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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 wastes/residues 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 to good practice for port reception facility providers and users* (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, including the necessary consequential amendments following the entry into force of the revised MARPOL Annex V on 1 January 2013; 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 *Consolidated Guidance for port reception facility providers and users* (MEPC.1/Circ.834), 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 The Committee, at its seventieth session (November 2016), having adopted by resolution MEPC.277(70), amendments to MARPOL Annex V introducing new categorizations of garbage, agreed to revise the Consolidated Guidance, and requested the Secretariat to issue the revision following the entry into force of the amendments on 1 March 2018. The revised Consolidated Guidance is set out in the annex.

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

* <http://gisis.imo.org> (click on Port Reception Facilities but 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, 1973, as modified by the 1978 and 1997 Protocols (MARPOL) 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 wastes/residues 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 wastes/residues.

3 This Consolidated Guidance is intended to be a practical users' guide for ships' crew who seek to deliver MARPOL wastes/residues 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 wastes/residues 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 Manual *Port Reception Facilities – How to do it* (2016) (the Manual) 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 wastes/residues 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 *Port Reception Facilities – How to do it* (2016) Manual and the *Guidelines for ensuring the adequacy of port waste reception facilities*, 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 MARPOL. As such, plain language has been used wherever possible. However, it is important that the terms used in this guidance 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 Manual *Port Reception Facilities – How to do it* (2016), 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, however caused, from a ship and includes any escape, disposal, spilling, leaking, pumping, emitting or emptying. In this guidance, the term "discharge" refers generally to the types of discharge regulated under MARPOL.

8 **Garbage**, as defined in MARPOL Annex V, means all kind 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 wastes/residues** is used throughout this guidance to refer collectively to all waste streams that are generated on board ships during normal operations and during cargo operations and are governed by MARPOL, including the following:

- .1 MARPOL Annex I: oily bilge water; oily residues (sludge); oily tank washings (slops); dirty ballast water; and scale and sludge from tank cleaning;
- .2 MARPOL Annex II: cargo residues containing noxious liquid substances (NLS) as defined in MARPOL Annex II; or ballast water, tank washings or other mixtures containing such substances;
- .3 MARPOL Annex IV: sewage;
- .4 MARPOL Annex V: garbage as defined in MARPOL Annex V (see paragraph 8), including plastics, food wastes, domestic wastes, cooking oil, incinerator ashes, operational wastes, animal carcasses, fishing gear, E-waste, cargo residues not harmful to the marine environment (non-HME) and cargo residues harmful to the marine environment (HME); and
- .5 MARPOL Annex VI: ozone-depleting substances and equipment containing such 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 relevant MARPOL Annexes.

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

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

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

LAYOUT OF GUIDANCE

12 This Guidance has been 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 wastes/residues. It begins with a basic overview of the basis for the use of PRFs. The remainder of the guidance is divided into two sections: one outlining 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 guidance. Additionally, in the appendices, 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 wastes/residues 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

13 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.

14 This 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

15 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 State 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 MARPOL and its Annexes or implementing regulations of individual States Party to the Convention.

16 To complement wastes/residues minimization and management practices on board the ship (see paragraphs 27 to 34), the shipping industry needs access to adequate PRFs to enable compliance with the provisions of MARPOL. Therefore, MARPOL places an obligation on State Parties to provide adequate reception facilities in their ports. The following regulations stipulate this requirement for each type of MARPOL wastes/residues identified:

- .1 regulation 38 of Annex I;
- .2 regulation 18 of Annex II;
- .3 regulations 12 and 13 of Annex IV;
- .4 regulation 8 of Annex V; and
- .5 regulation 17 of Annex VI.

17 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 wastes/residues to PRFs. 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.

18 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)¹. 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.

19 Shipmasters/owners/operators can use the PRFD on the GISIS website to obtain information on specific PRFs. 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

20 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 (MEPC.1/Circ.778/Rev.2)²:

¹ <https://gisis.imo.org/>

² An up-to-date list can also be found at: <http://www.imo.org> (click on Marine Environment, then Special Areas under MARPOL).

Annex I: Oil

Mediterranean Sea
Baltic Sea
Black Sea
Red Sea (see paragraph 21)
"Gulfs" Area
Gulf of Aden (see paragraph 21)
Antarctic Area
North West European Waters
Oman Area of the Arabian Sea (see paragraph 21)
Southern South African Waters

Annex IV: Sewage

Baltic Sea (to be effective from 1 June 2019)

Annex V: Garbage

Mediterranean Sea
Baltic Sea
Black Sea (see paragraph 21)
Red Sea (see paragraph 21)
"Gulfs" Area
North Sea
Antarctic Area (south of latitude 60 degrees South)
Wider Caribbean region including the Gulf of Mexico and the Caribbean Sea

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

North Sea (SO_x and NO_x)
Baltic Sea area (SO_x and NO_x)
North American area (SO_x, NO_x and PM)
United States Caribbean Sea area (SO_x, NO_x and PM)

Note: Requirements may vary for each Special Area and ECA; therefore mariners should consult the relevant MARPOL Annex or IMO circular³ for specific details.

21 The Special Area requirements for several of these areas have not yet 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 Annex I and regulation 8.2 of 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, in the spirit of MARPOL.

22 Shipowners/operators and port operators should be conscious that more stringent restrictions in Special Areas and ECAs further emphasize the importance of the general obligations to provide adequate reception facilities for MARPOL wastes/residues. In all cases where shipping companies encounter inadequate reception facilities, this should be reported accurately and in a timely manner via the ship's flag State to the Organization and to the

³ MEPC.1/Circ.778/Rev.2

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 wastes/residues ashore

23 Efficient delivery of MARPOL wastes/residues ashore relies on advance planning. The following sections outline ways in which considerations for delivery of MARPOL wastes/residues 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

24 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 wastes/residues 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 wastes/residues 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 wastes/residues

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

26 The most effective way of reducing ship-generated wastes/residues 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.

27 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.

28 Onboard waste management will also assist in minimizing ship-generated wastes/residues. 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 *2017 Guidelines for the implementation of MARPOL Annex V* (resolution MEPC.295(71)). 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))).

29 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 an 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.

30 Ships' crew need to understand the correct use of, and entries to, the Oil Record Book, the 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. Reference should also be made to the *Guidance for the recording of operations in the Oil Record Book Part I – machinery space operations (all ships)* (MEPC.1/Circ.736/Rev.2).

31 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; cooking oil; incinerator ashes; operational wastes; cargo residues; animal carcasses; fishing gear) should also allow for the delivery of garbage in certain recyclable categories.

32 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

33 Individual ports may need to comply with varying local requirements for specialized handling (such as quarantine) of certain types of MARPOL wastes/residues, 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.

34 As noted in paragraph 18, 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 are required to first register by creating a username and password.

35 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 wastes/residues 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 ship'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 developed by the Organization (see appendix 2). Port authorities, agents and facility operators are urged to accept the standardized format; however, some operators may require an alternate form.

Considerations during MARPOL wastes/residues delivery

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

37 Following delivery, the master should request a Waste Delivery Receipt to document the type and quantity of MARPOL wastes/residues 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 shall 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.

38 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 SMS, the master should be required to complete a report on encountering an inadequate PRFs. 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.

39 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 required 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.

40 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.

41 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.

42 The alleged inadequacy report together with the follow-up action received from the port State will be published in the GISIS PRF Database.

GOOD PRACTICES FOR PORT RECEPTION FACILITY OPERATORS

Communication

43 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.

44 It is useful for ship operating companies to be able to plan the delivery of MARPOL wastes/residues 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 the GISIS PRF Database.

45 At a minimum, the information uploaded and made available in 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). Such additional information may 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).

46 Port authorities and reception facility providers should request shipmasters to provide advance notice of MARPOL wastes/residues 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

47 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 wastes/residues management practices. Such integration and cooperation with inland waste disposal operations should allow ultimate disposal of ship-generated wastes/residues to take place in an environmentally appropriate manner.

48 The reception facility should be adequately prepared to receive MARPOL Annex V wastes/residues as segregated on board and should supply suitable receptacles to facilitate the landing of segregated waste for recycling. Procedures for reception of segregated wastes/residues should parallel the standards for the Management and Handling of Shipboard Garbage as specified in ISO 21070:2011. 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/residues landed ashore at PRFs. Reception facility providers should seek out resale/recycling options for reusable/recyclable waste when not prohibited by local laws.

49 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.

50 The reception facility should also be adequately prepared to receive MARPOL wastes/residues in accordance with any local quarantine requirements, for example by providing suitably sealed receptacles and ensuring that MARPOL wastes/residues 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.

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

52 Following delivery, the reception facility should provide the master with a Waste Delivery Receipt (WDR). IMO has standardized the format of the WDR to facilitate its use and application, as set out in appendix 3.

53 Although the port structure in a State Party may or may not accommodate cost/pricing schemes and/or other incentives for MARPOL wastes/residues delivery ashore, reception facility services should be provided at a reasonable cost. The *Guidelines for ensuring the adequacy of port waste reception facilities* (resolution MEPC.83(44)) (section 3.2) define "adequate" facilities as those which "do not provide mariners with a disincentive to use them", and further stress that unreasonably high costs may deter use of PRFs (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 to purchase at:

<http://www.imo.org/en/Publications/Pages/Home.aspx>

Guidelines for the implementation of MARPOL Annex V (2017) – available to purchase at:

<http://www.imo.org/en/Publications/Pages/Home.aspx>

Port Reception Facilities - How to do it (2016) – available to purchase at:

<http://www.imo.org/en/Publications/Pages/Home.aspx>

Guidelines for ensuring the adequacy of port waste reception facilities (resolution MEPC.83(44)) – available at

[http://www.imo.org/en/KnowledgeCentre/IndexofIMOResolutions/Marine-Environment-Protection-Committee-\(MEPC\)/Documents/MEPC.83\(44\).pdf](http://www.imo.org/en/KnowledgeCentre/IndexofIMOResolutions/Marine-Environment-Protection-Committee-(MEPC)/Documents/MEPC.83(44).pdf)

Guidelines for reception facilities under MARPOL Annex VI (2011) (resolution MEPC.199(62)) – available at

[http://www.imo.org/en/KnowledgeCentre/IndexofIMOResolutions/Marine-Environment-Protection-Committee-\(MEPC\)/Documents/MEPC.199\(62\).pdf](http://www.imo.org/en/KnowledgeCentre/IndexofIMOResolutions/Marine-Environment-Protection-Committee-(MEPC)/Documents/MEPC.199(62).pdf)

APPENDIX 1

FORMAT FOR REPORTING ALLEGED INADEQUACIES OF PORT RECEPTION FACILITIES¹

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 Number²: _____
- 1.5 Gross tonnage: _____
- 1.6 Port of registry: _____
- 1.7 Flag State³: _____
- 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)

¹ This format was approved by MEPC 53.

² In accordance with the *IMO ship identification number scheme*, adopted by the Organization by Assembly resolution A.1117(30).

³ The name of the State whose flag the ship is entitled to fly.

3 INADEQUACY OF FACILITIES

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

Type of wastes/residues	Amount for discharge (m ³)	Amount <u>not</u> accepted (m ³)	Problems encountered 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 Ships had to shift berth involving delay/cost F Unreasonable charges for use of facilities G Other (please specify in paragraph 3.2)
MARPOL Annex I - related			
Oily bilge water			
Oily residues (sludge)			
Oily tank washings (slops)			
Dirty ballast water			
Scale and sludge from tank cleaning			
Other (please specify)			
MARPOL Annex II - related			
Category of NLS ⁴ residue/water mixture for discharge to facility from tank washings:			
Category X substance			
Category Y substance			
Category Z substance			
MARPOL Annex IV - related			
Sewage			
MARPOL Annex V - related			
A. Plastics			
B. Food wastes			
C. Domestic wastes			
D. Cooking oil			
E. Incinerator ashes			
F. Operational wastes			
G. Animal carcasses			
H. Fishing gear			
I. E-waste			
J. Cargo residues (non-HME) ⁵			
K. Cargo residues (HME) ⁵			
MARPOL Annex VI - related			
Ozone-depleting substances and equipment containing such substances			
Exhaust gas-cleaning residues			

⁴ 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.

⁵ Indicate the proper shipping name of the dry cargo.

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

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

Yes No

If Yes, with whom (please specify)

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

3.4 Did you give prior notification (in accordance with relevant port requirements) about the ship'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

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 Wastes/Residues 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 should be retained on board the ship along with the appropriate Oil Record Book, Cargo Record Book or Garbage Record Book.

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 wastes/residues were 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 WASTES/RESIDUES FOR DISCHARGE TO FACILITY

MARPOL Annex I – Oil	Quantity (m ³)
Oily bilge water	
Oily residues (sludge)	
Oily tank washings	
Dirty ballast water	
Scale and sludge from tank cleaning	
Other (please specify)	
MARPOL Annex II – NLS	Quantity (m ³) /Name ¹
Category X substance	
Category Y substance	
Category Z substance	
OS – other substances	
MARPOL Annex IV – Sewage	Quantity (m ³)

MARPOL Annex V – Garbage	Quantity (m ³)
A. Plastics	
B. Food wastes	
C. Domestic wastes	
D. Cooking oil	
E. Incinerator ashes	
F. Operational wastes	
G. Animal carcasses	
H. Fishing gear	
I. E-waste	
J. Cargo residues (non-HME) ²	
K. Cargo residues (HME) ²	
MARPOL Annex VI – Air pollution	Quantity (m ³)
Ozone-depleting substances and equipment containing such substances	
Exhaust gas-cleaning residues	

¹ Indicate the proper shipping name of the NLS involved.
² 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 wastes/residues remaining on board and the percentage of maximum storage capacity. If delivering all wastes/residues on board at this port please strike through this table and tick the box below. If delivering some or no waste/residue, please complete all columns.

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

Type	Maximum dedicated storage capacity (m ³)	Amount of wastes/residues retained on board (m ³)	Port at which remaining wastes/residues will be delivered (if known)	Estimate amount of wastes/residues to be generated between notification and next port of call (m ³)
MARPOL Annex I – Oil				
Oily bilge water				
Oily residues (sludge)				
Oily tank washings				
Dirty ballast water				
Scale and sludge from tank cleaning				
Other (please specify)				
MARPOL Annex II – NLS³				
Category X substance				
Category Y substance				
Category Z substance				
OS – other substances				
MARPOL Annex IV – Sewage				
Sewage				
MARPOL Annex V – Garbage				
A. Plastics				
B. Food wastes				
C. Domestic wastes				
D. Cooking oil				
E. Incinerator ashes				
F. Operational wastes				
G. Animal carcasses				
H. Fishing gear				
I. E-waste				
J. Cargo residues (non-HME) ⁴				
K. Cargo residues (HME) ⁴				
MARPOL Annex VI – Air pollution				
Ozone-depleting substances and equipment containing such substances				
Exhaust gas-cleaning residues				

Date: Name and Position:

Time: Signature:

³ Indicate the proper shipping name of the NLS involved.

⁴ 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 wastes/residues.
This form shall be retained on board the ship along with the appropriate Oil Record Book, Cargo Record Book or Garbage Record Book.

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/residue 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 WASTES/RESIDUES RECEIVED

MARPOL Annex I – Oil	Quantity (m ³)
Oily bilge water	
Oily residues (sludge)	
Oily tank washings	
Dirty ballast water	
Scale and sludge from tank cleaning	
Other (please specify)	
MARPOL Annex II – NLS	Quantity (m ³)/Name ¹
Category X substance	
Category Y substance	
Category Z substance	
OS – other substance	
MARPOL Annex IV – Sewage	Quantity (m ³)

MARPOL Annex V – Garbage	Quantity (m ³)
A. Plastics	
B. Food wastes	
C. Domestic wastes	
D. Cooking oil	
E. Incinerator ashes	
F. Operational wastes	
G. Animal carcasses	
H. Fishing gear	
I. E-waste	
J. Cargo residues (non-HME) ²	
K. Cargo residues (HME) ²	
MARPOL Annex VI – related	Quantity (m ³)
Ozone-depleting substances and equipment containing such substances	
Exhaust gas-cleaning residues	

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

Signature: Full Name and Company Stamp:

¹ Indicate the proper shipping name of the NLS involved.
² 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

Reporting requirements		Reference
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); Global Integrated Shipping Information System (GISIS) (resolution A.1029(26))
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/Rev.1, paragraph 41
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/residue 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.	<i>Guidelines for ensuring the adequacy of port waste reception facilities</i> (resolution MEPC.83(44))
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 (resolution MEPC.221(63)); (2) particulars of the identified Regional Ships Waste Reception Centres; and (3) particulars of those ports with only limited facilities.	Regulations 38.4 and 38.6 of Annex I; Reg. 18.3 of Annex II; Reg. 12.2 of Annex IV; Reg. 8.3 of Annex V; Reg. 17.2 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/Rev.1, 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/Rev.1, paragraph 39
	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; Reg. 17.3 of Annex VI; resolution MEPC.83(44), annex, paragraph 8.3; MEPC.1/Circ.834/Rev.1, paragraph 39
	The flag State shall notify the port State of the occurrence of the alleged inadequacy of port reception facilities.	MEPC.1/Circ.834/Rev.1, paragraph 39; 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/Rev.1, 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/Rev.1, paragraph 40