Subpart 4.01—Authority and Scope of Regulations

§ 4.01–1 Scope of regulation.
The regulations in this part govern the reporting of marine casualties, the investigation of marine casualties and the submittal of reports designed to increase the likelihood of timely assistance to vessels in distress.

§ 4.01–3 Reporting exclusion.
(a) Vessels subject to 33 CFR 173.51 are excluded from the requirements of subpart 4.05.
(b) Vessels which report diving accidents under 46 CFR 197.484 regarding deaths, or injuries which cause incapacitation for greater than 72 hours, are not required to give notice under § 4.05-1(a)(5) or § 4.05-1(a)(6).
(c) Vessels are excluded from the requirements of § 4.05-1(a)(5) and (a)(6) with respect to the death or injury of shipyard or harbor workers when such accidents are not the result of either a vessel casualty (e.g., collision) or a vessel equipment casualty (e.g., cargo boom failure) and are subject to the reporting requirements of Occupational Safety and Health Administration (OSHA) under 29 CFR 1904.
(d) Except as provided in subpart 4.40, public vessels are excluded from the requirements of this part.

Subpart 4.03—Definitions

§ 4.03–1 Marine casualty or accident.
Marine casualty or accident means—
(a) Any casualty or accident involving any vessel other than a public vessel that—
(1) Occurs upon the navigable waters of the United States, its territories or possessions;
(2) Involves any United States vessel whenever such casualty or accident occurs; or
(3) With respect to a foreign tank vessel operating in waters subject to the jurisdiction of the United States, including the Exclusive Economic Zone (EEZ), involves significant harm to the environment or material damage affecting the seaworthiness or efficiency of the vessel.
(b) The term “marine casualty or accident” applies to events caused by or involving a vessel and includes, but is not limited to, the following:
(1) Any fall overboard, injury, or loss of life of any person.
(2) Any occurrence involving a vessel that results in—
(i) Grounding;
(ii) Stranding;
(iii) Foundering;
(iv) Flooding;
(v) Collision;
(vi) Allision;
(vii) Explosion;
(viii) Fire;
(ix) Reduction or loss of a vessel’s electrical power, propulsion, or steering capabilities;
(x) Failures or occurrences, regardless of cause, which impair any aspect of a vessel’s operation, components, or cargo;
(xi) Any other circumstance that might affect or impair a vessel’s seaworthiness, efficiency, or fitness for service or route; or
(xii) Any incident involving significant harm to the environment.
(3) Any occurrence of injury or loss of life to any person while diving from a vessel and using underwater breathing apparatus.
(4) Any incident described in § 4.05-1(a).

§ 4.03–2 Serious marine incident.
The term serious marine incident includes the following events involving a vessel in commercial service:
(a) Any marine casualty or accident as defined in § 4.03–1 which is required by § 4.05–1 to be reported to the Coast Guard and which results in any of the following:
(1) One or more deaths;
(2) An injury to a crewmember, passenger, or other person which requires professional medical treatment beyond first aid, and, in the case of a person
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§ 4.03–4 Individual directly involved in a serious marine incident.

The term individual directly involved in a serious marine incident is an individual whose order, action or failure to act is determined to be, or cannot be ruled out as, a causative factor in the events leading to or causing a serious marine incident.

§ 4.03–5 Medical facility.
The term medical facility means an American hospital, clinic, physician’s office, or laboratory, where blood and urine specimens can be collected according to recognized professional standards.

§ 4.03–6 Qualified medical personnel.
The term qualified medical personnel means a physician, physician’s assistant, nurse, emergency medical technician, or other person authorized under State or Federal law or regulation to collect blood and urine specimens.

§ 4.03–7 Chemical test.
The term chemical test means a scientifically recognized test which analyzes an individual’s breath, blood, urine, saliva, bodily fluids, or tissues for evidence of dangerous drug or alcohol use.

§ 4.03–10 Party in interest.
The term party in interest shall mean any person whom the Marine Board of Investigation or the investigating officer shall find to have a direct interest in the investigation conducted by it and shall include an owner, a charterer, or the agent of such owner or charterer of the vessel or vessels involved in the marine casualty or accident, and all licensed or certificated personnel whose conduct, whether or not involved in a marine casualty or accident is under investigation by the Board or investigating officer.

§ 4.03–15 Commandant.
The Commandant, U.S. Coast Guard, is that officer who acts as chief of the Coast Guard and is charged with the administration of the Coast Guard.

§ 4.03–20 Coast Guard district.
A Coast Guard district is one of the geographical areas whose boundaries are described in 33 CFR part 3.

§ 4.03–25 District Commander.
The District Commander is the chief of a Coast Guard district and is charged with the administration of all Coast Guard responsibilities and activities within his respective district, except those functions of administrative law judges under the Administrative Procedure Act (60 Stat. 237, 5 U.S.C. 1001 et seq.) and activities of independent units of the Coast Guard, such as the Coast Guard Yard and the Coast Guard Academy.

§ 4.03–30 Investigating officer.
An investigating officer is an officer or employee of the Coast Guard designated by the Commandant, District