

Alexander Arnfinn Olsen · Fidaa Karkori

# Ship's Officer's Guide to Port State Control

Responsibilities and Procedures



# Synthesis Lectures on Ocean Systems Engineering

### **Series Editor**

Nikolas Xiros, University of New Orleans, New Orleans, USA

The series publishes short books on state-of-the-art research and applications in related and interdependent areas of design, construction, maintenance and operation of marine vessels and structures as well as ocean and oceanic engineering.

# Alexander Arnfinn Olsen · Fidaa Karkori

# Ship's Officer's Guide to Port State Control

Responsibilities and Procedures



Alexander Arnfinn Olsen Southampton, UK Fidaa Karkori (b) Southampton, UK

ISSN 2692-4420 ISSN 2692-4471 (electronic) Synthesis Lectures on Ocean Systems Engineering ISBN 978-3-031-77501-7 ISBN 978-3-031-77502-4 (eBook) https://doi.org/10.1007/978-3-031-77502-4

This title is published with the kind permission of the American Bureau of Shipping.

© The Editor(s) (if applicable) and The Author(s), under exclusive license to Springer Nature Switzerland AG 2025

This work is subject to copyright. All rights are solely and exclusively licensed by the Publisher, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, reuse of illustrations, recitation, broadcasting, reproduction on microfilms or in any other physical way, and transmission or information storage and retrieval, electronic adaptation, computer software, or by similar or dissimilar methodology now known or hereafter developed.

The use of general descriptive names, registered names, trademarks, service marks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.

The publisher, the authors and the editors are safe to assume that the advice and information in this book are believed to be true and accurate at the date of publication. Neither the publisher nor the authors or the editors give a warranty, expressed or implied, with respect to the material contained herein or for any errors or omissions that may have been made. The publisher remains neutral with regard to jurisdictional claims in published maps and institutional affiliations.

This Springer imprint is published by the registered company Springer Nature Switzerland AG The registered company address is: Gewerbestrasse 11, 6330 Cham, Switzerland

If disposing of this product, please recycle the paper.

## **Definitions**

**Bulk carrier:** While noting the definitions in SOLAS 1974, regulations IX/1.6 and XII/1.1 and resolution MSC.277(85), for the purposes of Port State Control, Port State Control Officers should be guided by the vessel's type indicated in the vessel's certificates in determining whether a vessel is a bulk carrier and recognise that a vessel which is not designated as a bulk carrier as the vessel type on the vessel certificate may carry certain bulk cargo as provided for in the above instruments.

**Clear grounds:** Evidence that the vessel, its equipment, or its crew do not correspond substantially with the requirements of the relevant conventions or that the vessel's master or crew members are not familiar with essential shipboard procedures relating to the safety of vessels or the prevention of pollution.

**Deficiency:** A condition found not to be compliant with the requirements of the relevant convention.

**Detention:** Intervention action taken by the Port State when the condition of the vessel or its crew does not correspond substantially with the relevant conventions to ensure that the vessel will not sail until it can proceed to sea without presenting a danger to the vessel or persons on board, or without presenting an unreasonable threat of harm to the marine environment, whether such action will affect the normal schedule of the departure of the vessel.

**Initial inspection:** A visit on board a vessel to check the validity of the relevant certificates and other documents, the overall condition of the vessel, its equipment and its crew.

**More detailed inspection:** An inspection conducted when there are "clear grounds", as defined above.

**Nearest appropriate and available repair yard:** A port where follow-up action can be taken, and it is in, or closest to, the port of detention or the port where the vessel is authorised to proceed accounting for the cargo on board.

vi Definitions

**Port State Control Officer (PSCO):** A person duly authorised by the competent authority of a Party to a relevant convention to carry out Port State Control inspections, and responsible exclusively to that Party.

**Recognised organisation (RO):** An organisation that meets the relevant conditions set forth in the Code for Recognised Organisations (RO Code) (MSC.349(92) and MEPC.237(65)) and has been assessed and authorised by the Flag State Administration in accordance with provisions of the RO Code to provide the necessary statutory services and certification to vessels entitled to fly its Flag.

**Stoppage of an operation:** Formal prohibition against a vessel to continue an operation due to an identified deficiency or deficiencies which, unilaterally or together, render the continuation of such operation hazardous.

**Substandard vessel:** A vessel whose hull, machinery, equipment or operational safety is substantially below the standards required by the relevant convention or whose crew is not in conformity with the safe manning document.

**Valid certificates:** A certificate that has been issued, electronically or on paper, directly by a Party to a relevant convention or on its behalf by an RO, contains accurate and effective dates, meets the provisions of the relevant convention and to which the particulars of the vessel, its crew and its equipment correspond.

# Contents

		ontrol Regime	
1.1		ation and Scope	
	1.1.1	Provision for Port State Control	
	1.1.2	Vessels of Non-parties	
	1.1.3	Vessels Below Conventional Size	
	1.1.4	Professional Profile of Port State Control Officer	
	1.1.5	Qualification and Training Requirements for Port State	
		Control Officers	
1.2	Port State Inspections		
	1.2.1	Initial Inspections	
	1.2.2	General Procedural Guidelines for Port State Control	
		Officers	
	1.2.3	Clear Grounds	
	1.2.4	More Detailed Inspections	
1.3	Contrav	vention and Detention	
	1.3.1	Identification of a Substandard Vessel	
	1.3.2	Submission of Information Concerning Deficiencies	
	1.3.3	Port State Action in Response to Alleged Substandard	
		Vessels	
	1.3.4	Responsibilities of Port State to Take Remedial Action	
	1.3.5	Guidance for the Detention of Vessels	
	1.3.6	Suspension of Inspection	
	1.3.7	Procedures for Rectification of Deficiencies and Release	
1.4	Reporti	ng and Review Requirements	
	1.4.1	Port State Reporting	
	1.4.2	Flag State Reporting	
	1.4.3	Reporting of Allegations Under MARPOL	
1.5	Review	Procedures	

viii Contents

2	Conduct of Port State Control Officers				
	2.1		ct of Port State Control Officers		
		2.1.1	Actions and Behaviours Expected of Port State Control		
			Officers		
	Dete		Vessels		
	3.1	-	oles Governing Rectification of Deficiencies or Detention		
		of a Ve	essel		
		3.1.1	Detention Related to Minimum Safe Manning and STCW		
			Certification		
		3.1.2	Procedures for the Detention of Vessels of All Sizes		
		3.1.3	Invalid Certificates		
		3.1.4	Detainable Deficiencies		
		3.1.5	Areas Which May not Warrant a Detention, but Where,		
			for Example, Cargo Operations Should be Suspended		
	Con	Conduct of Investigations and Inspections Under MARPOL Annex I			
	4.1	tion of the IOPP Certificate, Vessel and Equipment			
		4.1.1	Vessels Required to Carry an IOPP Certificate		
		4.1.2	Vessels of Non-parties to MARPOL Annex I and Other		
			Vessels not Required to Carry an IOPP Certificate		
		4.1.3	Control		
	4.2	Contravention of the Discharge Provisions			
	4.3	Itemised List of Possible Evidence on Alleged Contravention			
		of the MARPOL Annex I Discharge Provisions			
		4.3.1	Action on Sighting Oil Pollution		
		4.3.2	Investigation on Board		
		Investigation Ashore			
	4.4 In-Port Inspection of Crude Oil Washing Procedures				
		4.4.1	Inspection Requirements		
		4.4.2	Wash Programmes		
		4.4.3	Stripping of Tanks		
		4.4.4	Ballasting		
		_	s and Inspections Carried Out Under MARPOL Annex II		
	5.1	-	tion of Certificate (COF or NLS Certificate), Vessel		
			quipment		
		5.1.1	Vessels Required to Hold a Certificate		
		5.1.2	Vessels of Non-parties to the Convention		
		5.1.3	Control		

Contents

	5.2	Contra	vention of Discharge Provisions			
	5.3	Itemise	ed List of Possible Evidence on Alleged Contravention			
			MARPOL Annex II Discharge Provisions			
		5.3.1	Action on Sighting Pollution			
		5.3.2	Investigation on Board			
		5.3.3	Investigation Ashore			
	5.4	Conclu	sion			
	5.5		ures for Inspection of Unloading, Stripping and Prewashing			
			ions (Mainly in Unloading Ports)			
		5.5.1	Documentation			
		5.5.2	Information by Vessel's Staff			
		5.5.3	Information from Terminal Staff			
		5.5.4	Control			
6	Dica	harga Da	equirements Under MARPOL Annexes I and II			
U	6.1		ate Action			
	6.2		ion of Crude Oil Washing Operations			
	6.3	-	ion of Unloading, Stripping and Prewash Operations			
	0.3	mspect	ion of Omoading, Surpping and Flewash Operations			
7	Mor	More Detailed Inspections for Vessel Structural and Equipment				
	Requ		s			
	7.1		erations for Detailed Inspections			
		7.1.1	Conditions of the Vessel's Structure			
		7.1.2	Conditions of Machinery Spaces			
		7.1.3	Conditions of Assignment of Load Lines			
		7.1.4	Lifesaving Appliances			
		7.1.5	Fire Safety			
		7.1.6	Application of the Regulations for Preventing Collisions			
			at Sea (COLREGs)			
		7.1.7	Cargo Ship Safety Construction Certificate			
		7.1.8	Cargo Ship Safety Radio Certificates			
		7.1.9	Means of Access to Vessel			
		7.1.10	Equipment in Excess of Convention or Flag State			
			Requirements			
8	Cont	Control of Operational Requirements				
	8.1		ion Processes			
		8.1.1	Definitions and Abbreviations			
	8.2	More I	Detailed Inspection for Operational Requirements			
		8.2.1	Drills			
		8.2.2	Meeting on Inspection Outcomes and Findings			
			with Respect to Operational Requirements			
		8.2.3	Communication			

x Contents

		8.2.4	Assessing the Vessel with Respect to Operational	
			Requirements	
		8.2.5	Detailed Guidance on Assessing Compliance	
			with Operational Requirements	
		8.2.6	Witnessing and Assessment of Drills	
		8.2.7	Detention Under Operational Requirements	
	8.3	Specific	c Inspection Activities	
		8.3.1	Bridge Operation	
		8.3.2	Cargo Operation	
		8.3.3	Operation of Machinery	
		8.3.4	Manuals, Instructions, etc.	
		8.3.5	Oil and Oily Mixtures from Machinery Spaces	
		8.3.6	Loading, Unloading and Cleaning Procedures for Cargo	
			Spaces of Tankers	
		8.3.7	Dangerous Goods and Harmful Substances in Packaged	
			Form	
		8.3.8	Garbage	
		8.3.9	Sewage	
		8.3.10	Air Pollution Prevention	
	8.4	Specific	c Guidance	
		8.4.1	Muster List	
		8.4.2	Communication During Drills	
		8.4.3	Search and Rescue Plan	
		8.4.4	Fire and Abandon Ship Drills	
		8.4.5	Fire Drills	
		8.4.6	Abandon Ship Drills	
		8.4.7	Enclosed Space Entry and Rescue Drills	
		8.4.8	Emergency Steering Drills	
		8.4.9	Damage Control Plan and Shipboard Oil Pollution	
			Emergency Plan (SOPEP) or Shipboard Marine Pollution	
			Emergency Plan (SMPEP)	
		8.4.10	Fire Control Plan	
9	ISM	ISM Code		
	9.1		nt Documentation	
	9.2	Definitions and Abbreviations		
	9.3	Inspection of Vessel		
	7.5	9.3.1	ion of Vessel	
		9.3.2	Clear Grounds	
		9.3.3	More Detailed Inspection	
		1.5.5	More Detailed Hispection	

Contents xi

	9.4	Follow-	Up Action	93	
		9.4.1	Technical, Operational and ISM Code Deficiencies	93	
		9.4.2	Deficiencies not Warranting Detention	94	
		9.4.3	Deficiencies Warranting Detention	94	
	9.5	Reportin	ng	95	
		9.5.1	Technical and Operational-Related Deficiencies	95	
		9.5.2	ISM Deficiency	95	
10	Port	State Co	ntrol Procedures Related to LRIT	97	
	10.1	0.1 Inspection of Vessels Required to Carry LRIT Equipment			
		10.1.1	Initial Inspection	98	
		10.1.2	Clear Grounds	98	
		10.1.3	More Detailed Inspection	99	
		10.1.4	Deficiencies Warranting Detention	99	
11	Port	State Co	ntrol Under Tonnage 1969	101	
12	Certification of Seafarers, Manning and Hours of Rest			103	
	12.1	Relevan	at Documentation	104	
		12.1.1	Seafarer Certification	104	
		12.1.2	Manning	104	
		12.1.3	Hours of Rest	104	
	12.2	Definition	ons and Abbreviations	104	
	12.3 Inspection of the Vessel			105	
		12.3.1	Pre-Boarding Preparation	105	
		12.3.2	Initial Inspection	105	
		12.3.3	Manning	107	
		12.3.4	Hours of Rest	108	
		12.3.5	Clear Grounds	109	
		12.3.6	More Detailed Inspection	110	
	12.4 Follow-Up Action		Up Action	111	
		12.4.1	Possible Action	111	
		12.4.2	Possible Deficiencies	111	
		12.4.3	Deficiencies That May Warrant Detention	112	
		12.4.4	Actions to Be Considered	113	
	12.5	Note on	Reporting Deficiencies	114	
13	Port		ntrol Inspections Under MARPOL Annex VI	115	
	13.1	T			
	and/or the IEE Certificate			115	
		13.1.1	Initial Inspections	115	
		13.1.2	Initial Inspection on Vessels Equipped with Equivalent		
			Means of SO <sub>x</sub> Compliance	118	

xii Contents

	13.1.3	Initial Inspection Within an Emission Control Area	118	
	13.1.4	Initial Inspection Outside an ECA or First Port After		
		Transiting an ECA	119	
13.2	Outcon	ne of Initial Inspection	120	
13.3	More D	Detailed Inspections	121	
13.4	.4 Detainable Deficiencies			
13.5	5 Inspections of Vessels of Non-parties to the Annex and Other			
	Vessels	not Required to Carry the IAPP Certificate or the IEE		
	Certificate			
	13.5.1	Vessels of Non-parties and Vessels not Required to Carry		
		the IAPP Certificate	125	
	13.5.2	Vessels of Non-parties and Vessels not Required to Carry		
		the IEE Certificate	126	
	13.5.3	Claims of Non-availability of Compliant Fuel Oil	126	
Anney A			129	
AMILIAA			12)	

# **Abbreviations and Acronyms**

ADA Alternative design and arrangements

AFS Anti-fouling System

AIS Automatic Identification System
ASP Application Service Provider
BDN Bunker Delivery Notes
BWM Ballast water management

CLC 1969 International Convention on Civil Liability for Oil Pollution

Damage, 1969

CLC PROT 1992 International Convention on Civil Liability for Oil Pollution

Damage, 1969, as amended

CO<sub>2</sub> Carbon Dioxide

CoC Certificate of Competency
COF Certificate of Fitness

COLREG 1972 Convention on the International Regulations for Preventing

Collisions at Sea, 1972

CoP Certificate of Proficiency

COW Crude oil washing

CRA Confirmation of Receipt of Application

CRB Cargo Record Book

CSS Code of Safe Practice for Cargo Stowage and Securing

DOC Document of Compliance
DSC Digital Selective Calling
ECA Emission Control Area

ECDIS Electronic Chart Display and Information System

EGCS Exhaust Gas Cleaning System

EIAPP Engine International Air Pollution Prevention Certificates

EOW Engineer of the Watch