

**Pt. 12**

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§10.107 of this subchapter, are not subject to any obligation for the purpose of this STCW requirement.

[USCG–2004–17914, 78 FR 77909, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30882, June 28, 2019]

**PART 12—REQUIREMENTS FOR RATING ENDORSEMENTS**

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SOURCE: USCG–2004–17914, 78 FR 77975, Dec. 24, 2013, unless otherwise noted.

### Subpart A—General

#### § 12.101 Purpose.

(a) The purpose of this part is to provide—

(1) A comprehensive and adequate means of determining and verifying the professional qualifications an applicant must possess to be eligible for certification to serve on merchant vessels of the United States; and

(2) A means of determining that an applicant is qualified to receive the endorsement required by the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended (the STCW Convention, or STCW).

(b) The requirements applicable to approved and accepted training, training for a particular rating endorsement, and training and assessment associated with meeting the standards of competence established by the STCW Convention have been moved to 46 CFR part 10, subpart D.

#### § 12.103 Incorporation by reference.

(a) Certain material is incorporated by reference into this part with the approval of the Director of the Federal Register under 5 U.S.C. 552(a) and 1 CFR part 51. All approved material is available for inspection at the Coast Guard, Office of Merchant Mariner Credentialing (CG–MMC), U.S. Coast Guard, Stop 7509, 2703 Martin Luther King Jr. Avenue SE., Washington, DC 20593–7509, and is available from the sources listed below. It is also available for inspection at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202–741–6030 or go to [http://](http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html)

[www.archives.gov/federal\\_register/code\\_of\\_federal\\_regulations/ibr\\_locations.html](http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html).

(b) International Maritime Organization (IMO), 4 Albert Embankment, London SE1 7SR, England:

(1) The Seafarers' Training, Certification and Watchkeeping Code, as amended, 2011 (the STCW Code), incorporation by reference approved for §§ 12.601, 12.602, 12.603, 12.605, 12.607, 12.609, 12.611, 12.613, 12.615, 12.617, 12.619, 12.621, 12.623, 12.811, and 12.905.

(2) [Reserved]

[USCG–2004–17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG–2016–0315, 81 FR 43955, July 6, 2016]

#### § 12.105 Paperwork approval.

(a) This section lists the control numbers assigned by the Office of Management and Budget under the Paperwork Reduction Act of 1980 (Pub. L. 96–511) for the reporting and record-keeping requirements in this part.

(b) The following control numbers have been assigned to the sections indicated:

(1) OMB 1625–0079—46 CFR 12.217 and 12.301.

(2) [Reserved]

### Subpart B—General Requirements for Rating Endorsements

#### § 12.201 General requirements for national and STCW rating endorsements.

(a) *General.* (1) An MMC issued to a deck or engineer officer will be endorsed for all entry-level ratings and any other ratings for which they qualify under this part. An applicant for any STCW endorsement must hold the appropriate national endorsement, unless otherwise specified.

(2) The authorized holder of any valid rating endorsement may serve in any capacity in the staff department of a vessel, except in those capacities requiring a staff officer; except that whenever the service includes the handling of food, no person may be so employed unless his or her credential bears the food handler's endorsement indicated by the notation “(F.H.)”.

(3) When an applicant meets the requirements for certification set forth

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in this part, the Coast Guard will issue the appropriate endorsement.

(b) *Physical and medical requirements.* The physical and medical requirements applicable to the endorsements in this subpart are found in 46 CFR part 10, subpart C.

## § 12.203 Creditable service and equivalents for national and STCW ratings endorsements.

Applicants for endorsements should refer to §10.232 of this subchapter for information regarding requirements for documentation and proof of sea service.

## § 12.205 Examination procedures and denial of rating and STCW endorsements.

(a) The examination fee set out in Table 1 to §10.219(a) of this subchapter must be paid before the applicant may take the first section of the examination.

(b) Upon receipt of an application for a rating endorsement, the Coast Guard will give any required examination as soon as practicable after determining that the applicant is otherwise qualified for the endorsement.

(c) An applicant for a rating endorsement who has been duly examined and failed the examination may seek reexamination at any time after the initial examination. However, an applicant who fails an examination for the third time must wait 90 days before re-testing. All examinations and retests must be completed within 1 year of approval for examination.

(d) Upon receipt of an application for an STCW endorsement, the Coast Guard will evaluate the applicant's qualifications. The Coast Guard will issue the appropriate endorsement after determining that the applicant satisfactorily meets all requirements for any requested STCW rating or qualification.

## Subpart C [Reserved]

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## Subpart D—Requirements for National Deck Rating Endorsements

### § 12.401 General requirements for able seaman (A/B) endorsements.

(a) *General.* An A/B is any person below officer and above ordinary seaman who holds a merchant mariner credential (MMC) or merchant mariner document (MMD) endorsed as A/B by the Coast Guard.

(b) *Categories.* The following categories of able seaman endorsements are established:

- (1) Able seaman—unlimited.
- (2) Able seaman—limited.
- (3) Able seaman—special.
- (4) Able seaman—offshore supply vessels.
- (5) Able seaman-sail.
- (6) Able seaman-fishing industry.

(c) *Requirements for certification.* To qualify for an endorsement as able seaman, an applicant must—

- (1) Be at least 18 years of age;
- (2) Pass the prescribed physical and medical examination requirements specified in 46 CFR, part 10, subpart C;
- (3) Present evidence of having passed a chemical test for dangerous drugs or of qualifying for an exemption from testing as described in §16.220 of this subchapter;
- (4) Meet the sea service or training requirements set forth in this part;
- (5) Pass an examination for able seaman;
- (6) Qualify for an endorsement as lifeboatman or lifeboatman-limited; and
- (7) Speak and understand the English language as would be required in performing the general duties of able seaman and during an emergency aboard ship.

(d) *Additional requirements.* (1) The holder of an MMC or MMD endorsed for the rating of A/B may serve in any rating in the deck department without obtaining an additional endorsement, provided—

- (i) That the holder possesses the appropriate A/B endorsement for the service of the vessel; and
- (ii) That the holder possesses the appropriate STCW endorsement when

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serving as an able seafarer-deck or Ratings forming part of the navigational watch on a seagoing ship.

(2) After March 24, 2014, any MMC endorsed as A/B will also be endorsed as lifeboatman or lifeboatman-limited, as appropriate.

(3) The A/B endorsement will clearly describe the type of rating that it represents (see paragraph (a) of this section).

### **§ 12.403 Service or training requirements for able seaman (A/B) endorsements.**

(a) The minimum service required to qualify for the various categories of endorsement as able seaman is as follows:

(1) *Able seaman—unlimited.* Three years of service on deck on vessels operating on oceans or on the Great Lakes.

(2) *Able seaman—limited.* Eighteen months of service on deck on vessels of 100 GRT or more which operate in a service not exclusively confined to the rivers and smaller inland lakes of the United States.

(3) *Able seaman—special.* Twelve months of service on deck on vessels operating on oceans or the navigable waters of the United States, including the Great Lakes.

(4) *Able seaman—offshore supply vessels.* Six months of service on deck on vessels operating on oceans or on the navigable waters of the United States, including the Great Lakes.

(5) *Able seaman—sail.* Six months of service on deck on sailing school vessels, oceanographic research vessels powered primarily by sail, or equivalent sailing vessels operating on oceans or on the navigable waters of the United States, including the Great Lakes.

(6) *Able seaman—fishing industry.* Six months of service on deck, not as a processor, onboard vessels operating on oceans or on the navigable waters of the United States, including the Great Lakes.

(b) Approved training programs may be substituted for the required periods of service on deck as follows:

(1) A graduate of a school ship may be qualified for a rating endorsement as A/B, without further service, upon satisfactory completion of the program

of instruction. For this purpose, “school ship” is interpreted to mean an institution that offers a complete approved program of instruction, including a period of at-sea training, in the skills appropriate to the rating of A/B.

(2) Training programs, other than those classified as a school ship, may be substituted for up to one-third of the required service on deck. The Coast Guard will determine the service/training ratio for each program and may allow a maximum of 3 days of deck service credit for each day of instruction.

### **§ 12.405 Examination and demonstration of ability for able seaman (A/B) endorsements.**

(a) Before an applicant is issued an endorsement as an A/B, he or she must prove, to the satisfaction of the Coast Guard, by oral or other means of examination, or by actual demonstration in a Coast Guard-approved course, his or her knowledge of seamanship and the ability to carry out effectively all the duties that may be required of an A/B, including those of a lifeboatman or lifeboatman-limited.

(b) The examination, whether administered orally or by other means, must be conducted only in the English language and must consist of questions regarding—

(1) The applicant’s knowledge of nautical terms, use of the compass for navigation, running lights, passing signals, and fog signals for vessels on the high seas, inland waters, or Great Lakes, and distress signals; and

(2) The applicant’s knowledge of commands in handling the wheel by obeying orders passed to him or her as helmsman, and knowledge of the use of the engine room telegraph.

(c) The applicant must provide evidence, to the satisfaction of the Coast Guard, of the knowledge of principal knots, bends, splices, and hitches in common use by actually making them.

(d) The applicant must demonstrate, to the satisfaction of the Coast Guard, knowledge of pollution laws and regulations, procedures for discharge containment and cleanup, and methods for disposal of sludge and waste material from cargo and fueling operations.

**§ 12.407 General requirements for lifeboatman endorsements.**

(a) *General.* Every person fulfilling the manning requirements as lifeboatman on any United States vessel must hold an endorsement as lifeboatman. No endorsement as lifeboatman is required of any person employed on any unrigged vessel, except on a seagoing barge and on a tank barge navigating waters other than rivers and/or canals.

(b) *Requirements for certification.* (1) To qualify for an endorsement as lifeboatman, an applicant must—

- (i) Be at least 18 years of age;
- (ii) Pass the prescribed physical and medical examination requirements specified in 46 CFR, part 10, subpart C; and
- (iii) Present evidence of having passed a chemical test for dangerous drugs or as having qualified for an exemption for testing described in § 16.220 of this subchapter.

(2) To be eligible for an endorsement as lifeboatman, an applicant must meet one of the following sea service requirements:

- (i) At least 6 months of sea service in any department of vessels and the successful completion of an approved course.
- (ii) At least 12 months of sea service in any department of vessels on ocean, coastwise, inland, and Great Lakes routes.

(3) Before an applicant is issued an endorsement as a lifeboatman, he or she must prove, to the satisfaction of the Coast Guard, by oral or other means of examination, and by actual practical demonstration of abilities, his or her knowledge of seamanship and the ability to carry out effectively all the duties that may be required of a lifeboatman. This requirement may be met by completion of an approved course in paragraph (b)(2)(i) of this section, provided the course includes actual practical demonstration of abilities.

(4) The practical demonstration must consist of a demonstration of the applicant's ability to—

- (i) Take charge of a survival craft or rescue boat during and after launch;
- (ii) Operate a survival craft engine;

(iii) Demonstrate the ability to row by actually pulling an oar in the boat;

(iv) Manage a survival craft and survivors after abandoning ship;

(v) Safely recover survival craft and rescue boats; and

(vi) Use locating and communication devices.

(5) The examination, whether administered orally or by other means, must be conducted only in the English language and must consist of questions regarding—

(i) Lifeboats and liferafts, the names of their essential parts, and a description of the required equipment;

(ii) The clearing away, swinging out, and lowering of lifeboats and liferafts, the handling of lifeboats under oars and sails, including questions relative to the proper handling of a boat in a heavy sea; and

(iii) The operation and functions of commonly used types of davits.

(6) An applicant, to be eligible for an endorsement as lifeboatman, must be able to speak and understand the English language as would be required in the rating of lifeboatman and in an emergency aboard ship.

**§ 12.409 General requirements for lifeboatman-limited endorsements.**

(a) *General.* Every person fulfilling the manning requirements for lifeboatman on any United States vessel fitted with liferafts, but not fitted with lifeboats, must hold an endorsement as lifeboatman or as lifeboatman-limited. No endorsement as lifeboatman or lifeboatman-limited is required of any person employed on any unrigged vessel, except on a seagoing barge and on a tank barge navigating waters other than rivers and/or canals.

(b) *Requirements for certification.* (1) To qualify for an endorsement as lifeboatman-limited, an applicant must—

- (i) Be at least 18 years of age;
- (ii) Pass the prescribed physical and medical examination requirements specified in 46 CFR Part 10, subpart C; and
- (iii) Present evidence of having passed a chemical test for dangerous

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drugs or of having qualified for an exemption for testing, as described in § 16.220 of this subchapter.

(2) An applicant, to be eligible for an endorsement as lifeboatman-limited, must meet one of the following sea service requirements:

(i) At least 12 months of sea service in any department of vessels on ocean, coastwise, inland, and Great Lakes routes.

(ii) At least 6 months of sea service in any department of vessels, and successful completion of an approved course.

(3) Before an applicant is issued an endorsement as a lifeboatman-limited, he or she must prove, to the satisfaction of the Coast Guard, by oral or other means of examination, and by actual practical demonstration of abilities, his or her knowledge of seamanship and ability to carry out effectively all the duties that may be required of a lifeboatman-limited.

(4) The practical demonstration must consist of a demonstration of the applicant's ability to—

(i) Take charge of a rescue boat, life-raft, or other lifesaving apparatus during and after launch;

(ii) Operate a rescue boat engine;

(iii) Manage a survival craft and survivors after abandoning ship;

(iv) Safely recover rescue boats; and

(v) Use locating and communication devices.

(5) The examination, whether administered orally or by other means, must be conducted only in the English language and must consist of questions regarding—

(i) Liferrafts, rescue boats, and other survival craft except lifeboats, the names of their essential parts, and a description and use of the required equipment;

(ii) The clearing away, launching, and handling of rescue craft, except lifeboats; and

(iii) The operation and functions of commonly used launching devices for rescue boats and survival craft other than lifeboats.

(6) An applicant, to be eligible for an endorsement as lifeboatman-limited, must be able to speak and understand the English language as would be required in the rating of lifeboatman-

limited and in an emergency aboard ship.

### Subpart E—Requirements for National Engineer Rating Endorsements

#### § 12.501 General requirements for a qualified member of the engine department (QMED).

(a) *General.* A qualified member of the engine department is any person below officer and above the rating of coal passer or wiper, who holds an MMC or MMD endorsed as QMED by the Coast Guard.

(b) *Categories.* (1) Each QMED rating must be endorsed separately, unless the applicant qualifies for all QMED ratings, in which case the endorsement will read “QMED—any rating.” The ratings are—

(i) Fireman/Watertender;

(ii) Oiler;

(iii) Junior engineer;

(iv) Electrician/Refrigerating engineer; and

(v) Pumpman/Machinist.

(2) The Coast Guard will no longer issue original endorsements for deck engineer, deck/engine mechanic, or engineman, or individual endorsements for refrigerating engineer, machinist, electrician, and pumpman. However, a mariner who holds any of these endorsements may continue to renew them as long as he or she is otherwise qualified.

(3) If the holder of an endorsement as pumpman only or machinist only seeks the combined endorsement of pumpman/machinist, the mariner must pass the examination described in Table 1 to § 12.505(c) of this subpart.

(4) If the holder of an endorsement as electrician only or refrigerating engineer only seeks the combined endorsement of electrician/refrigerating engineer, the mariner must pass the examination described in Table 1 to § 12.505(c) of this subpart.

(c) *Requirements for certification.* To qualify for any endorsement as QMED, an applicant must—

(1) Be at least 18 years of age;

(2) Pass the prescribed physical and medical examination requirements specified in 46 CFR Part 10, subpart C;

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(3) Present evidence of having passed a chemical test for dangerous drugs or of having qualified for an exemption from testing, as described in § 16.220 of this subchapter;

(4) Meet the sea service or training requirements in § 12.503 of this subpart;

(5) Pass an examination as QMED; and

(6) Speak and understand the English language as would be required in performing the general duties of QMED and during an emergency aboard ship.

**§ 12.503 Service or training requirements.**

(a) An applicant for an endorsement as QMED must provide the Coast Guard with proof of qualification based on 6 months of service in a rating at least equal to that of wiper or coal passer.

(b) Approved training programs may be substituted for the required periods of service as follows:

(1) A graduate of a school ship may qualify for a rating endorsement as QMED, without further service, upon satisfactory completion of the program of instruction. For this purpose, school

ship is interpreted to mean an institution that offers a complete approved program of instruction, including a period of at-sea training, in the skills appropriate to the rating of QMED.

(2) Training programs, other than those classified as a school ship, may be substituted for up to one-half of the required service. The service/training ratio for each program is determined by the Coast Guard.

**§ 12.505 Examination requirements.**

(a) Before an applicant is issued an endorsement as QMED in the rating of oiler, fireman/watertender, junior engineer, pumpman/machinist, or electrician/refrigerating engineer, he or she must prove, to the satisfaction of the Coast Guard, by oral or other means of examination, his or her knowledge of the subjects listed in paragraph (c) of this section.

(b) The examination, whether administered orally or by other means, must be conducted only in the English language.

(c) Table 1 to § 12.505(c) provides a list of subjects required.

TABLE 1 TO § 12.505(c)—EXAMINATION SUBJECTS FOR QMED RATINGS

Subjects	Pumpman/ machinist	Fireman/ watertender	Oiler	Electrician/ refrigerating engineer	Junior engineer
General subjects:					
Auxiliary machinery .....	X	X	X	X	X
Basic safety procedures .....	X	X	X	X	X
Bearings .....	X		X	X	X
Care of equipment and machine parts .....	X	X	X	X	X
Deck machinery .....	X			X	X
Drawings and tables .....	X			X	X
Heat exchangers .....	X	X	X	X	X
Hydraulic principles .....	X			X	X
Instrumentation principles .....	X	X	X	X	X
Lubrication principles .....	X		X	X	X
Maintenance procedures .....	X	X	X	X	X
Measuring instruments .....	X	X	X	X	X
Pipes, fittings, and valves .....	X	X	X	X	X
Pollution prevention .....	X	X	X	X	X
Properties of fuel .....		X	X		X
Pumps, fans, and blowers .....	X			X	X
Refrigeration principles .....			X	X	X
Remote control equipment .....	X	X	X	X	X
Use of hand/power tools .....	X	X	X	X	X
Watch duties .....		X	X		X
Electrical subjects:					
A/C circuits .....				X	X
Batteries .....				X	X
Calculations .....				X	X
Communication devices .....				X	X
D/C circuits .....				X	X
Distribution systems .....				X	X
Electronic principles .....				X	X
Generation equipment .....			X	X	X
Maintenance .....			X	X	X

TABLE 1 TO § 12.505(c)—EXAMINATION SUBJECTS FOR QMED RATINGS—Continued

Subjects	Pumpman/ machinist	Fireman/ watertender	Oiler	Electrician/ refrigerating engineer	Junior engineer
Measuring devices .....	.....	.....	.....	X	X
Motor controllers .....	.....	.....	.....	X	X
Motors .....	.....	.....	X	X	X
Safety .....	X	X	X	X	X
Troubleshooting .....	.....	.....	.....	X	.....
Safety and environmental protection subjects:					
Communications .....	X	X	X	X	X
Damage control .....	X	X	X	X	X
Elementary first aid .....	X	X	X	X	X
Emergency equipment .....	X	X	X	X	X
Environmental awareness .....	X	X	X	X	X
Fire prevention .....	X	X	X	X	X
Firefighting equipment .....	X	X	X	X	X
Firefighting principles .....	X	X	X	X	X
General safety .....	X	X	X	X	X
Hazardous materials .....	X	X	X	X	X
Shipboard equipment and systems subjects:					
Air conditioning .....	.....	.....	.....	X	X
Ballast .....	X	X	X	.....	X
Bilge .....	X	X	X	.....	X
Compressed air .....	X	X	X	X	X
Desalination .....	.....	.....	X	.....	X
Fuel oil storage/transfer .....	.....	X	X	.....	X
Fuel treatment .....	.....	X	X	.....	X
Heating/ventilation .....	X	.....	.....	X	X
Lubrication .....	X	.....	X	X	X
Potable water .....	.....	.....	X	.....	X
Refrigeration .....	.....	.....	X	X	X
Sanitary/sewage .....	.....	.....	X	.....	X
Steering .....	.....	.....	X	X	X
Steam propulsion subjects:					
Auxiliary turbines .....	.....	X	X	.....	X
Boiler fundamentals .....	.....	X	X	.....	X
Combustion principles .....	.....	X	X	.....	X
Condensate systems .....	.....	X	X	.....	X
Drive systems .....	.....	X	X	.....	X
Feedwater systems .....	.....	X	X	.....	X
Fuel service systems .....	.....	X	X	.....	X
Maintenance .....	X	X	X	.....	X
Safety .....	X	X	X	X	X
Steam fundamentals .....	X	X	X	.....	X
Turbine fundamentals .....	.....	X	X	.....	X
Motor propulsion subjects:					
Air-charge systems .....	.....	.....	X	.....	X
Cooling water systems .....	.....	.....	X	.....	X
Diesel engine principles .....	X	.....	X	.....	X
Drive systems .....	X	.....	X	.....	X
Fuel service systems .....	.....	.....	X	.....	X
Intake/exhaust .....	.....	.....	X	.....	X
Lubrication systems .....	X	.....	X	.....	X
Starting systems .....	.....	.....	X	.....	X
Waste heat/auxiliary boiler .....	.....	.....	X	.....	X

## Subpart F—Requirements for STCW Rating Endorsements

### § 12.601 General requirements for STCW rating endorsements.

(a) *General.* An applicant for any STCW endorsement must hold the appropriate national endorsement, unless otherwise specified. The Coast Guard

will issue an STCW endorsement to qualified applicants for any of the following ratings or qualifications:

- (1) Able seafarer-deck.
- (2) Ratings forming part of a navigational watch (RFPNW).
- (3) Able seafarer-engine.
- (4) Ratings forming part of a watch in a manned engine room or designated



to perform duties in a periodically unmanned engineroom (RFPEW).

(5) Electro-technical rating on vessels powered by main propulsion machinery of 750 kW/1,000 HP or more.

(6) Proficiency in survival craft and rescue boats, other than fast rescue boats (PSC).

(7) Proficiency in survival craft and rescue boats, other than lifeboats and fast rescue boats (PSC-limited).

(8) Proficiency in fast rescue boats.

(9) Medical first-aid provider.

(10) Person in charge of medical care.

(11) GMDSS at-sea maintainer.

(12) Vessel personnel with designated security duties.

(13) Security awareness.

(b) *Standard of competence.* (1) The Coast Guard will accept one or more methods listed in the STCW Code to demonstrate meeting the standard of competence in this subpart. See Column 3, “Methods for demonstrating competence,” of the Tables of Competence in the STCW Code (incorporated by reference, see §12.103 of this part). The Coast Guard will accept the following as evidence of meeting the standard of competence under each of these methods:

(i) *In-service experience:* Documentation of successful completion of assessments, approved or accepted by the Coast Guard, and signed by a qualified assessor, deck or engineering, as appropriate.

(ii) *Training ship experience:* Documentation of successful completion of an approved training program involving formal training and assessment on-board a training ship.

(iii) *Simulator training:* Documentation of successful completion of training and assessment from a Coast Guard-approved course involving maritime simulation.

(iv) *Laboratory equipment training:* Documentation of successful completion of training and assessments from an approved training course or completion certificate from an approved training school or facility.

(v) *Practical training or instruction:*

(A) Documentation of successful completion of assessment as part of structured/formal training or instruction provided by an organization or

company as part of an accepted safety or quality management system; or

(B) Documentation of successful completion of an approved training course from a school or facility.

(vi) *Specialist training:* Documentation of successful completion of assessment as part of a company training or specialized training provided by a maritime or equipment specialist.

(vii) *Workshop skills training:* Documentation of successful completion of assessments or completion certificate from an approved training program, school or facility.

(viii) *Training program:* Documentation of successful completion of an approved training program.

(ix) *Practical demonstration and practical demonstration of competence:* Documentation of successful completion of assessments approved or accepted by the Coast Guard.

(x) *Practical test and practical experience:* Documentation of successful completion of assessments approved or accepted by the Coast Guard.

(xi) *Examination:* Successful completion of a Coast Guard examination.

(xii) *Instruction or course:* Documentation of successful completion of a course of instruction offered by an approved training school or facility.

(2) Knowledge components may be documented by—

(i) Successful completion of the Coast Guard examination for the associated rating endorsement;

(ii) Successful completion of an approved course; or

(iii) Successful completion of an approved program.

(3) The Coast Guard will publish assessment guidelines that should be used to document assessments that demonstrate meeting the standard of competence, as required by paragraph (b)(1) of this section. Organizations may develop alternative assessment documentation for demonstrations of competence; however, such documentation must be approved by the Coast Guard prior to its use and submittal with an application.

[USCG–2004–17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG–2014–0688, 79 FR 58279, Sept. 29, 2014; USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 12.602 Basic training.**

(a) Applicants seeking an STCW rating endorsement must provide evidence, with their application, of meeting the standard of competence for basic training as described below:

(1) Personal survival techniques, as set out in Table A-VI/1-1 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(2) Fire prevention and firefighting, as set out in Table A-VI/1-2 of the STCW Code.

(3) Elementary first aid, as set out in Table A-VI/1-3 of the STCW Code.

(4) Personal safety and social responsibilities, as set out in Table A-VI/1-4 of the STCW Code.

(b) Every 5 years, seafarers qualified in accordance with § 12.601 (a) of this subpart must provide evidence of maintaining the standard of competence for basic training (BT).

(c) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years for the following areas:

(1) Personal survival techniques, as set out in Table A-VI/1-1 of the STCW Code:

- (i) Donning a lifejacket.
- (ii) Boarding a survival craft from the ship, while wearing a lifejacket.
- (iii) Taking initial actions on board a lifeboat to enhance chance of survival.
- (iv) Streaming a lifeboat drogue or sea-anchor.
- (v) Operating survival craft equipment.
- (vi) Operating location devices, including radio equipment.

(2) Fire prevention and firefighting, as set out in Table A-VI/1-2 of the STCW Code:

- (i) Using self-contained breathing apparatus.
- (ii) Performing a rescue in a smoke-filled space, using an approved smoke-generating device aboard, while wearing a breathing apparatus.

(3) Elementary first aid, as set out in Table A-VI/1-3 of the STCW Code.

(4) Personal safety and social responsibilities, as set out in Table A-VI/1-4 of the STCW Code.

(d) The Coast Guard will only accept evidence of approved assessments conducted ashore for the following areas:

(1) Personal survival techniques, as set out in Table A-VI/1-1 of the STCW Code:

- (i) Donning and use an immersion suit.
- (ii) Safely jumping from a height into the water.
- (iii) Righting an inverted liferaft while wearing a lifejacket.
- (iv) Swimming while wearing a lifejacket.
- (v) Keeping afloat without a lifejacket.

(2) Fire prevention and firefighting as set out in Table A-VI/1-2 of the STCW Code:

- (i) Using various types of portable fire extinguishers.
- (ii) Extinguishing smaller fires, e.g., electrical fires, oil fires, and propane fires.
- (iii) Extinguishing extensive fires with water, using jet and spray nozzles.
- (iv) Extinguishing fires with foam, powder, or any other suitable chemical agent.
- (v) Fighting fire in smoke-filled enclosed spaces wearing self-contained breathing apparatuses.
- (vi) Extinguishing fire with water fog or any other suitable firefighting agent in an accommodation room or simulated engine room with fire and heavy smoke.
- (vii) Extinguishing oil fire with fog applicator and spray nozzles, dry chemical powder, or foam applicators.

(e) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (c) of this section, will be required to meet the requirements of paragraph (a) of this section or complete approved or accepted refresher training.

**§ 12.603 Requirements to qualify for an STCW endorsement as able seafarer-deck.**

(a) To qualify for this endorsement as able seafarer-deck, an applicant must—

- (1) Be not less than 18 years of age;
- (2) Meet the requirements for certification as a RFPNW;
- (3) While qualified as an RFPNW, have seagoing service in the deck department of—
  - (i) Not less than 18 months; or

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(ii) Not less than 12 months and have completed approved training;

(4) Provide evidence of meeting the standard of competence specified in Table A–II/5 of the STCW Code (incorporated by reference, see § 12.103 of this part); and

(5) Provide evidence of having satisfactorily completed approved training in—

(i) Proficiency in survival craft and rescue boats other than fast rescue boats (PSC); or

(ii) Proficiency in survival craft and rescue boats, other than lifeboats or fast rescue boats-limited (PSC-limited), as appropriate.

(b) Seafarers holding a rating endorsement as able seaman before January 1, 2017, will be eligible for this endorsement upon showing evidence of—

(1) Holding an endorsement as an RFPNW; and

(2) Having satisfactorily completed approved training in—

(i) Proficiency in survival craft and rescue boats, other than fast rescue boats (PSC); or

(ii) Proficiency in survival craft and rescue boats, other than lifeboats or fast rescue boats-limited (PSC-limited), as appropriate.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A–II/5 of the STCW Code. These exemptions must be approved by the Coast Guard, based upon vessel type. Under these circumstances, the endorsement may include a corresponding limitation.

(d) Except as provided in paragraph (b) of this section, seafarers with the following national rating endorsements will be eligible for this endorsement upon completion of the requirements designated in this section:

TABLE 1 TO § 12.603(d)—STCW ENDORSEMENT AS ABLE SEAFARER-DECK

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/4 <sup>2</sup>	Competence—STCW Table A–II/5 <sup>3</sup>	Training required by this section <sup>4</sup>
A/B unlimited .....	None .....	Y	Y	N
A/B limited .....	None .....	Y	Y	N
A/B special .....	6 months <sup>5</sup> .....	Y	Y	N
A/B-offshore supply vessels .....	12 months <sup>6</sup> .....	Y	Y	N
A/B sail .....	12 months <sup>6</sup> .....	Y	Y	N
A/B-fishing industry .....	12 months <sup>6</sup> .....	Y	Y	N

<sup>1</sup> This column provides the minimum additional service required of the seafarer already holding an RFPNW endorsement in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(2) of this section not previously satisfied.

<sup>3</sup> Complete any items in paragraph (a)(4) of this section not previously satisfied.

<sup>4</sup> Complete any items in paragraph (a)(5) of this section not previously satisfied.

<sup>5</sup> The service may be reduced to 3 months if training has been completed as part of an approved training program meeting the requirements of paragraph (a)(4) of this section.

<sup>6</sup> The service may be reduced to 6 months if training has been completed as part of an approved training program meeting the requirements of (a)(4) of this section.

[USCG–2004–17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG–2018–0874, 84 FR 30882, June 28, 2019]

**§ 12.605 Requirements to qualify for an STCW endorsement as ratings forming part of a navigational watch (RFPNW).**

(a) To qualify for endorsement as an RFPNW on a seagoing vessel of 500 GT or more, an applicant must—

(1) Be not less than 16 years of age;

(2) Provide evidence of service as follows:

(i) Six months of seagoing service, which includes training and experience associated with navigational

watchkeeping functions and involves the performance of duties carried out under the supervision of the master, mate, or qualified STCW deck rating; or

(ii) Proof of successful completion of Coast Guard-approved or -accepted training, which includes not less than 2 months of approved seagoing service; and

(3) Provide evidence of meeting standards of competence prescribed in Table A–II/4 of the STCW Code (incorporated by reference, see § 12.103 of this part).

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(b) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-II/4 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the endorsement may include a corresponding limitation.

(c) Seafarers with the following national rating endorsements will be eligible for this endorsement upon completion of requirements designated in this section:

TABLE 1 TO § 12.605(c)—STCW ENDORSEMENT AS RFPNW

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A-II/4 <sup>2</sup>
A/B unlimited .....	None .....	Y
A/B limited .....	None .....	Y
A/B special .....	None .....	Y
A/B-offshore supply vessels	None .....	Y
A/B sail .....	None .....	Y
A/B-fishing industry .....	None .....	Y
Ordinary seaman .....	6 mo. <sup>3</sup> .....	Y

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

<sup>3</sup> The service may be reduced to 2 months if training has been completed as part of an approved training program meeting the requirements of paragraph (a)(2)(ii) of this section.

### § 12.607 Requirements to qualify for an STCW endorsement as rating as able seafarer-engine.

(a) To qualify for an STCW endorsement as an able seafarer-engine, an applicant must—

- (1) Be not less than 18 years of age;
- (2) Meet the requirements for certification as a ratings forming part of an engineering watch (RFPEW);

(3) While qualified as an RFPEW, have seagoing service in the engine department of—

- (i) Not less than 12 months; or
- (ii) Not less than 6 months and have completed approved training; and

(4) Provide evidence of meeting the standard of competence specified in Table A-III/5 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(b) Seafarers holding a rating endorsement as QMED, junior engineer, electrician or electrician/refrigerating engineer, pumpman or pumpman/ma-

chinist, refrigerating engineer, or machinist before January 1, 2017, will be eligible for this endorsement upon showing evidence of holding an endorsement as an RFPEW.

(c) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A-III/5 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the endorsement may include a corresponding limitation.

(d) Except as provided in paragraph (b) of this section, seafarers with the following national rating endorsements will be eligible for this endorsement upon completion of requirements designated in this section:

TABLE 1 TO § 12.607(d)—STCW ENDORSEMENT AS ABLE SEAFARER-ENGINE

Domestic QMED endorsement	Additional sea service for AS-E
Engineman .....	None.
Deck Engine Mechanic .....	None.
Electrician .....	6 months. <sup>1</sup>
Refrigerating Engineer .....	6 months. <sup>1</sup>
Pumpman .....	6 months. <sup>1</sup>
Machinist .....	6 months. <sup>1</sup>

<sup>1</sup> Service may be reduced to 3 months if training has been completed as part of an approved training program.

[USCG-2004-17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG-2018-0874, 84 FR 30882, June 28, 2019]

### § 12.609 Requirements to qualify for an STCW endorsement as rating forming part of an engineering watch (RFPEW).

(a) To qualify for an STCW endorsement as an RFPEW in a manned engine room or to qualify to be designated to perform duties in a periodically unmanned engine room, an applicant must—

- (1) Be not less than 16 years of age;
- (2) Provide evidence of service as follows:

(i) Six months of seagoing service, which includes training and experience associated with engine room functions, and involves the performance of duties carried out under the supervision of an engineer officer or a qualified STCW rating; or

(ii) Proof of successful completion of a Coast Guard-approved or -accepted

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training, which includes not less than 2 months approved seagoing service; and

(3) Provide evidence of meeting the standard of competence as specified in Table A–III/4 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(b) The Coast Guard may exempt an applicant from meeting any individual knowledge, understanding, and proficiency required in Section A–III/4 of the STCW Code. These exemptions must be approved by the Coast Guard based upon vessel type. Under these circumstances, the endorsement may include a corresponding limitation.

(c) Seafarers with the following national rating endorsements will be eligible for this endorsement upon completion of requirements designated in this section:

TABLE 1 TO § 12.609(c)—STCW ENDORSEMENT AS RFPEW

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/4 <sup>2</sup>
Any QMED .....	None .....	Y
Wiper .....	6 months .....	Y

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

(d) *Limitations.* (1) STCW RFPEW endorsements issued in accordance with this section will be restricted to specific propulsion modes for steam, motor, or gas turbine-propelled vessels, as appropriate.

(2) STCW RFPEW endorsements issued in accordance with this section for motor or gas turbine-propelled vessels may be endorsed as limited to serve on vessels without auxiliary boilers, waste-heat boilers, or distilling plants. An applicant may qualify for removal of any of these limitations by demonstrating the appropriate competencies.

### § 12.611 Requirements to qualify for an STCW endorsement as electro-technical rating (ETR) on vessels powered by main propulsion machinery of 750 kW/1,000 HP or more.

(a) To qualify for an STCW endorsement as an electro-technical rating, an applicant must—

(1) Be not less than 18 years of age;

(2) Provide evidence of—

(i) Twelve months of seagoing service, that includes training and experience associated with engine room watchkeeping functions and involves the performance of duties carried out under the supervision of an engineer officer, electro-technical officer, or a qualified STCW engine rating;

(ii) Proof of successful completion of a Coast Guard-approved or -accepted program, which includes not less than 6 months of approved seagoing service; or

(iii) Qualifications meeting the standard of competence specified in Table A–III/7 of the STCW Code (incorporated by reference, see § 12.103 of this part) and approved seagoing service of not less than 3 months;

(3) Provide evidence of meeting the standard of competence specified in Table A–III/7 of the STCW Code; and

(4) Provide evidence of completion of an approved course in—

(i) Computer systems and maintenance; and

(ii) High-voltage power systems.

(b) An applicant who holds an STCW endorsement as able seafarer-engine and a national rating endorsement as electrician, electrician/refrigerating engineer, or junior engineer will be issued the ETR endorsement upon completion of the requirements in Section A–III/7 of the STCW Code and evidence of completion of the training required in paragraph (a)(4) of this section.

(c) Seafarers with the following national rating endorsement will be eligible for this endorsement upon completion of the requirements designated in this section:

TABLE 1 TO § 12.611(c)—STCW ENDORSEMENT AS ELECTRO-TECHNICAL RATING

Entry path from national endorsements	Sea service under authority of the endorsement <sup>1</sup>	Competence—STCW Table A–II/7 <sup>2</sup>
Electrician/refrigerating engineer.	None .....	Y
Junior engineer .....	None .....	Y

<sup>1</sup> This column provides the minimum additional service required of the seafarer in order to meet the requirements of this section.

<sup>2</sup> Complete any items in paragraph (a)(3) of this section not previously satisfied.

**§ 12.613 Requirements to qualify for an STCW endorsement in proficiency in survival craft and rescue boats other than fast rescue boats (PSC).**

(a) To qualify for an STCW endorsement in proficiency in survival craft and rescue boats other than fast rescue boats (PSC), the applicant must—

- (1) Be at least 18 years of age;
- (2) Meet the requirements for a lifeboatman endorsement in §12.407 of this part and Table A-VI/2-1 of the STCW Code (incorporated by reference, see §12.103 of this part); and
- (3) Complete basic training (BT), found in §12.602 of this subpart.

(b) *Continued professional competence.*  
(1) Seafarers qualified in accordance with paragraph (a) of this section must provide evidence of maintaining the standard of competence as set out in Table A-VI/2-1 of the STCW Code every 5 years.

(2) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (b)(1) of this section for the following areas, as set out in Table A-VI/2-1 of the STCW Code:

(i) Taking charge of a survival craft or rescue boat during and after launch, including—

(A) Interpreting the markings on survival craft as to the number of persons they are intended to carry;

(B) Giving correct commands for launching and boarding survival craft, clearing the ship, and handling and disembarking persons from survival craft;

(C) Preparing and safely launch survival craft, operating its engine, and clearing the ship's side quickly; and

(D) Safely recovering survival craft and rescue boats.

(ii) Operating a survival craft engine, including—

(A) Rowing and steering a boat and steer by compass;

(B) Using individual items of equipment of survival craft, except for pyrotechnics; and

(C) Rigging devices to aid location.

(iii) Using locating devices, including communication and signaling apparatus, including—

(A) Using of portable radio equipment for survival craft.

(B) [Reserved]

(iv) Applying first aid to survivors.

(3) The Coast Guard will only accept evidence of assessments conducted ashore as meeting the requirements of paragraph (b)(1) of this section for the areas not included in paragraph (b)(2) of this section, as set out in Table A-VI/2-1 of the STCW Code.

(4) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (b)(2) of this section, will be required to meet the requirements of paragraph (a) of this section or complete approved or accepted refresher training.

(c) Seafarers holding an MMD or MMC endorsement as lifeboatman before January 1, 2017 will be eligible for this endorsement upon showing evidence of sea service of not less than 12 months within the last 60 months. The sea service must be completed prior to January 1, 2017.

[USCG-2004-17914, 78 FR 77975, Dec. 24, 2013, as amended by USCG-2018-0874, 84 FR 30882, June 28, 2019]

**§ 12.615 Requirements to qualify for an STCW endorsement in proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats-limited (PSC-limited).**

(a) To qualify for an STCW endorsement in proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats-limited (PSC-limited), the applicant must—

(1) Be at least 18 years of age;

(2) Meet the requirements for a lifeboatman-limited endorsement in §12.409 of this part and Table A-VI/2-1 of the STCW Code (incorporated by reference, see §12.103 of this part); and

(3) Complete BT, found in §12.601(c) of this subpart.

(b) *Continued professional competence.*  
(1) Seafarers qualified in accordance with paragraph (a) of this section must provide evidence of maintaining the standard of competence as set out in Table A-VI/2-1 of the STCW Code every 5 years.

(2) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (b)(1) of this

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section for the following areas, as set out in Table A–VI/2–1 of the STCW Code:

(i) Taking charge of a survival craft or rescue boat during and after launch including—

(A) Interpreting the markings on survival craft as to the number of persons they are intended to carry;

(B) Giving correct commands for launching and boarding rescue boats and survival craft other than lifeboats, clearing the ship, and handling and disembarking persons from survival craft;

(C) Preparing and safely launching rescue boats and survival craft, other than lifeboats, starting the engine, and clearing the ship's side quickly; and

(D) Safely recovering rescue boats.

(ii) Managing survivors and survival craft after abandoning ship, including—

(A) Steering a rescue boat and steer by compass;

(B) Using individual items of equipment of survival craft other than lifeboats, except for pyrotechnics; and

(C) Rigging devices to aid location.

(iii) Using locating devices, including communication and signaling apparatuses, including—

(A) Using portable radio equipment for rescue boats and survival craft;

(B) [Reserved]

(iv) Applying first aid to survivors.

(3) The Coast Guard will only accept evidence of assessments conducted ashore as meeting the requirements of paragraph (b)(1) of this section for the areas not included in paragraph (b)(2) of this section as set out in Table A–VI/2–1 of the STCW Code.

(4) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (b)(2) of this section, will be required to meet the requirements of paragraph (a) of this section or complete approved or accepted refresher training.

(c) Seafarers holding an MMD or MMC endorsement as lifeboatman-limited before January 1, 2017, will be eligible for this endorsement upon showing evidence of sea service of not less than 12 months within the last 60 months. The sea service must be completed prior to January 1, 2017.

### § 12.617 Requirements to qualify for an STCW endorsement in proficiency in fast rescue boats.

(a) To qualify for an STCW endorsement in proficiency in fast rescue boats, an applicant must—

(1) Be not less than 18 years of age;

(2) Hold an endorsement in proficiency in survival craft and rescue boats other than fast rescue boats (PSC) or in proficiency in survival craft and rescue boats other than lifeboats and fast rescue boats-limited (PSC-limited) under this subpart;

(3) Provide evidence of successful completion of a Coast Guard-approved or -accepted course; and

(4) Provide evidence of meeting the standard of competence specified in Table A–VI/2–2 of the STCW Code (incorporated by reference, see §12.103 of this part).

(b) *Continued professional competence.*

(1) Seafarers qualified in accordance with paragraph (a) of this section must provide evidence of maintaining the standard of competence as set out in Table A–VI/2–2 of the STCW Code every 5 years.

(2) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (b)(1) of this section for the following areas, as set out in Table A–VI/2–2 of the STCW Code:

(i) Taking charge of a fast rescue boat during and after launch, including—

(A) Controlling safe launching, operating of the engine, and recovering a fast rescue boat;

(B) Handling a fast rescue boat in prevailing weather and sea conditions;

(C) Using communication and signaling equipment between the fast rescue boat and a helicopter and a ship;

(D) Using the emergency equipment carried; and

(E) Carrying out search patterns, taking account of environmental factors.

(ii) [Reserved]

(3) The Coast Guard will only accept evidence of assessments conducted ashore as meeting the requirements of paragraph (b)(1) of this section for the areas not included in paragraph (b)(2)

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of this section, as set out in Table A-VI/2-2 of the STCW Code.

(4) Applicants who cannot meet the requirement for 1 year of sea service within the last 5 years, as described in paragraph (b)(2) of this section, will be required to meet the requirements of paragraph (a)(3) of this section or complete approved or accepted refresher training.

### § 12.619 Requirements to qualify for an STCW endorsement as medical first-aid provider.

(a) To qualify for an STCW endorsement as medical first-aid provider, an applicant must—

(1) Provide evidence of successful completion of an approved course in medical first aid; and

(2) Provide evidence of meeting the standard of competence specified in Table A-VI/4-1 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(b) An applicant holding one of the following credentials is qualified for an endorsement as medical first-aid provider:

(1) A valid professional license listed in § 11.807(a)(5) or (a)(6) of this subchapter, without restriction or limitation placed upon it by the issuing State.

(2) A rating listed in § 11.807(a)(7) or (a)(8) of this subchapter.

### § 12.621 Requirements to qualify for an STCW endorsement as person in charge of medical care.

(a) To qualify for an STCW endorsement as person in charge of medical care, an applicant must—

(1) Provide evidence of successful completion of an approved course that leads to an endorsement for seafarers designated to take charge of medical care onboard a ship; and

(2) Provide evidence of meeting the standard of competence specified in Table A-VI/4-2 of the STCW Code (incorporated by reference, see § 12.103 of this part).

(b) An applicant holding any of the following credentials is qualified for an endorsement as person in charge of medical care:

(1) A valid professional license listed in § 11.807(a)(5) or (a)(6) of this subchapter, without restriction or limita-

tion placed upon it by the issuing State.

(2) A rating listed in § 11.807(a)(7) or (a)(8) of this subchapter.

### § 12.623 Requirements to qualify for an STCW endorsement as Global Maritime Distress and Safety System (GMDSS) at-sea maintainer.

To qualify for an STCW endorsement as GMDSS at-sea maintainer, an applicant must—

(a) Be not less than 18 years of age;

(b) Provide evidence of—

(1) Successful completion of a training program that covers at least the scope and content of the training outlined in Section B-IV/2 of the STCW Code (incorporated by reference, see § 12.103 of this part); or

(2) Passing an approved GMDSS at-sea maintainer course; and

(c) Hold a valid Federal Communications Commission (FCC) certificate as GMDSS at-sea maintainer.

### § 12.625 Requirements to qualify for an STCW endorsement as vessel personnel with designated security duties.

(a) An applicant for an STCW endorsement as vessel personnel with designated security duties must—

(1) Present satisfactory documentary evidence, such as a certificate or letter signed by a company official, or a certificate of completion from a Coast Guard-accepted or Coast Guard-approved course, of meeting the requirements in 33 CFR 104.220;

(2) Meet the physical examination requirements in 46 CFR Part 10, subpart C; and

(3) Meet the safety and suitability requirements and the National Driver Registry review requirements in § 10.209(e) of this subchapter, unless the applicant has met these requirements within the previous 5 years in connection with another endorsement.

(b) Until March 24, 2014, seafarers will be able to apply for an endorsement as vessel personnel with designated security duties by—

(1) Having completed approved sea-going service with designated security duties, for a period of at least 6 months in total during the preceding 3 years;

(2) Having performed security functions considered to be equivalent to the



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seagoing service required in paragraph (b)(1) of this section; or

(3) Successfully completing Coast Guard-accepted or Coast Guard-approved training.

### § 12.627 Requirements to qualify for an STCW endorsement for security awareness.

(a) An applicant for an endorsement for security awareness must—

(1) Present satisfactory documentary evidence, such as a certificate or letter signed by a company official, or a certificate of completion from a Coast Guard-accepted or Coast Guard-approved course, of meeting the requirements in 33 CFR 104.225;

(2) Meet the physical examination requirements in 46 CFR, part 10, subpart C; and

(3) Meet the safety and suitability requirements and the National Driver Registry review requirements in § 10.209(e) of this subchapter, unless the applicant has met these requirements within the previous 5 years in connection with another endorsement.

(b) Until March 24, 2014, seafarers will be able to apply for an endorsement in security awareness by—

(1) Having performed approved seagoing service for a period of at least 6 months in total during the preceding 3 years;

(2) Having performed security functions considered to be equivalent to the seagoing service required in paragraph (b)(1) of this section; or

(3) Successfully completing Coast Guard-accepted or Coast Guard-approved training.

## Subpart G—Entry-Level National Ratings and Miscellaneous Ratings

### § 12.701 Credentials required for entry-level and miscellaneous ratings.

Every person employed or engaged on a vessel subject to 46 U.S.C. 8701, must produce an MMC or MMD with the appropriate endorsement to the master or person in charge (PIC), if appropriate, before signing shipping articles.

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### § 12.703 General requirements for entry-level ratings.

(a) Rating endorsements will be issued without professional examination to applicants in capacities other than able seaman, lifeboatman, lifeboatman-limited, tankerman, or QMED, including—

(1) Ordinary seaman;

(2) Wiper;

(3) Steward's department; and

(4) Steward's department (F.H.).

(b) Holders of MMCs or MMDs endorsed as ordinary seaman may serve in any unqualified rating in the deck or steward's department, except as a food handler.

(c) Holders of MMCs or MMDs endorsed as wiper may serve in any unqualified rating in the engine or steward's department, except as a food handler.

(d) Only MMCs or MMDs endorsed as steward's department (F.H.) will authorize the holder's service in any capacity in the steward's department, including food handler.

### § 12.705 Endorsements for persons enrolled in a Maritime Administration-approved training program.

MMCs issued to individuals obtaining sea service as part of an approved training curriculum while enrolled at either the United States Merchant Marine Academy or a deck or engineering class of a Maritime Academy approved by and conducted under the rules prescribed by the Maritime Administrator and listed in 46 CFR Part 310 will include an endorsement of cadet (deck) or cadet (engine), as appropriate, and lifeboatman. Individuals obtaining sea service as part of such an approved training curriculum must do so in the capacity of cadet (deck) or cadet (engine), as appropriate, notwithstanding any other rating endorsements the individual may hold or any other capacity in which the individual may have previously served.

### § 12.707 Student observers.

Students in technical schools who are enrolled in courses in marine management, naval architecture, and ship operations, and who present a letter or other documentary evidence that they

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are enrolled, will be issued an MMC endorsed as “student observer—any department” and may be signed on ships as such. Students holding these endorsements will not take the place of any of the crew, or replace any of the regular required crew.

### § 12.709 Apprentice engineers.

(a) Persons enrolled in an engineer training program approved by the Coast Guard, and who present a letter or other documentary evidence that they are enrolled, may be issued an MMC endorsed as apprentice engineer and may be signed on ships as such. The endorsement as apprentice engineer may be in addition to other endorsements; however, this endorsement does not authorize the holder to replace any of the regular required crew.

(b) Persons holding the endorsement as apprentice engineer are deemed to be seamen.

### § 12.711 Apprentice mate.

(a) A person enrolled in a mate training program approved by the Coast Guard, and who presents a letter or other documentary evidence that he or she is enrolled, may be issued an MMC rating endorsement as apprentice mate and may be signed on a vessel in this capacity. The rating endorsement as apprentice mate may be in addition to other endorsements; however, this endorsement does not authorize the holder to replace any of the regular required crew.

(b) Persons holding the endorsement as apprentice mate are deemed to be seamen.

## Subpart H—Non-Resident Alien Members of the Steward’s Department on U.S. Flag Large Passenger Vessels

### § 12.801 Purpose.

The rules in this subpart implement 46 U.S.C. 8103(k) by establishing requirements for the issuance of MMCs, valid only for service in the steward’s department of U.S. flag large passenger vessels, to non-resident aliens.

### § 12.803 General requirements.

(a) Unless otherwise specified in this subpart, non-resident alien applicants for Coast Guard-issued MMCs are subject to all applicable requirements contained in this subchapter.

(b) No application for an MMC from a non-resident alien issued pursuant to this subpart will be accepted unless the applicant’s employer satisfies all of the requirements of § 12.805 of this subpart.

### § 12.805 Employer requirements.

(a) The employer must submit the following to the Coast Guard, as a part of the applicant’s MMC application, on behalf of the applicant:

(1) A signed report that contains all material disciplinary actions related to the applicant, such as, but not limited to, violence or assault, theft, drug and alcohol policy violations, and sexual harassment, along with an explanation of the criteria used by the employer to determine the materiality of those actions.

(2) A signed report regarding an employer-conducted background check. The report must contain—

(i) A statement that the applicant has successfully undergone an employer-conducted background check;

(ii) A description of the employer-conducted background check, including all databases and records searched. The background check must, at a minimum, show that the employer has reviewed all information reasonably and legally available to the owner or managing operator, including the review of available court and police records in the applicant’s country of citizenship, and any other country in which the applicant has received employment referrals, or resided, for the past 20 years prior to the date of application; and

(iii) All information derived from the employer-conducted background check.

(3) An employer-conducted background check, which must be conducted to the satisfaction of the Coast Guard for an MMC to be issued to the applicant.

(b) If an MMC is issued to the applicant, the report and information required in paragraph (a)(2) of this section must be securely kept by the employer on the U.S. flag large passenger

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vessel on which the applicant is employed. The report and information must remain on the last U.S. flag large passenger vessel on which the applicant was employed until such time as the MMC is returned to the Coast Guard in accordance with paragraph (d) of this section.

(c) If an MMC or a transportation worker identification credential (TWIC) is issued to the applicant, each MMC and TWIC must be securely kept by the employer on the U.S. flag large passenger vessel on which the applicant is employed. The employer must maintain a detailed record of the seaman's total service on all authorized U.S. flag large passenger vessels, and must make that information available to the Coast Guard upon request, to demonstrate that the limitations of § 12.811(c) of this subpart have not been exceeded.

(d) In the event that the seaman's MMC and/or TWIC expires, the seaman's visa status terminates, the seaman serves onboard the U.S. flag large passenger vessel(s) for 36 months in the aggregate as a nonimmigrant crewman, the employer terminates employment of the seaman, or, if the seaman otherwise ceases working with the employer, the employer must return the MMC to the Coast Guard and/or the TWIC to the Transportation Security Administration (TSA) within 10 days of the event.

(e) In addition to the initial material disciplinary actions report and the initial employer-conducted background check specified in paragraph (a) of this section, the employer must—

(1) Submit to the National Maritime Center an annual material disciplinary actions report to update whether there have been any material disciplinary actions related to the applicant since the last material disciplinary actions report was submitted to the Coast Guard. The annual material disciplinary actions report must—

(i) Be submitted to the satisfaction of the Coast Guard in accordance with the same criteria set forth in paragraph (a)(1) of this section, except that the period of time examined for the material disciplinary actions report need only extend back to the date of the last

material disciplinary actions report; and

(ii) Be submitted to the Coast Guard on or before the anniversary of the issuance date of the MMC; and

(2) Conduct a background check each year that the MMC is valid to search for any changes that might have occurred since the last employer-conducted background check was performed. The annual background check must—

(i) Be conducted to the satisfaction of the Coast Guard in accordance with the same criteria set forth in paragraph (a)(2) of this section, except that the period of time examined during the annual background check need only extend back to the date of the last background check; and

(ii) Be submitted to the Coast Guard on or before the anniversary of the issuance date of the MMC.

(f) The employer is subject to the civil penalty provisions specified in 46 U.S.C. 8103(f) for any violation of this section.

### § 12.807 Basis for denial.

In addition to the requirements for an MMC established elsewhere in this subchapter, and the basis for denial established in §§ 10.209, 10.211, and 10.213 of this subchapter, an applicant for an MMC issued pursuant to this subpart must—

(a) Have been employed for a period of at least 1 year on a foreign flag passenger vessel that is under the same common ownership or control as the U.S. flag large passenger vessel on which the applicant will be employed upon issuance of an MMC under this subpart;

(b) Have no record of material disciplinary actions during the employment required under paragraph (a) of this section, as verified in writing by the owner or managing operator of the U.S. flag large passenger vessel on which the applicant will be employed;

(c) Have successfully completed an employer-conducted background check to the satisfaction of both the employer and the Coast Guard; and

(d) Meet the citizenship and identity requirements of § 12.809 of this subpart.

**§ 12.809 Citizenship and identity.**

(a) Instead of the requirements of § 10.221 of this subchapter, a non-resident alien may apply for a Coast Guard-issued MMC, endorsed and valid only for service in the steward's department of a U.S. flag large passenger vessel, as defined in 46 U.S.C. 8103(k)(5)(B), if he or she is employable in the United States under the Immigration and Nationality Act (8 U.S.C. 1101, et seq.), including an alien crewman described in section 101 (a)(15)(D)(i) of that Act.

(b) To meet the citizenship and identity requirements of this subpart, an applicant must present an unexpired passport issued by the government of the country of which the applicant is a citizen or subject, and either a valid U.S. C-1/D Crewman Visa or another valid U.S. visa or authority deemed acceptable by the Coast Guard.

(c) Any non-resident alien applying for an MMC under this subpart may not be a citizen of, or a temporary or permanent resident of, a country designated by the Department of State as a "State Sponsor of Terrorism" pursuant to section 6(j) of the Export Administration Act of 1979 (50 U.S.C. App. 2405(j)) or section 620A of the Foreign Assistance Act of 1961 (22 U.S.C. 2371).

**§ 12.811 Restrictions.**

(a) An MMC issued to a non-resident alien under this subpart authorizes service only in the steward's department of the U.S. flag large passenger vessel(s), that is/are under the same common ownership and control as the foreign flag passenger vessel(s) on which the non-resident alien served to meet the requirements of § 12.807(a) of this subpart.

(1) The MMC will be endorsed for service in the steward's department, in accordance with § 12.703 of this part.

(2) The MMC may also be endorsed for service as a food handler if the applicant meets the requirements of § 12.703 of this part.

(3) No other rating or endorsement is authorized, except lifeboatman or lifeboatman-limited, in which case all applicable requirements of this subchapter and the STCW Convention and STCW Code (incorporated by reference, see § 12.103 of this part) must be met.

(b) The following restrictions must be printed on the MMC, or be listed in an accompanying Coast Guard letter, or both:

(1) The name and official number of all U.S. flag vessels on which the non-resident alien may serve. Service is not authorized on any other U.S. flag vessel.

(2) Upon issuance, the MMC must remain in the custody of the employer at all times.

(3) Upon termination of employment, the MMC must be returned to the Coast Guard within 10 days, in accordance with § 12.805 of this subpart.

(4) A non-resident alien issued an MMC under this subpart may not perform watchstanding, engine room duty watch, or vessel navigation functions.

(5) A non-resident alien issued an MMC under this subpart may perform emergency-related duties, provided that—

(i) The emergency-related duties do not require any other rating or endorsement, except lifeboatman or lifeboatman-limited as specified in paragraph (a)(3) of this section;

(ii) The non-resident alien has completed familiarization and basic training (BT), as required in § 15.1105 of this subchapter;

(iii) If the non-resident alien serves as a lifeboatman or lifeboatman-limited, he or she has the necessary lifeboatman or lifeboatman-limited endorsement; and

(iv) The non-resident alien has completed the training for crewmembers on passenger ships performing duties involving safety or care for passengers, as required in § 15.1103 of this subchapter.

(c) A non-resident alien may only serve for an aggregate period of 36 months of actual service on all authorized U.S. flag large passenger vessels combined under the provisions of this subpart.

(d) Once this 36-month limitation is reached, the MMC becomes invalid and must be returned to the Coast Guard under § 12.805(d) of this subpart, and the non-resident alien is no longer authorized to serve in a position requiring an MMC on any U.S. flag large passenger vessel.

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(e) An individual who successfully adjusts his or her immigration status to become either an alien lawfully admitted for permanent residence to the United States, or a citizen of the United States, may apply for an MMC, subject to the requirements of §10.221 of this subchapter, without any restrictions or limitations imposed by this subpart.

### § 12.813 Alternative means of compliance.

(a) The owner or managing operator of a U.S. flag large passenger vessel seeking to employ non-resident aliens issued MMCs under this subpart may submit a plan to the Coast Guard, which, if approved, will serve as an alternative means of complying with the requirements of this subpart.

(b) The plan must address all the elements contained in this subpart, as well as the related elements contained in §15.530 of this subchapter, to the satisfaction of the Coast Guard.

## Subpart I—Crewmembers on a Passenger Ship on an International Voyage

### § 12.901 Purpose.

This subpart establishes requirements for the qualification of ratings serving on passenger ships as defined in §12.903 of this part.

### § 12.903 Definitions.

*Passenger ship* in this subpart means a ship carrying more than 12 passengers when on an international voyage.

### § 12.905 General requirements.

(a) Any seafarer may serve on a passenger vessel on an international voyage and perform duties that involve safety or care for passengers, only after—

(1) Meeting the appropriate requirements of the STCW Regulation V/2 and of section A-V/2 of the STCW Code (incorporated by reference, see §12.103 of this part); and

(2) Holding documentary evidence to show that the mariner meets these requirements through approved or accepted training.

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(b) Seafarers who are required to be trained in accordance with paragraph (a)(1) of this section must, at intervals not exceeding 5 years, provide evidence of maintaining the standard of competence.

(c) The Coast Guard will accept on-board training and experience, through evidence of 1 year of sea service within the last 5 years, as meeting the requirements of paragraph (a)(2) of this section.

(d) Personnel serving onboard small passenger vessels engaged in domestic, near-coastal voyages, as defined in §15.105(g)(1) of this subchapter, are not subject to any obligation for the purpose of this STCW requirement.

## PART 13—CERTIFICATION OF TANKERMEN

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