

Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea (SASEPOL)

Inception Report

November 2009
European Commission



Development of common security management, maritime safety
and ship pollution prevention for the Black Sea and Caspian Sea
(SASEPOL)

Inception Report

November 2009

European Commission

EuropeAid Co-operation Office European Commission
Centralised Operations for Europe, the Mediterranean and Middle-East, Brussels, Belgium

Issue and revision record

Revision	Date	Originator	Checker	Approver	Description
0	13 November 2005	Capt Fernando Pardo	Phil Le Gouais	Wim Verheugt	First Issue

This document is issued for the party which commissioned it and for specific purposes connected with the above-captioned project only. It should not be relied upon by any other party or used for any other purpose.

We accept no responsibility for the consequences of this document being relied upon by any other party, or being used for any other purpose, or containing any error or omission which is due to an error or omission in data supplied to us by other parties

This document contains confidential information and proprietary intellectual property. It should not be shown to other parties without consent from us and from the party which commissioned it.

Glossary

Abbreviation	Definition
ADB	Asian Development Bank
AIS	Automatic Identification System
BOO	Built, Own and Operate structure
CHPEP	Centre for Public Health and Environment Projects
CIS	Commonwealth of Independent States
CO	Carbon Monoxide
EAP	Environmental action plan/s
EC	European Commission
EMC	Environmental Monitoring Centre
EPI	Environmental policy instrument/s
EQS	Environmental quality standard
EU	European Union
EUROPEAID	Commission cooperation office
GRT	Gross Registered Tonnage
HELCOM	Helsinki Commission
IFI	International Financial Institutions
ILO	International Labour Office
IMO	International Maritime Organization
ISPS Code	International Ships and Port Security Code
KEA	Key environmental area/s
LRIT	Long Range Identification and Tracking
MARPOL	International Convention for the Prevention of Pollution from Ships, 1973, as amended by the Protocol of 1978 relating thereto
MEDA	EU Mesures d'ajustement programme
MoA	Ministry of Agriculture
MoE	Ministry of Economy
MoEMR	Ministry of Energy and Mineral Resources
MoEP	Ministry of Environmental Protection
MoFBP	Ministry of Finance and Budget Planning
MoH	Ministry of Health
MoU	Memorandum of Understanding
NGO	Non-governmental organisation
NO ₂	Nitrogen Dioxide
OECD	Organisation for Economic Co-operation and Development
OPRC	International Convention on Oil Pollution, Preparedness,

Abbreviation Definition

	Response and Co-operation, 1990
PHARE	Poland and Hungary Assistance for the Restructuring of the Economy
PPP	Public Private Partnerships
PSC	Port State Control
PWM	Port Wastes Management
QA/QC	Quality Assurance/Quality Control
RASMA	Republic of Azerbaijan State Maritime Administration
RK	Republic of Kazakhstan
SASEPOL	Safety, Security and pollution (abbreviated name of the project)
SOLAS	Safety of Life at Sea
STCW	International Convention of Standards on Training, Certification and Watchkeeping for Seafarers, 1978, as amended in 1995 and 1997
STE	Short term expert
SUA	Convention for the suppression of Unlawful Acts Against the Safety of Maritime Navigation and its Protocol for the suppression of Unlawful Acts against the Safety of Fixed Platforms located at the Continental Shelf.
TA	Technical Assistance
TACIS	Technical Assistance to the Commonwealth of Independent States
TEN	Trans-European Networks
TL	Team Leader
ToR	Terms of Reference
TRACECA	Transport Corridor Europe – Caucasus – Asia
TMRL	Turkmen Maritime and River Lines (TMRL)
VOC	Volatile Organic Compound/s
VTMIS	Vessel Traffic Management and Information Services
VTS	Vessel Traffic Systems
WHO	World Health Organisation

Content

Chapter	Title	Page
	Glossary	i
Form 1.2.	REPORT COVER PAGE	0
1.	Project Synopsis	1
2.	Project Analysis	5
2.1	Project Context _____	5
2.2	Relationship with other projects _____	5
2.3	Kick off meetings _____	7
2.4	Summary of the Situation at a National Level _____	8
2.5	Beneficiaries and Target Groups _____	18
3.	Review of Project Terms of Reference	20
4.	Project Planning	27
4.1	Project Objectives _____	27
4.2	Project Approach _____	27
4.3	Project Results and Outputs _____	39
4.4	Planning for the Whole Project _____	41
4.5	Constraints, Risks and Assumptions _____	46
4.6	Planning for the Next Reporting Period _____	48
5.	Implementation Arrangements	50
5.1	Offices and experts mobilization _____	50
5.2	Team structure _____	50
5.3	Steering Committee _____	52
5.4	National Steering Committee and Regional Working Group _____	52
Appendix A.	Logical Framework _____	54
Appendix B.	Status of Implementation of IMO Conventions _____	58
Appendix C.	Activity Plans and Staff Resources _____	60
Appendix D.	Records of Meetings _____	63

Tables

Table 3.1:	Comments on Terms of Reference task _____	23
Table 4.1:	Project Outputs _____	39
Table 4.2:	Tacis Form 1.4 – Workplan for the Whole Project _____	42
Table 4.3:	Tacis Form 1.5 – Overall Output Performance Plan _____	43
Table 4.4:	Tacis Form 1.6 – Planned Activities for Next Reporting Period, to 24 September 2009 _____	49

Figures

Figure 2.1:	Organisational Structure of the Republic of Azerbaijan State Maritime Administration _____	10
Figure 2.2:	Organisational Structure of the Georgian State United Transport Administration _____	12

Figure 2.3: Organisational Structure of the Republic of Azerbaijan State Maritime Administration	16
Figure 5.1: Organisational Structure of the Project Delivery Team	51
Figure 5.2: Activity Flow Chart for the Project Overall	61

Form 1.2. REPORT COVER PAGE

Project Title	:	Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea	
Project Number	:	EuropeAid/127221/C/SER/Multi	
Country	:	Ukraine, Azerbaijan, Georgia, Turkmenistan, Kazakhstan	
		Local operator	EC Consultant
Name	:	_____	Wim Verheugt
Address	:	_____	Mott MacDonald Demeter House Cambridge CB1 2RS United Kingdom
Tel. number	:	_____	+44 1223 463681
Fax number	:	_____	_____
Telex number	:	_____ _____	
Contact person	:	_____	Wim J Verheugt
Signatures	:	_____	_____

Date of report : 13 November 2009
 Reporting period : 31 July 2009 – 31 October 2009
 Author of report : Capt Pardo, John Ostergaard, Phil le Gouais

EC M & E team	_____	_____	_____
	[name]	[signature]	[date]
EC Delegation	_____	_____	_____
	[name]	[signature]	[date]
TACIS Bureau [task manager]	_____	_____	_____
	[name]	[signature]	[date]

1. Project Synopsis

Project Title :	Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea Informally Referred to as SASEPOL (SAfety, SEcurity and POLLution prevention)
Project Number :	EuropeAid/127221/C/SER/Multi
Country :	Azerbaijan, Georgia, Kazakhstan, Turkmenistan and Ukraine

Aspect	Content
Overall Objective :	To facilitate international maritime transport of passengers and goods, and to support maritime safety, security and environmental protection in both the Black Sea and the Caspian Sea regions
Specific Objective :	To support the efficient implementation of international legislative framework and international conventions for maritime safety, security and environmental protection in the Black Sea and Caspian Sea countries
Expected Results :	<p>Result 1: The beneficiary institutions will have improved knowledge and procedures in the introduction and enforcement of international conventions and other instruments related to marine pollution, maritime safety and security and inspection of ships;</p> <p>Result 2: Support has been given to the concerned authorities in the implementation of international conventions on maritime safety, security and prevention of pollution from ships; The maritime and port authorities responsible for the system, have received advise for the use and operation of the VTS systems; Training module has been elaborated and corresponding course delivered on VTS operation</p> <p>Result 3: A Training Plan has been prepared incorporating the identified relevant issues for training and capacity building within the sphere of maritime safety, security, prevention of pollution, PSC and VTS. The planned courses and workshops on the above mentioned fields have been delivered to the appropriate personnel of the beneficiary countries. The impact of training activities has been evaluated.</p> <p>Result 4: Inspection procedures have been developed for a better implementation and harmonisation of Port State Control of the MOU (MoU) for the Black Sea countries and the application of PSC international standards for the Caspian Sea countries where no MoU exists. Ship generated waste handling systems have been analysed with emphasis on the port reception facilities. The state of implementation of the ISPS Code of SOLAS Convention has been assessed in the beneficiary countries in relation to ship and port security.</p> <p>Result 5: A network of relevant authorities and experts has been established through a permanent Working Group to discuss and interchange experiences and knowledge in the fields of maritime safety, security and marine pollution</p> <p>Result 6: Maritime projects and financing schemes have been identified and the corresponding "Project Fiches" or similar documents have been prepared containing specification for relevant feasibility of pre-feasibility studies</p>

Aspect	Content
	<p>Result 7: Information and relevant documentation related to the activities of the project have been disseminated and a project website established</p>
<p>Planned Outputs :</p>	<p>Result 1:</p> <ul style="list-style-type: none"> • Report on the state of transposition and implementation of the international conventions and other instruments related to the maritime safety, security and prevention of pollution from ships; • Plan for the transposition of the international conventions and other instruments related to the maritime safety, security and prevention of pollution from ships. • Operational framework for the application of the voluntary IMO Member State Audit Scheme; • 1 Workshop on the implementation of the “Voluntary IMO Member State Audit Scheme” <p>Result 2:</p> <ul style="list-style-type: none"> • Action Plan for the development of modern maritime administrations; • Report on the state of organization and operation of VTS services in the beneficiary countries; • Training course plan for the VTS operators. <p>Result 3:</p> <ul style="list-style-type: none"> • Training Plan for relevant issues identified in previous activities; • Course material for the courses included in the Training Plan; • Reports on the training courses delivered; • Report on the impact of training activities. <p>Result 4:</p> <ul style="list-style-type: none"> • Report on the level of implementation of the Black Sea MoU in the concerned countries; • Best practice port model on the PSC implementation for each country; • Report on the existing reception facilities for ship generated waste; • Best practice port model on reception facilities for each country; • Report on the level of implementation of the ISPS Code in the concerned countries; • Best practice port model on the ISPS Code implementation for each country; • Proposal for the updating of the implementation of the ISPS Code in the countries <p>Result 5:</p> <ul style="list-style-type: none"> • Terms of reference for the Working Group on maritime safety, security and marine pollution; • Draft Action Plan on maritime safety, security and protection of the marine environment.

Aspect	Content
	<p>Result 6:</p> <ul style="list-style-type: none"> • Model for financial arrangements of projects; • Prioritised list of identified maritime projects. • Project fiches for selected proposed projects <p>Result 7:</p> <ul style="list-style-type: none"> • Project website established and operating; • List of information to be included on the website. • List of publications and dissemination of information documents.

Project activities : towards Result 1	
Activity 1.1	Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's (all countries)
Activity 1.2	Depending on the findings of the Activity 1.1, prepare and implement a plan for transposition, when necessary, of the reviewed international conventions and regulations into national legislation
Activity 1.3	Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"
Activity 1	Hold a regional workshop on the implementation of international maritime conventions
Project activities : towards Result 2	
Activity 2.1	Assess and support the rationalization of national maritime organizations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS and PSC MoU's)
Activity 2.2	Assess needs and priorities for the use and operation of VTS systems in major national port
Project activities : towards Result 3	
Activity 3.1	Prepare a Training Plan based on relevant issues for training and capacity building, and in coordination with relevant training institutes in beneficiary countries
Activity 3.2	Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how
Project activities : towards Result 4	
Activity 4.1	Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country
Activity 4.2	Assessment of wastes handling systems in major national ports (compliance with MARPOL 73/78 and EC 2000/59 Directive) and development of Port Waste Management Plans
Activity 4.3	Further assessment, identification of best practice ports and support to the implementation of ISPS Code
Project activities : towards Result 5	
Activity 5.1	Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)
Activity 5.2	Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations

Project activities : towards Result 6

Activity 6 Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)

Project activities : towards Result 7

Activity 7 Communication and awareness raising activities on maritime safety, security and environmental protection are developed

Project starting date : 31 July 2009

Project duration : 24 months

2. Project Analysis

2.1 Project Context

The maritime administrations of the littoral countries of the Black Sea and the Caspian Sea share many common challenges associated with the adoption and implementation of international conventions related to maritime transport.

As a strategic partner to the five beneficiary countries, the European Union is providing long term funding to help improve maritime safety, security and pollution prevention within the region.

Currently the Black Sea countries are perceived to have a more advanced level of compliance which can largely be attributed to the recent accession of two of those nations to the European Union. Romania and Bulgaria have both benefited significantly during the accession process, from the transfer of experience and knowledge of other EU states and have now transposed the full *acquis communautaire* into their national legislation. As an EU candidate country Turkey, which is another associated country in this project, has also benefited from significant EU support in their maritime administration under the European Union legislation.

This project represents an opportunity for the beneficiary countries to capitalize on the international experience available from the international experts provided by the EU and, together with their national experiences develop and realize relevant maritime transport strategies and programmes, and implement “joined up” policy packages at regional and national levels in the areas of maritime safety, security management and ship pollution.

The desired output of this technical assistance project is the enhancement of that knowledge and experience required by the national and regional bodies responsible for maritime safety, security and protection of the marine environment. A further aspiration of the project is to assist the beneficiary countries in the completion of their accession to the relevant IMO conventions and to improve their implementation in a national and regional context.

The project recognizes Safety, Security and Pollution Prevention as basic elements for the development of maritime transport, of particular relevance to some of the latest innovations on transport networks such as the development of “Motorways of the Sea”, Short Sea Shipping and Multimodal/Co-modal Transport which are being applied in the Caspian and Black Seas region. It is hoped that that these innovations will contribute to the creation a fully integral multimodal transport corridor under the TRACECA initiative and that the principles of Safety, Security and Pollution Prevention considerations are embedded in that process.

2.2 Relationship with other projects

The beneficiary countries have participated in a number of earlier programmes or projects related to maritime safety and security management (ISM and ISPS Codes) and pollution prevention in both the Black Sea and Caspian Sea either individually or as partners in regional programmes. These include the following:

- A number of projects related to the development of the Transport Corridor Europe-Caucasus-Asia (TRACECA); funded by the European Commission, the most relevant of which are:
 - the “Improvement of Maritime Links between TRACECA and TENs Corridors” (Bulgaria, Georgia, Romania, Turkey, Ukraine);

- Maritime Training: Ukraine, Georgia, Azerbaijan, Kazakhstan;
- Motorways of the Seas for Black Sea and Caspian Sea;
- Caspian Sea Environment Programme; funded under the Global Environment Facility;
- Ukraine Port Development Feasibility Study
- Black Sea Environment Programme; funded under the Global Environment Facility
- Environmental Collaboration for the Black Sea funded by the EU.
- Government of United Kingdom and Northern Ireland project on maritime safety and protection of the marine environment of the Caspian Sea Region
- OSCE initiated and Finland funded project on the enhancement of oil spill preparedness, response and co-operation for the Caspian Sea region
- Oil industry funded activities initiated under the umbrella of Oil Spill Response Regional Initiative (OSPRI).

Most of these projects have addressed, or are in the process of addressing similar objectives to the present project and the outputs of these projects will be taken into account during the implementation of project activities to ensure consistency and minimise the risk of duplication of effort. A summary of the key projects is provided below for reference:

“Maritime Training: Ukraine, Georgia, Azerbaijan, Kazakhstan” ran between October 2005 and October 2007 with the mandate to contribute to shipping safety, prevention of marine pollution, environmental awareness through training courses and providing assistance to the maritime training institutions and centres to strengthen their management and capacity in the TRACECA regions.

“Motorways of the Seas for Black Sea and Caspian Sea” was started in December 2008 and will run until 2011. The project focuses primarily on the TRACECA programme and is aimed at improving logistics capabilities, interoperability and multi-modal transport between CIS countries. Of specific relevance to the current project are components related to maritime traffic safety, security and environmental protection. Coordination between the project teams on these matters will be useful for the present project.

“Improvement of Maritime Links” between TRACECA Corridors and TENs Corridors, Bulgaria, Georgia, Romania, Turkey, Ukraine”, was finalized in May 2009, and is of direct relevance to the SASEPOL project. In particular the maritime safety and security management components which are the subjects of project activities 4.1 (PSC), 4.3 (ISPS Code) and activity 3.2, training courses on SOLAS, ISPS and PSC.

The **Maritime Links** project includes a review of the maritime safety and security situations in the Black Sea region which will be a key resource to build upon when carrying out activities designed to achieve Result 1 of the SASEPOL project. However the main part of the project is the concept definition and development of an “integrated Safety and Security Management System (SASEMAS)” in the five participating countries of the Black Sea: Bulgaria, Georgia, Romania, Turkey and Ukraine.

The concept of a regional management system for maritime safety and security has been a matter of great discussion and received the support of some of the participant countries in the Maritime Links project. The proposed system is effectively a hybrid of the “International Safety Management (ISM) Code” and the “International Ship and Port Facility Security (ISPS) Code”, which have already been implemented separately as mandatory for compliance with the SOLAS Convention.

The SASEMAS innovation which involves a combined system is likely to be matter for further discussion during the presentation of this inception report to the project partners and amongst the Steering Committee. At this stage the following points are proposed for consideration:

- Willingness of Maritime Authorities, ports and shipping companies (private sector), to agree on a regional management plan;
- Additional administrative burden to the administration and potential for increased bureaucracy;
- Reluctance of countries to introduce a new International/regional institution;
- Harmonisation of differences in the implementation of EU Directive on ISPS in Romania and Bulgaria and the approach to implementation of the IMO ISPS Code in the other beneficiary countries;
- Need for harmonization in the approach of relevant national bodies and institutions to allow effective control of the system (i.e. Administrations, Coast Guard, PSC, etc);

Considering the extensive work done on this item in the Maritime Links project, the following actions proposed at this stage:

1. To include this item in the agenda of the steering committee;
2. To organize a workshop dedicated to this item.

The present project aims to continue and build on the work undertaken in these projects described above and any other relevant research, with a focus on the development of sustainable knowledge (i.e. knowledge which is retained and passed on within the local context without the need for international support) and further development of institutional capacity within the national administrations.

In addition to the projects listed above, the Project will also be supportive of and indeed may be supported by, other initiatives which are currently running or are planned to be launched in the region in the near future. Our approach is to have detailed interaction with the teams undertaking any new and relevant projects to (i) exchange ideas and experience; (ii) make sure the approaches being used are not in conflict and thus avoid unnecessary duplication of work, where practicable; and (iii) create synergies where and when possible.

2.3 Kick off meetings

Originally a regional kick off meeting in Odessa was planned to present the project to the beneficiaries. However as the beneficiary organisations span several institutions in each country, the decision to organize separate kick off meetings in each country was made. Meetings have been carried out in Georgia and Ukraine (on the Black Sea) and Azerbaijan and Kazakhstan on the Caspian Sea. Unfortunately at the time of writing it has not been possible to organise a kick off meeting in Turkmenistan and is still in the planning stages, pending approval from the state authorities.

A project Kick Off meeting between the key stakeholders within the European Union was also held to raise awareness amongst project teams within that organisation. Minutes of all of these meetings are included in Appendix 4 of this report.

The kick off meetings are considered to have been very useful in raising awareness of the scope, objectives and expected results as well as, the more fundamental existence of the project.

These meetings have also been used as a means to establish initial contact with representatives of institutions that the targets of the experts activities. This direct contact at an early stage in the project should prove beneficial as the project moves forward.

2.4 Summary of the Situation at a National Level

Based on the discussions held to date, observations from existing literature and the knowledge of key and non-key experts (both local and international) a basic analysis of the state of compliance within each of the nations has been undertaken and is presented below.

2.4.1 General Issues

All of the beneficiary countries have, within the last decade, acceded to most of the important IMO Conventions which are related to maritime safety, security and protection of the marine environment. While this is clearly desirable, in many of the countries, the implementation and enforcement of the laws in place to enact the IMO conventions is lagging behind. This is the case both from a legal and operational point of view. A detailed and updated table showing the status of Implementation of IMO Conventions in the beneficiary and associated countries is attached to this document as Appendix 2.

Based on the work undertaken to date, the following general issues have been identified as potential contributory factors in this lag between ratification and effective implantation of international conventions which will require further investigation during the initial phases of the project to ensure that project activities are undertaken with appropriate reference to the key issues on the ground:

- **Technical Capacity of Staff:** There is a perceived lack (in numbers) of suitably qualified and experienced staff within the National Maritime Administrations.
- **International Classification Societies:** Compliance with the application of international conventions is the sole responsibility of the national administrations in connection with its functions as Flag State, Coastal State or Port State. Unfortunately, in many cases this function has been over taken by international classification societies and national port administrations. The necessary ship's documents and certificates of compliance which, according to the Conventions, should be issued by the Flag State Administration are now being issued by an international classification society or by a local port's administration, without appropriate authority or control.
- **Strength of National Legislation:** In the absence of relevant national legislation, control and enforcement procedures, the issuing of documents, certificates and control of compliancy, including port State control (PSC) on foreign ships, is undertaken by local authorities, port administrations and classification societies in a non-uniform manner. This also includes issues like detention of ships in case of serious violation of safety requirements, issuing of fines and investigation of reported violations of international agreed and national adopted requirements. In many traditional seafaring nations of Europe and other parts of the world, relevant and appropriate national legislation provides the legal foundation and linkage to the IMO Conventions and at the same time provides the legal bases for establishing an adequate national maritime administration and the implementation and enforcement of agreed international and additional national requirements.
- **Formal Cooperation Mechanisms:** Significant obstacles to implementation and enforcement may exist where there is weak formalized cooperation between national and engaged authorities and other relevant institutions.
- **Funding:** A lack of integration of necessary financial instruments to the national budget will also clearly inhibit implementation and enforcement.
- **Monitoring:** Unclear reporting systems and mechanisms which would allow the national maritime administration to undertake proper monitoring and development of action plans towards the elimination or reducing of threats to maritime safety and, security and protection of the marine environment, may also be absent.
- **Competition:** State authorities and private institutions controlling and monitoring shipping activities may be actively competing and on occasion overlapping with each others efforts to control activities.

- **Communication:** Lack of sufficient and adequate means of communication between the central administration and its local representations where control has to be undertaken, leads to weak responsibilities at local levels. This problem is further aggravated by insufficient numbers of experienced people at local level.

2.4.2 Azerbaijan:

Status of Implementation of Conventions

Initial analyses by visiting experts indicate that many of the problems identified in previous studies in Azerbaijan have been significantly reduced or eliminated following the recent creation, (21 April 2006), of the Republic of Azerbaijan State Maritime Administration (RASMA). Supporting the Azeri administration in better understanding of the role, mandate and capacity of RASMA will form a key component of the project's initial activities in Azerbaijan.

Based on visits undertaken to date, our understanding of the structure of the Administration is shown in Figure 2.1 of this report.

The following conventions, which are considered relevant to this project have not yet been ratified or acceded to by the Republic of Azerbaijan:

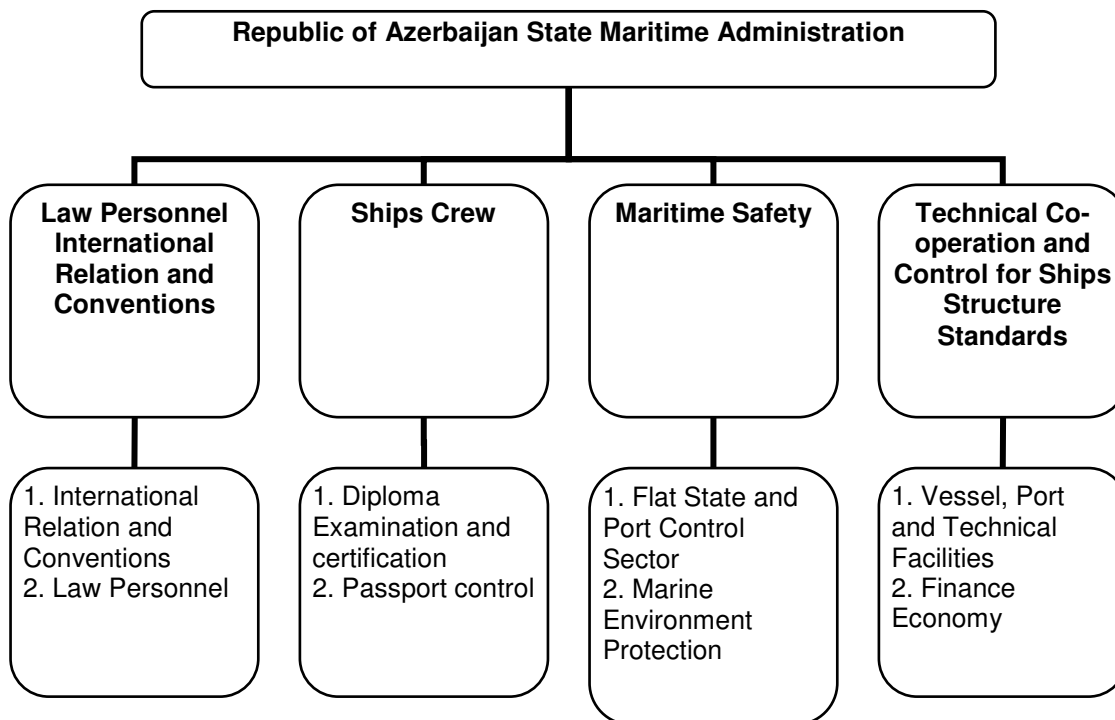
- London Convention Protocol 96
- INTERVENTION Convention 69
- INTERVENTION Protocol 73
- HNS Convention 96
- OPRC/HNS 2000
- FUND convention 1971 and all protocols
- BUNKERS CONVENTION 01
- ANTI FOULING 01
- BALLASTWATER 2004
- HONG KONG 2009 - Safe recycling of ships

Structure of the Maritime Administration

The Republic of Azerbaijan State Maritime Administration (RASMA), under the Ministry of Transport was established on the 21 April 2006. RASMA is responsible for the national implementation of maritime safety (including environmental protection) and security. It coordinates the activities of Flag State and Port State inspectors, port authorities and has authorized a number of international classification societies to act on its behalf with responsibilities for ship inspection and the issuing of relevant certificates.

The Maritime Administration is also responsible for implementation of National policy related to navigation safety, prevention of marine pollution from ships and the implementation of the ISPS Code onboard ships and in ports. The Administration maintains close contact with other stakeholders such as shipping companies, immigration and custom services, the Coast Guard and the Police.

Figure 2.1: Organisational Structure of the Republic of Azerbaijan State Maritime Administration



In addition to the responsibilities for environmental protection (linked to maritime safety) the Ministry of Environment/Ecology also holds overall responsibility for the protection of the external environment of Azerbaijan and effective coordination between these ministries is critical to the successful implementation and enforcement of conventions related to pollution prevention.

The Ministry of Emergencies has recently been tasked with the drafting and finalization of the National Oil Spill Contingency Plan. In the case of marine oil spills, the Ministry will co-operate with the State Maritime Administration who, in case of a response operation, will have overall responsibility for any “on sea” operation.

Azerbaijan has ratified most of the relevant IMO Conventions. However, initial investigation suggests that it lacks operational and practical experience and guidelines in order to ensure an effective implementation of the Conventions.

2.4.3 Georgia:

Status of Implementation of Conventions

Until 1997 the Maritime Administration of Georgia was considered to have been operating with obsolete legislation. However more recent implementation of a number of projects funded by the IMO and the TACIS

programme have led to significant improvements in the situation of Georgia, who have now implemented the following key maritime legislation:

- Maritime Code (1997)
- Law of Maritime Areas (2001)
- SAR Law
- STCW Law
- Environmental Law
- Port Regulation (N-53/2003)
- Port Security Regulation (N 51/2003)
- Maritime Incident Investigation (N53/2003),
- Navigation Regime in Territorial Sea of Georgia (President's Order N380/2007)
- MARAD Circulars
- Administrative Fine Law

Institutional reforms in the country have seen the Maritime Administration become the "Maritime Transport Department" which falls under a United Transport Administration. The structure of this Maritime Transport Department is shown in Figure 2.2 of this report.

The following conventions, which are considered relevant to this project have not yet been ratified or acceded to by Georgia:

- MARPOL Protocol 97 (Annex VI)
- FUND Protocol 2003
- HNS Convention 96
- OPRC/HNS 2000
- BUNKERS CONVENTION 01
- ANTI FOULING 01
- BALLASTWATER 2004
- HONG KONG 2009 - Safe recycling of ships

An additional comment was made by staff responsible for international conventions which indicated that although some of the conventions are not ratified, they are effectively applied in the country through specific national legislation. A gap analysis of this issue will be undertaken as a part of Activity 1.1.

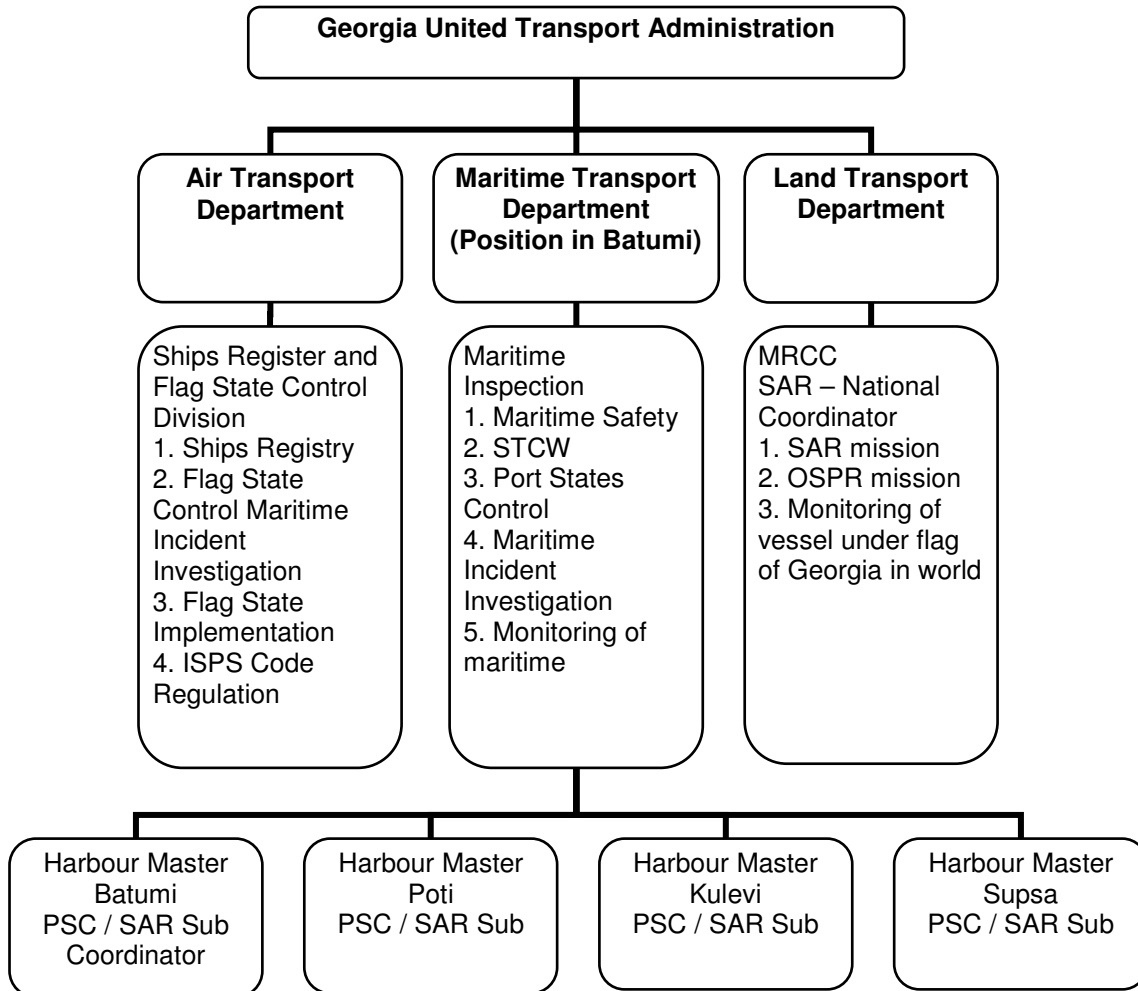
Structure of the Maritime Administration

The Maritime Transport Department, acting under the Ministry of Regional Development and Infrastructure for Georgia, holds all responsibility national maritime safety, and security. It also holds responsibility for some aspects of marine pollution, such as oil spill response.

It is responsible for legal matters, national implementation of international maritime conventions, port authorities, Flag State and Port State Control. The Maritime Transport Department works closely with other stakeholders such as the Coast Guard, the Police, Immigration and Custom Authorities.

It is located in Batumi and includes a Ship Registry and Flag State Implementation Division, Maritime Inspectorate and Maritime Rescue and Coordination Centre (MRCC).

Figure 2.2: Organisational Structure of the Georgian State United Transport Administration



With the exception of the role that the maritime administration holds with respect to oil spill response, general responsibility for the protection of the marine environment falls to the Ministry of Environment and Natural Resources.

The Ministry of Environment Protection and Natural Resources of Georgia is also responsible for the implementation of requirements arising from international maritime conventions, principally, MARPOL. It is generally responsible for monitoring and identifying the circumstances of an oil spill and prosecuting offenders. However, monitoring how the conventions per se are implemented remains the competence of the United Transport Administration. The Maritime Transport Department is responsible for the operational response to a marine oil spill.

Within the Ministry of Environment Protection and Natural Resources is the “Convention Inspection for the Protection of the Black Sea”. The “Convention Inspection” is responsible for monitoring compliance with the MARPOL requirements for all ships. In a broader sense its responsibilities are focused on all pollution in the Black Sea and biodiversity but has recently also been attributed the function of fishing control. “Pollution” here refers to all kinds of pollution whether from land or ships. The “Convention Inspection” has

published guide books and other tools to facilitate the implementation of MARPOL. It controls compliance with international obligations such as those related to ballast water and the inspection of species.

The “Convention Inspection” is also the competent body for the prevention and administration aspects of OPRC but is not involved in eliminating the causes of pollution. This would fall within the remit of the maritime administration. The “Convention Inspection” also carries out most of the regulatory work for the Black Sea, including that relating to resource control. The Coastguard also provides technical assistance and support with enforcement.

The core maritime legislation in place in Georgia is the 1997 Maritime Code of Georgia which is the first codification of maritime legislation of Georgia. The status of Maritime Areas is regulated by the Law of Georgia on Maritime Areas which was adopted in 1998. Other important maritime legal instruments are the following:

- Vessels Registration Regulations, Maritime Incidents Investigation Regulations, Maritime Mortgage Registration Regulations, Harbour Master Regulations, Pilot Service Regulations of 1999;
- The Law on Training and Certification of Seafarers, in accordance with STCW 1995, and the Law on Maritime Search and Rescue Service adopted in 2000;
- The Georgian Ports Regulations of 2003.

The key relevant national environmental legal framework consists of the Law of Georgia on Protection of the Environment, Law of Georgia on Rules of Transit and Import of Hazardous Waste in the Territory of Georgia and the Law of Georgia on Water.

The initial assessment indicates that Georgia has a comprehensive set of rules in place governing maritime affairs. It is a Party to the large number of IMO Conventions and has incorporated the relevant requirements thereof into its national law.

It is clear that Georgia welcomes technical assistance to improve the national implementation and enforcement of the Conventions. More specifically, it welcomes assistance and encouragement in preparing the way for Georgia's possible accession the Bunker, Ballast and AFS conventions as well as to MARPOL Annex VI.

Georgia is Party to the Black Sea Memorandum of Understanding on Port State Control.

2.4.4 Kazakhstan:

Status of Implementation of Conventions

The Maritime Administration in Kazakhstan is not as clearly a defined organisation as those of many of the other beneficiary states. Our working understanding is that a Transport Committee exists in Astana which deals with some aspects of the maritime transport at a national level. However, many of the normal day-to-day functions of the Maritime Administration are carried out by the Port Authority of Aktau under the supervision of the Ministry of Transport.

Our main focus in Kazakhstan will be the examination of the structure of the Maritime Administration. Ultimately, (and if sanctioned by the state) the project may examine options for the reorganization of the Maritime Administration as a key activity in strengthening national institutional capacity.

The following conventions, which are considered relevant to this project have not yet been ratified or acceded to by the Republic of Kazakhstan:

- FUND convention 1971 and all protocols
- OPRC Convention 90
- HNS Convention 96
- OPRC/HNS 2000
- BUNKERS CONVENTION 01
- ANTI FOULING 01
- BALLASTWATER 2004
- NAIROBI WRC 2007
- HONG KONG 2009 - Safe recycling of ships

Structure of the Maritime Administration

The Maritime Transport Division acting under the Ministry of Transport and Communications was established less than two years ago. The Maritime Transport Division has, by Presidential Decree, been given responsibilities for the implementation of a national maritime policy including the development of appropriate national legislation and the implementation of all IMO Conventions acceded by Kazakhstan.

A key perceived issue is that the Maritime Transport Division still lacks an effective enforcement structure as well as operational and practical guidelines in order to ensure effective implementation and enforcement of upcoming national legislation and international Conventions. The Maritime Transport Division welcomes all assistance that can be provided in order to fulfil its obligations as an effective National Maritime Administration.

The Sea Port of Aktau has for a number of years acted as the Maritime Authority of Kazakhstan but is now, in this regard, under the direct supervision of the Ministry of Transport and Communications. This transition will require specific attention during project activities.

The Ministry of Emergency Planning has been allocated responsibility for the development of a new National Marine Oil Spill Contingency Plan. The current National Oil Spill Contingency Plan was developed in the late 1990s and approved by “the Resolution of the Government of the Republic of Kazakhstan as of May 6, 2000 No. 676”. However, a number of regional environmental authorities also have important roles to play in the case of marine oil spills. The model that the country has followed also includes requiring the oil industry operating inside the territories of Kazakhstan to hold specific responsibilities with regard to response to oil spills in connection with their operations in Kazakhstan.

2.4.5 Turkmenistan:

Status of Implementation of Conventions

A number of administrative difficulties (related to project registration and visas for key and non-key experts) have, to date, inhibited our ability to visit Turkmenistan and effectively engage with the Maritime Administration.

Currently we anticipate that the first mission (including the national kick off meeting and the expert visit for Activity 1.1) will be completed by the end of November.

Based on available literature we have determined that the following conventions, which are considered relevant to this project, have not yet been ratified or acceded to by the Republic of Turkmenistan

- MARPOL Protocol 97 (Annex VI)
- London Convention 72
- London Convention Protocol 96
- INTERVENTION Convention 69
- INTERVENTION Protocol 73
- CLC Protocol 76
- OPRC Convention 90
- HNS Convention 96
- OPRC/HNS 2000
- BUNKERS CONVENTION 01
- ANTI FOULING 01
- BALLASTWATER 2004
- HONG KONG 2009 - Safe recycling of ships

Considering the above list of not ratified conventions, there is great potential for the project to provide useful assistance to the Maritime Administration in promoting accession and supporting implementation of international conventions.

Turkmenistan acceded to a number of non-IMO maritime conventions in May 2009 and we believe that the support which this project can provide in the transposition and implementation of conventions could be highly beneficial. As a result this has been taken into account when planning project activities.

Structure of the Maritime Administration

Maritime Administration is generally performed by the relatively recently established organisation; Turkmen Maritime and River Lines (TMRL), acting under the Ministry of Transport and Communications, Understandably, given that very few ships are sailing under the Turkmen Flag, the Maritime Transport Division is small. At this stage it has not been possible to obtain detailed information on its responsibilities and activities. Ships registered in Turkmenistan are classified by the Russian Classification Society.

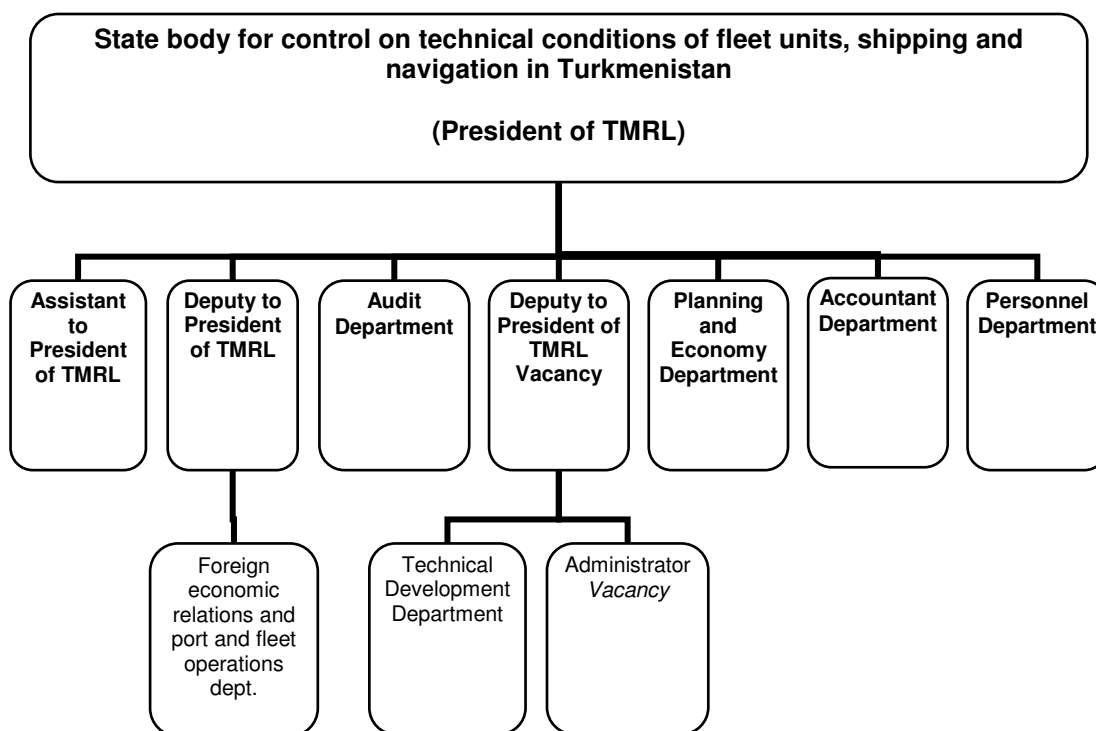
It is assumed that Turkmenistan will welcome any assistance that can be provided in order to develop its National Maritime Administration. However it has not been possible to ascertain the level of support and cooperation that the project can expect at this time.

The Ministry of Nature Protection is responsible for the development, maintenance and implementation of the National Oil Spill Contingency Plan. A special Department for the Prevention of Pollution, working under the State Maritime Administration is responsible for the operational implementation of the National Plan. This includes the response to marine oil spills and the co-ordination of state activities which may include inputs from numerous other stakeholders the Ministry of Seaports; Ministry of Oil and Gas; Ministry of Nature Protection; and the State Enterprise for Oil & Gas.

Turkmenistan has recently acceded in 2009 to a number of important IMO Conventions.

A diagrammatic representation of the current understanding of the structure of the maritime administration is provided in Figure 2.3.

Figure 2.3: Organisational Structure of the Republic of Azerbaijan State Maritime Administration



2.4.6 Ukraine

Status of Implementation of Conventions

While the regional office for the project on the Black Sea is located in Odessa, there have been significant administrative delays, particularly with respect to project registration with the Ministry of Economy (which was only finally achieved fully on the 26th October) in Ukraine. This has inhibited the ability of project staff to get into key facilities and gain as detailed an understanding of the system in Ukraine as might have been hoped. Slow administrative processes could become a significant issue in implementing further national project activities and later on, recommendations of the project.

Based on available literature we have determined that the following conventions, which are considered relevant to this project, have not yet been ratified or acceded to by Ukraine:

- LONDON CONVENTION PROTOCOL 96
- INTERVENTION Protocol 73
- CLC Convention 69
- CLC Protocol 76
- FUND convention 1971 and all protocols
- OPRC Convention 90
- HNS Convention 96
- OPRC/HNS 2000
- BUNKERS CONVENTION 01
- ANTI FOULING 01
- BALLASTWATER 2004

Ukraine acceded to the Annex VI of MARPOL convention last 29 October 2009.

Structure of the Maritime Administration

In accordance with the Ukrainian legislation, the functions of Maritime Administration are fulfilled by the Ministry of Transport and Communications. The Ministry is situated in Kiev and is the largest ministry in the country.

The system of the management of transportation in Ukraine has changed recently through the creation of the Maritime Administration. However, the results of such changes are still uncertain and it is not possible to give a completely clear picture of the national system and the detailed responsibilities of the relevant parties. The creation of the Maritime Administration is an important first step. However, the process of reform is still under way and to a large extent unresolved. The current understanding is that the Maritime Administration is responsible for ensuring navigational safety, saving human life at sea and protecting the environment.

The State Department of Maritime and Inland Water Transport (Ukrmorrichflot), operating under the Ministry of Transport and Communication, supervises the activities of a number of governmental inspectorates and agencies with relevant responsibilities including:

- Inspectorate of Training and Certification;
- Shipping Safety Inspectorate;
- State Enterprise “Marine Rescue Service”;
- State Enterprise “Maritime Security Agency” and;
- State Enterprise “Maritime Communication”.

These Governmental Agencies report to the State Department of Maritime and Inland Water River Transport and are responsible for the practical implementation of national legislation and international Conventions related to Maritime Safety, Security and protection of the Marine Environment.

The national response to marine pollution is also under the supervision of the State Department through the State Enterprise “Marine Rescue Services” which is responsible for response to marine oil pollutions. The overall national emergency planning, including the National Marine Oil Spill Contingency Plan is the responsibility of the Ministry of Emergency Planning.

The Maritime Security Agency in Kiev is responsible for port security including monitoring the execution of Port Security Plans. It acts as a central base for the implementation of legislative measures and policies. It centrally collates the experiences of ports and creates the legislative proposals to be sent to the Parliament (via the Ministry of Transportation) for consideration.

There is also a “Shipping Register of Ukraine” whose functions are to: approve Ship Security Plans and any amendments thereto; inspection of Ukrainian vessels; and the issuing of International Ship Security Certificates or Interim International Ship Security Certificates.

Ukraine has acceded to most of the relevant IMO Conventions but welcomes any assistance that can be provided in order to improve the effective implementation of the Conventions. Moreover, it has recently joined MARPOL Annex VI on 29 October 2009, but there is as yet no clear plan or strategy in place for its implementation. Ukraine is also party to the Black Sea Memorandum of Understanding on Port State Control.

2.5 Beneficiaries and Target Groups

The project has identified following organizations as major beneficiaries and target groups:

Main Beneficiary Organisation	Target groups
AZERBAIJAN Ministry of Transport	Republic of Azerbaijan State Maritime Administration (RASMA) Ministry of General Emergency Planning is in co-operation Ministry of Environment Baku International Sea Trade Port
GEORGIA Ministry of Economics and Development	United Transport Administration Maritime Transports Department Seaport Authorities, Harbour Master Maritime Inspectors, Immigration, Customs, Coast Guard
KAZAKHSTAN Ministry of Transport	Port of Aktau; Inspectorate; Port Captain; Port State Control
TURKMENISTAN Turkmen Maritime and River Lines (TMRL), Ministry	Turkmenbashi Port Turkmen River Lines
UKRAINE Ministry of Transport and Communication	State Department of Maritime and River Transport (Ukrmorrichflot); Port Authorities Inspectorate of Training and Certification, Shipping Safety Inspectorate, State Enterprise Maritime Rescue Service, State Enterprise Maritime Security Agency and State Enterprise Maritime Communication.

The listed beneficiaries will be engaged in project activity, development and implementation of project activities and also workshops, round table discussions, and training sessions. However the intention is that much of the actual activity will happen at the “Target Group” level rather than at the higher ministerial level. It is therefore the intention to request from the ministerial level that individuals and departments representing the “target groups” are put forward for the technical activities. It is still the intention to have significant involvement at the higher level in the legislative and political components of the project.

In order to build on national experiences and knowledge representatives from both levels will be invited also to attend workshops as well as training courses.

A number of direct connections have been made with other related ongoing projects and institutions. These include the Caspian Environment Project, Black Sea Commission, Black Sea MoU, International Maritime Organisation, U.K. Government Caspian Maritime Project and Oil Industry projects under OSPRI. Their input and support will be sought, as appropriate, through the life of the project.

Further to this the project was presented at a TRACECA Regional Meeting in Brussels 24th September 2009. This afforded the Team Leader a valuable opportunity to raise awareness of the project among key stakeholders involved in the TRACECA programme and make useful connections to other relevant ongoing projects within the programme.

Efforts will also be made to link directly with appropriate organisations in Turkey, Bulgaria, Romania and Russia who, while are not direct beneficiaries of the project, are also key stakeholders and are likely to be involved in some of the project activities.

3. Review of Project Terms of Reference

A core activity of the inception phase is to refine the requirements of the Terms of Reference document and develop a specific plan of project activities. The resulting work plan contains the specific tasks which much be carried out by the project's experts to achieve the results required by the ToR. A further key objective of the workplan is to ensure effective coordination through the life of the project and avoid duplication of effort through the life of the project.

With the benefit of three months activity on the project, this inception report provides an opportunity to present proposed refinements to the scope of activities to be undertaken during the project. The experiences and knowledge gathered during this phase can be used to ensure that country specific constraints, opportunities and interests can be taken into account in the detailed work plan.

This section of the inception report provides a discussion of the current understanding of some of these constraints, opportunities and specific interests, and how they might impact on the delivery of the project results against the ToR.

Note that only activities which may be amended have been discussed here.

Activity 1.1: Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's (all countries)

The activity to understand the state of implementation of maritime conventions is not an inherently complicated task. In most cases most of the relevant international conventions have been ratified. However there is a need to pay detailed attention to the state of compliance. In reality much of this analysis will be undertaken as a component of activity 4.1 which relates to inspection procedures controlling the compliance of conventions. As a consequence it appears logical to link activities 1.1 and 4.1. There is also a strong relationship with activity 2.1 which examines the structure of Maritime administrations and specific procedures for implementing conventions within those organisations.

As a result it is likely that the work of the experts for these three activities will be undertaken concurrently with a mandate for experts to examine the following three components during combined missions:

- Activity 1.1: State of ratification and state of implementation.
- Activity 2.1; Support to the Administrations on the procedures to implement the conventions
- Activity 4.1; Control of compliance of the implementation, inspections procedures, PSC FSI etc.

There have also been logistical constraints on the progress of this activity largely related to administrative delays in the formal registration of the project in Ukraine and Turkmenistan, and logistical difficulties obtaining visas for experts who needed to visit Turkmenistan to complete this task.

These circumstances have let to a change in the initial plan of expert activities which are reflected in the revised work plan.

Activity 2.2: Assess needs and priorities for the use and operation of VTS systems in major national ports

The importance of the VTS systems for maritime traffic in the coastal areas of the beneficiary countries has been a recurrent theme in the discussions held to date. This is particularly the case in the Caspian Sea where the existing facilities and services are less well developed.

A specific recommendation at this stage is the assessment and analysis of navigational radar systems, which appear to have been included in the work plan of the Kazakhstan Caspian Transportation System (KCTS) project.

During a visit to the VTS and VTMS of Odessa the experts noted that the installations are of high standard, the operators are well prepared and that the existence of a VTS simulator to train the personnel. Another simulator is located in the river port of Nikolayev with a ship handling simulator and the capacity to train a group of 10 to 15 trainees simultaneously. Now that the project team are aware of the simulators, their use will be considered in the delivery of any VTS training courses included in the project,

Activities 3.1 and 3.2: Preparation and delivery of training courses and capacity building activities in coordination with relevant training institutes in beneficiary countries

For over a decade, several international organizations as well as individual countries, have been providing ongoing technical assistance and training programmes related to maritime safety, security and protection of the marine environment in the region and in the beneficiary states..

However, after consultation with the responsible Authorities of the beneficiary countries, it is evident that most of the training provided has been given to individuals, designated to attend the training courses by the relevant national authorities without a clear strategy on the sub-sequent development of a locally sustainable training capacity within the country. The outcome of these training programmes is that there are number of competently trained individuals. However they are not able to use the knowledge they have acquired to develop long term, self-sustaining training programmes which could facilitate the evolution of a national maritime culture to the benefit of the national maritime administration and shipping fleets.

Consequently it is considered prudent to focus the present project on the development and improvement of a self-sustaining national training capacity for each of the beneficiary countries. This will be achieved by focusing on providing knowledge and expertise through a Train-the-Trainer programme made available to relevant maritime training centres such as maritime technical universities, academies and nautical schools.

The Train-the-Trainer programme should focus on the development of up-to-date training materials and the education of the teaching staff in the use of the training materials and in providing them with adequate background knowledge for the delivery of lectures relevant to the aim of the present project.

The identification of qualified training institutes has been given priority during the inception phase as some of the kick-off meetings, of the beneficiary States, have been held at institutions that could be considered for training. Considerable efforts have also been given to the identification of possible experienced local teachers that might be used during local and regional training.

Taking into consideration sensitivity combined with the interest shown by local trainers in being given the opportunity of acting as instructors on training courses, to be funded by the Project, and in combination with the short time available for the kick-off meetings has meant that the analysis of available institutions and local teachers was not completed within the inception phase as originally envisaged. This activity is planned to be completed by the end of December 2009 into January 2010.

The Terms of Reference states that relevant issues for training and capacity building shall built upon the review and assessment under activity 1 and 2 and taking into account the different knowledge and expertise among beneficiaries. However, activity 1 is still ongoing and activity 2 has yet to be initiated. As a result identification of the need for training and the type of training to be conducted has not yet been

possible. Further, the Terms of Reference states the training should be anchored in identified national training centres and implemented by these institutes with an objective of sustainability (Train-the-Trainer).

Contacts with possible national training centres during the inception phase have demonstrated that such institutes at present are conducting their training related to relevant IMO conventions without having up-to-date background documentation and information. The training material in use is outdated and in some cases, it was evident that the teachers' knowledge and experiences on the implementation and understanding of the conventions was inadequate. Against this background, it was noted that sustainability can only be achieved if there is a major effort in providing for long-lasting knowledge transfer to the national training institutes under consideration because they can give follow up to the project training activities

Activity 4.2: Assessment of wastes handling systems in major national ports (compliance with MARPOL 73/78 and EC 2000/59 Directive) and development of Port Waste Management Plans

The requirement for the preparation of PWM plans is essential (and one of the main reasons for the EU Directive on Port Reception Facilities) and has been explicitly highlighted during meetings with beneficiaries and ports in Georgia and Azerbaijan held in October 2009.

The requirements of Activity 4.2 can be categorised into three discrete sub-activities, namely:

- Assessment of the port waste reception system (ship waste handling)
- A process oriented preparation of a PWM plan in the port in close cooperation with relevant authority.
- A capacity building of relevant staff.

The activities mirror those reflected in the ToR. However, there is some concern amongst the project team about the time required to deliver the activities. The analysis of our expert is that based on experience from meetings in Batumi and Baku ports that an average input per port (development of one "Best Practice Port in each country") from international consultant of 5 weeks and 3-4 weeks from a local consultant.

While port waste management is a very important component of the project and a significant challenge that needs to be addressed in the beneficiary countries, it is questionable that this level of input is proportionate for the topic, when balanced against the total available days for the international experts. As a result an alternative approach, focusing either on the development of a single regional "best practice" port or a less intensive approach of providing training and clear guidance documents, establishing a regional self-support network and providing periodic inputs from international experts to provide support to individuals within the administrations, charged with developing their own PWM Plans over a 6-12 month period.

This is a topic which needs to be discussed openly with stakeholders to either agree an alternative ToR which is more proportionate to the other tasks, or to agree where economies can be made to facilitate this level of work in the PWM field. It is not considered appropriate for the project team to make this decision unilaterally.

Activity 5: Establishment of regional working groups and the development of regional action plans

In the original work plan the Regional Working Groups on maritime safety and security included in the Terms of Reference were not linked to the National Steering Committees. However to ensure technical consistency the technical experts forming the Working Group in each country will (where appropriate) be selected from the members of the National Steering Committee. Due to the different characteristics of maritime transport in the two seas, it is proposed that the Regional Working Groups have separate meetings for the Black and Caspian seas with one single general meeting per year for all stakeholders.

Activity 6: Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)

The implementation of this activity is foreseen for March 2011; consequently modifications to the plan have not yet been discussed. However, the participation in TRACECA meetings and the donor’s agencies coordination meetings organized by the British Embassy in Astana are considered particularly useful activities which can be used to collect baseline information for this activity.

Activity 7: Communication and awareness raising activities on maritime safety, security and environmental protection are developed

The process of designing and registering a project dedicated URL homepage is going on and, for purely practical administration reasons the decision has been taken to have an independent website with links with TRACECA and other relevant websites, rather than to use pages on the TRACECA homepage. The activities are adapted to the ToR and it is foreseen to have a Communication Plan before the end of the year 2009.

Table 3.1: Comments on Terms of Reference task

ToR TASK	COMMENT
RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection	
<i>Activity 1.1:</i> Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU’s (all countries).	The main international conventions have been ratified by all countries. Conventions not ratified in most of the beneficiary countries include: HNS Convention 96 OPRC/HNS 2000 BUNKERS CONVENTION 01 ANTI FOULING 01 BALLASTWATER 2004 HONG KONG 2009, ON SAFE RECYCLING OF SHIPS
<i>Activity 1.2:</i> Depending on the findings of the Activity 1.1, prepare and implement a plan for transposition, when necessary, of the reviewed international conventions and regulations into national legislation	Preliminary information indicates that the countries will need to review at least some national legislation on transposition of conventions. Turkmenistan is expected to require more direct support to implement recently acceded conventions
<i>Activity 1.3:</i> Discuss and plan accession to the “Voluntary IMO Member State Audit Scheme”	It is anticipated that this topic will be pursued as specified in the ToR.
RESULT 2: Support implementation of the relevant maritime legislative framework and international conventions, as well as the use of VTS systems in Maritime Administrations and Port Authorities	
<i>Activity 2.1:</i> Assess and support the rationalization of national maritime organizations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS and PSC MoU’s)	It is anticipated that this topic will be pursued as specified in the ToR. Kazakhstan and Turkmenistan may need additional support relating to the

ToR TASK	COMMENT
	organisation of the maritime administrations
<i>Activity 2.2:</i> Assess needs and priorities for the use and operation of VTS systems in major national ports.	Georgia is in the process of installing new VTS and has a specific need to train the VTS operators. The installation of navigational radar systems, that is an important component in the Kazakhstan Caspian Transportation System (KCTS) project and will be included in the agenda for this activity
RESULT 3. Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems.	
<i>Activity 3.1:</i> Prepare a Training Plan based on relevant issues for training and capacity building, and in coordination with relevant training institutes in beneficiary countries	Training has been noted as a matter of great interest and support from the beneficiary countries (perhaps as it is the most tangible expected output for the maritime administrations). Discussions to date have included numerous requests to add specific courses to the existing plan. These will be considered during the development of the detailed training plan.
<i>Activity 3.2:</i> Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how.	It is anticipated that this topic will be pursued as specified in the ToR. The first courses are expected to take place in June 2010
RESULT 4. Identification of model ports and best practices, awareness raising and training in Port State Control activities, MARPOL implementation (reception facilities), ISPS Code implementation	
<i>Activity 4.1:</i> Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country	It is anticipated that this topic will be pursued as specified in the ToR.
<i>Activity 4.2:</i> Assessment of wastes handling systems in major national ports (compliance with MARPOL 73/78 and EC 2000/59 Directive) and development of Port Waste Management Plans	Clear interest in Port Waste Management Plans has been expressed in Azerbaijan and Georgia. Other countries are yet to be visited by the PWM expert. There is a significant question over the level of input that is practical/proportionate in the overall context of the project which needs to be discussed at steering group level to ensure the approach followed is transparent and agreed with key stakeholders.

ToR TASK	COMMENT
<i>Activity 4.3:</i> Further assessment, identification of best practice ports and support to the implementation of ISPS Code	It is anticipated that this topic will be pursued as specified in the ToR.
RESULT 5. Support to regional cooperation in the field of maritime safety and security.	
<i>Activity 5.1:</i> Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)	National Coordinators and the Team Leader are currently in the process of establishing the national working groups. We propose to set up working groups in both the Black Sea and the Caspian Sea that will alternate between combined and separate meetings.
<i>Activity 5.2:</i> Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations	It is anticipated that this topic will be pursued as specified in the ToR and implemented when the regional working groups are established
RESULT 6. Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)	
<i>Activity 6:</i> Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)	It is anticipated that this topic will be pursued as specified in the ToR.
RESULT 7. Communication and awareness raising activities on maritime safety, security and environmental protection are developed	
<i>Activity 7:</i> Communication and awareness raising activities on maritime safety, security and environmental protection	Initial activities have been carried out according to the Terms of Reference. A minor deviation is that the website is expected to be independent from the TRACECA website. It will still display the TRACECA logo prominently and will contain direct links to the TRACECA site.

4. Project Planning

4.1 Project Objectives

The overall objective of the project, as defined in the Terms of Reference, is to facilitate international maritime transport of passengers and goods, and to support maritime safety, security and environmental protection in both the Black Sea and Caspian Sea regions.

The specific objectives included in the proposal have been developed in accordance with the Terms of Reference and are described in the project synopsis presented in section 1 of this inception report.

4.2 Project Approach

The overall approach is essentially unaltered from that outlined in our technical proposal. Our approach is founded on patience, since change processes take time to implement and bear fruit; participation, since sustainable results can only be achieved through the active involvement and consensus of stakeholders; and focus, since focusing on key issues is critical for achieving real results in the limited duration of the project.

The specific approaches to achieving each result required by the Terms of Reference have been outlined in the following sections.

4.2.1 RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection

Activity 1.1: Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's (all countries)

Implementation period: September 2009 to December 2009

Scope of Work:

The main objective of this activity is to evaluate the level of transposition of and compliance with international conventions and other instruments related to marine pollution, maritime safety and security and inspection of ships.

The activity aims to collect information from IMO and the National Maritime Administrations on the state of transposition of international conventions and other regulations into the national legislations of all beneficiary countries with special emphasis on MARPOL, SOLAS/ISPS and the MoU on PSC. This analysis should be undertaken not only in relation to the maritime transport but also to port regulations where appropriate.

The specific actions to be achieved by the expert assigned under this set of Terms of Reference are as follows:

- To evaluate the state of ratification, accession and level of transposition of IMO conventions with a special emphasis on SOLAS, ISPS Code, MARPOL and OPRC;
- to evaluate the state of implementation of MoUs on PSC in the Black Sea countries and to evaluate existing ship inspections arrangements in the Caspian Sea countries;

- to evaluate the existing national legislation concerning the maritime safety and security, prevention and response to marine pollution and ship inspections;
- to collect information on the organization of national institutions responsible for the implementation of international conventions and national legislation related to the maritime transport;
- to evaluate the facilities, personnel and organization of education, training and certification of seafarers; and
- to develop and submit a report on the state of transposition and implementation of the international conventions and other instruments related to the maritime safety, security and prevention of pollution from ships.

Resources (Team Leader and Expert on IMO and legal matters)

The activity is resourced by the Team Leader, a short term junior legal expert providing key support.

With the unavoidable but unfortunate withdrawal of the proposed candidate for the Key Expert 2 role, and the subsequent difficulties encountered in engaging a suitable replacement candidate, the Team Leader has had much less time than originally anticipated to undertake this task over the inception phase of the project, as he has been effectively covering two positions.

These difficulties have been compounded by logistical difficulties in obtaining visas for Turkmenistan which has delayed the planned data collection activities in that country.

These factors have led to a departure from the original programme for this activity which will now be completed in December 2009.

Comments following Inception Period:

The information collected during the development of this activity was critical to aid the project planning process and implementation of subsequent activities for the project. This is the primary reason for commencing this activity during the inception period.

Kick off meetings in Azerbaijan, Georgia, Kazakhstan and Ukraine have provided the opportunity to collect much of the information required on the state of implementation of international conventions in the countries where these meetings have taken place. Further information has also been gathered for Georgia, Ukraine and Kazakhstan where we have had the opportunity to mobilise experts to undertake specific visits. In addition information has been made available by Key Expert 3 who is based in Azerbaijan.

While sufficient information has been gathered by our local partners in these cases to facilitate project planning in sufficient detail for the inception report, further effort is required in November and December 2009 to finalise data collection and produce an appropriate report.

Activity 1.2: Depending on the findings of the Activity 1.1, prepare and implement a plan for transposition, when necessary, of the reviewed international conventions and regulations into national legislation

Implementation Period: December 2009, January and February 2010

Scope of the work

The objective of this activity is to give support to the Maritime Administrations of the beneficiary countries, in the transposition of the appropriate conventions into national and ports legislation or regulations.

The designated expert will, where appropriate, draft an implementation plan in close cooperation with the concerned Maritime Administrations and Port Authorities. The plan will address actual compliance in ports and to which extent guidelines have been prepared for staff members of the Maritime (and Port where appropriate) Administrations.

Specific activities to be undertaken by the expert assigned to this task are as follows:

- to consult with the concerned Maritime Administrations regarding the state of transposition of international conventions and to give support (where appropriate and practical) in the drafting of national legislation;
- to elaborate, in cooperation with the responsible authorities, an implementation plan for the transposition into national legislation of the maritime international conventions;
- to provide advice and support to staff within the administrations on the compliance of maritime and port regulations; and
- where appropriate to elaborate and submit a “Plan for the transposition of the international conventions and other instruments related to the maritime safety, security and prevention of pollution from ships”

Initial assessments by the team leader indicate that the need for guidance will be mainly limited addressing the transposition of latest maritime conventions that are at present, not ratified by the beneficiary countries.

Resources (Team Leader and expert on IMO and legal matters)

The activity is resourced by the Team Leader, with a short term junior legal expert providing key support.

With the imminent mobilisation of Key Expert 2 we are confident that time can be made up on this activity and it will be completed by the end of February 2010.

Activity 1.3: Discuss and plan accession to the “Voluntary IMO Member State Audit Scheme”

Implementation period: February to April 2010

Scope of the work

The aim of this activity is to promote the concept and support implementation of requests from the Maritime Administrations to the IMO to carry out voluntary IMO Audit Schemes.

The results of the audit, when requested, will help the Maritime Administrations and the experts of this project to evaluate the state of adoption and level of implementation of the mandatory IMO instruments. The audit results may also be used to develop recommendations for future improvements in maritime safety and pollution prevention in the region.

Specific activities to be undertaken by the expert assigned to this task are as follows:

- to provide technical advice on the convenience to request the voluntary audit scheme for a better implementation of this Scheme;

- to develop an operational framework for the application of the voluntary IMO Member State Audit Scheme; and
- the organisation of a workshop on the organization of maritime administrations which will include the audit scheme.

After initial meetings with some maritime authorities and the discussions during the kick off meetings, it is now proposed that this activity is only applied to the countries which express a specific interest in requesting the voluntary audit. The initially proposed workshop will be reformulated as a maritime administration workshop which will include as one of the topics the Voluntary IMO Member State Audit Scheme.

Resources (Team Leader and Expert on IMO and legal matters)

The activity is resourced by the Team Leader, possibly with the support of a short term junior legal expert providing key support however, depending on the level of interest expressed by the countries, a specialist in IMO member state audits may be utilised instead.

4.2.2 RESULT 2: Support implementation of the relevant maritime legislative framework and international conventions, as well as the use of VTS systems in Maritime Administrations and Port Authorities

Activity 2.1: Assess and support the rationalization of national maritime organizations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS and PSC MoU's).

Implementation period: April to June 2010

Scope of the work

The main objective of this activity is to assess and provide support to the existing maritime institutions to assist them in rationalising their structures and organization (where appropriate and requested) to transform them in modern and well developed maritime administrations. Any fundamental reform of institutions should be led by the national authorities drawing on support of the available international experts, to ensure that the resulting organisations are nationally appropriate and working in synergy with other existing organisations.

The project expert will provide an assessment of and advice to the maritime administrations in the following aspects:

- undertaking reviews of bodies and institutions dealing with maritime issues and clear definition of their responsibilities;
- analysing organizations, structures, operations and staff of the maritime administrations; and
- developing a "Plan of Action" in collaboration with the concerned administrations to support any necessary reform and the development of modern maritime administrations.

Resources (Team Leader, Key Expert 2, Expert in Maritime Administration)

The exercise will be undertaken jointly by the Team Leader, Key Expert 2 and a non-key expert with specific experience in Maritime Administrations and Port Authorities.

Activity 2.2: Assess needs and priorities for the use and operation of VTS systems in major national ports.

Implementation period: September to December 2010

Preliminary information has been collected during kick off meetings and initial project activities, It is noted that Ukraine has VTS and VTMS systems in operation in its main ports and Georgia has VTS in Batumi, a recently established system in the area of Poti and in the new port for oil tankers built in Kulevi.

The Maritime Transport Department in Batumi has disclosed that there is a regulation establishing the requirement to have VTS systems in operation by the end of 2010. The programmed implementation of Activity 2.2 (from September to December 2010) is a good opportunity to provide guidance on this matter.

The project experts will address the analysis of the situation of VTS systems in the beneficiary countries in order to identify their needs and priorities. This will be achieved through implementation of the following tasks:

- review and evaluation of the existing VTS systems in the beneficiary countries;
- assessment of the needs of new VTS in major national ports that do not have the system at present;
- identification of equipment for the modernization or new installation of VTS in the beneficiary countries;
- provision of advice on the efficient use and management of the VTS;
- preparation and organization of training courses for the VTS operators; and
- facilitate a discussion on the establishment of a coordinated regional VTS where the service involves two or more neighbouring countries.

Resources (Team Leader, and an Expert in Vessel Traffic Services)

This exercise will be lead by the Team Leader with technical inputs from a specialist in Vessel Traffic Services.

4.2.3 RESULT 3. Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems.

Training modules will be developed which are related to the major IMO Conventions on maritime safety, security and protection of the marine environment i.e. SOLAS, MARPOL, OPRC and other relevant maritime instruments, such as Port State Control (PSC), Ballast Water Management (BWM), International Ships and Port Security (ISPS) and management of Vessel Traffic Systems (VTS),

Activity 3.1: Prepare a Training Plan based on relevant issues for training and capacity building, and in coordination with relevant training institutes in beneficiary countries

Implementation period: February, March and April 2010

Scope of the work

In order to develop a common view and understanding of this activity, additional working meetings will be held with Maritime Administrations and relevant training institutes of the beneficiary countries.

The goals of these meetings will be to identify local experts, training institutes and discuss background qualifications, requirements and estimated numbers of key personnel to be trained. Having analysed such information, the training plan will be developed with a view to the trainings need to be held at national or

regional levels. Special attention will be given to training of teachers (Train-the-Trainer) of selected training institutes.

The training plan, when finalised, will be agreed with the contracting authority and the beneficiary countries.

The next phase of this activity will include the development of workshops and course plans for each of the activities to be undertaken, which may include the following:

- Operational aspects for the implementation of SOLAS Convention
- Operational aspects for the implementation of MARPOL Convention
- Oil Pollution Preparedness, Response and Co-operation Convention (OPRC 1990)
- Ship and Port Security Management (ISPS Code)
- Port State Control (PSC)
- Vessel Traffic Services operations (VTS)
- Maritime Administration, Organization and Functioning
- Port Waste Management, including reception facilities for ship generated waste
- Bunker, Ballast Water and Antifouling Conventions
- Consideration of Study tours (including a workshop on each tour) to National European Maritime Administrations, Port Authorities and VTS

The following suggestions made during the kick off meetings, the courses or workshops will be considered in the final list of course to be provided:

- Oil tankers operations
- Maritime English
- Practical training of PSC Officers
- Use of modern technologies in navigation AIS and the LRIT system.
- To merge the maritime administration course with the IMO audit scheme workshop.

Resources (Key Expert 3)

The training plan will be conducted by Key Expert 3 (Training Specialist). While Key Expert 3 will draw upon the results and conclusions of other experts engaged in the project, no specific support is envisaged in the development of the training plan from the project team. Input will be sought from the appropriate beneficiary organisations.

Activity 3.2: Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how.

Implementation period: June 2010 to June 2011

Scope of the Work:

The Training Plan will be discussed with officials within the Maritime Administrations, Port authorities and maritime training institutes with the aim of identifying training locations and participants. Participants will be selected on the basis of their competencies and professional commitment. The List of Participants will be submitted to the European Commission for approval.

Results of previous projects will be taken into account and each training event or workshop will be evaluated on the impact of the activity.

In preparation of the individual training events and workshops special attention will be given to any relevant international courses already available and the extent to which these courses can be used instead of developing new courses will be investigated.

For each of the training modules, course plans and training materials will be prepared and developed as appropriate. The training materials will be developed in an e-learning environment.

Resources (Key Expert 3 and appropriate Training Institutions)

The training modules will be developed by Key Expert 3 (Training Specialist). The trainers employed will be selected for their appropriateness to the relevant module. However a number of potential partner organisations have already been identified to provide both logistical support and local instructors to this activity.

In Ukraine the following training institutions have been identified:

- The Odessa National Maritime University, (where the project office is located), is the training institution delivering courses for Port operations personnel in Ukraine.
- The Odessa State Marine Academy offers training courses for seafarers, according to the IMO conventions, through the STCW Inspectorate that is part of the Maritime Administration. The academy runs a post graduate Institute and has access to a training ship.

In Kazakhstan, the following training institutions have been identified:

- Kazakh Academy of Transport and Communication Aktau College which can offer instructors, logistical arrangements, training materials and premises. This institution has expressed a particular interest in courses on Maritime Administration, ships inspection, pollution prevention (including ship waste management) and “training the trainers”.
- The Caspian State University of Technologies and Engineering named after Sh. Esenov which recently has opened a vocational training institute related to maritime transport. For this reason they are particularly interested in the proposed “train the trainers” courses. They are also able to provide teaching staff and training facilities.

Azerbaijan and Georgia have also Maritime Academies but during the inception phase we have not been able to visit them. Over the coming months and prior to the preparation of the training plan further information about these training institutions will be sought. No information is currently available regarding training institutions in Turkmenistan. Again appropriate institutions will be identified and consulted prior to the development of the training plan.

We note that while some of the training activities will take place at a regional level, many of the courses will be designed to be delivered locally within the five beneficiary countries.

4.2.4 RESULT 4. Identification of model ports and best practices, awareness raising and training in Port State Control activities, MARPOL implementation (reception facilities), ISPS Code implementation

Activity 4.1: Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country

Implementation period: January to April 2010

Scope of the Works:

The scope of this activity is to support the development of inspection procedures to comply with the Port State Control requirements. The following specific tasks are planned to achieve the delivery of this support:

- Assessment of the level of implementation of the Black Sea MoU in the relevant countries;
- assessment of ship inspection procedures in the Caspian Sea countries involved in the project in accordance with international standards;
- identification of a “best practice port” in each country whose model will be proposed for the application to other national ports;
- evaluation of staff training needs with respect to practical and operational aspects of ship inspection procedures; and
- depending on the results of the evaluation of training needs, propose a training programme to be implemented under “Result 3” described above.

Preliminary information has been collected in Georgia, Kazakhstan and Ukraine but detailed information will be obtained during the PSC experts missions planned for the months of January to April 2010.

In Georgia the PSC office is located in the Port but is subordinate to the Maritime Transport Department based in Batumi, which is in turn a dependant of the United Transport Administration based in Tbilisi. According to these initial investigations the PSC is responsible for the control of conventions related to Maritime Safety. However marine pollution conventions are controlled by the Inspectorate of Environmental Protection which is affiliated to the Ministry of Environmental Protection and Natural Resources.

In Kazakhstan the PSC is embedded in the Harbour Masters Office (which effectively acts as the Maritime Administration in most practical terms), acting on behalf of the Ministry of Transport.

In Ukraine there is a central PSC Office in Odessa with responsibility for the overall coordination of inspectors based in specific PSC offices in each of the main Ukrainian ports.

Resources (Key Expert 2 and an Expert in Port State Control)

This exercise will be led by the Key Expert 2 with technical inputs from a specialist Port State Control as appropriate.

Activity 4.2: Assessment of wastes handling systems in major national ports (compliance with MARPOL 73/78 and EC 2000/59 Directive) and development of Port Waste Management Plans

Implementation period: October 2009 to February 2010 (for Assessment of Port Waste Handling Systems). Based on the outcomes of the initial inputs from the assessment phase it is clear that further discussion is required on the appropriate approach to and programme for the Development of Port Waste Management Plans. As a working assumption we expect most activity to occur between October 2009 and March 2010.

Scope of the Work

The current overall scope of the task is to evaluate the existing organization and facilities for ship generated waste in the main ports of the beneficiary countries. The assessment of the situation in the selected ports will be carried out following the requirements of the EU Directive, EC 2000/59 including at least the following subjects:

- Available reception facilities
- Cost recovery systems, direct or indirect charge
- Responsibilities
- Organization including the role of Maritime or Port Authority;
- Waste notification procedures before arrival of the ship:
- Waste, money and paper flow;
- Incentives for delivery;
- Contractual framework.
- Identification of the best practice port in each country and elaboration of the corresponding model of waste handling system;
- Application of the model to the other national ports;
- Traffic and wastes analysis for each port in the beneficiary countries;
- Waste Management Plan prepared on the basis of traffic and wastes analysis. The plan will contain the following documents:
 - Procedures Manual;
 - Implementation Plan.
- Elaboration of a training programme to be implemented under the activity 3 related to training.
- Report on the existing reception facilities for ship generated waste;
- Best practice port model on reception facilities for each country.

Comments Following Inception Period

At this stage there is some uncertainty over the practicality of delivering model waste management plans for ports in each of the beneficiary countries (as discussed in section 2.2 of this report). Essentially it appears that the amount of work involved in delivering these plans is potentially disproportionate when considering the number of days available to the project overall. As this matter constitutes a potentially significant departure from the terms of reference, it is perceived that this matter is best referred to the Project Steering Committee for further discussion.

To support these discussions the following summary of initial findings is presented:

A preliminary finding in Azerbaijan indicates that prior to the development of a detailed waste management plan; there is a higher level requirement to develop an overall waste handling strategy/policy in close cooperation with Marine Administration. Such a strategy would outline the future ship waste handling system for Baku and other ports in Azerbaijan. It is envisaged that such a strategy would follow the outline of a Port Waste Management Plan as proposed in the EU Directive EC 59/2000 on Port Reception Facilities.

It is important that this strategy is developed with participation and “buy in” of representatives from the highest level in Maritime Administration and Government. It is also suggested that such a strategy be developed in conjunction with the Ship Waste components of the ongoing Environmental Action Plan (Plan of Comprehensive Actions for 2006-2010) project.

Initial findings in Georgia indicate that there is no need for a major revision of the logistics of the existing system. However several specific recommendations have been identified for further investigation. These include:

- the improvement of oily waste treatment at the oil terminal (separation of various oily waste fractions could be implemented);
- the identification of solutions for chemical waste (type and volume to be identified);

- further discussion with the shipyards on their existing waste management policies;
- the improvement of the waste notification procedures;
- to include oily waste water (except ballast and tank washings) in the indirect sanitary due; and
- to develop and make available a Port Waste Management manual for all appropriate stakeholders.

Resources (Key Expert 2, Port Waste Management Specialist, Training Experts)

This activity will be led by Key Expert 2 with significant technical input from a Port Waste Management Specialist. There may also be a requirement for training staff depending on the conclusion of discussions on the best way to achieve the overall result of best practice examples for Port Waste Management in the region.

Activity 4.3: Further assessment, identification of best practice ports and support to the implementation of ISPS Code

Implementation period: September, October and November 2010

Scope of the Work:

The following tasks are planned to implement this activity:

- Review of the level of implementation of the ISPS Code in the beneficiary countries on the basis of previous studies and direct evaluation of the present situation;
- identification of the best practice port in each country in terms of ISPS Code implementation and elaboration of the corresponding model for ISPS Code application;
- application of the model to the other national ports;
- elaboration of a proposal for updating the level of implementation of the ISPS Code; and
- assessment on the information for the ISPS data base required under the provisions of SOLAS regulation XI - 2/13 and the national point of contact for security matters related to the ISPS Code.

Resources (Key Expert 2 and Expert on Maritime Safety and Security)

This activity will be led by Key Expert 2 with significant technical input from a maritime safety and security expert as appropriate.

4.2.5 RESULT 5. Support to regional cooperation in the field of maritime safety and security

Activity 5.1: Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)

Implementation period: December 2009 to June 2010; September to December 2010 and January to June 2011

Scope of Work

A regional (Black and Caspian Seas) Working Group on maritime safety, security and marine pollution will be established to enhance the regional cooperation and interchange of knowledge and practices between the countries participating in the project. It is proposed that the Group be composed of two experts per country with specific experience in the fields of maritime Safety, Security and Pollution.

The international project experts will advise on the following organizational elements and activities of the Working Group:

- Objectives and terms of reference of the Working Group and its meetings;
- organization and logistics, procedures and schedules;
- identification, position and expertise of the participants; and
- drafting of findings and recommendations of the Working Group mainly addressed to the elaboration of the regional Action Plan on maritime safety, security and protection of the marine environment.

The Working Groups are now in the process of establishing (linked to the process of establishing National Steering Committees) and are envisaged to be active from January 2010 to June 2011.

Meetings for the group are planned for the following months (subject to agreement by the appropriate parties):

- January 2010
- July 2010
- January 2011
- June 2011

Resources (Key Experts)

The proposed advice and support will be delivered by the three Key Experts with contributions from the Non-Key experts on specific technical issues if appropriate.

Activity 5.2: Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations

Implementation period: December 2010 to February 2011

Scope of the Work

The members of the Regional Working Group will analyse the maritime safety, security and pollution situations in their respective countries and presented specific issues of interest or concern for discussion in the regional meetings of the Group. The objective will be to agree on a common Regional Action Plan to be developed jointly with the support of the international project experts.

New International Conventions as Bunkers (2001), Anti-Fouling (2001), Ballast Water (2004) and The International Convention for the Safe and Environmentally Sound Recycling of Ships adopted on the 11 May 2009, are examples of topics which might be considered in such an Action Plan.

Resources (Key Experts)

The proposed advice and support will be delivered by the three Key Experts with contributions from the Non-Key experts on specific technical issues if appropriate. However the hope is that the national members of the steering committee will take joint responsibility for developing the action plan and that the Project Experts will play a purely advisory role.

4.2.6 RESULT 6. Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)

Activity 6. Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)

Implementation period: March to June 2011

The following activities will be carried out in coordination with the concerned authorities and private sector stakeholders (where appropriate):

- Review of the relevant information contained in the PPP background analysis provided by the “Maritime Links” project;
- on the basis of the previous review, proposal and promotion of Public-Private Partnership models and Build Own Operate (BOO) arrangements for financing relevant maritime projects in the region; and
- identification of the most relevant maritime projects, prioritised with a view to a regional impact along the TRACECA corridor.
- development of “Project Fiches” for the identified maritime projects providing specifications for relevant feasibility or pre-feasibility studies containing at least the following:
 - Objectives of the project;
 - Description of the project;
 - Expected results;
 - Size of investment, including estimated budget for implementation Partners;
 - Contract elements;
 - Return of investment.
 - To prepare and deliver a Model for financial arrangements of projects;

Resources (Maritime Project Finance/PPP Specialist)

This component of the project will require specialist expertise which is generally not found within the key experts and therefore this activity is likely to be led by a project finance specialist with specific experience in the maritime sector. However the projects to be considered will be solicited during the life of the project by both Key and Non-Key experts as well as (more importantly) the maritime administrations themselves.

4.2.7 RESULT 7. Communication and awareness raising activities on maritime safety, security and environmental protection are developed

Activity 7. Communication and awareness raising activities on maritime safety, security and environmental protection

Implementation period: August 2009 to July 2011 (full duration of the project)

Scope of Work

The main objective of this activity is to provide the Administrations and interested other parties (including the general public) with information and relevant documentation related to the activities of the project.

Central to this will be a dedicated website, together with a “Dissemination of Information Plan” which will provide guidance communication methods to be employed and appropriate information to be disseminated.

Activities to achieve an appropriate level of communication and awareness raising will include:

- the creation of dedicated project website developed with a view to a post project hand over to an appropriate regional body
- preparation and implementation of an “Information Dissemination Plan” for the Project Activities. This plan should include the use of the following mechanisms:
 - Press releases;
 - Press conferences;
 - Leaflets and newsletters;
 - Banners and promotional items related to project activities; and
 - References to relevant websites.

Implementation of this activity was initiated immediately after signing the contract with a press release being published in August 2009 Other ongoing dissemination of information activities include:

- TV interview during the kick off meeting in Odessa;
- Development and distribution of a project synopsis in English and Russian;
- Delivery of Power point presentations in 4 beneficiary countries and the TRACECA meeting in Brussels introducing the project objectives and activities
- Interview to the Team Leader by the ENPI Info Centre in Brussels.

The development of the project website is ongoing with a view to the site “going live” by the end of the year.

4.3 Project Results and Outputs

The project results and main activities with outputs are summarized in Table 4.1 below. This includes target dates for the completion of specific activities. The table also notes when the results of the activities will be made available, either publicly or to interested parties, via the proposed project website. All technical outputs will also be collated and submitted with the next available interim project report.

Table 4.1: Project Outputs

Activity	Output	Target Date	Target Publication Date
Result 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection			
Inception Report	Revised version of the Project Implementation Plan and comment on the activities performed in the preparatory phase of the project.	31.10.09	13.11.09
Activity 1.1	Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's (all countries)	30.11.09	15-12-09
Activity 1.2	Plan for transposition of the reviewed international conventions and regulations into national legislation	28.02.10	31.03.10
Activity 1.3	Operational framework for the application of the voluntary IMO Member State Audit Scheme	31.03.10	30.04.10

Activity	Output	Target Date	Target Publication Date
Activity 1.3 (Workshop)	Workshop implementation IMO conventions	15.04.10	30.04.10
Result 2: Support implementation of the relevant maritime legislative framework and international conventions, as well as the use of VTS systems in Maritime Administrations and Port Authorities.			
Activity 2.1	Assessment and support provided for the rationalization of national maritime organizations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS and PSC MoU's)	30.06.10	15.07.1
Activity 2.2	Assessment provided on needs and priorities for the use and operation of VTS systems in major national ports	30.11.10	15.12.10
Result 3: Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems.			
Activity 3.1	Training Plan based on relevant issues for training and capacity building	30.04.10	Training Plan 30.04.10
Activity 3.2	Training courses delivered (either at national or regional levels)	June 2010 to May 2011	Reports will be provided at the end of each course.
Result 4: Identification of model ports and best practices, awareness raising and training in Port State Control activities, MARPOL implementation (reception facilities), ISPS Code implementation			
Activity 4.1	Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country	30.04.10	31.05.10
Activity 4.2	Assessment of wastes handling systems in major national ports (compliance with MARPOL 73/78 and EC 2000/59 Directive) and development of Port Waste Management Plans	28.02.09	15.03.09
Activity 4.3	Further assessment, identification of best practice ports and support to the implementation of ISPS Code	30.11.10	15.12.10
Result 5: Support to regional cooperation in the field of maritime safety and security			
Activity 5.1	Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)	30.06.11	15.07.11

Activity	Output	Target Date	Target Publication Date
Activity 5.2	Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations	28.02.11	31.03.11
Result 6: Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)			
Activity 6	Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)	30.06.11	15.07.11
Result 7: Communication and awareness raising activities on maritime safety, security and environmental protection are developed			
Activity 7	Communication and awareness raising activities on maritime safety, security and environmental protection are developed	31.07.11	30.09.10 Information Plan 31.07.11 report

4.4 Planning for the Whole Project

General descriptions of the activities to be undertaken have been provided in section 2.4 project approach and are not repeated here. However to show the order of tasks and their interrelationships, an activity flow chart showing the order of tasks has been prepared and included in Appendix B. The work plan has also been summarised in the standard Tacis “Form 1.4” format which is presented as Table 4.2 below.

A summary of verifiable outputs and activity specific risks and assumptions is also provided in standard Tacis “Form 1.5” format. This is presented in Table 4.3 below

Table 4.2: Tacis Form 1.4 – Workplan for the Whole Project

Project Title: Development of Common Security Management, Maritime Safety and Ship Pollution Prevention for the Black Sea and Caspian Sea													Contract No: EuropeAid/127221/C/SER/Multi		Personnel (person-days)		Expertise required						
Planning Period: August 2009 to July 2011	2009				2010				2011				Key	Non-key									
Project Phases and Activities	Q1		Q2		Q3		Q4		Q1		Q2		Q3		Q4								
	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J
Implementation arrangements and reports																							
Inception report																							
Progress reports 1, 2 and 3																							
Final report																							
Steering committee meetings																							
Project Outputs																							
1. Support compliance with provisions of International Conventions and European legislation regarding maritime safety																							
1.1 Review the level of transposition of international conventions and regulations into national legislations																							
1.2 Prepare and implement a plan for transposition of international conventions and regulations into national legislation																							
1.3 Discuss and plan accession to the “Voluntary IMO Member State Audit Scheme”																							
2. Support implementation of the relevant maritime legislative framework and international conventions																							
2.1 Assess and support the rationalization of national maritime organisations, structure and procedures to implement relevant regulations																							
2.2 Assess needs and priorities for the use and operation of VTS systems in major national ports																							
3. Prepare and implement training modules on relevant maritime issues																							
3.1 Prepare a Training Plan based on relevant issues for training and capacity building																							
3.2 Conduct relevant training courses either at national or regional levels																							
4. Identification of model ports and best practices, awareness raising and training in Port State Control																							
4.1 Support the development of relevant inspection procedures and identify best practice ports																							
4.2 Assessment of waste handling systems in major national ports and development of Port Waste Management Plans																							
4.3 identification of best practice ports and support to the implementation of ISPS Code																							
5. Support to regional cooperation in the field of maritime safety and security																							
5.1 Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)																							
5.2 Develop a regional Action Plan on maritime safety, security and environmental protection																							
6. Identification and preparation of maritime projects and financing schemes involving the private sector																							
6.1 Support identification and preparation of maritime projects and financing schemes involving the private sector																							
7. Communication and awareness raising activities on maritime safety, security and environmental protection																							
7.1 Communication and awareness raising activities on maritime safety, security and environmental protection																							
												1250	2246										

Legend		Workshop		Progress Report		Technical Report
		Training Course		Meeting		Study Tour

Note: Month of August without activities and few activities in July due to the summer holidays

Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea (SASEPOL)



Table 4.3: Tacis Form 1.5 – Overall Output Performance Plan

Project Title: Development of common security management, Maritime safety and ship pollution prevention for the Black Sea and Caspian Sea		Contract No: EuropeAid/127221/C/SER/Multi	Country: Azerbaijan, Georgia, Kazakhstan, Turkmenistan and Ukraine
Prepared on: 31 .10.2009		Contractor: Mott MacDonald, Ramboll Denmark, Tethys Environmental Consulting, Oil Spill Training Company Ltd, and Milieu Ltd	
Outputs	Target Date	Verifiable Indicators	Constraints and Assumptions
RESULT 1: The beneficiary institutions will have enhanced capacities (knowledge and skills) in the transposition, implementation and enforcement of maritime international conventions and the application where convenient of European Union legislation			
1.1 Assessment missions to the 5 beneficiary countries on the transposition and compliance of international maritime conventions	30.09.2009	Mission report	The beneficiaries need to follow administrative procedures to organize the visits and meetings of experts. Local experts will provide support to the international experts.
1.2 Preparation of a plan for the transposition of international conventions, in the beneficiary countries that needed.	26.02.2010	Plan for the transposition of the international conventions and other instruments related to the maritime safety, security and prevention of pollution from ships	The National Maritime Authorities will collaborate with the experts on the elaboration of a plan for the transposition on international conventions
1.3 Workshop on the organization of Maritime Administrations and the convenience to request a voluntary IMO Member States Audit Scheme.	30.04.2010	Invitation letters, press releases, workshop report and website	Willingness of the National Maritime Authorities to accept the voluntary IMO Audit Scheme
RESULT 2: The National maritime Institutions will be assessed and support given on the procedures for the implementation of the relevant maritime legislative framework and international conventions, as well as the use of VTS systems in the beneficiary countries			
2.1 Project experts advise to support the reform and development of modern maritime administrations	30.06.2010	Plan of action on the organization, structure, operations and staff of the maritime administrations	Need to have the agreement and interest of the Administrations to introduce changes.
2.2 Assessment missions of qualified experts on the needs and priorities for the use and	30.12.2010	Report on the organization and operation of VTS in the beneficiary countries	Lack of installations in some countries, Others are in the process of installation.

Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea (SASEPOL)



Project Title: Development of common security management, Maritime safety and ship pollution prevention for the Black Sea and Caspian Sea		Contract No: EuropeAid/127221/C/SER/Multi	Country: Azerbaijan, Georgia, Kazakhstan, Turkmenistan and Ukraine
operation of VTS			
2.3 Training course for VTS operators	10.12.2010	Invitation letters, training material, press releases, report of the event and website	It is expected that the beneficiaries will allocate technical staff and VTS facilities for practical training
RESULT 3. Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems			
3.1 Elaboration of a training plan	30.04.2010	Training plan	Maritime Universities in Azerbaijan, Kazakhstan, Georgia and Ukraine have offered support in the organization of courses.
3.2 Delivery of training courses and workshops	June 2010 to June 2011	Invitation letters, training material, press releases, report of the event and website	The beneficiaries will provide teaching staff and training centres facilities.
RESULT 4: Model ports and best practices in the beneficiary countries identified and training courses delivered in Port State Control activities, MARPOL implementation (reception facilities) and ISPS Code implementation			
4.1 Assessment of the level of implementation of the Black Sea MoU and ship inspection procedures	30.04.2010	Mission reports	The two beneficiary countries of the Black Sea are included in the Paris MoU Black list. The beneficiaries of the Caspian Sea need special advice in the fields of ships inspections.
4.2 Assessment missions of port waste management to the main ports in the beneficiary countries.	30.01.2010	Mission reports. Procedures manual for a wastes management plan. Training plan proposed	Missions delayed due to administrative procedures in registering the project in some countries
4.3 Best practice ports identified ad support provided for the implementation of ISPS Code	30.11.2010	Report on the level of implementation of the ISPS Code in each beneficiary country	Beneficiaries willing to improve the security in their ports.
RESULT 5. Support to regional cooperation in the field of maritime safety and security			
5.1 Working groups on safety and security established	30.12.2009	Composition of the working groups defined	Desire for strong regional cooperation between the beneficiaries.
5.2 Action plan on maritime safety, security and protection of marine environment adopted	28.02.2011	A draft action plan delivered.	Willingness of maritime authorities to cooperate at regional level.
RESULT 6. Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP)			

Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea (SASEPOL)



Project Title: Development of common security management, Maritime safety and ship pollution prevention for the Black Sea and Caspian Sea		Contract No: EuropeAid/127221/C/SER/Multi	Country: Azerbaijan, Georgia, Kazakhstan, Turkmenistan and Ukraine
Maritime projects and financing schemes identified.	30.06.2011	Project “fiches” and model for financial arrangements	Public sector commitment to participate in projects
RESULT 7. Communication and awareness raising activities on maritime safety, security and environmental protection are developed			
7.1 Information about the project activities disseminated	31.07.2011	Press releases, media reports, interviews, website, newsletters	The general public/relevant stakeholders are interested in project activities. The national administrations are willing to engage with the general public

4.5 Constraints, Risks and Assumptions

Administrative Delays: Each country has its own protocols to follow, which vary significantly in degrees of complexity. However as a project team we recognise that it is vital that we comply fully with these requirements in order to be able to work with the support of the national ministries, maritime administrations and ports. However in some cases these processes are complex and there is a risk that errors or misunderstandings could occur in the completion of these processes leading to delays in the implementation of project activities.

Delays of up to three months in organizing and agreeing the dates of the kick off meetings and the official registration of the project in one or two Ministries have already been encountered, These teething problems have now been factored into the work plan and there does not appear to be a significant overall issue with the delivery of the results within the overall timescale. However it has highlighted a need to ensure that local administrative arrangements are taken into account from an early stage when planning project activities.

Visa Delays: The visa procedures in Kazakhstan and Turkmenistan are another potential obstacle which could lead to delays in the implementation of technical missions. In general terms this can be factored into the planning of project activities. However it does mean that the expert's ability to mobilise to these countries at short notice is limited. To date the project has received excellent support from the local TACIS and TRACECA offices which will remain important for the smooth operation of the project.

Security Constraints: We note that some port operations are sensitive, particularly with respect to security and port state control activities within the project. In some cases procedures which will need to be examined by the project are subject to national security constraints or are even classified as state secrets. At this stage we have not received clear guidance from any of the states that there will be significant constraints on the activities undertaken by experts, and it appears that as long as local protocols are followed, this should not be a significant issue. However this again limits flexibility and we can not expect to be able to visit all facilities at short notice. This can only be managed by efficient advanced planning.

It would also be useful if the beneficiary organisations could provide a summary of security constraints and relevant protocols to be followed to gain access to secure sites and information.

Availability of Key Stakeholders: This project has an inherently technical nature and will require direct interface between the experts and the "on the ground" staff within the project administrations. We recognise that in many cases these are very busy people who will not be able to abandon their day to day activities at short notice to give time to the project experts. Commitment needs to be made both by the project team and by the beneficiary authorities that every effort will be made to efficiently facilitate meetings between international experts and local stakeholders. We propose that the following commitments are made:

- The project team will make every effort to provide at least two weeks notice of visits by key and non-key experts, indicating which staff they would like to see, the amount of time they would like with them and the general topics to be discussed, so that the relevant people can be made available.
- The beneficiary authorities will respond within a week of any request with confirmation of attendance of key staff to meetings to ensure that expert visits can be confirmed and travel arrangements can be made.

It is inevitable that with short periods of time on mission, it will not always be possible to plan activities in advance and that logistical constraints (from both sides) may mean that meetings will need to be moved at

short notice. We would ask that this is recognised and that both parties agree to remain flexible as far as is possible.

Official Project Language: According to the terms of reference and considering the wide use of Russian in the beneficiary countries the project will be executed with English and Russian the only two official languages. Project documentation will be produced in both languages. We note that in some cases, for administrative purposes there may also be a need to produce documentation in local languages (for example registration of the project in Ukraine required documentation to be translated into Ukrainian), but it is accepted that this is the exception rather than normal practice.

Interpretation: With very few exceptions, the international experts used on the project will not be Russian speaking, the project will provide translators and interpreters will be used to mitigate this constraint. All National Coordinators representing the project will be bi-lingual to facilitate ad-hoc discussions between the project team and beneficiary organisations.

The risk of translation or interpretation errors will remain through the life of the project. Both project staff and beneficiary organisations should be vigilant towards this, as far as is practical.

Specific Characteristics of the two different seas: The common activities of the project may be affected by the differences in the maritime traffic in the Black and Caspian Seas. For example, the Black sea ports are controlling the compliance of the IMO conventions through a PSC memorandum whereas the Caspian Sea states have not implemented such a mechanism. As a result there will, in places, be clear distinctions between some project activities on the two seas. This is a factor which has been considered in the revision of project plan presented in this Inception Report. This issue was also discussed in the terms of reference suggesting a differentiation at sub-regional level per regional sea.

Given that Activity 1.1, which is providing much of the baseline information on current practices in the beneficiary states, has not yet been completed, there is a risk that there are some residual differences that have not been identified at this stage. Any additional regional variations identified and subsequent changes to the programme will be reported in the 6 month progress report.

Participation in training: The success of the proposed training programme depends on the support of the beneficiary countries and their relevant authorities and institutions and the availability of suitably qualified staff from these institutions to participate in training activities. Unless this participation is forthcoming there is a risk that the training activities will not meet the objectives and the project and will not facilitate the support for the development of a sustainable maritime training culture.

In particular training programme is intended to facilitate further training of individuals without sufficient focus on development of a national training capacity through the development of a national Train-the-Trainer capacity. Unless such interaction materialises there is a risk that the scope and achievements of the training project will be limited.

Support to the Training Programme: The project has already identified main areas for training. However if activities are not fully supported by the beneficiary countries there is a risk that project implementation will be constrained.

Interaction with Third Parties: The project requires interaction with parties outside the immediate sphere of government. This includes, but is not limited to, NGOs, local government representatives and private

shipping and oil industry sector companies. Unless suitable reciprocal links and participatory mechanisms are established there is a risk that the full potential project extent will not be realised.

4.6 Planning for the Next Reporting Period

The following key activities are planned for the next reporting period. These are represented diagrammatically in

Table 4.4 below.

4.6.1 Completion of Project Launch Activities

Due to difficulties in obtaining visas, it has not yet been possible to undertake a Kick Off meeting in Turkmenistan. This is a priority action which it is hoped can be completed in November 2009, prior to the first project steering committee meeting.

4.6.2 Establishment of Steering Committee

The process of establishing the project steering committee has begun and it is the intention to convene the first meeting of the steering committee in December 2009, which will mark a major milestone in the project.

4.6.3 Completion of Activity 1.1

Following the delays experienced in the inception phase, another clear priority is to complete the collection of information across all of the countries and produce a baseline report which provides an analysis of the state of ratification and compliance with IMO conventions in each of the countries. While much of this information has already been collected, a concise output as background information for the technical experts is a key document for the early stages of the project.

4.6.4 Commencement of Activities 1.2, 4.1 and 5.1.

Within this reporting period, it is envisaged the first expert inputs will be undertaken for activities 1.2 and 4.1 will be undertaken.

In addition the process for establishing national working groups will be initiated with a view to holding the first working group meeting towards the end of the reporting period in January 2010.

4.6.5 Continuation of Activity 4.2

Again due to the delays experienced during the inception, there is a significant action to complete the initial assessment phase of Activity 4.2. The direction of this activity beyond this assessment phase is matter which requires further discussion at the steering group meeting in December.

4.6.6 Establishment of Website

Website design and maintenance are under discussion with a local service provider and a proposal has been received for consideration It is anticipated that the site will and “go live” within this reporting period, and provide a portal for experts, beneficiaries and interested stakeholders to monitor the progress of the project and access resources developed through the life of the project.

Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea (SASEPOL)



Table 4.4: Tacis Form 1.6 – Planned Activities for Next Reporting Period, to January 2010

Project Title: Development of Common Security Management, Maritime Safety and Ship Pollution Prevention for the Black Sea and Caspian Sea		Contract No:		EuropeAid/127221/C/SER/Multi
Planning Period: Nov 2009 to Feb 2010		'09	2010	Expertise required
Project Phases and Activities		Q2		
		Nov	Dec	
Implementation arrangements and reports				
Inception report				
Progress reports 1, 2 and 3			◆	
Final report				
Steering committee meetings		◆		
Project Outputs				
1. Support compliance with provisions of International Conventions and European legislation regarding maritime safety				
1.1 Review the level of transposition of international conventions and regulations into national legislations		▲		IMO. Legislation. Maritime Administrations. KE 2; 2 Non Key experts.
1.2 Prepare and implement a plan for transposition of international conventions and regulations into national legislation				International legislation. Maritime Administrations. KE2; 1 Non Key expert,
1.3 Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"				
2. Support implementation of the relevant maritime legislative framework and international conventions				
2.1 Assess and support the rationalization of national maritime organisations, structure and procedures to implement relevant regulations				
2.2 Assess needs and priorities for the use and operation of VTS systems in major national ports				
3. Prepare and implement training modules on relevant maritime issues				
3.1 Prepare a Training Plan based on relevant issues for training and capacity building				
3.2 Conduct relevant training courses either at national or regional levels				
4. Identification of model ports and best practices, awareness raising and training in Port State Control				
4.1 Support the development of relevant inspection procedures and identify best practice ports				Ships inspections. Port operations. KE 2, (PSC expert, Port expert);
4.2 Assessment of waste handling systems in major national ports and development of Port Waste Management Plans				Port wastes management. KE 2 and wastes Management Expert
4.3 identification of best practice ports and support to the implementation of ISPS Code				Maritime security (ISPS Code), KE2, ISPS expert; Another expert.
5. Support to regional cooperation in the field of maritime safety and security				
5.1 Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)				Cooperation, groups management. Key and Non Key experts. Days included in K and Non K experts
5.2 Develop a regional Action Plan on maritime safety, security and environmental protection				
6. Identification and preparation of maritime projects and financing schemes involving the private sector				
6.1 Support identification and preparation of maritime projects and financing schemes involving the private sector				
7. Communication and awareness raising activities on maritime safety, security and environmental protection				
7.1 Communication and awareness raising activities on maritime safety, security and environmental protection				Communications and ITC. K Exp, contract service ITC expert; days included in the K and N K experts

Legend					
●	Workshop	◆	Progress Report	▲	Technical Report
○	Training Course	◆	Meeting	▲	Study Tour

5. Implementation Arrangements

5.1 Offices and experts mobilization

Two project offices have been established in Odessa (Ukraine) and Baku (Azerbaijan). The decision was taken at an early stage to ensure that the project had strong representation in cities in both the Black Sea and the Caspian Sea, recognising that there will be significant differences in the needs of the administrations in both of these sub-regions.,

The office in Odessa is the duty station of the Team Leader and Key Expert 2 (maritime safety). It is embedded within the Odessa National Maritime University (ONMU), which will be a key partner in the delivery of the project in Ukraine. As well as performing the main central administrative roles for the project team, the Odessa office will also act as a central focus for activities in the Black Sea sub region.

Similarly the office in Baku, which is the duty station of Key Expert 3 (Training) and will provide a central focus for activities in the Caspian Sea sub region.

Both offices are fully functional and providing support facilities for visiting experts and national staff alike.

There is no intention to establish project office spaces in the other countries.

5.2 Team structure

The core team of three key experts will be based full time within the region, supported by supported by seven non-key experts to provide specific technical advice in project activities. This international team is complemented by a National Coordinator in each of the beneficiary countries to provide a direct, bilingual link, between the beneficiary organisations and the project team. Local experts will also be employed as Non-Key experts on the project to provide local technical knowledge for specific activities where appropriate.

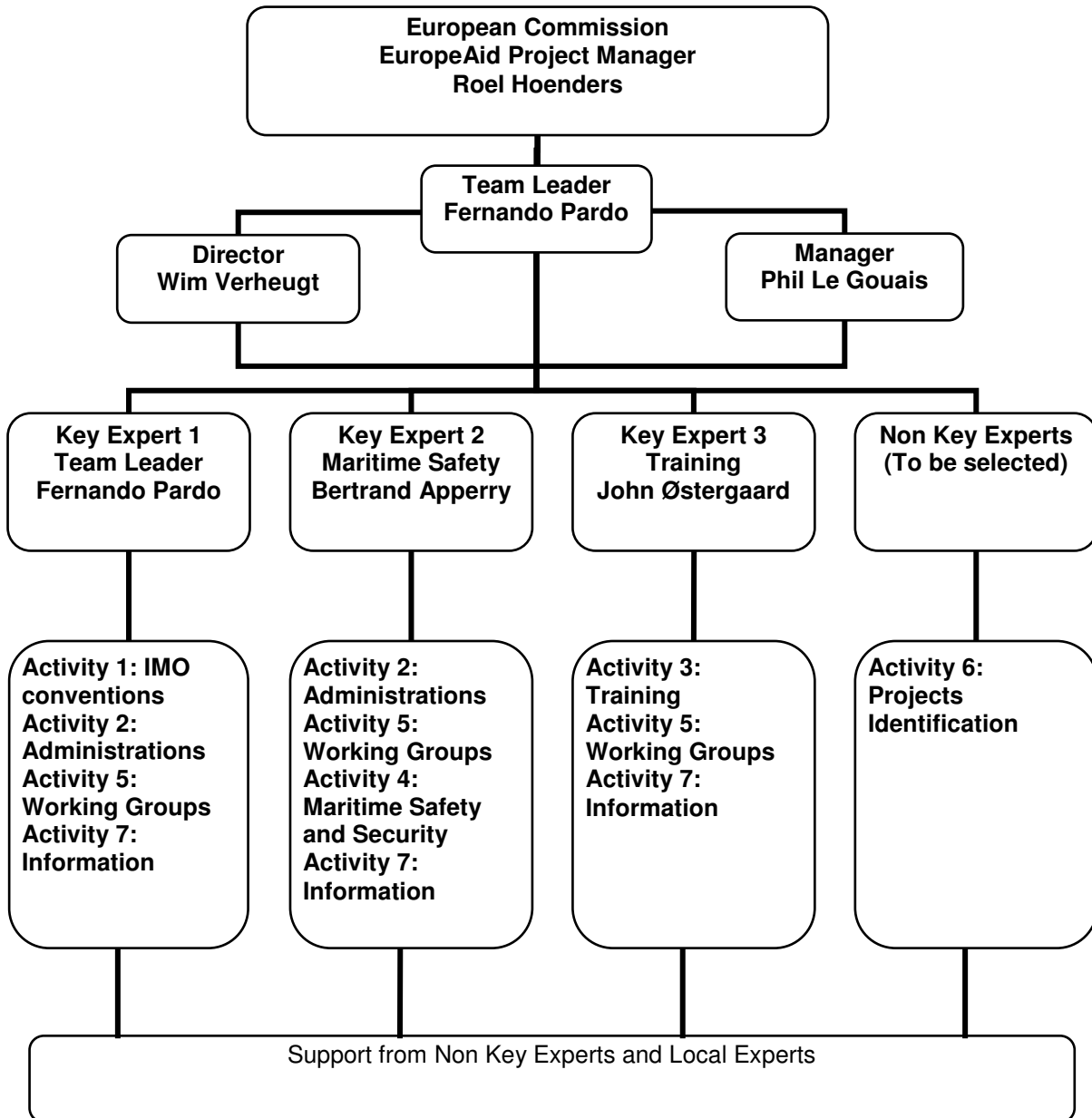
Technical direction and commercial management will predominately come from the project Team Leader. Logistical and commercial backstopping support will be provided by a project director and project manager provided by Mott MacDonald on behalf of the consortium partners.

Responsibility for delivering specific results will assigned by the team leader. These will be distributed between himself and the other two key experts. The team leader and key experts will then draw upon non-key experts (both nationally and internationally) to carry out specific activities to achieve these results.

The exception to this will be Result 6 where, due to the specialist nature of the activity, it is anticipated that a non-key expert will be appointed to lead the activities with technical support from the Key Experts and other Non-Key Experts.

The organisation structure of the project delivery team is represented diagrammatically in Figure 5.1.

Figure 5.1: Organisational Structure of the Project Delivery Team



5.3 Steering Committee

The process of establishing the Steering Committee (SC) is now underway. The committee will comprise one representative from each beneficiary country, the team leader (who will act as secretary), the Project Manager from the European Commission (who will act as Chair) and observers who will likely include representatives of the TRACECA programme, other interested EC staff and representatives of the consortium.

The SC will meet six monthly and meetings will be timed to correspond with the presentation of interim reports for the project. The objective of each meeting will essentially be to review outputs to date and to guide the project's future direction.

The steering committee will be chaired by the EuropeAid Co-operation Office Project Manager or in his/her absence, by a representative of one of the EU Delegations.

Key and Non-Key experts from the project will attend as necessary, and representatives from other organisations and stakeholders may also be invited to attend as observers on an ad-hoc basis.

At present five SC meetings are envisaged following the indicative schedule below:

- 1st Steering Committee meeting 18 December 2009
 - Present and discuss the Inception Report
 - Discuss and agree the proposed strategic direction of the project overall
 - Provide guidance and recommendations for the next 3 months of project activities.
- 2nd Steering Committee meeting 15 February 2010:
 - Present and discuss the 1st Interim Report
 - Review the project activities of the 1st 6 months
 - Provide guidance and recommendations for the next six months of project activities
 - Present and discuss the training programme.
- 3rd Steering Committee meeting 15 August 2010:
 - Present and discuss the 2nd Interim Report
 - Review the progress of project activities
 - Provide guidance and recommendations for the next six months of project activities.
- 4th Steering Committee meeting 15 February 2011
 - Present and discuss the 3rd Interim Report
 - Review the progress of project activities
 - Provide guidance and recommendations for the next six months of project activities
- 5th Steering Committee meeting 31 July 2011
 - Present and discuss the final report of the project
 - Review the project activities of the project

5.4 National Steering Committee and Regional Working Group

A National Steering Committee (NSC) has been established in Ukraine and this process is underway in the other countries, through the national coordinators.

The National Steering Committees will be composed of representatives from the public authorities responsible for different aspects of project activities, other invited stakeholders and the Consultant. The intention is for the national steering committees will meet every six months to review progress and provide guidance on work programme implementation for their own country.

Once the National Steering Committees have been established in the five beneficiary countries, a Regional Working Group will be formed by two representatives per country selected from the members of the National Steering Committees with technical experience in maritime safety, security and marine pollution.

The intention is that the members of the Regional Working Group will analyze the situation with respect to maritime safety, security and marine pollution in their respective countries. They will meet every six months to present and discuss their findings and conclusions. The overall objective of these meetings will be to develop a Regional Action Plan (and possibly sub regional action plans for each of the seas) on maritime safety, security and protection of the marine environment. Project experts will act as facilitators in the meetings of the Regional Working Group but the intention is very much that the regional working group is regionally led, by key stakeholders from the beneficiary countries.

Appendix A. Logical Framework

A logical framework in English language did not accompany the Tender documentation but was provided to the contractor in the Inception Phase. That logical framework has been updated and is given below.

Overall objectives	Indicators of achievement	Means of Verification	Risks and assumptions
The overall objective of the project is to facilitate international maritime transport of passengers and goods, and to support maritime safety, security and environmental protection in the Black Sea and the Caspian Sea regions.	Compliance with the expected results		Political instability, frequent administrative changes, lack of technical cooperation between countries
Promote the integration of international conventions rules into national legislation and regulations; Support the development of technical and personnel prerequisites in order to meet IMO requirements in safety of navigation, security of transport, including passengers and crews, and the requirements on environmental protection; Develop and adapt technical and personnel prerequisites in order to set up efficient Port State Control in the Black Sea as well as in the Caspian Sea; Support national and regional institutions in charge of performing relevant tasks such as safety, security and environmental supervision and advise on implementation of international conventions; Establish best practice models regarding safety, security and environmental protection from ships in selected ports in involved TRACECA countries utilising European experience; Support priority project identification and promote financing schemes for private sector participation	Compliance with the expected results		Lack of harmonized legal systems for the implementation of international conventions. Lack of cooperation between countries. Different national interpretation of the requirements of international conventions.

Results	Indicators of achievement	Sources of Verification	Risks and Assumptions
<p>and development of PPP platforms.</p> <p>RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection.</p> <p>RESULT 2. Support implementation of the relevant maritime legislative framework and international conventions, as well as the use of VTS systems in Maritime Administrations and Port Authorities.</p> <p>RESULT 3. Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems.</p> <p>RESULT 4. Identification of model ports and best practices, awareness raising and training in Port State Control activities, MARPOL implementation (reception facilities), ISPS Code implementation</p> <p>RESULT 5. Support to regional cooperation in the field of maritime safety and security</p> <p>RESULT 6. Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP).</p> <p>RESULT 7. Communication and awareness raising activities on maritime safety, security and environmental protection are developed.</p>	<p>TA (TA) provided. National legislation and guidelines for the implementation verified.</p> <p>TA provided. National legislation and guidelines for the implementation verified. Technical advice on the use of VTS provided.</p> <p>TA provided. Training modules. Evidence of participation in training events.</p> <p>TA provided. Model ports selected. Best practices confirmed with PSC, MARPOL and ISPS Code requirements. TA provided ToR of Working Group on regional cooperation. TA provided. List of prioritised maritime projects and corresponding "Fiche".</p> <p>TA provided. Dissemination Plan and Website.</p>	<p>National legislation and operational arrangements compared with convention requirements and guidelines. National legislation compared with convention requirements. Inspection of VTS operations and comparison with EU standards.</p> <p>Course material and evaluation of course comparison with EU standards.</p> <p>Model port practice comparison with relevant port practice in EU.</p> <p>Evidence of exchange of information and operational activities.</p> <p>Proposed projects and financing schemes comparison with EU experiences.</p> <p>Comparison of information plan and website with EU project websites.</p>	<p>Sufficient level of commitment of the beneficiary countries to transpose and implement effectively the international conventions and legislation;</p> <p>Sustainability in common regional priorities in the maritime affairs;</p> <p>Technical support from the Maritime Authorities and Port Authorities and the short-term local experts; Co-ordination, involvement and participation of the concerned institutions. Political willingness to support the regional cooperation. Sufficient level of cooperation among different ministries.</p>

Activities	Means	Cost	Risk and Assumptions
<p>Activity 1.1: Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's (all countries)</p> <p>Activity 1.2: Depending on the findings of Activity 1.1, prepare and implement a plan for transposition, when necessary, of the reviewed international conventions and regulations into national legislation</p> <p>Activity 1.3: Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"</p> <p>Activity 2.1: Assess and support the rationalization of national maritime organizations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS and PSC MoU's)</p> <p>Activity 2.2: Assess needs and priorities for the use and operation of VTS systems in major national ports</p> <p>Activity 3.1: Prepare a Training Plan based on relevant issues for training and capacity building, and in coordination with relevant training institutes in beneficiary countries</p> <p>Activity 3.2: Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how.</p> <p>Activity 4.1: Support the development of relevant</p>	<p>IMO document "Status of IMO conventions". Review of national legislation.</p> <p>Technical Assistance.</p> <p>Meetings with the maritime Administrations</p> <p>TA of international and short-term experts</p> <p>Visits to the VTS systems. Meetings with the authorities in charge of VTS.</p> <p>TA of international and short-term experts. Visits to training institutes and meetings with training personnel.</p> <p>Courses and workshops.</p> <p>TA of international and short-term experts. Visits and meetings to the main ports of the beneficiary countries.</p>		<p>Political instability in some of the beneficiary countries or in the region.</p> <p>Frequent administrative changes in some beneficiary countries which cause a loss of the know-how and dispersion of the professionals</p> <p>Lack of cooperation between the beneficiary countries at the regional level.</p> <p>Different legal and organisational bases of the beneficiaries' Authorities involved.</p> <p>International rules and regulations are subject to national variations and interpretations.</p>

Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea (SASEPOL)



<p>inspection procedures and identify best practice ports ensuring efficient PSC in each country</p> <p>Activity 4.2: Assessment of waste handling systems in major national ports (compliance with MARPOL 73/78 and EC 2000/59 Directive) and development of Port Waste Management Plans</p> <p>Activity 4.3: Further assessment, identification of best practice ports and support to the implementation of ISPS Code</p> <p>Activity 5.1: Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)</p> <p>Activity 5.2: Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations</p> <p>Activity 6.1: Elaboration of “Project Fiches” or similar documents containing specification for relevant feasibility of pre-feasibility studies.</p> <p>Activity 7.1: To provide the Administrations and interested public with information and relevant documentation related to the activities of the project</p>	<p>TA of international and short-term experts. Visits and meetings to the major waste management installations.</p> <p>Visits of experts to the main ports and discussions on the port security arrangements. TA of international and short-term experts.</p> <p>TA of international and short-term experts.</p> <p>TA of international and short-term experts.</p> <p>TA of international and short-term experts.</p>		
--	--	--	--

Appendix B. Status of Implementation of IMO Conventions

	Azerbaijan	Bulgaria	Georgia	Kazakhstan	Romania	Russian Federation	Turkey	Turkmenistan	Ukraine
IMO Convention 48	x	x	x	x	x	x	x	x	x
IMO amendments 91		x	x		x	x			
IMO amendments 93	x	x	x		x	x	x		
SOLAS Convention 74	x	x	x	x	x	x	x	x	x
SOLAS Protocol 78		x		x	x	x			x
SOLAS Protocol 88	x	x	x	x	x	x			x
Stockholm Agreement 96									
LOAD LINES Convention 66	x	x	x	x	x	x	x	x	x
LOAD LINES Protocol 88	x	x		x	x	x	x		
TONNAGE Convention 69	x	x	x	x	x	x	x	x	x
COLREG Convention 72	x	x	x	x	x	x	x	x	x
CSC Convention 72		x	x	x	x	x			x
CSC amendments 93		x			x				
SFV Protocol 93		x							
STCW Convention 78	x	x	x	x	x	x	x	x	x
STCW-F Convention 95						x			x
SAR Convention 79		x	x		x	x	x		x
STP Agreement 71									
STP Protocol 73									
INMARSAT Convention 76		x			x	x	x		x
INMARSAT OA 76		x			x	x	x		x
INMARSAT amendments 94		x					x		x
INMARSAT amendments 98		x			x		x		
IMSO amendments 2006									
FACILITATION Convention 65	x	x	x		x	x			x
MARPOL 73/78 (Annex I/II)	x	x	x	x	x	x	x	x	x
MARPOL 73/78 (Annex III)	x	x	x	x	x	x		x	x
MARPOL 73/78 (Annex IV)	x	x	x	x	x	x		x	x
MARPOL 73/78 (Annex V)	x	x	x	x	x	x	x	x	x
MARPOL Protocol 97 (Annex VI)	x	x		x	x				x
London Convention 72	x	x				x			x
London Convention Protocol 96		x	x	x					
INTERVENTION Convention 69		x	x			x			x
INTERVENTION Protocol 73		x	x			x			
CLC Convention 69	x		x	x				x	
CLC Protocol 76	x		x			x			
CLC Protocol 92	x	x	x		x	x	x	x	x

	Azerbaijan	Bulgaria	Georgia	Kazakhstan	Romania	Russian Federation	Turkey	Turkmenistan	Ukraine
FUND Convention 71						X			
FUND Protocol 76						X			
FUND Protocol 92		X	X			X	X		
FUND Protocol 2003									
NUCLEAR Convention 71		X							
PAL Convention 74			X			X			X
PAL Protocol 76			X			X			X
PAL Protocol 90									
PAL Protocol 02									
LLMC Convention 76	X	X	X		X		X		
LLMC Protocol 96		X			X	X			
SUA Convention 88	X	X	X	X	X	X	X	X	X
SUA Protocol 88	X	X	X	X	X	X	X	X	X
SUA Convention 2005									
SUA Protocol 2005									
SALVAGE Convention 89	X		X		X	X			
OPRC Convention 90	X	X	X		X		X		
HNS Convention 96						X			
OPRC/HNS 2000									
BUNKERS CONVENTION 01		X				X			
ANTI FOULING 01		X			X				
BALLASTWATER 2004									
NAIROBI WRC 2007									
HONG KONG CONVENTION ON SHIP RECYCLING (2009)									

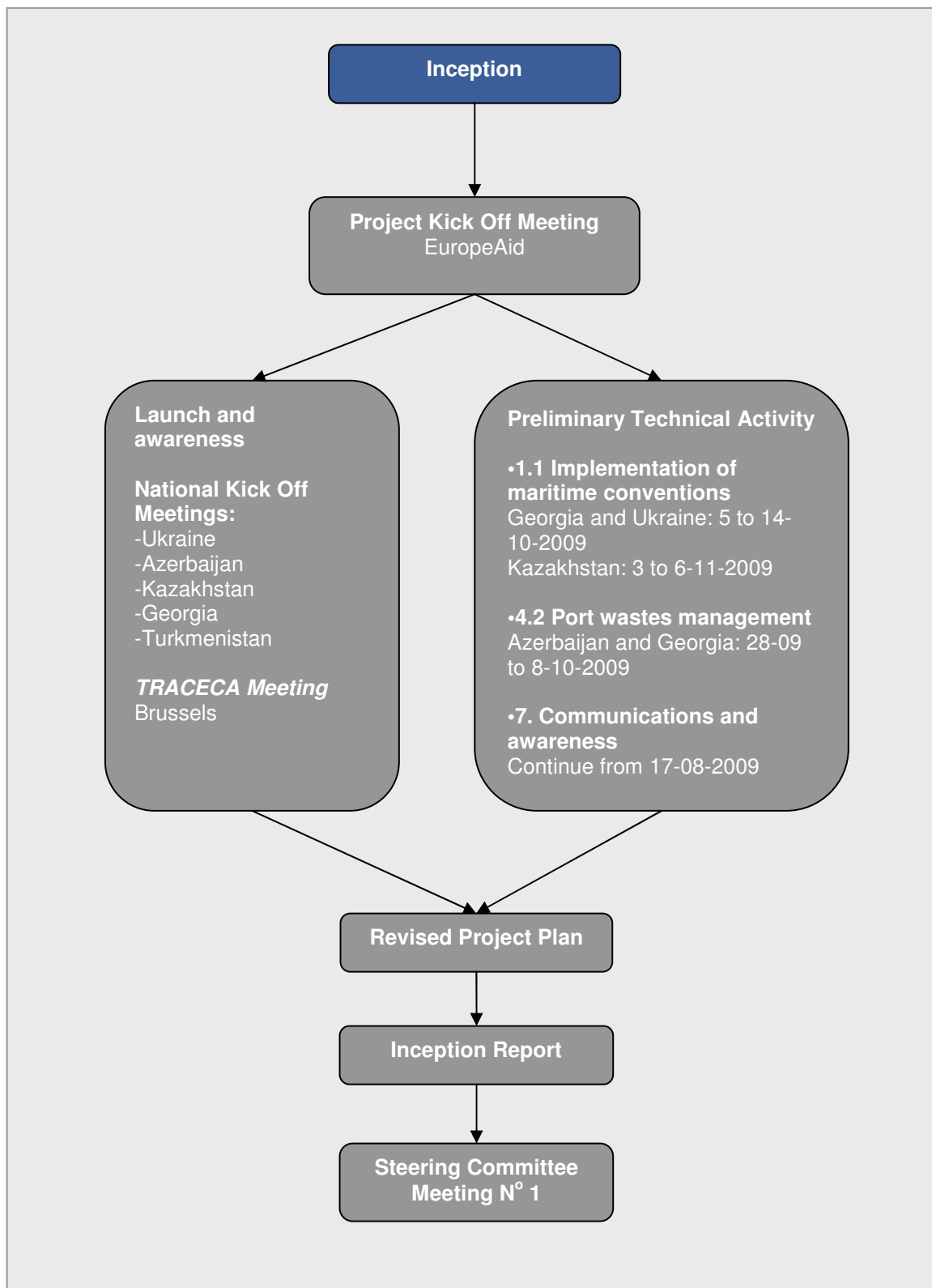
Source: IMO website, October 2009

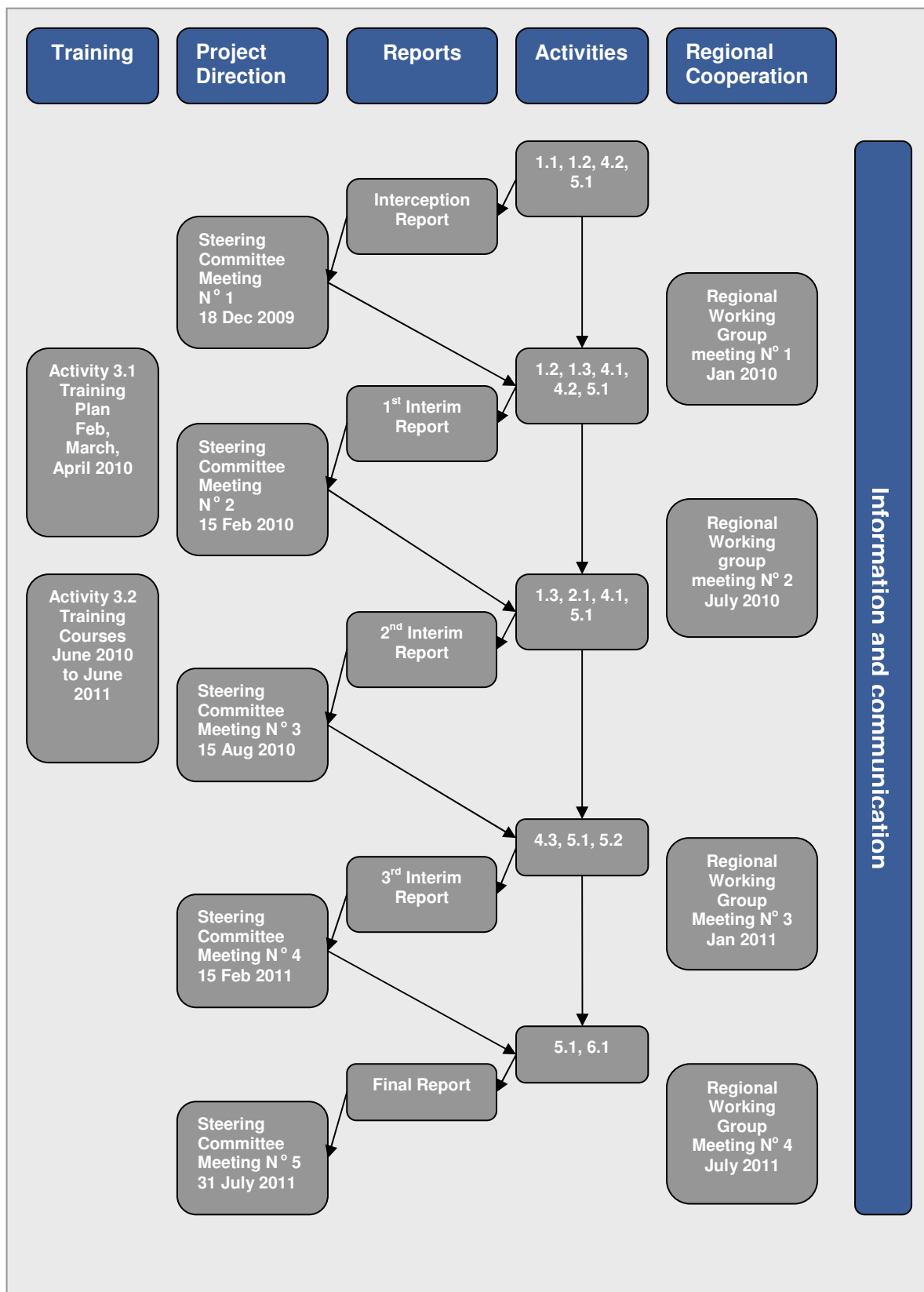
Appendix C. Activity Plans and Staff Resources

Figure 5.2 shows the relationship between the activity tasks and the order in which they will be undertaken.

International Experts – Roles	National Experts - Roles
<p>Key Expert 1: Team Leader Role:</p> <ul style="list-style-type: none"> ➤ Overall coordination of project activities ➤ Coordination of activity 1 	<p>National Coordinators Role:</p> <ul style="list-style-type: none"> ➤ Support to the international experts, to facilitate the meetings of experts with the authorities, ➤ to make internal arrangements for the collection of information
<p>Key Expert 2: Maritime Safety and Security Role:</p> <ul style="list-style-type: none"> ➤ Coordination of activities 2 and 4 ➤ Participation in activities 5 and 7 	<p>Local experts Role:</p> <ul style="list-style-type: none"> ➤ To provide technical support to the international experts, ➤ to collect information at national level ➤ To elaborate information notes and reports for the team leader and the international experts. ➤ To support in the translation during meetings of international experts and national authorities and institutions
<p>Key Expert 3: Training Role:</p> <ul style="list-style-type: none"> ➤ Coordination of activity 3 ➤ Participation in activities 5 and 7 	
<p>Non Key Expert on projects financing Role:</p> <ul style="list-style-type: none"> ➤ Coordination of activity 6 	
<p>Other non key experts: several specialisations Roles: Provide advice on:</p> <ul style="list-style-type: none"> ➤ International maritime conventions ➤ Maritime Administrations ➤ Maritime Safety ➤ Maritime Security; ➤ Port State Control; ➤ Wastes management; ➤ Vessel Traffic Services; ➤ Others as requested by the Team Leader. 	

Figure 5.2: Activity Flow Chart for the Project Overall





Appendix D. Records of Meetings

Many meetings have been held in the inception period. Those especially key to project development and planning are noted in Table 1 below. Minutes of the 25 April, 29 May, 30 May, 4 June and 16 June meetings follow.

Table 1 Key Meetings Held in the Inception Period

Date	With Whom	Event / Purpose
5 August 2009	EuropeAid Brussels	Kick-off meeting
27 August 2009	Representatives from beneficiary institutions	Kick off meeting for Ukraine
8 September 2009	Representatives from beneficiary institutions	Kick off meeting for Azerbaijan
16, 17 and 18 September 2009	Representatives from beneficiary institutions	Kick off meeting for Kazakhstan
6,7 and 8 October 2009	Representatives from beneficiary institutions	Kick off meeting for Georgia
12, 13 and 14 October 2009 In Odessa	<ul style="list-style-type: none"> • Black Sea Scientific and Research Institute • Information and Analytical Centre at Maritime Administration • State Maritime Fleet Inspectorate • Seafarers Training and Certification Inspectorate • Deputy Head of MRCC • Chief Ecologist of Odessa Merchant Port 	<p>Providing information about the project objectives and activities</p> <p>Discussions on the activities of the institutions in relation to the project</p> <p>Collecting information for the concerning project activity 1.1 related to the implementation of IMO conventions</p>

Kick-off Meeting Brussels, 5 August 2009

Development of Security Management and Maritime Safety and Ship Pollution Prevention for the Black Sea and Caspian Sea - EuropeAid/127221/C/SER/Multi

List of Participants

1. Roel Hoenders - Project Task Manager, EuropeAid Co-operation Office, Europe, Mediterranean and Middle-East
2. Barbara Bernardi -, EuropeAid Co-operation Office, Europe, Mediterranean, and Middle-East
3. Katharina Erler -, EuropeAid Co-operation Office, Europe,, Mediterranean, and Middle-East
4. Lena Nielsen - Project Task Manager, EuropeAid Co-operation Office Europe, Southern Mediterranean, Middle-East & Neighbourhood Policy
5. Andreas Boschen - DG Transport & Energy. Unit G1 Maritime Transport, Regulatory Questions, Maritime Safety & Seafarers
6. Fernando Pardo - Mott MacDonald Ltd, Team Leader
7. Wim Verheugt - Mott MacDonald Ltd, Project Director

Welcoming remarks

Mr. Hoenders opened the meeting. Reviewing the draft agenda that the contractor had sent, he noted that letters would be sent to the EU Delegations and project partners upon receipt of the signed contract. **Mr Verheugt** confirmed that the contract had been signed on July 31 and noted that a start-up date in the middle of the summer vacation period would lead to some delays to the proposed the Inception Phase activities as most of the project beneficiaries would still be on leave till the second half of August. **Mr Hoenders** then asked **Mr Verheugt** to proceed raising the issues on the agenda after a general introduction of the participants to this meeting was done,

1. Background

Mr Hoenders summarised the project by stating that the project is an integral part of TRACECA activities based on the multilateral agreement and action plan that the EU had signed with the 13 partner countries. Turkmenistan has yet to sign the agreement and Iran is contemplating acceding. The TRACECA comprises three distinct geographical regions: Central Asia, Caucasian region and Turkey/Bulgaria and Romania). The PS is based in Baku and a new SG has been appointed (Mr Satybaldiye) at the 7th governmental council meeting. Mr Satybaldiye is now 2 weeks in function. The PS is coordinating all TRACECA activities, policies and projects. A three days meeting will be held in Brussels (23-25 September 2009) in order to discuss with next TRACECA Projects programming period (2010-2011). In each country national secretariats have been established that will serve as the project's point of entry. Most of these secretariats are part of the Ministry of Transport. It would be important to request their corporation to appoint a coordinator-cum-counterpart with the Maritime Administration of each country.

2. Review of ongoing or completed projects

Mr Hoenders informed the contractor about the outcome of the Maritime Links project that has just been completed. This project was solely focussing on the Black Sea and included government agencies of Turkey, Romania and Bulgaria as beneficiaries. Its scope was much

wider than the Maritime project. The contractor (Royal Haskoning) proposed the SASEMAS security system which concept has been embraced by the beneficiary countries to varying degrees - with Georgia being very positive. He suggested that the contractor would establish what the current views are of Ukraine and Georgia with regard to the outcome of the Maritime Links project and SASEMAS.

Mr Hoenders encouraged the contractor to consider the participation of EMSA during upcoming events.

Mr Boschen referred to the Maritime Training project that had been completed in December 2007 and involved institutions in Ukraine and Georgia. It would be good to check the website on what has been established.

Mrs Nielsen referred to the CASMAP project on water quality in the Caspian basin that has just been completed by a consortium led by DHV (Winfried Pietersen as PD). Russia and Turkmenistan have been very active in this project. She also referred to the Waste Governance project for which the RfP has just been sent out. Other projects of note are the Water Governance and the Environmental Collaboration for the Black Sea, both executed by Mott MacDonald. Both **Mrs Nielsen** and **Ms Erler** referred to the PPRD project that will commence next year.

3. IMO

Mr Pardo mentioned the interest of IMO in the project and confirmed that meetings had been set up for later this week at the IMO HQ. **Mr Boschen** welcomed if the contractor ensured liaison with Marten Koopmans, EU Representative to the IMO.

Mr Pardo commented on the suite of conventions that the contractor could address. **Mr Boschen** noted that all conventions are important but that the contractor had to focus in view of the resources available.

4. Key focus of project

Mr Hoenders noted that a key element of the project was to align pertinent maritime regulations within the domain of transport, safety and security with the environmental acquis. He cited the EU establishing a black list of aviation companies to prove how far the EU was prepared to go with maritime safety issues being given equal significance. As they are trans-boundary in nature and hence could negatively affect environmental conditions of EU member states. In his view priorities should be given to increasing the level of knowledge and awareness of maritime safety and security issues by the maritime administrations which would require the contractor to mount a significant training programme. He is aware that there is an inherent risk that trainees may not continue their career with maritime administrations, but this is an acceptable risk. Over the last years the EU noted significant improvements in understanding and awareness of maritime issues especially with the Turkish authorities.

He recommended that the contractor visit the Mediterranean Safemed project: <http://www.safemed-project.org/home> to review course material that is available from the website. He recommended that the contractor carefully reviews proposals for trainees to ensure that the same individuals are not being trained again.

Mr Verheugt expressed the hope that most of the training programmes will be carried out in the region with the input of the Odessa-based State Maritime University who will be a sub-contractor to the consortium. This would be the most cost effective way and also helps to suppress the expectations that the trainees consider a visit to an EU country as a perk (in view of the per diems they hope to receive). In addition, he noted that it is increasingly more difficult to secure Schengen and UK visas. **Ms Bernardi** noted that EuropeAid office could assist in applying for visas. **Mr Hoenders** suggested that interested persons should apply on the project website for training courses and provide a justification. The TRACECA PS should be asked to endorse the proposed trainees.

Mr Hoenders proposed the contractor to organise a kick off meeting after visiting the PS and meeting the TRACECA SG. **Mr Verheugt** proposed to organise national kick-off meeting and organise the regional meeting back to back with the first steering committee meeting,

Ms Bernardi mentioned that a working group of maritime issues is being considered as part of the TRACECA operations to commence activities from Jan 2010.

5. Regional Office

Mr Verheugt then commented on the contractor's proposal to establish the main regional office in Odessa. The ToR allowed the contractor to put forward a proposal for the project's main office. With Key Expert #3 (Training Expert) based in Baku, the contractor felt that it would be appropriate to have an office in one of the Black Sea ports. With several maritime organisations based in Odessa, moreover, with the State Maritime University, the contractor's partner based in Odessa, it was appropriate to establish the office in Odessa. Also, the contractor has worked over the last nine years almost continuously in Odessa and was familiar with the project logistics operating from this town.

Ms Bernardi endorsed this proposal stating that Odessa would be better than Kyiv. She noted that Odessa port is not designated as a TRACECA port, but that would not impose a problem. In terms of offices in Baku, there would be no space available within the premises of the PS in Baku and it would be any way better for the contractor to be having its independent facilities.

6 Project title, acronym, and press release

Mr Pardo then commented on the project long title and suggested that it would be good for the project to come up with an acronym and shorter title. The contractor would prepare a proposal. The contractor would also submit for approval of the project manager a draft press release. On logos, **Ms Erler** commented that the latest visibility guidelines would not allow contractors to use of a project logo on their business cards and project documents and outputs. The TRACECA logo may be used instead,

7 Involvement of EU Delegation to Ukraine

On the issue of involving the EU Delegation in Kyiv, **Mr Hoenders** confirmed that this project would remain managed out of Brussels and that there would be no immediate need to have the EU Delegation involved. Contact details of the relevant sector staff in the Delegation would be passed on to the contractor, **Mr Verheugt** welcomed this so as to expedite project registration with the Ministry of Economy Once the project is registered the Team Leader could open a bank account in the name of the project. In the meantime the contractor will require the Project Director to open a personal account, which is not in line with the company's policies.

8 Non-key experts

Mr Verheugt then proposed procedures for seeking approval of non-key experts and that the contractor intentions are to submit CVs in a number of batches (instead of seeking approval for each individual expert). The submission will include brief outline of tasks for his review. He noted that in the contractor's fees backstopping is taking care for (that would cover inputs by various staff from the contractor's treasury, legal and tax sections as well as the contractor's project manager – Phil le Gouais). With contractor's junior staff aspiring technical engagements on international projects **Mr Verheugt** will be submitting the CV of Mr Le Gouais whilst ensuring that he will submit time charges to different sub codes thereby differentiating between his backstopping services and his technical inputs.

9. Project partners and role of other riparian states

Mr Hoenders welcomed the involvement of participants from Bulgaria, Romania and Turkey during meetings and regional training events. Costs for their participation can be covered from the project incidental budget. Experts and government officials from Russia can also be invited; their costs, however can not be covered as Russia has not signed the multi-lateral agreement.

Mr Boschen remarked that he experiences good cooperation by Russia in the Helcom Convention and in activities related to the Paris Protocol.

Mr Hoenders then thanked the participants for their contributions and closed the meeting.



Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea

Развитие управления морской безопасностью, в т.ч. охраной от терроризма, предотвращение загрязнений с судов для Черного и Каспийского морей

Regional Action Programme 2006: Project EuropeAid/127221/C/SER/Multi
Tel/fax: +380 48 732-22-68 E-mail: pardo.fernando@mottmac.com

Kick-off Meeting for Ukraine, 27 August 2009

1 Opening of the meeting

The meeting was opened by the Rector of the Odessa National Maritime University (ONMU) Prof. Iryna Morozova who welcomed the participants and explained the objectives of the project and the support of the University to the project activities. Joining the Rector at the chairman's table was Capt Fernando Pardo (Team Leader for the project), Dr. Sergey Rudenko (Vice Rector of the ONMU), and Mr. Victor Sudarev (Deputy Director of the Department of Marine and River Transport of Ukraine).

A list of participants from the authorities concerned is attached to this document as Annex I. A local Television Channel from Odessa was present and media reports regarding the meeting have been screened on a local Odessa television channel several times on the 28th, 29th and 30th August.

2 Project overview

The Team Leader explained, with the assistance of a Microsoft PowerPoint presentation, the project structure, objectives and activities. The financing of the European Commission and the project management role of EuropeAid were emphasized. The European Union flag was displayed in the meeting room.

3 Introduction to consortium members

A brief introduction was given about the members of the consortium and copies of the logos of its members were displayed in the wall of the room

This point raised the interest of the participants that asked for additional information. One specific question related to ISO standards followed by Mott MacDonald. The Team Leader (referring back to the PowerPoint presentation) highlighted the organisation's credentials and added that Mott MacDonald has had a quality management system in place since 1989 and are accredited to various ISO standards, under this management system.

4 Preliminary plan of activities

The general plan of activities was presented by the team leader, followed by a more detailed description of the foreseen training activities by Mr John Ostergaard (Project Key Expert on training).

This point of the agenda raised great interest among the participants as the support of the University in this project will be mainly focused on the provision of training facilities and instructors for the courses.

The questions mainly focused on drawing out more specific information about timing of the courses and their participation as instructors. The team's general response was that it is too early to have a detailed programme for the delivery of the courses that once such a programme has been developed it will be distributed to relevant partners along with the project activities.

The team presented the planning of project activities which includes eleven courses or workshops between April 2010 and June 2011.

Following the development of a detailed plan of courses by the Training Expert, we will be able to negotiate with the University over the organization of the courses in Ukraine. The Team Leader also explained that, as the project is for five countries, the training activities will be distributed between the beneficiary countries.

5 Questions and answers

The meeting continued with an animated interchange of comments and opinions that gave to the Team Leader the opportunity to put emphasis on the importance of cooperation and collaboration between the international experts, national authorities and local experts. He underlined that the active participation of Country Coordinators and local experts is very important for the success of the project

Question 1: What international and country organizations and authorities are going to be informed about Project's results?

Answer 1: The following international and country organizations will be informed about the results: European Commission Office, all the Participants of the Project, National and Local Authorities of the Beneficiary Countries, Consortium members.

Question 2: What organization is the official Beneficiary of the Project on the territory of Ukraine?

Answer 2: The official Beneficiary of the Project on the territory of Ukraine is Ministry of Transport and Communications.

Question 3: Who exactly will be trained on the Courses in the framework of the Project?

Answer 3: Courses will be provided for staff of the Maritime Authorities, Port employees, representatives of Maritime Organizations and senior year students of related Faculties.

Question 4: What documents will the participants of the Courses obtain?

Answer 4: The attendants of the Courses will obtain Project Certificates, but it is still under the discussion.

6 Closing of the meeting

The meeting was closed at 12:45 hrs by the Team Leader with the best wishes for the success and practical results from the implementation of this project.

The meeting was followed by a lunch for the participants where informal discussions continued in a friendly atmosphere.

Odessa, 30 August 2009
Fernando Pardo
Team Leader

ANNEX I: Agenda

Development of Security Management and Maritime Safety and Ship Pollution Prevention for the Black Sea and Caspian Sea

Agenda for the kick-off meeting in Odessa, Ukraine

Date of the meeting: 27 August 2009 at 10:00 hrs

Place of the meeting: Odessa National Maritime University (ONMU)

Items of the agenda:

- 1 Welcome and opening of the meeting;
- 2 Introduction of participants;
- 3 Project overview, PPT presentation;
- 4 Information about consortium members (brief presentation about Mott MacDonald);
- 5 Project activities and distribution of responsibilities between the experts;
- 6 Preliminary plan of activities;
- 7 Inception report;
- 8 Other reports and documents to deliver;
- 9 Questions and answers;
- 10 Closing of the meeting.

Development of common security management, maritime safety
and ship pollution prevention for the Black Sea and Caspian
Sea (SASEPOL)



Mott MacDonald (UK)
Ramboll Danmark A/S (Denmark)
Tethys Environmental Consulting (UK)
Oil Spill Training Company Limited (UK)
Milieu Limited (Belgium)

ANNEX II. List of participants

№	Name	Position
1	Morozova Iryna	Rector of Odessa National Maritime University
2	Sudarev Victor	Deputy Director of the Department of Marine and River Transport of Ukraine
3	Kuzmenko A.	Head of State Ecologic Inspection in Environment Protection in Northern-Western Region of the Black Sea
4	Rudenko Sergey	Country Coordinator of the Project Vice Rector of the ONMU
5	Vorobyov Yuriy	Head of Department "Ship Design Theory" at ONMU
6	Cap. Fernando Pardo	Team Leader of the Project
7	Grinchuk I.	Deputy Chief Sanitarian on Water Transport
8	Zaderniy Igor	Deputy Chief Sanitarian on Water Transport
9	Yakovischenko Yuriy	Vice Chief of Illichevsk Port in sphere of labour and ecology protection
10	Lyashenko Aleksey	Vice Chief of State Shipping Inspectorate
11	Nizavitin Stanislav	Captain of Illichevsk Port
12	Antonov Alexandr	Captain of Odessa Port
13	Efimenko Ivan	Captain of Knerson Port
14	Chaiskovstiy Leonid	Captain of Yujniy Port
15	Chekhanovskiy Vladimir	President of International Academy of Ecology Safety
16	Grischenko Igor	Vice President of International Academy of Ecology Safety
17	John Ostergaard	Key Expert 3 of the Project
18	Semina Nataliya	Head of Department Environment Pollution
19	Dubov Yuriy	Vice President of International Academy of Ecology Safety
20	Borovskiy I.	Vice Chief of Odessa Port in sphere of environment protection
21	Gogunskiy Victor	Head of the Department "Safety Management" at Odessa National Polytechnical University

22	Shahov Anatoliy	Dean of Law Faculty at ONMU
23	Balobanov Alexandr	Head of the Department of "Marine Law" at ONMU
24	Voloshyn Andrey	Head of the Department "Security and Safety at Sea" at ONMU
25	Shungin Serghey	Department "Security and Safety at Sea" at ONMU
26	Krutogolov V.	Director of "MARPOL-Service"
27	Sidelnikov V.	Chief of Port State Control Inspectorate
28	Buza N.	Assistant Chief of Port State Control Inspectorate
29	Medvedev Stanislav	Vice Head of R&D Institute at ONMU
30	Yurchenko A.	Inspector of State Marine Inspection
31	Glovatska Svitlana	Head of International Department at ONMU



Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea

Развитие управления морской безопасностью, в т.ч. охраной от терроризма, предотвращение загрязнений с судов для Черного и Каспийского морей

**Regional Action Programme 2006: Project EuropeAid/127221/C/SER/Multi
Tel + 380487322268, Mobile: +380504153878 E-mail: pardo.fernando@telefonica.net**

Kick-off Meeting for Azerbaijan, Baku 8 September 2009

1 Opening of the meeting

The meeting was opened by the Deputy Director of the Republic of Azerbaijan State Maritime Administration (RASMA), Captain Shahlar Mammadov who introduced the participants representing his institution and others from the Seaport Authorities and Harbour Master. The Team Leader of the project, Capt. Fernando Pardo introduced himself, welcomed the participants and explained the objectives of the project and the important role of RASMA in supporting the project and participating in its activities.

The following attendees were present at the meeting:

- Capt, Shahlar Mammadov, Deputy Head of the Republic of Azerbaijan State Maritime Administration (RASMA);
- Capt. Vamik Rahimov, Head of Maritime safety Department of RASMA;
- Mr. Ahmad Ismayilov, Head of the Department of Law ,Human Resources, International relations and Conventions;
- Capt. Ehtiram Rahimov, Head of Crew Department;
- Mr. Arif Rezanov, Chief Consultant, Maritime Safety Department;
- Mr. Rafail Mirgulanov, Commercial service port of Baku;
- Babec Tagiyev, Head of the Ecology Department, Port of Baku; and
- Capt. Fernando Pardo, Team Leader who chaired the meeting.

Whilst invitations were sent out, the TRACECA representatives did not attend the meeting.

As all of the participants had a good working knowledge of English, an interpreter was not required. However the supporting presentations were displayed on two different screens in both English and Russian.

2 Project overview

The Team Leader, Fernando Pardo, explained the project structure, objectives and activities with the assistance of a Microsoft Power Point presentation (as described above),

The financing of the European Commission and the project management role of EuropeAid were emphasized.

As a matter of interest for Azerbaijan, it was mentioned that the Key Expert for the training programme will be based in Baku.

3 Introduction to consortium members

A brief to the members of the consortium was provided and an overview of their role in providing experts for various activities in the beneficiary countries was given. The role of the national coordinator was also introduced. The members of the consortium are:

- Mott MacDonald (UK)
- Ramboll Danmark A/S (Denmark)
- Tethys Environmental Consulting (UK)
- Oil Spill Training Company Limited (UK)
- Milieu Limited (Belgium)

The Team Leader explained that Mott MacDonald is the Project Coordinator and, among other experts, provides the Team Leader who is based in Odessa. The permanent presence of a Key Expert in Baku was reiterated.

4 Preliminary plan of activities

The list of activities included in the project overview presentation was explained in greater detail and a preliminary plan of activities was presented to the RASMA and port participants.

The Deputy Director of RASMA was requested further information on the logistics of expert's activities, how these are to be carried out and the requirements for participation of the national institutions.

Mr Pardo responded that project activities will be developed jointly by international and local experts with the expectation of fostering a strong collaboration and interchange of experiences. In general terms three key experts and seven non key experts will visit the five countries and develop the project activities with the support of and in collaboration with the maritime authorities and local experts

Participants displayed considerable interest in the training programme. It was explained that the team of experts is now developing a detailed plan of courses and workshops. Once this programme has been developed it will be distributed to relevant partners along with the project activities and we will start the organization of training.

A preliminary plan of project activities was presented which includes eleven courses or workshops between April 2010 and June 2011.

The Team Leader also explained that, as the project develops, the training activities will be distributed between the five beneficiary countries.

5 Questions and answers

The participants in the meeting expressed their satisfaction at receiving direct information about the project, making comments on the importance of the planned activities for the Maritime administration and Port Authorities.

The Deputy Director of the Maritime Administration stated that they are ready to collaborate with the international experts for the best implementation of the project and he requested more information on the practical aspects for the collaboration of his staff.

The Team Leader took the opportunity to give more details about the practical and economic aspects of the project. This and other questions of interest are summarized as follows:

Question 1: Request for more information about the practical and economic aspects for the collaboration of experts from Azerbaijan in the activities of the project.

Answer 1: The terms of reference document includes a number of working days over the two year duration of the project implementation. These days are distributed between Senior and Junior experts. Experts will be paid for each day worked on the project.

Question 2: How will local experts be selected?

Answer 2: The Team Leader, the National Coordinator and other members of the consortium, in cooperation with the country authorities will identify potential candidates. Candidates will be asked to submit their CVs which will be evaluated by the above mentioned group. The most relevant CVs will be submitted to the European Commission for consideration and approval where appropriate. The Member of the consortium responsible for the local experts in the country will contract the approved expert directly.

Question 3: The Head of Maritime safety Department of RASMA Capt. Vamik Rahimov asked if they can propose subjects of interest for Azerbaijan to be included in the training programme, for instance training of PSC Officers or the modern technologies in navigation AIS and the LRIT system.

Answer 3: The project experts are open to the suggestions received from the concerned authorities of the beneficiary countries in particular when they are relevant to the project or cover a specific need.

Question 4: Why Odessa has been selected to be the main office of the project?

Answer: Odessa was chosen as main office in recognition of its strategic importance in the Black Sea region, and the number of ports near Odessa. In addition the lead contractor has worked extensively in Odessa over the last ten years and has built up a

strong rapport with the local authorities. In addition, the Odessa State Maritime University, one of the consortium's key sub-consultants for training activities, is based in Odessa. A second office covering the needs of the countries on the Caspian Sea will be established in Baku.

Question 5: The participants were interested in the duration of the project and the commencement of activities.

Answer 5: As mentioned during the presentation, the project started on the 3rd of August 2009 and will finish in July 2011. Some preparatory activities are currently ongoing, such as the kick off meetings, and it is intended that technical work starts immediately after the kick off meeting in each country.

6 Closing of the meeting

Before closing the meeting, the Team Leader emphasised the importance of cooperation and collaboration between the international experts, national authorities and local experts. He underlined that the active participation of Country Coordinators, Maritime Administration, Port Authorities and local experts is very important for the success of the project. The Team Leader expressed his best wishes for the success and practical results from the implementation of this project.

Baku, 8 September 2009
Fernando Pardo
Team Leader



Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea

Развитие управления морской безопасностью, в т.ч. охраной от терроризма, предотвращение загрязнений с судов для Черного и Каспийского морей

Regional Action Programme 2006: Project EuropeAid/127221/C/SER/Multi
Tel + 380487322268, Mobile: +380504153878 E-mail: pardo.fernando@mottmac.com

Kick-off Meeting for Kazakhstan, Astana and Aztau 16, 17 and 18 September 2009

1 Meetings

As the maritime authorities involved in the project are located in Astana and the port of Aktau, meetings were organized in both towns, rather than holding an individual Kick off meeting. As a result this report includes summarises individual meetings with the following authorities and training institutions:

- Department of Strategic Planning and International Cooperation, Ministry of Transport and Communications,
- Aktau International Sea Commercial Port.
- Kazakh Academy of Transport and Communication Aktau College
- The Caspian State University of Technologies and Engineering named after Sh. Esenov.

1.1 Meeting at the Department of Strategic Planning and International Cooperation. Ministry of Transport and Communications (16/09/2009).

The team leader and the Training Expert, J. Ostergaard met with the Director of the Department, Ms S. Rakhimbekova. Several representatives from the Ministry of Transport and two specialists attended the meeting. List of participants attached as Annex I

The Team Leader introduced the project and its activities and the training expert Mr J. Ostergaard explained the training programme.

Ms. Rakhimbekova asked if a Regional Project Meeting would be arranged to invite all the beneficiary countries to present their experiences and to exchange opinions about the project implementation. The Team Leader, Mr Pardo, answered that while the proposal is interesting, we are still in an early phase of the project activities. The suggestion will be considered and a regional conference will be organised when appropriate.

The representatives of the Ministry of Transport were interested in the technical aspects of the training programme and also the locations of courses. The training expert stated that we are developing a detailed training programme and the courses

will be organized in the beneficiary countries individually. However it is likely that some courses will be at a regional level with participants from all the beneficiary countries.

1.2 Meeting at the Aktau International Sea Commercial Port. (17/09/2009)

The meeting was attended by the Harbour Master, Capt. Evgeny N. Lamzin and the Deputy Chief of Commercial Cargo Transshipment, Mr Sergey Tolkach.

The Team Leader, F. Pardo and the Training Expert, J. Ostergaard represented the project.

The Team Leader again introduced the project and its activities and the training expert Mr J. Ostergaard explained the training programme.

The discussions were mainly focussed on the importance of training on oil pollution prevention and ship inspections. The Harbour Master authority is responsible for carrying out ship inspections on behalf of the Ministry of transport and communications.

Similar information to that of the meeting in Astana was provided by the training expert with respect to the training programme and distribution of courses in all beneficiary countries. The Team Leader commented on the importance of the participation of the Port of Aktau in the courses, both in terms of nominating trainees and also identifying local experts.

The Harbour Master confirmed his interest in the project and willingness to cooperate in the project activities. The Team Leader stated that during the next few months, experts from the project will come to Aktau to meet with port staff to progress technical project activities.

1.3 Meeting at the Maritime Academy (17/09/2009)

This meeting was arranged by Ms Elena Pissanaya from TRACECA (Almaty) in recognition of the importance of maritime academies for the training programme component of the project.

The meeting was attended by:

- Rector Dr. Karsybaev Yerzhan Yrtaevich;
- Deputy Director of study functioning, Ms Mussaliyeva Rosa Dzhaliilovna;
- Deputy Director of educational functioning, Mr Doszhanov Bolat Amzeevich;
- 25 students

The Team Leader, F. Pardo and the Training Expert, J. Ostergaard represented the project.

After introducing the project and its general activities, the training expert Mr J. Ostergaard highlighted that the training programme was a matter of particular relevance to the Academy.

This training institution, which is supported by the Ministry of Education and Science, has a variety of Colleges and is currently in the process of developing a Caspian Marine Institute. The centre has medium level, for limited certificates but with the new

proposed Institute will be promoted to high level. The academy has 52 professors and about 900 students that include several specialities related to the oil and gas industry. However only 33 students are actively following the maritime transport career.

The discussions focussed on the training programme and the Rector stated that they are very interested in participating in the training activities. The Rector also stated that the academy can offer instructors, logistical arrangements, training materials and premises.

The project experts stated that we are developing a detailed training programme and the courses will be organized in the beneficiary countries individually. It is also likely that some courses will be at a regional level with participants from all of the beneficiary countries.

The staff from the academy stated that they are interested in courses on Maritime Administration, ships inspection, pollution prevention (including ship wastes management) and “training the trainers” courses.

The project team leader, Capt. F. Pardo, thanked the participants for the participation in the meeting and their interest in the project and informed that we will be in contact to progress the implementation of the training programme and other activities of interest for the Academy.

1.4 Meeting at the Caspian State University of Technologies and Engineering, Sh, Esenov (18/09/2009).

The meeting was attended by:

- Rector Dr. Abzhapparov Abdumutalip Abzhapparovich;
- Director, Mr Zakenov Sembek;
- Professor, Mr Sultanov Timur

The Team Leader, F. Pardo and the Training Expert, J. Ostergaard represented the project.

The Rector introduced the University which is supported by the Ministry of Education and Science and is a centre for higher education with around 6.000 students specialising in Infrastructure, Economy and Finance, Master Mariners, Marine Engineers and coastal trade officers. The University has international relations with other universities in the world and is currently building a new campus with modern facilities to receive the increasing number of students.

After introducing the project and its general activities, the training expert Mr J. Ostergaard explained the training programme that was matter of particular interest for the University.

The discussions were focussed on the training programme and the Rector stated that a vocational training institute has been created in relation to maritime transport. For this reason they are especially interested in the training the trainers courses.

The project training programme is clearly of interest to the University and they can also provide teaching staff and training facilities.

Development of common security management, maritime safety
and ship pollution prevention for the Black Sea and Caspian
Sea (SASEPOL)



As in other meetings, the project experts stated that they are developing a detailed training programme, that the courses will be organized in the individual beneficiary countries and that it is likely there will be some courses will be at a regional level with participants from all of the beneficiary countries.

The project team leader, Capt. F. Pardo, thanked the participants for their participation in the meeting and their interest in the project and stated that we will be in contact to progress the implementation of the training programme and other activities of interest to the Academy.

Odessa, September 2009
Fernando Pardo
Team Leader

ANNEX I

List of participants of the meeting with the experts of the Project “Development of Security Management and Maritime Safety and Ship Pollution Prevention for the Black Sea and Caspian Sea”

Astana
Transport Tower
Office 1303

September 6th 2009
3.00 p.m.

NO.	SURNAME AND NAME	POSITION
	On behalf of the MTK PK	
1.	Rahimbekova Saltanat Temirkulova	Director of Department of International Cooperation and Transit Policy (DICTP)
2.	Fomenko Olga Kuzminichna	Head of Transit Policy Department at DICTP
3.	Zakarianov Arlan Kailanovich	Chief Expert of Water Transport Control Department at KTK
4.	Mykataev Daniar Serdjanovich	Chief Expert of Transit Policy Department at DICTP
5.	Tlepov Kasim Nagashibaevich	Chief Expert of Water Transport Department at КТПС
6.	Almenov Jandos Adilhanovich	Expert of Water Transport Control Department at KTK
7.	Erejepova Dinara Karbaevna	Expert of Transit Policy Department at DICTP
	On behalf of the Project	
8.	Fernando Pardo	Team Leader
9.	John Ostergaard	Project Key Expert



Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea

Развитие управления морской безопасностью, в т.ч. охраной от терроризма, предотвращение загрязнений с судов для Черного и Каспийского морей

Regional Action Programme 2006: Project EuropeAid/127221/C/SER/Multi Tel + 380487322268, Mobile: +380504153878 E-mail: pardo.fernando@mottmac.com

Kick-off Meeting for Georgia, Tbilisi and Batumi 6, 7 and 8 October 2009

1 Meetings

As the maritime authorities involved in the project are located in Tbilisi and Batumi, meetings were organized in both towns, rather than holding an individual kick off meeting. As a result this report includes summarises individual meetings with authorities in both towns. A draft agenda for the kick off meeting, (attached as annex I) was prepared and further developed during the meeting held at the Maritime Administration in Batumi.

The following authorities and institutions were in attendance over the two meetings:

- Ministry of Environment Protection and Natural Resources. Tbilisi;
- Ministry of Economic Development and United Transport Administration, Tbilisi
- Maritime Transport Administration, Batumi;
- Batumi Sea Port Limited;
- Batumi oil terminal Limited.

1.1 Meeting at the Ministry of Environment Protection and Natural Resources. (6/10/2009).

The team leader, the national coordinator (Nino Sikharvldze), the waste management expert (Jens Peter Ohlenschlager) and the expert on IMO conventions (Emma Psaila) met at the Ministry of Environment Protection and Natural Resources offices with the following people:

- Ms Nino Tskhadadze, Department of sustainable Development Division of International Relations;
- Ms Nino Gokhelashvili, Department of sustainable Development Division of International Relations;
- Mr Badri Tsatava, Head of Environmental Monitoring Service of the Inspection of Environment Protection;

The Team Leader introduced the project and its activities and Ms Emma Psaila explained the objective of her visit consisting in a review of the adoption and transposition of international conventions and regulations into national legislations.

The discussions were focused on the responsibilities of the Ministry in relation to the adoption and enforcement of compliance for marine pollution conventions. The Department of Sustainable Development and Division of International Relations coordinate the procedures for the ratification or accession to the conventions and the preparation of national legislation and regulations. The control of compliance with the regulations is the responsibility of the Inspectorate of Environmental Protection within the same Ministry and the Convention Inspectorate for the protection of Black Sea based in Batumi, which is the operational office in charge of inspections on board ships.

The participants in the meeting were interested in the activities of the project in Georgia related to their responsibilities in particular the training programme. They asked the following questions:

Question 1: How is the project funded and how will it be implemented in Georgia?

The team leader referred to the information provided during the presentation and added some details about the specific arrangements for Georgia. Specifically a National Coordinator has been nominated and a number of local experts will be contracted to support the activities of the international experts and to prepare basic information about the country organization of the maritime transport institutions.

Question 2: How will information, about the project in Georgia, be passed to the national authorities?

An important source of information about project activities will be a dedicated website which will be established shortly and periodically updated. Routine operational information, such as experts visits, training courses, meetings etc. will be directly communicated to the relevant parties in the country through the National Coordinator

1.2 Ministry of Economic Development and United Transport Administration, Tbilisi (6/10/2009)

The meeting was attended by the Deputy Head of the Transport Department Dr Paata Tsagareishvili and the Deputy Head of United Transport Administration, David Baramidze.

The team leader, the national coordinator, the waste management expert Jens Peter Ohlenschlager and the expert on IMO conventions Emma Psaila represented the project

The project presentation and discussion were similar to the previous meeting. The delegates from the administration made specific comments on the new port of Kulevi and the adoption of legislation related to the establishment of VTS systems in that port. These measures will also be adopted along the coast and the ports of Poti and Batumi before the end of 2010.

The representative from the United Transport Administration informed the project team that this institution is dependent on the Ministry of Regional Development and Infrastructure and has three Departments corresponding to Land, Aviation and Sea. The Maritime Transport Administration is located in Batumi.

The following questions were asked:

Question 1: How will the expert's assessments be carried out and how will they deliver their advice?

In addition to the information provided during the project presentation, the team leader explained that various international experts, with specific technical experience in each of the fields of interest to the project, will be engaged. They will collaborate with the local experts and the Country Coordinator. They will undertake visits and meetings to the different sections of the Maritime Administrations and Port Authorities to discuss the topics included in the project.

Question 2: Questions were raised with respect to the organization of training courses and the possibility of including other subjects, such as VTS operations and Maritime English training in the programme.

The team explained that a detailed training programme is in preparation and that subjects proposed by the beneficiary countries will be considered in the development of this training programme. Based on this the team leader confirmed that their suggestions for other courses will be taken into account and in particular the VTS operators training which seem highly relevant considering the recent (and upcoming) establishment of these systems on the Georgian coast.

1.3 Meeting at the Maritime Transport Administration, Batumi; (7/10/2009)

This meeting was arranged as a more formal kick off meeting with participants from the main institutions to be involved in the implementation of project activities. The main points on the agenda attached as annex I, were discussed. The following participants attended the meeting:

- Capt. Valerian Imnaishvili, Head of Ships Registry and Flag State Implementation Division of the Maritime Transport Administration;
- Ramaz Mikeladze, Head of Convention Inspection, Georgian Environmental Inspectorate;
- Tengiz Varshanidze, Operational Manager, Batumi Sea Port
- Ramaz Giorgadzehief Manager of commerce. Batumi Sea Port;

The project was well represented with delegates including the team leader, the waste management expert (Jens Peter Ohlenschlager), the expert on IMO conventions (Emma Psaila) and Ekatherina Khvedelidze, (a representative of consortium partner Tethys Environmental Consulting).

A project presentation was made, followed by a general discussion. During this discussion information about the structure of the Maritime Transport Administration was provided by Capt Imnaishvili. This included three PowerPoint presentations and information on the following national legislation:

- Georgian law related to maritime areas
- Georgian law related to maritime rescue services
- Georgian law related to the training & certification of seafarers

The information provided to the project was considered a very useful source of information for the expert on international conventions and indeed as background for the preparation of the Inception Report.

Questions from the national delegates were mainly related to the need of Administration for updated versions of the maritime conventions and also for computer software for oil spill response and salvage operations.

The team leader answered that he will explore the possibility of providing the publications and software. This is subject of approval from the EU Project Manager upon submission of a request for an Administrative Order.

As a continuation of the Maritime Transport Administration meeting, the Head of the Convention Inspection for the protection of the Black Sea invited the project experts to a short meeting in the Black Sea Convention office where he informed the team that the Inspectorate has responsibilities on the control of compliance of the MARPOL convention and mentioned that there is a need for advice on the implementation of the annex VI of MARPOL. He proposed that training on this annex is included in the project training programme.

1.4 Meeting at the Batumi Sea Port Limited and Batumi oil terminal Limited.

The project experts were invited to meetings with representatives of the management of Batumi Sea Port Limited and Batumi Oil Terminal Limited. This meeting focused more specifically on the operation of the port and terminal. The following people were present:

- Mr Nurlan Turikpenbayey, Deputy Director General at Commerce of the Batumi Sea Port Limited;
- Mr Khartyan Vyatcheslaw, first deputy general director and head of safety, labour and environmental protection;
- Mr Temirkhan Abdirov, General Director of Batumi Oil Terminal Limited.

The PSC office is in the Port but is subordinate to the Maritime Transport Administration. Pilot services are also in the Port but operating as an independent company.

The following technical information was gathered:

The port has equipment for oil spill response consisting in skimmers, booms, a recovery vessel and 11 tugs for port operations.

During the last 9 months a total of 460 vessels entered in the port, 109 of them oil tankers. The total dry cargo was 1,170,000 tons and 6 millions tons of oil.

The delegates also expressed an interest in training courses related to oil tankers operations. This will be considered in the training programme.

Odessa, October 2009
Fernando Pardo
Team Leader

ANNEX I

Agenda for the kick-off meeting in Tbilisi and Batumi, Georgia

Date of the meeting: 6 and 7 October 2009

Place of the meeting: Maritime Administration

Items of the agenda:

- 1 Welcome and opening of the meeting;
- 2 Introduction of participants;
- 3 Project overview, PPT presentation;
- 4 Preliminary plan of activities;
- 5 Training programme
- 6 Inception report;
- 7 Other reports and documents to deliver;
- 8 Questions and answers;
- 9 Closing of the meeting.