European Maritime Safety Agency

Guidance for Ship Inspections under PRF

Guidance for Ship Inspections under the Port Reception Facilities Directive Directive (EU) 2019/883

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EMSA

Document History

Version	Date	Changes	Prepared	Approved
0.1	30/03/2021	xxx	xxx	xxx
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The EMSA guidance is a non-binding document and nothing in this guidance document should be construed as generating mandatory requirements on any of the involved parties.

In the event of lack of clarity or in doubt of a requirement(s) in this EMSA guidance, or dispute arising out of an event, the legal texts are prevailing.

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List of Abbreviations

Abbreviation	In full
ATA	Actual Time of Arrival
AWN	Advance Waste Notification
EMSA	European Maritime Safety Agency
ETA	Estimated Time of Arrival
GISIS	Global Integrated Shipping Information System
HME	Harmful to the Marine Environment
IMO	International Maritime Organization
IOPP Certificate	International Oil Pollution Prevention Certificate
IAPP Certificate	International Air Pollution Prevention Certificate
MS	Member State
NLS Certificate	Noxious Liquid Substances Certificate
ODS	Ozone Depleting Substances
PRF	Port Reception Facilities
PRF Directive	Directive (EU) 2019/883 on Port Reception Facilities for the delivery of waste from Ship, amending Directive 2010/65/EU and repealing Directive 2000/59/EC
PSC	Port State Control
RBT	Risk Based Targeting
SSN	SafeSeaNet, Community vessel traffic monitoring and information system stablished by Directive 2002/59/EC.
WR	Waste Receipt

1 Introduction

The main objective of the Directive (EU) 2019/883 on Port Reception Facilities for the delivery of waste from ships, (hereafter referred to as 'the PRF Directive') is to reduce the discharge of ship waste including cargo residues (hereafter referred to as 'waste from ships' or just 'waste') into the sea, by requiring that vessels visiting EU ports deliver all waste from ships to a port reception facility (hereafter referred as PRF) before departure.

This document should be read in conjunction with the text of the PRF Directive.

1.1 Objective

The goal of this document is to provide guidance for a harmonised approach to the inspection of ships within the context of the PRF Directive, ascertaining their compliance, identifying non-compliances, applying enforcement procedures and follow-up actions.

This guidance has been developed to facilitate ship inspections that are to be undertaken by the Member States (MS) in accordance with the provisions of the PRF Directive.

1.2 Definitions

The terms used in this document are defined in the PRF Directive as followed:

(1) 'ship' means a seagoing vessel of any type operating in the marine environment, including fishing vessels, recreational craft, hydrofoil boats, air-cushion vehicles, submersibles and floating craft;

(2) 'MARPOL Convention' means the International Convention for the Prevention of Pollution from Ships, in its up to date version;

(3) 'waste from ships' means all waste, including cargo residues, which is generated during the service of a ship or during loading, unloading and cleaning operations and which falls within the scope of Annexes I, II, IV, V and VI to MARPOL Convention, as well as passively fished waste;

(4) 'passively fished waste' means waste collected in nets during fishing operations;

(5) 'cargo residues' means the remnants of any cargo material on board which remain on the deck or in holds or tanks following loading and unloading, including loading and unloading excess or spillage, whether in wet or dry condition or entrained in wash-water, excluding cargo dust remaining on the deck after sweeping or dust of the external surfaces of the ship;

(6) 'port reception facility' means any facility which is fixed, floating or mobile and capable of providing the service of receiving the waste from ships;

(7) 'fishing vessel' means any ship equipped or used commercially for catching fish or other living resources from the sea;

(8) 'recreational craft' means a ship of any type, with a hull length of 2,5 metres or more, regardless of the means of propulsion, intended for sports or leisure purposes, and not engaged in trade;

(9) 'port' means a place, or a geographical area made up of such improvement works and equipment designed principally to permit the reception of ships, including the anchorage area within the jurisdiction of the port;

(10) 'sufficient storage capacity' means enough capacity to store the waste on board from the moment of departure until the next port of call, including the waste that is likely to be generated during the voyage;

(11) 'scheduled traffic' means traffic based on a published or planned list of times of departures and arrivals between identified ports or recurrent crossings that constitute a recognised schedule;

(12) 'regular port calls' means repeated voyages of the same ship forming a constant pattern between identified ports or a series of voyages from and to the same port without intermediate calls;

(13) 'frequent port calls' means visits by a ship to the same port taking place at least once a fortnight;

(14) 'GISIS' means the Global Integrated Shipping Information System set up by the IMO;

(15) 'treatment' means recovery or disposal operations, including preparation prior to recovery or disposal;

(16) 'indirect fee' means a fee paid for the provision of port reception facility services, irrespective of the actual delivery of waste from ships.

1.3 Delivery of waste and scope of application

The master of a ship calling at a Union port shall, before leaving that port, deliver all the waste carried on board to a port reception facility in accordance with the relevant discharge provisions laid down in the MARPOL Convention. However, the following "Exceptions" may be applicable to the obligation to deliver the waste from ships whereby a ship may proceed to the next port of call without delivering the waste (Article 7.4):

(a) the information provided in the AWN and WR shows that there is 'sufficient dedicated storage capacity' for all waste that has been accumulated and will be accumulated during the intended voyage of the ship until the next port of call;

(b) the information available onboard ships falling outside the scope of electronic reporting via SafeSeaNet (SSN) (see Annex 7[1] of this document) shows that there is 'sufficient dedicated storage capacity' for all waste that has been accumulated and will be accumulated during the intended voyage of the ship until the next port of call; or

(c) the ship only calls at an anchorage for less than 24 hours or under adverse weather conditions (unless such an area has been excluded by the MS of the scope of the PRF Directive).

The PRF Directive applies to all ships irrespective of the flag, including fishing vessels and recreational craft, calling at, or operating within, a port of a MS, with the exception of ships engaged in port services within the meaning of Article 1(2)[2] of Regulation (EU) 2017/352[3], and with the exception of any warship, naval auxiliary or other ship owned or operated by a State and used, for the time being, only on a government non-commercial basis (PRF Directive Art. 3).

Anchorage areas may be excluded by MSs from fulfilling the requirements of the PRF Directive regarding notification and delivery of waste.

MSs shall take measures to ensure that, where reasonably possible, ships that do not fall within the scope of the PRF Directive deliver their waste in a manner consistent with the PRF Directive.

1.4 Preliminary considerations

PRF inspections in EU ports on ships, to which the PRF Directive is applicable irrespective of their flag, should be carried in a harmonized way. In addition to the PRF Directive requirements, there may be requirements

[1] Annex 7 of this document provides an overview of the scope of the PRF Directive, indicating, as well the reporting obligations to SSN.
[2] 'Port services' either inside the port area or on the waterway access to the port: bunkering, cargo-handling, mooring, passenger services, collection of ship-generated waste and cargo residues, pilotage and towage.
[3] Regulation (EU) 2017/352 of the European Parliament and of the Council of 15 February 2017 establishing a framework for the provision of port services and common rules on the financial transparency of ports.

arising from national legislations of the MSs or international regulations from the International Maritime Organization (IMO) that should be also correctly enforced.

PRF inspections must be based on the requirements of the PRF Directive. However, where the PRF Directive lacks further guidance on issues of importance to the PRF inspection, regulations from the MARPOL Convention may be used as benchmarks, i.e., considered mandatory.

Member States enforcement obligations in relation to the Directive

PRF inspections to ships derive from the obligations placed on the MSs in Articles 10 and 11 of the PRF Directive, that states that MSs shall ensure that any ship may be subject to inspections, including random ones, in order to verify that it complies with the PRF Directive.

Each MS shall carry out inspections of ships calling in its ports corresponding to at least 15 % of the ships calling their ports based on the average of individual ships calling in the last 3 calendar years.

The main issues concerning enforcement, are related to the delivery of waste from ships (Article 7), and the inherent mechanisms that are linked to the delivery, such as the AWN and WR. Inspectors may also need to deal with situations where there exist non-compliances from the ship's previous ports of call. In addition, it should be noted that exempted ships may still be inspected to confirm the terms of the Exemption [4]Certificate, including the electronic reporting of AWN.

MSs must ensure that a ship has met it obligation to deliver, before departure, all its waste if:

(a) it cannot be established, based on the available information, that adequate port reception facilities are available at the next port of call,

(b) the next port of call is unknown, or

(c) there is evidence of no 'sufficient storage capacity' for all waste that has been accumulated and that will be accumulated during the intended voyage of the ship until the next port of call, even in the case of Exempted ships.

1.5 Relevant certificates and other documentation

In order to establish whether a ship is in compliance with the requirements of the PRF Directive, the following documentation should be examined as appropriate.

Documents referred to under the PRF Directive

- Advance Waste Notification Form, AWN (Article 6 and Annex 2 of the PRF Directive and Annex 4 of this document)

Annex 2 of the PRF Directive sets out the format of the AWN Form that should be used by the operator, agent or master of the ship for notification to the authority or body designated by the MS in which the port is located.

The Advance Waste Notification Form (AWN) shall be communicated:

a) at least 24 hours prior to arrival, if the port of call is known,
b) as soon as the port of call is known, if this information is available less than 24 hours prior to arrival; or,
c) at the latest upon departure from the previous port if the duration of the voyage is less than 24 hours.

[4] Note: the term 'Exemption' is different from 'Exception'. 'Exemption' refers to a specific vessel being released from an obligation or liability by the Maritime Administration of the country where the port is located, based on the conditions in Article 9 of the PRF Directive. . An exemption is also for a certain time interval and for a certain number of ports. 'Exception' refers to the specific situation, for a vessel in a specific port call, to be free from the general rule of disposing all its waste before departure. (for Example, Article 7.4)

The AWN must include information on:

- details about the ship, including the ships' name, call sign, IMO identification number and flag State;
- the ships' last and next port of call;
- the ships' last port where waste from ships has been delivered;
- the waste types and amounts of waste from ships the ship has on board;
- the amount of waste from ships it intends to deliver to the PRF in port;
- the amount of waste from ships the ship intends to keep on board; and,
- the maximum dedicated storage capacity the ship has for each type of waste

A copy of the AWN shall be available on board, at least until the next port of call and shall be made available upon request to the relevant MSs' authorities

This document is important for a PRF inspection as it provides the basic information on which the PRF inspection is based.

- Waste Delivery Receipt, WR (Article 7 and Annex 3 of the PRF Directive and Annex 5 of this document)

Upon delivery, the port reception facility operator or the authority of the port where the waste was delivered shall issue and provide, without undue delay, the WR to the master of the ship.

It should be noted that small ports with unmanned facilities or remotely located may not issue WR as they may be exempted from doing this (Article 7.2 second paragraph).

The information from the WR must be available on board for at least two years, together with appropriated records in for example the Oil Record Book, Cargo Record Book, Garbage Record Book or the Garbage Management Plan as relevant and shall be made available upon request to the MSs' authorities.

- Exemption Certificate (Article 9 of the PRF Directive and Annex 6 of this document)

Ships may be exempted from the obligations related to the AWN, the delivery of waste and payment of port waste fees, provided that the necessary conditions as per Article 9 of the PRF Directive are met.

If a ship has been granted an exemption, the MS where the port is located shall issue an exemption certificate, confirming that the ship meets the necessary conditions and requirements for the application of the exemption and stating its duration.

It is important to note that even in case an exemption has been granted, a ship shall not proceed to the next port of call if it can be determined that is not sufficient dedicated storage capacity for all waste that has been accumulated and that will be accumulated during the intended voyage of the ship to that port.

Other relevant documents on board

The following documents are required under international law and might also be relevant in the context of a PRF inspection to ascertain compliance with the requirements of the PRF Directive.

- **Ships' logbooks**

Under the term of ships' logbooks, the following relevant documents for a PRF inspection, as a minimum, could be considered:

- Oil Record Book Parts I and II;
- Cargo Record Book;

- Ozone-depleting substances Record book;
- Records of navigational activities;
- Engine logbooks; and,
- Garbage Record Book, Part I and II.

Oil Record Book and Cargo Record Book

Every ship of 400GT and above and every Oil Tanker of 150GT and above must have an Oil Record Book Part I (Machinery space operations) and every Oil Tanker of 150GT and above must have an Oil Record Book, Part II (Cargo/ballast operations) on board. All chemical tankers must also have a cargo record book on board. Entries in the Oil Record Book and the Cargo Record Book should be drawn up at least in English or French or Spanish.

The Oil Record Book and Cargo Record Book must be kept on board the ship in such a place as to be readily available for inspection. It shall be preserved for a period of three years after the last entry has been made. For compliance verification with the PRF Directive, the Oil Record Book, and when applicable, the Cargo Record Book, is therefore an essential part of the PRF inspection.

Records of navigational activities

Records of navigational activities must be kept on board all ships of 150GT and above, engaged on international voyages and on all other ships of 500GT and above (excluding fishing vessels). In addition, each ship of 500GT and above, in the case where the voyage exceeds 48 hours, must submit a daily report to its company, which shall retain this and all subsequent daily reports for the duration of the voyage. The reports shall contain, as a minimum, the following information:

- the ship's position,
- the ship's course and speed and,
- details of any external or internal conditions that are affecting the ship's voyage or the normal safe operation of the ship.

The above information is essential to obtain a complete record of the voyage, which may be used during the PRF Inspection. These documents can be of additional support to the PRF inspector to gain understanding of the vessel operations, including changes of course (as for example those related to safety issues) on board. Also, the consultation of the previous port calls list can provide relevant information from other previous voyages.

Garbage Record Book

Every ship of 100GT[5] and above and every ship which is certified to carry 15 persons or more engaged in international voyages is to have a Garbage Record Book which is split in two parts. Part I for recording the management of all garbage, and Part II for recording the management of all solid bulk cargo residues (Annex V cargo residues, Harmful to the Marine Environment (HME) and non-HME). The Garbage Record Book, whether as a part of the ship's official logbook or otherwise, is to be in the form specified in Appendix II of MARPOL Annex V and be completed at least in English, French or Spanish. Where the entries are also made in an official language of the State whose flag the ship is entitled to fly, the entries in that language shall prevail in case of a dispute or discrepancy;[6]

Each discharge into the sea or delivery to a reception facility, or a completed incineration, shall be promptly recorded in the Garbage Record Book and signed for on the date of the discharge, delivery or incineration by the officer in charge. It should be noted that receipts must be kept on board the ship with the Garbage Record

[5] Amendment to MARPOL Annex V will entry into force on 1 May 2024
[6] MARPOL Annex V 2019 Amendment (74th) / Reg. 10

Book for a period of at least two years from the date of the last entry made in it[5] and the amount of garbage on board should be estimated in cubic metres. The Garbage Record Book contains many references to the estimated amount of garbage, and it is recognized that the accuracy of estimating amounts of garbage is left to interpretation. Volume estimates will also differ before and after processing and some processing procedures may not allow for a usable estimate of volume, e.g. the continuous processing of food waste. Such factors should be taken into consideration when making and interpreting entries made in a record.
The Garbage Record Book also contains additional information like date, time and position of the ship (latitude and longitude) at the start and stop of incineration. For each discharge to a port reception facility or to another ship, each entry shall include date and time of discharge, port or facility or name of ship, categories of garbage discharged, and the estimated amount discharged for each category in cubic meters[5];

The Garbage Record Book is an essential document for the PRF Inspection as it contains the entire history of garbage management on board the ship.

- **Garbage Management Plan**

Every ship of 100GT and above, and every ship which is certified to carry 15 persons or more, is to carry a garbage management plan, which the crew shall follow, and should provide written procedures for minimising,[5] collecting, storing, processing and disposing of garbage, including the use of the equipment on board. It shall also designate the person or persons in charge of carrying out the plan (including the identification of an Environmental Control Officer)[6] and is written in the working language of the crew. This document is also relevant to the PRF Inspection as it sets out the way garbage is managed on the ship and will therefore contain information that will support the assessment of storage capacity and the way of processing and minimizing the quantities on board. Requirements for garbage receptacles, and appropriate spaces throughout the ship where they can be placed, can be found in the applicable IMO Guidelines[7]. Information on spaces used for storage of ship's waste can be verified against the ship's approved plans such as the tank and capacity plan, as well as general arrangement plan.

- **International Sewage Pollution Prevention Certificate**

This certificate to be kept by ships 400GT or more, or less than 400GT and certified to carry more than 15 persons engaged in an international voyage. This certificate is to show that the Sewage Treatment Plant, the comminuting and maceration system or holding tank has been examined and satisfactorily approved in accordance with the IMO operational requirements. This certificate also states the capacity of any sewage holding tanks on the vessel. This document will be important to assess what equipment the ship has on board, how sewage is treated and managed on board the ship, and therefore, whether sewage on board ships should have been delivered in port.

- **International Oil Pollution Prevention Certificate (IOPP Certificate) and the Supplement to the International Oil Pollution Prevention Certificate**

The IOPP Certificate provides a record of construction and equipment for oil tankers, ships other than an oil tanker with cargo tanks coming under regulation 2.2 of Annex I of MARPOL (Form B) and all ships other than any of the above (Form A). These Forms states information on the capacity of:

- holding tank(s) for the total retention on board of all oily bilge water;
- holding tank(s) for the total retention on board of oil residue (sludge) tanks;
- slop tanks;
- any incinerator for oil residues;
- any auxiliary boiler suitable for burning oil residues;
- tanks for mixing oil residues with fuel oil, capacity; and,
- any other acceptable means for the disposal of residues in addition to the provisions of sludge tanks.

[7] RESOLUTION MEPC.295(71) (adopted on 7 July 2017) 2017 GUIDELINES FOR THE IMPLEMENTATION OF MARPOL ANNEX V

- oil separating/filtering and discharge monitoring equipment;

- **International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk (NLS Certificate) and the Procedures and Arrangements Manual**

The NLS Certificate provides a list of NLS and the conditions of carriage for chemical tankers coming under regulation 2 of Annex II of MARPOL. The procedures and arrangements manual provide information on the tank cleaning equipment and the cleaning arrangements to be applied on the respective ship in order to comply with any prewash requirement stipulated for specific cargoes under MARPOL Annex II. The Procedures and Arrangement Manual also contains relevant information for calculating stripping quantities to assess the amount of product remaining after discharge.

- **International Air Pollution Prevention Certificate (IAPP Certificate) and the Supplement to the International Air Pollution Prevention Certificate**

An International IAPP certificate shall be issued for every ship of 400GT and above as well as platforms and drilling rigs engaged in international voyages.

Operational systems or equipment onboard using Ozone Depleting Substances (ODS) shall be listed in the IAPP Certificate Supplement. If repairs or replacements of this equipment are required, the ODS and/or equipment removed from the ship shall be delivered to an appropriate PRF facility and an annotation shall be made in the ozone-depleting record book.

The IAPP certificate also indicates whether the ship has an incinerator suitable for burning solid waste, and whether it is type approved.

If the ship is using an EGCS, it should also be identified in the Supplement of the IAPP certificate, specifying whether it applies to all fuel combustion machinery on board (main engine, auxiliary engines and boilers) or only to some of them. The type of EGCS may be also reported in the IAPP certificate: close loop, open loop or hybrid. Additional approved documentation on the EGCS, such as SOx emissions compliance plan, EGCS Technical Manual and Onboard Monitoring Manual are relevant for the inspection.

2 PRF inspection

Inspectors should be duly authorised by the designated Competent Authority for the enforcement of the PRF Directive, and be conversant with its requirements, relevant national legislation and the IMO Conventions and Guidelines therein referenced.

In relation to the pre-boarding preparation, the MSs may need to develop pre-boarding preparation documents, specific instructions regarding the selection of ships for inspection as well as any other relevant form that may be required to conduct PRF inspection.

A PRF inspection consists of the following stages:

Pre-boarding:

- Ship information
- Selection of a ship for inspection

On board inspection:

- Preliminary verifications
- Verification of the main requirements and documents (whenever mandatory for the specific vessel under inspection) under the PRF Directive

Follow-up actions

- Non-compliances with the PRF Directive
- Reporting

2.1 Pre-boarding

Ship information

Before boarding, relevant information about the ships in port may be obtained from THETIS-EU and other sources. This may include information on, for example, ship particulars, last and next port of call, arrival and departure times, port stay duration, AWN, as well as obtaining information about the ship's actual arrangements for waste delivery. Further information may directly be obtained through the port Authorities or the ship's agent. The information gathered needs to be confirmed once on board.

It should be noted that some vessels are not required to send notifications via SSN (under the scope of Directive 2002/59/EC Article 2), and therefore all related information could be gathered instead through the ship's agent or onboard (See Annex 7 of this document). Directive 2002/59/EC Article 2 Scope:

1. This Directive applies to ships of 300 gross tonnage and upwards, unless stated otherwise.
2. Unless otherwise provided, this Directive **shall not apply to**:
(a) warships, naval auxiliaries and other ships owned or operated by a Member State and used for non-commercial public service.
(b) fishing vessels, traditional ships and recreational craft with a length of less than 45 metres.
(c) bunkers on ships below 1 000 gross tonnage and ships' stores and equipment for use on board all ships.

IMO GISIS could also provide additional relevant information such as on available PRF facilities on the next port of call, which may be relevant for instance to assess the need of waste to be delivered in the present port if there is no available PRF in the next port.

Inspectors may retrieve from THETIS-EU any additional inspection data reported by any MS for the purpose of monitoring the implementation of the PRF Directive. Information on AWN as well as any Exemption Certificate issue to the ship may be also obtained from THETIS-EU or SSN. Further information on the ship or its previous and future journeys, may directly be obtained from Port Authorities or the ship's agent.

Information on the cargo should also be gathered. For chemical tankers, information should include whether the cargo is classified as category X, Y or Z (high viscous, solidifying) under MARPOL Annex II, and for dry bulk cargo carriers, whether the cargo is HME. This information can be obtained from the cargo documents which can be requested through the ships' agent. For dry bulk cargo carriers, the information should be available in the "Shipper's declaration", which should accompany every dry bulk cargo, and can be requested from the master of the ship

Selection of a ship for inspection

Member States shall carry out inspections of ships calling at its ports by selecting ships on the basis of the Union risk-based targeting mechanism established by the Commission Implementing Regulation (EU) 2022/90 (see Annex 2). The aim of the mechanism is to support competent authorities in assessing the risk of a ship not being compliant with the obligations foreseen by the Directive (EU) 2019/883.

The Directive sets a minimum number of inspections to be performed per year for each Member State, the annual inspection commitment, which is 15% of the average number of port calls of the previous 3 years. Moreover, at least 1 % of the total number of ships to be inspected every year should be randomly selected.

The mechanism classifies vessels calling at EU ports into one of four risk levels, as established in accordance with several risk parameters. The risk of non-compliance is higher for vessels having been classified with "**Risk level 1"** and lower for vessels with "**Risk level 4"**:

- **Risk level 1** (high risk)
- **Risk level 2** (medium risk)
- **Risk level 3** (low risk)
- **Risk level 4** (minimum risk)

The decision on which specific ships should be inspected lies with the PRF inspector and may take into consideration additional information gathered and national guidance.

The examination of information from the AWN, for example, can provide key elements for selecting a particular ship for inspection, in particular:

- last port and date where the waste was delivered,

- the amount of waste the ship has notified that it has on board and will deliver to the PRF,

- the maximum dedicated storage capacity for each type of waste on board the ship,

- how much waste the ship intends to keep on board after this port call, and

- how much waste the ship estimate that will be generated between the notification and the next port call.

Alerts

Alerts are warnings in THETIS-EU that indicate potential non-compliance with the PRF Directive received from a third party, especially from another MS. Currently, THETIS-EU provides the following type of alerts:

- Failure to comply with PRF reporting obligations
- Failure to comply with PRF reporting obligations based on validity checks of AWN content
- Not inspected
- Ship has not complied with the Article 7 of the PRF Directive
- Reported waste item/s exceed the UWC Beginning Calculation
- Incident Report of type waste has been issued

- Possible non-compliance with PRF directive

Additionally, until 19/04/2023, the following alert could also be raised, and is still visible in historical records:

- Ship sailed without complying with waste delivery

Details on the above alerts can be consulted in section 3.1 ‘Alerts’.

All the alerts, except for the alert ‘Possible non-compliance with PRF directive’, are taken in consideration as parameters in the algorithm that calculates the risk level, even though with different weights. The relation between alerts and risk parameters is described in section 3.2 ‘Risk Levels’.

Whenever there is an alert for a particular ship, it should be taken into consideration and investigated to the possible extension. If the ship is selected for inspection, the alert that triggered its selection should be archived (cleared) in THETIS-EU by the inspector after the inspection. The same applies in the case that the reason that originated the alert no longer applies.

2.2 On board inspection

Preliminary verifications

During the pre-boarding phase, significant information about the ship is collected which should be verified once on board. This information may be also important as part of the details that need to be recorded after the inspection:

- ship particulars and cargo on board,
- last port and date where the waste was delivered,
- in case the previous port of delivery was EU-port: verification of WR,
- the amount of waste the ship has notified that it has on board and will deliver to the PRF,
- the maximum dedicated storage capacity for each type of waste on board the ship,
- how much waste the ship intends to keep on board after this port call, and
- how much waste the ship estimate that will generated between the notification and the next port call.

The PRF Directive obliges ships to deliver the waste in each port and shall upon this receive a WR issued by the PRF operator or by the port authority. This should be kept on board for a minimum of two years. For those ships obliged to report in accordance with Directive 2002/59/EC, upon receiving the WR, they should report electronically the information contained in the WR in the applicable systems. Based on this, a PRF inspection should be limited to determining whether the ship:

- has delivered or will be delivering the waste at the inspection port; or
- has a valid exemption certificate in place, or
- has sufficient dedicated storage capacity to keep the waste on board until the next port of call.

In case a ship is not obliged to report electronically, some of the preliminary verifications suggested above cannot be performed. The notification forms and receipts available on board should then be consulted while on board instead.

Delivery of waste from ships

If the PRF inspection takes place before delivery of the waste from ships the inspector should check whether:

- an AWN has been received at the port of inspection;
- the information in the AWN is consistent with the current waste on board and waste storage capacities;
- the ship is already preparing for the waste to be delivered;
- the ship has been informed by the port, the ship's agent, the PRF or the waste contractor, that transport will arrive at the ship with suitable PRF at a certain time;
- if appropriate, the ship's agent has arranged for the ship to be serviced by PRF or a waste contractor; and,
- there have been no previous problems with the ship delivering its waste.

In addition to looking ahead to the waste that will be created, a check should also be carried out on the waste from the last journey. The captain can be enquired in case less waste than expected is found.

If the PRF inspection takes place after delivery of the waste, the inspector should additionally check that:

- delivery of the pre-notified waste did occur at the port of inspection,
- the delivery was complete,
- a WR is available for the current port and has been reported to the national single window
- and appropriate records have been made in the ship's record books.

It shall be noted that verification of record books will in some cases not be possible, if the applicable document is not required for that specific ship (example: ships < 100 GT are not obliged to have a Garbage Management Plan). In this case, visual verifications will be the main compliance validation mean.

In addition, a physical check on deck is recommended, also in the garbage storeroom, in the gally and in the engine room (including the incinerator), to check whether no waste has been left behind. If waste is lying around, the captain should be asked to place the waste in the appropriate waste bins and, if necessary, have the current content of the waste bins adjusted on the waste notification.

If during the inspection it is concluded that the maximum dedicated storage for a certain waste type is reported incorrectly, additionally to the possible raising of Non-Compliances, the correct waste storage capacity should be recorded in THETIS-EU.

Exempted ships

Inspectors should also monitor and enforce the arrangements for the delivery of waste for any exempted ships visiting their ports, or claiming to be exempted, from notifying, delivering or paying a fee for their waste (or any mixture of notifying, delivering or paying a fee) under Article 9 of the PRF Directive.

In order to verify that an exemption is valid for a ship, the inspector should:

- ask the master of the ship for the Exemption Certificate to ensure it is on board the ship;
- ensure that the Exemption Certificate is complete, is valid and is signed by the competent body from the MS (exemptions can only be given by a MS for the ports in their country);
- verify that the Exemption Certificate is applicable to the ship being inspected;

- verify that the conditions and requirements of the exemption are being fulfilled by inspecting the corresponding record books and verifying that the receipts are on board; Conditions and requirements are as follows:
    - a ship is engaged in a scheduled traffic with frequent and regular port calls,
    - an arrangement is in place (with proof of a signed contract and WRs) ensuring that the waste from the ship would be delivered, and the fees paid, in a port along the ship´s route,
    - the arrangement has been accepted by the port where delivery and fee payment will be taking place, and
    - the arrangement has been previously notified to the port where the inspection is taken place
- verify that any deviations from the route if any were made because of force majeure; and,
- verify that the waste is being delivered to the nominated PRF in the nominated port of the route.

Exceptions from Mandatory Delivery based on Sufficient Dedicated Storage

The PRF Directive provides the exception to deliver waste from ships when the ship has 'sufficient dedicated storage capacity' to keep the waste on board until the next port of call (Article 7.4). The determination of whether the ship has sufficient capacity on board for the waste and the amount of waste likely to be produced on the next voyage, must be based on the Commission Implementing Regulation 'Method for calculating Sufficient Storage Capacity' (Annex 1 of this document). The calculation will be available in THETIS-EU.

If based on the estimations performed, the competent authority considers that the ship has sufficient capacity to store the waste then the ship may be granted an Exception from mandatory delivery. The calculation in THETIS-EU, however, should be confirmed on board to the extent possible, in order to confirm that the information reported electronically is reliable.

Ascertaining compliance

Should the general impressions and on board checks of documentation confirm the ship is meeting the requirements of the PRF Directive then the inspection should be limited to the checks in subsection 2.2.2. However, situations might arise where proof may be needed to determine that the ship is not ready to deliver the Waste from Ships it has notified on the AWN, or no action has been taken to ensure this Waste from Ships will be delivered.

Depending on the case, evidence may be obtained through the inspection:

- of the capacities outlined in the documentation on board such as the Garbage Management Plan and the AWN;
- of the waste that the ship has declared that it will keep on board to confirm that the amount is accurate;
- of the remaining storage capacity on board to confirm that is adequate for the waste that will be generated;
- of the AWN of the previous port of delivery; and
- of the WRs of the previous ports of delivery in accordance with relevant entries in the record books to ensure that delivery has been occurring regularly.

It is important to underline those factors such as "sufficient storage capacity" and "next port of call known/unknown" should be taken into account as available at the time of inspection. Claims during an inspection such as that waste will be incinerated or compacted during the next voyage, resulting in "sufficient capacity", or that the next port of call will be known just before sailing shall be disregarded if not duly justified.

In addition, the inspector may verify whether the AWN submitted prior arrival to the port fulfilled the requirements in the PRF Directive (Article 6.1). In particular, the inspector may check if the AWN:

- is present on board the ship;
- has been filled in appropriately with information on the actual waste generated on board;
- is correct for the relevant types of waste; and
- reported the waste storage capacities as stated in the relevant documentation on board (e.g. Garbage Management Plan, Supplement to the IOPP Certificate and the International Sewage Pollution Prevention Certificate).
- Corresponds to the data that has been reported to the national single window

2.3 Non-compliances

Non-compliances can be raised if the competent authority considers that the ship:

- is not ready to deliver the waste it has notified on the AWN;
- no action has been taken to ensure the waste will be delivered;
- does not have sufficient capacity to store the waste to be kept on board and the waste that will be produced on the next voyage;
- has not submitted the AWN according to the requirements in the PRF Directive;
- is not operating in line with the conditions under which the Exemption Certificate was issued; a relevant enforcement action should be undertaken;
- Or does not keep the WR on board for a period of at least two years.

Any enforcement actions should be undertaken in accordance with the national legislation transposing the PRF Directive in the MS and any non-compliances found during the PRF Inspection should be reported in THETIS-EU.

MSs have several tools that can be used to ensure compliance with the PRF Directive once a non-compliance has been identified. These actions range from:

- a warning or simple request to comply with any non-conformity, such as re-notification;
- a formal request to deliver waste before the vessel leaves, for example when there is no sufficient storage capacity for the ships waste for the next journey;
- holding the ship to ensure notification and delivery of all or part of the waste. However, if this happens then the flag State of the ship should be informed in order to follow international practice during survey and inspection. If a ship leaves without notifying and/or delivering its waste, or without following an enforcement request then the next port of call should be notified through THETIS_EU and a manual alert should be included; and,
- penalties as per the provisions in national legislation or for more serious cases a legal case can be initiated against master of the ship/company based on the provisions of the MS national legislation. If the non-compliance is also a deficiency under MARPOL, the relevant authorities should also be informed.

The use of these enforcement rules and penalties are at the discretion of the competent authorities.

A non-exhaustive list of non-compliances and potential actions that could be taken under the PRF Directive can be found in Annex 3.

3 Using THETIS-EU for PRF inspections

THETIS-EU inspection database has a supporting role within the enforcement of the PRF Directive. The tool provides the following functionalities:

- Calculates and displays a risk level for each vessel
- Displays the annual inspection commitment for each Member State (minimum number of inspections that should be undertaken in that year)
- Calculates and displays an indicator of the UWC for each waste type and the correspondent thresholds for evaluating if there is sufficient dedicated storage
- Raises automatic alerts and enables inspectors to insert manual ones to raise attention to specific vessels with non-compliances to the PRF Directive.
- Displays active waste exemptions[8] and waste incidents
- Display ship and port call details, including the Advanced Waste Notifications and Waste Receipts issued and statutory certificates.
- Provides a database for the competent authorities to report PRF inspection results, for the enforcement of the PRF Directive as per PRF Directive Article 14. Previous inspections can also be consulted.
- Along with the outcome of the inspection, provides a database for inserting other ship specific information that could be of relevance for future inspections, like for example the actual storage capacity on board, in particular if different from the value reported in the notification.

Inspectors should report without delay to the THETIS-EU database the information related to the PRF inspections, including information regarding non-compliance as soon as the inspection report has been completed, and information related to any prohibition of departure orders.

The annual commitment, the number of random inspections to be undertaken in that year and statistics on the inspections already recorded can be consulted in THETIS-EU under ‘Inspection Overview’ (see Figure 1).

[8] the relevant competent authorities in the MSs shall ensure that any exemption which has been granted is recorded in SSN.

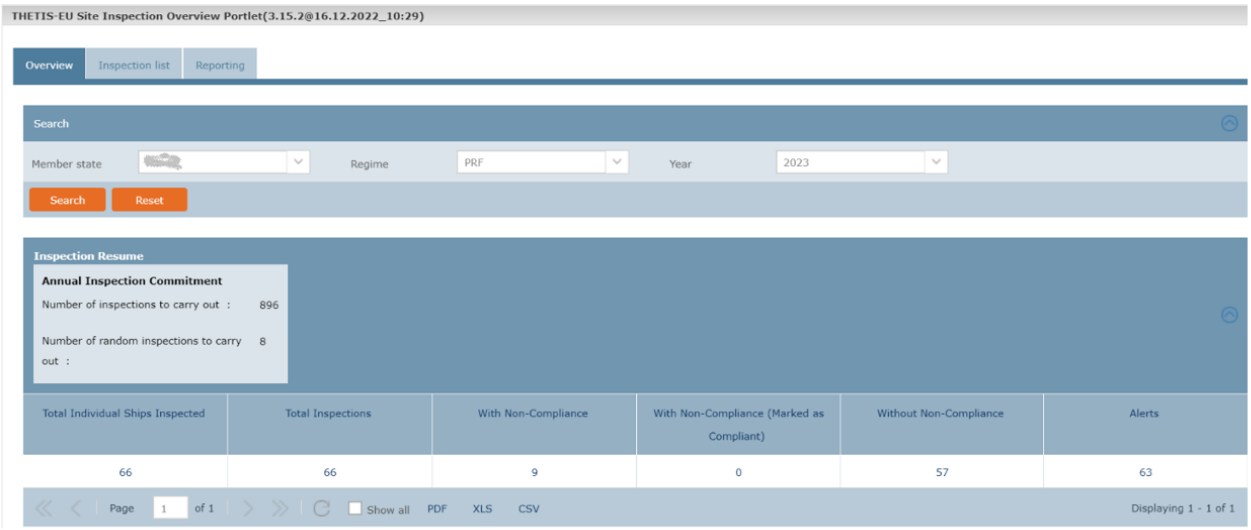


Figure 1: annual inspection commitment in THETIS-EU.

3.1 Alerts

Manual alerts may be used by inspectors to notify other MSs of a possible infringement of the PRF Directive, which may lead to a follow-up inspection at the next port of call. Additionally, some alerts are raised automatically by the system if some conditions are met.

In THETIS-EU PRF Module, the alert status is one of the parameters that can be used to search for specific ships (see Figure 2)

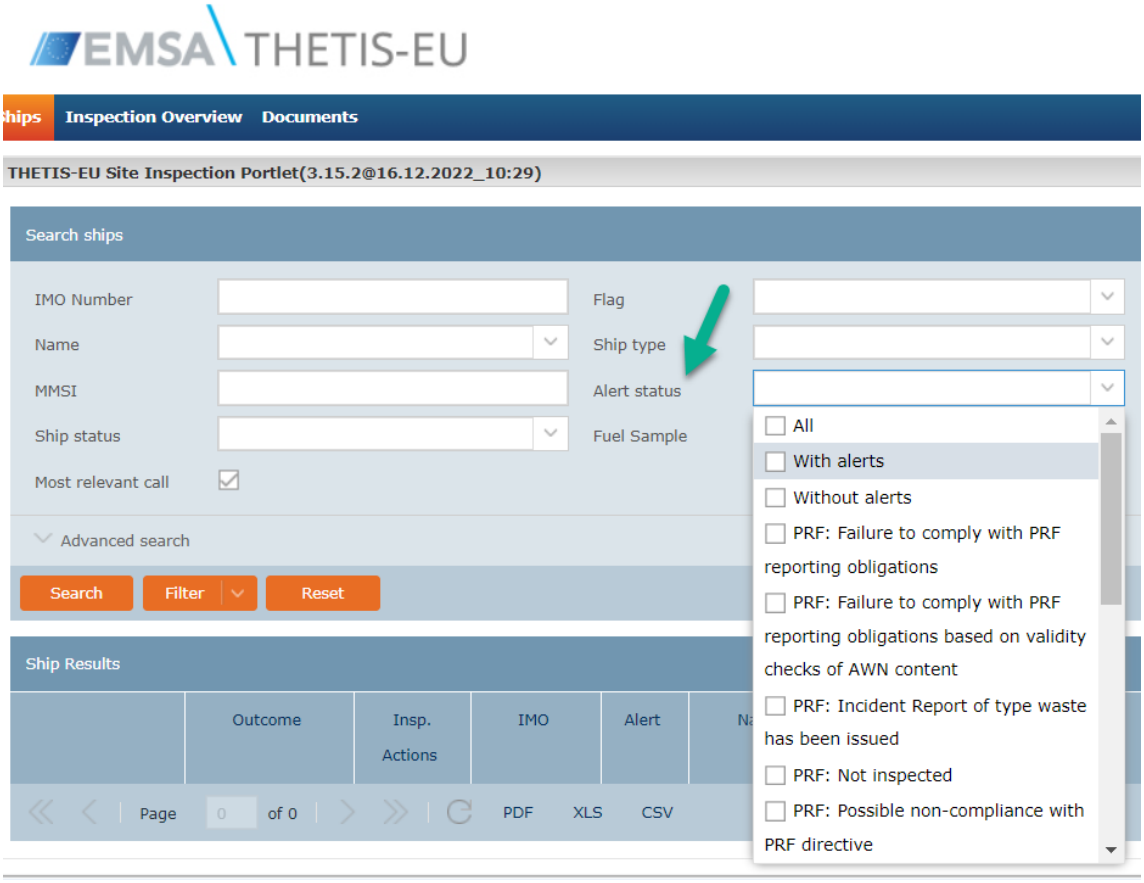


Figure 2: alert status can be used to search for specific ships in THETIS-EU.

In the list of 'Ship Results' of THETIS-EU (see Figure 3), the column 'Alert' displays symbols for active alerts. When hoovering with the Mouse over the symbol, a text indicating the type of alert is also displayed.

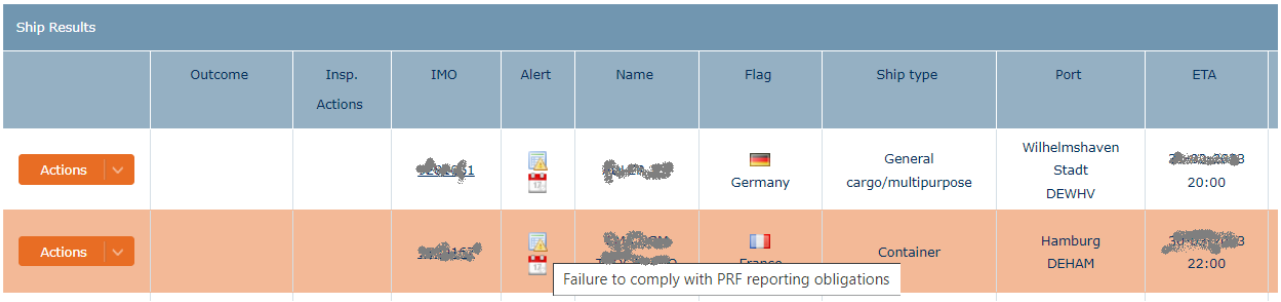


Figure 3:display of alert symbol and text in THETIS-EU.

When going to the 'Ship Details' in THETIS-EU, it is possible for the user to get more information on the reason behind the activation of the alert. See Figure 4 as an example.

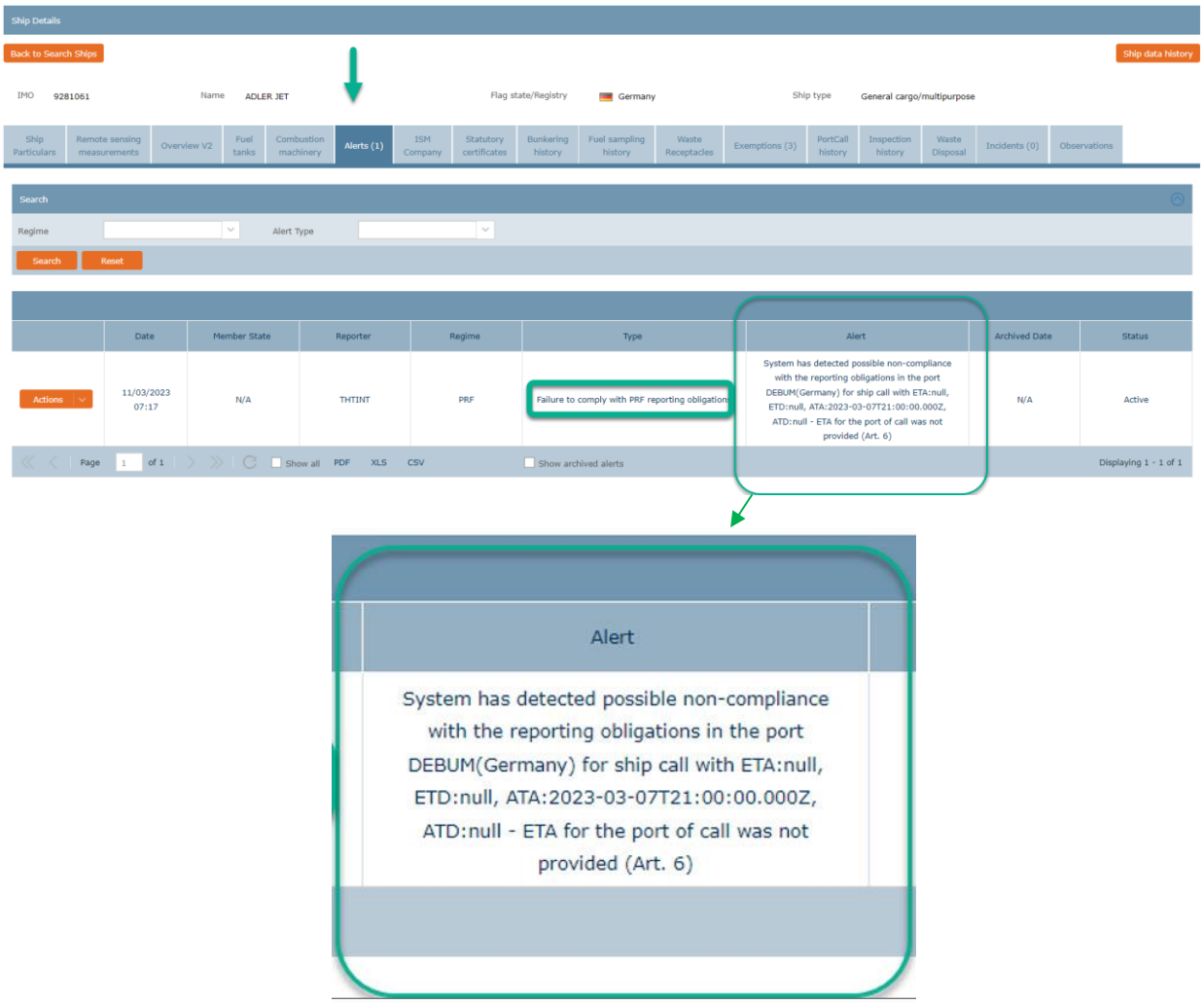


Figure 4:display details on the reason behind the alert activation.

With the adaption of THETIS-EU to PRF Directive (EU) 2019/889, 4 new alerts have been added to the 4 already available in the system, which were:

- Failure to comply with PRF reporting obligations:
- Possible non-compliance with PRF directive: and,
- Ship sailed without complying with waste delivery
- Not inspected

Additionally, alert of type 'Ship sailed without complying with waste delivery' cannot be created anymore as from 19/04/2023 and instead the new alert of type 'Ship has not complied with the Article 7 of the PRF Directive" shall be used. It remains in the system for visualisation of historical data.

There are currently 8 types of alerts in THETIS-EU, which are described in detail in Table 1 below.

Alert Type	Description/Conditions to be active	Manual or Automatic ?	Reset Condition	Displayed Message
Failure to comply with PRF reporting obligations	This alert is set automatically if the AWN was not sent, not sent on time, or does not contain the mandatory elements. It can also be set manually by an user, to indicated non-compliance with Article 6 (“Advanced Waste Notification”) of the PRF Directive. The system evaluates at each port call if such an alert needs to be set.	Both	The alert must be archived manually or is automatically archived if another alert of the same type is created or is automatically archived after 6 months	Failure to comply with PRF reporting obligations
Failure to comply with PRF reporting obligations based on validity checks of AWN content	This alert is set automatically if at least one of the following conditions occur: (1) At least one ‘Waste Receptable’ exists in THETIS-EU and its capacity exceeds the one indicated in the AWN (2) The Maximum Dedicated Storage Capacity 'M' indicated in the AWN is not consistent (equal) with values reported in the past OR (3) ‘Port at Which Remaining Waste will be delivered’ indicated in the AWN has not a PRF for the specific type of waste The system evaluates at each port call if such an alert needs to be set.	Only Automatic	The alert must be archived manually or is automatically archived if another alert of the same type is created or is automatically archived after 6 months	Failure to comply with PRF reporting obligations based on validity checks of AWN content

Alert Type	Description/Conditions to be active	Manual or Automatic ?	Reset Condition	Displayed Message
Not inspected	This alert is activated in one of the two situations: (1)Ship has never been inspected (2)OR ship has been inspected but more than 12 months ago The system evaluates at each port call if such an alert needs to be set.	Only Automatic	The alert must be archived manually or is automatically archived if there is an inspection in the last 12 months	Depending on the two cases, there are two different displays of the alert: Last PRF inspection older than 1 year Or No PRF inspection recorded
Ship has not complied with the Article 7 of the PRF Directive	Is set manually by an user, to indicated non-compliance with Article 7 (“Delivery of Waste from Ships”) of the PRF Directive.	Only Manual	The alert must be archived manually or is automatically archived if another alert of the same type is created or is automatically archived after 6 months	
Reported waste item/s exceed the UWC Beginning Calculation	Is set automatically by the system in case the UWC is higher than the threshold for at least one waste type. The system evaluates at each port call if such an alert needs to be set.	Only Automatic	The alert must be archived manually or is automatically archived if another alert of the same type is created or is	Reported waste item/s exceed the UWC Beginning Calculation

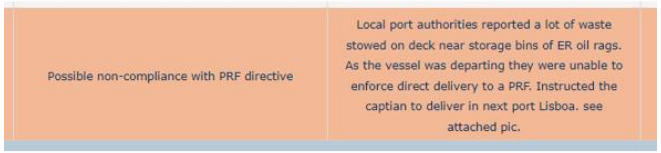
Alert Type	Description/Conditions to be active	Manual or Automatic ?	Reset Condition	Displayed Message
			automatically archived after 6 months	
Incident Report of type waste has been issued	Is set automatically by the system in case both conditions apply: (1) Incident Report of type waste for that vessel is active in SafeSeaNet AND (2) there are no inspection reports for that vessel without non-compliances The system evaluates at each port call if such an alert needs to be set.	Only Automatic	The alert must be archived manually or is automatically archived if another alert of the same type is created or is automatically archived after 6 months	
Possible non-compliance with PRF directive	To be used to indicate non-compliances not contemplated by the other alerts. 	Only Manual	The alert must be archived manually or is automatically archived if another alert of the same type is created or is automatically archived after 6 months	Possible non-compliance with PRF directive
Ship sailed without complying with waste delivery	Not available anymore, only historical records.			

Table 1: Description of the alerts available for PRF in THETIS-EU.

Warning: With regards to automatic alerts, calculated at each port call, the following should be understood: even if the conditions to activate each alert are assessed at each port call, an alert previously risen on a past port call will remain active until archived. The following situation could occur, for example: at current port (port B) the AWN has been sent on time, but if it was not sent on time in the previous port (port A). The inspector in the previous port (port A) did not archive the alert of type 'Failure to comply with PRF reporting obligations', so the vessel will still have an active alert of this type at port B.

It shall be noted that an alert entered to THETIS-EU by an inspector after a ship has left may still be edited by this inspector. The alert could also be cleared (archived), e.g. in the case additional evidence/information is received after the ship's departure.

Moreover, all the alerts described in Table 1, except the alert of type 'Possible non-compliance with PRF directive' are used to activate risk parameters, and therefore contribute to the calculation of the ship risk levels, as described in the next section.

On identifying a non-compliance with the PRF Directive, a MS can also make use of the Incidents of SafeSeaNet [9]and issue an Incident Report of Type Waste (see Annex 8 for details) to inform other MSs. This will create an alert for the next port.

3.2 Risk Levels

As described in Commission Implementing Regulation (EU) 2022/90 (see Annex 2), a vessel can have one of the four risk levels below:

Risk level 1 (high risk)
Risk level 2 (medium risk)
Risk level 3 (low risk)
Risk level 4 (minimum risk)

The risk level will be visible in THETIS-EU (see Figure 5).

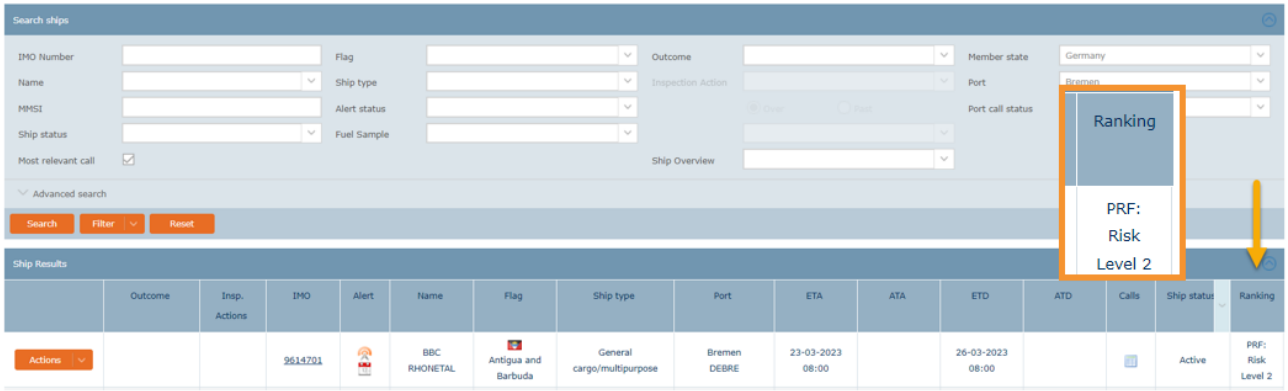
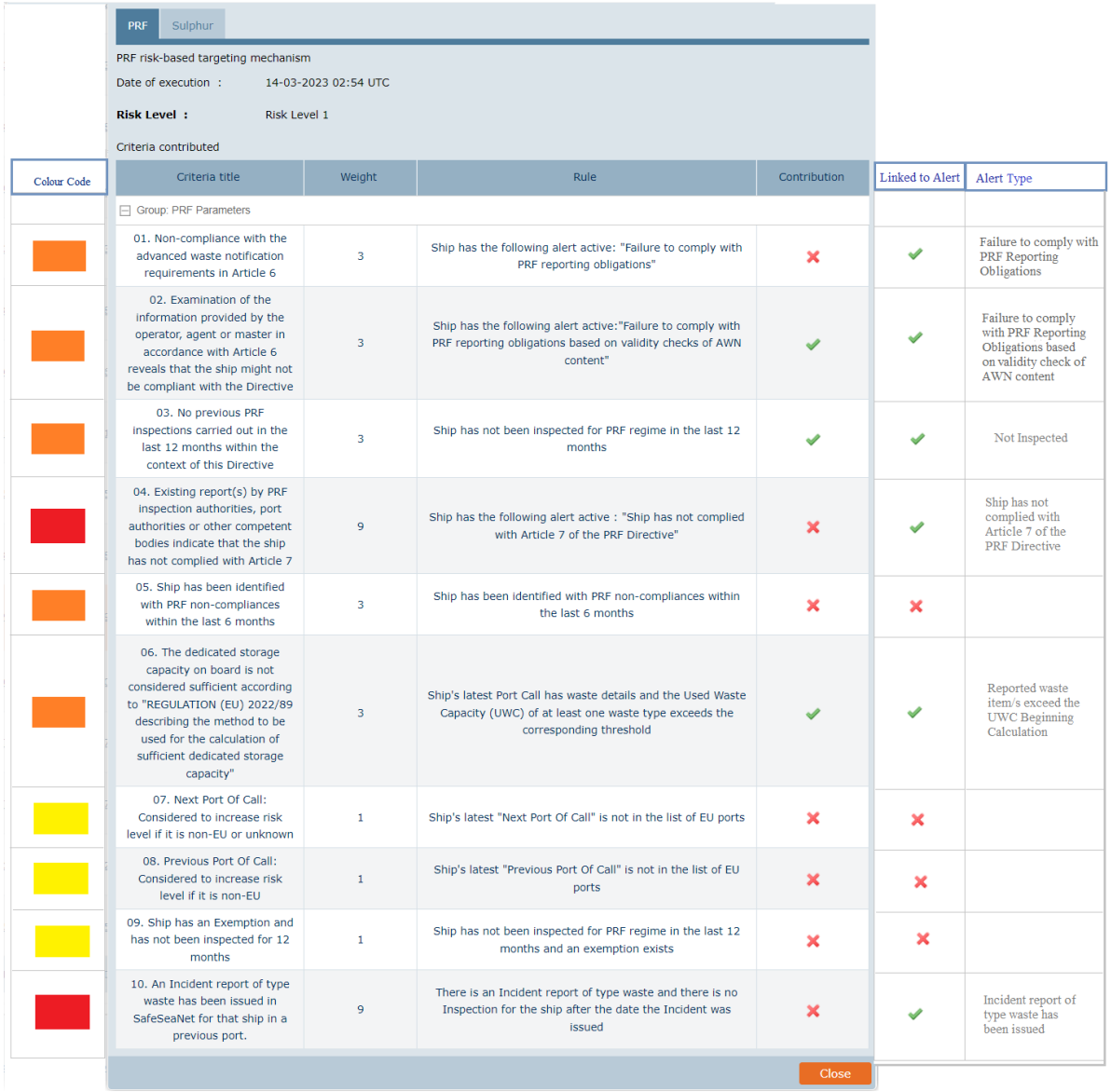


Figure 5:display details on the reason behind the alert activation.

On selecting the button 'Actions->Ship->Overview', the list of risk parameters (designated in THETIS-EU as criteria) and its contribution to the calculated risk level is displayed. Figure 6 is an example of what is displayed in THETIS-EU. The window has been complemented to the left with the colour code (see Annex 2), which is setting the weight of each parameter to the final risk level. The window has been complemented to the right with the indication if there is a link to an alert (e.g., in case such an alert is active, that risk parameter will contribute to the risk level calculation).

[9] See SSN Incident Report Guidelines (v2.2) in https://www.emsa.europa.eu/ssn-main/documents.html



PRF | Sulphur

PRF risk-based targeting mechanism

Date of execution : 14-03-2023 02:54 UTC

Risk Level : Risk Level 1

Criteria contributed

Colour Code	Criteria title	Weight	Rule	Contribution	Linked to Alert	Alert Type
	Group: PRF Parameters					
	01. Non-compliance with the advanced waste notification requirements in Article 6	3	Ship has the following alert active: "Failure to comply with PRF reporting obligations"	✗	✓	Failure to comply with PRF Reporting Obligations
	02. Examination of the information provided by the operator, agent or master in accordance with Article 6 reveals that the ship might not be compliant with the Directive	3	Ship has the following alert active:"Failure to comply with PRF reporting obligations based on validity checks of AWN content"	✓	✓	Failure to comply with PRF Reporting Obligations based on validity check of AWN content
	03. No previous PRF inspections carried out in the last 12 months within the context of this Directive	3	Ship has not been inspected for PRF regime in the last 12 months	✓	✓	Not Inspected
	04. Existing report(s) by PRF inspection authorities, port authorities or other competent bodies indicate that the ship has not complied with Article 7	9	Ship has the following alert active : "Ship has not complied with Article 7 of the PRF Directive"	✗	✓	Ship has not complied with Article 7 of the PRF Directive
	05. Ship has been identified with PRF non-compliances within the last 6 months	3	Ship has been identified with PRF non-compliances within the last 6 months	✗	✗	
	06. The dedicated storage capacity on board is not considered sufficient according to "REGULATION (EU) 2022/89 describing the method to be used for the calculation of sufficient dedicated storage capacity"	3	Ship's latest Port Call has waste details and the Used Waste Capacity (UWC) of at least one waste type exceeds the corresponding threshold	✓	✓	Reported waste item/s exceed the UWC Beginning Calculation
	07. Next Port Of Call: Considered to increase risk level if it is non-EU or unknown	1	Ship's latest "Next Port Of Call" is not in the list of EU ports	✗	✗	
	08. Previous Port Of Call: Considered to increase risk level if it is non-EU	1	Ship's latest "Previous Port Of Call" is not in the list of EU ports	✗	✗	
	09. Ship has an Exemption and has not been inspected for 12 months	1	Ship has not been inspected for PRF regime in the last 12 months and an exemption exists	✗	✗	
	10. An Incident report of type waste has been issued in SafeSeaNet for that ship in a previous port.	9	There is an Incident report of type waste and there is no Inspection for the ship after the date the Incident was issued	✗	✓	Incident report of type waste has been issued

Close

Figure 6:window with risk parameters (criteria) contributing to risk level and some additional relevant information.

Table 2 provides a detailed description of the 10 risk parameters that are used to calculate the risk level. Indicating the conditions that enable the contribution of that parameter and the reset conditions, as well as the links to the alerts.

#	Criteria Name	Condition for Criteria to be Active	Link to alert	Reset Condition
1	Non-compliance with the advanced waste notification requirements in Article6	AWN was not sent or not sent on time	An alert of type 'Failure to comply with PRF Reporting Obligations' will be automatically created if the criteria is active	Condition is checked at Port A based on the AWN sent to Port A. Condition is reassessed at each Port. If the alert is archived, the criteria will be deactivated
		OR AWN did not contain mandatory information	An alert of type 'Failure to comply with PRF Reporting Obligations' will be automatically created if the criteria is active	
		OR there is an alert manually created of type 'Failure to comply with PRF Reporting Obligations'	Criteria will be activated by the alert	
2	Examination of the information provided by the operator, agent or master in accordance with Article 6 reveals that the ship might not be compliant with the Directive	At least one 'Waste Receptable' exists in THETIS-EU and its capacity exceeds the one indicated in the AWN	An alert of type 'Failure to comply with PRF reporting obligations based on the validity check of AWN content' will be automatically created if the criteria is active	Condition is checked at Port A based on the AWN sent to Port A. Condition is reassessed at each Port. If the alert is archived, the criteria will be deactivated
		The Maximum Dedicated Storage Capacity 'M' indicated in the AWN is not consistent (equal) with values reported in the past		
		'Port at Which Remaining Waste will be delivered' indicated in the AWN has not a PRF for the specific type of waste		

#	Criteria Name	Condition for Criteria to be Active	Link to alert	Reset Condition
3	No previous PRF inspections carried out in the last 12 months, within the context of this Directive	Ship was not inspected for PRF in the last 12 months	An alert of type 'Not Inspected' will be automatically created if the criteria is active	If an inspection report is created OR If the alert is archived, the criteria will be deactivated
4	Existing report(s) by PRF inspection authorities, port authorities or other competent bodies indicating that the ship has not complied with Article 7	There is an alert manually created of type 'Ship has not complied with Article 7 of the PRF Directive'	Criteria will be activated by the alert of type 'Ship has not complied with Article 7 of the PRF Directive'	After an inspection is concluded (status 'inspected') and has taken place without non-compliances, the criteria is set to inactive OR If the alert is archived, the criteria will be deactivated
5	Ship has been identified with PRF non-compliances within the last 6 months	Ship has been identified with PRF non-compliances within the last 6 months	No link to any alert	After an inspection is concluded (status 'inspected') and has taken place without non-compliances, the criteria is deactivated
6	The dedicated storage capacity on board is not considered sufficient according to "REGULATION (EU) 2022/89 describing the method to be used for the calculation of sufficient dedicated storage capacity"	UWC calculated in THETIS-EU is above the threshold for at least one waste type	An alert of type 'Reported waste items/s exceed the UWC Beginning Calculation' will be automatically created if the criteria is active	Condition is checked at Port A based on the AWN sent to Port A. Condition is reassessed at each Port. If the alert is archived, the criteria will be deactivated
7	Next Port Of Call: Considered to increase risk level if non-EU or unknown.	Ship's must recent 'Next Port Of Call' is not in the list of EU ports[10]	No link to any alert	Condition is checked at Port A based on the AWN sent to Port A. Condition is reassessed at each Port

[10] For the computation of this criteria, ports located in Iceland, Norway, United Kingdom (including Isle of Man, Channel Islands and Gibraltar) and Russian ports located in the Baltic Sea are to be treated as EU.

#	Criteria Name	Condition for Criteria to be Active	Link to alert	Reset Condition
8	Previous Port Of Call: Considered to increase risk level if non-EU.	Ship's latest 'Previous Port Of Call' is not in the list of EU ports[1]	No link to any alert	Condition is checked at Port A based on the AWN sent to Port A. Condition is reassessed at each Port
9	Ship has an Exemption and has not been inspected for 12 months	Criteria active if ship has an exemption and has not been inspected for 12 months	No link to any alert	Condition is checked at Port A based on the AWN sent to Port A. Condition is reassessed at each Port
10	An Incident report of type waste has been issued in SafeSeaNet for that ship in a previous port	An Incident Report of type waste for that vessel is active in SSN AND there are no inspection reports for that vessel without Non-compliances[11]	Criteria will be activated by the alert of type 'Incident report of type waste has been issued'	After an inspection is concluded (status 'inspected') and has taken place without non-compliances or after the Incident is inactive in SSN

Table 2: Description of the risk parameters (designated as criteria in THETIS-EU).

3.3 Recording of Inspections

Recording of inspections is done by selection the button 'Action-> Process Inspection-> New' in THETIS-EU.

The following window (see Figure 7) will be displayed, where 'Regime' and 'Inspection Type should be set to 'PRF'. The Inspection outcome has to be selected and It is possible to add 'Inspection Actions', which can be interpreted as the main overall Inspection actions (other actions can be recorded later, for each identified non-compliances).

[11] Inspection reports created after the date of the incident.

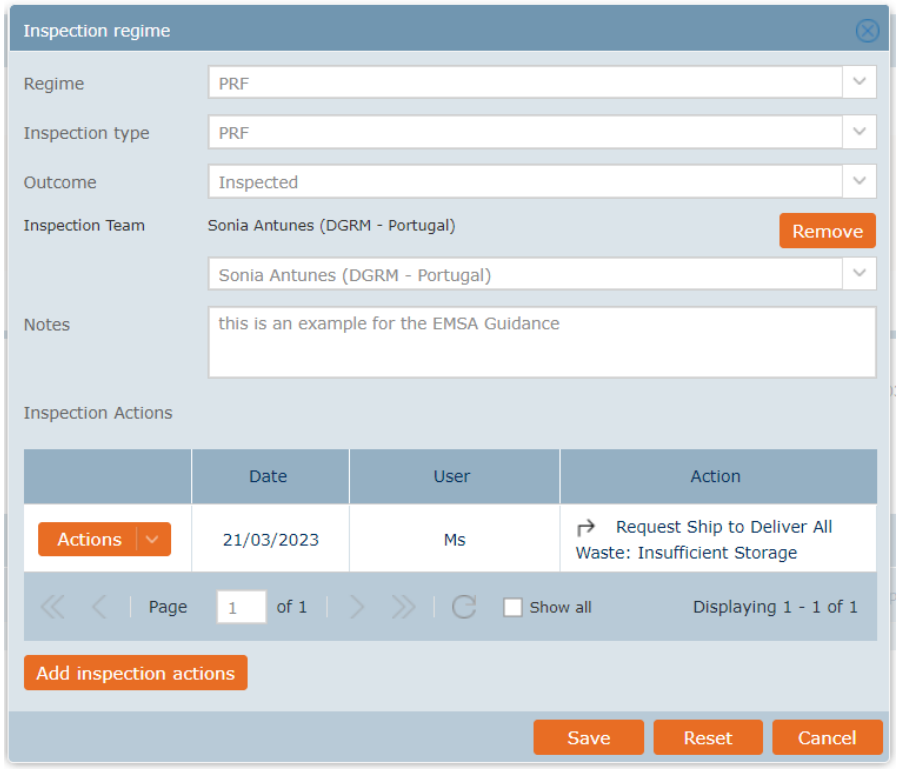


Figure 7:window in THETIS-EU when creating a new inspection.

Inspection outcomes and follow-up actions

There are three possible inspections outcomes in THETIS-EU:

- “Inspection on-going”,
- “Inspected” and
- “Inspected and Penalty Applied”.

While being processed in THETIS-EU, the outcome should be set to ‘Inspection on-going’. The inspection outcome is visible to all authorised users. As soon as a PRF Inspection is finalised, the outcome should be changed to ‘Inspected’ or to ‘Inspected and Penalty Applied’.

As a result of the inspection the overall Inspection Actions can be:

- Prohibition of Departure Order Issued (Article 14.2)
- Prohibition of Departure Order Lifted (Article 14.2)
- Prohibition of Departure Order Revoked (Article 14.2)
- Request Ship to Deliver All Waste: Insufficient Storage
- Request Ship to Deliver All Waste: PRF (Article 7.5(a))
- Request Ship to Deliver All Waste: Next Port Unknown (Article 7.5(b))

The outcome of the inspection as well as potential non-compliances, nature of the defect and inspection actions should be appropriately reported by the inspector. After creating a new Inspection, a dedicated window (see Figure 8) will be open where the inspection results and associated relevant information can be inserted by the inspector.

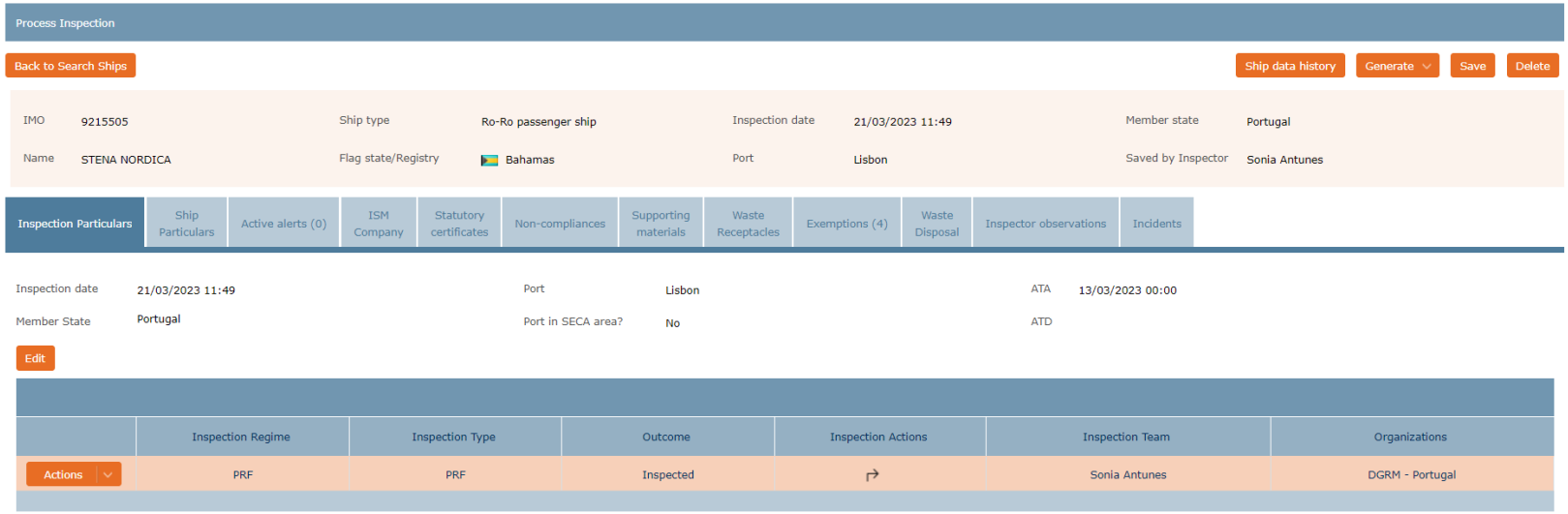


Figure 8:window in THETIS-EU to insert information of the inspection.

The elements that can be reported are:

- Identified Non-compliances, with associated nature of defects and actions taken (see Annex 3)
- Supporting materials (see Figure 9 for possible document types)
- Waste Receptacles
- Waste Disposals
- Inspector Observations

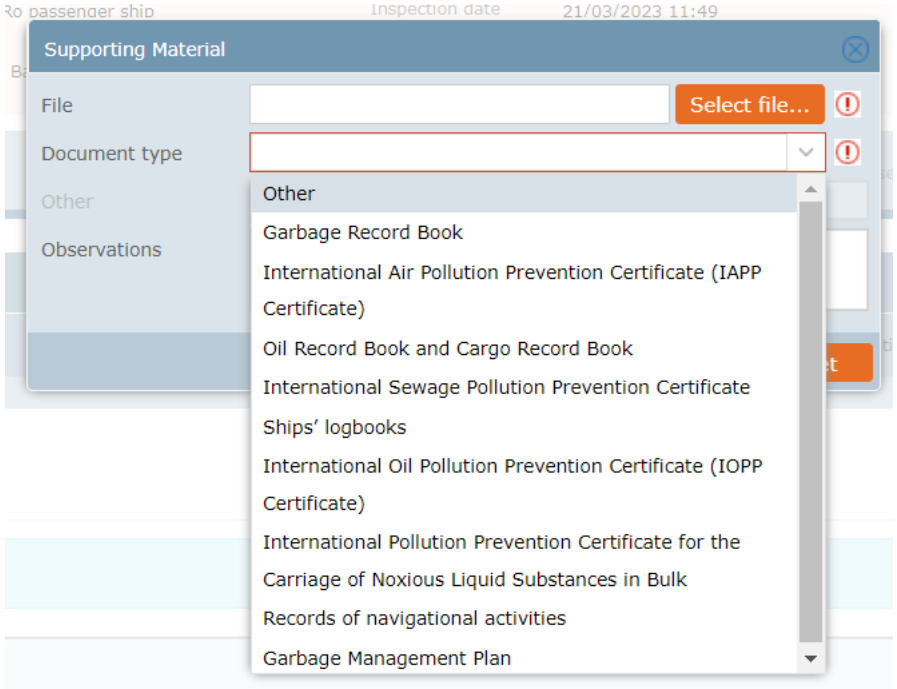


Figure 9:possible types of documents that can be uploaded in an inspection in THETIS

Appendix A List of Annexes

Annex 1	Implementing Regulation on the Calculation of the Sufficient storage Capacity
Annex 2	Implementing Regulation on the Risk Based Targeting Mechanism
Annex 3	List of Non-Compliances and Inspection Actions
Annex 4	AWN form
Annex 5	WR form
Annex 6	Exemption certificate form
Annex 7	Scope PRF Directive
Annex 8	SSN Incident Report type Waste

Annex 1 Method for calculating Sufficient Storage Capacity

II

(Non-legislative acts)

REGULATIONS

COMMISSION IMPLEMENTING REGULATION (EU) 2022/89

of 21 January 2022

laying down rules for the application of Directive (EU) 2019/883 of the European Parliament and of the Council as regards the method to be used for the calculation of sufficient dedicated storage capacity

(Text with EEA relevance)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Directive (EU) 2019/883 of the European Parliament and of the Council of 17 April 2019 on port reception facilities for the delivery of waste from ships, amending Directive 2010/65/EU and repealing Directive 2000/59/EC ([1]), and in particular Article 7(4), second subparagraph, thereof,

Whereas:

(1) Article 7(4), points (a) and (b), of Directive (EU) 2019/883 establishes an exception from the general obligation to deliver all waste carried on board to the port of call for ships that have sufficient dedicated storage capacity for all waste that has been accumulated and will be accumulated during their intended voyage until the next port of call.

(2) By applying the calculation method defined in this Regulation, Member States should be able to implement the exceptions from the general obligation to deliver all waste carried on board with respect to availability of sufficient storage space in a harmonised way.

(3) The calculation method should not be applied to waste disposal under Annex II to the International Convention for the Prevention of Pollution from Ships ('MARPOL Convention'). As set out in Annex II to the MARPOL Convention, waste disposal is regulated by the MARPOL Convention and the delivery of such waste is either mandatory at the port where cargo is unloaded before a new cargo is loaded or discharge at sea is permitted under certain conditions. Depending on the substance, delivery of cargo residues regulated by Annex II to the MARPOL Convention is mandatory before departure, subject to the procedures and control established under Regulations 13 and16 of that Annex. Cargo residues under Annex II to the MARPOL Convention containing category X substances, high-viscosity persistent floating Y substances and high-viscosity or solidifying Y substances, are regulated by mandatory pre-wash and requirements to deliver such waste in a port reception facility set out in Regulations 13 and 16 of Annex II to the MARPOL Convention.

(4) The calculation method should not be applied to passively fished waste. Dedicated storage for this type of waste on board does not always exist and delivery of all passively fished waste is incentivised by the cost recovery system set out in Article 8(2), point (d), of Directive (EU) 2019/883.

([1]) OJ L 151, 7.6.2019, p. 116.

(5) In order to provide for uniform conditions for the application of the exemptions to the waste delivery obligation set out in Article 7(4), points (a) and (b), of Directive (EU) 2019/883, it is indispensable that Member States apply a harmonised methodology. Implementing acts adopted pursuant to Directive (EU) 2019/883 should therefore take the form of implementing regulations.

(6) The measures provided for in this Regulation are in accordance with the opinion of the Committee on Safe Seas and Prevention of Pollution from Ships,

HAS ADOPTED THIS REGULATION:

Article 1

1. Member States shall calculate the sufficient dedicated storage capacity for the application of Article 7(4), points (a) and (b), and Article 9 of Directive (EU) 2019/883 by using the method set out in Annex I to this Regulation.

2. For the purpose of verifying the information provided in accordance with Annex 2 to Directive (EU) 2019/883, by estimating the on-board generation of different waste types, Member States shall take into account the waste generation rates set out in Annex II to this Regulation.

3. In addition to the waste generation rates set out in Annex II to this Regulation, Member States may use one or both of the following criteria to determine estimates for the on-board generation of different waste types:

(a) historic records for generated waste, based on advance waste notification forms and waste delivery receipts available for the ship in question;

(b) on-board inspections obtaining information on previous waste generation rates, details of on-board waste management and equipment specific or trading area specific information affecting the actual waste generation rate.

Article 2

The method for calculating the sufficient dedicated storage capacity, set out in Annex I to this Regulation, shall not be applicable to the following waste types:

(a) waste types under Annex II to the MARPOL Convention;

(b) passively fished waste.

Article 3

This Regulation shall enter into force on the twentieth day following that of its publication in the *Official Journal of the European Union*.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Brussels, 21 January 2022.

For the Commission
The President
Ursula VON DER LEYEN

ANNEX I

Calculation method for sufficient dedicated waste storage capacity

1. The method uses an arithmetic calculation based on the estimated amounts of waste retained on board in relation to the maximum dedicated storage capacity.

2. The Used Waste Capacity ('UWC'), estimated at the time of sending the advance waste notification to the port of call and expressed as a percentage of the maximum dedicated storage capacity, shall not exceed a predefined threshold.

3. The UWC shall be calculated with the following formula:

$$\text{UWC (\%)} = \frac{A*100}{M}$$

4. The UWC shall comply with the following condition:

$$\text{UWC (\%)} < \text{Threshold}$$

Where:

A is the estimated amount of waste type to be retained on board at the time of departure from the port of call (expressed in m^3);

M is the Maximum dedicated storage capacity (expressed in m^3);

Threshold is the value set out in Table 1, for the corresponding type of waste and next port of call.

Table 1

Thresholds

Next port of call	Annex I to the MARPOL Convention	Annex IV to the MARPOL Convention	Annex V to the MARPOL Convention	Annex VI to the MARPOL Convention
Next port of call is an EU-port or is in the 'Group of Additional Selected Ports'	50 %	50 %	25 %	75 %
Next port of call is not an EU-port, nor is in the 'Group of Additional Selected Ports'	25 %	50 %	20 %	25 %

5. For the purpose of using the calculation method for sufficient dedicated waste storage capacity, the following shall apply:

   (a) Port of call, as indicated in the advance waste notification form set out in Annex 2 to Directive (EU) 2019/883, is the port where the ship is heading and where the advanced waste notification is sent to, in accordance with Article 6 of Directive (EU) 2019/883;

   (b) Next port of call is the port to be called after departure, as indicated in point 2.5 of the advance waste notification form set out in Annex 2 to Directive (EU) 2019/883;

   (c) The amount indicated in the sixth column 'Estimated amount of waste to be generated between notification and next port of call' of point 3 of the advance waste notification form set out in Annex 2 to Directive (EU) 2019/883 refers to waste generated and intended to be disposed at a port reception facility. Amounts that may be legally discharged shall not be included in the reported value.

6. The 'Group of Additional Selected Ports' includes those ports that are to be considered as EU-ports for the purpose of the application of the thresholds set out in Table 1. The ports included in this group are all ports located in: Iceland, Norway, United Kingdom (including Isle of Man, Channel Islands and Gibraltar) and Russian ports located in the Baltic Sea.

7. During the first two years of application of this Regulation, the UWC as calculated in the third paragraph of this Annex may be treated as indicative for the following cargo residues waste types:

   (a) MARPOL Annex I – Oil: Oily tank washings;

   (b) MARPOL Annex I – Oil: Dirty Ballast Water;

   (c) MARPOL Annex V – Garbage: Cargo Residues (HME);

   (d) MARPOL Annex V – Garbage: Cargo Residues (non-HME).

ANNEX II

Table 1

Waste Generation Rates for Annexes I, IV and V to the MARPOL Convention [1]

Type of waste	Generation rate	Driver	On-board treatment
Oily bilge water	0,01-13 m^3 per day, larger ships generate larger quantities.	Condensation and leakages in the engine room; size of the ship.	The amount can be reduced by 65-85 % by using an oil water separator and discharging the water fraction into the sea.
Oily residues (sludge)	0,01 to 0,03 m^3 of sludge per tonne of HFO. 0 and 0,01 m^3 per tonne of MGO.	Type of fuel; fuel consumption.	Evaporation can reduce the amount of sludge by up to 75 % [2]. Incineration can reduce the amount of sludge by 99 % or more.
Tank washings (slops)	20 to hundreds of m^3	Number of tank cleanings; size of loading capacity.	After settling, the water fraction may be discharged at sea.
Sewage	0,01 to 0,06 m^3 per person per day. Sewage is sometimes mixed with other waste water. The total amount ranges from 0,04 to 0,45 m^3 per day per person.	Number of persons on-board; type of toilets; length of voyage; type of treatment: the operation of a sewage treatment plant, or comminuting and disinfection system provides different quantities of waste	Effluent from treatment plants is often discharged at sea where permitted under MARPOL Annex IV.
Plastics	0,001 to 0,008 m^3 of plastics per person per day.	Number of persons on-board.	Often not incinerated. Dirty plastics (plastics that have been in contact with food) are often treated as a separate waste stream.
Food wastes	0,001 to 0,003 m^3 per person per day.	Number of persons on-board; provisions.	Where permitted under MARPOL Annex V, food waste is often discharged at sea.
Domestic wastes	0,001 to 0,02 m^3 per day per person.	Number of persons on-board; type of products used.	
Cooking oil	0,01 to 0,08 litres per person per day.	Number of persons on-board; type of food prepared.	Although not permitted, cooking oil is sometimes still added to the sludge tank.
Incinerator ashes	0,004 and 0,06 m^3 per month.	Use of incinerator; cost of using incinerator.	The incinerator is not used for all types of waste, mostly for paper sometimes for oily sludge.
Operational wastes	0,001 to 0,1 m^3 per person per day.	Size of the ship; type of cargo.	
Cargo residues	0,001-2 % of cargo load.	Type of cargo. Size of ship.	

[1] Extracted from EMSA's study 'The Management of Ship-Generated Waste On-board Ships', January 2017.
[2] Evaporation of the water fraction in oil sludge is a process that must be carefully managed and should only be done to the extent to allow combustibility of the sludge intended for incineration.

Table 2

Waste Generation Rates for Annex VI to the MARPOL Convention on waste (exhaust gas cleaning systems, 'EGCS')

Type of EGCS	Coefficient	Unit	Examples (10 MW engine or HFO consumption 40 t/day)
Manufacturer 1			
Open loop sludge amount	0,1	kg/MWh	0,1 × 10 MW × 24 = 24 kg/day
Closed loop sludge amount (DAF-BOTU)	3,5-7,0	kg/MWh, depending on SFOC, MCR and fuel quality	3,5 × 10 MW × 24 = 840 kg/day
Closed loop sludge amount (BOTU-M)	3,0	l/MWh/S%, depending on SFOC, MCR and fuel quality	3,0 × 10 MW × 24 × S2,5 % = 1800 l/day
Manufacturer 2			
Closed loop sludge amount	2,5-3,0	kg/consumed HFO t	2,5 × 40 t/day = 100 kg/day

NB: The amount of exhaust gas cleaning system sludge generated depends ultimately also on the individual installation specifics: the exhaust gas cleaning system manual provided by the manufacturer should therefore be consulted. Information in the tables provided by stakeholder companies.

Annex 2 Risk Based Targeting Mechanism

COMMISSION IMPLEMENTING REGULATION (EU) 2022/90

of 21 January 2022

laying down rules for the application of Directive (EU) 2019/883 of the European Parliament and of the Council as regards the detailed elements of the Union risk-based targeting mechanism for selecting ships for inspection

(Text with EEA relevance)

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Directive (EU) 2019/883 of the European Parliament and of the Council of 17 April 2019 on port reception facilities for the delivery of waste from ships, amending Directive 2010/65/EU and repealing Directive 2000/59/EC ([1]), and in particular Article 11(2), second subparagraph, thereof,

Whereas:

(1) Effective enforcement of the obligation to deliver waste to port reception facilities is paramount to effectively address the problem of marine litter and other waste from shipping entering the marine environment.

(2) A single Union risk-based targeting mechanism should provide for uniform conditions for selecting ships for inspection in accordance with Article 11(2) of Directive (EU) 2019/883.

(3) By establishing the Union risk-based targeting mechanism, the relevant authorities in the Member States are to have a supporting tool to fulfil the inspection commitment in accordance with Article 11(1) of Directive (EU) 2019/883.

(4) In order to assess the risk that a ship is not complying with the obligations established in Directive (EU) 2019/883, several parameters should be taken into account, which in conjunction provide a clear indication of such risk. Those parameters should be: the non-compliance or indications of non-compliance with the requirements for the delivery of waste; the period of time elapsed since the last inspection; the existence of previous reports of non-compliance by the relevant port authorities; the previous and the next port of call; the existence of an exemption for that ship; and the information included on SafeSeaNet and in THETIS-EU.

(5) In order to provide for uniform conditions for the selection of ships for inspection, it is indispensable that Member States apply a harmonized methodology. Implementing acts adopted pursuant Directive (EU) 2019/883 should therefore take the form of implementing regulations.

(6) The measures provided for in this Regulation are in accordance with the opinion of the Committee on Safe Seas and the Prevention of Pollution from Ships,

HAS ADOPTED THIS REGULATION:

Article 1

1. For the purposes of inspections, Member States shall classify the ships referred to in Article 3(1), point (a), of Directive (EU) 2019/883, into the following risk level categories:

(a) Risk level 1 (high risk);

(b) Risk level 2 (medium risk);

(c) Risk level 3 (low risk);

([1]) OJ L 151, 7.6.2019, p. 116.

(d) Risk level 4 (minimum risk).

2. The risk level category for each ship shall be determined on the basis of the risk parameters set out in Table 1 of the Annex.

3. The risk level parameters set out in Table 1 of the Annex shall be applied following the methodology referred to in points 1 to 4 of the Annex.

Article 2

When complying with the inspection commitments set out in Article 11 of Directive (EU) 2019/883, Member States shall comply with the following requirements:

(a) give priority to the inspection of ships with a higher risk level category;

(b) randomly select for inspection at least 1 % of number of ships to be inspected every year.

Article 3

This Regulation shall enter into force on the twentieth day following that of its publication in the *Official Journal of the European Union*.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Brussels, 21 January 2022.

For the Commission
The President
Ursula VON DER LEYEN

ANNEX

Methodology:

1. The risk parameters set out in Table 1 shall be used to determine the risk level of a vessel.

2. Each risk parameter set out in Table 1 is assigned a different colour code representing a risk level: red (high), orange (medium) or yellow (low).

3. The assignment of the risk level to a ship on the basis of the alerts for the risks parameters in Table 1 shall be based on the criteria set out in Table 2.

4. In order to apply several concurrent active alerts for assigning the risk levels set out in Table 2, the conversion factors set out in Table 3 may be applied.

Table 1

Risk parameters

Risk parameter number	Risk level of the alert (Colour code)	Risk parameter description	Criteria for activating an alert for the risk parameter	Criteria for deactivating the alert for the risk parameter
1	Orange	Non-compliance with the advanced waste notification requirements set out in Article 6 of Directive (EU) 2019/883.	The alert is activated if advance waste notification has not been sent or has not contained mandatory information.	The alert is computed to Port A based on the advance waste notification sent to Port A. The alert must be reassessed at each Port.
2	Orange	Information provided by the operator, agent or master in accordance with Article 6 of Directive (EU) 2019/883.	The alert is activated if validity checks of advance waste notification content reveal that the ship might not be compliant with the Directive.	The alert is computed to Port A based on the advance waste notification sent to Port A. The alert must be reassessed at each Port.
3	Orange	Date of the previous inspections carried out in accordance with Article 10 of Directive (EU) 2019/883.	The alert is activated if the ship was not inspected in accordance with Article 10 of Directive (EU) 2019/883 in the previous 12 months. Note: This alert should only be active after 28 June 2022.	The alert is deactivated after an inspection has been recorded in accordance with Article 14(2), point (a), of Directive (EU) 2019/883.
4	Red	Existing report(s) by Port Reception Facilities inspection authorities, port authorities or other competent bodies indicating that the ship has not complied with Article 7 of Directive (EU) 2019/883.	The alert is activated manually in THETIS-EU by Port Reception Facilities inspectors.	The alert is deactivated after an inspection is concluded (status 'Inspected') without non-compliances.

5	Orange	Port Reception Facilities Non-Compliances Alert	Alert activated if ship has been identified with Port Reception Facilities non-compliances within the last 6 months, with a relevant report in THETIS-EU.	The alert is deactivated after an inspection is concluded (status 'Inspected') without non-compliances.
6	Orange	Sufficient Dedicated Storage	The alert is activated if the dedicated storage on-board is not considered sufficient according to the criteria used for the application of Article 8(4)(b)	The alert is computed to Port A based on the advance waste notification sent to Port A. The alert must be reassessed at each Port.
7	Yellow	Next Port Of Call	Considered to increase risk level if non-EU or unknown. For the computation of this alert, ports located in Iceland, Norway, United Kingdom (including Isle of Man, Channel Islands and Gibraltar) and Russian ports located in the Baltic Sea are to be treated as EU.	The alert is computed to Port A based on the advance waste notification sent to Port A. The alert must be reassessed at each Port.
8	Yellow	Previous Port Of Call	Considered to increase risk level if non-EU. For the computation of this alert, ports located in Iceland, Norway, United Kingdom (including Isle of Man, Channel Islands and Gibraltar) and Russian ports located in the Baltic Sea are to be treated as EU.	The alert is computed to Port A based on the advance waste notification sent to Port A. The alert must be reassessed at each Port.
9	Yellow	Exemption Alert	The alert is activated if the ship has an exemption and has not been inspected for 12 months, to ensure that these ships will be included in the inspections.	The alert must be reassessed at each Port.
10	Red	Incident Type Waste Alert	The alert is activated if an Incident Report of type 'waste' has been issued in SafeSeaNet for that vessel in a previous port.	The alert is deactivated after an inspection is concluded (status 'Inspected') and has taken place without non-compliances or after the incident is inactive at SafeSeaNet

Table 2

Assignment of risk levels based on number of active inputs

Criteria for risk levels	
Risk level 1	One or more red alerts
Risk level 2	One or more ([1]) orange alerts
Risk level 3	One or more ([1]) yellow alerts
Risk level 4	No active alert

([1]) Up to the number that triggers the application of the conversion factor.

Table 3

Conversion factors to combine several concurrent active parameters for application of Table 2 risk levels

Conversion factor	
Three yellow alerts	One orange alert
Three orange alerts	One red alert

Annex 3 List of Non-Compliances and Inspection Results

Definition: “Non-compliances “: to indicate PRF-related non-compliances if found by the PRF Inspector.

Non-Compliance	Nature of Defect	Action Taken	Directive Reference
Pre-arrival notification to current port	- Not via NSW - Not sent 24 hours prior to arrival - Not sent upon departure last port - Not sent when destination became known - Missing[8] - Incorrect entries[9] - Incomplete[10] - Mismatch between AWN via NSW and Form on board	- Flag informed - Other (free text) - PSC authority informed - Warning issued - Relevant Authorities Informed - Case raised as per provisions pursuant to national legislation - Penalty applied as per provisions pursuant to national legislation - Compliance (notification) requested - Re-notification required - Delivery required	Art. 6.1 Pre-arrival timing Art. 6.1 Content Art. 6.2 Reported electronically Art. 6.3 Keeping AWN on board
Pre-arrival notification to previous port	- Not via NSW - Not sent 24 hours prior to arrival - Not sent upon departure last port - Not sent when destination became known - Missing - Incorrect entries - Incomplete	- Flag informed - Other (free text) - PSC authority informed - Warning issued - Relevant Authorities Informed - Case raised as per provisions pursuant to national legislation	Art. 6.1 Pre-arrival timing Art. 6.1 Content Art. 6.2 Reported electronically Art. 6.3 Keeping AWN on board

[8] (means: AWN form not kept on board)
[9] (means: AWN form contains incorrect entries)
[10] (means: AWN form Incomplete)

Non-Compliance	Nature of Defect	Action Taken	Directive Reference
	- Mismatch between AWN via NSW and Form on board	- Penalty applied as per provisions pursuant to national - Delivery required	
Delivery of waste from ship in current port	- Delivery did not occur - No intention to deliver notified waste - Incomplete delivery	- Flag informed - Other (free text) - PSC authority informed - Warning issued - Relevant Authorities Informed - Case raised as per provisions pursuant to national legislation - Penalty applied as per provisions pursuant to national - Delivery Required - Next port informed	Art. 7.1 Delivery obligation Art. 7.4 Storage capacity for delivery in next port and/or anchorage exceptions Art 9.5 Delivery obligation for exempted ships
Delivery of waste from ship in previous port	- Delivery did not occur - Incomplete delivery	- Flag informed - Other (free text) - PSC authority informed - Warning issued - Relevant Authorities informed - Case raised as per provisions pursuant to national legislation - Penalty as per provisions pursuant to national legislation (only if previous port is in the same country) - Delivery required	Art. 7.1 Delivery obligation Art. 7.4 Storage capacity for delivery in next port and/or anchorage exceptions Art 9.5 Delivery obligation for exempted ships
Storage capacity for waste on board	- Information not provided - Information not complete	- Flag informed - Other (free text)	Art. 7.1 Storage Capacity

Non-Compliance	Nature of Defect	Action Taken	Directive Reference
	- Storage capacity inadequate for next voyage	- PSC authority informed - Warning issued - Relevant Authorities informed - Case raised as per provisions pursuant to national legislation - Penalty as per provisions pursuant to national legislation - Delivery required - Next port of call informed	
Exemption	- Not available [11] - Information not complete - Not applicable - Not as required - Conditions of exemption not fulfilled - Requirements of exemption not fulfilled	- Flag informed - Other (free text) - PSC authority informed - Warning issued - Relevant Authorities Informed - Case raised as per provisions pursuant to national legislation - Penalty applied as per provisions pursuant to national - Delivery required	Art. 9.1 Conditions of Exemption Art. 9.2 Exemption certificate availability, completeness and/or conformity

[11]All these 'natures of defect' for this non-compliance are related to the forms on bord. Any mismatch with the SSN exception form or if it is missing from SSN, this can be indicated in the observations of the report, up to the professional judgment of the PRF Inspector

Non-Compliance	Nature of Defect	Action Taken	Directive Reference
Record books and WR	- Information not complete - Incorrect entries - WR and record book inconsistent - WR received and not reported electronically	- Flag informed - Other (free text) - PSC authority informed - Warning issued - Relevant Authorities Informed - Case raised as per provisions pursuant to national legislation - Penalty applied as per provisions pursuant to national - Delivery required	Art. 7.3 Record books annotations, keeping of WR

Definition:

“Inspection Action “: is used to specify one or more actions taken as a result of the inspection

- **Prohibition of Departure Order Issued**
- **Prohibition of Departure Order Lifted**
- **Prohibition of Departure Order Revoked**
- **Request Ship to Deliver All Waste: Insufficient Storage**
- **Request Ship to Deliver All Waste: PRF**
- **Request Ship to Deliver All Waste: Next Port Unknown**

Definition: “Inspection Outcome” should be used by the PRF inspector to indicate the status of the inspection.

- Inspection on-going
- Inspected
- Inspected and Penalty Applied

Annex 4 Advance waste notification form

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 of call, as referred to in Article 6 of Directive (EU) 2019/883)*

This form should be retained on board the ship along with the appropriate Oil Record Book, Cargo Record Book, Garbage Record Book or Garbage Management Plan as required by the MARPOL Convention.

1. SHIP PARTICULARS

1.1 Name of ship:	1.5 Owner or operator:
1.2 IMO number:	1.6 Distinctive number or letters:
	MMSI (Maritime Mobile Service Identity) number:
1.3 Gross tonnage:	1.7 Flag State:
1.4 Type of ship: ☐ Oil tanker ☐ Chemical tanker ☐ Bulk carrier ☐ Container ☐ Other cargo ship ☐ Passenger ship ☐ Ro-ro ☐ Other (specify)	

2. PORT AND VOYAGE PARTICULARS

2.1 Location/terminal name:	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:
2.4 Last port and country:	2.9 Person submitting this form (if other than the master):
2.5 Next port and country (if known):	

3. TYPE AND AMOUNT OF WASTE AND STORAGE CAPACITY

Type	Waste to be delivered (m^3)	Maximum dedicated storage capacity (m^3)	Amount of waste retained on board (m^3)	Port at which remaining waste will be delivered	Estimated amount of waste 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					

Type	Waste to be delivered (m^3)	Maximum dedicated storage capacity (m^3)	Amount of waste retained on board (m^3)	Port at which remaining waste will be delivered	Estimated amount of waste to be generated between notification and next port of call (m^3)
Scale and sludge from tank cleaning					
Other (please specify)					
MARPOL Annex II – NOXIOUS LIQUID SUBSTANCES (NLS) (1)					
Category X substance					
Category Y substance					
Category Z substance					
OS – other substances					
MARPOL Annex IV – Sewage					
MARPOL Annex V – Garbage					
A. Plastics					
B. Food Waste					
C. Domestic waste (e.g. paper products, rags, glass, metal, bottles, crockery, etc.)					
D. Cooking Oil					
E. Incinerator ashes					
F. Operational waste					
G. Animal carcass(es)					
H. Fishing gear					
I. E-waste					

(1) Indicate the proper shipping name of the NLS involved.

Type	Waste to be delivered (m^3)	Maximum dedicated storage capacity (m^3)	Amount of waste retained on board (m^3)	Port at which remaining waste will be delivered	Estimated amount of waste to be generated between notification and next port of call (m^3)
J. Cargo residues (1) (Harmful to the Marine Environment – HME)					
K. Cargo residues (2) (non-HME)					
MARPOL Annex VI – Air Pollution related					
Ozone depleting substances and equipment containing such substances (3)					
Exhaust gas cleaning residues					

Other waste, not covered by MARPOL					
Passively fished waste					

Notes

1. This information shall be used for port State control and other inspection purposes.
2. This form is to be completed unless the ship is covered by an exemption in accordance with Article 9 of Directive (EU) 2019/883

(1) May be estimates. Indicate the proper shipping name of the dry cargo.
(2) May be estimates. Indicate the proper shipping name of the dry cargo.
(3) Arising from normal maintenance activities on board.

Annex 5 Waste Receipt form

STANDARD FORMAT FOR THE WASTE DELIVERY RECEIPT

The designated representative of the port reception facility provider shall provide the following form to the master of a ship that has delivered waste in accordance with Article 7 of Directive (EU) 2019/883

This form shall be retained on board the ship along with the appropriate Oil Record Book, Cargo Record Book, Garbage Record Book or Garbage Management Plan as required by the MARPOL Convention.

1. PORT RECEPTION FACILITY AND PORT PARTICULARS

1.1. Location/terminal name:
1.2. Port reception facility provider(s):
1.3. Treatment facility provider(s) – if different from above:
1.4. Waste delivery date and time from: to:

2. SHIP PARTICULARS

2.1. Name of the ship:	2.5. Owner or operator:
2.2. IMO number:	2.6. Distinctive number or letters: MMSI (Maritime Mobile Service Identity) number:
2.3. Gross tonnage:	2.7. Flag State:
2.4. Type of ship: ☐ Oil tanker ☐ Chemical tanker ☐ Bulk carrier ☐ Container ☐ Other cargo ship ☐ Passenger ship ☐ Ro-ro ☐ Other (specify)	

3. TYPE AND AMOUNT OF WASTE 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 – NOXIOUS LIQUID SUBSTANCES (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 waste	
C. Domestic waste (e.g. paper products, rags, glass, metal, bottles, crockery, etc.)	
D. Cooking oil	
E. Incinerator ashes	
F. Operational waste	
G. Animal carcass(es)	
H. Fishing gear	
I. E-waste	
J. Cargo residues (2) (Harmful to the Marine Environment – HME)	
K. Cargo residues (2) (non-HME)	
MARPOL Annex VI – Air Pollution related	Quantity (m^3)
Ozone-depleting substances and equipment containing such substances	
Exhaust gas-cleaning residues	
Other waste, not covered by MARPOL	Quantity (m^3)
Passively fished waste	

(1) Indicate the proper shipping name of the NLS involved.
(2) Indicate the proper shipping name of the dry cargo.

Annex 6 Exemption Certificate form

EXEMPTION CERTIFICATE PURSUANT TO ARTICLE 9 IN RELATION TO THE REQUIREMENTS UNDER ARTICLE 6, ARTICLE 7(1) AND ARTICLE 8 OF DIRECTIVE (EU) 2019/883 AT THE PORT[S] OF *[INSERT PORT]* IN *[INSERT MEMBER STATE]* (1)

Name of ship	Distinctive number or letters	Flag State
[*insert name of the ship*]	[*insert IMO number*]	[*insert name of the Flag State*]

is in scheduled traffic with frequent and regular port calls at the following port(s) located in [*insert name of the Member State*] according to a schedule or predetermined route:

[ ]

and calls at these ports at least once a fortnight:

[ ]

and has made an arrangement to ensure the payment of the fees and the delivery of waste to the port or a third party at the port of:

[ ]

and is thus exempted, in accordance with [*insert relevant provision in national legislation of the country*], [*from the requirements on*:

☐ *mandatory delivery of waste from ships*,

☐ *the advance waste notification, and*

☐ *the payment of the mandatory fee, at the following port(s):*]

This certificate is valid until [*insert date*], unless the grounds for issuing the certificate are changed before that date.

Place and date

.....

Name
Title

(1) Delete if not appropriate.

Annex 7 Scope PRF Directive

			SSN	THETIS-EU PRF Module
Flag	Foreign			
	Flag State			
GT	<300 GT		Except if with dangerous goods	
	>= 300 GT			
Voyages	International			
	Domestic			
Ship Type	Fishing	<45 m		
		>45m		
	Warships			
	Naval Auxiliaries			
	Wooden of primitive build	<45 m		
		>45m		
	Engaged in port services			
	Governmental|Non-commercial			
	Pleasure yachts	<45 m		
		>45m		
	Bunkers<1000 GT			

Note: those categories that are filled in yellow in the column 'THETIS-EU PRF Module' but not filled in blue in the column 'SSN', are still under the scope of the PRF Directive, but notifications will not be available electronically through SSN.

Annex 8 SSN Incident Report type Waste

The IR Waste template shall include the following data elements:

Ship identification (IMO or MMSI mandatory)
Authority reporting the incident
Date of incident
Port reporting the incident (possibility to link to voyage in SSN using ShipCallId)
Next Port of Call
ETA to next port
Waste Incident type – possible list of values: ○ Advance Waste notification not reported (article 6) ○ Waste not delivered (article 7.1) ○ Waste receipt not reported (article 7.3) ○ Vessel has sailed but not sufficient storage capacity (article 7.4) ○ Other (please fill in the free text description below) e.g. *[significant] mismatch between the notification and receipt** * In due time it should be explored if and how the system can support by sending such warnings
Description of the incident (free text description) *e.g. describe the type(s) and quantity(-ies) of mismatch between the notified amounts of waste to be delivered and the actual amounts delivered, resulting in not enough spare storage capacity in view if next port of call and possible risks for discharging and pollution (and any action taken or recommended any by whom).*

The Incident should be automatically distributed to the country of the next port of call if port of a Member State.

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