GUIDELINES ON
ENSURING SUCCESSFUL CONVICTIONS
OF OFFENDERS OF ANTI-POLLUTION
REGULATIONS AT SEA

HELSINKI COMMISSION
Baltic Marine Environment Protection Commission
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Baltic Marine Environment Protection Commission
2000
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PREFACE

The Baltic Sea Area possesses quite unusual fauna and flora due to its very specific hydrographic, chemical and physical conditions and its geological history. The exchange of water in the Baltic Sea is very slow, and if harmful substances are introduced they will remain there for a very long time. As the fauna and flora of the Baltic Sea Area are extremely sensitive to changes in their environment there should be no discharges of harmful substances at sea, especially oil and noxious liquid substances.

This is the reason why the elimination of violations of anti-pollution regulations at sea has a high priority for the Baltic Sea States. To ensure this it is vital that the States concerned co-operate in the investigation of suspected violations. This co-operation includes reporting on polluting incidents and detected spillages, as well as assisting in collecting evidence and information about the suspected ships. The principles for this co-operation are reflected in HELCOM Recommendation 19/18 “Reporting on incidents involving harmful substances and emergency dumping” and HELCOM Recommendation 19/16 “Co-operation in investigating violations or suspected violations of discharge and related regulations for ships, dumping, and incineration regulations”.

These Guidelines are meant as a tool to further the co-operation between the Baltic Sea States when investigating violations of anti-pollution regulations and prosecuting the offenders. It is intended to be used by operators and police officers collecting evidence and by prosecutors assessing collected evidence and bringing it to the courts to convict offenders. The intention is also to establish a feedback system between these two groups, and thereby to enhance the knowledge and understanding of the conditions and requirements under which they both work. The overall aim being to ensure and enhance the successful conviction of offenders in case of violations.
1. REGULATED AREA

1.1 THE BALTIC SEA AREA

The Baltic Sea Area comprises the Baltic Sea proper, plus the Gulf of Bothnia, the Gulf of Finland, and the entrance to the Baltic Sea bounded by the parallel of the Skaw in the Skagerrak at 57°44.8’ N.

1.2 TERRITORIAL SEAS AND EXCLUSIVE ECONOMIC ZONES

All Baltic Sea States have a territorial sea, the breadth of which is up to 12 nautical miles measured from the baselines, i.e., in most cases the low-water line along the coast. Apart from Finland, all the Baltic Sea States have established an exclusive economic zone (EEZ) up to 200 nautical miles from the baselines from which the breadth of the territorial sea is measured. Finland is currently in the process of establishing an EEZ.

The maritime boundaries of the Baltic Sea States are shown in Map 1 (see page 43).

1.3 RIGHTS OF ENFORCEMENT

Every Baltic Sea State has the right to enforce violations of anti-pollution regulations committed by foreign vessels in their internal water, territorial sea and EEZ. In addition, Germany has implemented the provision of international law allowing a port State to investigate and prosecute discharge violations committed by foreign vessels on the high seas or within waters under another State’s jurisdiction, in the latter case conditioned upon the request from the State concerned.

2. WHO HAVE TO COMPLY

Anti-pollution regulations for the Baltic Sea Area are found in the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto (MARPOL 73/78) and the Convention on the Protection of the Marine Environment of the Baltic Sea Area 1992 (the Helsinki Convention).

2.1 SHIPS UNDER THE FLAG OF A CONTRACTING PARTY TO THE HELSINKI CONVENTION AND/OR MARPOL 73/78

The regulations in the Helsinki Convention on the discharge of oil, noxious liquid substances and garbage and the duty to keep the Cargo, Oil and Garbage Record Books correspond to the regulations in MARPOL 73/78. (All Baltic Sea States are Contracting Parties to MARPOL 73/78 and Annexes I and II as well as have accepted its Annexes III - V.) Therefore both ships flying the flag of a Baltic Sea State and ships flying the flag of a foreign State having ratified or otherwise expressed its consent to be bound by MARPOL 73/78 and its relevant Annexes have to conform to these regulations in the Baltic Sea Area.

In Table 1 the number of States which have, as of 31 December 1998, ratified MARPOL 73/78 including its Annexes is shown together with an indication of the percentage of the gross tonnage of the world’s merchant fleet covered by the regulations. In addition it is stated which of the Annexes are in force and which are not.
Table 1
Implementation status of MARPOL 73/78

<table>
<thead>
<tr>
<th>Annexes</th>
<th>Number of States</th>
<th>% tonnage</th>
</tr>
</thead>
<tbody>
<tr>
<td>I &amp; II</td>
<td>106</td>
<td>94</td>
</tr>
<tr>
<td>III</td>
<td>89</td>
<td>79</td>
</tr>
<tr>
<td>IV</td>
<td>73</td>
<td>42</td>
</tr>
<tr>
<td>V</td>
<td>91</td>
<td>83</td>
</tr>
<tr>
<td>VI</td>
<td>2</td>
<td>5</td>
</tr>
</tbody>
</table>

Source: IMO J/7031

2.2 ALL SHIPS IRRESPECTIVE OF FLAG

Even ships flying the flag of a State not having ratified MARPOL 73/78 have to comply, in the internal waters, territorial seas and EEZs of the Baltic Sea States, with the regulations on the discharge of oil, noxious liquid substances and garbage and the duty to keep the Cargo, Oil and Garbage Record Book.

Moreover all ships, irrespective of flag, have to comply within the internal waters and the territorial seas of the Baltic Sea States with the discharge regulations on sewage and the prohibition of incineration of ship-generated wastes as laid down in the Helsinki Convention. Likewise all ships, irrespective of flag, have to comply within the internal waters, territorial seas and EEZ of the Baltic Sea States with the prohibition on incineration and dumping as laid down in the Helsinki Convention. For ships flying the flag of a Baltic Sea State these prohibitions apply also on the high seas of the Baltic Sea Area.

3. ANTI-POLLUTION REGULATIONS TO BE ENFORCED

In the following the anti-pollution regulations are divided into three groups: discharge regulations due to the status of the Baltic Sea Area as a MARPOL 73/78 special area; regulations on the duty to keep the Cargo, Oil and Garbage Record Books; and other discharge and anti-pollution regulations.

3.1 THE BALTIC SEA AREA: A MARPOL 73/78 SPECIAL AREA

Due to its vulnerability the Baltic Sea Area has been designated as a special area under Annexes I, II and V of MARPOL 73/78. Hereby severely restricted discharge standards as well as prohibitions on discharge apply in regard to the discharge of oil, noxious liquid substances carried in bulk and garbage. (Under Annex VI (not yet in force) the Baltic Sea Area has been designated as a SOx emission control area requiring ships navigating in the Area to use fuel oil with a sulphur content not exceeding 1.5% m/m.)
3.1.1 OIL

See:
- Regulations 10, 11 and 16(5) of Annex I of MARPOL 73/78;
- Articles 8 and 9 and Regulation 4 of Annex IV to the Helsinki Convention, 1992

Oil means petroleum in any form including crude oil, fuel oil, sludge, oil refuse, and refined products.

It is prohibited to discharge oil or oily mixtures in the Baltic Sea Area. This applies to both discharges from the machinery spaces of all ships and to discharges from the cargo spaces of oil tankers. However, discharges from machinery spaces can take place if the oil content in the effluent does not exceed 15 parts per million (ppm).

Attention should be paid to the fact that whenever visible traces of oil are observed on or below the surface in the immediate vicinity of a ship or its wake, it is an indication of a violation of the prohibition to discharge oil with an oil content exceeding 15 ppm.

Map 2 showing the locations of oil spillages observed by aerial surveillance within the Baltic Sea Area during 1998 is contained on page 45.

3.1.2 NOXIOUS LIQUID SUBSTANCES CARRIED IN BULK

See:
- Regulations 5(4), 5(7), 5(8) and 5(9) and Regulation 6 of Annex II of MARPOL 73/78;
- Articles 8 and 9 and Regulation 4 of Annex IV to the Helsinki Convention, 1992

The categorization - A to D - of noxious liquid substances carried in bulk is specified in the International Maritime Organization’s (IMO) International Bulk Chemical Code, Category A being the substances most harmful to the marine environment.

Table 2 outlines the discharge regulations for noxious liquid substances carried in bulk, Categories A to D.
Table 2
Discharge regulations for noxious liquid substances carried in bulk, Categories A to D

<table>
<thead>
<tr>
<th>Category</th>
<th>Need of prewash before discharging</th>
<th>Concentration of substance</th>
<th>Maximum quantity of cargo to be discharged</th>
<th>Speed (knots)</th>
<th>Discharge below waterline</th>
<th>Distance from the nearest land (nautical miles)</th>
<th>Depth of water (m)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Category A</td>
<td>+</td>
<td>0.05 % or 0.005 % —</td>
<td>-</td>
<td>7/4 5)</td>
<td>+</td>
<td>12</td>
<td>25</td>
</tr>
<tr>
<td>Category B</td>
<td>+</td>
<td>1 ppm 2)</td>
<td>-</td>
<td>7/4 5)</td>
<td>+</td>
<td>12</td>
<td>25</td>
</tr>
<tr>
<td>Category C</td>
<td>-</td>
<td>1 ppm 2)</td>
<td>1 m³ or 1/3,000 of the tank capacity in m³ 4)</td>
<td>7/4 5)</td>
<td>+</td>
<td>12</td>
<td>25</td>
</tr>
<tr>
<td>Category D</td>
<td>-</td>
<td>1/10 3)</td>
<td>-</td>
<td>7/4 5)</td>
<td>-</td>
<td>12</td>
<td>-</td>
</tr>
</tbody>
</table>

1) The concentration of the substance in the effluent to a reception facility must be at or below 0.05% by weight until the tank is empty, with the exception of phosphorous, yellow or white, for which the residual concentration shall be 0.005% by weight.

2) The concentration of the substance in the wake astern of the ship must not exceed 1 part per million.

3) The concentration of any mixtures must not be greater than one part of the substance in ten parts of water.

4) The maximum quantity of cargo discharged from each tank and its associated piping system shall in no case exceed the greater of 1 m³ or 1/3,000 of the tank capacity in m³.

5) At least 7 knots in case of self-propelled ships or at least 4 knots in case of ships which are not self-propelled.

From Table 2 it can be seen that discharges from tanks having contained Category A (for instance coal tar) or B (for instance phenol) substances are prohibited within the Baltic Sea Area, unless the following criteria are fulfilled:

- if discharging from such tanks, a pre-wash must take place and the resulting tank wash must be delivered to a reception facility. The same applies to tanks having contained high-viscosity or solidifying Category C substances. When eventually discharging into the sea, requirements as to the concentration of the substance to be discharged, speed, discharge below the waterline, distance to the nearest land and depth of water must be fulfilled.

As for discharges from tanks having contained other Category C (for instance benzene) or Category D (for instance vegetable oil) substances Table 2 outlines the following requirements to be fulfilled before a discharge takes place:

- the concentration of the substance to be discharged, speed and distance to the nearest land (for Category C substances also maximum quantity of cargo to be discharged, discharge below waterline and depth of water).

Map 3 illustrates two of the above outlined discharge requirements for the discharge of noxious liquid substances carried in bulk, by showing the areas in the Baltic Sea Area which are situated...
more than 12 nautical miles from the nearest land and with a water depth of more than 25 metres (see page 47).

Table 3 gives an overview, as of 1990, of the transportation in the Baltic Sea Area of noxious liquid substances carried in bulk.

Table 3
Overview of the transportation of chemicals in the Baltic Sea Area

<table>
<thead>
<tr>
<th>Category of Chemical</th>
<th>Number of chemicals in category</th>
<th>Quantity shipped, tons/year</th>
<th>Number of shipments per year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Category A</td>
<td>12</td>
<td>200,000</td>
<td>120</td>
</tr>
<tr>
<td>Category B</td>
<td>29</td>
<td>700,000</td>
<td>500</td>
</tr>
<tr>
<td>Category C</td>
<td>37</td>
<td>2,200,000</td>
<td>850</td>
</tr>
<tr>
<td>Category D</td>
<td>44</td>
<td>1,700,000</td>
<td>1,000</td>
</tr>
<tr>
<td>Total</td>
<td>122</td>
<td>4,800,000</td>
<td>2,470</td>
</tr>
<tr>
<td>Appendix III</td>
<td>14</td>
<td>1,000,000</td>
<td>500</td>
</tr>
<tr>
<td>Gases</td>
<td>9</td>
<td>2,900,000</td>
<td>1,000</td>
</tr>
<tr>
<td>Total</td>
<td>145</td>
<td>8,700,000</td>
<td>3,970</td>
</tr>
</tbody>
</table>


Looking at the overall transportation of quantities of Category A-D substances in tons/year, Category A substances account for approximately 4% of the transportation, Category B substances for approximately 15% of the transportation, Category C substances for approximately 46% of the transportation and Category D substances for approximately 35% of the transportation.

3.1.3 GARBAGE

See:
- Regulations 5 and 6 of Annex V of MARPOL 73/78;
- Articles 8 and 9 and Regulation 4 of Annex IV to the Helsinki Convention, 1992

Garbage means all kinds of victual, domestic and operational waste excluding fresh fish and parts thereof, generated during the normal operation of the ship.

It is prohibited to discharge garbage in the Baltic Sea Area. This applies also to pleasure craft. Food wastes may, however, be discharged, but in any case not less than 12 nautical miles from the nearest land.
3.2 DUTY TO KEEP THE CARGO, OIL AND GARBAGE RECORD BOOKS

See:
- Regulation 20 of Annex I, Regulation 9 of Annex II and Regulation 9 of Annex V of MARPOL 73/78;
- Articles 8 and 9 and Regulation 4 of Annex IV to the Helsinki Convention, 1992 *

The duty to keep the Cargo, Oil and Garbage Record Books includes a specification of the operations which require an entry to be made in the appropriate Record Book, see Annex I to these Guidelines for a specification (for further reference see Appendix III of Annex I of MARPOL 73/78, Appendix IV of Annex II of MARPOL 73/78 and Appendix to Annex V of MARPOL 73/78)

Accurate and timely entries in the Cargo, Oil and Garbage Record Books are of outmost importance to ensure the compliance with the above described discharge regulations.

3.3 OTHER DISCHARGE AND ANTI-POLLUTION REGULATIONS

3.3.1 SEWAGE

See:
- Articles 8 and 9 and Regulation 5 of Annex IV to the Helsinki Convention, 1992;
- HELCOM Recommendation 19/7

It is prohibited to discharge sewage within a distance of 12 nautical miles from the nearest land. However, if comminuted and disinfected, using a system approved by the Administration, sewage may be discharged provided the distance is more than 4 nautical miles from the nearest land. Additionally, if discharging from a sewage holding tank, the discharge shall be at moderate rate and the ship en route proceeding with a minimum speed of 4 knots.

Only if an approved sewage treatment plant is used, can discharge take place at any distance from the nearest land.

For ships flying the flag of the Baltic Sea States regulation on Surveys and Sewage Pollution Prevention Certificates also apply.

As of 1 July 2000 also working vessels, fishing vessels, and pleasure craft built on or after 1 January 2000, fitted with a toilet, must comply with the discharge regulations on sewage. The same applies, but only as of 1 January 2005, for ships built before 1 January 2000.

3.3.2 INCINERATION

See:
- the 1972 London Dumping Convention and the 1996 Protocol thereto;
- Article 10 of the Helsinki Convention, 1992

Incineration means the deliberate combustion of wastes or other matter at sea for the purpose of their thermal destruction, excluding activities incidental to the normal operation of ships or other man-made structures. However, in the territorial seas of the Baltic Sea States it is prohibited to incinerate also wastes deriving from the normal operation of the ship.

Incineration is prohibited in the entire Baltic Sea Area.
3.3.3 DUMPING

See:
- the 1972 London Dumping Convention and the 1996 Protocol thereto;
- Article 11 of the Helsinki Convention, 1992

Dumping means any deliberate disposal at sea or into the seabed of wastes from ships, not covered by the above mentioned discharge regulations. Dumping also means any deliberate disposal at sea of ships.

Dumping is prohibited in the entire Baltic Sea Area.

3.3.4 DISPOSAL OF DREDGED MATERIAL

See:
- Article 11 and Annex V to the Helsinki Convention, 1992

Disposal of dredged material is allowed in the Baltic Sea Area, but only when a prior special permit has been issued by the appropriate national authority. Additionally, in case of disposal outside the internal waters and the territorial seas, prior consultation in the Helsinki Commission is needed.

4. COLLECTING EVIDENCE

The Baltic Sea States are obliged to co-operate in order to observe and detect violations of anti-pollution regulations and in the enforcement of such violations. This includes reporting, collection and accumulation of evidence.

When suspecting a violation of anti-pollution regulations it is essential that all possible evidence is collected to document the suspected violation.

An itemized list for the collection of evidence in case of a suspected violation of the MARPOL 73/78 Annex I (oil) and II (noxious liquid substances carried in bulk) discharge regulations is contained in Part 3 of Appendix 2 and Part 3 of Appendix 3 to the IMO Assembly Resolution A.787(19) and is shown in Tables 4 and 5, respectively.

This list may also be of use when collecting evidence for a suspected violation of the MARPOL 73/78 Annex V (garbage) discharge regulations and the sewage discharge regulations, as well as the prohibition of incineration and dumping under the Helsinki Convention.

It is important to note that the itemized list is an optimal list, and that the collection of sufficient evidence to ascertain whether a ship has violated an anti-pollution regulation depends on each case and thereby varies from case to case. Thus, in many cases it may not be necessary or even possible to collect all the evidence specified in the list.
Table 4  
Itemized list of possible evidence for collection in case of a suspected violation of the oil discharge regulations  
(Reference is made to the List of Abbreviations in Annex 3 to these Guidelines)

<table>
<thead>
<tr>
<th>1. ACTION ON SIGHTING OIL POLLUTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Particulars of ship or ships suspected of contravention</td>
</tr>
<tr>
<td>1.1.1 Name of ship</td>
</tr>
<tr>
<td>1.1.2 Reasons for suspecting the ship</td>
</tr>
<tr>
<td>1.1.3 Date and time (UTC) of observation or identification</td>
</tr>
<tr>
<td>1.1.4 Position of ship</td>
</tr>
<tr>
<td>1.1.5 Flag and port of registry</td>
</tr>
<tr>
<td>1.1.6 Type (e.g. tanker, cargo ship, passenger ship, fishing vessel), size (estimated tonnage) and other descriptive data (e.g. superstructure, colour and funnel mark)</td>
</tr>
<tr>
<td>1.1.7 Draught condition (loaded or in ballast)</td>
</tr>
<tr>
<td>1.1.8 Approximate course and speed</td>
</tr>
<tr>
<td>1.1.9 Position of slick in relation to ship (e.g. astern, port, starboard)</td>
</tr>
<tr>
<td>1.1.10 Part of the ship from which discharge was seen emanating</td>
</tr>
<tr>
<td>1.1.11 Whether discharge ceased when ship was observed or contacted by radio</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1.2 Particulars of slick</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2.1 Date and time (UTC) of observation if different from 1.1.3</td>
</tr>
<tr>
<td>1.2.2 Position of oil slick in longitude and latitude if different from 1.1.4</td>
</tr>
<tr>
<td>1.2.3 Approximate distance in nautical miles from the nearest landmark</td>
</tr>
<tr>
<td>1.2.4 Approximate overall dimension of oil slick (length, width and percentage thereof covered by oil)</td>
</tr>
<tr>
<td>1.2.5 Physical description of oil slick (direction and form, e.g. continuous, in patches or in windrows)</td>
</tr>
<tr>
<td>1.2.6 Appearance of oil slick (indicate categories)</td>
</tr>
<tr>
<td>Category A: Barely visible under most favourable light condition</td>
</tr>
<tr>
<td>Category B: Visible as silvery sheen on water surface</td>
</tr>
<tr>
<td>Category C: First trace of colour may be observed</td>
</tr>
<tr>
<td>Category D: Bright band of colour</td>
</tr>
<tr>
<td>Category E: Colours begin to turn dull</td>
</tr>
<tr>
<td>Category F: Colours are much darker</td>
</tr>
<tr>
<td>1.2.7 Sky conditions (bright sunshine, overcast, etc.), light fall and visibility (kilometres) at the time of observation</td>
</tr>
<tr>
<td>1.2.8 Sea state</td>
</tr>
<tr>
<td>1.2.9 Direction and speed of surface wind</td>
</tr>
<tr>
<td>1.2.10 Direction and speed of current</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1.3 Identification of the observer(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.3.1 Name of the observer</td>
</tr>
<tr>
<td>1.3.2 Organization with which observer is affiliated (if any)</td>
</tr>
<tr>
<td>1.3.3 Observer’s status within the organization</td>
</tr>
<tr>
<td>1.3.4 Observation made from aircraft/ship/shore/otherwise</td>
</tr>
</tbody>
</table>
1.3.5 Name or identity of ship or aircraft from which the observation was made
1.3.6 Specific location of ship, aircraft, place on shore or otherwise from which observation was made
1.3.7 Activity engaged in by observer when observation was made, for example: patrol, voyage, flight (en route from ... to ... ), etc.

1.4 Method of observation and documentation

1.4.1 Visual
1.4.2 Conventional photographs
1.4.3 Remote sensing records and/or remote sensing photographs
1.4.4 Samples taken from slick
1.4.5 Any other form of observation (specify)

Note: A photograph of the discharge should preferably be in colour. Photographs can provide the following information: that the material on the sea surface is oil; that the quantity of oil discharged does constitute a violation of the Convention; that the oil is being or has been discharged from a particular ship; and the identity of the ship.

Experience has shown that the aforementioned can be obtained with the following three photographs:

1. details of the slick taken almost vertically down from an altitude of less than 300 m with the sun behind the photographer;
2. an overall view of the ship and "slick" showing oil emanating from a particular ship; and
3. details of the ship for the purposes of identification.

1.5 Other information if radio contact can be established

1.5.1 Master informed of pollution
1.5.2 Explanation of master
1.5.3 Ship's last port of call
1.5.4 Ship's next port of call
1.5.5 Name of ship's master and owner
1.5.6 Ship's call sign

2. INVESTIGATION ON BOARD

2.1 Inspection of the IOPP Certificate

2.1.1 Name of ship
2.1.2 Distinctive number or letters
2.1.3 Port of registry
2.1.4 Type of ship
2.1.5 Date and place of issue
2.1.6 Date and place of endorsement

Note: If the ship is not issued with an IOPP Certificate as much as possible of the requested information should be given.
2.2 Inspection of supplement of the IOPP Certificate

2.2.1 Applicable paragraphs of section 2, 3, 4, 5 and 6 of the supplement (non-oil tankers)

2.2.2 Applicable paragraphs of sections 2, 3, 4, 5, 6, 7, 8, 9 and 10 of the supplement (oil tankers)

Note: If the ship does not have an IOPP Certificate, a description should be given of the equipment and arrangements on board, designed to prevent marine pollution.

2.3 Inspection of Oil Record Book (ORB)

2.3.1 Copy sufficient pages of the ORB - part I to cover a period of 30 days prior to the reported incident.

2.3.2 Copy sufficient pages of the ORB - part II (if on board) to cover a full loading/unloading/ballasting and tank cleaning cycle of the ship. Also copy the tank diagram.

2.4 Inspection of log-book

2.4.1 Last port, date of departure, draught forward and aft

2.4.2 Current port, date of arrival, draught forward and aft

2.4.3 Ship’s position at or near the time the incident was reported

2.4.4 Spot check if positions mentioned in the logbook agree with positions noted in the ORB

2.5 Inspection of other documentation on board

2.5.1 Other documentation relevant for evidence (if necessary make copies) such as:
- recent ullage sheets
- records of monitoring and control equipment

2.6 Inspection of ship

2.6.1 Ship’s equipment in accordance with the supplement of the IOPP Certificate

2.6.2 Samples taken. State location on board

2.6.3 Traces of oil in vicinity of overboard discharge outlets

2.6.4 Condition of engine room and contents of bilges

2.6.5 Condition of oily water separator, filtering equipment and alarm, stopping or monitoring arrangements

2.6.6 Contents of sludge and/or holding tanks

2.6.7 Sources of considerable leakage
On oil tankers the following additional evidence may be pertinent:

2.6.8 Oil on surface of segregated or dedicated clean ballast
2.6.9 Condition of pump-room bilges
2.6.10 Condition of COW system
2.6.11 Condition of IG system
2.6.12 Condition of monitoring and control system
2.6.13 Slop tank contents (estimate quantity of water and of oil)

2.7 Statements of persons concerned

If the ORB - part I has not been properly completed, information on the following questions may be pertinent:

2.7.1 Was there a discharge (accidental or intentional) at the time indicated on the incident report?
2.7.2 Is the bilge discharge controlled automatically?
2.7.3 If so, at what time was the system last put into operation and at what time was the system last put on manual mode?
2.7.4 If not, what were date and time of the last bilge discharge?
2.7.5 What was the date of the last disposal of residue and how was the disposal effected?
2.7.6 Is it usual to effect discharge of bilge water directly to the sea or to store bilge water first in a collecting tank? Identify the collecting tank
2.7.7 Have oil fuel tanks recently been used as ballast tanks?

If the ORB - part II has not been properly completed, information on the following questions may be pertinent:

2.7.8 What was the cargo/ballast distribution in the ship on departure from the last port?
2.7.9 What was the cargo/ballast distribution in the ship on arrival in the current port?
2.7.10 When and where was the last loading effected?
2.7.11 When and where was the last unloading effected?
2.7.12 When and where was the last discharge of dirty ballast?
2.7.13 When and where was the last cleaning of cargo tanks?
2.7.14 When and where was the last COW operation and which tanks were washed?
2.7.15 When and where was the last decanting of slop tanks?
2.7.16 What is the ullage in the slop tanks and the corresponding height of interface?
2.7.17 Which tanks contained the dirty ballast during the ballast voyage (if ship arrived in ballast)?
2.7.18 Which tanks contained the clean ballast during the ballast voyage (if ship arrived in ballast)?

In addition, the following information may be pertinent:

2.7.19 Details of the present voyage of the ship (previous ports, next ports, trade)
2.7.20 Contents of oil fuel and ballast tanks
2.7.21 Previous and next bunkering, type of oil fuel
2.7.22 Availability or non-availability of reception facilities for oily wastes during the present voyage
2.7.23 Internal transfer of oil fuel during the present voyage
In the case of oil tankers the following additional information may be pertinent:

2.7.24  The trade the ship is engaged in such as short/long distance, crude or product or alternating crude/product, lightering service, oil/dry bulk
2.7.25  Which tanks clean and dirty
2.7.26  Repairs carried out or envisaged in cargo tanks

Miscellaneous information:

2.7.27  Comments in respect of condition of ship’s equipment
2.7.28  Comments in respect of pollution report
2.7.29  Other comments

3. INVESTIGATION ASHORE

3.1  Analyses of oil samples

3.1.1  Indicate method and results of the samples’ analyses

3.2  Further information

Additional information on the ship, obtained from oil terminal staff, tank cleaning contractors or shore reception facilities may be pertinent

Note: Any information under this heading is, if practicable, to be corroborated by documentation such as signed statements, invoices, receipts, etc.

4. INFORMATION NOT COVERED BY THE FOREGOING

5. CONCLUSION

5.1.1  Summing up of the investigator’s conclusions
5.1.2  Indication of applicable provisions of Annex I of MARPOL 73/78 which the ship is suspected of having contravened
5.1.3  Did the results of the investigation warrant the filing of a deficiency report?

Source:
Itemized list of possible evidence on alleged contravention of the MARPOL 73/78 Annex I discharge provisions, Part 3 of Appendix 2 to IMO Assembly Resolution A.787(19), included as Annex 3 in HELCOM Recommendation 19/16.
<table>
<thead>
<tr>
<th>1. ACTION ON SIGHTING POLLUTION</th>
<th></th>
</tr>
</thead>
</table>

1.1 Particulars of ship or ships suspected of contravention

1.1.1 Name of ship
1.1.2 Reasons for suspecting the ship
1.1.3 Date and time (UTC) of observation or identification
1.1.4 Position of ship
1.1.5 Flag and port of registry
1.1.6 Type, size (estimated tonnage) and other descriptive data (e.g. superstructure, colour and funnel mark)
1.1.7 Draught condition (loaded or in ballast)
1.1.8 Approximate course and speed
1.1.9 Position of slick in relating to ship (e.g. astern, port, starboard)
1.1.10 Part of the ship from which discharge was seen emanating
1.1.11 Whether discharge ceased when ship was observed or contacted by radio

1.2 Particulars of slick

1.2.1 Date and time (UTC) of observation if different from 1.1.3
1.2.2 Position of slick in longitude and latitude if different from 1.1.4
1.2.3 Approximate distance in nautical miles from the nearest land
1.2.4 Depth of water according to sea chart
1.2.5 Approximate overall dimension of slick (length, width and percentage thereof covered)
1.2.6 Physical description of slick (direction and form, e.g. continuous, in patches or in windrows)
1.2.7 Colour of slick
1.2.8 Sky conditions (bright sunshine, overcast, etc.), light fall and visibility (kilometres) at the time of observation
1.2.9 Sea state
1.2.10 Direction and speed of surface wind
1.2.11 Direction and speed of current

1.3 Identification of the observer(s)

1.3.1 Name of the observer
1.3.2 Organization with which observer is affiliated (if any)
1.3.3 Observer’s status within the organization
1.3.4 Observation made from aircraft (ship) (shore) or otherwise
1.3.5 Name or identity of ship or aircraft from which the observation was made
1.3.6 Specific location of ship, aircraft, place on shore or otherwise from which observation was made
1.3.7 Activity engaged in by observer when observation was made, for example: patrol, voyage, flight (en route from... to...), etc.
1.4 **Method of observation and documentation**

1.4.1 Visual
1.4.2 Conventional photographs
1.4.3 Remote sensing records and/or remote sensing photographs
1.4.4 Samples taken from slick
1.4.5 Any other form of observation (specify)

**Note:** A photograph of the discharge should preferably be in colour. The best results may be obtained with the following three photographs:

1. details of the slick taken almost vertically down from an altitude of less than 300 metres with the sun behind the photographer;
2. an overall view of the ship and "slick" showing a substance emanating from the particular ship; and
3. details of the ship for the purposes of identification.

1.5 **Other information if radio contact can be established**

1.5.1 Master informed of pollution
1.5.2 Explanation of master
1.5.3 Ship's last port of call
1.5.4 Ship's next port of call
1.5.5 Name of ship's master and owner
1.5.6 Ship's call sign

2. **INVESTIGATION ON BOARD**

2.1 **Inspection of the Certificate (COF or NLS Certificate)**

2.1.1 Name of ship
2.1.2 Distinctive number or letters
2.1.3 Port of registry
2.1.4 Type of ship
2.1.5 Date and place of issue
2.1.6 Date and place of endorsement

2.2 **Inspection of P and A Manual**

2.2.1 List of Annex II substances the ship is permitted to carry
2.2.2 Limitations as to tanks in which these substances may be carried
2.2.3 Ship equipped with an efficient stripping system
2.2.4 Residue quantities established at survey

2.3 **Inspection of Cargo Record Book (CRB)**

2.3.1 Copy sufficient pages of the CRB to cover a full loading/unloading/ballasting and tank cleaning cycle of the ship. Also copy the tank diagram
2.4 Inspection of log-book

2.4.1 Last port, date of departure, draught forward and aft
2.4.2 Current port, date of arrival, draught forward and aft
2.4.3 Ship's position at or near the time the incident was reported
2.4.4 Spot check if times entered in the Cargo Record Book in respect of discharges correspond with sufficient distance from the nearest land, the required ship's speed and with sufficient water depth

2.5 Inspection of other documentation on board

2.5.1 Other documentation relevant for evidence (if necessary make copies) such as:
- cargo documents of cargo presently or recently carried, together with relevant information on required unloading temperature, viscosity and/or melting point
- records of temperature of substances during unloading
- records of monitoring equipment if fitted

2.6 Inspection of ship

2.6.1 Ship's equipment in accordance with the P and A Manual
2.6.2 Samples taken; state location on board
2.6.3 Sources of considerable leakage
2.6.4 Cargo residues on surface of segregated or dedicated clean ballast
2.6.5 Condition of pump-room bilges
2.6.6 Condition of monitoring system
2.6.7 Slop tank contents (estimate quantity of water and residues)

2.7 Statements of persons concerned

If the CRB has not been properly completed, information on the following questions may be pertinent:

2.7.1 Was there a discharge (accidental or intentional) at the time indicated on the incident report?
2.7.2 Which tanks are going to be loaded in the port?
2.7.3 Which tanks needed cleaning at sea? Had the tanks been prewashed?
2.7.4 When and where were these cleaned?
2.7.5 Residues of which substances were involved?
2.7.6 What was done with the tank washing slops?
2.7.7 Was the slop tank, or cargo tank used as a slop tank, discharged at sea?
2.7.8 When and where was the discharge effected?
2.7.9 What are the contents of the slop tank or cargo tank used as slop tank?
2.7.10 Which tanks contained the dirty ballast during the ballast voyage (if ship arrived in ballast)?
2.7.11 Which tanks contained the clean ballast during the ballast voyage (if ship arrived in ballast)?
2.7.12 Details of the present voyage of the ship (previous ports, next ports, trade)
2.7.13 Difficulties experienced with discharge to shore reception facilities
2.7.14 Difficulties experienced with efficient stripping operations
2.7.15 Which tanks are clean or dirty on arrival?
2.7.16 Repairs carried out or envisaged in cargo tanks
Miscellaneous information

2.7.17 Comments in respect of condition of ship’s equipment
2.7.18 Comments in respect of pollution report
2.7.19 Other comments

3. INVESTIGATION ASHORE

3.1 Analyses of samples

Indicate method and results of the samples’ analyses

3.2 Further information

Additional information on the ship, obtained from terminal staff, tank cleaning contractors or shore reception facilities, may be pertinent

Note: Any information under this heading is, if practicable, to be corroborated by documentation such as signed statements, invoices, receipts, etc.

3.3 Information from previous unloading port terminal

3.3.1 Confirmation that the ship unloaded, stripped or prewashed in accordance with its P and A Manual
3.3.2 The nature of difficulties if any
3.3.3 Restrictions by authorities under which the ship was permitted to sail
3.3.4 Restrictions in respect of shore reception facilities

4. INFORMATION NOT COVERED BY THE FOREGOING

5. CONCLUSION

5.1 Summing up of the investigator’s conclusions
5.2 Indication of applicable provisions of Annex II of MARPOL 73/78 which the ship is suspected of having contravened
5.3 Did the results of the investigation warrant the filing of a deficiency report?

Source:
Itemized list of possible evidence on alleged contravention of the MARPOL 73/78 Annex II discharge provisions, Part 3 of Appendix 3 to IMO Assembly Resolution A.787(19), included as Annex 4 in HELCOM Recommendation 19/16.

The evidence collected during an aerial surveillance, when observing a suspected polluter and/or a spill, shall be filled in a Pollution Observation Report on Polluters and Combatable Spills as shown in Format 1. Governmental ships are also recommended to use Format 1 when reporting on collected evidence.
Pollution observation report on polluters and combatable spills  
Bonn Agreement Aerial Surveillance North Sea  
(To be used from 1 January 1997 onwards)

1. REPORTER:
   a. Reporting State : 
   b. Observer (organization/aircraft/ship/platform) : 
   c. Observer(s) (family name(s)) : 

2. DATE AND TIME:
   a. Date (yy,mm,dd) : 
   b. Time of observation (UTC) : 

3. LOCATION OF THE POLLUTION:
   a. Position of the pollution (lat/long) 
      begin : N, W/E 
      end : N, W/E 
   b. Inside/outside territorial waters : 

4. DESCRIPTION OF THE POLLUTION:
   a. Type of substance discharged : 
   b. Estimated quantity (cub.mtrs) : 
   c. Length (km) : 
   d. Width (km) : 
   e. Total cover percentage (%) : 
   f. Percentage of covered area coloured (%) : 1: % 4: % 7: %  
      (1=silvershine, 2=grey, 3=rainbow, 4=blue, 
      5=blue/brown, 6=brown, 7=black, 8=other, i.e.) 
      2: % 5: % 8: % 
      3: % 6: % i.e. 

5. METHOD OF DETECTION AND INVESTIGATION:
   a. Detection method (visual, SLAR, IR, UV, video camera 
      MWRM, identification camera, other i.e.) : 
   b. Discharge observed (yes/no) : 
   c. Photographs taken (yes/no) : 
   d. Samples taken (yes/no) : 
   e. Need of combating (yes/no) : 
   f. Other ships/platforms in vicinity (names) : 

6. WEATHER AND SEA CONDITIONS:
   a. Wind direction (degr) : 
   b. Wind force (Bft) : 
   c. Visibility (km) : 
   d. Cloud coverage (octa) : 
   e. Wave height (mtrs) : 
   f. Current direction (degr) : 


OBSERVATION OF A DISCHARGE OF HARMFUL SUBSTANCES BY A SHIP UNDER ARTICLE 6(3) OF MARPOL 73/78

7. SHIP INVOLVED:
   a. Name :
   b. Callsign :
   c. Flag Stage :
   d. Home port :
   e. Type of ship :
   f. Position (lat/long) : N, W/E, at UTC
   g. Heading (degr) :
   h. Speed (kts) :
   i. Colour of the hull :
   j. Colour of the funnel and funnel mark :

8. INFORMATION BY RADIO CONTACT:
   a. Radio contact (yes/no) :
   b. Means of communication (VHF/telephony, channel/frequency) :
   c. Last port of call :
   d. Next port of call, ETA (yy,mm,dd) :
   e. Statements of captain/officer on duty :

OBSERVATION OF A DISCHARGE OF HARMFUL SUBSTANCES BY AN OFFSHORE INSTALLATION

9. OFFSHORE INSTALLATION INVOLVED:
   a. Platform name :
   b. Position (lat/long) : N, W/E
   c. Type of platform (production/drilling rig etc.) :
   d. Company name :

10. INFORMATION BY RADIO CONTACT:
   a. Radio contact (yes/no) :
   b. Means of communication (VHF/telephony, channel/frequency) :
   c. Contact with (position) :
   d. Statements :

11. REMARKS AND ADDITIONAL INFORMATION: :
5. FORWARDING THE COLLECTED EVIDENCE

The time factor is essential when forwarding collected evidence of a suspected violation of anti-pollution regulations. Especially in the case of observations of violations at sea there can be a need for prompt co-operation with competent authorities in other countries, including involvement of aerial surveillance or nearby governmental ships.

It is important to forward fast and in an easy accessible way information on the already collected evidence to those who are going to carry out further investigations of the suspected violation. Attention must be paid to possible language barriers, and it is advised to use English. It is further advised to get an acknowledgment of the receipt of the information. In Table 6 it is indicated how to complete a report based on the above itemized list of possible evidence as shown in Tables 4 and 5, and how to supplement it by appropriate documents.

Table 6
Completion of a Report on collected evidence

| • a statement by the observer of the pollution, which in addition to the evidence collected, includes considerations which lead the observer to conclude that none of any other possible pollution source is in fact the source; |
| • statements concerning the sampling procedure both of the slick and on board. These should include location of and time when samples were taken, identity of person(s) taking the samples and receipts identifying the persons having custody and receiving transfer of the samples; |
| • reports of analyses of samples taken of the slick and on board; the reports should include the results of the analyses, a description of the method employed, reference to or copies of scientific documentation attesting to the accuracy and validity of the method employed and names of persons performing the analyses and their experience; |
| • if applicable, a statement by the PSCO on board together with the PSCO’s rank and organization; |
| • statements by persons being questioned; |
| • statements by witnesses; |
| • photographs of the slick; |
| • copies of relevant pages of Oil/Cargo Record Books, log-books, discharge recordings, etc. |

Source:
IMO Assembly Resolution A.787(19), Part 2, Section 3 of Appendices 2 and 3.

A Baltic Sea State shall, when forwarding information to another State on an observation and the collected evidence of a suspected violation of an anti-pollution regulation, use the HELCOM Summation Report, a print of which is shown in Format 2.

(Attention must be paid to the special reporting formats to be used when carrying out a port State control, cf. Appendices 5 and 6 to IMO Assembly Resolution A.787(19).)
## HELCOM Summation Report

Summation of evidence collected on a suspected violation of anti-pollution regulation(s) under the Convention on the Protection of the Marine Environment of the Baltic Sea Area, 1992 (Helsinki Convention)

<table>
<thead>
<tr>
<th>Request for action</th>
<th>Request for port State control</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☐</td>
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### TO:

<table>
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<tr>
<th>Name</th>
<th>Organisation</th>
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### FROM:

<table>
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<th>Telefax No.</th>
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### 1. SUMMARY OF INCIDENT

<table>
<thead>
<tr>
<th>Name of the ship</th>
<th>IMO number</th>
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<tbody>
<tr>
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<table>
<thead>
<tr>
<th>Reasons for suspecting the ship</th>
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<table>
<thead>
<tr>
<th>Date</th>
<th>Time (UTC)</th>
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<table>
<thead>
<tr>
<th>Position of ship</th>
<th>Latitud</th>
<th>Longitude</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
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<table>
<thead>
<tr>
<th>Flag State</th>
<th>Port of registry</th>
</tr>
</thead>
<tbody>
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</table>

<table>
<thead>
<tr>
<th>Type and size of the vessel</th>
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</table>

<table>
<thead>
<tr>
<th>draught condition</th>
<th>loaded</th>
<th>ballast</th>
<th>Approximate course</th>
<th>speed</th>
</tr>
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<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Position of slick in relation to ship</th>
<th>Whether discharge ceased</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>astern</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>port</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>starboard</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Part of the ship from which discharge was seen emanating</th>
</tr>
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<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Suspected of violating the following anti-pollution regulation(s)</th>
<th>Disposal of dredged materials</th>
</tr>
</thead>
<tbody>
<tr>
<td>oil</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>noxious liquid substances (A, B, C, D)</th>
<th>Duty to keep the</th>
</tr>
</thead>
<tbody>
<tr>
<td>garbage</td>
<td>Oil</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>sewage</th>
<th>Cargo</th>
</tr>
</thead>
<tbody>
<tr>
<td>incineration</td>
<td>Garbage</td>
</tr>
<tr>
<td>dumping</td>
<td>Record Book</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Estimated amount of discharged substance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

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22
2. METHOD OF OBSERVATION

Detected by (Authority)

Means of observation Observer's name

In response region, in the Baltic Sea Area, a special area under Annexes I, II and V of MARPOL 73/78

Territorial sea
Exclusive economic zone
High seas

Flag State has ratified MARPOL 73/78

3. EVIDENCE COLLECTED

<table>
<thead>
<tr>
<th>Evidence Type</th>
<th>Detection Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pollution observation log</td>
<td></td>
</tr>
<tr>
<td>Audio tape recordings</td>
<td></td>
</tr>
<tr>
<td>Pollution observation report</td>
<td></td>
</tr>
<tr>
<td>Samples from sea</td>
<td></td>
</tr>
<tr>
<td>SLAR/IR/UV images</td>
<td></td>
</tr>
<tr>
<td>Samples from vessel</td>
<td></td>
</tr>
<tr>
<td>Photographs</td>
<td></td>
</tr>
<tr>
<td>Samples analyses</td>
<td></td>
</tr>
<tr>
<td>Video recordings</td>
<td></td>
</tr>
<tr>
<td>Witness statements/reports</td>
<td></td>
</tr>
<tr>
<td>Port State control report</td>
<td></td>
</tr>
<tr>
<td>Other evidence, what</td>
<td></td>
</tr>
</tbody>
</table>

4. OTHER RELEVANT INFORMATION


5. CONTACT POINT

Organisation

Contact person

Address

Phone No. Telefax No.

Date and place Signature

PLEASE ACKNOWLEDGE THE RECEIPT OF THIS SUMMATION REPORT

(This Summation Report can be found also on the HELCOM website http://www.helcom.fi)
5.1 CONTACT POINTS

As the suspected ship might not call in a port of the State in whose water the violation is committed, there is a need to communicate the specifics of the case together with a request for further investigating the case to the State of the next port of call or even the State under whose waters the ship will first pass through. In order to tighten and optimize this co-operation, Table 7 and Table 8, respectively, show the Contact Points in each Baltic Sea State to be reached 24 hours a day and the Contact Points for inquiries about the status of a case on a suspected violation of an anti-pollution regulation.

Table 7
Contact Points - 24 hours

<table>
<thead>
<tr>
<th>Baltic Sea State</th>
<th>Organization</th>
<th>Phone/fax numbers and e-mail address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Denmark</td>
<td>Admiral Danish Fleet *</td>
<td>Phone: +45-89-433 099 (24 hours) Fax: +45-89-433 230 (24 hours)</td>
</tr>
<tr>
<td>Estonia</td>
<td>Estonian Environmental Inspectorate *</td>
<td>Phone: +372-6-603 333 (24 hours) Fax: +372-6-603 350 (24 hours)</td>
</tr>
<tr>
<td>Finland</td>
<td>MRCC Turku *</td>
<td>Phone: + 358-204-1001 (24 hours) Phone: + 358-204-1000 (alarm, 24 hours) Fax: +358-2-250 0950 (24 hours) Telex: +57-62249 smmve fi (24 hours)</td>
</tr>
<tr>
<td>Germany</td>
<td>Zentraler Meldekopf Cuxhaven (ZMK)</td>
<td>Phone: +49-4721-567 485 (24 hours) Fax: +49-4721-567 404 (24 hours)</td>
</tr>
<tr>
<td>Latvia</td>
<td>Marine Environment Board *</td>
<td>Phone: +371-9-464 006 (24 hours) Fax: +371-2-465 888 (24 hours)</td>
</tr>
<tr>
<td>Lithuania</td>
<td>Marine Rescue Co-ordination Center</td>
<td>Phone: +370-6-499 669 (24 hours) Fax: +370-6-499 677 (24 hours)</td>
</tr>
<tr>
<td>Poland</td>
<td>Maritime Information Center GUM Radio</td>
<td>Phone: +48-58-621 6162 Fax: +48-58-621 7231</td>
</tr>
<tr>
<td>Russia</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Sweden

Coast Guard Headquarters *

Phone: +46-455-85777
(24 hours)
Fax: +46-455-81275
(24 hours)
E-mail: syd@coastguard.se

(European Commission)


<table>
<thead>
<tr>
<th>Baltic Sea State</th>
<th>Organization</th>
<th>Phone/fax number and e-mail address</th>
</tr>
</thead>
</table>
| Denmark          | Defence Command | Phone: +45-4567 4567 (Working hours)
Fax: +45-4589 0748 (Working hours) |
| Estonia          | Estonian Environmental Inspectorate * | Phone: +372-66-03333 (Working hours)
Fax: +372-66-03350 (Working hours) |
| Finland          | Finnish Maritime Administration | Phone: +358-204-4840 (Working hours)
Fax: +358-204-484336 (Working hours)
Fax: +358-204-484500 (Working hours) |
| Germany          | Federal Maritime and Hydrographic Agency | Phone: +49-40-31900 (Working hours)
Fax: +49-40-3190 5000 (Working hours) |
| Latvia           | Marine Environment Board * | Phone: +371-2-469 664 (working hours) |
| Lithuania        | Marine Environmental Protection Agency | Phone: +370-6-341606 (Working hours)
Fax: +370-6-341610 (note: to Mr. V. Tamelis) (Working hours) |
| Poland           | 1. Maritime Office in Gdynia | 1. Phone: +48-58-620 5825
Fax: +48-58-620 6743
E-mail: DUMSEKR@umgdy.gov.pl |
|                  | 2. Maritime Office in Slupsk | 2. Phone: +48-59-842 8702
Fax: +48-59-842 3834
E-mail: umor@bicom.slupsk.pl (Working hours) |
Fax: +48-91-434 4656
E-mail: LAuriga@ums.gov.pl (Working hours) |

6. LEGAL AND ADMINISTRATIVE SYSTEMS FOR CONVICTING OFFENDERS

Violations of anti-pollution regulations are treated differently in the Baltic Sea States, see Table 9. Thus, in some States a violation is considered as an administrative offence and in others as a criminal offence. A criminal offence can be based on civil or penal law. In some States the administrative sanction is not considered as a substitute for criminal sanctions, but as a complement, and the same offence can be considered also under the legal system. Even in case of administrative offences an appeal may be brought to the courts for a judicial consideration.

Table 9
Criminal and/or administrative offence

<table>
<thead>
<tr>
<th>Baltic Sea State</th>
<th>Criminal offence</th>
<th>Administrative Offence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Discharge regulations *1</td>
<td>Oil, Cargo, Garbage Record Books **4</td>
</tr>
<tr>
<td></td>
<td>Discharge regulations *1</td>
<td>Oil, Cargo, Garbage Record Books **4</td>
</tr>
<tr>
<td>Denmark</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Estonia</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Finland</td>
<td>+</td>
<td>+</td>
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<tr>
<td>Germany</td>
<td>+</td>
<td>+</td>
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<tr>
<td>Latvia</td>
<td>+</td>
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<tr>
<td>Lithuania</td>
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<td>+</td>
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<tr>
<td>Poland</td>
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<td>+ 1)</td>
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<tr>
<td>Russia</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td>Sweden</td>
<td>+</td>
<td>+</td>
</tr>
</tbody>
</table>
1) Can be appealed to the Supreme Administrative Court, but only for a decision on the legality of the administrative decision.
2) Only in the case of illegal discharge of oil to water; the Water Pollution Fee.

6.1 REQUIRED EVIDENCE

None of the Baltic Sea States have formal rules specifying which evidence is admissible or how to evaluate collected evidence when documenting a suspected violation of an anti-pollution regulation. Therefore all evidence possible to collect to document a suspected violation can and should be used as evidence.

6.2 WHO CAN BE HELD LIABLE

In Table 10 it is shown whether a physical person and/or a legal entity can be held liable.

**Table 10**
Physical person and/or a legal entity to be held liable

<table>
<thead>
<tr>
<th>Baltic Sea State</th>
<th>Physical person</th>
<th></th>
<th></th>
<th>Legal entity</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Discharge regulations (*)</td>
<td>Oil, Cargo, Garbage Record Books **)</td>
<td>Other anti-pollution regulations (***)</td>
<td>Discharge regulations (*)</td>
<td>Oil, Cargo, Garbage Record Books **)</td>
<td>Other anti-pollution regulations (***)</td>
<td></td>
</tr>
<tr>
<td>Denmark</td>
<td>+</td>
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<td>+ 1)</td>
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<tr>
<td>Germany</td>
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<td></td>
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<td>Latvia</td>
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<td>Lithuania</td>
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<td></td>
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<td>Poland</td>
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<td></td>
</tr>
<tr>
<td>Russia</td>
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<td></td>
</tr>
<tr>
<td>Sweden</td>
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<td>+</td>
<td>+</td>
<td>+</td>
<td>+</td>
<td>+</td>
<td></td>
</tr>
</tbody>
</table>

*) See section 3.1 of these Guidelines
**) See section 3.2 of these Guidelines
***) See section 3.3 of these Guidelines

1) A corporate fine may only be imposed for violations of the Penal Code, i.e., in more serious cases.
In Table 11 it is shown who can be held liable in case of a violation of a discharge or another anti-pollution regulation. It should be noted that in some cases more than one physical person/legal entity can be held liable for the same violation.

### Table 11
**Which physical/legal persons can be held liable**

<table>
<thead>
<tr>
<th>Baltic Sea State</th>
<th>The person actually committing the offence</th>
<th>The ship’s master</th>
<th>The shipowner/bareboat charterer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Discharge regulations *)</td>
<td>Other anti-pollution regulations ***)</td>
<td>Discharge regulations *)</td>
</tr>
<tr>
<td>Denmark</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Estonia</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Finland</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Germany</td>
<td>+</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td>Latvia</td>
<td>+</td>
<td></td>
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<tr>
<td>Lithuania</td>
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<td>+</td>
</tr>
<tr>
<td>Poland</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Russia</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sweden</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
</tbody>
</table>

*) See section 3.1 of these Guidelines

***) See section 3.3 of these Guidelines

1) Only in case of illegal oil discharges to sea for which an administrative Water Pollution Fee is imposed.
In Table 12 it is shown who is responsible for keeping the Cargo, Oil and Garbage Record Books and, thus, who will be held liable in case of a violation of this duty.

**Table 12**

**Persons responsible for keeping the Cargo, Oil and Garbage Record Book**

<table>
<thead>
<tr>
<th>Baltic Sea State</th>
<th>Ship’s master</th>
<th>Chief Engineer</th>
<th>Other person to whom responsibility has been delegated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Denmark</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Estonia</td>
<td>+</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Finland</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Germany</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Latvia</td>
<td>+</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lithuania</td>
<td>+</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Poland</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
<tr>
<td>Russia</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sweden</td>
<td>+</td>
<td>+</td>
<td>+</td>
</tr>
</tbody>
</table>

7. **FEEDBACK**

A Baltic Sea State receiving evidence that one of its ships is suspected of violating anti-pollution regulations is obliged to promptly inform the reporting State on actions taken. This also applies to other States having ratified MARPOL 73/78.

This information can be seen as a tool for enhancing convictions of offenders. Thus, it is possible to indicate for instance why it was not possible to obtain a conviction, i.e., which other evidence would have been needed or which specific conditions the collected evidence must fulfill to be used for a conviction. The information shall be given in a Feedback Report on a suspected violation of anti-pollution regulation(s), contained in Format 3.

A Baltic Sea State shall report on the progress of the case, in which one of its ships is suspected of violating an anti-pollution regulation, using the Feedback Report shown in Format 3. Whenever a new step is taken it shall be reported on.

(Attention must be paid to the special reporting formats to be used by flag States when commenting on a deficiency report deriving from a port State control, cf. Appendix 7 to IMO Assembly Resolution A.787(19).)
## HELCOM Feedback Report

Feedback on a suspected violation of anti-pollution regulation(s)
under the Convention on the Protection of the Marine Environment of the Baltic Sea Area, 1992 (Helsinki Convention)

### TO FROM

<table>
<thead>
<tr>
<th>Name</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organisation</td>
<td>Organisation</td>
</tr>
<tr>
<td>Phone No.</td>
<td>Phone No.</td>
</tr>
<tr>
<td>Telefax No.</td>
<td>Telefax No.</td>
</tr>
</tbody>
</table>

### 1. SUMMARY OF INCIDENT

<table>
<thead>
<tr>
<th>Reported by</th>
<th>Reported on</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reported to</td>
<td>Name of the suspected</td>
</tr>
<tr>
<td>Date</td>
<td>IMO number</td>
</tr>
<tr>
<td>Latitude</td>
<td>Time</td>
</tr>
<tr>
<td>In</td>
<td>Longitude</td>
</tr>
</tbody>
</table>

- Suspected of violating:
  - oil
  - noxious liquid substances (A, B, C, D)
  - garbage
  - sewage
  - incineration
  - dumping

- Disposal of dredged materials
- Duty to keep the:
  - Oil
  - Cargo
  - Garbage
  - Record Book

### 2. ACTION TAKEN

<table>
<thead>
<tr>
<th>Case closed</th>
<th>Y date</th>
<th>Details (reasons, findings, judgment, including amount of fine, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case under consideration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative/court prosecution initiated</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative fine imposed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Court conviction</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

30
3. EVIDENCE LACKING

The lack of the following evidence was the reason why a conviction / administrative fine could not be imposed

Pollution observation log
Pollution observation report
SLAR/IR/UV images
Photographs
Video recordings
Other evidence, what

Audio tape recordings
Samples from sea
Samples from vessel
Official reports
Witness statements/reports
Other reasons, which

4. OTHER RELEVANT INFORMATION

5. FEEDBACK AUTHORITY

Authority to whom further inquiries can be addressed

Organisation
Contact person
Address
Phone No.    Telefax No.

Date and place    Signature

PLEASE ACKNOWLEDGE THE RECEIPT OF THIS FEEDBACK REPORT

NOTE:

A COPY OF THIS REPORT SHOULD BE SEND ALSO TO THE FOLLOWING ADDRESS:

SECRETARIAT OF THE HELSINKI COMMISSION
KATAJANOKANLAITURI 6 B
FIN - 00160 HELSINKI
FINLAND

OR BY TELEFAX TO NUMBER +358-9-6220 2239.

(This Feedback Report can be found also on the HELCOM website http://www.helcom.fi)
SPECIFICATION OF OPERATIONS TO BE RECORDED IN THE APPROPRIATE RECORD BOOKS

Extract from Annex I of MARPOL 73/78

Regulation 20
Oil Record Book

(1) Every oil tanker of 150 tons gross tonnage and above every ship of 400 tons gross tonnage and above other than an oil tanker shall be provided with an Oil Record Book Part I (Machinery Space Operations). Every oil tanker of 150 tons gross tonnage and above shall also be provided with and Oil Record Book Part II (Cargo/Ballast Operations). The Oil Record Book(s), whether as a part of the ship’s official log-book or otherwise, shall be in the form(s) specified in appendix III to this Annex.

(2) The oil record Book shall be completed on each occasion, on a tank-to-tank basis if appropriate, whenever any of the following operations take place in the ship:

(a) for machinery space operations (all ships):
   (i) ballasting or cleaning of oil fuel tanks;
   (ii) discharge of dirty ballast or cleaning water from tanks referred to under (i) of the subparagraph;
   (iii) disposal of oily residues (sludge);
   (iv) discharge overboard or disposal otherwise of bilge water which has accumulated in machinery spaces;

(b) for cargo/ballast operations (oil tankers):
   (i) loading of oil cargo;
   (ii) internal transfer of oil cargo during voyage;
   (iii) unloading of oil cargo;
   (iv) ballasting of cargo tanks and dedicated clean ballast tanks;
   (v) cleaning of cargo tanks including crude oil washing;
   (vi) discharge of ballast except from segregated ballast tanks;
   (vii) discharge of water from slop tanks;
   (viii) closing or all applicable valves or similar devices after slop tank discharge operations;
   (ix) closing of valves necessary for isolation of dedicated clean ballast tanks from cargo and stripping lines after slop tank discharge operations;
   (x) disposal of residues.

(3) In the event of such discharge of oil or oily mixtures as is referred to in regulation 11 of this Annex or in the event of accidental or other exceptional discharge of oil not excepted by that regulation, a statement shall be made in the Oil Record Book of the circumstances of, and the reasons for, the discharge.
Extract from Annex II of MARPOL 73/78

Regulation 9
Cargo Record Book

(1) Every ship to which this Annex applies shall be provided with a Cargo Record Book, whether as part of the ship’s official log-book or otherwise, in the form specified in appendix IV to this Annex.

(2) The Cargo Record Book shall be completed, on a tank-to-tank basis, whenever any of the following operations with respect to a noxious liquid substance take place in the ship:

   (i) loading of cargo;
   (ii) internal transfer of cargo;
   (iii) unloading of cargo;
   (iv) cleaning of cargo tanks;
   (v) ballasting of cargo tanks;
   (vi) discharge of ballast from cargo tanks;
   (vii) disposal of residues to reception facilities;
   (viii) discharge into the sea or removal by ventilation of residues in accordance with regulation 5 of this Annex.

(3) In the event of any discharge of the kind referred to in article 8 of the present Convention and regulation 6 of this Annex of any noxious liquid substance or mixture containing such substance, whether intentional or accidental, an entry shall be made in the Cargo Record Book stating the circumstances of, and the reason for, the discharge.
Extract from Annex V of MARPOL 73/78

Regulation 9

*Garbage record-keeping*

(3) Every ship of 400 tons gross tonnage and above and every ship which is certified to carry 15 persons or more engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to the Convention and every fixed and floating platform engaged in exploration and exploitation of the sea-bed shall be provided with a Garbage record book. The Garbage Record Book, whether as a part of the ship’s official log-book or otherwise, shall be in the form specified in the appendix to this Annex.

(a) each discharge operation, or completed incineration, shall be recorded in the Garbage Record Book and signed for on the date of the incineration of discharge by the officer in charge. Each completed page of the Garbage Record Book shall be both in an official language of the State whose flag the ship is entitled to fly, and in English or French. The entries in an official national language of the State whose flag the ship is entitled to fly shall prevail in case of a dispute or discrepancy;

(b) the entry for each incineration or discharge shall include date and time, position of the ship, description of the garbage and the estimated amount incinerated or discharged;

(c) the garbage Record Book shall be kept on board the ship and in such a place as to be available for inspection in a reasonable time. This document shall be preserved for a period of two years after the last entry is made in the record;

(d) in the event of discharge, escape or accidental loss referred to in regulation 6 of this Annex an entry shall be made in the Garbage Record Book of the circumstances of, and the reason for, the loss.

(4) The Administration may waive the requirements for Garbage Record Books for:

(a) any ship engaged on voyages of 1 hour or less in duration which is certified to carry 15 persons of or more; or

(b) fixed or floating platforms while engaged in exploration and exploitation of sea-bed.
REFERENCE LIST

- Baltic Legal Manual; Information on anti-pollution regulations and the prosecution of violations thereof in the Baltic Sea States, 2000
- HELCOM Recommendation 19/14 concerning a harmonized system of fines in case a ship violates anti-pollution regulations
- HELCOM Recommendation 19/16 concerning co-operation in investigating violations or suspected violations of discharge and related regulations for ships, dumping and incineration Regulations
- HELCOM Recommendation 19/18 concerning reporting on incidents involving harmful substances and emergency dumping.
- IMO Assembly Resolution A.787(19), Procedures for port State control
- MEPC Resolution 61(34), Visibility Limits of Oil Discharges of Annex I of MARPOL 73/78
- Manual on Oil Pollution at Sea - Securing Evidence on Discharges from Ships, Bonn Agreement, 1993
- Dutch study on “Visibility limits of oil discharges: Investigation into the visibility limits of operational oil discharges from ships”, MEPC 33/INF.28
- Canadian study on “Visibility limits of spilled oil sheens”, MEPC 40/INF.28
LIST OF ABBREVIATIONS

COF Certificate: Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk

COW system: Crude Oil Washing system

CRB: Cargo Record Book

EPA: Environmental Protection Agency

EEZ: Exclusive economic zone

MA: Maritime Administration

HELCOM: Helsinki Commission, i.e., the Baltic Marine Environment Protection Commission


IG system: Inert Gas System

IOPP Certificate: International Oil Pollution Prevention Certificate

IR: Infra-Red

kms: kilometers

MARPOL 73/78: International Convention for the Prevention of Pollution from Ships 1973, as modified by the Protocol of 1978 relating thereto

MRCC Århus: The Maritime Rescue and Coordination Centre, Århus (Denmark)

MRCC Turku: The Maritime Rescue and Coordination Centre, Turku (Finland)

NLS Certificate: International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk

ORB: Oil Record Book


PSCO: Port State control officer

R.S: Remote sensing

UTC: Universal Time Coordinated

UV: Ultra Violet
Maritime boundaries of the Baltic Sea States

This map has been produced on the basis of existing data within the Federal Maritime and Hydrographic Agency (Bundesamt für Seeschifffahrt und Hydrographie, BSH), Germany, and data received from Germany, Denmark and Finland. It is intended to provide an overview of maritime zones within the Baltic Sea Area and not to constitute as a basis for legal claims on delimitation of maritime areas within the Baltic Sea Area.
Map 2

Locations of spillages in the Baltic Sea Area observed by aerial surveillance within the Baltic Sea Area in 1998

HELCOM/CC
Location of spillages observed by aerial surveillance within the Baltic Sea Area 1998

SYMBOLS
confirmed  not confirmed
Quantities >0-1 m³  424  0
Quantities 1-10 m³  28  0
Quantities 10-100 m³  3  0
Quantities >100 m³  0  0
TOTAL NUMBER OF OBSERVATIONS: 455
Data by: DE, DK, EE, FI, LV, PL and SE

This map shows an alarmingly high number of illegal oil discharges in the Baltic Sea Area. The results of special operations in which aerial surveillance has been carried out over busy shipping lanes indicate that the number might be even higher than the reported 455 observations.
Areas in the Baltic Sea Area situated more than 12 nautical miles from the nearest land and with a water depth of more than 25 meters

Baltic Sea area

Marked sea area:
- distance from the nearest land more than 12 nautical miles
- water depth more than 25 m
BALTIC SEA ENVIRONMENT PROCEEDINGS


No. 2  REPORT OF THE INTERIM COMMISSION (IC) TO THE BALTIC MARINE ENVIRONMENT PROTECTION COMMISSION (1981)*

No. 3  ACTIVITIES OF THE COMMISSION 1980
- HELCOM Recommendations passed during 1980 (1981)*

No. 4  BALTIC MARINE ENVIRONMENT BIBLIOGRAPHY 1970-1979 (1981)*

No. 5A  ASSESSMENT OF THE EFFECTS OF POLLUTION ON THE NATURAL RESOURCES OF THE BALTIC SEA, 1980
PART A-1: OVERALL CONCLUSIONS (1981)*

No. 5B  ASSESSMENT OF THE EFFECTS OF POLLUTION ON THE NATURAL RESOURCES OF THE BALTIC SEA, 1980
PART A-1: OVERALL CONCLUSIONS
PART A-2: SUMMARY OF RESULTS
PART B: SCIENTIFIC MATERIAL (1981)

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ISSN 0357-2994