



# Year in Review

FY2003 – FY2004

Department of Homeland Security

U.S. Coast Guard  
National Pollution  
Funds Center





# Word from the Director

It is my pleasure to report on the activities of the National Pollution Funds Center (NPFC) for Fiscal Years (FY) 2003 and 2004, which continued to be a challenging time for our nation as evidenced by the U.S. Coast Guard's (and NPFC's) transition to the new U.S. Department of Homeland Security. The NPFC *Year in Review* describes and quantifies NPFC's work during the last two fiscal years, captures several major accomplishments, summarizes activity from the command's inception, and offers highlights from the previous five fiscal years. Specifically, I would like to note that:

- In FY03 we allocated over \$44.2 million from the Oil Spill Liability Trust Fund for response operations and paid over \$24 million in claims. In FY04, over \$40.9 million was allocated for response operations and over \$7 million paid to claimants.
- The Coast Guard's regulations for presentation of the Oil Pollution Act of 1990 claims to the NPFC were published in 1992 as an interim rule and were effective immediately. Comments on the interim rule were received after its publication. Now, having adjudicated over 10,000 claims, including natural resource damage and loss of subsistence use of natural resource claims, the Coast Guard will publish a Notice of Proposed Rulemaking for public comment. It will clarify and address comments on the interim rule, resulting from the NPFC's experience. Once completed and finalized, it will supercede the interim rule in effect.
- The NPFC faced expanded responsibilities as the lines between pollution response, disaster response, and homeland security meld. The NPFC participated actively as the U.S. Department of Homeland Security developed the new National Response Plan. The 2004 Spill of National Significance Exercise in California was the first time the U.S. Department of Homeland Security participated in a major pollution drill. In 2004 the Ricin incident on Capital Hill, coupled with

the M/V CSAV *Rio Puelo* incident in New York Harbor, graphically demonstrated how homeland security and pollution response are entwined. The Coast Guard was using its long-standing Comprehensive Environmental Response, Compensation, and Liability Act of 1980 authority and the U.S. Environmental Protection Agency provided Superfund monies for those responses. The same mechanisms supported Coast Guard preparations for the G-8 Summit and both national political conventions. Finally, the unprecedented 2004 hurricane season saw the Coast Guard, the U.S. Environmental Protection Agency, and the Federal Emergency Management Agency all working together to mitigate the effects of the four major hurricanes. NPFC processed over \$1 million in Stafford Act funds for Coast Guard use in pollution response.

- In 2004, the General Accounting Office completed an extensive audit of the Oil Spill Liability Trust Fund disbursements during the five-year period covered by Fiscal Years 1998 to 2002. The audit affirmed and concluded that NPFC follows a systematic and effective process for the payment of claims and that internal controls were operating in accordance with established policies and procedures with only minor improvements recommended.

In closing, please enjoy your copy of the NPFC *Year in Review*. We look forward to continuing to provide the environmental response community with outstanding financial support. As we strive to meet the challenges of the future, I welcome your suggestions on how we can improve on any aspect of the NPFC and its services.

Sincerely,

A handwritten signature in black ink that reads "Jan P. Lane". The signature is written in a cursive, flowing style.

# Table of Contents



Introduction.....	2
NPFC’s Vision and Mission.....	4
Who Do We Touch?.....	6
Organization .....	8
Cross-Functional Coordination .....	9
The Oil Spill Liability Trust Fund (OSLTF) .....	10
Coast Guard Superfund Use .....	22
Vessel Financial Responsibility Certification .....	24
NPFC Guidance Materials.....	26
Program Initiatives .....	27
NPFC Special Events .....	29
Glossary of Terms .....	30
Senior Level Management .....	31
Contact Information.....	32





# Introduction





The Oil Pollution Act of 1990 (OPA) addresses a wide range of problems associated with preventing, responding to, and paying for oil pollution incidents in navigable waters of the United States. It does so by creating a comprehensive prevention, response, liability, and compensation regime to deal with vessel- and facility-caused oil pollution to U.S. navigable waters. OPA significantly increased federal oversight of maritime oil transportation, while providing greater environmental safeguards. This was accomplished by setting new requirements for vessel construction and crew licensing and manning, mandating contingency planning, enhancing federal response capability, broadening enforcement authority, increasing penalties, creating new research and development programs, increasing potential liability limits, and significantly broadening financial responsibility requirements.

Title I of OPA established new and higher liability limits for oil spills, with commensurate changes to financial responsibility requirements. It substantially broadened the scope of damages, including natural resource damages

(NRDs), for which polluters are liable. It also provided for the use of a \$1 billion Oil Spill Liability Trust Fund (OSLTF) to pay for expeditious oil removal and uncompensated damages. OSLTF administration was delegated to the U.S. Coast Guard by Executive Order; and on February 20, 1991, the NPFC was commissioned to perform this function as an independent Headquarters unit reporting directly to the Coast Guard Chief of Staff.

NPFC implements the many diverse provisions established in Title I of OPA on an ongoing basis. During fiscal year 2003 (FY03), 551 new oil pollution cases that required Fund access for federal response activities were opened. The total funds used from the OSLTF in that period, for all purposes administered by the National Pollution Funds Center (NPFC), were \$68.2 million.

During FY04, 505 new oil pollution cases that required Fund access for federal response activities were opened. The total funds used from the OSLTF in that period, for all purposes administered by the NPFC, were \$48 million.



# NPFC's Vision and Mission

## NPFC Vision Statement

*In FY03, the NPFC updated its Vision Statement to better reflect the goals established by the U.S. Department of Homeland Security (DHS):*

*The NPFC aspires to be the model fiduciary manager of a federal trust fund and the implementing agency of a premiere financial responsibility program. We realize our vision through quality; equitable and timely customer service; innovative leveraging of technology to increase productivity; and continuous focus on our regulatory mandates, as well as our stakeholders' diverse interests.*

## NPFC Mission Statement

*The NPFC has fiduciary responsibility to administer the OSLTF, manage the portion of the Superfund that the Coast Guard uses, and oversee the vessel financial responsibility provisions of OPA. In accordance with OPA and other pertinent legislative mandates, the NPFC implements programs to accomplish these seven objectives:*

### 1. Administer the Oil Spill Liability Trust Fund

The past decade has seen a wide range of laws passed by the Congress to improve financial management in the Federal government. Two prominent examples are the Chief Financial Officer (CFO) Act and the Debt Collection Improvement Act. The NPFC has enhanced its business processes as a result of these laws, employing rigorous fiduciary management and reporting systems to meet statutory requirements established for federal trust funds such as the OSLTF.

### 2. Provide funding for federal removal actions in response to a discharge or a substantial threat of discharge of oil to navigable waters of the United States

When an oil or hazardous substance spill occurs in U.S. navigable waters, or there is a substantial threat of such a spill, the Responsible Party (RP) is expected to act promptly. The NPFC maintains a system that provides funds 24 hours a day for Federal On-Scene Coordinator (FOSC) needs, either to immediately respond or to monitor the RP's cleanup activities. Funds may also be accessed by states for oil removal actions.

### 3. Compensate claimants for OPA removal costs or damages

OPA expands the scope of damages claimants can recover and does away with the traditional admiralty ship owners' protection. Traditional protection generally limited the scope of pure economic damages to only those who owned property physically impacted by oil and often limited the extent of liability of the ship owner to the value of the ship. The NPFC compensates those who have suffered certain damages or incurred removal costs because of a discharge or a substantial threat of a discharge of oil to U.S. navigable waters.

### 4. Provide funding to natural resource trustees for Natural Resource Damage Assessment (NRDA) and restoration

For oil spills affecting natural resources, trustees may choose to submit a request to conduct the initiation of an NRDA. This established procedure allows the trustees, acting through a Federal Lead Administrative Trustee (FLAT), to gain access to OSLTF funds to complete these "preassessment" activities. The NPFC provides responsive adjudication of claims and distributes information to potential claimants and the public for NRD claims.



## 5. Recover OPA removal costs and damages from RPs

An underlying principle of OPA is to reduce the probability of an oil spill incident. The law is designed to motivate potential polluters to act more responsibly by holding them strictly liable for costs and damages resulting from oil spills into U.S. navigable waters. Such action is encouraged by enforcement of cost recovery under OPA. NPFC's goals are to ensure that:

- Parties responsible for oil pollution or substantial threat of oil pollution are identified
- All removal costs and damages are documented accurately and submitted promptly
- RPs pay such costs and damages

## 6. Issue certificates of financial responsibility (COFRs) for vessels

OPA substantially increased the scope and limits of liability for vessel owners and operators. Operators of U.S.- and foreign-flag vessels over 300 gross tons generally are prohibited from operating in U.S. waters without first demonstrating their financial ability to pay for pollution removal costs and damages. The NPFC is responsible for issuing vessel COFRs in accordance with OPA and the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA). The Coast Guard and U.S. Customs Service field units enforce the COFR requirement. Currently, about 19,000 vessels carry COFRs issued by the Coast Guard.

## 7. Provide funding for Coast Guard responses to discharges or the substantial threats of a discharge of hazardous substances

CERCLA and the Hazardous Substance Superfund give the Federal government flexibility in identifying and addressing releases of hazardous substances and provide monies to identify, prioritize, and clean up the nation's uncontrolled hazardous waste sites. The NPFC provides funding for removal action from a portion of the Superfund to FOSCs for incidents in the coastal zone, Great Lakes, and inland river ports.

## Core Values

The NPFC recognizes that our values directly influence the manner in which we carry out our missions and fulfill our vision. NPFC's values are:

- To conduct our activities with the highest standards of professionalism and ethics and to treat all of our customers fairly.
- To recognize our people as our most important asset and to fully empower them to carry out their assigned responsibilities, supported with necessary resources, held accountable for what they do, and rewarded for their accomplishments.
- To ensure success and a balanced work-life environment through teamwork, fostering motivation, diversity, challenge, wellness, and personal growth.
- To maximize productivity through the use of innovative information technology (IT).
- To value and seek out input from our customers and use that input to continuously improve our work processes.
- To embrace the Coast Guard's core values of honor, respect, and devotion to duty.



# Who Do We Touch?

The NPFC routinely interacts with over 30,000 distinct public and private entities:

- Coast Guard and U.S. Environmental Protection Agency (EPA) FOSCs and other components of the National Response System
- 7,340 vessels operators and 2,550 owners plus a myriad of port agents, Protection and Indemnity Club correspondents, and attorneys
- 2,700 RPs and their associated staffs
- 1,500 private third-party claimants (from citizens with oil on their seawall to major shipping companies)
- The environmental staff of all 50 states and their governors' offices (NPFC has letters from every coastal governor and many inland governors identifying their claims acceptance authority by name)
- All designated natural resource trustees—Federal, state, and Indian tribe
- All representatives on the National Response Team

## Spills

**NPFC provides funding to permit timely removal actions:**

<b>OSLTF</b>	<b>FY03</b>	<b>FY04</b>
Oil Pollution Cases Opened	551	505
Oil Pollution Cases Closed	582	603
Money committed from OSLTF emergency fund	\$44,169,842	\$40,982,776
Amount billed	\$27,335,185	\$25,123,727
Amount recovered	\$6,728,935	\$11,667,267
<b>OSLTF Gross Accounts Receivable</b> (End of Year Totals)	\$105,478,651	\$108,003,994
<b>CERCLA</b>	<b>FY03</b>	<b>FY04</b>
Total Cases	248	233
Total Funds	\$2,338,339	\$3,381,323





## Claims

**NPFC compensates claimants who demonstrate that certain damages were caused by or certain removal costs were incurred as a result of oil pollution that impact the navigable waters of the United States:**

<b>Received</b>	<b>FY03</b>	<b>FY04</b>
Number	208	258
Dollar amount	\$10,237,625	\$15,904,900
<b>Adjudicated</b>		
Amount paid	\$24,002,467	\$7,375,605
Largest paid	\$16,627,262 (Amity Products Carriers Inc)	\$2,199,586 (Buffalo Marine Service, Inc)

## Litigation

**NPFC recovers oil pollution costs and damages incurred by the Fund from RPs:**

NPFC's legal staff provides legal advice to NPFC Case Officers, Claims Managers, and EPA and Coast Guard FOSCs; prepares cases for litigation; and prepares defenses when NPFC is the subject of litigation. At the end of FY04, NPFC had:

- Forty seven affirmative cases (NPFC is the plaintiff) in which NPFC is seeking approximately \$38,635,907
- Two defensive cases (NPFC is the defendant) in which the plaintiff sought \$10,282,280

## COFRs

**NPFC certifies the financial responsibility of vessel owners and operators:**

NPFC ensures that vessels arriving in U.S. ports have enough financial resources to meet their limits of liability under OPA. NPFC approves OPA guarantors and issues COFRs to attest to the financial responsibility of the vessel owners and operators.

As the Federal OPA guarantor approval authority, NPFC approves companies and entities to provide the financial backing for vessel COFRs. For self-propelled tank vessels alone, this represents a potential OPA aggregate liability of over \$166.6 billion. Each of the 135 providers of evidence of financial responsibility is subject to an annual financial recertification and review by the NPFC.

	<b>FY03</b>	<b>FY04</b>
COFRs issued	7,475	10,589
Total number valid (within E-COFR database)	18,929	19,093
Total enforcement calls	1,227	1,777
Customs	438	502
Coast Guard	789	1,275
Vessels detained	4	2
Vessels prevented from entering U.S. waters	5	8



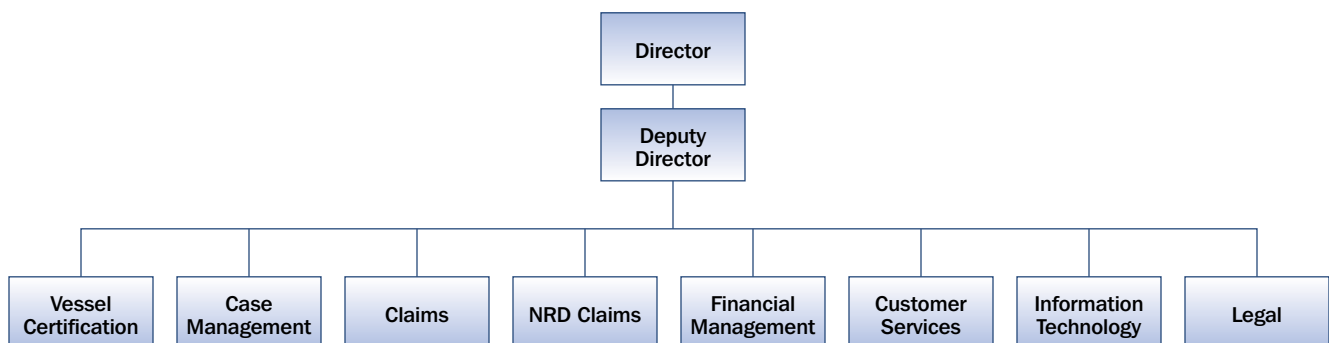
# Organization

NPFC is organized into eight divisions as shown in the organizational chart below. For a list of names and telephone numbers for NPFC senior management, please refer to page 31.

- **Vessel Certification** – Certifies vessel operators’ maintenance of financial responsibility for oil/hazardous substance pollution from vessels in U.S. waters. Receives and processes enforcement inquiries. Provides information to the field concerning the detainment and release of U.S.- and foreign-flag vessels under the certification enforcement program.
- **Case Management** – Ensures emergency funding is available to support responses to the substantial threat or actual discharge of oil or the release of hazardous substances into U.S. navigable waters. Acts as the primary point of contact with the pollution response community. Provides for accurate cost documentation and effective cost recovery.
- **Claims** – Adjudicates claims for uncompensated removal costs and OPA-specified damages from a discharge of oil or the substantial threat of discharge of oil into U.S. navigable waters.
- **Natural Resource Damage (NRD) Claims** – Provides funding for the Initiation of NRD activities and adjudicates NRD claims and loss-of-use subsistence claims caused by a discharge of oil or the substantial threat of a discharge into U.S. navigable waters. (NRD claims can only be submitted by federal, state, Indian

tribe, or foreign trustees, as designated pursuant to OPA, Executive Order, and federal regulations.)

- **Financial Management** – Provides fund management and oversight for OSLTF, CERCLA, and pollution-related disaster funds under the Stafford Act and the National Response Plan (NRP). Coordinates all budgeting functions, including planning and programming. Prepares financial statements in accordance with the Chief Financial Officers Act.
- **Customer Services** – Oversees and manages all external coordination activities, NPFC’s strategic planning, publications programs, and Congressional and public affairs activities. Coordinates all internal and external training programs and military and civilian personnel matters.
- **Information Technology (IT)** – Ensures that IT systems support the mission and business requirements of the NPFC and that the IT infrastructure supports CG Ballston mission requirements. Provides 24/7 support for custom Standard Workstation applications, phones, faxes, desktops, network, and computer room servers for 10 Coast Guard units with over 500 users.
- **Legal** – Provides legal support for the Command, including advice on funding cleanups, adjudicating claims, cost recovery, and the legal aspects of vessel financial responsibility. Provides litigation support to the U.S. Department of Justice (DOJ).



# Cross-Functional Coordination

Although the NPFC is organized by division, it also operates as a matrix-based organization centered around four regional Case Teams, each with its own geographic responsibility. A Regional Manager serves as the central internal coordinator and external point of contact for the pollution response community and leads each Case Team. Case Teams are composed of case officers and technical experts from each functional area, including:

- A Lawyer
- A Financial Manager
- An Insurance Examiner
- A Claims Manager
- An NRD Claims Manager
- Other specialists as required

The Case Team is part of the National Response System, consisting of federal, state, and local agencies. The Case Team works closely with the FOOSC and other members of the response community. The Case Team acts as a natural working group to manage all fund-related aspects of cases to ensure appropriate OSLTF/CERCLA fund access, effective cost recovery, education through outreach efforts, and resolution of other related financial issues.

At the close of FY04, NPFC Case Teams had a total of 1,737 open cases totaling \$368,272,039.

For a list of the telephone numbers of NPFC Case Teams and their areas of responsibility, please refer to page 32.



# The Oil Spill Liability Trust Fund (OSLTF)

## History of the Fund

In August 1990, when President George H. W. Bush signed OPA into law and authorized use of the OSLTF, the Fund was already four years old. Congress created the Fund in 1986, but did not pass legislation to authorize the use of the money or the collection of revenue necessary for its maintenance. It was only after the T/V Exxon Valdez grounding and the passage of OPA that authorization was granted. In addition to authorizing use of the OSLTF, OPA consolidated the liability and compensation requirements of certain prior federal oil pollution laws and the supporting funds, including the:

- Federal Water Pollution Control Act (FWPCA)
- Deepwater Port Act
- Trans-Alaska Pipeline System (TAPS) Authorization Act
- Outer Continental Shelf Lands Act

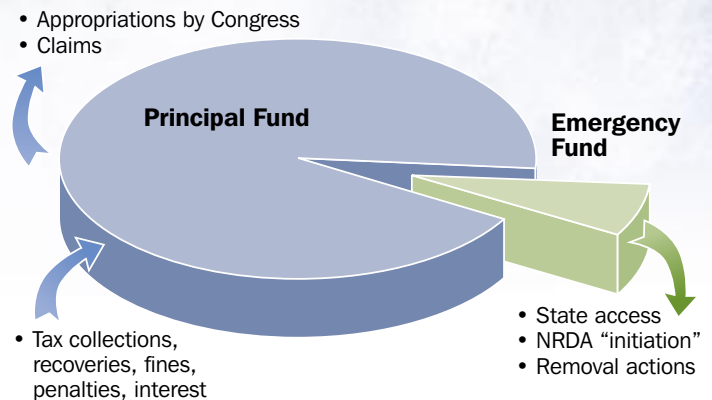
With the consolidation of those funds and the collection of a tax on the petroleum industry, the Fund increased to \$1 billion. Fund uses were delineated by OPA to include:

- State access for removal actions
- Payments to federal, state, and Indian tribe trustees to conduct NRDA and restorations
- Payment of claims for uncompensated removal costs and damages
- Research and development, and other specific appropriations

## Fund Components and Uses

The OSLTF has two major components—the Emergency Fund for removal activities and the initiation of an NRDA, and the Principal Fund for all other authorized uses. OPA requires these components to be used for separate, distinct purposes. Expenditures from the Fund for any one oil pollution incident are limited to \$1 billion, and NRDA and claims in connection with any single incident are limited to \$500 million.

## OSLTF Components



## The Principal Fund

The Principal Fund, that portion of the OSLTF exclusive of the Emergency Fund, is used primarily to carry out three functions:

- Adjudication and payment of claims for certain uncompensated removal costs and damages (appropriation from Congress not required)
- Implementation, administration, and enforcement of OPA
- Research and development

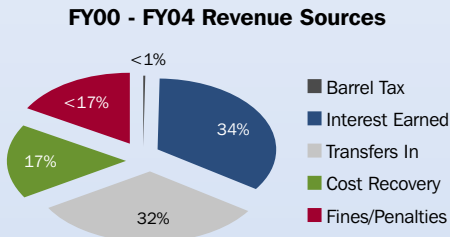
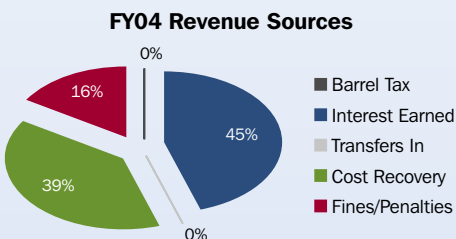
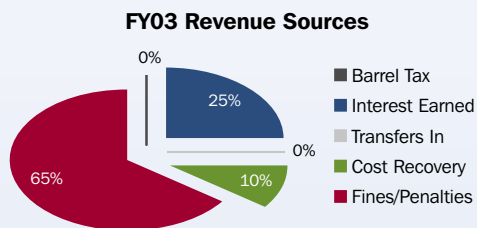
The latter two uses require a Congressional appropriation.

## Revenue Sources

The OSLTF has several recurring and nonrecurring sources of revenue.

Previously, the largest source of revenue was a 5-cent per barrel tax, collected from the oil industry on petroleum produced in, or imported to, the United States. The tax was suspended on July 1, 1993, because the Fund reached its statutory limit. It was reinstated on July 1, 1994, but ceased on December 31, 1994, because of the "sunset" provision in the law.





A second major source of revenue reflects transfer from previous pollution funds. Total transfer into the Fund since 1990 have exceeded \$550 million. No additional funds remain to be transferred into OSLTF.

Currently, the largest recurring source of OSLTF revenue is the interest on the Fund principal from U.S. Treasury investments, which accounted for over \$16.6 million (or 25%) of the Fund’s revenue in FY03 and \$13.5 million (or 45%) in FY04.

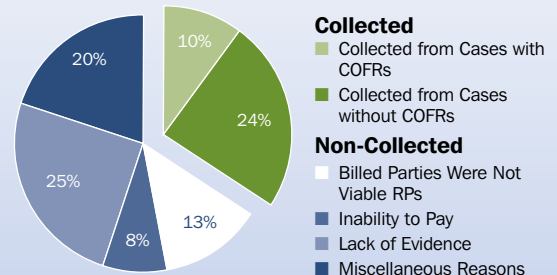
A fourth source is cost recoveries from RPs, which accounted for about \$6.7 million (or 10%) of the Fund’s revenue in FY03 and \$11.7 million (or 39%) in FY04. Those responsible for oil incidents are liable for costs and damages. NPFC bills RPs to recover costs expended by the Fund. As these monies are recovered, they fully reimburse the Fund.

In addition to paying for cleanup costs, RPs may incur fines and civil penalties under OPA or the FWPCA; these payments are also deposited into the Fund. In FY03, they accounted for \$44.3 million (or 65%) of the Fund’s revenue. In FY04, they accounted for \$4.9 million (or 16%) of the Fund’s revenue.

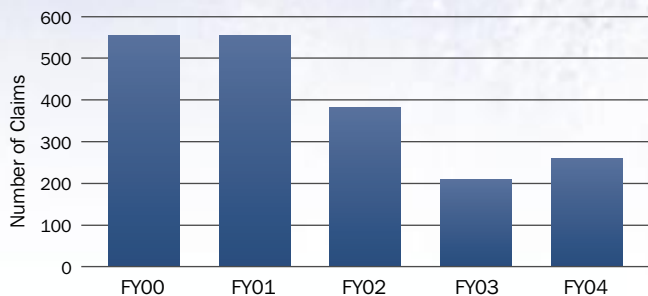
## NPFC Cost Recovery

Recovering monies spent from the OSLTF during an oil spill is a critical part of the NPFC’s mission. NPFC has an aggressive billing and collection program to recover costs expended by the Fund. All monies collected are redeposited into the OSLTF to replenish the Fund. This graph shows the outcome of NPFC’s billing and collection efforts for the past five years. The NPFC bills RPs for what is spent from the Emergency Fund, for claims paid, and for Coast Guard and EPA staff hours and equipment usage. For closed billed cases (i.e., those where NPFC has fully collected or has made every attempt), the NPFC has collected about 34% of costs. NPFC has not collected on 66% of costs for various reasons including: a lack of sufficient evidence to successfully litigate or otherwise compel the RP to pay; or the RP is bankrupt, deceased, or otherwise unable to pay; or, most apparent on smaller cases, NPFC is unable to find a viable RP.

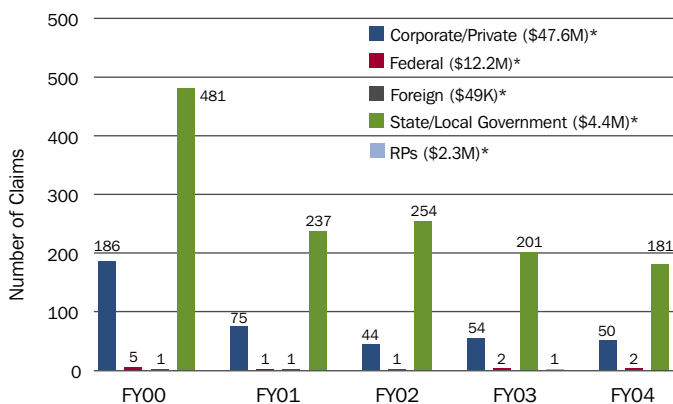
## OSLTF Collection Efforts FY04



**Claims Submissions FY00 - FY04**

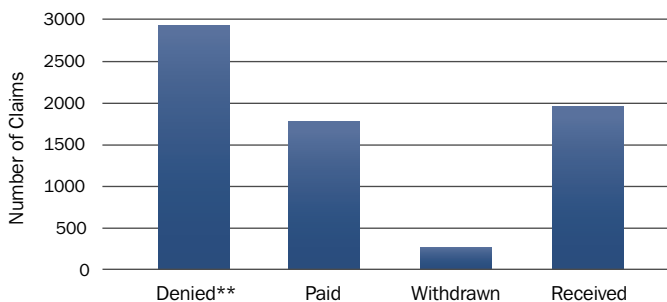


**Claims Paid Data FY00 - FY04**



\*Cumulative dollars paid during FY00 - 04.

**Claims Activity FY00 - FY04**



\*\*The large number of claims denied is a result of the 2658 NRD claims denied in batch in FY01.

## Claims

To centralize the OSLTF claims process, the Coast Guard received an unlimited delegation of authority from the President to adjudicate claims presented to the OSLTF. This authority was further delegated to the NPFC on March 12, 1992. The NPFC's claim procedures attempt to strike a reasonable balance between the objectives of compensating deserving claimants and acting as a fiduciary for the Fund by ensuring that the funds are spent properly. Before claimants can be compensated, they must satisfy the statutory requirements of OPA. For example, the incident must involve a discharge of oil or a substantial threat of a discharge of oil into U.S. navigable waters, and the claim must be submitted within prescribed time periods (three years for damages, six years for removal costs). Additionally, a claimant must claim a damage or removal cost compensable under OPA and must have first presented the claim to the RP or guarantor except in certain circumstances.

The most common claim type received by the NPFC is removal cost claims. These claims may be submitted by any person who has incurred costs for removal actions that are consistent with the National Contingency Plan (NCP). Removal cost claimants include state governments, putative RPs who can show that the oil came from another source, cleanup contractors who have not been paid by the hiring RP, and members of the public who have discovered a spill and responded to the need for cleanup. In all instances, the removal activity should be coordinated with the FOSC for purposes of establishing that there was a discharge or substantial threat of a discharge of oil into navigable waters and that the actions taken were consistent with the NCP. The NPFC will reimburse the reasonable uncompensated cost of oil removal. NPFC has set-up a toll-free number for use by claimants: (800) 280-7118.

All claims submitted to the NPFC must first be submitted to the RP, generally the owner or operator of the source of the discharge or substantial threat of discharge of oil into the navigable waters of the United States. One exception to this is that state governments may submit claims for uncompensated removal costs directly to the NPFC.



As a result of this exception, the NPFC Removal Claims Branch has been able to develop an expedited claims procedure for state governments. The state government representatives and the NPFC claims representatives reach agreement ahead of time on the evidence to be submitted by the state, the labor and equipment rates to be used in all responses, and the level of coordination required with the FOOSC. In some cases, this process has shortened the adjudication time for state government claims to less than a week. Other exceptions allow a claim to be presented directly to the Fund when the Fund advertises for such claims or when an RP presents a claim based on an OPA defense or liability limit.

The NPFC paid 254 claims in FY03 and 232 claims in FY04 to various states, trustees, corporations, and private citizens. When there is an identified RP, claims payments and government adjudication costs are included in the billing and cost recovery process.

The charts on page 12 show the number of claims submitted to and paid by the NPFC from FY00 - FY04.

The charts to the right represent the total number of claims received, paid, denied, withdrawn, and closed during FY03 and FY04. A brief explanation of each claim category follows:

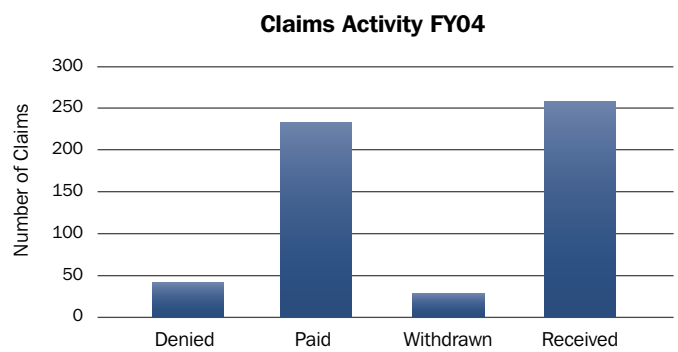
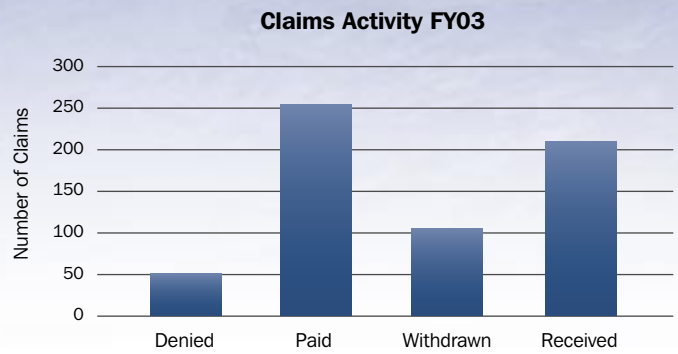
**Received:** Claims that were submitted to the NPFC.

**Paid:** Claims paid either in full or in part.

**Denied:** Claims that failed to meet the statutory or regulatory requirements, or that failed to meet the burden of proof. Examples include claims for damages that do not result from a discharge of oil into navigable waters of the United States, or claims for losses that are speculative or unsubstantiated by the accompanying documentation.

**Withdrawn:** Claims withdrawn by the claimant. The claimant retains the right to resubmit the claim within the statutory period.

**Closed:** Claims closed by NPFC for administrative purposes, such as claims that are the subject of pending litigation.



## NRD Claims

NPFC provides funding to trustees for Initiate NRDA's, however, until 1999 it did not pay NRD claims. Until that time, the NPFC relied on a 1995 Comptroller General opinion that specified OPA provide for payment of NRD claims from the OSLTF only by appropriation. In late 1997, the DOJ Office of Legal Counsel made a determination that NRDA's would be payable from the OSLTF without further appropriation, like other OPA damage and removal cost claims. As a result, the NPFC established and organized an NRD Claims Division to adjudicate and pay NRD claims, the first of which was paid in September 1999.

Under OPA, "natural resources" include land, fish, wildlife, biota, air, water, groundwater, drinking water supplies, and other such resources belonging to, managed by, held in trust by, appertaining to, or otherwise controlled by the United States (including resources of the Exclusive Economic Zone (EEZ)), any state or local government or Indian tribe, or any foreign government.

Federal, state, Indian, and foreign trustees are designated pursuant to OPA. While Federal trustees are designated by the President, state trustees are designated by each state's governor. The head of a foreign government designates the trustee who shall act on behalf of that government. The governing body of any Indian tribe shall designate tribal officials who may act on behalf of the tribe or its members. Further, the Indian tribe must be recognized as eligible for the special programs and services provided by the United States because of its status as Indians, and must have governmental authority over lands belonging to or controlled by the tribe.

Only designated trustees may submit OPA NRD claims. Notice of designation should be provided to the NPFC to establish the authority of the claimant who is submitting the claim.

The procedure for submission of the claim to the NPFC is the same for trustees as it is for other claimants. For example, the NRD claim should be presented to the RP or its guarantor prior to submission to the NPFC for payment through the OSLTF.

Under OPA, the trustees assess NRDA's and develop and implement plans to restore damaged natural resources. The costs of damage assessment and restoration must be determined with respect to plans adopted by the trustee. These plans must be developed and implemented only after adequate public notice, opportunity for a hearing, and consideration of all public comment.

To file an NRD claim with the NPFC, the statute of limitations under OPA is whichever is later: three years from the date the injury and connection with the discharge was reasonably discovered with due care, or three years from the date the assessment was completed in accordance with NRDA regulations (15 CFR 990, promulgated by the National Oceanic and Atmospheric Administration (NOAA)).





## Agency Appropriations

For FY00 - FY04, the federal agencies shown in the table to the right have requested and received Congressional approval for appropriations from the OSLTF to cover certain administrative, operational, and personnel costs to carry out their responsibilities under OPA.

In FY97, Congress amended OPA to provide funding for the Prince William Sound Oil Spill Recovery Institute (PWS OSRI) from the interest earned on \$22.5 million of TAPS monies previously transferred to the OSLTF. This funding will continue for the next 10 years, based on the interest earned annually. A similar Congressional action provided funding to the Denali Commission starting in FY00 and continuing indefinitely. The funding is the interest earned on the final \$182 million transferred from the TAPS Fund.

## Agency Appropriations FY00 - FY04

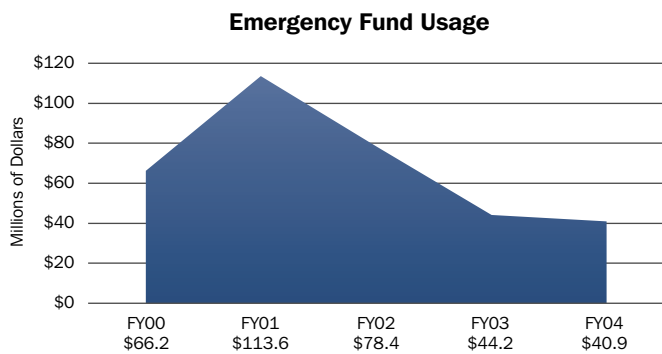
<b>FY00</b>	Coast Guard	\$ 48,500,000
	EPA	\$ 14,974,400
	MMS	\$ 6,118,000
	RSPA	\$ 5,479,000
	Treasury	\$ 2,141
	PWS OSRI	\$ 982,281
	Denali Commission	\$ 5,475,967
<b>FY01</b>	Coast Guard	\$ 48,393,300
	EPA	\$ 14,967,000
	MMS/DOC	\$ 11,104,540
	RSPA	\$ 7,471,528
	Treasury	\$ 22,254
	PWS OSRI	\$ 1,203,439
	Denali Commission	\$ 11,360,875
<b>FY02</b>	Coast Guard	\$ 48,437,000
	EPA	\$ 15,000,000
	MMS	\$ 6,105,000
	RSPA	\$ 4,864,000
	Treasury	\$ 40,954
	PWS OSRI	\$ 1,147,258
	Denali Commission	\$ 11,360,875
<b>FY03</b>	Coast Guard	\$ 48,184,750
	EPA	\$ 14,479,700
	MMS	\$ 6,065,318
	RSPA	\$ 7,423,432
	Treasury	\$ 40,000
	PWS OSRI	\$ 924,128
	Denali Commission	\$ 2,486,876
<b>FY04</b>	Coast Guard	\$ 52,000,000
	EPA	\$ 16,113,367
	MMS	\$ 7,017,453
	RSPA	\$ 12,923,300
	Treasury	\$ 40,000
	PWS OSRI	\$ 880,105
	Denali Commission	\$ 4,273,719

MMS Minerals Management Service (DOI)  
 DOC Department of Commerce  
 RSPA Research and Special Programs Administration (DOT)



## The Emergency Fund

To ensure rapid, effective response to oil spills, the President has the authority to make available, without Congressional appropriation, up to \$50 million each year to fund removal activities and initiate NRDA's. Funds not used in a fiscal year are available until expended. To the extent the \$50 million is inadequate, up to \$100 million from the OSLTF may be advanced to fund removal activities. The graph below shows Emergency Fund usage including new cases, ceiling increases for cases opened in prior years, and site-specific interagency agreements with EPA, from FY00 - FY04.



## Removal Actions

The OSLTF provides funding for oil pollution removal activities when oil is discharged into the navigable waters, adjoining shorelines, and the EEZ of the United States. Funding is also provided to prevent or mitigate the substantial threat of such an oil discharge. The Emergency Fund may be used for the following types of removal activities and costs. The list includes, but is not limited to:

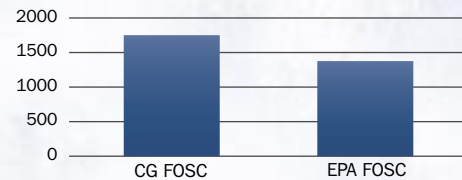
- Containing and removing oil from water and shorelines
- Preventing or minimizing a substantial threat of discharge
- Monitoring the activities of RPs

## Removal Costs

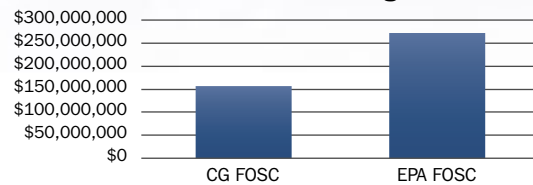
Examples of removal costs include:

- Contract services (e.g., cleanup contractors)
- Equipment used in removals

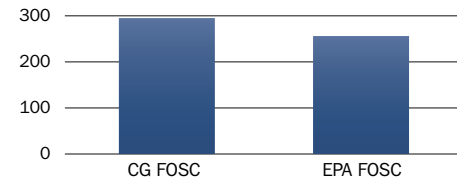
**FY00 - FY04 Number of Cases**



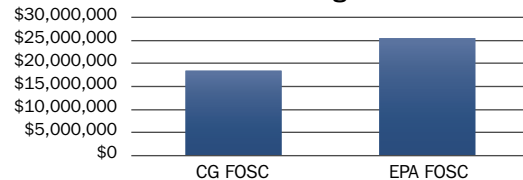
**FY00 - FY04 Funding for Cases**



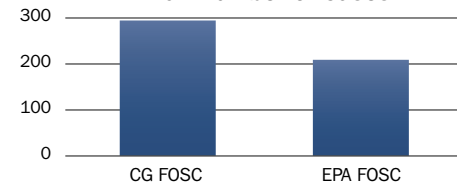
**FY03 Number of Cases**



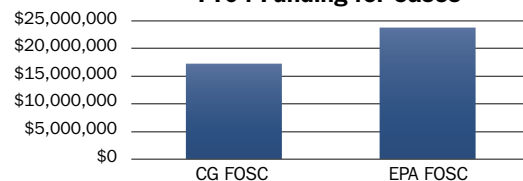
**FY03 Funding for Cases**



**FY04 Number of Cases**



**FY04 Funding for Cases**



- Chemical testing required to identify the type and source of oil
- Proper disposal of recovered oil and oily debris
- Costs for government personnel and temporary government employees hired for the duration of the spill response
- Completion of documentation
- Identification of RP(s)

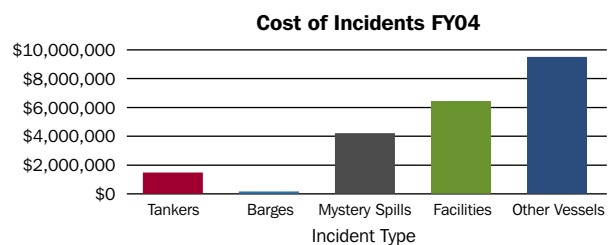
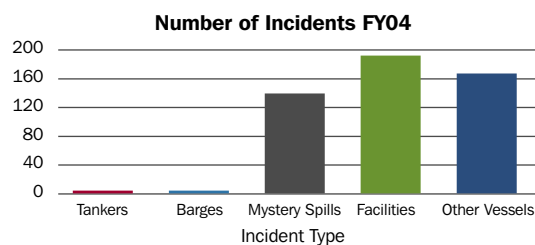
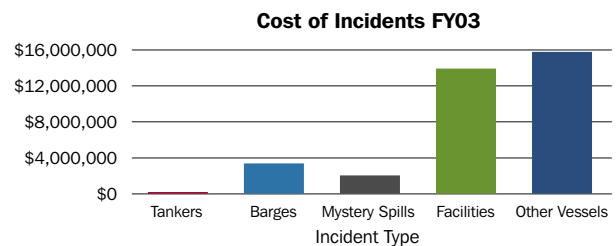
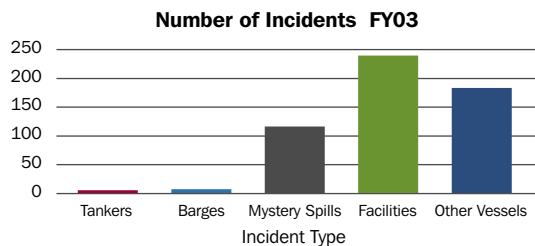
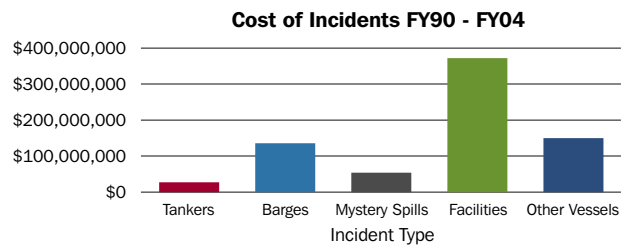
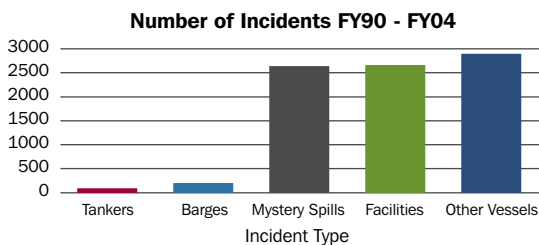
The Coast Guard has responsibility for removal actions in the coastal zone, while EPA has responsibility in the inland zone. The charts on page 16 provide a breakdown of Coast Guard and EPA cases opened during FY03 and FY04 and a cumulative perspective. While the number of Coast Guard cases has remained relatively stable over the past few years,

EPA cases have shown an increase in both the number of new cases opened and the corresponding dollar amounts. It is important to note that these cases do not represent all cases where oil is spilled, but only those incidents where the OSLTF was accessed and a Federal Project Number (FPN) was assigned to the case.

### Removal Actions by Type (Emergency Fund)

Breaking down the data in the charts even further, the graphs below show the historical number and cost of incidents, by type. The source of the majority of incidents in FY03 and FY04 were facilities (e.g., abandoned/operating oil wells, refineries, tank farms, pipelines), other vessels (e.g., fishing vessels, recreational vessels), and mystery spills (i.e., the source of the spill is unknown).

### Emergency Fund Usage by Category



## NRDA Initiate Requests

In response to an OPA incident, the Emergency Fund can be used to pay for the Initiate NRDA conducted by designated natural resource trustees. In the preassessment phase, outlined in 15 CFR 990, Subpart D, trustees must determine jurisdiction, undertake preliminary data collection, assess the effectiveness of the response, identify feasible restoration measures, and provide a notice of intent to conduct restoration planning. The NPFC and the FLAT execute an Inter-Agency Agreement (IAG) for each OPA incident requiring funds for preassessment phase activities involved in the initiation of an NRDA. The FLAT submits a request for the initiation on behalf of the affected federal, state, Indian tribe, or foreign trustees to the NPFC NRD Claims Division, which assigns an NRD Claims Manager to coordinate access to the OSLTF. The Claims Manager ensures that the FOSC is notified that preassessment phase activities are being performed for the incident.

As designated by OPA, natural resource trustees include authorized representatives from the U.S. Departments of Commerce (NOAA), Interior, Defense, Agriculture, and Energy, as well as from states, Indian tribes, and foreign trustees. Executive Order 12777 limits payments to the five federal trustees that may act to allocate funds for preassessment activities among all affected trustees. The “Inter-Agency Agreement to Initiate the Assessment of Natural Resource Damages” is reviewed by the NRD Claims Division to ensure conformity with OPA requirements, applicable federal regulations, and NPFC operating procedures.

While the criteria for funding eligibility remain the same, the NPFC does not impose absolute time limits on federal trustees for NRDA Initiate IAGs. The length of time depends on the particular situation and is determined jointly by NPFC and the trustees. In FY03, the NPFC received two Initiate requests totaling \$197,320. In FY04, the NRD Claims Division continued to work on the complex issues of existing Initiate Requests from previous years totaling \$635,450.

## State Access

State access to the OSLTF is provided by OPA and is a process through which states can directly receive federal

funds for immediate removal costs in response to an actual or substantial threat of a discharge of oil, after coordination with and approval by the FOSC. In accordance with OPA, states are limited to \$250,000 per incident for removal costs, consistent with the NCP. State access does not supersede or preclude the use of other federal payment regimes. States may also obtain federal funding for oil spill removal actions by acting as a contractor to the FOSC or by using the claims process. Neither of these methods is subject to the \$250,000 limit per incident.

## State of the OSLTF

The Fund is intended to ensure the President has the resources to carry out responsibilities under the FWPCA to clean up oil discharges to navigable waters and prevent the substantial threat of such discharges. The following table (page 19) shows the distribution, by state, of OSLTF response funds over the past five years. Every state, the District of Columbia, the Commonwealth of Puerto Rico, and every Territory administered by the U.S. Department of the Interior (DOI) has seen oil spills cleaned up by the OSLTF and continues to be at risk for oil spills.

Without the OSLTF, states would have to provide funds for these highly visible emergency events, further straining their domestic emergency response capabilities. If the Fund is exhausted, the \$50 million now made available annually to the President will either have to come from another source, or the President will not be able to clean up oil discharges.

Alaska, California, Florida, and Louisiana are large coastal states with significant oil transport and production. It follows that they have many spills which require removal funding. Illinois, Kansas, Kentucky, Oklahoma, and West Virginia are nearly land-locked, but are the sites of significant abandoned oil production wells and facilities that are now being cleaned up by the OSLTF. Thirty-four states (out of 57 states, territories, and possessions) had combined OSLTF costs which exceeded \$1 million during this period (FY00 - FY04). Clearly, the federal response mechanism, the NCP, and the OSLTF provide a significant benefit to all states facing the operational and financial burden of responding to oil spills to their navigable waters and shorelines.



## Oil Spill Response Funds FY00 - FY04

States <sup>1</sup>	FY00	FY01	FY02	FY03	FY04	Total
AK	\$639,276	\$5,035,270	\$998,964	\$1,816,000	\$860,000	\$9,349,510
AL	\$121,474	\$91,953	\$327,294	\$635,000	\$162,000	\$1,337,720
AR	\$668,000	\$505,040		\$100,000		\$1,273,040
AS	\$30,976	\$81,878	\$32,000	\$75,000	\$15,000	\$234,854
AZ	\$50,000	\$270,000	\$110,000		\$100,000	\$530,000
CA	\$772,482	\$1,852,076	\$20,503,775	\$3,445,970	\$960,500	\$27,534,803
CO	\$96,289	\$220,000	\$94,044	\$42,000	\$60,000	\$512,333
CT	\$1,691,223	\$207,531	\$55,000	\$469,224	\$220,000	\$2,642,978
DC	\$11,296				\$25,000	\$36,296
DE	\$135,000	\$290,423		\$145,256	\$75,000	\$645,679
FL	\$4,723,702	\$914,569	\$2,000,460	\$6,426,466	\$1,322,500	\$15,387,697
FM						\$0
GA	\$187,392	\$113,059	\$337,266	\$231,000	\$346,215	\$1,214,932
GU	\$50,000	\$15,000	\$125,000		\$4,600,000	\$4,790,000
HI	\$2,375,564	\$209,724	\$725,935	\$690,000	\$97,000	\$4,098,223
IA	\$360,666	\$50,000	\$40,000	\$15,000	\$50,000	\$515,666
ID	\$60,000	\$142,150	\$190,000	\$780,000	\$140,000	\$1,312,150
IL	\$1,053,786	\$386,675	\$2,795,243	\$55,000	\$330,000	\$4,620,704
IN	\$325,374	\$659,000	\$112,856	\$306,700	\$225,000	\$1,628,930
KS	\$1,969,463	\$20,000	\$250,000	\$73,000	\$15,000	\$2,327,463
KY	\$2,037,521	\$8,762,298	\$177,000	\$25,000	\$160,000	\$11,161,819
LA	\$9,536,258	\$53,508,692	\$12,224,640	\$8,464,623	\$2,585,926	\$86,320,139
MA	\$344,134	\$312,712	\$222,450	\$3,343,720	\$267,000	\$4,490,016
MD	\$5,058,029	\$475,831	\$577,500	\$960,000	\$740,000	\$7,811,360
ME	\$1,453,533	\$25,000	\$245,000		\$35,000	\$1,758,533
MP		\$50,000				\$50,000
MI	\$105,555	\$1,193,874	\$9,057,592	\$201,000	\$489,000	\$11,047,020
MN		\$0	\$15,000	\$5,000		\$20,000
MO	\$218,847	\$129,262	\$25,000	\$208,000	\$109,250	\$690,358
MS	\$929,296	\$380,021	\$389,351	\$162,400	\$250,981	\$2,112,048
MT		\$210,000	\$305,000			\$515,000
NC	\$384,570	\$154,299	\$185,000	\$59,000	\$265,500	\$1,048,369
ND		\$105,000		\$5,000	\$7,500	\$117,500
NE	\$14,395	\$18,000	\$1,579,747	\$10,000		\$1,622,142
NH	\$9,323	\$22,442	\$370,000	\$40,000	\$2,500	\$444,264
NJ	\$547,681	\$37,388	\$317,888	\$245,000	\$1,070,000	\$2,217,957
NM		\$10,000	\$15,000		\$11,000	\$36,000
NV				\$80,000		\$80,000
NY	\$3,194,609	\$1,028,060	\$71,000	\$1,196,250	\$317,000	\$5,806,918
OH	\$420,843	\$279,048	\$5,481,290	\$135,000	\$645,000	\$6,961,181
OK	\$1,859,874	\$1,277,132	\$320,111	\$499,249	\$228,000	\$4,184,365
OR	\$126,179	\$639,493	\$142,000	\$525,800	\$273,700	\$1,707,171
PA	\$1,591,914	\$2,276,314	\$1,447,263	\$77,500	\$209,500	\$5,602,491
PR	\$1,687,112	\$721,991	\$300,500	\$600,000	\$8,000	\$3,317,603
RI	\$96,264	\$100,000	\$84,000	\$186,000	\$112,000	\$578,264
SC	\$21,201	\$9,252	\$1,232,000	\$190,562	\$65,000	\$1,518,014
SD		\$85,000				\$85,000
TN	\$138,135	\$138,328	\$2,806,954	\$150,000		\$3,233,417
TX	\$1,026,817	\$3,926,195	\$600,917	\$776,124	\$1,684,884	\$8,014,937
UT	\$80,000	\$141,283	\$95,000	\$30,000	\$178,000	\$524,283
VA	\$230,330	\$45,860	\$164,484	\$182,000	\$240,000	\$862,673
VI		\$9,956		\$25,000		\$34,956
VT	\$400,000	\$25,000		\$15,000		\$440,000
WA	\$438,498	\$648,574	\$1,713,958	\$555,194	\$697,500	\$4,053,724
WI	\$1,488	\$28,397		\$30,000	\$25,000	\$84,885
WV	\$1,861,692	\$1,203,648	\$970,000	\$1,022,520	\$1,015,000	\$6,072,861
WY		\$662		\$20,000	\$165,000	\$185,662

<sup>1</sup>Includes Commonwealths and Territories:

AS - American Samoa  
 DC - District of Columbia  
 FM - Federated States of Micronesia

GU - Guam  
 MP - Commonwealth of Northern Marianas

PR - Commonwealth of Puerto Rico  
 VI - Virgin Islands



## Significant Cases FY00 - FY04

Each year, several large cases predominate in total costs incurred for that particular year (e.g., cases exceeding \$500,000 in removal costs and claims). Cases meeting this criterion are listed in the tables below, and most are still pending cost recovery. Amounts for many of the cases are preliminary.

FPN	Name	Total Costs	Source of Spill	FOSC
<b>FY00 Cases</b>				
P00056	PATUXENT RIVER SPILL - P00056	\$5,000,000	Facility	EPA Region 3
G00024	WEST UNION OIL FIELD - G00024	\$3,020,000	Facility	EPA Region 2
M00098	MYSTERY SPILL - M00098	\$2,632,659	Mystery	Miami-33215
N00235	O'NIELL OIL CO - N00235	\$2,000,000	Facility	Morgan City-33293
M00023	DREDGING OPERATIONS - M00023	\$1,932,657	Mystery	Tampa-33230
N00017	PARAWAX, OKLAHOMA CIT - N00017	\$1,791,845	Facility	EPA Region 6
N00260	PITCHER PROPERTY SITE - N00260	\$1,768,500	Facility	EPA Region 7
H00016	F/V SWORDMAN I - H00016	\$1,625,000	Vessel	Honolulu-33275
N00023	HACKBERRY PITS - N00023	\$1,544,000	Facility	EPA Region 6
M00016	M/V SERGO ZAKARIADZE - M00016	\$1,500,000	Vessel	San Juan-33239
P00071	MCCRACKEN FARM - P00071	\$1,294,126	Facility	EPA Region 3
B00400	F/V JESSICA ANN - B00400	\$955,000	Vessel	Portland, ME-33285
N00261	O'NIELL TANK BATTERY - N00261	\$950,000	Facility	Morgan City-33293
B00501	ALICE TERRACE - B00501	\$900,000	Facility	EPA Region 1
N00211	STANLEY FIELDS - N00211	\$890,000	Facility	EPA Region 4
N00241	MORGAN FIELD - N00241	\$830,000	Facility	EPA Region 4
N00149	WHEELING PIT STEEL - N00149	\$781,749	Facility	EPA Region 5
N00218	ALADDIN-EDGEWOOD LAND & LUMBER	\$770,000	Facility	EPA Region 6
N00109	BLACK BAYOU SPILL - N00109	\$750,000	Mystery	EPA Region 6
B00505	MYSTERY SPILL - B00505	\$750,000	Mystery	EPA Region 1
N00297	BARRETT REFINERY - N00297	\$700,000	Facility	EPA Region 4
N00193	MORO BAY OIL PIT SITE - N00193	\$698,994	Facility	EPA Region 6
H00013	MYSTERY SPILL - H00013	\$676,538	Mystery	EPA Region 9
N00146	GULF FEE LEASE SITE - N00146	\$620,000	Facility	EPA Region 6
N00148	W. E. WALKER T.B. #1 - N00148	\$600,000	Facility	EPA Region 6
<b>FY01 Cases</b>				
J01030	F/V WINDY BAY - J01030	\$4,000,000	Vessel	Valdez-33283
N01038	O'NIELL ABAN FACILITY - N01038	\$3,750,000	Facility	Morgan City-33293
N01522	ED I. ESTIS-BL SMITH - N01522	\$3,750,000	Facility	EPA Region 6
N01177	LEAKING STORAGE TANKS - N01177	\$3,000,000	Facility	EPA Region 4
N01144	TILLMAN ROUSSE/O'NIELL - N01144	\$2,750,000	Facility	Morgan City-33293
P01025	BRYNER-FOX FARM - P01025	\$1,573,725	Facility	EPA Region 3
N01313	TROPICAL STORM ALLISON - N01313	\$1,455,043	Mystery	Houston-33244
N01049	OAKS OIL FIELD - N01049	\$1,444,805	Facility	EPA Region 4
N01053	ALZEY OIL FIELD - N01053	\$1,214,000	Facility	EPA Region 4
N01141	LAKE OOLOGAH FIELD - PHASE III	\$1,050,000	Mystery	EPA Region 6
G01015	LAKESIDE REFINERY - G01015	\$1,025,000	Facility	EPA Region 5
N01065	T/V WESTCHESTER - N01065	\$1,000,001	Vessel	New Orleans-33292
N01025	VINTON PITS & TANK BATTERY	\$978,720	Facility	EPA Region 6
N01111	NEW CENTRAL BATTERY #1	\$965,000	Facility	EPA Region 6
N01225	LISBON OIL & GAS FIELD	\$928,000	Facility	EPA Region 6
N01021	ALADDIN EDGEWOOD BATTERY #2	\$925,000	Facility	EPA Region 6
N01135	RIVERBEND FLOWLINE - N01135	\$890,065	Facility	Morgan City-33293
N01139	RECOVERY TRENCH - N01139	\$845,000	Facility	EPA Region 6
N01086	MIN LSE SW- ABNEY-K'PATRICK	\$821,000	Facility	EPA Region 6
N01051	TOUCHEA OIL FIELD - N01051	\$750,000	Facility	EPA Region 4
M01075	M/V KIMTON - M01075	\$716,844	Vessel	San Juan-33239
N01484	RIVER BEND OPERATING - N01484	\$700,000	Facility	EPA Region 6
N01054	PRISSY OIL FIELD - N01054	\$695,000	Facility	EPA Region 4
N01150	CAMBRIDGE ENERGY OIL SPILL	\$693,545	Facility	EPA Region 6
B01004	BAY TERRACE COOP SECTION X, IN	\$689,912	Facility	New York-73136



FPN	Name	Total Costs	Source of Spill	FOSC
<b>FY01 Cases</b> (continued)				
J01027	F/V VANGUARD - J01027	\$670,466	Vessel	Valdez-33283
N01127	WATKINS TANK BATTERY #1	\$670,000	Facility	EPA Region 6
N01428	D.J. PROD-OK ALLEN HEIRS FAC	\$666,617	Facility	EPA Region 6
N01160	2ND RECOVERY-MCFATTER NO. 1	\$620,011	Facility	EPA Region 6
N01084	NORTH EAST LISBON UNIT NO. 1	\$600,000	Facility	EPA Region 6
N01085	WOODARD TANK BTRY-AYCOCK, LA	\$600,000	Facility	EPA Region 6
N01050	MIDNIGHT OIL FIELD - N01050	\$593,005	Facility	EPA Region 4
N01056	PLANES MARKETING - N01056	\$550,000	Facility	EPA Region 6
N01113	JP OWENS TANK BATTERY #1	\$550,000	Facility	EPA Region 6
A01026	LA RIVER SEEPS - A01026	\$550,000	Facility	EPA Region 9
N01022	DAISY P. KANOUSE TANK BATTERY	\$537,000	Facility	EPA Region 6
N01029	O'NIELL PROD FACILITY - N01029	\$500,000	Facility	Morgan City-33293
N01231	LEE OIL FIELD - N01231	\$500,000	Facility	EPA Region 4
N01355	ABANDONED REFINERY - N01355	\$500,000	Facility	EPA Region 6
<b>FY02 Cases</b>				
A02005	SS J LUCKENBACH - A02005	\$19,593,549	Vessel	San Francisco-33260
G02AAA	MYSTERY SPILL - G02AAA	\$5,307,592	Mystery	Detroit-33250
E02504	LITTLE SCIOTO RIVER - E02504	\$5,150,000	Facility	EPA Region 5
E02503	MYSTERY SPILL - E02503	\$3,650,000	Mystery	EPA Region 5
E02414	PRYOR WELL BLOWOUT - E02414	\$2,858,254	Facility	EPA Region 4
E02507	GEMCO OIL WELLS - E02507	\$2,138,262	Facility	EPA Region 5
N02051	TIRE RECYCLING FAC - N02051	\$1,579,747	Facility	EPA Region 7
P02079	JOHNSTON OIL FARM - P02079	\$1,350,000	Facility	EPA Region 3
N02010	LAKE PONTCHARTRAIN - N02010	\$1,275,000	Facility	New Orleans-33292
M02AAT	M/V EVER REACH - M02AAT	\$1,200,000	Vessel	Charleston-33233
N02001	LAKE PONTCHARTRAIN - N02001	\$1,120,000	Facility	New Orleans-33292
E02612	RIVER BEND BYO E. CEN - E02612	\$992,454	Facility	EPA Region 6
N02003	LAKE PONTCHARTRAIN - N02003	\$920,000	Facility	New Orleans-33292
N02002	LAKE PONTCHARTRAIN - N02002	\$896,000	Facility	New Orleans-33292
M02046	F/V TERESA LYNN - M02046	\$700,000	Vessel	Miami-33215
H02AAA	T/V INSIKO - H02AAA	\$700,000	Vessel	Honolulu-33275
S02AAL	SEATTLE MARINA FIRE - S02AAL	\$700,000	Vessel	Puget Sound-33271
E02614	RIVER BEND W. CENTRAL - E02614	\$676,035	Facility	EPA Region 6
E02618	RIVER BEND-WILBERT - E02618	\$670,475	Facility	EPA Region 6
N02009	LAKE PONTCHARTRAIN - N02009	\$610,000	Facility	New Orleans-33292
E023AE	DOMINION TRANS FARM - E023AE	\$610,000	Facility	EPA Region 3
E02615	NCM-S-STOCKSTILL FAC - E02615	\$583,546	Facility	EPA Region 6
E02611	RIVER BEND BAYOU FAC - E02611	\$566,657	Facility	EPA Region 6
J02AAN	M/V QANIRTUUQ PRINCESS - J02AAN	\$509,940	Vessel	Anchorage-33280
<b>FY03 Cases</b>				
B03030	T/B B NO. 120 - B03030	\$3,173,220	Vessel	Providence-33286
M03008	M/V RED DIAMOND - M03008	\$2,900,000	Vessel	Jacksonville-33231
A03025	CRANE BARGE MONARCH - A03025	\$2,700,000	Vessel	San Francisco-33260
M03025	M/V BOWSTRING - M03025	\$1,700,000	Vessel	Jacksonville-33231
E03201	MONOCO OIL - E03201	\$1,000,000	Facility	EPA Region 2
J03004	F/V GENEI MARU #7 - J03004	\$1,000,000	Vessel	Anchorage-33280
M03037	KENT RELIANT - M03037	\$600,000	Vessel	San Juan-33239
E034ZA	SHOWBOAT LOUNGE - E034ZA	\$550,000	Vessel	EPA Region 4
P03018	M/V SEAWITCH - P03018	\$550,000	Vessel	Baltimore-73133
H03003	F/V KOLEA (GROUNDED) - H03003	\$500,000	Vessel	Honolulu-33275
M03022	M/V FREEDOM EXPRESS - M03022	\$500,000	Vessel	Miami-33215
<b>FY04 Cases</b>				
H04007	F/V MWALIL SAAT - H04007	\$3,700,000	Vessel	Guam-33296
N04067	TORM MARY - N04067	\$1,250,000	Vessel	Port Arthur-33241
H04010	M/V AJMAN 2 - H04010	\$900,000	Vessel	Guam-33296
P04006	MYSTERY - P04006	\$750,000	Mystery	Philadelphia-33211
M04020	M/V ORIENTAL I - M04020	\$732,394	Vessel	Jacksonville-33231
E043Z1	MYSTERY - E043Z1	\$670,000	Mystery	EPA Region 3



# Coast Guard Superfund Use

## History

CERCLA established the Superfund to provide monies to identify, prioritize, and clean up the nation's uncontrolled hazardous waste sites. The Superfund, administered by EPA, was created as an important CERCLA component to give the Federal government flexibility in identifying and addressing potentially harmful releases of hazardous substances. The Superfund provides the funds that enable federal agencies to respond immediately to hazardous substance releases and contamination problems that pose a threat to public health and the environment. Removal costs are recovered from the RP(s) by EPA.

## Coast Guard CERCLA Responses

Since August 1981, Coast Guard FOSCs have responded to releases and substantial threats of releases of hazardous substances, pollutants, or contaminants (HAZMAT) in the coastal zone, the Great Lakes, and inland river ports as designated in the NCP. The Coast Guard National Strike Force (NSF) Strike Teams provide highly trained personnel to support these responses. The NCP designates the NSF as a national resource available to all of the FOSCs conducting removal operations throughout the United States, its territories, and possessions.

Since its establishment, NPFC has served as the fiduciary agent for the portion of the Superfund used by the Coast Guard. EPA provides the funds to the Coast Guard through IAGs which are used for the ongoing costs of building and maintaining response capabilities (training, equipment, personnel) and for costs incurred in removal operations following a CERCLA incident.

The 1994 CERCLA MOU between the Coast Guard and EPA specifies the funding coordination mechanisms for Coast Guard access to the funds. This MOU is tangible evidence of NPFC's commitment to the cultivation of strategic relationships with other federal agencies that are suppliers or users of pollution funds.

The number of Coast Guard responses to releases of HAZMAT is externally driven by the number of such

incidents that occur and are reported. Public awareness of the danger and adverse environmental impacts caused by these releases affects the number that is reported. The total cost per year is more dependent on the size of the responses than the number.

CERCLA authority includes response to intentional releases of industrial or military HAZMAT by terrorists, resulting in an overlap of pollution response and homeland security. Five major cases in the FY03 - FY05 period epitomize this overlap.

During the summer of 2004, three National Special Security Events took place in the coastal zone: the G-8 Summit and both the Democratic and Republican National Conventions. The Coast Guard was on call for potential pollution response at these events and pre-staged chemical response teams and incident management support personnel. These resources were assigned to the respective Coast Guard FOSCs, and the total cost exceeded \$500,000.

Next, Coast Guard Atlantic Strike Team personnel deployed to Capitol Hill acted in response to ricin, a poison, that was found in a Senate Office Building. The Strike Team worked with the Capitol Police Department for several weeks to make the building safe for use.

Finally, the Coast Guard in New York City detained the M/V CSAV *Rio Puelo*, a container ship, when information from another agency in the DHS suggested that several containers on board were loaded with fresh lemons that had been contaminated with an unknown biological agent. If present, such a substance would be actionable under CERCLA authority. The Coast Guard FOSC for New York led multiple federal and state agencies in a Unified Command to isolate, analyze, and decontaminate the suspect containers. The Coast Guard used nearly \$1 million in CERCLA funds for the pollution response aspects of the operation while Coast Guard operating funds were used for the security aspects of the operation.





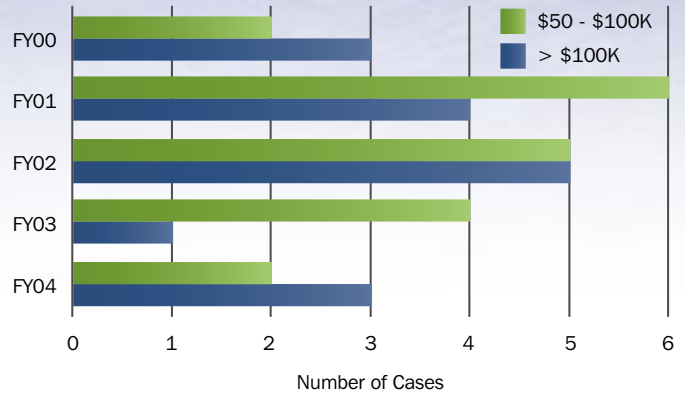
## Coast Guard Disaster Responses

The Coast Guard, under the recently promulgated NRP, is tasked with pollution response (oil and hazardous chemicals/pollutants/contaminants) under Emergency Support Function 10. NPFC serves as the Coast Guard's financial manager for these responses.

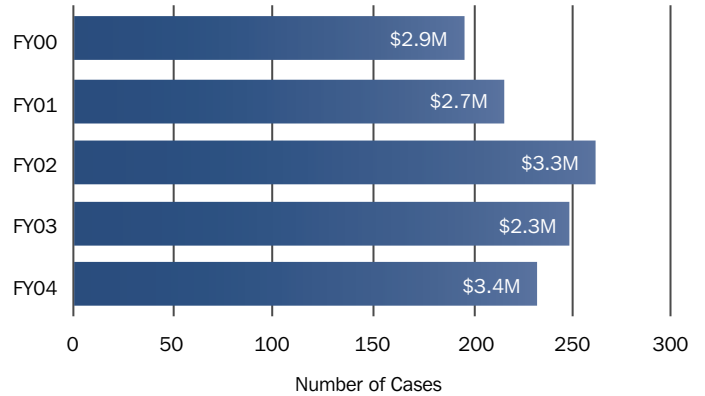
The number of Coast Guard responses to pollution in the aftermath of natural disasters continues to grow. In FY03 the Coast Guard, working with EPA and the Federal Emergency Management Agency (FEMA), deployed response teams for oil and hazardous chemical releases for Hurricanes Bill, Claudette, Lilli, and Isabel, and for Typhoon Pongsana on Guam. Funding provided by the Stafford Act exceeded \$750,000.

The 2004 hurricane season was equally active, with major Hurricanes Charlie, Frances, Ivan, and Jeanne demanding Coast Guard responses in the states of Florida, Alabama, Mississippi, and North Carolina in less than six weeks. Total Stafford Act funding exceeded \$1 million.

Large USCG CERCLA Responses FY00 - FY04



USCG CERCLA Responses FY00 - FY04



# Vessel Financial Responsibility Certification

The United States depends on marine transportation for the majority of its imports and exports, including chemical- and petroleum-based products. Oil spill incidents occur from all types of vessels, not just tankers. Section 1016 of OPA requires operators of vessels over 300 gross tons, using the navigable waters of the United States, or vessels of any size that lighter or transship oil in the EEZ of the United States, to provide evidence of their financial ability to satisfy liability claims for removal costs and damages up to the prescribed limits.

The primary goals of NPFC's COFR program are to ensure that RPs are identified and held financially responsible to the full extent of the law for any expenses involved in dealing with any specific vessel water pollution incident. This certification is accomplished by issuing COFRs to vessel operators who have demonstrated adequate evidence of financial responsibility as established by law.

The vessel limits of liability under OPA are:

- For tank vessels 3,000 gross tons or less, the greater of \$2,000,000 or \$1,200 per gross ton
- For tank vessels greater than 3,000 gross tons, the greater of \$10,000,000 or \$1,200 per gross ton
- For any other vessel, the greater of \$500,000 or \$600 per gross ton

Additional amounts are also applicable under CERCLA:

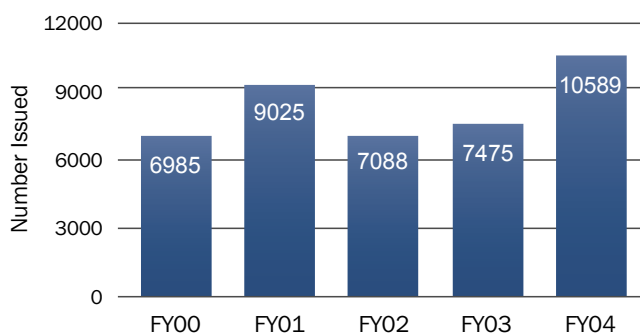
- For any vessel over 300 gross tons carrying hazardous substance as cargo, the greater of \$5,000,000 or \$300 per gross ton
- For any other vessel over 300 gross tons, the greater of \$500,000 or \$300 per gross ton

Failure to establish acceptable evidence of financial responsibility, documented by a COFR, may result in prevention or cessation of operation, vessel detainment, denial of entry to a U.S. port, a civil penalty of up to \$32,500 per day of violation, or seizure and forfeiture of the vessel. The law does not apply to public vessels. The

financial responsibility requirements also do not apply to non-self-propelled barges carrying no oil as cargo or fuel or hazardous substances as cargo.

The graph below shows the number of COFRs issued from FY00 - FY04. The larger numbers in FY01 and FY04 reflect the renewal of COFRs which expire and are reissued every three years.

**COFRs Issued FY00 - FY04**



**COFRs Currently Valid**

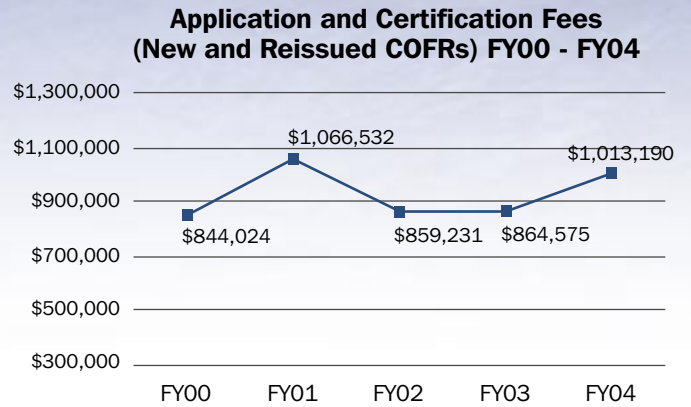
Vessel Type	2003	2004
Dry Cargo	7,912	7,831
Tanker	2,568	2,877
Tank Barge	4,047	3,992
Mobile Offshore Drilling Units	284	281
Passenger	528	566
Fishing	1,148	1,066
Utility	2,442	2,480
<b>TOTAL</b>	<b>18,929</b>	<b>19,093</b>



There are currently about 19,000 valid COFRs issued to vessel operators. The NPFC processes thousands of COFR transactions each year, including new issues, name changes, renewals, and revocations. The table on page 24 illustrates the number of valid COFRs by vessel type at the end of FY03 and FY04.

### Applicant and Certification Fees

These fees are the charges that vessel operators must pay the Coast Guard for processing their applications and issuing COFRs. The graph to the right shows the fees collected from FY00 - FY04.

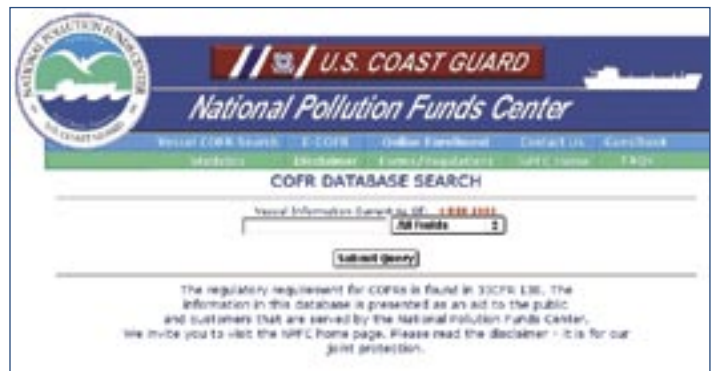
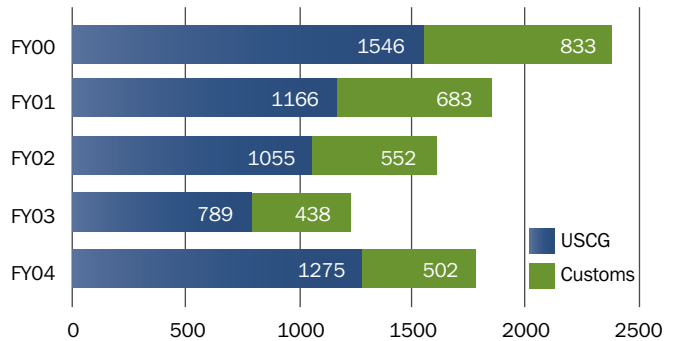


### Vessel Enforcement Inquiries

A primary function of the COFR Program is answering compliance inquiries from the field. Thousands of calls per year are received from Coast Guard and Customs and Border Protection (CBP) field offices, as well as approximately 300 inquiries from the Louisiana Offshore Oil Port. Enforcement inquiries result from random samplings of vessels in transit, entries found in the Coast Guard Marine Safety Network, irregularities found on inspection, and discrepancies in information provided by ships' agents and representatives. The Coast Guard routinely checks for COFRs when vessels enter U.S. waters, sail coastwise, or are inspected. CBP checks for COFRs when vessels leave U.S. waters. In an effort to increase awareness of COFR requirements among Coast Guard field personnel, representatives from Vessel Certification have visited Coast Guard Marine Safety Offices in most major U.S. ports to provide onsite guidance and instruction.

The E-COFR Web site ([www.npfc.gov/cofr](http://www.npfc.gov/cofr)) gives enforcement officials access to COFR information on a daily basis. It also gives the international shipping communities the ability to submit COFR applications on-line and contact the COFR staff via e-mail. The E-COFR Web site is updated every hour so that the shipping communities (e.g., in the Far East) have access to current information during their workday. The NPFC averages over 16,000 hits per month on this Web site.

### Compliance Calls FY00 - FY04



# NPFC Guidance Materials

The NPFC has an extensive library of guidance materials that provide customers with a wealth of information on the NPFC, its roles and missions, and funds access and use. All guidance materials are available on-line on the NPFC's Web site at [www.uscg.mil/npfc](http://www.uscg.mil/npfc). To request paper or CD-ROM copies, please call (202) 493-6999. The following summarizes the available materials:

- The **NPFC User Reference Guide** serves as a single-source library for anyone who may need to gain access to the OSLTF or the portion of Superfund accessible to the Coast Guard. In FY03, the NPFC began publishing the guide on its Web site, where it is updated as needed. The User Reference Guide contains all of the Technical Operating Procedures (TOPs) listed below, as well as many other OSLTF access and financial management references. Visitors may download the library as a single file or may access each of its documents individually.
- The **TOPs** serve as Coast Guard guidelines for Fund users. They provide an efficient means to compile and submit documentation. All NPFC TOPs are updated regularly and are consolidated in the NPFC User Reference Guide. A brief description of each TOPs is provided below.
  - **Removal Cost TOPs** provide clear guidelines to determine valid and necessary removal costs for a substantial threat or an actual oil discharge.
  - **Resource Documentation TOPs** assist FOSCs in documenting and reporting resources associated with removal activities.
  - **State Access TOPs** describe the procedures for states to access the OSLTF, including requirements for documenting expenses, investigative requirements, and submitting documents for reimbursement.
  - **Designation of Source TOPs** aid FOSCs in conducting investigations to identify sources of a substantial threat or actual discharge of oil, duly notify the RPs and their guarantors, and designate the source so that claimants may submit their claims to the RPs.
- The **Claimant's Information Guide** provides information to potential claimants on how to file claims and on what types of claims they may submit. An extensive review and rewrite of this guide was undertaken and published in 2003.
- The **NRD Funding Guidelines** provide guidance to trustees in preparing and submitting NRD claims and Initiate Requests to the NPFC.
- The **NPFC Brochure suite** includes a general information brochure on NPFC, as well as individual brochures for the NRD, COFR, Claims, and Case Management divisions. All the brochures are designed to stand alone or to combine into a single packet to provide a complete information package on the organization.
- The **NPFC Year in Review** provides a biennial overview of NPFC operations and OSLTF use since the NPFC's inception on February 20, 1991, and for each fiscal year thereafter. This edition is the tenth published Year in Review.
- The **NPFC COFR Web Site** serves as a reference guide for Coast Guard field personnel and other members of the COFR community. The site contains information on various aspects of the COFR program, including relevant statistics on the program, directions for obtaining and amending COFRs, downloadable forms, applicable regulations, and frequently asked questions. The site also includes the E-COFR application for obtaining COFRs and a database for searching for vessel COFR information.



# Program Initiatives

## Regulations Development

**Claims Regulations**—The Coast Guard’s regulations for presentation of OPA claims to the NPFC were published in 1992 as an interim rule, effective immediately. Comments on the interim rule were received after its publication. Now, having adjudicated over 10,000 claims, including those for NRD and loss of subsistence use of natural resources, the Coast Guard will publish a Notice of Proposed Rulemaking (NPRM) for public comment. This NPRM will address comments on the interim rule, as well as propose changes resulting from the NPFC’s experience in adjudicating claims. This rulemaking, once complete and finalized, will supercede the interim rules in effect.

## OSLTF Report to Congress

As required by the Coast Guard Maritime and Transportation Act of 2004, NPFC submitted a report to Congress on May 12, 2005 on the status of the OSLTF and the adequacy of liability limits. The complete report to Congress, as well as more information on the Fund, OPA and the NPFC can be downloaded from the NPFC’s home page at [www.uscg.mil/npfc](http://www.uscg.mil/npfc). As a result of legislation that will reinstate the 5-cent per barrel tax on oil in 2006, the OSLTF should remain viable for the coming decade.

## CPI Regulations

OPA [section 1004(d)(4)] mandates the periodic adjustment of OPA liability limits by regulation to reflect significant increases in the Consumer Price Index (CPI). Such regulations have never been issued and are long overdue for vessels. There have been 19 incidents involving vessels since fiscal year 1993 where costs have exceeded, or are anticipated to exceed, the OPA limits of liability. As a result, there has been considerable Congressional interest in raising vessel limits. A regulatory workplan has been approved, and proposed rulemaking is being developed whereby the limits of liability would be increased in accordance with corresponding CPI increases that have occurred since 1990.

## State Access Regulations

In 1992 with the passage of OPA, Interim State Access regulations were implemented with the intent of ensuring that State agencies had the ability to access the OSLTF for oil spill cleanup. The interim regulations process was found to be cumbersome by States; consequently it is not being used, as two more user-friendly alternative processes are available (funding through FOSCs and through the claims process). This interim rule was developed as a temporary measure to serve an anticipated immediate need. Therefore, the NPFC intends to finalize the rulemaking by developing a Supplementary Notice of Proposed Rulemaking allowing the opportunity for public comment, and ultimately leading to a Final Rule.

## Due Diligence Regulations

The Coast Guard and Maritime Transportation Act of 2004 [section 703] (enacted August 9, 2004) amends certain procedural requirements in OPA for determining liability and cost recovery efforts specific to discharged oil and innocent landowners. The proposed rule will explain due diligence requirements for certain landowners that acquire property that may become the source of an oil discharge. NPFC is working in coordination with the EPA to establish thorough and consistent regulations.

## Leveraging Technology

NPFC continues to be in the forefront of leveraging technology to meet its mission.

## Ceiling and Number Assignment Processing System (CANAPS) Version 2

CANAPS is a Web-based system that gives Coast Guard and EPA FOSCs direct access to OSLTF resources and facilitates prompt response to spills and threats of spills to our nation’s navigable waters. New features added to improve CANAPS include:

- Single session sign-on (vice each transaction)
- Immediate on-screen response to the user (still followed up by confirmation e-mail)



- Full request information included in confirmation e-mails
- Automatic NPFC Case Team Regional Manager notification by cell phone text message
- Automatic project and budget creation/update in NPFC's Oracle Financials and Case Management Systems

### Intranet Portal Expansion

The Ballston Office complex now houses ten Coast Guard units with over 500 personnel. The NPFC IT and Customer Services Divisions support **all** CG Ballston. With cooperation from the other commands, NPFC developed a local intranet portal, CG Ballston Web, that consolidates information relevant to CG Ballston. To eliminate redundant management of information by each command, it includes links to request administrative and IT services. NPFC is also working to integrate its local intranet with CG Central, the new Coast Guard collaboration portal.



### Government Accountability Office (GAO) Audits

OPA requires GAO audits of the OSLTF "as appropriate." In December 2002, GAO began a two-phase audit of the OSLTF. The first phase of the audit, that focused on incident claims payments, was completed in October 2003 with all associated GAO recommendations closed out in June 2004. The second phase of the audit focused on OSLTF non-incident claims, the Emergency Fund, and operating expenditures that were incurred in support of OPA. The second phase of the audit concluded in January 2004 with 11 GAO recommendations for improvements. NPFC expects GAO to return during FY05 to close out each recommendation. To fully address GAO recommendations, NPFC has implemented a number of guidance directives and will continue to put in place monitoring teams to ensure that these processes are being carried out effectively.



# NPFC Special Events

## NPFC Hosts Quarterly Blood Drives

Every fiscal quarter, NPFC collaborates with the other Coast Guard Ballston Commands to host a blood drive for the American Red Cross within its space. In 2004, the Greater Chesapeake and Potomac Regions were among the many areas that experienced one of the most severe and critical blood shortages in American Red Cross history. NPFC, using the dedicated efforts of Ms. Dawn Unglesbee, responded by coordinating donations of 101 productive units of blood. Each donation can help three to four patients. The blood donations from the NPFC made a difference in over 300 lives. We are proud to note that the NPFC continues to provide the American Red Cross with a safe and dependable supply of blood, amounting to a significant contribution toward the care and well being of the community.

## Salvation Army Angel Tree



Each year, NPFC employees participate in the Salvation Army Angel Tree charity event where children, i.e., angels, from the local area receive toys and clothing. Jan Lane, Director of the NPFC, is shown above selecting the year's first angel from the tree.



**"I will make a difference."**

Will you? The daily demand for donated blood is constant. In fact, 20,000 donations are needed each day. If you've never given blood before, now is a great time to start. If you've given before, please give again. Your blood donation could make a life-saving difference.



Make your appointment today  
Visit [www.DONELIFE.org](http://www.DONELIFE.org) or call  
1-800-GIVE LIFE (800-448-3142).

American  
Red Cross  
Together, we can save a life.

## Annual Multi-Cultural Diversity Awareness Day



LT Herbert Collins, Coast Guard (retired) makes an address during NPFC's annual Multi-Cultural Diversity Awareness Day. LT Collins served at the Pea Island Lifesaving Station on the coast of North Carolina. He shared his experiences and insight from his Coast Guard career with a full audience. Attendees included RADM Stephen Rochon, Coast Guard, Chief of the Personnel Management Directorate and Mr. Scott Lanum, Chief of Equal Employment Opportunity Programs for the Naval Surface Warfare Center in Dahlgren, VA.



# Glossary of Terms

<b>CANAPS</b>	Ceiling and Number Assignment Processing System	<b>HAZMAT</b>	Hazardous substances, pollutants, or contaminants
<b>CBP</b>	Customs and Border Protection	<b>IAG</b>	Inter-Agency Agreement
<b>CERCLA</b>	Comprehensive Environmental Response, Compensation, and Liability Act of 1980	<b>IT</b>	Information Technology
<b>CFO</b>	Chief Financial Officer	<b>MMS</b>	Minerals Management Service
<b>CFR</b>	Code of Federal Regulations	<b>MOU</b>	Memorandum of Understanding
<b>CGD</b>	U.S. Coast Guard District	<b>NCP</b>	National Contingency Plan (40 CFR 300)
<b>COFR</b>	Certificate of Financial Responsibility	<b>NOAA</b>	National Oceanic and Atmospheric Administration
<b>COTP</b>	Captain of the Port	<b>NPFC</b>	National Pollution Funds Center
<b>CPI</b>	Consumer Price Index	<b>NPRM</b>	Notice of Proposed Rulemaking
<b>DHS</b>	U.S. Department of Homeland Security	<b>NRD</b>	Natural Resource Damage
<b>DOC</b>	U.S. Department of Commerce	<b>NRDA</b>	Natural Resource Damage Assessment
<b>DOI</b>	U.S. Department of the Interior	<b>NRP</b>	National Response Plan
<b>DOJ</b>	U.S. Department of Justice	<b>NSF</b>	National Strike Force
<b>DOT</b>	U.S. Department of Transportation	<b>OPA</b>	Oil Pollution Act of 1990
<b>EEZ</b>	Exclusive Economic Zone	<b>OSLTF</b>	Oil Spill Liability Trust Fund (the Fund)
<b>EPA</b>	U.S. Environmental Protection Agency	<b>PWS OSRI</b>	Prince William Sound Oil Spill Recovery Institute
<b>FEMA</b>	Federal Emergency Management Agency	<b>RP</b>	Responsible Party
<b>FLAT</b>	Federal Lead Administrative Trustee	<b>RSPA</b>	Research and Special Programs Administration
<b>FOSC</b>	Federal On-Scene Coordinator	<b>Superfund</b>	Hazardous Substance Response Trust Fund
<b>FPN</b>	Federal Project Number	<b>TAPS</b>	Trans-Alaska Pipeline System
<b>FWPCA</b>	Federal Water Pollution Control Act	<b>TOPs</b>	Technical Operating Procedures
<b>FY</b>	Fiscal Year		
<b>GAO</b>	Government Accountability Office		





# Senior Level Management

## **National Pollution Funds Center**

4200 Wilson Blvd., Suite 1000  
Arlington, Virginia 22203  
(202) 493-6700  
(202) 493-4900 (fax)  
Monday – Friday  
7:30 a.m. – 4:00 p.m. EST

## **Director**

Ms. Jan P. Lane (202) 493-6700

## **Deputy Director**

Mr. William R. Grawe (202) 493-6700

## **Chief, Case Management**

Mr. Timothy G. Eastman (202) 493-6721

## **Chief, Claims Adjudication**

Mr. Thomas S. Morrison (202) 493-6831

## **Chief, Customer Services**

Ms. Dana C. Compton (202) 493-6713

## **Chief, Financial Management**

Mr. Craig A. Bennett (202) 493-6800

## **Chief, Information Technology**

Mr. George A. Cognet (202) 493-6761

## **Chief, Legal**

Mr. Derek A. Capizzi (202) 493-6751

## **NRD Claims**

Mr. Christopher W. Abrams (202) 493-6865

## **Chief, Vessel Certification**

Mr. Kevin D. Bailey (202) 493-6792

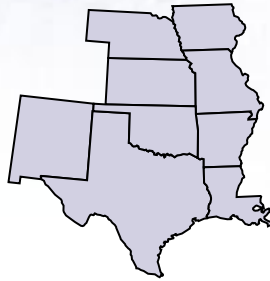


# Contact Information

## Contact Information By Regional Case Teams

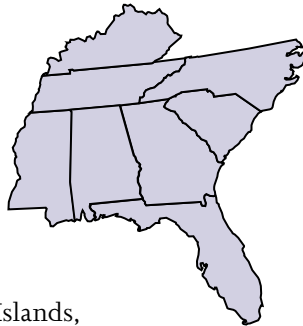
### Team I (202) 493-6723

Responsible for most of the Coast Guard District 8 (CGD8) and EPA Regions VI and VII. Includes Texas, New Mexico, Louisiana, Arkansas, Oklahoma, Missouri, Kansas, Nebraska, and Iowa. Does not include CGD8 Mobile, Memphis, Paducah, Louisville, Huntington, and Pittsburgh Captain of the Port (COTP) zones.



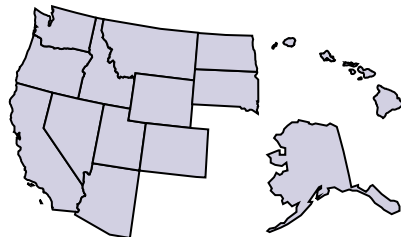
### Team II (202) 493-6726

Responsible for CGD7, portions of CGD5 and CGD8, EPA Region II (Caribbean Section), and EPA Region IV. Includes CGD8 Mobile, Memphis, Paducah, Louisville, Huntington, and Pittsburgh COTP zones; CGD5 Hampton Roads and Wilmington COTP zones; and the U.S. Virgin Islands, Puerto Rico, Florida, Georgia, South Carolina, Tennessee, North Carolina, Kentucky, Alabama, Mississippi, Virginia (COTP Hampton Roads zone only), and Pennsylvania (COTP Pittsburgh zone only).



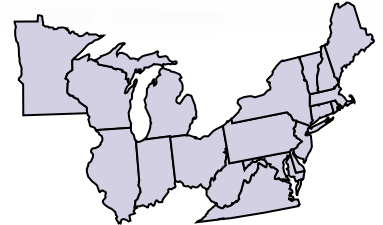
### Team III (202) 493-6729

Responsible for CGD11, CGD13, CGD14, CGD17, and EPA Regions VIII, IX, and X. Includes Arizona, California, Nevada, Utah, Colorado, North Dakota, South Dakota, Wyoming, Montana, Idaho, Washington, Oregon, Alaska, Hawaii, Guam, and American Samoa.



### Team IV (202) 493-6732

Responsible for CGD1, CGD9, portions of CGD5, and EPA Regions I, II, III, and V. Includes CGD5 COTP Philadelphia and Baltimore zones, Minnesota, Michigan, Wisconsin, Illinois, Indiana, Ohio, New York, Vermont, New Hampshire, New Jersey, Connecticut, Rhode Island, Massachusetts, Maine, Virginia (less COTP Hampton Roads zone), West Virginia, Pennsylvania (less COTP Pittsburgh zone), Maryland, Delaware, and Washington, D.C.



## Division Contacts

<b>NPFC On-line:</b>	<a href="http://www.uscg.mil/npfc">www.uscg.mil/npfc</a>
<b>Claims and NRD Claims:</b>	(800) 280-7118 <a href="mailto:ClaimsInfo@ballston.uscg.mil">ClaimsInfo@ballston.uscg.mil</a>
<b>Case Management (General):</b>	(800) 358-2897
<b>Command Duty Officer Pager:</b>	(800) 759-7243 (PIN # 2073906)
<b>Vessel Certification:</b>	(202) 493-6780
<b>CERCLA Funding:</b>	(202) 493-6711
<b>External Coordination:</b>	(202) 493-6999 <a href="mailto:jbaker@ballston.uscg.mil">jbaker@ballston.uscg.mil</a>





National Pollution Funds Center  
U.S. Coast Guard  
4200 Wilson Blvd., Suite 1000  
Arlington, Virginia 22203-1804  
(202) 493-6999  
[www.uscg.mil/npfc](http://www.uscg.mil/npfc)



**Homeland  
Security**

U.S. Department of  
Homeland Security

**United States  
Coast Guard**

