

**BAN THƯ KÝ IMO VIỆT NAM  
VĂN PHÒNG IMO VIỆT NAM**

**CỘNG HOÀ XÃ HỘI CHỦ NGHĨA VIỆT NAM  
Độc lập – Tự do – Hạnh phúc**

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V/v: Hướng dẫn hợp nhất cho nhà  
cung cấp và người sử dụng dịch vụ  
tiếp nhận tại cảng liên quan đến Công  
ước MARPOL

Kính gửi:

- Vụ Môi trường (Bộ Giao thông vận tải)
- Các Thành viên Ban Thư ký IMO Việt Nam

Tổ chức Hàng hải Quốc tế (IMO) gửi các Quốc gia thành viên Thông tri số MEPC.1/Circ.834 ngày 15/4/2014 về “Hướng dẫn hợp nhất cho nhà cung cấp và người sử dụng dịch vụ tiếp nhận tại cảng” (kèm theo Phụ lục của Thông tri) liên quan đến thực hiện các phụ lục của Công ước MARPOL về việc tiếp nhận chất thải từ tàu tại cảng.

Nhận thấy sự cần thiết phải bàn bạc giải quyết dứt điểm một số bất cập đã tồn tại trong thời gian dài về việc tiếp nhận chất thải từ tàu theo công ước MARPOL; và cập nhật một số sửa đổi liên quan đến Công ước như phụ lục V MARPOL có hiệu lực ngày 01/01/2012; qui định vùng biển đặc biệt tại khu vực biển Baltic, biển Bắc Mỹ, biển Caribbean về quản lý phát thải theo phụ lục VI MARPOL, tại kỳ họp 65 của Ủy ban Bảo vệ Môi trường biển (MEPC-65) (tháng 4 năm 2013), đã thông qua Hướng dẫn hợp nhất thay thế các thông tri hướng dẫn trước đây là MEPC.1/Circ.671/Rev.1, MEPC.1/Circ.469/Rev.2, MEPC.1/Circ.644/Rev.1, MEPC.1/Circ.645/Rev.1 và MEPC.1/Circ.470/Rev.1.

Văn phòng IMO Việt Nam xin gửi nguyên bản Thông tri MEPC.1/Circ.834 để Quý cơ quan, Quý thành viên xử lý theo thẩm quyền./.

**Nơi nhận:**

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## **CONSOLIDATED GUIDANCE FOR PORT RECEPTION FACILITY PROVIDERS AND USERS**

1 In view of the need to tackle the long-standing problem of the inadequacy of port reception facilities, the Marine Environment Protection Committee (the Committee), having received valuable input from the Industry Port Reception Facilities Forum, adopted, at its fifty-fifth session (October 2006), the Action Plan on Tackling the Inadequacy of Port Reception Facilities and instructed the Sub-Committee on Flag State Implementation (FSI) to progress the Plan's work items.

2 The Guide to good practice for port reception facility providers and users was developed as one of the work items of the Action Plan as a practical users' guide for ships' crew who seek to deliver MARPOL residues/wastes ashore and for port reception facility providers who seek to provide timely and efficient port reception services to ships.

3 The Committee, at its fifty-ninth session (July 2009), considered and approved the Guide (MEPC.1/Circ.671).

4 The Committee, at its sixty-fifth session (May 2013), agreed to the recommendation made by the FSI Sub-Committee, at its twenty-first session (March 2013), to revise MEPC.1/Circ.671 by means of MEPC.1/Circ.671/Rev.1, containing the necessary consequential amendments following the entry into force of the revised MARPOL Annex V on 1 January 2013, and the designation of the Baltic Sea as a Special Area under MARPOL Annex IV and the designation of the North American and United States Caribbean Sea emission control areas under MARPOL Annex VI.

5 The Committee, at its sixty-sixth session (April 2014), approved the attached Consolidated guidance for port reception facility providers and users, consolidating in a single document the Guide to good practice for port reception facility providers and users (MEPC.1/Circ.671/Rev.1) and four other circulars related to port reception facilities (MEPC.1/Circ.469/Rev.2, MEPC.1/Circ.644/Rev.1, MEPC.1/Circ.645/Rev.1 and MEPC.1/Circ.470/Rev.1).

6 Member Governments and Parties to the MARPOL Convention are invited to bring the Guidance to the attention of all entities concerned. In particular, port States are invited to make the Guidance available at port reception facilities, and flag States are invited to make it available to shipowners and masters. An electronic copy of the Guidance can be downloaded from the GISIS website of the Organization\*.

7 This circular supersedes MEPC.1/Circ.469/Rev.2, MEPC.1/Circ.644/Rev.1, MEPC.1/Circ.645/Rev.1, MEPC.1/Circ.470/Rev.1 and MEPC.1/Circ.671/Rev.1.

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\* <http://gisis.imo.org> (click on Port Reception Facilities – note that new users will need to register first).



**ANNEX**

**CONSOLIDATED GUIDANCE FOR PORT RECEPTION FACILITY  
PROVIDERS AND USERS**

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## INTRODUCTION

1 The use and provision of Port Reception Facilities (PRFs) is fundamental to the overall success of the International Convention for the Prevention of Pollution from Ships (MARPOL) (hereafter the Convention) in its objective of reducing and ultimately eliminating intentional pollution of the marine environment by ships. Considerable efforts by Party States and the industry have resulted in an improvement in the availability and adequacy of PRFs.

2 However, recent work by the Organization suggests that there are still barriers to the efficient delivery of MARPOL residues/wastes ashore. One such barrier has been identified as the lack of clear, easy-to-use guidance that outlines how the shipping community and reception facility providers can best conduct their operations in order to comply with MARPOL and to facilitate efficient, environmentally responsible disposal of MARPOL residues/wastes.

3 This Consolidated Guidance is intended to be a practical users' guide for ships' crew who seek to deliver MARPOL residues/wastes ashore and for port reception facility providers who seek to provide timely, efficient port reception services to ships. It provides a basis for establishing best practice procedures, with an eye towards improving the integration of PRFs into a more comprehensive waste management scheme in which final disposal of MARPOL residues/wastes occurs in a manner that protects the environment, with due regard for the health and safety of workers and the general population. It is based on the fundamental requirements established in MARPOL and the guidance provided in the Organization's *Comprehensive Manual on Port Reception Facilities* (1999) and the *Guidelines for ensuring the adequacy of port waste reception facilities* (resolution MEPC.83(44)). Building on the Manual and the Guidelines, this Guidance suggests how modern environmental management systems and procedures can assist with the improvement of MARPOL residue/waste delivery ashore. Procedures recommended by the Organization include communication and reporting procedures and the use of standardized forms.

4 This Guidance is not intended to provide guidance to Party State authorities and Governments who wish to implement reception facilities under MARPOL. The Manual on Port Reception Facilities and the Guidelines for Ensuring Adequacy, as noted above and previously published by IMO, should be referred to for these purposes.

## TERMS USED IN THIS GUIDANCE

5 This Guidance has been written with the aim of enabling shipowners/operators and PRF operators to comply with the MARPOL Convention. As such, plain language has been used wherever possible. However, it is important that the terms used in this document be interpreted consistently and in the appropriate context. The following definitions set out some basic terminology in the context of this Guidance. For complete legal definitions, applicability and exceptions, reference should be made directly to MARPOL and its Annexes.

6 *Adequacy* as used in the MARPOL Annexes means that PRFs meet the needs of ships using the ports without causing undue delay. PRF operators and users may refer to the *Guidelines for ensuring the adequacy of port waste reception facilities* (resolution MEPC.83(44)), section 3, How to Achieve Adequacy, or section 2.3.1 of the *Comprehensive Manual on Port Reception Facilities* (1999), for further information. Section 3.2 of the Guidelines further states that "adequate facilities can be defined as those which: mariners use; fully meet the needs of the ships regularly using them; do not provide mariners with a disincentive to use them; and contribute to the improvement of the marine environment". Additionally, section 3.3 of the Guidelines specifies that the reception facilities must "... allow for the ultimate disposal of ships' waste to take place in an environmentally appropriate way".

7 *Discharge* is defined in MARPOL as any release howsoever caused from a ship and includes any escape, disposal, spilling, leaking, pumping, emitting or emptying. In this document, the term "discharge" refers generally to the types of discharges that are regulated under MARPOL.

8 *Garbage*, as defined in MARPOL Annex V, means all kinds of food wastes, domestic wastes and operational wastes, all plastics, cargo residues, incinerator ashes, cooking oil, fishing gear, and animal carcasses generated during the normal operation of the ship and liable to be disposed of continuously or periodically except those substances which are defined or listed in other Annexes to the Convention. Garbage does not include fresh fish and parts thereof generated as a result of fishing activities undertaken during the voyage, or as a result of aquaculture activities which involve the transport of fish including shellfish for placement in the aquaculture facility and the transport of harvested fish including shellfish from such facilities to shore for processing.

9 *MARPOL residues/wastes* is used throughout this document to refer collectively to all waste streams that are generated on board ships during normal operations and during cargo operations and are governed by the MARPOL Convention, including the following:

- .1 MARPOL Annex I: oil, oily waste, oily mixtures, oily bilge water, slops, sludge, oily tank washings, oily cargo residues, ballast water containing oily mixtures;
- .2 MARPOL Annex II: tank washings and cargo residues containing noxious liquid substances (NLS) as defined in MARPOL Annex II;
- .3 MARPOL Annex IV: sewage;
- .4 MARPOL Annex V: garbage as defined in MARPOL Annex V (see paragraph 8), including cargo residues not governed by Annex I or II (such as dry/bulk cargo residues) and cargo-associated waste (such as dunnage and packaging); and
- .5 MARPOL Annex VI: ozone depleting substances and exhaust gas cleaning residues.

**Note:** Although some Annex I and II residues are technically cargo residues (i.e. substances which remain for disposal after the loading or unloading of cargo), the term "cargo residues" has only been defined by IMO in the context of Annex V. MARPOL Annex V defines cargo residues as "the remnants of any cargo which are not covered by other Annexes to the present Convention and which remain on the deck or in holds following loading or unloading, including loading and unloading excess or spillage, whether in wet or dry condition or entrained in washwater but does not include cargo dust remaining on the deck after sweeping or dust on the external surfaces of the ship". In the context of Annex V, "cargo residues" refers to cargo residues that are not governed by Annex I or II (i.e. dry/bulk cargo residues). For complete definitions and exceptions, please refer to the Annexes.

10 Unless otherwise qualified, the terms "waste" and "residue" in this Guidance can be inferred to mean "MARPOL waste" and "MARPOL residues," i.e. waste streams that are generated on board ships and are governed by MARPOL.

11 *Quarantine waste* refers to waste that requires segregation and special handling due to its potential to spread diseases or plant and animal pests.

12 *Reception facility* refers to any fixed, floating or mobile facility capable of receiving MARPOL residues/wastes from ships and fit for that purpose.

## **LAYOUT OF GUIDANCE**

13 The Guidance is developed for use by shipmasters/owners/operators/agents and port authorities/port reception facility operators, to provide a summary of the main considerations which should be taken into account when delivering and receiving MARPOL residues/wastes. It begins with a basic overview of the basis for the use of PRFs. The remainder of the document is divided into two sections: one which outlines good practices for ships and the other focusing on good practices for reception facilities. Sources of useful supplementary information are referenced at the end of the document. Additionally, in the appendices contained herein, standardized formats are provided: the Format for Reporting Alleged Inadequacies of Port Reception Facilities; an Advance Notification Form (ANF) for shipmasters/owners/operators to notify port operators of their MARPOL residue/waste disposal needs; and a recommended Waste Delivery Receipt (WDR) format for PRF operators. Appendix 4 contains an overview of the waste reception facility reporting requirements for both port States and flag States, the full and effective implementation of which is of paramount importance for the identification and implementation of the necessary actions to be taken towards the provision of adequate reception facilities in many ports worldwide.

## **CORPORATE AND SOCIAL RESPONSIBILITY**

14 Since the adoption of MARPOL, global environmental and societal awareness has grown and developed. This development has introduced new concepts on how to manage operations in an environmentally sensitive and responsible way. Many shipping companies and port authorities have implemented environmental management systems which ensure that their operations are conducted in an environmentally sound manner. Frequently, environmental objectives are set in order to facilitate the ongoing improvement, year on year, in terms of a company's environmental impact. Coupled with this is a growing desire to incorporate the principles of sustainability alongside that of corporate and social responsibility.

15 The Guidance therefore brings into consideration the need for shipping companies and reception facility providers to apply the principles of corporate and social responsibility; to fulfil the obligations relating to all aspects of a company's operation as frequently found within company environmental management systems; and to realize the desire of modern companies to continually improve their environmental performance.

## **OBLIGATIONS OF SHIPS AND OF PORT OPERATORS**

16 Keeping the seas and oceans clean should be seen as the overriding obligation for the use and provision of PRFs. MARPOL includes regulations aimed at preventing and minimizing pollution from ships – both accidental pollution and that from routine operations. The basis for providing and using PRFs is incorporated in the Annexes of MARPOL and implementing laws and regulations of States Parties. The following summarizes the basic obligations under MARPOL and includes other considerations that ship and port operators should take into account. For specific legal requirements, users of this Guidance should refer directly to the MARPOL Protocols and Annexes or implementing regulations of individual States Party to the Convention.

17 To complement residue/waste minimization and management practices on board the ship (see section 6), the shipping industry needs access to adequate PRFs to enable compliance with the provisions of the Convention. Therefore, MARPOL places an obligation on States Parties to provide adequate reception facilities in their ports. The following regulations stipulate this requirement for each type of MARPOL residue/waste identified:

- .1 regulation 38 of Annex I;
- .2 regulation 18 of Annex II;
- .3 regulations 12 and 12*bis* of Annex IV;
- .4 regulation 8 of Annex V; and
- .5 regulation 17 of Annex VI.

18 In addition to the basic rules in the MARPOL Annexes, ships' operators should be aware that individual port States have implemented national and regional requirements which may mandate that ships discharge certain types of MARPOL residues/wastes to port reception facilities. Individual port States may also specify the means of disposal to meet quarantine and other regulatory requirements. Operators should therefore ensure they have a complete and up-to-date overview of national and regional requirements relating to PRFs. Such information may be gained directly from the port State authorities, or via agents in the port, or trade associations representing the shipping and/or port industries.

19 General obligations under each of the regulations listed above also state that Parties should communicate information on their PRFs to the Organization. To this end, the Organization has established the Port Reception Facilities Database (PRFD) within its Global Integrated Ship Information System (GISIS). The PRFD relies on up-to-date information being provided by port States. Port State authorities are encouraged to regularly seek accurate and up-to-date information from reception facility operators and port authorities and to maintain entries on the PRFD. Reception facility operators and port authorities should also be proactive in communicating updated information to port State authorities. This two-way communication will facilitate the dissemination of PRF information to the shipping industry.

20 Shipmasters/owners/operators can use the PRFD on the GISIS website to obtain information on specific port reception facilities. PRF operators are encouraged to maintain and update on regular basis current and accurate information regarding their facilities and to provide such information to authorities so as to ensure the accuracy of information on the PRFD and that current information is available to shipmasters and shipowners/operators. Ships' agents, acting on behalf of owners/operators may also access the public GISIS website for PRF information.

### **Special Areas and Emission Control Areas**

21 Of particular importance in the ultimate elimination of marine pollution from ships are the more restrictive requirements in force in Special Areas and Emission Control Areas (ECAs) as defined in MARPOL. The following is a list of Special Areas/ECAs to date as adopted within MARPOL (an up-to-date list can also be found at: <http://www.imo.org> (click on Marine Environment, then Special Areas)):

#### **Annex I: Oil**

Mediterranean Sea  
Baltic Sea  
Black Sea  
Red Sea (see paragraph 22)  
"Gulfs" Area  
Gulf of Aden (see paragraph 22)  
Antarctic Area  
North West European Waters  
Oman Area of the Arabian Sea (see paragraph 22)  
Southern South African Waters



## **Annex II: Noxious Liquid Substances**

Antarctic Area (south of latitude 60 degrees South), regulation 13.8 of MARPOL Annex II

## **Annex IV: Sewage**

Baltic Sea (see paragraph 22)

## **Annex V: Garbage**

Mediterranean Sea

Baltic Sea

Black Sea (see paragraph 22)

Red Sea (see paragraph 22)

"Gulfs" Area

North Sea

Antarctic Area (south of latitude 60 degrees South)

Wider Caribbean region including the Gulf of Mexico and the Caribbean Sea  
(see paragraph 22)

## **Annex VI: Air Pollution – Emission Control Areas (ECA)**

North Sea

Baltic Sea area

North American area

United States Caribbean Sea area (see paragraph 24)

**Note:** Requirements may vary for each special area; therefore mariners should consult the relevant MARPOL Annex or IMO circular for specific details.

22 The Special Area requirements for several of these areas have not taken effect because of lack of notifications from MARPOL Parties whose coastlines border the relevant Special Areas on the existence of adequate reception facilities (regulations 38.6 of MARPOL Annex I, 13.2 of MARPOL Annex IV and 8.2 of MARPOL Annex V). While this remains the case, the shipping and port industry should endeavour to meet the requirements as if the Special Area status of those areas had taken effect as per the spirit of MARPOL.

23 MARPOL Annex II contains more stringent discharge restrictions specific to certain geographical areas (listed along with information relating to Special Areas on the IMO website). In the Antarctic Area, no noxious liquid substances may be discharged (Annex II, regulation 13.8.2).

24 MARPOL Annex VI provides for Emission Control Areas (ECA) in the North Sea and Baltic Sea Areas where SO<sub>x</sub> emissions must be restricted through use of lower sulphur fuels or exhaust gas cleaning technologies (Annex VI, regulation 14.4). The revision of Annex VI, which came into force on 1 July 2010, provides for even stricter controls for SO<sub>x</sub> within ECAs and allows for other areas to be designated as ECAs for SO<sub>x</sub>, NO<sub>x</sub> and particulate matter. The designated North American area took effect on 1 August 2012 and the designated United States Caribbean Sea area took effect on 1 January 2014.

25 Shipowners/operators and port operators should be conscious that these restrictions further emphasize the importance of the general obligations to provide adequate reception facilities for MARPOL residues/wastes. In all cases when shipping companies encounter inadequate reception facilities, those allegations should be reported accurately and in a timely

manner via the ship's flag State to the Organization and to the appropriate port State authorities or port operators, using the suggested format for reporting (see appendix 1).

## **GOOD PRACTICES FOR SHIPMASTERS, SHIPOWNERS AND OPERATORS**

### **Considerations prior to delivery of MARPOL residues/wastes ashore**

26 Efficient delivery of MARPOL residues/wastes ashore relies on advance planning. The following sections outline ways in which considerations for delivery of MARPOL residues/wastes ashore can be integrated into a ship's operating procedures in order to minimize delays and unexpected costs and improve environmental management practices. Good waste management strategies should be incorporated into voyage planning.

### **Logistical and commercial arrangements**

27 Consideration should be given to the logistical and commercial arrangements which may be specified in shipping contracts (charter party agreements) between ship operators and cargo owners. Such arrangements should take into account the need to discharge MARPOL residues/wastes ashore to reception facilities and should not compromise, but rather facilitate, the ship operator's ability to comply with obligations under MARPOL. Examples of logistical and commercial considerations might include allowing sufficient time in port to complete transfer of MARPOL residues/wastes and ensuring that disposal costs are accounted for in charter agreements when appropriate. Such considerations are especially important when cargo tank pre-washes are required for certain Annex II residues and when charter agreements specify tank or cargo hold cleaning after discharging cargoes.

### **Minimization and management of ship-generated residue/waste**

28 Although not a direct requirement of MARPOL, minimizing the residue/waste generated on board ships represents an environmental best practice, and should be considered in a ship's overall waste management practices.

29 The most effective way of reducing ship-generated residue/waste is to reduce materials that become waste at the source. Efforts should be made to minimize packaging from ship stores, for example, by establishing an agreement with the supplier to accept the return of the packaging upon delivery, or to reduce the amount of packaging.

30 Developing an agreement with suppliers and manufacturers is not only important for more general waste categories such as plastics, but essential for other maritime specific wastes such as time expired pyrotechnics; used ropes, tails and wires; time expired medicine; and batteries. The supplier and/or manufacturer should be able to provide the specialist facilities for treatment or disposal of these products and materials.

31 Onboard waste management will also assist in minimizing ship-generated waste. Ship operators and shipbuilders should consider further the design of new ships to enhance waste treatment on board and consider introducing operational measures which can improve efficiency for existing ships. Further information on shipboard garbage handling and storage procedures and minimizing the amount of potential garbage is provided in the *2012 Guidelines for the Implementation of MARPOL Annex V* (resolution MEPC.219(63)). In addition, an ISO standard for the management and handling of shipboard garbage (ISO 21070:2011) has been developed. For ships of 100 gross tonnage and above, and ships which are certified to carry 15 persons or more, information with regard to onboard management of garbage will also be included in the Garbage Management Plan (*2012 Guidelines for the Development of Garbage Management Plans* (resolution MEPC.220(63))).

32 In relation to the minimization of oily waste, an increased familiarity with the ship's engine-room treatment systems coupled with the crew's training in oily waste management and recording will assist in reducing the amount of waste produced and improve the overall on-board management of oily waste. The use of the Integrated Bilge Water Treatment System (IBTS) will facilitate segregation of oily waste, allowing for the storage of oil sludge, oil-water mixtures and clean water separately.

33 Ships' crew need to understand the correct use of, and entries to, the Oil Record Book, Cargo Record Book and the Garbage Record Book. This will help to ensure that any management system implemented can be easily monitored and audited. Industry associations such as INTERTANKO and ICS may provide useful guidance on the correct use of such record books.

34 If space permits, onboard waste management plans should take into account the possibility of being able to recycle certain garbage types. The segregation of garbage according to the requirements of MARPOL Annex V (e.g. plastics; food wastes; domestic wastes (e.g. paper products, rags, glass, metal, bottles, crockery, etc.); cooking oil; incinerator ashes; operational wastes; cargo residues; animal carcass(es); fishing gear) should also allow for the delivery of garbage in certain recyclable categories.

35 To facilitate the landing of recyclable residues/waste, ship operators should consider establishing contracts with facilities in ports that are visited on a regular basis. This will fulfil both the need to use a reputable supplier as per most environmental management systems and facilitate the discharge of segregated waste ashore on each port visit. Where appropriate reception facilities for segregated and/or recyclable wastes are not provided in a port, shipowners/operators are encouraged to request that such facilities are developed in conjunction with the recycling capability of the locality or region.

### **Communication and advance notification**

36 Individual ports may need to comply with varying local requirements for specialized handling (such as quarantine) of certain types of MARPOL waste, such as animal, plant and food wastes generated on board the ship. Therefore, ship operators should check with local agents, port authorities, harbour masters or reception facility providers for port-specific requirements prior to arrival in order to plan for and accommodate any special handling requirements for that particular port, including any additional segregation that may need to take place on board well in advance of arrival. This information should be incorporated into the company's environmental management plan and should be taken into consideration in voyage planning.

37 As noted in paragraph 19, IMO's PRF Database, accessible online through the GISIS website, can be a good source of information about the reception facilities available at ports worldwide. Users must first register by creating a username and password.

38 In some ports, for logistical reasons, the providers of port reception facilities may require advance notification from the ship of its intention to use the facilities. Further information on this requirement is provided in section 4 of the *Guidelines for ensuring the adequacy of port waste reception facilities* (resolution MEPC.83(44)). Providing advance notification to the reception facility of the type and quantity of MARPOL residues/wastes on board and the type and quantity intended to be delivered will greatly assist the reception facility operator in receiving the materials while minimizing any delay to the vessel's normal port operation. General recommended practice is to provide at least 24 hours' notice, although specific requirements may vary by reception facility. If a ship visits a port on a regular basis, a standing arrangement with the PRF may prove to be most efficient. Shipmasters are recommended to use the standardized Advance Notification Form as developed by IMO (appendix 2). Port authorities, agents and facility operators are urged to accept the standardized format; however, some operators may require an alternate form.

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## Considerations during MARPOL residues/wastes delivery

39 During delivery of MARPOL residues/wastes, appropriate procedures as drawn up in the ship's Safety Management System (ISM Code) should be followed.

40 Following delivery, the master should request a Waste Delivery Receipt to document the type and quantity of MARPOL residues/wastes actually received by the facility. IMO has standardized the format of this document to facilitate its use and application and in order to provide uniformity of records throughout the world (appendix 3). Corresponding records, receipts or certificates of the delivery should be kept in the Garbage Record Book (for a minimum of two years) and the Oil Record Book (part I for all ship types and part II for oil tankers) and the Cargo Record Book for chemical tankers.

41 Ship operators play a critical role in assisting port States with their obligation to provide adequate PRFs for ships. Since the possibility for improving reception facilities is dependent, at least partly, on the receipt of adequate information about alleged inadequacies, shipping companies should be encouraged to include the provisions for reporting alleged inadequacies of port reception facilities in their procedures for shipboard operations required under section 7 of the ISM Code. As part of the ship's Safety Management System, the master should be required to complete a report on encountering an inadequate PRF. The format for such a report is provided in appendix 1, which is also available through the Port Reception Facility section of the GISIS website. Completed reports should be forwarded to the flag Administration and, if possible, to the Authorities of the port State.

42 Flag States are requested to distribute the format in appendix 1 to ships and urge masters to use it to report alleged inadequacies of port reception facilities to the Administration of the flag State and, if possible, to the Authorities of the port State. Flag States are also requested to notify IMO, for transmission to the Parties concerned, of any case where facilities are alleged to be inadequate, and to inform the port State of the alleged inadequacies.

43 Notification should be made as soon as possible following the completion of the alleged inadequacies reporting format and should include a copy of the master's report, together with any supporting documentation.

44 Port States should ensure the provision of proper arrangements to consider and respond appropriately and effectively to reports of inadequacies, informing IMO and the reporting flag State of the outcome of their investigation.

45 The alleged inadequacy report together with the follow-up action received from the port State is published on the IMO's PRF Database.

## GOOD PRACTICES FOR PORT RECEPTION FACILITY OPERATORS

### Communication

46 In order to provide efficient PRF services that meet the needs of ships calling at a port without causing undue delay, port authorities should prepare a Port Waste Management Plan and should ensure that relevant information about the reception services available and associated costs are communicated to ship operators well in advance of the ship's arrival.

47 It is useful for ship operating companies to be able to plan the delivery of MARPOL residues/wastes well in advance of the ship's next port call, especially if the port has more stringent requirements that might necessitate additional segregation of waste on board prior to arrival, such as quarantine segregation. As noted above, to facilitate ships' planning, port authorities or PRF providers are urged to communicate to their country focal points accurate and

up-to-date information about the reception facilities available at the port. This information can then be communicated to the shipping industry via IMO's PRF Database, accessible through the GISIS website.

48 At a minimum, the information uploaded and made available on the PRFD should include type of facilities, capacity of the facilities and the contact point. Additional information that would facilitate ships' planning might include contact details for the port authority or harbour master, a link to the port website, a link to the Port Waste Management Plan, and information relating to fees/cost to use facilities. A good example is the information provided in material published by the Port of Rotterdam (available at: [www.portofrotterdam.com](http://www.portofrotterdam.com)). Such additional information might be downloaded electronically as required, and could provide further instruction to ships regarding procedures for using the facilities (including, for example, specific local requirements for quarantine waste).

49 Port authorities and reception facility providers should request shipmasters to provide advance notice of MARPOL residues/wastes delivery in order to ensure that the necessary receptacles and vehicles are prepared for receipt of the material. To facilitate the notification process, port authorities and reception facilities should accept the standardized Advance Notification Form (appendix 2). Use of the standardized form will allow the shipmaster and operator to prepare in advance a system for generating such forms and avoid having to complete a different form for each port or facility visited.

### **Port reception practices**

50 Although legal requirements for PRFs will vary depending on the port State's implementing legislation, good practices for PRFs should include procedures that facilitate better integration with shipboard and landside residue/waste management practices. Such integration and cooperation with inland waste disposal operations should allow ultimate disposal of ship-generated waste to take place in an environmentally-appropriate manner.

51 The reception facility should be adequately prepared to receive Annex V residues/wastes as segregated on board and should supply suitable receptacles to facilitate the landing of segregated waste for recycling. Procedures for reception of segregated residue/waste should parallel the standards for the Management and Handling of Shipboard Garbage as specified in ISO 21070. PRF operators and port authorities within State Parties should work with national and local government officials, regional administrators, commercial interests, and local waste disposal infrastructure managers to develop landside waste disposal strategies, including waste segregation, that encourage reduction, reuse and recycling of ship-generated wastes landed ashore at PRFs. Reception facility providers should seek out resale/recycling options for reusable/recyclable waste when not prohibited by local laws.

52 In the case of oil, noxious liquid substances and other dangerous goods or harmful or hazardous substances, port and reception facility operators should adhere to the guidance provided in relevant publications such as the International Safety Guide for Oil Tankers and Terminals (ISGOTT) or the International Maritime Dangerous Goods (IMDG) Code.

53 The reception facility should also be adequately prepared to receive MARPOL residues/wastes in accordance with any local quarantine requirements, for example by providing suitably sealed receptacles and ensuring that MARPOL residues/wastes can be transported and disposed of in accordance with regulations. Port State authorities should also be aware of the need for appropriate treatment and disposal sites and should seek to ensure that these are available through public or private arrangements.

54 The necessary connection arrangements for the discharge of machinery bilge residues and sludge residues are provided for in regulation 13 of Annex I to MARPOL. These standard dimensions for flanges and discharge connections will apply to all ships and should therefore allow the reception facility to standardize its own connection pipes accordingly.

55 Following delivery, the reception facility should provide the master with a Waste Delivery Receipt. IMO has standardized the format of this document to facilitate its use and application. The Waste Delivery Receipt format (WDR) is provided in appendix 3.

56 Although the port structure in a State Party may or may not accommodate cost/pricing schemes and/or other incentives for MARPOL residues/wastes delivery ashore, reception facility services should be provided at a reasonable cost. The IMO *Guidelines for ensuring the adequacy of port waste reception facilities* (section 3.2) define "adequate" facilities as those which "do not provide mariners with a disincentive to use them", and further suggest that unreasonably high costs can deter use of PRFs (Guidelines, section 5.2).

### **SOURCES OF ADDITIONAL INFORMATION**

Global Integrated Shipping Information System (GISIS) website: <http://gisis.imo.org/Public/>

MARPOL Consolidated Edition – includes all Articles, Protocols, Annexes, and Unified Interpretations; available at: [http://www.imo.org/Publications/mainframe.asp?topic\\_id=424](http://www.imo.org/Publications/mainframe.asp?topic_id=424) (product # ID520E)

Comprehensive Manual on Port Reception Facilities (1999) – available at: [http://www.imo.org/Publications/mainframe.asp?topic\\_id=424](http://www.imo.org/Publications/mainframe.asp?topic_id=424) (product # IA597E)

Guidelines for the Implementation of MARPOL Annex V (2012) – available at [http://www.imo.org/Publications/mainframe.asp?topic\\_id=424](http://www.imo.org/Publications/mainframe.asp?topic_id=424) (product # IB656E)

Guidelines for ensuring the adequacy of port waste reception facilities (resolution MEPC.83(44)) – available at [http://www.imo.org/Publications/mainframe.asp?topic\\_id=424](http://www.imo.org/Publications/mainframe.asp?topic_id=424) (product # I598E)

## APPENDIX 1

### FORMAT FOR REPORTING ALLEGED INADEQUACIES OF PORT RECEPTION FACILITIES<sup>1</sup>

The master of a ship having encountered difficulties in discharging waste to reception facilities should forward the information below, together with any supporting documentation, to the Administration of the flag State and, if possible, to the competent Authorities in the port State. The flag State shall notify IMO and the port State of the occurrence. The port State should consider the report and respond appropriately informing IMO and the reporting flag State of the outcome of its investigation.

#### 1 SHIP'S PARTICULARS

- 1.1 Name of ship: \_\_\_\_\_
- 1.2 Owner or operator: \_\_\_\_\_
- 1.3 Distinctive number or letters: \_\_\_\_\_
- 1.4 IMO Number<sup>2</sup>: \_\_\_\_\_
- 1.5 Gross tonnage: \_\_\_\_\_
- 1.6 Port of registry: \_\_\_\_\_
- 1.7 Flag State<sup>3</sup>: \_\_\_\_\_
- 1.8 Type of ship:
- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Oil tanker       | <input type="checkbox"/> Chemical tanker | <input type="checkbox"/> Bulk carrier          |
| <input type="checkbox"/> Other cargo ship | <input type="checkbox"/> Passenger ship  | <input type="checkbox"/> Other (specify) _____ |

#### 2 PORT PARTICULARS

- 2.1 Country: \_\_\_\_\_
- 2.2 Name of port or area: \_\_\_\_\_
- 2.3 Location/terminal name: \_\_\_\_\_  
(e.g. berth/terminal/jetty)
- 2.4 Name of company operating the reception facility (if applicable): \_\_\_\_\_
- 2.5 Type of port operation:
- |  |                                       |                                   |
|--|---------------------------------------|-----------------------------------|
| <input type="checkbox"/> Unloading port        | <input type="checkbox"/> Loading port | <input type="checkbox"/> Shipyard |
| <input type="checkbox"/> Other (specify) _____ |                                       |                                   |
- 2.6 Date of arrival: \_\_\_/\_\_\_/\_\_\_ (dd/mm/yyyy)
- 2.7 Date of occurrence: \_\_\_/\_\_\_/\_\_\_ (dd/mm/yyyy)
- 2.8 Date of departure: \_\_\_/\_\_\_/\_\_\_ (dd/mm/yyyy)

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<sup>1</sup> This format was approved by MEPC 53.

<sup>2</sup> In accordance with the *IMO ship identification number scheme*, adopted by the Organization by Assembly resolution A.1078(28).

<sup>3</sup> The name of the State whose flag the ship is entitled to fly.

**3 INADEQUACY OF FACILITIES**

3.1 Type and amount of waste for which the port reception facility was inadequate and nature of problems encountered

Type of waste	Amount for discharge (m <sup>3</sup> )	Amount <u>not</u> accepted (m <sup>3</sup> )	<b>Problems encountered</b> Indicate the problems encountered by using one or more of the following code letters, as appropriate. A No facility available B Undue delay C Use of facility technically not possible D Inconvenient location E Vessel had to shift berth involving delay/cost F Unreasonable charges for use of facilities G Other (please specify in paragraph 3.2)
<b>MARPOL Annex I-related</b>			
Type of oily waste:			
Oily bilge water			
Oily residues (sludge)			
Oily tank washings (slops)			
Dirty ballast water			
Scale and sludge from tank cleaning			
Other (please specify .....)			
<b>MARPOL Annex II-related</b>			
Category of NLS <sup>4</sup> residue/water mixture for discharge to facility from tank washings:			
Category X substance			
Category Y substance			
Category Z substance			
<b>MARPOL Annex IV-related</b>			
Sewage			
<b>MARPOL Annex V-related</b>			
Type of garbage:			
A. Plastics			
B. Food wastes			
C. Domestic wastes (e.g. paper products, rags, glass, metal, bottles, crockery, etc.)			
D. Cooking oil			
E. Incinerator ashes			
F. Operational wastes			
G. Cargo residues			
H. Animal carcass(es)			
I. Fishing gear			
<b>MARPOL Annex VI-related</b>			
Ozone-depleting substances and equipment containing such substances			
Exhaust gas-cleaning residues			

<sup>4</sup> Indicate, in paragraph 3.2, the proper shipping name of the NLS involved and whether the substance is designated as "solidifying" or "high viscosity" as per MARPOL Annex II, regulation 1, paragraphs 15.1 and 17.1 respectively.



3.2 Additional information with regard to the problems identified in the above table.

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3.3 Did you discuss these problems or report them to the port reception facility?

Yes             No

If Yes, with whom (please specify)

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If Yes, what was the response of the port reception facility to your concerns?

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3.4 Did you give prior notification (in accordance with relevant port requirements) about the vessel's requirements for reception facilities?

Yes             No             Not applicable

If Yes, did you receive confirmation on the availability of reception facilities on arrival?

Yes             No

**4 ADDITIONAL REMARKS/COMMENTS**

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Master's signature

Date: \_\_/\_\_/\_\_\_\_ (dd/mm/yyyy)

**APPENDIX 2**

**STANDARD FORMAT OF THE ADVANCE NOTIFICATION FORM FOR WASTE DELIVERY TO PORT RECEPTION FACILITIES**

**Notification of the Delivery of Waste to:** ..... (enter name of port or terminal)

*The master of a ship should forward the information below to the designated authority at least 24 hours in advance of arrival or upon departure of the previous port if the voyage is less than 24 hours.*

*This form shall be retained on board the vessel along with the appropriate Oil RB, Cargo RB or Garbage RB.*

**DELIVERY FROM SHIPS (ANF)**

**1. SHIP PARTICULARS**

1.1 Name of ship:	1.5 Owner or operator:
1.2 IMO number:	1.6 Distinctive number or letters:
1.3 Gross tonnage:	1.7 Flag State:
1.4 Type of ship: <input type="checkbox"/> Oil tanker <input type="checkbox"/> Chemical tanker <input type="checkbox"/> Bulk carrier <input type="checkbox"/> Container <input type="checkbox"/> Other cargo ship <input type="checkbox"/> Passenger ship <input type="checkbox"/> Ro-ro <input type="checkbox"/> Other (specify)	

**2. PORT AND VOYAGE PARTICULARS**

2.1 Location/Terminal name and POC:	2.6 Last Port where waste was delivered:
2.2 Arrival Date and Time:	2.7 Date of Last Delivery:
2.3 Departure Date and Time:	2.8 Next Port of Delivery (if known):
2.4 Last Port and Country:	2.9 Person submitting this form is (if other than the master):
2.5 Next Port and Country (if known):	

**3. TYPE AND AMOUNT OF WASTE FOR DISCHARGE TO FACILITY**

MARPOL Annex I – Oil	Quantity (m <sup>3</sup> )	MARPOL Annex V – Garbage	Quantity (m <sup>3</sup> )
Oily bilge water		A. Plastics	
Oily residues (sludge)		B. Food wastes	
Oily tank washings		C. Domestic wastes (e.g. paper products, rags, glass, metal, bottles, crockery, etc.)	
Dirty ballast water		D. Cooking oil	
Scale and sludge from tank cleaning		E. Incinerator ashes	
Other (please specify)		F. Operational wastes	
<b>MARPOL Annex II – NLS</b>	<b>Quantity (m<sup>3</sup>)/Name<sup>1</sup></b>	G. Cargo residues <sup>2</sup>	
Category X substance		H. Animal carcass(es)	
Category Y substance		I. Fishing gear	
Category Z substance		<b>MARPOL Annex VI – Air pollution</b>	<b>Quantity (m<sup>3</sup>)</b>
OS – other substances		Ozone-depleting substances and equipment containing such substances	
<b>MARPOL Annex IV – Sewage</b>	<b>Quantity (m<sup>3</sup>)</b>	Exhaust gas-cleaning residues	

<sup>1</sup> Indicate the proper shipping name of the NLS involved.

<sup>2</sup> Indicate the proper shipping name of the dry cargo.

Name of ship:	IMO Number:
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Please state below the approximate amount of waste and residues remaining on board and the percentage of maximum storage capacity. If delivering all waste on board at this port please strike through this table and tick the box below. If delivering some or no waste, please complete all columns.

I confirm that I am delivering all the waste held on board this vessel (as shown on page 1) at this port

Type	Maximum dedicated storage capacity (m <sup>3</sup> )	Amount of waste retained on board (m <sup>3</sup> )	Port at which remaining waste will be delivered (if known)	Estimate amount of waste to be generated between notification and next port of call (m <sup>3</sup> )
<b>MARPOL Annex I – Oil</b>				
Oily bilge water				
Oily residues (sludges)				
Oily tank washings				
Dirty ballast water				
Scale and sludge from tank cleaning				
Other (please specify)				
<b>MARPOL Annex II – NLS<sup>3</sup></b>				
Category X substance				
Category Y substance				
Category Z substance				
OS – other substances				
<b>MARPOL Annex IV – Sewage</b>				
Sewage				
<b>MARPOL Annex V – Garbage</b>				
A. Plastics				
B. Food wastes				
C. Domestic wastes (e.g. paper products, rags, glass, metal, bottles, crockery, etc.)				
D. Cooking oil				
E. Incinerator ashes				
F. Operational wastes				
G. Cargo residues <sup>4</sup>				
H. Animal carcass(es)				
I. Fishing gear				
<b>MARPOL Annex VI – Air pollution</b>				
Ozone-depleting substances and equipment containing such substances				
Exhaust gas-cleaning residues				

Date: ..... Name and Position: .....

Time: ..... Signature: .....

<sup>3</sup> Indicate the proper shipping name of the NLS involved.

<sup>4</sup> Indicate the proper shipping name of the dry cargo.

**APPENDIX 3**

**STANDARD FORMAT FOR THE WASTE DELIVERY RECEIPT**

*The designated representative of the reception facility provider should provide the following form to the master of a ship that has just delivered waste.*

*This form should be retained on board the vessel along with the appropriate Oil RB, Cargo RB or Garbage RB.*

**1. RECEPTION FACILITY AND PORT PARTICULARS**

1.1 Location/Terminal name:	
1.2 Reception facility provider(s)	
1.3 Treatment facility provider(s) – if different from above:	
1.4 Waste Discharge Date and Time from:	to

**2. SHIP PARTICULARS**

2.1 Name of ship:	2.5 Owner or operator:
2.2 IMO number:	2.6 Distinctive number or letters:
2.3 Gross tonnage:	2.7 Flag State:
2.4 Type of ship: <input type="checkbox"/> Oil tanker <input type="checkbox"/> Chemical tanker <input type="checkbox"/> Bulk carrier <input type="checkbox"/> Container <input type="checkbox"/> Other cargo ship <input type="checkbox"/> Passenger ship <input type="checkbox"/> Ro-ro <input type="checkbox"/> Other (specify)	

**3. TYPE AND AMOUNT OF WASTE RECEIVED**

MARPOL Annex I – Oil	Quantity (m <sup>3</sup> )	MARPOL Annex V – Garbage	Quantity (m <sup>3</sup> )
Oily bilge water		A. Plastics	
Oily residues (sludge)		B. Food wastes	
Oily tank washings		C. Domestic wastes (e.g. paper products, rags, glass, metal, bottles, crockery, etc.)	
Dirty ballast water		D. Cooking oil	
Scale and sludge from tank cleaning		E. Incinerator ashes	
Other (please specify)		F. Operational wastes	
<b>MARPOL Annex II – NLS</b>	<b>Quantity (m<sup>3</sup>)/Name<sup>5</sup></b>	G. Cargo residues <sup>6</sup>	
Category X substance		H. Animal carcass(es)	
Category Y substance		I. Fishing gear	
Category Z substance		<b>MARPOL Annex VI – related</b>	<b>Quantity (m<sup>3</sup>)</b>
OS – other substance		Ozone-depleting substances and equipment containing such substances	
<b>MARPOL Annex IV – Sewage</b>	<b>Quantity (m<sup>3</sup>)</b>	Exhaust gas-cleaning residues	

On behalf of the port facility I confirm that the above wastes were delivered.

Signature: ..... Full Name and Company Stamp: .....

<sup>5</sup> Indicate the proper shipping name of the NLS involved.

<sup>6</sup> Indicate the proper shipping name of the dry cargo.

**APPENDIX 4**

**WASTE RECEPTION FACILITY REPORTING REQUIREMENTS**

**Table 1: Waste reception facility reporting requirements for port States**

	<b>Reporting requirements</b>	<b>Reference</b>
Reporting on the availability of reception facilities	The port State is required to communicate to the Organization a list of reception facilities in its ports including their location, capacity, available facilities and other characteristics.	Article 11(1)(d) of MARPOL
	The port State is required to upload information on new reception facilities on the Port Reception Facilities Database (GISIS) and to maintain and update the required information continuously.	Port Reception Facilities Database (PRFD) as a module of the Global Integrated Shipping Information System (GISIS); see MEPC 53/24, paragraph 9.6
Reporting on alleged inadequacies of reception facilities	The port State should ensure the provision of proper arrangements to consider and respond appropriately and effectively to reports of inadequacies, informing IMO and the reporting flag State of the outcome of their investigation.	Resolution MEPC.83(44), annex, paragraph 10.3; MEPC.1/Circ.834, paragraph 44
Reporting on the assessment of the port reception facilities	The port State is encouraged to make use of the assessment form appended to the <i>Guidelines for ensuring the adequacy of port waste reception facilities</i> , to conduct regular assessments of waste reception facilities in its ports and advise IMO of the outcome of such assessments, including any inadequacies of port reception facilities, as well as any technical cooperation assistance that may be needed to address those inadequacies.	Resolution MEPC.83(44) <i>Guidelines for ensuring the adequacy of port waste reception facilities</i>
Consulting with IMO on regional arrangements for port reception facilities	Small Island Developing States participating in a regional arrangement shall consult with IMO for circulation to the MARPOL Parties: (1) how the Regional Reception Facilities Plan takes into account the Guidelines; (2) particulars of the identified Regional Ships Waste Reception Centres; and (3) particulars of those ports with only limited facilities.	Reg. 38(3bis) and 38(4bis) of Annex I; Reg. 18(2bis) of Annex II; Reg. 12(1bis) of Annex IV; Reg. 8(2bis) of Annex V; and Reg. 17(1bis) of Annex VI; <i>2012 Guidelines for the Development of a Regional Reception Facilities Plan</i> (resolution MEPC.221(63))

**Table 2: Waste reception facility reporting requirements for flag States**

	Reporting requirements	Reference
Reporting on alleged inadequacies of reception facilities	The flag State is requested to distribute the format for reporting alleged inadequacies of port reception facilities, as set out in appendix 1 of MEPC.1/Circ.834, to ships and urge Masters to use this format to report alleged inadequacies of port reception facilities to the Administration of the flag State and, if possible, to the authorities of the port State.	MEPC.1/Circ.834, paragraph 42
	The flag State is required to notify IMO, for transmission to the Parties concerned, of any case where facilities are alleged to be inadequate.	Reg. 38(8) of Annex I; Reg. 18(5) of Annex II; Reg. 12(2) of Annex IV; Reg. 8(3) of Annex V; and Reg. 17(3) of Annex VI; resolution MEPC.83(44), annex, paragraph 8.3; MEPC.1/Circ.834, paragraph 42
	The flag State shall notify the port State of the occurrence of the alleged inadequacy of port reception facilities.	MEPC.1/Circ.834, paragraph 42; resolution MEPC.83(44), annex, paragraph 8.3
	Notification shall be made as soon as possible following completion of the alleged inadequacies reporting form (MEPC.1/Circ.834, appendix 1) and should include a copy of the master's report, together with any supporting documentation.	Resolution MEPC.83(44), annex, paragraph 8.3.1; MEPC.1/Circ.834, paragraph 43