



भारत सरकार / GOVERNMENT OF INDIA
पत्तन, पोत परिवहन और जलमार्ग मंत्रालय
MINISTRY OF PORTS, SHIPPING AND WATERWAYS
नौवहन महानिदेशालय, मुंबई
DIRECTORATE GENERAL OF SHIPPING, MUMBAI



Addendum to Standard Operating Procedure for Assessment of Adequacy of a Port Reception Facility dated 06.03.2018

File No. 13-20011/5/2020-ENGG - DGS

Date: 12.02.2024

Subject: Addendum to Standard Operating Procedures Port Reception Facility-Reg.

Background

1. Whereas Standard Operating Procedures for assessment of adequacy of a port reception facility was issued on 06.03.2018. The SOP was issued in pursuant to DGS Order 2 of 2018, that all major and non-major ports shall be audited every year for adequacy of Port Reception Facility (PRF) commencing from March-April 2018.
2. 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.
3. To complement wastes/residues minimization and management practices on board the ship, 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:
 - i. regulation 38 of Annex I;
 - ii. regulation 18 of Annex II;
 - iii. regulations 12 and 13 of Annex IV;
 - iv. regulation 8 of Annex V; and
 - v. regulation 17 of Annex VI.
4. India being a signatory to MARPOL has certain obligations to fulfil as a port state and flag state under the above MARPOL regulations.

5. India has substantive provisions in its Merchant Shipping Act, 1958 to provide Port Reception Facilities and has from time to time issued Standard Operating Procedures/Circulars/MSN/Orders and developed digital module to fulfil its obligations as a Flag State and Port State for ensuring adequate port reception facilities to ships. Some of these are:
- i. Section 356 I of the MS Act, 1958 gives powers to Ports to provide Port Reception Facilities.
 - ii. DGS Order 2 of 2018 and addendum to DGS (Engineering) Circular 2 of 2018 require annual audit of all major and non-major ports for adequacy of Port Reception Facility (PRF).
 - iii. Standard Operating Procedures for "Assessment of Adequacy of Port Reception Facilities" dated 06.03.2018.
 - iv. DGS Circular 06 of 2018 developing On-line digital module Swachh Sagar for placing advance notification for port reception facilities, selection of vendor, fixing date and time for delivery of waste, generation of waste reception receipt through system and for Master to raise complaints related to inadequate port reception facilities. Further all ROs have been instructed to inform and encourage foreign ships, which they are attending for any surveys about this Swachh Sagar facility and monthly report forwarded to PSC cell of Directorate.
 - v. DGS Order 13 of 2023 distributing the responsibilities for communication to IMO among various stakeholders such as Jurisdictional MMDs, Recognized Organizations and Wings/Branches of Directorate General of Shipping.

Purpose of this Standard Operating Procedures

6. The Directorate has developed an On-Line digital module for audits of Port for facilitating availability of port reception facilities to visiting ships through advanced notifications and has started mandatorily/encouraged usage of same since 2018.
7. Since issuance of SOP for assessment of port reception facilities in 2018, there have been many procedural and infrastructural changes such as digital PRF assessment, assignment of communication to IMO responsibilities to various stakeholders through DGS Order 13 of 2023 has taken place and the aim of this SOP is to provide guidance for implementation of the requirements and responsibilities at one place for easy information to stakeholders.

Obligations of India as a Port State and its fulfillment

8. **Reporting on the availability of reception facilities:** As per Article 11(1) (d) of MARPOL, 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. 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. This requirement is fulfilled through following methodology:

- i. Ports are delegated powers to Provide Port Reception Facilities as per Section 356 I of the MS Act, 1958.
- ii. The DGS Order 13 of 2023 require Jurisdictional MMDs to regularly update on the GISIS module regarding the availability and other details about port reception facilities for all ports under their jurisdiction.
- iii. To facilitate regular updating of port reception facilities module on GISIS, the Digital PRF assessment module now require that jurisdictional MMD prior planning for yearly assessment of port, shall be forwarding a check list which will require ports to update the PRF facilities and once this completed checklist is received from the port on the PRF assessment module, the Surveyor nominated to carry out the assessment shall be updating the GISIS Module and carry out the assessment after updating the GISIS Module.
- iv. The Jurisdictional Principal Officer shall ensure regular updating on GISIS Module through regular monitoring. This is facilitated through the on-line Port Reception Facility assessment module through following procedures:
 - Prior carrying out the yearly assessment of PRF of a port, an information checklist (which replicates the information to be updated on GISIS) is forwarded to concerned ports by jurisdictional MMD.
 - The concerned port fills up the checklist also stating the suitable date for assessment on the module.
 - The assessment surveyor and reviewer is assigned.
 - Audit is conducted and report is reviewed by reviewer completing the process.

9. Reporting on alleged inadequacies of reception facilities: As per Resolution MEPC.83(44), annex, paragraph 10.3; MEPC.1/Circ.834/Rev.1, paragraph 41, 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. This requirement is fulfilled through following methodology:



- i. The DGS Order 13 of 2023 require Jurisdictional MMDs to regularly monitor reports of alleged inadequacies of PRF in ports under their Jurisdiction and respond after necessary investigation/clarification from concerned port.
- ii. The Swachh Sagar Portal is being regularly monitored by Indian Register of Shipping/Jurisdictional MMDs and informed to PSC cell of Directorate for resolution of alleged complaints in consultation with Jurisdictional MMDs and relevant port authorities.

10. Reporting on the assessment of the port reception facilities: The port State is encouraged to make use of the assessment form appended to the Guidelines for ensuring the adequacy of port waste reception facilities, to conduct regular assessments of waste/residue reception facilities {Guidelines for ensuring the adequacy of port waste reception facilities (resolution MEPC.83(44))} 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. Though this requirement is not a mandatory requirement, the Indian Maritime Administration ensures that adequacy of Port Reception Facilities are ensured through following means:

- a) DGS Order 2 of 2018 and addendum to DGS (Engineering) Circular 2 of 2018 require annual audit of all major and non-major ports for adequacy of Port Reception Facility (PRF) and Standard Operating Procedures for "Assessment of Adequacy of Port Reception Facilities" dated 06.03.2018.
- b) With effect from Calendar Year 2024, all assessments of PRF to be carried out through On-Line module on PRF Assessment on Swachh Sagar and taking into consideration "Guidelines for ensuring the adequacy of port waste reception facilities {resolution MEPC.83 (44)}". It is the responsibility of Jurisdictional MMD to ensure compliance. The User manuals in form of Videos are available on DGS Portal.
- c) The Directorate shall be annually carrying out a comprehensive assessment of adequacy of PRF at Indian port based on data sourced from following sources (not an exhaustive list) and may publish an annual report (the first report as part of Marine Environmental Management Report is available at (<https://www.dgshipping.gov.in/Content/AnnualFuelConsumptionReportGreenSection.aspx>):
 - Data from Swachh Sagar relating to its usage by Ports and Ships and Vendors approved by Ports.



- Inadequacy complaints raised against Indian Ports by Foreign Ships coming to India.
- Results of PRF assessments and deficiencies raised.

Obligations of India as a Flag State and its fulfillment

11. In accordance with 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 is required to notify IMO, for transmission to the Parties concerned, of any case where facilities are alleged to be inadequate.

12. To meet the above obligations, the Ship Owners are encouraged to:

- i. 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.
- ii. As part of the ship's SMS, the master should be required to complete a report on encountering an inadequate PRFs.
- iii. The format for such a report is provided in (MEPC.1/Circ.834/Rev.1, appendix 1), and is also available through the Port Reception Facility section of the GISIS website.
- iv. The above report from Master about the alleged inadequacy may be forwarded together with any supporting documentation such as the communication with port/vendor be also attached to the PSC Cell of Indian Maritime Administration and, if possible, to the Authorities of the port State.

13. The Directorate vide its DGS Order 13 of 2023 has placed responsibility on Engineering Wing of Directorate to report alleged inadequacies on IMO GISIS. Same to be done by Engineering Wing after due review of communication from Indian Ship Owners above documentation.

14. This is issued with the approval of the competent authority and comes into effect from the date of issue of this SOP.



(J Senthil Kumar)

Engineer and Ship Surveyor Cum Deputy DGS (Tech)

To,

1. The Principal Officer/ Mercantile Marine Department, Mumbai/Kolkata/ Chennai/ Kandla/Kochi.
2. The Surveyor-in-charge, Mercantile Marine Department, Goa/Jamnagar/Port Blair /Visakhapatnam /Tuticorin /Noida /Haldia/ Paradip /Mangalore.
3. All Recognised Organizations.
4. CS/NA/Dy.CSS
5. Hindi Cell with request to provide Hindi translation.
6. Computer Cell with request to upload on DGS website