the general stowage requirements for radioactive material.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.704	Failure to comply with the requirements for transport indexes.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.708	Failure to comply with the segregation requirements for radioactive materials.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.715	Failure to exercise radiation contamination control.	\$5,000	\$10,000	*	49 USC 5123(a)(1)
49 CFR 176.800	Failure to comply with the general stowage requirements for transport of corrosive materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.805	Failure to comply with on deck stowage requirements for break-bulk corrosive materials.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)

Notice of Violations Guidance for Marine Safety and Security Violations

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<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Penalty Authority</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	
49 CFR 176.900	Failure to comply with the general stowage requirements for cotton or vegetable fibers.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.901	Failure to comply with the stowage requirements for cotton or fibers with rosin or pitch.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.903	Failure to comply with the stowage requirements for cotton with coal.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 176.905	Failure to comply with the requirements for transport of motor vehicles or mechanical equipment powered by internal combustion engines.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 178.3	Failure to comply with the hazmat package marking requirements for packaging meeting DOT specifications or UN standards.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 178.255-11	Failure to comply with the requirements for portable tank mountings.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 178.255-14	Failure to comply with the requirements for marking of portable tanks.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 180.407	Failure to comply with the requirements for test and inspection of specification cargo tanks.	\$1,500	\$3,000	\$6,000	49 USC 5123(a)(1)
49 CFR 450.7	Failure to comply with consistent max gross weight markings on the container and safety approval plate.	\$1,500	\$3,000	\$5,000	46 USC 80509(a)
49 CFR 451.25	Failure to comply with the required information on a safety approval plate.	\$1,500	\$3,000	\$5,000	46 USC 80509(a)
49 CFR 452.1	Failure to comply with the requirements for periodic examination program.	\$1,500	\$3,000	\$5,000	46 USC 80509(a)
49 CFR 452.7	Failure to comply with the requirements for continuous examination program.	\$1,500	\$3,000	\$5,000	46 USC 80509(a)
49 CFR 453.1(a)	Failure to comply with a detention or control order issued under 49 CFR 453.1(a).	\$1,500	\$3,000	\$5,000	46 USC 80509(a)
49 CFR 453.1(b)	Failure to comply with a detention or control order issued under 49 CFR 453.1(b).	\$5,000	\$7,500	\$10,000	46 USC 80509(a)

Footnote to this enclosure:

¹ 49 USC 5123(a)(3) establishes a minimum civil penalty of at least \$450 for these violations.

Notice of Violations Guidance for Unauthorized Entry into Cuban Territorial Waters
Proposed Penalty Amounts Listed in the Table Below are for any Entity Subject to the Regulation

<u>Cite</u>	<u>Description</u>	<u>Proposed Penalty Amount</u>			<u>Maximum</u>
		<u>1st Offense</u>	<u>2nd Offense</u>	<u>3rd Offense</u>	<u>Penalty Amount</u> <u>Authority</u>
<u>Cites in 33 CFR</u>					
33 CFR 107.215(a)	Unauthorized entry into Cuban territorial waters (strict liability).	\$2,500	\$5,000	\$10,000	\$25,000 46 USC 70052(c) ¹
33 CFR 107.215(a)	Unauthorized entry into Cuban territorial waters (strict liability) plus any aggravating factor. ²	\$5,000	\$7,500	\$10,000	\$25,000 46 USC 70052(c) ¹
33 CFR 107.215(a)	Failure to maintain issued permit aboard covered vessel that has entered or intends to enter Cuban territorial waters.	\$500	\$1,000	\$2,500	\$25,000 46 USC 70052(c) ¹
33 CFR 107.215(e)	Intended entry into Cuban territorial waters without a permit.	\$1,000	\$3,000	\$6,000	\$25,000 46 USC 70052(c) ¹

Footnotes to this enclosure:

¹ 46 USC 70052(c) is not a part of the U.S. Coast Guard penalty authorities listed in 33 CFR Part 27. When using these citations verify that the maximum penalty amount has not been adjusted for inflation since the publication of this Manual. These regulations require annual continuation by the President; ensure these regulations are still active prior to taking any enforcement action. If you have specific questions regarding these citations, please contact the Coast Guard's Seventh District Legal Staff.

² Aggravating factors include presence onboard the covered vessel of any undocumented alien or alien who the boarding officer has reason to believe is attempting to enter the United States illegally; and possession onboard and in addition to the covered vessel of any items in violation of OFAC, Commerce, or Customs laws or regulations.