You are about to be trained to become a small select group of Auxiliary Examiners that will become qualified to issue a USCG examination decal to vessels run by knowledgeable professional USCG licensed operators. Your knowledge and actions will reflect on the USCG as well as on the Auxiliary. When in doubt, contact your ADSO-UPV for guidance.

Remember this is as much a check of compliance to regulations as it is an educational opportunity.
UPV Training

Uninspected Passenger Vessel

Materials you should have:

(1) www.D1UPV.org  UPV web site
(2) UPV Examination sheets & Envelope
(3) ANSC 7066 (04-16)  Aux. commercial Vessel Exam Report
(4) UPV - PQS Book  Rev: 5 April 2016
(5) National UPV Book  -  LANTAREAINST 16710.2
 a reference guide with CFRs ~ just like the exam forms
(6) Various forms: Emerg. Check-list/2692B/MIS/PFDs/EAP/
(8) Examiner’s Policy & Procedures

LOOK ON THE WEB SITE
UPV Program

Chain of Command

District Chief of Prevention

Sector Cdr (COTP)
Sector Auxiliary Liaison Officer
Inspection Division

Lead ADSO/UPV
ADSO/UPV
UPV Instructors
UPV Examiners

Contact #: SECTOR SENE COMMAND - (508) 457-4321
SECTOR BOSTON COMMAND -
SECTOR NNE COMMAND -
SECTOR LIS COMMAND -
SECTOR NY COMMAND -
UPV EXAMINER Training

6 Requirements to become a UPV Examiner:

1. Should have **2 years experience as a qualified V.E.**
2. **Attend a training course by a UPV Instructor**
3. Complete the UPV PQS under supervision of a UPV examiner *(Phase 1, 2 & 3 Training)*
4. Participate in **at least 4 UPV Exams with a qualified UPV examiner & You are the lead on one of them**
5. Conduct at least 1 UPV exam **under the supervision of a Lead ADSO/UPV, ADSO/UPV or UPV instructor**
6. Pass a UPV Oral Exam Board
UPV EXAMINER Training

Maintaining Proficiency as a UPV Examiner:

Participate in at least 5 UPV exams a year

If you do not participate in 5 exams per year, you will need to do at least one (1) UPV exam with a Qualified Examiner and forward his letter of recommendation to have you re-instated as a UPV Examiner to your ADSO/UPV or attend the three WebEx training modules or if you have extenuating circumstances, you may request a waiver from the Lead ADSO/UPV.
The program is similar to Commercial Fishing Vessel Exam Program

It is a USCG Program, but it is run entirely by the Auxiliary. **UPV Examiners are awarding a USCG UPV Decal** not an Auxiliary VSC decal.

It is a voluntary program that lets the UPV operator know if they are in compliance with all Federal regulations relative to Uninspected Passenger vessels that are under 100 Gross Tons.
Vessel types! Based on the use of the vessel

3 decals the USCG Issues

Recreational
Passenger carrying vessels
Fishing vessels
Freight – cargo types
Research Vessels
others.....

What vessels are we dealing with?
Passenger carrying vessels
UPV Examiner Training

Passenger carrying vessels

Uninspected Passenger Vessels

Aux. EXAMINES these vessels

UPV decal

Inspected Passenger Vessels

USCG Inspectors do INSPECTIONS on these vessels

Annually - COI
UPV Training

Uninspected Passenger Vessel

• They are commercial vessels that are required
to be operated by a USCG licensed operator.
• They carry at least one and no more than
  6 passengers-for-hire.

They have specific regulations contained in

Regulations --- Laws

46 CFR / 49 CFR / 33 CFR --- 46 USC / 33 USC
Shipping / Transportation / Navigation and Navigable Waters ---- APPENDIX - Shipping

Penalties

In accordance with 46 USC 4106, if an UPV is operated in violation of applicable laws and regulations, the owner, charterer, managing operator, agent, master, and individual in charge are each liable for criminal or civil penalties.

- Documentation: $10,000 max
- Drug Program: $5,500 per day per violation max
- etc...

The UPV is liable in rem for the penalty. (if unable to pay fine, the vessel is seized)

That is why the requirement for documentation of a vessel that is in commercial service

The UPV owner/operator needs to be in compliance to avoid financial penalties

It is not the USCG we are trying to protect the vessel owner from, it is a prosecutor in a civil case after a SMI who is looking for any infractions in the laws or regulations.

The UPV Examination is as much an EDUCATIONAL opportunity as it is a compliance check
The vessel must conform with all the FEDERAL requirements for Uninspected Passenger Vessels.

Basically the Federal VSC requirements plus additional requirements

Many of the licensed operators are very professional mariners, and they may think they know all the regulations. That is why you need to know, and be able to show them, the appropriate CFRs that cover each regulation if the operator has any questions.
Definitions

**Demarcation Line**: Inland vs international waters

The regulations in this part established the lines of demarcation delineating those waters upon which mariners shall comply with the International Regulations for Preventing Collisions at Sea, 1972 (72 COLREGS) and those waters upon which mariners shall comply with the Inland navigation Rules. The waters inside the lines are Inland Rules waters. The waters outside the lines are COLREGS waters. 33 CFR 80.01 (a) (b)

**BOUNDARY LINE**... Used for licensing only. A line drawn that encloses all islands along the coast of the USA.

**Merchant Mariner Credential**:  
An MMC is the credential issued by the Coast Guard under 46 CFR part 10. It combines the individual merchant mariner's document, OUPV license, and certificate of registry enumerated in 46 U.S.C. subtitle II part E as well as the STCW endorsement into a single credential that serves as the mariner's qualification document, certificate of identification, and certificate of service.

**TWIC**:  
A common identification credential for all personnel requiring unescorted access to secure areas of MTSA-regulated facilities and vessels, and all mariners holding Coast Guard-issued credentials on inspected vessels. Individuals who meet TWIC eligibility requirements will be issued a tamper-resistant credential containing the worker's biometric (fingerprint template) to allow for a positive link between the card and the individual. All workers need to carry your TWIC as well as your license when operating under the identification provisions found in 46 CFR 15.415.

**Crewmember**: Def. from Drug Program Regs. 46CFR 16  
An individual who is on board a vessel acting under the authority of a license, certificate of registry, or merchant mariner’s document issued under this subchapter, whether or not the individual is a member of the vessel’s crew; or engaged or employed on board a vessel owned in the United States that is required by law or regulation to engage, employ, or be operated by an individual holding a license, certificate of registry, or merchant mariner’s document issued under this subchapter. 46 CFR 16.105 (a) (b). Or any other paid crewmember doing safety sensitive duties.
Consideration:
An economic benefit, inducement, right, or profit including monetary payment going to an individual, person, or entity, but not including a voluntary sharing of the actual expenses of the voyage, by monetary compensation of fuel, food, beverage, or other supplies. 46 USC 2101 (5a)

Passenger:
Any person on a vessel, other than the owner or an individual representative of the owner or in the case of a vessel under charter, (bareboat charter) an individual charterer or individual representative of the charterer, master and the members of the crew, or other any other person employed or engaged in any capacity on board a vessel in the business of that vessel. If the charterer can remove crewmembers, then the crewmembers are passengers.
46 USC 2101 (21) and 46 CFR 24.10-1.

Note: All persons on board are either paid crewmembers or passengers. THERE ARE NO GUESTS OR “OTHERS”.

Passenger for Hire:
Passenger for whom a consideration is contributed as a condition of carriage whether directly or indirectly flowing to the owner, charterer, operator, agent, or any other person interested in the vessel is a passenger for hire.
46 USC 2101 (21a)

UPV:
A vessel not subject to inspection by the Coast Guard under 46 USC 3301, less than 100 GTs:
♦ Carrying no more than six passengers, including at least one passenger for hire, or
♦ Chartered with the crew provided by the owner or owner’s representative, and carrying not more than 6 passengers.
46 USC 2101(42)(B)
The data on the Envelope & Summary Sheet & 4 Exam forms is required and must be READABLE to be entered into USCG MISLE.

There is some redundancy of some of the data due to importance of it, and to make MISLE entry easy.
There are 2 bundles of 4 part NCR pages with an envelope.

**USCG UNINSPECTED PASSENGER VESSEL SAFETY EXAMINATION RESULTS**

is actually two forms:

**UPV Summary Sheet**

**UPV Check-off Sheets**
1 bundle of a 4 Part Form is a page

White & Yellow to ADSO/UPV
Pink to UPV Examiner
Gold to Vessel owner

If there is a failure, UPV examiner keeps the top 3 in tact for 30 days
- After two weeks - call the Vessel Owner for a follow up exam
## UPV Examiner Training

### Additional UPV Requirements

**UPV Check Off Sheets**

1 bundle of a 4 Part Form is a page

<table>
<thead>
<tr>
<th>Pages 1, 2, 3, 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>White &amp; Yellow to ADSO/UPV</td>
</tr>
<tr>
<td>Pink to UPV Examiner</td>
</tr>
<tr>
<td>Gold to Vessel owner</td>
</tr>
</tbody>
</table>

If there is a failure, UPV examiner keeps the top 3 in tact for 30 days

- After two weeks - call the Vessel Owner for a follow up exam
Why do we have a 4 page examination form?

1) To have the regulation for each item available to the examiner & CVO ~ whereby reducing the chance of different interpretation.
2) To insure uniformity and consistency within the UPV Program by reducing the chance of examiners doing or responding to a question or situation differently.

\[
\text{CVO talk to other CVO}
\]

3) Some time may have passed since a UPV examiner has done a UPV exam, the form is so complete, it acts as a guide to remind the examiner what to cover.

<table>
<thead>
<tr>
<th>Number of:</th>
<th>RING LIFE BUOY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Throwable life ring required for vessels &gt; 26 ft. at least 20 inch size.</td>
<td>46 CFR 25.25-5(d)</td>
</tr>
<tr>
<td>Immediately available</td>
<td>46 CFR 25.25-9</td>
</tr>
<tr>
<td>Buoyant 3/8&quot; grab line</td>
<td>46 CFR 160.050</td>
</tr>
<tr>
<td>CG Approval</td>
<td>46 CFR 160.050</td>
</tr>
<tr>
<td>Type 1 reflective tape is NOT REQUIRED on the ring life buoy.</td>
<td>46 CFR 25.25-15</td>
</tr>
</tbody>
</table>

Examination notes: Can be orange or white. Must be orange if vessel goes into Canada. Lifeline not required. Grab line should be equally spaced in 4 quadrants. Test becket and grab line for durability. Vessel < 26 ft are required to carry aboard at least one Type IV throwable device, e.g. buoyant cushion. For vessels > 65 ft 3 are required.
The data on the Envelope is required data to be entered into MISLE

The Lead Examiner is responsible for the paperwork
UPV Forms & 7066 form

If the decal is not issued, What needs to be corrected? (Be very specific)
### DRUG & ALCOHOL PROGRAM CHECKLIST

<table>
<thead>
<tr>
<th>Examination Items</th>
<th>ApplicableRegs.</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do crew members know who the Designated Employee Representative (DER) is?</td>
<td>49 CFR 40.3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Is there a company’s policy?</td>
<td>46 CFR 16.401</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Did crew members receive, or are they aware of, the Employers Drug Policy (Company Policy)? (EAP Education Program)</td>
<td>46 CFR 16.401</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Were Hotline Numbers given to employees, or posted in a common space? (EAP Education Program)</td>
<td>46 CFR 16.401</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Has supervisory and general crew members received awareness training (EAP)? (EAP Training Program)</td>
<td>46 CFR 16.401</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Were all crew members pre-employment tested or transferred from another DOT Regulated employer?</td>
<td>46 CFR 16.210</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Is there knowledge of where to go or how to get drug and alcohol testing accomplished in the event of a Serious Marine Incident (SMI)? (2hr testing for alcohol: 32hr testing for drugs)</td>
<td>46 CFR 4.06</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Are Alcohol Testing Devices kept on board? (If no, how do they meet the 2 hr alcohol requirement?)</td>
<td>46 CFR 16.240</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Have any crew members been randomly tested this year?</td>
<td>46 CFR 16.230</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### PROGRAM INFORMATION

- **Name of Consortium/TPA:**
  - [ ] “Self — Run Program”

- **Name of SMI Testing Facility**
  - [ ] “Must Test Drugs & Alcohol”

- **24hr SMI Testing Facility:**
  - [ ] “Self — Run Program”

### Drug & Alcohol Program Compliant?

- [ ] Program Compliant
- [ ] Program Not Compliant

**46 CFR 16.401 Employee Assistance Program (EAP):**

The employer shall provide an Employee Assistance Program (EAP) for all crewmembers. The employer may establish the EAP as a part of its internal personnel services or the employer may contract with an entity that will provide EAP services to a crewmember. Each EAP must include education and training on drug use for crewmembers and the employer’s supervisory personnel as provided below:

(a) **EAP education program:** Each EAP education program must include at least the following elements: display and distribution of informational material; display and distribution of a community service hot line telephone number for crewmember assistance, and display and distribution of the employer’s policy regarding drug and alcohol use in the workplace.

(b) **EAP training program:** An EAP training program must be conducted for the employer’s crewmembers and supervisory personnel. The training program must include at least the following elements: the effects and consequences of drug and alcohol use on personal health, safety, and work environment; the manifestations and behavioral cues that may indicate drug and alcohol use and abuse; and documentation of training given to crewmembers and the employer’s supervisory personnel. Supervisory personnel must receive at least 60 minutes of training.

This information will be covered much later in the presentation.
**UPV Examiner Training**

**Federal Requirements that are the same as the VSC**

<table>
<thead>
<tr>
<th>Federal Requirements</th>
<th>State &amp; Local Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>VDS <em>(flares)</em></td>
<td>Display of numbers</td>
</tr>
<tr>
<td>Fire Extinguishers</td>
<td>Let’s look at the examination forms</td>
</tr>
<tr>
<td>Marine Sanitation Devices</td>
<td></td>
</tr>
<tr>
<td>Ventilation</td>
<td></td>
</tr>
<tr>
<td>Backfire flame control</td>
<td></td>
</tr>
<tr>
<td>Navigation Lights</td>
<td></td>
</tr>
<tr>
<td>HIN</td>
<td></td>
</tr>
<tr>
<td>Pollution Placard</td>
<td>Overall vessel condition</td>
</tr>
<tr>
<td>MARPOL Trash Placard/Plan</td>
<td>State &amp; Local Requirements</td>
</tr>
<tr>
<td>Navigation rules</td>
<td></td>
</tr>
<tr>
<td>Sound Producing Devices/bell</td>
<td></td>
</tr>
<tr>
<td>Capacity Plate     vessels &lt; 20 ft.</td>
<td></td>
</tr>
<tr>
<td>Cert. of Compliance label vessels &lt; 20 ft.</td>
<td></td>
</tr>
</tbody>
</table>

*Let’s look at the examination forms*
UPV Examiner Training

Additional UPV Requirements

Documentation or State Registration #1 & 2

If the vessel is 5 net tons or more it MUST be Documented with an enrollment in the COASTWISE trade.

Rule of thumb (any vessel greater than 25 ft)

(there are exceptions to the rule)

FORMULA:

Net Tons = (length of main Deck-Beam) * Beam * D / 100

where D is the distance from the main deck to the bottom of the bilge

Any error on COD (other than address of owner) is $10,000 fine per day the vessel is underway

In RI, If fish are caught from the for-hire vessel they must display a RI Party & Charter Boat Decal issued by the State of RI or for CT, NY & MA vessels a For-Hire Fishing Permit
### UPV Examiner Training
#### Additional UPV Requirements

#### Documentation

**Simplified measurement calculations**

using the USCG Simplified Measurement Tonnage Guide 1

http://www.uscg.mil/hq/msc/tonnage/docs/TG%201%20CH-2.pdf

fill in the yellow boxes with the correct numbers

\[
\text{GRT} = \frac{\text{Hull Volume} + \text{Deckhouse Volume}}{100} \quad 6.33 \text{ GRT}
\]

Hull Volume = \(S \times K \times L \times B \times D\)

Deck Structure Volume = \(L_s \times B_s \times D_s\)

<table>
<thead>
<tr>
<th>L</th>
<th>B</th>
<th>D</th>
<th>S</th>
<th>K</th>
<th>D_s</th>
<th>B_s</th>
<th>L_s</th>
</tr>
</thead>
<tbody>
<tr>
<td>25</td>
<td>9</td>
<td>4.2</td>
<td>0.67</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

For vessels with small deckhouses and other deck structures, the deck structure volume is ignored (treated as “zero” value). Deck structure volume is accounted for only if the volume of the principal deck structure is equal to or greater than the hull volume.

\[
\text{Net Tonnage} = M \times \text{GRT} \quad 5.07 \text{ NRT}
\]

If over 5.0, you need to be documented

<table>
<thead>
<tr>
<th>M</th>
<th>GRT</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.8</td>
<td>6.315</td>
</tr>
</tbody>
</table>

M = 1.0

you vessels documentation tonnage
Vessel Data (DOC #)

Hailing port must agree with what is on the stern

“COASTWISE”

Expiration Date
Numbering & Documentation  #1 & #2

• **Using at least 3 inch block letters,**
  
  *Documentation number must be permanently attached to the vessel proceed with “NO.”*

• **Using at least 4 inch readable letters,**

  1) *Name on exterior part of the BOW (both sides)*
  2) *Name and Hailing Port on the exterior part of the stern*

• **Must have COASTWISE trade endorsement on documentation papers**
UPV Examiner Training
Additional UPV Requirements

State Registration #1 & #2

Is ONLY allowed If the vessel is under 5 net tons, They cannot be documented, and it is a commercial vessel operating under State registration.

If the state has Commercial vessel registration regulations, they must be adhered to.

The display of State Numbers is the same as for the VSC

A documented vessel may not display State Numbers
**USCG Licenses**  

**BOUNDARY LINE**... *Used for licensing only.*

A line drawn that encloses all islands along the coast of the USA.

_A License can read for:_

1) **Un-Inspected vessels** or for **Inspected Vessels**  
   _UPVs are Un-Inspected vessels_

2) **Inland** or **Near Coastal** or **Ocean**

_Licenses types_..........................

3) **MASTER LIMITED** _Launch operator-
   AOR is a small restricted region of operation (1000 yds)_

4) **OUPV** - operate only **Uninspected Passenger Vessels**

5) **MATE** or **MASTER** may **operate Inspected & Uninspected Vessels**

6) **INLAND** *(can not go beyond boundary line)* or **Near Coastal** or **Oceans**

You cannot go seaward of the boundary line unless your license reads:

“**Near Coastal**” or **Oceans**
UPV Examiner Training
Additional UPV Requirements

Boundary line

For USCG License only

46 CFR 15.605 #3
UPV Examiner Training
Additional UPV Requirements

Boundary line:
Gay Head to SE Light to Montauk Pt.

can’t go around Block Island
Boundary line

Used for USCG licenses
boundary line for “Near Coastal”
Boundary line
Gay Head, MA to Montauk, LI
Boundary line
South side of Long Island to Sandy Hook
Boundary line

N.J. Shore

all entrances to the ocean
Every UPV must be under the direction and control of an individual licensed by the Coast Guard. The following rules apply:

- An individual holding a Merchant Mariner Credential (MMC) or license as master or pilot of inspected, self-propelled vessels is authorized to serve as operator of an UPV within any restrictions other than gross tonnage limitations on the individual’s license;

- A licensed mate of inspected, self-propelled vessels on the Great Lakes, inland, or rivers of not more than 200 GTs are authorized to serve as an operator of an UPV and must operate in their respective waters only; (see next slide)

- A licensed mate of oceans and coastwise inspected, self-propelled vessels is authorized to serve as an operator of an UPV, within any restrictions other than gross tonnage limitations on the individual’s license. 46 CFR 15.905

Note: 6 Pac Licensed people (OUPV) can not serve as operators of inspected vessels
PERSONNEL LICENSING – (continued) 46CFR Part 10

must operate in their respective waters  ...  
(where they can operate the UPV)

**OUPV** - can operate a 6 pack  (or >100 GT -12 passengers)

**Master Inland or Mate** - can operate a 6 pack

*They cannot go seaward of the boundary line unless their license says “NEAR COASTAL”*

**EEZ** - US Territorial waters (from 3 NM out to 200 NM) - they need STCW95 to operate a commercial vessel in the EEZ.

**Master or OUPV** ... will say operate on... OCEAN or **NEAR COASTAL** waters and they will be restricted to domestic voyages, and if so, their STCW requirements are met!
The **original** Coast Guard **MMC** or **license** suitable for the vessel's route and service **must be kept on board** and be available for immediate presentation to Coast Guard officials **whenever passengers are being carried for hire**.

**You should check the name on the license with a photo ID**

If the vessel has a restricted area (**inspected vessel**) the crew in those areas must have a valid **Transportation Worker Identification Credential (TWIC)**.

**You also must have a valid TWIC for your initial issue of your MMC**

46 CFR 10.113 and 46 CFR 12.01-11.
New as of 2 January 2014

Licensed people (carrying an MMC) must carry the new 2 or 5 yr medical certificate when they receive it through their license renewal process.

Anyone that has a license issued (initial or renewal) between 24 January 2014 and 24 January 2019 must carry this new medical certificate along with their new MMC.
New as of 2 January 2014

Anyone that has a license issued (initial or renewal) after 24 January 2014 must carry this new 2 or 5 year medical certificate along with their MMC.
UPV Examiner Training

Additional UPV Requirements

PERSONNEL LICENSING - 46 CFR 26.20-1

Only required for initial license
When you renew - you need an additional form stating you have an expired TWIC

Sample TWIC card

Only required for original license
or
if the vessel has a restricted area

December 2011
TWIC REQUIREMENTS SAMPLE STATEMENT

Submit this statement or its equivalent with your Merchant Mariner Credential (MMC) application if you have previously held or applied for a Transportation Worker Identity Credential (TWIC) and are claiming exemption from the requirement to hold a valid TWIC under Coast Guard Policy Letter 11-15.

National Maritime Center
United States Coast Guard
100 Forbes Drive
Martinsburg, WVA 25404

Date: ____________________________

Name: __________________________________

Mariner Reference Number: ___________ or Last four digits of SS No. ______

I certify that I do not require a TWIC.

I understand that a name based safety and suitability check could significantly delay the processing of my Merchant Mariner Credential Application.

Signature: ____________________________
UPV Examiner Training
Additional UPV Requirements

PERSONNEL LICENSING - 46 CFR 26.20-1

Sample License

MMC

License #
Reference #
DOB
Expir Date
License type & restrictions

It never changes for that person
UPV Examiner Training
Additional UPV Requirements

PERSONNEL LICENSING - 46 CFR 26.20-1

Paper License now Called a Ceremonial License and it costs $85
A licensed individual **may not be required to work more than 12 of 24 hours at sea**, except in an emergency when life or property is endangered.  

**UPVs operating more than 12 hours** **should have a two-watch system**, specifically a second licensed operator. Licensed individuals serving as the operator of a UPV may voluntarily work more than 12 hours in a 24-hour period. If they have no relief and are too fatigued to stand an alert watch, then that **individual would be negligent** for failure to maintain an adequate watch. **He or she must maintain an adequate watch.**

Charter fishing and dive vessels routinely **operating more than 24 consecutive hours with only one licensed operator present** **significant issues of negligence on the part of the UPV operator or owner for failure to provide an adequate watch.**  

It has been suggested by some operators that a qualified seaman could be left at the helm while the licensed operator sleeps close by. **This is an untenable position.**  

**46 USC 8903** mandates the **vessel be operated** (under the "direction and control") by a **licensed individual**; the Coast Guard does not have the discretion to allow any unlicensed seaman to control the vessel without supervision.
### Navigation lights

<table>
<thead>
<tr>
<th></th>
<th>&lt;12 M</th>
<th>12 -50M</th>
<th>&gt;50 M</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Side light</strong></td>
<td>1 nm</td>
<td>2 nm</td>
<td>3 nm</td>
</tr>
<tr>
<td><strong>Masthead</strong></td>
<td>2 nm</td>
<td>5 nm</td>
<td>6 nm</td>
</tr>
<tr>
<td><strong>Stern</strong></td>
<td>2 nm</td>
<td>2 nm</td>
<td>3 nm</td>
</tr>
</tbody>
</table>

#### Visible Distance

- **< 39.3 ft**
- **> 164.0 ft**

1 meter (M) ~ 3 ft

Various lighting options allowed under the Navigation Rules

*For sail vessels* – Masthead light must be able to be turned off while side & stern lights are still light

**Make sure the arc of visibility is not blocked**
** Suggestion - NOT a requirement

They should be of adequate size, number of anchors and rode. All attachments should have safety wire.

**ABYC recommendation** H-40.4.3.1

“For boats over 20 feet in LOA, provision shall be made for the deployment of two anchor rodes over the bow.”
Sound Signals:

Efficient bell and whistle per Navigation Rule 33, Inland and International:

♦ UPVs less than 12 meters (39.5 feet) in length must have a means of making an efficient sound signal. Bell not required

♦ UPVs of 12 to 20 meters (65.6 feet) in length must have a whistle. If they do not have a bell (not required), she must make some other efficient sound signal at intervals of not more than 2 minutes

♦ UPVs over 20 meters (65.6 feet) in length must have a bell of at least 300 mm (11.8 inches) in diameter.
Lifesaving Equipment - 46 CFR 25.25-5(d)  #8

**Ring Life Buoy**  
*immediately available*

**UPVs 26 feet or longer** in length must have at least one CG approved for ALL VESSELS ~ white or orange throwable Ring Life Buoy with a minimum outside diameter of 20 inches.

*If the vessel goes on an international voyage it must be orange in color*

**If under 26 ft** any approved type IV throwable is OK
Lifesaving Equipment - PFDs - 46 CFR 25.25-5 #10

All UPVs must have at least one CG approved TYPE I PFD of a suitable size for each person embarked. *Readily accessible* Adult & Child sizes

- Kapok and fibrous glass life preservers without plastic covered pad inserts are unacceptable.
- You must be able to read the label.......
- They must have 200 sq cm of retro-reflective tape on the front and also on the back (*if reversible*) (our 50% rule)
- They must have water lights (expiration or **dated** batteries)
- **Other types of life jackets must be stowed separately**
UPV Examiner Training
Additional UPV Requirements

Lifesaving Equipment - PFDs - 46 CFR 25.25-5 #10

Reflective Tape - Do Not Pass these
UPV Examiner Training
Additional UPV Requirements

Type I Adult    or    Type 1 Child    ~    Jacket Type #31

1. Put on lifejacket
2. Pull and Tie the Top strap & also the Bottom strap
3. Locate the strap that goes around the middle of the lifejacket
4. Clip the strap to the ring
5. Pull the strap tight
6. Finished Look
   If night-time: turn on the water-light

LOCATION: __________________________________________________________
UPV Examiner Training
Additional UPV Requirements

Type I Adult  or  Type 1 Child  ~  Collar Type #31

USCG APPROVED TYPE I  NEAR-SHORE PFD DONNING INSTRUCTIONS:

1. Place lifejacket Over your head
2. Bring the strap around your body and fasten clip
3. Adjust the lifejacket to a snug fit by pulling end of strap
4. Finished Look
   If night-time: Turn on the water-light
5. Cross arms across chest and enter water feet first

Post or place in PFD Locker
PFD SIZES: Type I Adult or Type 1 Child

The label must must read “all vessels”

Commercial hybrid PFDs (type V) may be substituted for life preservers only if:

♦ It is worn when the UPV is underway and the intended wearer is not within an enclosed space;
♦ It is used in accordance with the marked conditions on the PFD and in the owner’s manual;
♦ Labeled for use aboard commercial vessels.

46 CFR 25.25-5(f) and 45 CFR 160.077
UPV Examiner Training

What should you do now? Attend the 3 tng modules & do Exams

1) Become familiar with looking up CFRs & USC
2) Review all material a couple of times
3) Participate in at least four UPV Exams
4) Have an Oral Board ~ questioning by a panel of USCG inspection dept. and/or Lead ADSO/UPV, ADSO/UPV or a UPV Instructors
5) Be the Lead Examiner in at least one UPV Exam with a ADSO/UPV or UPV Instructor
6) Complete the D1 PQS ~ www.d1UPV.0rg
7) When the Lead ADSO/UPV & the USCG is satisfied with the candidate’s competence – You Made it!
UPV Examiner Training

**PAPERWORK (for trainees only)**

Any time that you are in the field helping with a UPV exam you put your hours on a 7030 form with mission: 80 D

**UPV Trainees**

Any time that you spend time studying, webex training, learning from other UPV examiners, assisting UPV examiners doing UPV exams, you enter your time on a 7030 form with mission 80D.

*If assisting a UPV examiner doing a UPV exam:* Use the **ONCON** designation for the sector you were doing the UPV exam in.

*For all other UPV activities:* Use the **ONCON** designation for the sector that is in your normal AOR.

**When you assist a UPV Examiner doing a UPV Exam:**

Make sure you have the UPV Examiner sign your PQS book noting the vessel’s name & location.

You report your travel time on a 7029 form.
UPV Examiner Training

PAPERWORK (UPV Examiners)

The Leads Examiner is responsible for the paperwork

The time you spend teaching UPV trainees, you put on a 7030 with mission 06B
You report your travel time on a 7029 form.
You report your UPV exams on a 7066 form

Use the ONCON designation for the sector you were doing the UPV exam in.

The Lead UPV Examiner will fill out the 7066

Other UPV examiners can be listed on the form

List the vessel names and any trainees in the
Procedure to become a UPV Examiner

• The UPV PQS Booklet is unique to the D1.
  • It has pages to document the applicants training. The person who does the training documents the applicant’s training in the PQS book and returns it to the applicant. The Trainee needs to complete all of the D1 UPV-PQS items.
  • If the training is web based training, the applicant notes the dates of the training in the PQS Book, who did the training and notes which web based tng.
  • The required hands-on UPV training exams are documented in the PQS booklet.
  • The applicant records his/her hands-on UPV training exams and the UPV examiner signs off on each one, There is a minimum, at least 4 UPV hands-on training exams that have been done.
• The applicant then needs to do at least 1 hands on exam, done and monitored by either a UPV-Instructor, ADSO-UPV or Lead ADSO-UPV. Then the monitor signs off that monitored exam.
Procedure to become a UPV Examiner

- During this process an open book Oral Board exam is done to verify the applicant’s overall knowledge and adaptability to a UPV exam situation.
- An oral board is comprised of at least two of the following people: Lead ADSO-UPV, ADSO/UPV, UPV Instructor, USCG personal from the Inspection Dept., UPV Examiner.
- After passing the Oral Board, the lead person on the board, signs the PQS book listing the board members and gives the PSQ Book back to the applicant.
- When the applicant’s PQS booklet is completed, he/she forwards it to either their ADSO-UPV or to the Lead ADSO for their final approval.
- The ADSO-UPV or Lead ADSO-UPV who is signing off on the PQS book, checks the PQS for completeness, they then forward it to the Lead ADSO-UPV for his/her approval.
- The Lead ADSO-UPV then forwards to the USCG Chief of Prevention or his designee, in the sector the applicant is in, the following documents:
  - PQS sign off book for the applicant
  - The Letter of Designation for the applicant
  - The COTP or his designee in the sector signs the Letter of Designation and returns it & the PQS sign off book to the Lead ADSO-UPV.
- The Lead ADSO-UPV then forwards the Letter of Designation to the applicant and a copy to the DIRAUX for their UPV Qualification to be entered into AUXDATA.
- The PQS Booklet is retained by the Lead ADSO-UPV.
Policy & Procedures for all UPV Examiners

April 2016

Procedures:

1) Try to work in pairs. It is more fun and better for the outreach portion of the exam.
2) On any one exam, one of the examiners is the lead examiner, and he/she is responsible for the paperwork. It is imperative that your writing on the forms and the envelope is complete and legible otherwise the data will not be able to be entered into MISLE.
   FORMS: The 4th copy goes to the charter boat operator, the 3rd copy is retained by the lead examiner and the other two copies are placed in the envelope.
3) After you have done an exam, the lead examiner will enter data into the UPV spreadsheet noting the date, vessel name, whether it Passed (P) or Failed (O) and the names of the examiners involved for each exam or follow up exam where you were the lead.
4) The lead examiner will also fill out the 7066 Reporting form (commercial vessel exams). The lead examiner will list the assisting examiners on that form, and if there is a UPV trainee, the trainee will use a 7030-80D to record their efforts. In the remarks area on the 7066, list the names of the vessels that were examined and trainees. Forward the 7066 form to your FSO-IS just like you do for a VSC.
5) On a weekly basis, or at least monthly, forward to the ADSO for your area, the envelope with the first and second copies of the five page exam form for each exam that you passed, for entry into MISLE.
   It takes a lot of time to enter the data into MISLE, so please forward the completed envelopes weekly so the people entering the data into MISLE do not have a lot of entries all at once.
6) For vessels that fail an exam, reach out to them again & again and help them to come into compliance.
   Forward the envelopes of failed exams to your ADSO/UPV when you feel you have done all that you can and it is time for someone else to give that captain help with coming into compliance.
7) Make sure to attend the three 2 hour WebEx training & refreshers classes at least annually. It provides you an opportunity to discuss problems, concerns and share successful techniques you have discovered in the UPV area. This way we can deliver consistent information and procedures through the district. The three Phase 2 classes are a learning forum with an exchange of ideas & information. They will be on Sunday evenings 7:30 pm to 10 pm when announced. Sign in and add your two cents worth.

Suggestions:

1) Work with VEs in your area. They can assist you doing a UPV exam. Just remember they will need specific guidance for each task they are doing. They can check PFD’s, waterlight’s and battery dates, running lights etc. It will make your job a little harder ensuring that he/she is properly checking what you asked them to check, but that VE will become an excellent outreach person when he is doing VSCs and maybe they will become a UPV Examiner.
2) Try to have VEs in your area seek out charter boats and have them give you the contact information for each one.
3) Try to set up two, three or more exams in an area on the same date, and if necessary engage other UPV examiners to go with you since an initial UPV exam takes over 2 hours. You can ask the help of your ADSO-UPV to help you generate these groups. The good side, a re-inspection can be done in as little as a 1/2 hour if the charter boat operator is on the ball with all the information. Remember the outreach education portion of the UPV exam is what the charter boat operator needs and wants. By taking extra time talking with the captain explaining the whys and wherefores, they appreciate the time you spend and they spread positive comments about the exam and they will encourage others to have a UPV exam.
4) Work with your ADSO-UPV and exchange data and information.
## UPV Exam Log

<table>
<thead>
<tr>
<th>Date</th>
<th>Vessel</th>
<th>Lead</th>
<th>First Exam</th>
<th>Follow Up</th>
<th>Status</th>
<th>History</th>
<th>Vessels</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2014</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Italic indicates TRAINEE at the time of the exam*
ADSO/UPV Training

You must be able to demonstrate the following:

1. Understand the UPV Examiner Policy and Procedures
2. Understand the ADSO-UPV Policy and Procedures
3. Understand & maintain the UPV Log for all examiners in your AOR
4. Know how to track UPV exams done by UPV Examiners in your AOR
5. Know the paper & reporting flow of information
Policy & Procedures for all ADSO-UPV Officers

April 2016

1) Be familiar with the Policy & Procedures for all UPV Examiners.
2) Reach out monthly (hopefully weekly during the busy season) to your UPV examiners for the envelopes of the exams of the vessels that were awarded a decal. Remove your copy of the exam from the envelope (2nd copy) and deliver the envelope with the original copy to the person in your sector that is responsible for entering the data into MISLE as soon as possible after you receive it.
3) Update and keep current your UPV spreadsheet with the exams that were done in your area. Email your UPV Spreadsheet to the Lead ADSO-UPV monthly and include in the email any suggestions, needs, problems or concerns that you might have.
4) Attend the three 2 hour WebEx training & refresher classes. This sets an example for the UPV examiners under you. It provides you an opportunity to discuss problems, concerns and successful techniques you have discovered in the UPV area. This way we can deliver consistent information and procedures throughout the district. The three classes are a learning forum with an exchange of ideas & information. They will be announced for Sunday evenings 7:30 pm to 10 pm. Sign in and add your two cents worth. Encourage the UPV examiners in your area to do the same.
5) Maintain a working relationship with the Gold Side (Prevention Dept) in your sector. Make sure the lines of communication are open. Email him/her monthly with the latest UPV Spreadsheet that you sent to the LEAD ADSO-UPV. Be careful not to include internal information or conversations that only concern the Auxiliary in any email to the Gold Side.
6) Determine and establish a working relationship with any Charter Boat Associations in your area. Make sure you inform other ADSO-UPV’s of any relationships so that there is not a duplication of effort. Offer to speak at their meetings. Request email lists of their members and try to have the UPV examiner under you establish a working relationship with individual captains.
7) Doing UPV exams is a lot of work, and overseeing the program takes a lot of time and effort. Keep in contact regularly with the UPV examiners under you. Encourage them to seek out charter boat captains that want UPV exams. Encourage them to keep a list of names, addresses, phone numbers and email addresses of captains that they have a working relationship with.
8) Go to Division meetings in your area. Encourage all VEs to help out and become outreach people for the UPV program.
9) Coordinate groups of UPV examiners to do multiple UPV Exams in an area. This might be a weekday since captains are generally busy on weekends. Rainy days or bad weather days are excellent days to do UPV exams from the charter boat operator’s point of view.
10) Make sure each examiner under you has enough forms, handouts, decals and a hole punch and mailing envelopes with stamps. You can run off handouts for them at USCG units after requesting permission from the unit to do so. You may need to elicit the help of the LEAD ADSO-UPV to accomplish this.
11) Encourage CG station personnel to go along with UPV examiners on UPV exams.
12) Remember, your primary goal is to assist the UPV Examiners under you to expand the program until every UPV has had a UPV Exam.
Policy & Procedures for the LEAD ADSO-UPV Officer in D1NR or DSO-MS or his appointee in D1SR

April 2016

1) Reach out at least monthly, to the ADSO-UPV’s in your district. Encourage and make suggestions to help them follow and accomplish their Policy & Procedures. Give them suggestions on how they can succeed in increasing the number of UPV Exams that are done in their area.

2) With areas near Sector borders, help and encourage the two ADSO-UPV’s involved, to work together to minimize duplicate contacts with charter boat operators. Duplicate contacting annoys the captains.

3) Ensure all ADSO-UPV’s and UPV Examiners under you, are supplying the industry with consistent and accurate information. Stay up to date relative to regulations. Verify any changes or different interpretations of the regulations with the USCG Prevention / Inspection Departments. First try to get the Sector Prevention Department people to agree, and if not successful, seek help from the District Prevention people. All Examiners must be accurate and consistent with the information they are providing the public. For Drug program information, check with the sector’s dopi person and also the lead ADSO-UPV. Attend any Industry Day Workshops that USCG Sectors might have. Keep the Auxiliary chain of leadership in the loop.

4) Work with the DSO-VE to have each VE understand enough about the UPV program to give guidance to the recreational boat owners that might want to charter their boats. The VE should direct the captain to a UPV Examiner in the area and give that contact information to that UPV Examiner.

5) Make sure there is always a current and adequate supply of decals, UPV forms and UPV Books for the District UPV examiners. Assist ADSO-UPV’s to maintain a supply of handouts for UPV examiners to give out to the captains.

6) Try to attend District meetings, or send a representative if you cannot make it, and send a monthly report up the chain of leadership to the DSO-MS.

7) Where necessary, pick up the slack from any ADSO-UPV’s under you.

8) Ensure that enough UPV WebEx training classes are held and are current relative to information. Have them recorded and available to UPV examiners & trainees. Maintain a record of attendees and their emails.

9) See that District D-Training conferences have UPV seminars where applicable. Generally work with the DSO-VE to get VE’s to attend a VE-UPV Seminar to help bring VE’s on board relative to UPV outreach and maybe recruit new UPV examiners. The primary purpose of this seminar is to familiarize VE’s with the UPV program. Also, encourage VE’s to go along with UPV examiners and assist them doing UPV exams and in return do some VSC’s along with the VE. Team work makes it fun!

10) When possible, go to Division meetings with the ADSO-UPV for that area and you or the ADSO-UPV could give a short presentation on how VE’s can assist the UPV Program.

11) See that the Auxiliary www.d1UPV.org UPV web pages are current and working.

12) After the exam has been entered into MISLE, the envelopes will be held for 3 years by the Lead ADSO-UPV or at the place the data was entered into MISLE.

13) The ADSO-UPV or you should hold the failed exam envelopes for 3 years. Make sure the UPV examiners inform charter boat operators that the failed exam information will not go to the USCG.

14) Assist ADSO-UPVs to have available for UPV Examiners handouts to give to charter boat operators, especially sample Crew Swapping contract, sample EAP, sample Company Drug & Alcohol Policies, Donning instructions sheets and Emergency Check Off Sheets.

15) Encourage CG Station or Reserve people to go along with UPV examiners doing UPV exams.

16) When a UPV Trainee completes all PQS requirements for UPV Examiner, The Lead ADSO-UPV will generate UPV Trainee Information for District UPV Examiner.

Lead ADSO-UPV
Job Description
UPV Instructor Training

To be certified as an Auxiliary UPV Instructor, you must meet these minimum elements:

1. Be a Vessel Examiner
2. Be a UPV Examiner
3. Be an active member of the UPV Exam Program for 2 years proceeding years
4. Have taught a local Training Course for UPV examiners under the supervision of a UPV Instructor
5. Demonstrate your competence to mentor UPV examiners to an ADSO/UPV or Lead ADSO/UPV