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# 国际海事组织海员行为示范

MODEL  
COURSE 3.09

# 港口国监督

PORT STATE CONTROL (2001)

中华人民共和国海事局 **译**



大连海事大学出版社  
DALIAN MARITIME UNIVERSITY PRESS



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# Foreword

Since its inception the International Maritime Organization has recognized the importance of human resources to the development of the maritime industry and has given the highest priority to assisting developing countries in enhancing their maritime training capabilities through the provision or improvement of maritime training facilities at national and regional levels. IMO has also responded to the needs of developing countries for postgraduate training for senior personnel in administration, ports, shipping companies and maritime training institutes by establishing the World Maritime University in Malmö, Sweden, in 1983.

Following the earlier adoption of the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, a number of IMO Member Governments had suggested that IMO should develop model training courses to assist in the implementation of the Convention and in achieving a more rapid transfer of information and skills regarding new developments in maritime technology. IMO training advisers and consultants also subsequently determined from their visits to training establishments in developing countries that the provision of model courses could help instructors improve the quality of their existing courses and enhance their effectiveness in meeting the requirements of the Convention and implementing the associated Conference and IMO Assembly resolutions.

In addition, it was appreciated that a comprehensive set of short model courses in various fields of maritime training would supplement the instruction provided by maritime academies and allow administrators and technical specialists already employed in maritime administrations, ports and shipping companies to improve their knowledge and skills in certain specialized fields. IMO has therefore developed the current series of model courses in response to these generally identified needs and with the generous assistance of Norway.

These model courses may be used by any training institution and the Organization is prepared to assist developing countries in implementing any course when the requisite financing is available.

W. A. O'NEIL

*Secretary-General*

# 前 言

国际海事组织(IMO)自成立伊始就认识到人力资源在海运业发展中的重要性,并最优先考虑通过在国家和地区层面上提供或改善培训设备来帮助发展中国家增强其海事培训能力。为应对发展中国家主管机关、港口、航运公司及海事培训机构中高层人员对研究生培训的需求,IMO于1983年在瑞典的马尔默成立了世界海事大学。

在《1978年海员培训、发证和值班标准国际公约》通过的初期,一些IMO成员国政府就建议IMO应制定示范培训课程,以帮助对该公约的实施以及对航海技术新发展方面信息和技能的迅速转化。IMO培训顾问和咨询专家在对发展中国家的培训机构进行访问后确定,提供示范教程有助于教员改进现有课程的质量,提高其满足公约要求及实施相关会议和IMO大会决议的有效性。

此外,令人欣慰的是,海事培训诸多领域中一套综合性简短课程将对海事院校提供的授课加以补充,并使得已在海事行政机关、港口和航运公司工作的行政管理和技术专家可以提高其在某些专业领域中的知识和技能。为此,IMO在挪威的慷慨帮助下编写了当前的系列示范课程,以应对那些普遍发现的需求。

任何培训机构都可以使用这些示范课程,在筹措到必需的资金时本组织也准备帮助发展中国家实施任何课程。

W.A.奥尼尔

秘书长

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# Introduction

## 1 Purpose of the model course

The purpose of the model course is to establish a framework for teaching and learning in a way that is consistent with the principles of adult learning and to provide a framework for the design of a model course that is consistent with the principles of adult learning and to provide a framework for the design of a model course that is consistent with the principles of adult learning.

# 3.09 MODEL COURSE

## 2 Use of the model course

The model course is a framework for teaching and learning in a way that is consistent with the principles of adult learning and to provide a framework for the design of a model course that is consistent with the principles of adult learning. The model course is a framework for teaching and learning in a way that is consistent with the principles of adult learning and to provide a framework for the design of a model course that is consistent with the principles of adult learning.

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# Introduction

## ■ Purpose of the model courses

The purpose of the IMO model courses is to assist maritime training institutes and their teaching staff in organizing and introducing new training courses, or in enhancing, updating or supplementing existing training material where the quality and effectiveness of the training courses may thereby be improved.

It is not the intention of the model course programme to present instructors with a rigid “teaching package” which they are expected to “follow blindly”. Nor is it the intention to substitute audio-visual or “programmed” material for the instructor’s presence. As in all training endeavours, the knowledge, skills and dedication of the instructors are the key components in the transfer of knowledge and skills to those being trained through IMO model course material.

Because educational systems and the cultural backgrounds of trainees in maritime subjects vary considerably from country to country, the model course material has been designed to identify the basic entry requirements and trainee target group for each course in universally applicable terms, and to specify clearly the technical content and levels of knowledge and skill necessary to meet the technical intent of IMO conventions and related recommendations.

## ■ Use of the model course

To use the model course, the instructor should review the course plan and detailed syllabus, taking into account the information provided under the entry standards specified in the course framework. The actual level of knowledge and skills and the prior technical education of the trainees should be kept in mind during this review, and any areas within the detailed syllabus which may cause difficulties because of differences between the actual trainee entry level and that assumed by the course designer should be identified. To compensate for such differences, the instructor is expected to delete from the course, or reduce the emphasis on, items dealing with knowledge or skills already attained by the trainees. He should also identify any academic knowledge, skills or technical training which they may not have acquired.

By analysing the detailed syllabus and the academic knowledge required to allow training in the technical area to proceed, the instructor can design an appropriate pre-entry course or, alternatively, insert the elements of academic knowledge required to support the technical training elements concerned at appropriate points within the technical course.

Adjustment of the course objective, scope and content may also be necessary if in your maritime industry the trainees completing the course are to undertake duties which differ from the course objectives specified in the model course.

Within the course plan, the course designers have indicated their assessment of the time which should be allotted to each area of learning. However, it must be appreciated that these allocations are arbitrary and assume that the trainees have fully met all entry requirements of the course. The instructor should therefore review these assessments and may need to re-allocate the time required to achieve each specific learning objective or training outcome.

## 介绍

### ■ 示范课程的目的

IMO示范课程的目的在于帮助海事培训机构及其培训人员组织和实施新的培训课程,或对现有培训课程进行提高、更新或补充,从而可以改进培训课程的质量和有效性。

本示范课程既不试图给教员一个让他们“盲目追随”的死板的“教学文件包”,也不试图用视听或程序化课程材料来代替教员的存在。在所有培训工作中,教员的知识、技能和奉献精神,是其通过IMO示范课程将知识和技能传授给受训学员至关重要的因素。

由于在航海学科方面,学员的教育体制和文化背景在国与国之间有很大的不同,故对示范课程材料以普遍适用的术语进行了设计,确认每一课程的基本入门要求和学员目标组,并明确规定其为满足IMO公约及相关建议的技术要求所必需的技术内容、知识和技能水平。

### ■ 示范课程的使用

为使用本课程,教员应对课程计划和教学大纲细则进行审查,并对规定于课程框架中的入门标准所提供的资料予以考虑。在审查过程中,应牢记学员的实际知识和技能水平及已接受的技术教育,并且对于教学大纲细则中因学员实际入学水平与课程设计人员推测水平之间可能带来困难的任何领域,均应当予以识别。为了消除这些差异,希望教员将那些学员已经掌握的相关知识和技能方面的内容从课程中删除或弱化。教员还应将学员可能没有掌握的任何理论知识、技能或技术培训加以识别。

通过分析教学大纲细则以及推进技术领域内培训所需要的理论知识,教员可设计相应的入学前课程,或者作为替代方法,可以在技术课程中的适当节点加入支持相关技术培训要素所要求的理论知识要素。

如果完成本课程的学员在航运业内要履行的职责与本示范课程中列明的目标有所不同,则可能有必要对课程的目标、范围和内容进行调整。

课程设计者已在课程计划中指明了其估算的应分配给各个学习领域的时间。然而,必须明确的是,这种分配是武断的并假定学员完全满足了课程的入门要求。因此,教员应对其估算进行复查,并可能需要重新分配实现各个具体学习目标或培训效果所需的时间。

## ■ Lesson plans

Having adjusted the course content to suit the trainee intake and any revision of the course objectives, the instructor should draw up lesson plans based on the detailed syllabus. The detailed syllabus contains specific references to the textbooks or teaching material proposed to be used in the course. Where no adjustment has been found necessary in the learning objectives of the detailed syllabus, the lesson plans may simply consist of the detailed syllabus with keywords or other reminders added to assist the instructor in making his presentation of the material.

## ■ Presentation

The presentation of concepts and methodologies must be repeated in various ways until the instructor is satisfied, by testing and evaluating the trainee's performance and achievements, that the trainee has attained each specific learning objective or training outcome. The syllabus is laid out in learning-objective format and each objective specifies *what the trainee must be able to do* as the learning or training outcome. Taken as a whole, these objectives aim to meet the knowledge, understanding and proficiency specified in the appropriate tables of the STCW Code.

## ■ Implementation

For the course to run smoothly and to be effective, considerable attention must be paid to the availability and use of:

- properly qualified instructors;
- support staff;
- rooms and other spaces;
- equipment;
- textbooks, technical papers; and
- other reference material.

Thorough preparation is the key to successful implementation of the course. IMO has produced "Guidance on the implementation of model courses", which deals with this aspect in greater detail and is included as an attachment to this course.

## ■ 教案

为适应学员的接受能力及针对课程目标的任何修订而对课程内容做出调整之后,教员应在教学大纲细则的基础上编写教案。教学大纲细则载有对教科书或建议用于课程中的教学资料的具体参考。如果教学大纲细则中的教学目标没有必要进行修订,那么教案可以仅包含教学大纲细则并辅以关键词或其他附加提示,以协助教员讲解其资料。

## ■ 学员展示

必须以各种方式反复讲解概念和方法,直到教员通过测试和评价学员的表现和成绩,对学员已达到的各个具体学习目标或培训效果的情况表示满意。大纲以学习目标的格式排列,各个目标具体规定了学员必须具备哪些能力作为学习或培训的效果。总而言之,这些目标是为了理解和熟练掌握STCW规则相应表格中的规定。

## ■ 实施

为保证课程顺利有效地进行,必须充分注意以下各项的配备和使用:

适任的教员;

辅助人员;

教室及其他场所;

设备;

教科书,科技论文;以及

其他参考资料。

充分的准备工作是课程成功实施的关键。国际海事组织编制了“示范课程实施指南”作为本课程的附件,其对这一方面进行了更为详尽的说明。

## Part A: Course Framework

### ■ Scope

This course provides training for officers to be authorized by their Government to execute port State control in accordance with:

- SOLAS 74, regulations I/19 and XI/4;
- MARPOL 73/78, articles 5 and 6 and regulations I/4, II/10, III/8 and V/8;
- ICLL 66, article 21;
- STCW 78, article X and regulation I/4;
- Tonnage 69, article 12.

It sets out the responsibilities, possibilities and limitations of port States exercising control and gives detailed information on what authorized officers are to look for and how to initiate remedial action.

Although, in principle, port State control is the verification that the ship is carrying a valid certificate and that the ship's officers are properly certified, the control procedures developed by IMO also give guidance on the control of ships, their safety management systems and miscellaneous operations.

The course amplifies these guidelines so that authorized officers may carry out effective control, thereby contributing towards the prevention of marine accidents, the maintenance of operational standards on board and the prevention of marine pollution.

**Note:** The course does not address control procedures under the ILO conventions as these are covered by a separate ILO publication: "Inspection of labour conditions on board ships – Guidelines for procedure".

### ■ Objective

- identify the responsibilities of the flag State to exercise control over their ships and explain the role of a port State in supplementing such control;
- identify and correctly use the legal instruments available for port State control;
- correctly identify and properly report deficiencies to the flag State; and
- maximize regional co-operation.

### ■ Entry standards

The course lays great emphasis upon IMO Control Procedures which, for many important decisions, rely on the discretion of the officer authorized to exercise port State control. It is therefore essential that trainees in this course have experience with ships, i.e. they must either be ship's surveyors or have been in charge of the day-to-day operation of a ship, as masters, chief officers, or chief or second engineer officers. Trainees should have a working knowledge of the SOLAS, STCW, Load Lines and Tonnage Conventions and the equipment requirements of the Collision Regulations.

In order to exercise control on board oil and chemical tankers and gas carriers, it is essential for trainees to have had adequate experience in such ships, or to have successfully completed the familiarization courses and advanced training programmes on the operation of tankers.

## A部分:课程框架

### ■ 范围

本课程向将要由政府授权并根据下列各项执行港口国监督的官员提供培训:

- SOLAS 74 第 I /19 条和第 XI/4 条;
- MARPOL 73/78 公约第 5 条和第 6 条及附则第 I /4、II /10、III /8 和 V /8 条;
- ICLL 66 公约第 21 条;
- STCW 78 公约第 X 条及附则第 I /4 条;
- 1969 年国际船舶吨位丈量公约第 12 条。

其列出了实施监督的港口国的责任、可能性和限制,并就经授权的官员如何寻找问题及启动补救措施给出了详细信息。

尽管在原则上港口国监督是对船舶携带有效证书以及高级船员持有适当证书的核实,但是 IMO 制定的监督程序还就船舶控制及其安全管理体系与各项操作提供了指导。

本课程扩展了这些指导,以便经授权的官员可以有效地实施监督,从而有助于防止海上事故、保持船上操作标准和防止海洋污染。

注:本课程不涉及 ILO 公约之下的监督程序,因为这些程序包含于一本 ILO 独立出版物“船上劳工状况检查——程序导则”。

### ■ 目标

- 明确船旗国对其船舶实施监督的责任,解释作为补充的这种港口国监督的作用;
- 明确和正确地使用为港口国监督提供的文件;
- 正确地识别缺陷并适当地将其报告给船旗国;和
- 尽量扩大区域合作。

### ■ 入学标准

本课程十分强调 IMO 监督程序;对于很多重要的决定,这些程序依赖于实施港口国监督的授权官员的自由裁量。所以,本课程的学员具有船舶方面的经验十分重要,也即,他们必须是验船师或负责船舶日常操作的船长、大副、轮机长或大管轮。学员应当具有 SOLAS、STCW、载重线和吨位丈量公约以及避碰规则设备要求方面的工作知识。

为了对油船、化学品船和气体运输船实施监督,学员具有在这类船上的足够的经验,或者成功完成了对这类液货船操作的熟悉课程和高级培训项目是十分重要的。



For environmental control, trainees require a good working knowledge of the MARPOL Convention; alternatively, they should have completed the courses on MARPOL 73/78-Annex I and Annex II.

### ■ Course certificate, diploma, or document

Those having satisfactorily completed the course should be issued with a certificate to that effect.

### ■ Course intake limitations

The number of trainees should not exceed 20 and the practical training should be undertaken in smaller groups of no more than five trainees.

### ■ Staff requirements

All training and instruction should be performed by qualified personnel; the senior instructor should be an experienced ship's surveyor and should have experience in carrying out port State control inspections. He should also have a good knowledge of the relevant conventions. Assistant instructors should be ship's surveyors or senior ship's officers; if they do not have experience in port State control inspections they should have successfully completed relevant short courses and advanced training programmes.

### ■ Teaching facilities and equipment

Ordinary classroom facilities and an overhead projector are sufficient. Visits to ships should be arranged, if possible, as part of the practical training. The appropriate equipment must be available if audio-visual materials, such as slides and taped recordings, are to be used.

### ■ Teaching aids (A)

A1 Instructor Manual (Part D of the course).

### ■ IMO References

- R1.1 International Convention for the Safety of Life at Sea, consolidated edition 1997 (IMO-110E)
- R1.2 1996 amendments to the International Convention for the Safety of Life at Sea (1998 edition) (IMO-167E)
- R1.3 1997/1998 amendments to the International Convention for the Safety of Life at Sea (1999 edition) (IMO-158E)
- R2 International Convention on the Prevention of Pollution from Ships, 1973, as modified by the 1978 Protocol Relating thereto, consolidated edition 1997 (IMO-520E)
  - R2.1 – Annex I
  - R2.2 – Annex II
  - R2.3 – P&A Standards
  - R2.4 – Annex III
  - R2.5 – Annex V
- R3.1 International Convention on Load Lines 1966 (1981 edition) (IMO-701 E)
- R3.2 Supplement relating to the International Convention on Load Lines, 1966 (1981 edition) (IMO-705E)
- R3.3 Protocol of 1988 Relating to the International Convention on Load Lines, 1966 (1989 edition) (IMO-709E)

对于环境监督,学员需要具有良好的MARPOL公约的工作知识;或者,他们已经完成了有关MARPOL 73/78公约附则 I 和附则 II 的课程。

## ■ 课程证书、文凭或证明

对于圆满地完成本课程的学员,应就此颁发证书。

## ■ 课程人数限制

学员人数不应超过20人,而且实践训练课应以不超过5人的小组进行。

## ■ 教员要求

所有培训和讲课都应由合格的人员负责;高级教员应当由具有丰富经验的验船师担任,而且其应当具有从事港口国检查的经验。他还应具有相关公约的丰富知识。助理教员应该是验船师或高级船员;如果他们不具有港口国监督检查的经验,他们应圆满完成了有关的短期课程和高级培训项目。

## ■ 教学设施和设备

普通教室设施和一部高射投影仪就足够了。如果有可能,作为实践训练的一部分,应当安排上船参观。如果要使用视听材料,如幻灯片、录音带,必须配有适当的设备。

## ■ 教具(A)

A1 教员手册(本课程的D部分)。

## ■ IMO 参考书目

- R1.1 国际海上人命安全公约,1997年合订本(IMO-110E)
- R1.2 国际海上人命安全公约1996年修正案(1998年版)(IMO-167E)
- R1.3 国际海上人命安全公约1997年或1998年修正案(1999年版)(IMO-158E)
- R2 经1978年议定书修订的1973年国际防止船舶造成污染公约,1997年合订本(IMO-520E)
  - R2.1 — 附则 I
  - R2.2 — 附则 II
  - R2.3 — 程序与布置标准
  - R2.4 — 附则 III
  - R2.5 — 附则 V
- R3.1 1966年国际载重线公约(1981年版)(IMO-701E)
- R3.2 1966年国际载重线公约补页(1981年版)(IMO-705E)
- R3.3 1966年国际载重线公约1988年议定书(1989年版)(IMO-709E)



- R4 International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 (1996 edition) (IMO-938E)
  - R4.1 Seafarers Training, Certification and Watchkeeping Code
- R5 International Convention on Tonnage Measurement of Ships, 1969 (1983 edition) (IMO-713E)
- R6 Convention on the International Regulations for the Prevention of Collisions at Sea, 1972 (1990 edition) (IMO-904E)
- R7 International Safety Management Code (1997 edition) (IMO-117E)
  - R7.1 Guidelines on the implementation of the ISM Code
- R8 International Code for the Construction and Equipment of Ships Carrying Dangerous Chemicals in Bulk (1993 edition) (IMO-100E)
- R9 International Code for the Construction and Equipment of Ships Carrying Liquefied Gases in Bulk (1993 edition) (IMO-104E)
- R10 International Grain Code (1991 edition) (IMO-240E)
- R11 International Life Saving Appliances Code (1997 edition) (IMO-982E)
- R12 Crude Oil Washing systems (1982 edition) (IMO-617E)
- R13 Dedicated Clean Ballast Tanks (1982 edition) (IMO-619E)
- R14 Guidelines on the enhanced programme of inspections during surveys of bulk carriers and oil tankers (resolution A.744(18))
- R15 International Code of Safety for High Speed Craft (IMO-187E)
- R16 Principles of safe manning (resolution A.481 (XII))

## ■ Course Compendium

- T1.1 resolution A.787(19) – Procedures for port State control
- T1.2 IMO briefing – Harmonized system of ship survey and certification