

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

Final Report

December 2011
European Commission



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ENVIRONMENTAL LAW & POLICY

TETHYS CONSULTING

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

Final Report

December 2011

European Commission

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Executive Summary, Achievements and Recommendations

This Final Report relates to the entire project period of the SASEPOL project activities, corresponding to the period 31 July 2009 to 31 December 2011. The key purpose of this Final Report is to demonstrate how the project objectives have been implemented and to provide a review of the project progress from the beginning of the project to its end date. It also provides the necessary appendices to facilitate project monitoring.

The Final Report also follows the structure of the Progress Review Reports that have been submitted and approved on a bi-annual basis.

The status achieved in the implementation of Project tasks is as follows:

Project Tasks	Status
RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection	Finalised.
Activity 1.1 Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's	Finalised.
Activity 1.2 If needed, prepare and implement a plan for transposition of above – mentioned international conventions and regulations into national legislation	Finalised.
Activity 1.3 Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"	Finalised.
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	Finalised.
Activity 2.1 Assess and support the rationalization of national maritime organisations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS and PSC MoU's)	Finalised.
Activity 2.2 Assess needs and priorities for the use and operations of VTS systems in major national ports	Finalised.
RESULT 3: Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems	Finalised.
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.	Finalised.
Activity 3.2 Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how	Finalised.
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	Finalised.
Activity 4.1 Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country	Finalised.
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	Finalised.

Activity 4.3 Further assessment, identification of best practice ports and support to the implementation of ISPS Code	Finalised.
RESULT 5: Support to regional cooperation in the field of maritime safety and security	Finalised.
Activity 5.1 Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)	Finalised.
Activity 5.2 Develop a regional Action Plan on maritime safety, security and environmental protection in line with international conventions and regulations	
RESULT 6: The new result 6, following the Addendum No 4 reads: Support to the implementation of the transposition plans following activity 1.1 and 1.2, the action plans following activity 2.1 and the port waste management plans following activity 4.2;	Finalised.
RESULT 7: Communication and awareness raising activities on maritime safety, security and environmental protection are developed	Finalised.

In Section 3.3, the methodology of realising the results and the main activities undertaken will be detailed for each result.

By the end of this project, all three main components of this project (analytical, trainings and regional components) were finalised and, where necessary, additional activities and actions have been set to ensure sustainability.

Overall, the project experienced significant changes to institutions (for example in the Ukraine and in Georgia), elections and subsequent institutional changes in the senior management of maritime administration, etc. All those changes had no overall negative effect, as the project reacted actively and quickly to any such event and mitigated the potential impacts.

All reports related to project activities, such as the analytical reports and the review type reports from the RWG meetings, the NWG meetings, trainings reports, etc, have been issued and submitted to the beneficiaries, almost all reports contain an action plan or recommendations, most are published on the website and most are in Russian and English (only where confidentiality was an issue, have reports not been published, or, where we issued reports on our own initiative and the relevant maritime administration did not request a Russian translation, were reports not translated).

The trainings implementation has been a huge success and about 64% of the originally anticipated number of trainees have been trained, without exceeding the budget. The assessment of the trainings shows a high grade of overall satisfaction with the methodology and execution of the trainings. Following an audit in March 2011 and another one in August 2011, the project budgets were balanced out and the trainings plan has been amended; these changes have no significant impact on the overall execution of the trainings, but provided for the flexibility in the execution of the trainings.

The regional component also significantly elaborated with the successful implementation of the four Regional Working Group (RWG) meetings, with the last one held in Brussels on 30th September 2011. As a result of this fourth RWG meeting, Turkey will assume the presidency of the RWG for a period of one year and the TRACECA Regional Action Strategy (TRAS) was adopted at the TRACECA IGC in Bucharest on 24th November 2011. The Conventions (Black Sea Commission and CASPECO/Teheran Convention) were actively involved in the activities of the regional component. 15 National Working Group meetings were

conducted, which provided for the national platforms identifying the most relevant (national) issues to be dealt with by the List of Priority Actions in the TRAS.

Project Achievements

The SASPEOL project has met all objectives and outputs as listed in the amended TOR. But, some additional factors merit attention and these are:

- Adoption of the TRACECA Regional Action Strategy, in Bucharest on 24 November 2011;
- Presidency of Turkey for the RWG;
- Total number of trainees 476 (64% increase within budget);
- Extremely high trainings satisfaction;
- Assistance to the Georgian Maritime Transport Administration in rectifying their legal environment vis-a-vis the EU decision regarding the recognition of the Georgian STCW certificates.

Constraints

One key constraint was the time required to complete long and complicated administrative procedures which the Consultant needs to go through in order to schedule formal meetings and site visits in some of the beneficiary countries. One of the mitigating measures adopted is that all project experts who are dealing with sensitive issues (such as ISPS, etc) have signed confidentiality statements (in English and Russian), and clearance letters were sent to the respective authorities in advance of any visits. Still, at times, certain information was difficult to access, or facilities could not be inspected.

Another constraint was the injury of KE 2, who suffered a complicated fracture of his leg and was hospitalised and out of action from beginning of February to beginning of May 2011. Because of the professional quality of KE 2 and his enthusiasm to the SASEPOL project, a decision was made not to replace KE 2, as this process alone would have meant a delay of around 3 months, and KE 2 was cleared to return to work (by his doctors) beginning of May 2011.

Addendum No 4

One significant Addendum changed the terms of reference of this project. This was addendum No. 4 and once it became effective it changed the projects organisation in three main aspects, these were:

1. Replacement of "Result 6", the PPP component with "Action and Transposition Plan implementation" component

Following a recommendation by the first project audit, the replacement of (the old) result No. 6, the PPP component was discussed internally with the EU and externally with the beneficiaries at the RWG meeting in Brussels in September 2010. Since there was unanimous consent about the shift of result 6 from PPP to implementation of priority actions (as per the action and transposition plans), Addendum 4 was drafted in close cooperation with the EU. This Addendum 4 was subsequently signed and became effective with 25 March 2011. Consequently, support packages were designed, based on the action and transposition plans for the beneficiary countries and based on the TRAS list of priority actions. Details on this can be found in Section 3.3.13.

2. Extension of the duration of this project from 24 to 29 months

The extension of the duration of the project was necessary due to the comparatively calmer period at the beginning of this project. Also, the project took a slight shift in focus, with the new result 6 and in order to implement and execute the activities (support packages), more time was needed. The extension in time did not require additional financing.

3. Shift of funds within the project budget lines

With addendum 4 effective, also a redistribution of resources within the fee-budget for this project was effected. Resources were taken from the key expert budget line and allocated to non-key experts, for two reasons: One, the trainings implementation is well under way and not all resources initially allocated for trainings implementation will be required; in addition, KE 2 experienced an accident and needed medical treatment in his home country and was out of action for 3 months. This is why resources from the Key Expert budget line were shifted to the Non-Key expert budget and external experts have been mobilised to implement the support packages under result 6.

Recommendations

The main recommendations of the SASPOL project and, in particular for the period after SASEPOL are:

- To maintain the positive momentum of the RWG, now under Turkish presidency and the cooperation with TRACECA in the implementation of the TRAS and its priority action plan; this will require financial assistance, ideally in the form of a dedicated Technical Assistance project;
- To provide targeted technical assistance to the beneficiary countries in the implementation of the first priority projects, some prioritised ones have been further developed and project fiches have been developed and submitted;
- To maintain the momentum in the active participation of the non beneficiary countries (Romania, Bulgaria and Turkey) and of the Conventions to RWG activities;
- To maintain the momentum for the National Working Groups and ensure cooperation and coordination with the Regional Working Group; this will require some financing.

Website and Contacts

The SASPOL website (www.sasepol.eu) will be kept operational until 31 December 2012. From the end of the project, the email addresses ending with mottmac.net.ua will be discontinued. There will be an automated response to revert to the SASPOL website for contact details showing the following:

- For EU matters emails will be diverted to Mrs Carmen Falkenberg-Ambrosio Carmen.Falkenberg-Ambrosio@ec.europa.eu;
- For SASEPOL project matters, emails will be diverted to: office@sasepol.eu
- For RWG matters, emails will be diverted to Mrs Secil Ozyanit: sozyanik1@ubak.gov.tr

In addition, the website will contain information and contact details of the national coordinators.

1. 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
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Contact person:		_____	Sean Murphy
Signatures	:	_____	_____

Date of report: 31 December 2011.
 Reporting period: 31 July 2009 – 31 December 2011.
 Author of report: Falko Josef Sellner and SASEPOL team.

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

2. 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: Prioritised Action and Transposition plans resulting from the analytical components under 1.1 and 1.2, 2.1 and 4.2 have been implemented.</p> <p>Result 7: Information and relevant documentation related to the activities of the project have been disseminated and a project website established.</p>
Planned Outputs :	<p>Result 1:</p> <ul style="list-style-type: none"> Report on the state of transposition and implementation of the international

Aspect	Content
	<p>conventions and other instruments related to the maritime safety, security and prevention of pollution from ships;</p> <ul style="list-style-type: none">• 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.
	<p>Result 6:</p> <ul style="list-style-type: none">• Support packages have been implemented (identified as an outcome of the action and transposition plans and as requested by the Maritime Administrations).• 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 model ports.

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 Provide tailored and prioritised technical assistance (through support packages) to the beneficiary countries based on the action and transposition plans developed under result 1, 2 and 4.

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 plus 5 months extension until 31 December 2011

3. Review of Project Progress

3.1 Policy and programme content

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 TRACECA beneficiary countries, the European Commission is providing long term funding to help improve maritime safety, security and pollution prevention within the region.

This project represented 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 has been 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 was 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.

3.1.1 Linkages to 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:

EU Funded:

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:

Regional:

- The "Improvement of Maritime Links between TRACECA and TENs Corridors" (Bulgaria, Georgia, Romania, Turkey, Ukraine);
- Maritime Training: Ukraine, Georgia, Azerbaijan, Kazakhstan;
- Environmental Collaboration for the Black Sea;
- Motorways of the Seas for Black Sea and Caspian Sea;
- "TACIS/2008/154-904 (EC) Motorways of the Sea (MoS) for Black Sea and Caspian Sea;
- ENPI/2008/155-683 (EC) Transport dialogue and networks interoperability between the EU and its neighbouring countries and Central Asian countries.

Other Funding Sources/Organisations:

Regional:

- Caspian Sea Environment Programme; funded under the Global Environment Facility;
- Black Sea Environment Programme; funded under the Global Environment Facility;
- 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).

Bilateral:

- Ukraine Port Development Feasibility Study;

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 have been taken into account during the implementation of SASEPOL activities ensured consistency and minimised the risk of duplication of effort: Of particular interest were:

"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 were 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 included 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 was also used by SASEPOL in the project implementation, these concerned:

- 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);

In addition to the projects listed above, the Project has also been supportive of other initiatives which were active or were planned to be launched in the region. Our approach was to cooperate closely with the teams undertaking any relevant parallel 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.

3.2 Progress towards achieving objectives

The overall objective of this project was 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.

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



The specified objective of the project was 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.

To provide a clear map of progress against the desired result, progress against each anticipated result is summarised in the table below.

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

Table 3.1: Summary of progress against results

	Activity	Outputs / Deliverables	Scheduled Completion	Progress (%)	Status
1	RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection	See 1.1 to 1.3 below.	March 2011.	100%	Finalised. Prioritised Action and Transposition Plan activities are implemented under result 6.
1.1	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)	- 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;	Complete.	100%	Report have been submitted and are approved.
1.2	Activity 1.2: Plan for transposition of the reviewed international conventions and regulations into national legislation	- Plan for transposition of relevant legislation, as appropriate; - Technical assistance in implementing action and transposition plans is provided.	Complete.	100%	Report have been submitted and are approved.
1.3	Activity 1.3: Discussed and plan accession to the "Voluntary IMO Member State Audit Scheme- VIMSAS"	- Operational framework for the application of the voluntary IMO Member State Audit Scheme; - Dedicated trainings on the implementation of the audit scheme; - Technical assistance, as required.	Complete.	100%	Trainings courses on VIMSAS took place. The VIMSAS reports have been submitted and approved.
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	See 2.1 & 2.2 below.	May 2011	100%	Finalised. Prioritised Action and Transposition Plan activities are implemented under result 6.
2.1	Assess and support the rationalization of national maritime organizations, structure	- Action plan; - Training and assistance to	Complete.	100%	The reports have been submitted and are approved.

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

	Activity	Outputs / Deliverables	Scheduled Completion	Progress (%)	Status
	and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS, and PSC MoUs)	relevant maritime organisations – institutional & operational requirements.			
2.2	Activity 2.2: Assess needs and priorities for the use and operation of VTS systems in major national ports	-Report on VTS services in the beneficiary states; -Training plan on VTS issues; - Technical Assistance as required.	Complete.	100%	The report has been submitted and is approved. 2 dedicated VTS trainings were provided.
3	RESULT 3: Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems	Training Plan drafted, agreed on by stakeholders & implemented.	End of the project.	100%	Completed
3.1	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.	- Training plan – final version.	Completed.	100%	Following a project audit in march 2011, some resources were reallocated and the trainings plan was amended. The final trainings plan has been implemented.
3.2.	Activity 3.2: Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how.	-Course materials (PowerPoint presentations; handouts) - National / regional / on-the-job training provided, in accordance with the activities set in the Training Plan. - Reports on the training courses delivered; - Report on the impact of the training activities.	Completed.	100%	25 trainings including 2 study tours have been completed by the project. The trainings material is available on the SASEPOL website. Please note, there are additional trainings which have been implemented under component 6.
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	See 4.1 to 4.3 below.	October 2011.	100%	Completed
4.1	Activity 4.1: Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country	- Assessment of the level of Black Sea MoU implementation in all 5 states; - Identification of a 'best practice' port in each of the 5 country;	July 2011.	100%	Assessment reports including all aspects relevant for this task have been submitted and published. Additional data from Turkmenistan have been received and were

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	Activity	Outputs / Deliverables	Scheduled Completion	Progress (%)	Status
		-Assessment of existing PSC procedures; -Draft recommendations & further relevant training activities, as appropriate.			submitted.
4.2	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	- Report on the existing reception facilities for ship generated waste; -Best practice port model on reception facilities for each country; -Waste Management Plan for each major port in the beneficiary countries.	October 2011.	100%	Assessments for the five ports have been submitted and published. The pilot PWMP and Manual have been developed for the port of Odessa and were then exported to and followed up during workshops and meetings.
4.3	Activity 4.3: Further assessment, identification of best practice ports and support to the implementation of ISPS Code	-Report on the level of implementation of the ISPS Code in the 5 beneficiary states; -Best practice port model on the ISPS Code implementation in the 5 beneficiary states; -Proposal for the updating of the implementation of ISPS Code in the countries.	Completed.	100%	The reports have been submitted and are approved. Dedicated trainings were delivered.
5.	RESULT 5: Support to regional cooperation in the field of maritime safety and security		End of project	100%	Completed.
5.1	Activity 5.1: Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)	-Terms of reference for the Working Group on maritime safety, security and maritime pollution.	October 2011.	100%	Assistance has been provided to beneficiaries in establishing National Working Groups; all together 4 RWG meeting and 15 NWG meetings took place in the project period.
5.2	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	-Action Plan on maritime safety, security and protection of marine environment; - Assistance in the implementation of the AP, as required & appropriate.	October 2011.	100%	The TRAS has been adopted at the TRACECA IGC meeting in Bucharest on 24 November 2011.
6.	RESULT 6: Support to the implementation of the transposition	- Identified and prioritised actions are packaged into "support	November 2011.	100%	Completed. All together 17 support packaged were designed and

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	Activity	Outputs / Deliverables	Scheduled Completion	Progress (%)	Status
	plans following activity 1.1 and 1.2, the action plans following activity 2.1 and the port waste management plans following activity 4.2.	packages" and are implemented. - Project fiches / specifications for relevant feasibility or pre-feasibility studies.			implemented, 6 Project Fiches were delivered.
7.	RESULT 7: Communication and awareness raising activities on maritime safety, security and environmental protection are developed	-Website on maritime safety and security; -Communication Plan – drafted & implemented;	End of project.	100%	The SASEPOL website has been continuously updated and will remain operational until 31 December 2012. The other elements of the Communication Plan were submitted and published.

3.3 Activities undertaken

The analytical and other reports are provided in the Report Appendix B, in the form of a CD rom. Also the respective approval letters, if applicable, are in a separate section of Appendix B.

3.3.1 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)

ToR and Objective

"This preliminary activity is to complete the preliminary analysis provided during the preparatory phase and previous projects on the level of transposition of internal conventions into national legislation. During the review, it should also be assessed to which extent national legislation is reflected in to port regulations and guidelines. National legal experts input are probably required for this activity. In particular, the IMO "Self Assessment Form" (SAF) can be an adequate model to assess on a voluntary basis, the compliance with the international instruments by the maritime administrations."

The **objective** of this activity 1.1 was therefore to assess the level of compliance of the beneficiary countries with the relevant international maritime conventions (allowing for further action under later activities).

Activities

An international expert was deployed and conducted visits to Azerbaijan, Georgia, Kazakhstan and to the Ukraine. During these visits meetings with relevant staff in Maritime Administrations and other beneficiary maritime organisations were conducted. This information collected during these meetings was supplemented by information collected by the Team Leader during kick-off meetings and other information collected locally by the project's National Coordinators.

Unfortunately data collection in Turkmenistan was limited as kick off meetings have been delayed by administrative and visa problems. However, to ensure delivery of the report, information was collected locally via the project's National Co-ordinator, guided by requests for information from the Team Leader. While the activity was mainly related to the state of transposition and implementation of international maritime conventions in the beneficiary countries of the project, additional information was included in the final report, on the institutions responsible for those conventions and other facilities and organisations involved in the training of personnel necessary for the control of compliance with the conventions.

The information contained in the activity report (enclosed under the Report Appendix B) was the basis for the development of training activities planned through the SASEPOL project as the main IMO conventions examined here, relate to Maritime Safety, Security, Prevention of Pollution from Ships and Training and Certification of Seafarers, i.e. the main subjects of the project. In addition, this report provided the baseline for activity 1.2.

The report was submitted under cover of the Progress Report 01 and approved. The **objective** of assessing the level of compliance and transposition of the beneficiary countries with relevant international conventions has therefore been met.

3.3.2 Activity 1.2: Plan for transposition of the reviewed international conventions and regulations into national legislation

ToR and Objective

The TOR state: "The above review shall be the basis for drafting a plan for those countries which still need transposition of international conventions into national legislation and port regulations. The plan should also address whether real compliance takes place in ports and to which extent guidelines have been prepared for staff in maritime- and ports administrations. The plan shall be drafted in close cooperation with the respective Maritime Administrations. The level of assistance with the implementation of the prepared plans will vary from country to country."

The **objective** of this activity was therefore to deepen the analysis conducted under activity 1.1 and to develop action and transposition plans for the maritime administrations.

Activities

Due to the slightly delayed completion of Activity 1.1, activity 1.2 started with also with a delay. An International STE (Mr Jorgen Rasmussen) was mobilised in March 2010 and completed visits to Ukraine, Kazakhstan and Azerbaijan and the draft reports together with the mission reports and minutes of meeting were submitted in May 2010. Local STEs have been mobilised in Georgia and Turkmenistan to retrieve information which, have been analysed and reports have been submitted to the maritime administration for comments.

Another international STE (Mr Calin Trelea) has been mobilised in October 2011 and visited (inter alia) Georgia and Turkmenistan for further discussions and to retrieve missing information. The reports were then finalised and in November 2010 submitted to the EU for approval.

These reports (Reports Appendix B) contain detailed action and transposition plans for the respective maritime administrations, detailing where and to which extent compliance with relevant international conventions is required, together with a time line and estimation of efforts. Based on these action and transposition plans, two support packages on STCW and ROs have been completed, two international and one local expert have been mobilised to support the Georgian administration in their endeavours vis-a-vis the recent DG MOVE decision to revoke Georgian Seafarers certificates and to regulate and rectify the situation for ROs in Georgia.

The reports were approved in December 2010 and the **objective** to design and tailor specific action and transposition plans for the beneficiary countries has therefore been met, with the added component of implementation of two priority actions in Georgia.

3.3.3 Activity 1.3: Discussed and plan accession to the "Voluntary IMO Member State Audit Scheme- VIMSAS"

ToR and Objective/s

"The voluntary IMO Member State Audit Scheme is intended to provide an audited Member State with comprehensive and objective assessment on how efficiently it administers and implements those mandatory IMO instruments which are covered by the scheme. The audit scheme will bring benefits, such as identifying where capacity building activities would have the greatest effect. The Member State themselves would receive valuable feedback intended to assist them in improving their own capacity to put the applicable instruments into practice. In this context it is advisable to promote the application of the audit scheme among involved countries as a contribution to reduce the existing gap on the implementation of international legislation between EU Member States and the other countries. The contractor shall promote the opportunity for the countries to enter into this audit process.

- The operational framework for the application of the voluntary IMO Member State Audit Scheme shall be developed.
- A workshop on the implementation of the audit scheme shall be organized
- Technical expertise shall be provided if needed."

The overall **objective** of activity 1.3 was therefore to promote and if possible convince the beneficiary countries to embark on a VIMSAS audit.

Activities

The activities are threefold. *One*, was a promotional element, where the beneficiary countries need to be convinced of the necessity of a VIMSAS audit. The first part of this delivery was raised in the National Working Groups and all beneficiaries, even Turkmenistan, have voiced their desire to adopt VIMSAS.

The *second* part of this delivery being the definition of operational framework for VIMSAS, an international expert has visited the beneficiary countries (Capt. John Wynn). A questionnaire was sent out to all beneficiary country's maritime administrations ahead of his visit, allowing for a first analysis and then tailored discussions in the beneficiary countries. The draft reports were submitted to the maritime administrations and comments have been incorporated. These reports were then finalised, submitted to the EU and, upon approval, sent to the beneficiary countries' maritime administrations. Also, these reports contained specific action plans.

The *third* part of this delivery is the provision of technical assistance; this allowed for the design of support packages. The first was executed by an international expert (Mr George Christofi) in November 2010 in Georgia. Subsequent support packages were: VIMSAS mock audit in Azerbaijan (March 2011 by John Ostergaard, KE 3), another VIMSAS mock audit in Georgia (May 2011, also by John Ostergaard) and a dedicated VIMSAS training took place for the Ukraine in July 2011 (John Ostergaard and George Christofi).

To round this activity off, two workshops on VIMSAS were implemented, one in Baku in March 2011 and one in Batumi in May 2011.

The **objective** of this activity to promote the adoption of a VIMSAS audit has therefore been met, since all beneficiary countries clearly see the need for VIMSAS and, in the case of Azerbaijan and Georgia, have embarked on a series of preparatory steps for the audit.

3.3.4 Activity 2.1: Assess and support rationalisation of the relevant maritime organisations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS and PSC MoUs).

ToR and Objective

"Efficient compliance with international conventions and obligations would require setting up relevant institutions (maritime and port administrations), prescriptive guidelines and technical capacity (staff training). Some beneficiary countries would need support in clarifying and rationalizing the network of bodies dealing with maritime issues, with clear definition of responsibilities. The assessment shall therefore focus on the operational parts of the administrations i.e. organization, structure, staff and procedures. As a result, a plan of action will be developed and implemented to support reform and development of appropriate and modern maritime administrations. The plan has to be developed in close cooperation with the relevant administrations taking into account the existing situation and capacity. The plan must be thoroughly discussed and an agreement shall be obtained in order to secure the needed commitment and sustainable implementation. The level of assistance with the implementation of the prepared plans will vary from country to country. Moreover, operational procedures (when not in place) shall be developed in order to provide efficient PSC, waste handling and security."

The **objective** of this activity was therefore an institutional assessment of the maritime administrations and the development of an Action Plan to modernize the maritime administrations.

Activities

This activity has commenced with the appointment of an International Expert and local experts have been mobilized in Ukraine, Azerbaijan, Georgia, Kazakhstan and Turkmenistan. Due to the change of the role of the International Expert in charge of this delivery to Acting Team Leader and later (once approved) as Team Leader, the implementation period for this activity was delayed. Also a new international expert has been appointed for this activity at the beginning of July 2010 (Mr Calin Trelea).

The main objective of this activity was the assessment and provision of 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.

Advice to the maritime administrations included:

- 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.

The action plans consist of a list of prioritised actions and some of those have been implemented under the new result No 6. These were the mobilisation of support for the Georgian Maritime Administration (UTA and its transformation into MTA), assisting the Georgians in drafting new laws regulating Recognised Organisations and a new law for STCW and ad-hoc advice and support in the other beneficiary countries which restructured their maritime administrations during the project period; Azerbaijan in the early stages of the project, Kazakhstan late 2010, the Ukraine mid 2011 and Turkmenistan.

A dedicated series of visits took place to all beneficiary countries in the period August to November 2010. Due to a personal accident of the appointed international expert, the draft reports were submitted to the beneficiaries only in January 2011. Comments and recommendations were received, incorporated, and the reports finalised and sent to the EU in February 2011. The amended reports have subsequently been approved by the EU.

The **objective** of providing the maritime administrations with tailored action plans has therefore been met, since some of these actions are actually implemented and the most important ones have been incorporated into the TRAS via the National Working Groups.

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

TOR and Objective

Many ports have VTS systems available but there are still ports operating without and others where the use of such systems can be improved. It is therefore important to identify relevant equipment training and support needs for an efficient use and management of VTS systems. Guidelines in developing efficient procedures can be obtained from IMO.

The **Objective** for this activity was therefore to review and propose improvements to the existing VTS systems.

Activities

An international expert was mobilised (Capt John Wynn) in March 2011 and a comprehensive round of

visits to major national ports took place in the Ukraine and in Georgia. In Kazakhstan, Azerbaijan and Turkmenistan, only the main ports were visited.

The international expert carried out 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;

In addition 2 training sessions were held at the Ukrainian VTS centre in Nikolayev, covering the following:

- Provision of advice on the efficient use and management of the VTS;
- Preparation and organization of training courses for the VTS operator;
- To propose the establishment of a coordinated VTS in cases the service involves two or more neighbouring countries.

The first SASEPOL study tour to Istanbul saw a visit to the VTS centre at the Bosphorus straight



The respective report together with proposals for improvement was submitted to the beneficiaries for comments and was approved by the EU in May 2011.

The **objective** of providing guidance on the improvement of national VTS systems has therefore been met.

3.3.6 Activity 3.1: Training Plan based on relevant issues for training and capacity building

TOR and Objective

Training has been carried out during some previous projects in areas relevant for this project also. However, it is important that all maritime administrations in the involved countries have staff with the necessary knowledge regarding notably - Port Waste Management (incl. experience from Europe), ISPS code, Port State Control and management of VTS systems in order to implement relevant procedures and to bring all countries up to a regional minimum level of compliance. The identification of relevant issues for training and capacity building shall be built upon the review and assessment under activity 1 and 2, and taking into account the different level of knowledge and expertise among beneficiaries. The training plan should be finalized and agreed with the Contracting authority and the beneficiary countries. A study tour to preliminary identified European countries and European Maritime Administrations could be proposed.

The **objective** of this activity was the design of a comprehensive trainings plan, enhancing the educational level of the maritime administrations in the beneficiary countries.

Activities

On the basis of the TOR and expertise of the consortium, a trainings need analysis was conducted with the

maritime administrations in the beneficiary countries in 2009. On the basis of this trainings need analysis a first comprehensive Trainings Plan was circulated early 2010 and comments were incorporated. The preliminary final trainings plan was submitted and approved in April 2010. In addition, a Training Catalogue, was developed and distributed to the National Country Coordinators during the National Coordinators Kick Off Meeting held on 13 and 14 July in Kiev, Ukraine. This was a shorter version of the Trainings Plan.

The Training Plan / Catalogue was a "living" document, since the training until the end of the project could not be finalised as to precise dates and locations. Utmost efforts have been employed to accommodate the needs and requirements of the beneficiaries and we do not expect any major changes or amendments to the type of trainings envisioned in the Training Plan.

Following a trainings implementation analysis in December 2010 the trainings plan was revised. In March 2011, a project audit revealed the exact project budget and funds were shifted between the internal project lines (fee budget). This led to another, but final round of minor adjustments to the trainings plan.

The updated versions were always circulated to the beneficiaries and available on the SASEPOL website. Two study tours were conducted, one in Istanbul in February/March 2011 and another one to Rotterdam in September 2011. The reports and the final Trainings Catalogue are included in the Appendix B.

The **objective** of designing and keeping an accurate trainings plan up to date has therefore been met.

3.3.7 Activity 3.2 Conduct relevant training courses

TOR and Objective/s

"Awareness raising, on-the-job training and capacity building sessions shall be seen as parallel activities to achieve Results 1 and 2. Officials within Maritime Administrations and Port authorities should be identified for training, as well as port operators whenever relevant. Participants to training sessions shall be selected on the basis of their competencies and professional commitment, and the final list should be approved by the European Commission. The training could be anchored in identified national training centers. Training modules could be implemented by these institutes, with an objective of sustainability (Training of Trainers). Results of previous projects (e.g. TRACECA Maritime Training) should be taken into account. Evaluation of the impact of the training sessions should be provided after their implementation.

Whenever international courses are available (World Maritime University, Sweden, International Maritime Law Institute, Malta, IMO or others), it should be investigated to what extent these can be used instead of developing new courses. For the areas identified, fully developed training materials should be prepared, and possibly developed in an e-learning environment."

The **objective** of this activity was therefore to conduct relevant trainings and to enhance the capacity and educational status of relevant staff of the maritime administrations.

Activities

By the end of the project, the following trainings courses and study tours were implemented:

N.	Subject	Location	Period
1	Oil Spill Preparedness, Response and Cooperation	Baku, Azerbaijan State Maritime Academy	12 – 14 May 2010
2	Oil Spill Preparedness, Response and Cooperation	Odessa, Ukraine Odessa Hotel	17 – 19 May 2010
3	Implementation and Enforcement of the International Safety Management Code (ISM Code)	Batumi, Georgia Alik Hotel, Batumi	15 – 19 November 2010

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N.	Subject	Location	Period
4	IMO Conventions and their national Implementation, including VIMSAS	Odessa, Ukraine Black Sea Hotel, Odessa	6 – 10 September 2010
5	Operational aspects of SOLAS 1974	Baku, Azerbaijan State Maritime Academy	13 – 17 September 2010
6	Maritime Administration, Organization and Functioning	Astana, Kazakhstan Hotel Imperia, Astana	22 – 24 September 2010
7	Operational aspects of SOLAS 1974	Astana, Kazakhstan Hotel Duman, Astana	11 – 15 October 2010
8	MARPOL 73/78 How to do it?	Baku, Azerbaijan Park Inn Hotel, Baku	18 – 22 October 2010
9	MARPOL 73/78 How to do it?	Astana, Kazakhstan Hotel DUMAN, Astana	8 – 12 November 2010
10	International Conventions&national Implementation, including VIMSAS	Aktau, Kazakhstan Grand Hotel VICTORY	07 – 10 December 2010
11	International Ship and Port Security Code (ISPS Code)	Odessa , Ukraine Hotel Continental	31 May – 03 June 2011 4 days
12	Port State Control Inspections	Odessa Maritime University	25 – 27 January 2011
13	Port State Control inspections	Batumi, Georgia	31 Jan – 02 Feb 2011 3 days
15	Vessel Traffic Services (VTS) for Operators and Supervisors	Ukraine VTS Training Centre (Nikolayev)	14-19 February 2011 6 days
16	Vessel Traffic Services (VTS) for Operators and Supervisors	Ukraine VTS Training Centre (Nikolayev)	21 – 26 February 2011 6 days
17	Voluntary IMO Member State Audit Scheme (VIMSAS) Auditor Training Course	Baku, Azerbaijan	28 February -04 March 2011 5 days
18	Voluntary IMO Member State Audit Scheme (VIMSAS) Auditor Training Course	Batumi, Georgia	09 -13 May 2011 5 Days
20	STUDY TOUR	Istanbul, Turkey	22 – 25 March 2011
21	MARPOL Port Waste Management	Odessa, Ukraine	11-15 April 2011 5 days
22	STCW safety Course (oil, gas and chemical tankers operations) Passenger ships	Batumi, Georgia	04 – 08 April 2011 5 days
23	Maritime English (Train-the –Trainer)	Odessa, Ukraine	16-20 May 2011 5 days
24	Voluntary IMO Member State Audit Scheme (VIMSAS) Auditor Training Course	Kiev, Ukraine	11-15 July 2011 5 days
25	Study Tour to Rotterdam	Rotterdam, Netherlands	26-29 September 2011 3 days

The following section provides more details on the conducted trainings under result 3.2. Please note, there were additional trainings that were conducted under the revised component 6. The trainings reports are available on the SASEPOL website.

Training #1 Oil Spill Preparedness, Response and Cooperation

Took place in Baku (Azerbaijan) from 12 to 14 of May 2010. The objective of the Training was providing the senior officials and managers with information on the responsibilities of the members of an oil spill response organization and how effectively to respond to an oil spill through the deployment of equipment and resources at the national level. Lead Trainer was Kevin O'Connell, supported by John Østergaard. 18 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#1	13	-	5	-	-	-

Training #2 Oil Spill Preparedness, Response and Cooperation

Took place in Odessa (Ukraine) from 17 to 19 of May 2010. The objective of the Training was providing the senior officials and managers with information on the responsibilities of the members of an oil spill response organization and how effectively to respond to an oil spill through the deployment of equipment and resources at the national level. Lead Trainer was Kevin O'Connell, supported by John Østergaard. 20 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#2	-	4	-	-	16	-

Training #3 Implementation and enforcement of the International Safety Management Code (ISM Code)

Took place in Batumi (Georgia) from 15 to 19 of November 2010. The objective of the Training was providing to participants from National Maritime Administrations, shipping companies and maritime training institutions with the requirements of the mandatory ISM Code, how it should be implemented and enforced in a practical manner and how the Code implementation should be verified and monitored. Lead Trainer was Bertrand Apperry, supported by John Østergaard. 25 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#3	3	16	2	-	4	-

Training #4 IMO Conventions and their national Implementation, including VIMSAS

Took place in Odessa (Ukraine) from 06 to 10 of September 2010. The objective of the Training was providing to participants from National Maritime Administrations, Port Administrations and maritime training institutions with a basic understanding of relevant IMO Conventions and their implications on the national administration and on legislation in order to achieve appropriate implementation and enforcement at the national level. Lead Trainer was Jorgen Rasmussen, supported by John Østergaard. 19 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#4	4	3	-	-	6	1

Training #5 Operational aspects of SOLAS 1974

Took place in Baku (Azerbaijan) from 13 to 17 of September 2010. The objective of the Training was providing to participants from National Maritime Administrations, shipping companies and maritime training institutions with understanding of the minimum standards for the construction, equipment and operation of ships, compatible with their safety and the responsibilities placed on States for ensuring that ships comply with these requirements. Lead Trainer was Mihai Andrei, supported by Dan Bodolan and John Østergaard. 16 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others

#5	7	3	-	-	5	1
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Training #6 Maritime Administration, Organization and Functioning

Took place in Astana (Kazakhstan) from 22 to 24 of September 2010. The objective of the Training was providing to participants from National Maritime Administrations, Port Administrations and maritime training institutions with a an understanding of the international obligations of a maritime State in its various roles as flag, coastal and port States and it was provided them with the necessary knowledge about how to built-up the necessary infrastructure in the State. Lead Trainer was Jorgen Rasmussen, supported by Wojciech Szulczynski and John Østergaard. 16 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#6	-	-	16	-	-	-

Training #7 Operational aspects of SOLAS 1974

Took place in Astana (Kazakhstan) from 11 to 15 of October 2010. The objective of the Training was providing to participants from National Maritime Administrations, shipping companies and maritime training institutions with understanding of the minimum standards for the construction, equipment and operation of ships, compatible with their safety and the responsibilities placed on States for ensuring that ships comply with these requirements. Lead Trainer was Dorel Popa, supported by Mihai Andrei and Dan Bodolan. 16 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#7	-	-	15	-	-	-

Training #8 MARPOL 73/78. How to do it?

Took place in Baku (Azerbaijan) from 18 to 22 of October 2010. The objective of the Training was providing to participants from National Maritime Administrations, Port Administrations and maritime training institutions with an understanding of the technical, economical and legal aspects of ratifying, implementing and enforcing the MARPOL Convention and its six Annexes and to encourage further ratification, proper implementation and enforcement of the Convention. Lead Trainer was John Østergaard, supported by Anna Shotadze. 14 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#8	7	2	-	-	5	-

Training #9 MARPOL 73/78. How to do it?

Took place in Astana (Kazakhstan) from 08 to 12 of November 2010. The objective of the Training was providing to participants from National Maritime Administrations, Port Administrations and maritime training institutions with an understanding of the technical, economical and legal aspects of ratifying, implementing and enforcing the MARPOL Convention and its six Annexes and to encourage further ratification, proper implementation and enforcement of the Convention. Lead Trainer was John Østergaard, supported by Anna Shotadze. 23 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#9	-	-	23	-	-	-

Training #10 International Conventions&national Implementation, including VIMSAS

Took place in Aktau (Kazakhstan) from 07 to 10 of December 2010. The objective of the Training was providing to participants from National Maritime Administrations, Port Administrations and maritime training institutions with a basic understanding of relevant IMO Conventions, ILO Conventions and EU Directives and their implications on the national administration and on legislation in order to achieve appropriate implementation and enforcement at the national level. Lead Trainer was Bertrand Apperry, supported by John Østergaard. 27 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#10	-	-	21	6	-	-

Training #11 International Ship and Port Security Code (ISPS Code)

Took place in Odessa (Ukraine) from 31 of May to 03 of June 2011. The objective of the Training was providing to participants from National Maritime Administrations, Port Administrations, Managers of Shipping Companies and maritime training institutions with a basic understanding of the application of the ISPS Code, including the methodology required to produce a standardized, consistent framework for evaluating risk, enabling governments to offset changes in vulnerability for ships and port security assessments and plans. Lead Trainer was Bertrand Apperry, supported by Andrii Voloshyn and John Østergaard. 12 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#11	2	4	2	-	4	-

Training #12 Port State Control Inspections

Took place in Odessa (Ukraine) from 25 to 27 of January 2011. The objective of the Training was providing to participants from National Maritime Administrations and maritime training institutions with necessary training to be authorized by their Governments to execute Port State Control in accordance with the applicable international conventions. Lead Trainer was Ib Matthiesen, supported by John Østergaard. 12 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#12	-	-	-	-	15	-

Training #13 Port State Control Inspections

Took place in Batumi (Georgia) from 03 to 05 of February 2011. The objective of the Training was providing to participants from National Maritime Administrations and maritime training institutions with necessary training to be authorized by their Governments to execute Port State Control in accordance with the applicable international conventions. Lead Trainer was Ib Matthiesen, supported by John Østergaard. 24 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#13	3	16	2	3	-	-

Training #15 Vessel Traffic Services (VTS) for Operators and Supervisors

Took place in Nikolaev (Ukrainian VTS "DELTA Pilot" Training Centre) from 14 to 19 of February 2011. The objective of the Training was providing of the basic training of operators working at VTS control centres, enabling them to functions as assisting VTS control officers working under the supervision of experienced VTS officers. Lead Trainer was Oleg Afonin, supported by Oleg Naumov and John Østergaard. 5 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#15	-	5	-	-	-	-

Training #16 Vessel Traffic Services (VTS) for Operators and Supervisors

Took place in Nikolaev (Ukrainian VTS "DELTA Pilot" Training Centre) from 21 to 26 of February 2011. The objective of the Training was providing of the basic training of operators working at VTS control centres, enabling them to functions as assisting VTS control officers working under the supervision of experienced VTS officers. Lead Trainer was Oleg Afonin, supported by Oleg Naumov and John Østergaard. 5 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others

#16	5	-	-	-	-	-
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Training #17 Voluntary IMO Member State Audit Scheme (VIMSAS) Auditor Training Course

Took place in Baku (Azerbaijan) from 28 of February to 04 of March 2011. The objective of the Training was providing participants from National Maritime Administrations training as internal and external VIMSAS auditors based on the IMO training standards in this respect. Lead Trainer was George Christofi, supported by John Østergaard. 12 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#17	7	-	3	-	-	2

Training #18 Voluntary IMO Member State Audit Scheme (VIMSAS) Auditor Training Course

Took place in Batumi (Georgia) from 09 to 13 of May 2011. The objective of the Training was providing participants from National Maritime Administrations training as internal and external VIMSAS auditors based on the IMO training standards in this respect. Lead Trainer was George Christofi, supported by John Østergaard. 19 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#18	-	19	-	-	-	-

Training #20 STUDY TOUR

Took place in Istanbul (Turkey) from 22 to 25 of March 2011. The objective of the Training was providing participants from National Maritime Administrations, Port Administrations and VTS Managers with examples and experiences on how national maritime administrations, vessel traffic systems and Port State Control inspections are operating and administered in other countries and ports of the Region. Lead Trainer was John Østergaard. 22 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#20	3	4	3	3	3	6

Training #21 MARPOL. Port Waste Management

Took place in Odessa (Ukraine) from 11 to 15 of April 2011. The objective of the Training was an introduction of the PWM concept to participants in accordance with the EU Directive 2000/59/EC on Port Reception Facilities and an assistance of participants in preparedness a draft PWM plan for their own model port (PWM framework). Lead Trainer was Jens Peter Øhlenschläger, supported by Dimitriy Chernega. 13 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#21	2	2	1	-	8	-

Training #22 STCW safety Course (oil, gas and chemical tankers operations) Passenger ships

Took place in Batumi (Georgia) from 04 to 08 of April 2011. The objective of the Training was providing to participants from National Maritime Administrations, the Shipping Industry and maritime training institutions with information and understanding of special training requirements for personnel on certain types of ships in accordance with Chapter V of the annex to the 1978 STCW Convention. Lead Trainers were Sven Mathiesen and Thierry Gervais, supported by John Østergaard. 17 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#22	-	11	2	2	2	-

Training #23 Maritime English (Train-the-Trainer)

Took place in Odessa (Ukraine) from 16 to 20 of May 2011. The objective of the Training was providing to participants from National Maritime Administrations and maritime training institutions with information and guidelines to how to develop their own training programmes to achieve the standards for maritime English as set out by the STCW Convention, 1978 and further recommended by the IMO Maritime Safety Committee in 2008. Lead Trainers was Clive Cole, supported by Boris Pritchard and John Østergaard. 13 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#23	2	3	2	-	6	-

Training #24 Voluntary IMO Member State Audit Scheme (VIMSAS) Auditor Training Course

Took place in Kiev (Ukraine) from 11 to 14 of July 2011. The objective of the Training was providing participants from National Maritime Administrations training as internal and external VIMSAS auditors based on the IMO training standards in this respect. Lead Trainer was George Christofi, supported by John Østergaard. 12 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#24	-	-	-	-	12	-

Training #25 STUDY TOUR

Took place in Rotterdam (the Netherlands) from 26 to 30 of September 2011. The objective of the Training was providing participants from National Maritime Administrations, Port Administrations and VTS Managers with examples and experiences on how national maritime administrations, vessel traffic systems and Port State Control inspections are operating and administered in other countries and ports of the Region. Lead Trainers were John Østergaard and Bertrand Apperry. 22 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#25	2	5	3	1	3	8

On a country specific scale, the trainings implementation shows an almost even distribution of participants, with the exception of Turkmenistan, where the restrictive visa regime has lead to a series of cancellations of participation in trainings.

	Trainees	TOTAL
1	Azerbaijan	60
2	Georgia	97
3	Kazakhstan	100
4	Turkmenistan	15
5	Ukraine	89
6	Other Countries, International Organizations (Bulgaria, Turkey, Black Sea Commission)	18
	TOTAL	379

There were additional trainings under the new result No.6. These were, following the numbering:

Training #26 VIMSAS activities in Georgia

Took place in Batumi (Georgia) from 23 to 27 of May 2011. The objective of the Training was discussing and providing an advice on the initial steps and preparatory national work to be initiated and implemented prior to a request for the Voluntary IMO Member State Audit Scheme (VIMSAS), and to discuss and provide advice on other issues related to the work of GMTA. Lead Trainer was John Østergaard. 10 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#26	-	10	-	-	-	-

Training #27 Follow-up to VIMSAS activities in Azerbaijan

Took place in Baku (Azerbaijan) from 18 to 20 of July 2011. The objective of the Training was discussing and providing assistance and clarifications in connection with the drafting and finalization of the Internal Memorandum and to provide advice on other issues related to the work of ASMA. Lead Trainer was John Østergaard. 4 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#27	4	-	-	-	-	-

Training #28 Training on compliance with the "International Ship and Port Security Code (ISPS Code)

Took place in Batumi (Georgia) from 26 to 28 of July 2011. The objective of the Training was providing to participants from National Maritime Administrations, Port Administrations, Managers of Shipping Companies and maritime training institutions with a basic understanding of the application of the ISPS Code, including the methodology required to produce a standardized, consistent framework for evaluating risk, enabling governments to offset changes in vulnerability for ships and port security assessments and plans. Lead Trainer was Bertrand Appery. 19 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#28	-	19	-	-	-	-

Training #29 Training on Quality Management System

Took place in Batumi (Georgia) from 22 to 26 of August 2011. The objective of the Training was to create awareness among MTA staff on the concept and importance of quality assurance and the requirements for a QMS in accordance with ISO 9001:2008". Given the limited previous experience and knowledge of Quality Assurance (QA) and QMS among MTA staff it was agreed to keep the training very basic and focus on the overall QA principles and procedures. Lead Trainer was Bo Klinke, supported by Julie Hübertz. 19 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#29	-	19	-	-	-	-

Training #30 Assistance for STCW implementation and auditing in Georgia

Took place in Batumi (Georgia) from 12 to 16 of September 2011. The objective of the Training was providing to participants from National Maritime Administrations, the Shipping Industry and maritime training institutions with information and understanding of special training requirements for personnel on certain types of ships in accordance with Chapter V of the annex to the 1978 STCW Convention. Lead Trainer was John Østergaard. 10 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#30	-	10	-	-	-	-

Training #31 Compliance of the Offshore oil industry with the International Maritime Regulations and guidelines

Took place in Aktau (Kazakhstan) from 18 to 19 of October 2011. The objective of the course, which was demanded from the KAZAKH Administration, was to help the Administration officers to be prepared to ensure their rights of Coastal State for safety and security verification and controls on the mobile offshore companies and units working in their jurisdiction area as well as a reminder of regulations applicable for the Offshore companies and units. The course was focusing on the application of international conventions and other code of practice or guidelines for Safety, security and environmental prevention of their activities. Lead Trainer was Bertrand Appery. 20 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#31	-	-	20	-	-	-

Training #32 Training EU Regional Environmental Programmes: Sustainability and Project Marketing Principles for the ENP East (focus on TRAS priority actions implementation and funding)

Took place in Batumi (Georgia) from 17 to 21 October 2011. The objective of the course was providing the knowledge of ENP financing initiatives with particular emphasis on investment priorities identified in the TRAS and how these could become successful financing applications under EU ENP Programme. Lead Mihai Mindra, supported by Alex Trelea and Emilia Postalache. 7 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#32	-	7	-	-	-	-

Training #33 *Training EU Regional Environmental Programmes: Sustainability and Project Marketing Principles for the ENP East (focus on TRAS priority actions implementation and funding)*

Took place in Odessa (Ukraine) from 14 to 18 of November 2011. The objective of the course was providing the knowledge of ENP financing initiatives with particular emphasis on investment priorities identified in the TRAS and how these could become successful financing applications under EU ENP Programme. Lead Mihai Mindra, supported by Alex Trelea and Emilia Postalache. 8 trainees participated.

Training	Azerbaijan	Georgia	Kazakhstan	Turkmenistan	Ukraine	Others
#33	-	-	-	-	8	-

Adding these numbers to the total above shows the following overall picture:

N.	Country / Institution	Trainees 3.2*	Trainees 6*	Total
1	Azerbaijan	60	4	64
2	Georgia	97	65	162
3	Kazakhstan	100	20	120
4	Turkmenistan	15	-	15
5	Ukraine	89	8	97
6	Other Countries, International Organizations (Bulgaria, Turkey, Black Sea Commission)	18	-	18
	TOTAL	379	97	476

* 3.2 relates to the trainings conducted under result 3.2 and 6 relates to the trainings that were requested bilaterally and therefore conducted under result 6.

The amount of total trainees under activity 3.2 and 6 reflects an increase in the originally anticipated number of trainees by 64% (originally planned number of trainees was 290). Because of the mitigating measures employed in trainings execution and strict financial discipline, the project managed to avoid cost overruns.

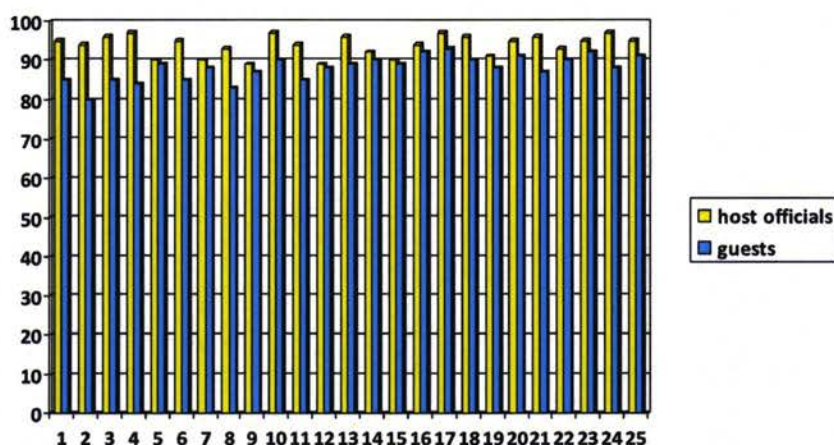
This relatively high number of trainees can be broken down into participants who participated 1 to 3 times in trainings and participants that participated more than 4 times in trainings.

Participation in Trainings	Azerb.	Georgia	Kazakh.	Turkmen	Ukraine	Other	Total
1-3	61	155	117	15	94	18	
4 +	3	7	3	-	3	-	
TOTAL	64	162	120	15	97	18	476

The SASEPOL team requested short bios from the anticipated participants for the trainings. On several occasions, trainees were rejected, based on the grounds that they were not from beneficiary organisations, such as representatives of private companies, or were simply not deemed suitable to benefit from the

training. This way, entry criteria were established and ensured high quality and efficient trainings could be conducted.

The trainers handed out trainings review forms and asked the participants to provide feedback. A sample for is attached in Appendix C. These feedback forms were used to improve the trainings constantly. Overall, the satisfaction level of the trainees with the trainings was extremely high.



Whilst every efforts was undertaken to constantly improve the trainings, no particular reason could be identified why the satisfaction of host country officials was slightly higher than of the attending guests.

The **objective** of enhancing the professional capacity of relevant staff of maritime administration has therefore been met.

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

TOR and Objective

"The project will assess the level of implementation of the Black Sea MOU in the beneficiary countries of the Black Sea. For the beneficiary countries of the Caspian Sea, the project will provide assistance and promote the harmonization and compliance of Port State Control procedures according to international standards.

In each country, one port shall be identified as a "best practice port" and a model for other national ports. It is important that the selected port is interested, with relevant back-up from the national maritime administration, and that the port management show the necessary commitment to develop and implement the measures needed. The responsible staff in national administrations and ports shall be able to carry out efficient PSC. If needed efficient procedures shall be implemented and the staff trained further regarding the practical and operational aspects of the inspection procedures."

The **objective** of this activity was therefore an assessment of the level of compliance of the best practice ports with international requirements and to issue recommendations.

Activities

This activity has two subcomponents. One is the analytical component, where the best practice port was identified and the second sub-component was the tailored training. Trainings Courses 12 and 13 provided a comprehensive guidance for modern and efficient Port State Control.

An international STE Mr Ib Mathiesen was mobilised and has conducted visits from March to May 2010. Mr Mathiesen visited all beneficiaries except Turkmenistan as no visa could be obtained in time. The respective report was submitted at the end of June 2010 to the EU and comments were received.

With October 2010 a local expert has been mobilised in Turkmenistan and relevant information was. This information was analysed and KE 2 travelled to Turkmenistan in June 2011 and completed the Turkmen

chapter on PSC. This delay in travelling to Turkmenistan is due to the personal injury which hospitalised KE 2 from February 2011 to May 2011. The final report consisting also of Turkmenistan has been submitted and approved.

The reports contain specific recommendations and those have, partly, been elaborated to the TRAS.

The **objective** of assessing the PSC systems and to issue specific recommendations and to provide tailored training has therefore been met.

3.3.9 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

TOR (extract) and Objective

In each country, one port shall be identified having the potential to become a "best practice port" and a model for other national ports in terms of waste management. The experts will assess the situation in selected ports with reference to the EU Directive, EC 2000/59, regarding: available facilities, cost recovery systems, responsibilities, organization, notification procedures, waste, money and paper flow, incentives for delivery. On this basis, a Traffic and Waste analysis will be provided to serve as a basis for further awareness raising and training sessions on the issue of having ship generated waste collected in ports rather than discharged illegally into the sea. A Port Waste Management Plan (PWMP) should then be developed in a process oriented approach involving all stakeholders in the port onto the work (possibly through workshops). The PWMP should show how the ship waste handling takes place in a port and how the port plan to implement the activities needed to fulfill its objectives. Most often a PWMP consists of two documents i.e. - a Procedures Manual (defining procedures and other issues relevant for the port users) - an Implementation Plan (showing how the port plans to implement the various activities). [...]

During the preparation of the PWMP, some activities can be implemented right away whereas others have a longer time perspective. An important point is to start implementing procedures as soon as possible and not wait until the e.g. final facility is ready. Some ports have an already existing relationship with external waste operators; others want to involve the private sector in order to avoid any huge investments themselves. Regardless of who is selected to carry out the waste handling (collection, treatment and final disposal) there should be a transparent contractual framework in place, defining the various responsibilities and procedures. If the waste handling is to be tendered out, support to the preparation of tender specifications and service contract documents should be provided.

The **objective** of this activity is therefore the development and implementation of a modern Port Waste Management Plan and to enhance the educational status of relevant capacities.

Activities

An international expert Mr JP Ohlenschlaeger has been mobilised as international waste management expert and Dimitry Chernega has been engaged as local Ukrainian expert. As model ports have been identified: Baku / Azerbaijan, Batumi / Georgia, Odessa / Ukraine, Aktau / Kazakhstan and Turkmenbashi / Turkmenistan.

During the inception phase problems were identified with the practicality of delivering model waste management plans for ports in each of the beneficiary countries. Essentially the amount of work involved in delivering these plans is potentially disproportionate when considering the number of days available to the project. Therefore a slightly revised proposal was discussed and agreed upon with the EU, being to develop a model PWMP in Odessa and to use this as a template for the other best practice ports.

A comprehensive round of visits took place to all model ports in the beneficiary countries and the respective reports have been submitted and are published on the SASEPOL website. The model PWM Manual for Odessa was drafted, submitted and approved, together with the authorities in Odessa, addressing the following issues:

- Responsible organization (staff)
- Estimated traffic and waste analysis (agreement on platform)
- Port policy
 - Ownership and operation of facilities
 - Service level
 - Cost recovery principle

- Ship waste handling procedures
 - Waste
 - Money
 - Paper
- Waste notification system to be established – preferably mandatory
- Cost recovery – involvement of MOT (their approval)
 - Estimation of yearly capital, operational and administrative cost (total yearly cost)
 - Estimated traffic (total GT)
 - Estimated waste fee/GT – agreement on size of waste fee (Requires MOT involvement)

The Training Plan included dedicated Training in April 2011, in Odessa, Ukraine (No 21). Following this training, where the Odessa PWMP has been presented and introduced, a round of visits took place to the other beneficiary countries, who requested assistance and concrete assistance was provided in the implementation of the (model) PWM Manual.

The **objective** of this activity to develop and implement modern port waste management plans and to train relevant staff has therefore been met.

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

TOR and Objective

On the basis of previous studies on ISPS activities in the region, the experts will review and update the level of implementation of the ISPS Code in the beneficiary countries. This assessment shall be the basis for planning further activities to reach full compliance with the ISPS Code.

The ISPS Code is part of SOLAS and full compliance is mandatory for the Contracting Parties to SOLAS. There is no IMO "black list" of any kind and therefore no list of ports or flag States which are not in compliance. The ISPS Code database contains the information required by SOLAS regulation XI-2/13 as supplied by Contracting Governments. Lack of inclusion in the database should not be perceived automatically as a failure to comply with the SOLAS requirements.

In each country, one port shall be identified having the potential to become a "best practice port" and a model for other national ports in terms of implementation of ISPS Code.

According to the ISPS Code, Governments must assess the threat and evaluate the risk of a potential unlawful act. It may take some time before someone may be able to argue and convince that a deep rooted comprehensive and effective security net is in place. Although a ship or a port facility may operate in accordance with an approved security plan, unless all Contracting Governments put in place and maintain the necessary arrangements to address all the objectives and the functional requirements of the ISPS Code, the actual level of security will not be enhanced.

Some of the selected ports in the region are probably in almost compliance whereas others still have room for improvements. It is therefore important that this activity ensures that appropriate security measures and procedures are in place in the port facilities and waterways located within their territory and the necessary plans and procedures prepared and well implemented.

The **objective** of this activity was therefore to assess the level of implementation of the ISPS code at a best practice port and to provide an action plan / recommendations for improvement.

Activities

This activity commenced in September 2010 with the deployment of an international expert (Capt John Wynn) and a comprehensive round of visits took place, to all countries except Kazakhstan, where clearance could initially not be achieved in time. The issues pertaining to access to (relevant) information was and is met by a degree of resistance based on confidentiality concerns regarding ISPS. In order to gain access to relevant information, a confidentiality statement was signed by the international expert (both in Russian and English) and this was submitted to the relevant authorities, together with an explanatory letter from the project. The visit to Kazakhstan did take place in February 2011 and access to the facilities was granted.

The following tasks were included under 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;
- Elaboration of a proposal for updating the level of implementation of the ISPS Code;
- 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.
- Report on the level of implementation of the ISPS Code in the concerned countries.

The analytical reports were structured along this methodology.

The Training Plan included a regional ISPS-Code Training Course No 11, held in Odessa Ukraine in May / June 2011 and another dedicated training in Batumi (No 28), Georgia in July 2011.

The reports were drafted and sent to the beneficiary authority for comments and clearance. The reports were then finalised and submitted to the EU in March 2011 and approved. These reports were not published on the website because of security and confidentiality concerns the beneficiary countries have raised with the SASEPOL project. For this reason, they are also included in the Report Appendix B, but are marked "ISPS REPORTS, CONFIDENTIAL" and will not be further distributed.

The **objective** of assessing the ISPS compliance in best practice ports and to increase the level of knowledge of relevant capacities has therefore been met.

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

TOR and Objectives

The objective is to establish a dialogue where the countries can discuss and learn from each other having in mind that maritime risks do not respect borders. Other regions around the world have established regional cooperation varying from formalized and institutionalized cooperation to a more informal cooperation. The REFAC Group under HELCOM can be used as a model. This regional group also consisted of participants with very different background and came from countries at different level. The conclusions from the group, where later formulated into "Recommendations" (not legally binding) to be implemented by each participating country. Together with the TRACECA Secretariat, the project should help defining: Objective of the "Working Group meetings; Organization and logistics, procedures, schedules; participants and drafting of recommendations and related Action Plan. Preferably there should only be one group for the Black Sea and Caspian Sea. One or two experts per country should be invited. It is also recommended to involve Russia in the Working Group. The Working Group should gather approximately twice a year.

The **objective** of this activity is therefore, in close cooperation with TRACECA, the establishment of a "Regional Working Group" concerned with issues of maritime safety and security and environmental pollution prevention.

Activities

Following a kick off meeting of the National Coordinators from the beneficiary countries in July 2010, National Working Groups (NWG) were established in all (direct) beneficiary countries; this was a 2 days interactive workshop, where the TOR for the National and Regional Working Groups were discussed and an action plan for the next NWGs was issued. In due course, the NWGs analysed the situation of the maritime transport in their respective countries in terms of safety, security and prevention of pollution. Terms of Reference for the NWGs were discussed, circulated and formally adopted at the second RWG meeting in Brussels in September 2010.

The National Working Groups (NWG) are all operational and fifteen NWG meetings were conducted during the project period. The purpose of the NWGs was, inter alia, to develop the TRAS and the priority list of Actions and to highlight any progress made, changes and requests for urgent support in their jurisdictions. The National Coordinators were present at the RWG meetings. Due to the accident and resulting injury of KE 2, some NWG meetings were delayed in the 1st and 2nd quarter of 2011 and were rescheduled.

The table below shows the NWG meetings that took place during the project.

Country	1 st	2d	3d	4th
Azerbaijan	17 Sep 2010 Baku	14 Dec 2010 Baku	11 Feb 2011 Baku	
Georgia	19 Nov 2010 Batumi	18 Feb 2011 Batumi	21 July 2011 Batumi	
Kazakhstan	21 Sep 2010 Astana	10 Dec 2010 Aktau	18 Feb 2011, Aktau	
Turkmenistan	12 Oct 2010 Turkmenbashi	08 Jun 2011 Turkmenbashi		
Ukraine	11 Mar 2010 Odessa	10 Sep 2010 Odessa	16 Dec 2010 Odessa	05 December 2011 Odessa

This picture shows members of the Kazakh National Working Group, (before) celebrating that Kazakhstan is now on the Paris MOU MoU White List.



A regional (Black and Caspian Seas) Working Group on maritime safety, security and marine pollution was established with the purpose is to enhance the regional cooperation and interchange of knowledge and practices between the countries participating in the project. A principal product is the regional Action Plan (Activity 5.2 below).

The RWG is composed of two experts per direct and indirect beneficiary country with specific experience in the fields of maritime safety, security and pollution control, chaired by the EU. Although consideration was given to creating two sub-regional working groups instead of a single main working group, to recognise the differences encountered between the two seas, it was decided that the one group is preferable in that the leading members would provide examples and encouragement to the countries that yet have to develop their maritime safety, security, and pollution control capabilities. Also the Black Sea Secretariat, the Black Sea MOU and the Tehran Convention Secretariat (CASPECO) were invited and participated.

Altogether 4 comprehensive RWG meetings took place:

N.	Place and Date	Major outcomes
1	18 December 2009, Brussels	Establishment of the RWG and agenda.
2	28-29 September 2010, Brussels	Cornerstones of TRACECA Regional Action Strategy defined.

3	01-02 February 2011, Istanbul	Presentation of first comprehensive TRAS.
4	30 September 2011, Brussels	Adoption of TRAS and submission to TRACECA; Turkey assumes presidency of the RWG.

The reports of the RWG meetings are available on the SASEPOL website and are also in the Report Appendix B and the respective conclusions of the RWG meetings are in Appendix B as a separate document.

Two milestones were achieved in the RWG efforts. These were the adoption of the TRAS by the IGC meeting in Bucharest in November 2011 and the assumption of the presidency of the RWG by Turkey and the appointment of Mrs Secil Ozyanik as president and Mr Emre Dincer as Vice-President. The respective appointment by TRACECA is in Appendix D.



(Participants at the 3rd RWG meeting in Istanbul and excursion across the Bosphorus in Turkish SAR vessels)

The **objective** of this activity, to establish a regional working group concerned with maritime safety, security and environmental protection has therefore been fully met.

3.3.12 Activity 5.2: Develop a regional action plan on maritime safety, security and environmental protection in line with international conventions and regulations

TOR and Objective

The purpose of the regional Working Groups is to meet and discuss maritime issues of common interest to the countries e.g. maritime safety, security and environment protection from ships. Although individual countries are at different level they all have an interest in the compliance of neighboring countries of relevant Conventions to ensure highest level of safety, security and environmental protection. The Working Groups should allow the development of a regional Action Plan focusing on implementation of the relevant conventions in the region.

Following national discussions, background analyses, alignment with the TRACECA strategy and recommendations of Working Groups, the Action Plan it shall be presented and discussed further at regional level. This Action Plan should support already existing initiatives, and enhance regional coordination and communication. The implementation of the Action Plan should be the responsibility of the parties, with possible support from the project.

The **objective** of this activity was therefore to draft, discuss and agree on a regional action plan concerned about maritime safety, security and environment pollution.

Activities

The TRACECA Regional Action Plan, as per the ToR and a delivery as an outcome of the 2nd RWG meeting has been renamed into TRACECA Regional Action Strategy (TRAS). Drafting efforts began

between the SASEPOL core team and the European Commission (Mr R Hoender and Mrs B Bernardi). It soon became clear that additional support was needed and an international STE was deployed and commissioned with the drafting (Mrs Julie Huebertz). Several visits to TRACECA in Baku took place, where the foundations for the TRAS were being laid.

The TRAS was first presented to the RWG at the 3rd RWG meeting in Istanbul. Following this RWG meeting, the TRAS was comprehensively revised by a dedicated team of experts (Ms Julie Huebertz and Mr Nazim Mamedov). More visits to Baku took place, and a more detailed TRAS was presented to the RWG at a dedicated TRAS revision meeting in Odessa 18 to 20 April 2011.

At the TRAS drafting session in Odessa, the Priority Objectives of the TRAS were discussed. In due course, the TRAS was amended and submitted to TRACECA on 02 May, in English and Russian. The TRAS was then presented officially at the TRACECA IGC meeting in Italy, Milan on 08 to 09 June 2011. At this meeting, Ms Julie Huebertz presented the TRAS to the IGC and a decision was made that this TRAS be filed for official adoption on the next TRACECA IGC meeting in November 2011 in Bucharest, Romania.

A last TRAS revision / workshop session was held in Antalya, Turkey from 05 to 08 September 2011. Most of the RWG members were present and also the TRACECA NCs or representatives. The TRAS was then finalised and presented as "final" at the RWG meeting in Brussels on 30th September 2011. Final comments have been incorporated and the TRAS in English and Russian was adopted at the IGC meeting in Bucharest on the 24th November 2011.

The final version of the TRAS in English and Russian is in the Report Appendix B.

The **objective** of this activity, the development and adoption of a Regional Action Plan has therefore been met.

3.3.13 Activity 6: Support to the implementation of the transposition plans following activity 1.1 and 1.2, the action plans following activity 2.1 and the port waste management plans following activity 4.2.

TOR and Objective

On the basis of different plans prepared in activities 1.1, 1.2, 2.1 and 4.2 the experts will provide dedicated technical assistance support to the most relevant and urgent national needs as identified in these plans. The objective is to further support the beneficiaries with the compliance of maritime safety and security requirements following the gap analyses that are inserted in the different plans.

The **objective** was therefore to provide tailored support to the beneficiary countries according the actions identified in several action and transposition plans.

Activities

This new result 6 became effective in March 2011. Activities conducted under this delivery are twofold.

1. Activities that commenced before the effectiveness of Addendum 4.
2. Activities that commenced after effectiveness of Addendum 4.

In the mature stages of implementation of the TOR of SASEPOL, it became clear that in some beneficiary countries, there were urgent needs for intervention. If this was the case, the action and transposition plans and the TRAS list of priority actions were reviewed and if coverage could be found to conduct such (requested) activities, then specific support was provided. The basis for these "early" support packages were the action and transposition plans of the approved reports under the respective activities (1.1, 1.2, 2.1 and 4.2). These are also shown here, as this provides a more comprehensive and clearer picture of the support provided.

Support was provided in the form of "support packages", where specific interventions were requested by the beneficiary maritime administrations and could take the form of dedicated technical assistance, workshops, trainings, one to one coaching, etc.

All together 17 support packages were completed:

Support Package	Topic	Time	Result
Azerbaijan 01	VIMSAS Mock Audit	Mar 2011	Deficiencies clear.
Azerbaijan 02	VIMSAS follow up	July 2011	Ways to rectify deficiencies.
Georgia 01	STCW legal drafting	Jan – Mar 2011	STCW law enacted.
Georgia 02	RO legal drafting	Mar – May 2011	RO regulations adopted.
Georgia 03	VIMSAS Mock Audit	May 2011	Deficiencies clear.
Georgia 04	QM audit	August 2011	Guidelines for QM system.
Georgia 05	EU Regional Env. Programme	October 2011	EU funding & requirements clear.
Georgia 06	MLC	October 2011	Project Fiche on MLC compliance.
Georgia 07	DBase	October 2011	Project Fiche on D-Base.
Georgia 08	MTA legal support	Nov – Dec 2011	Project Fiche on MTA support.
Kazakhstan 01	PWM	May – Aug 2011	Project Fiche on PWM.
Kazakhstan 02	ISM	October 2011	ISM requirements clear.
Kazakhstan 03	Offshore requirements	October 2011	Offshore structures requirements clear.
Turkmenistan 01	PCS one to one train.	June 2011	Requirements for PSC clear.
Ukraine 01	VIMSAS Training	July 2011	VIMSAS requirements clear.
Ukraine 02	PWM Action Fiche	May – Aug 2011	Project Fiche.
Ukraine 03	Revise RO system	May – Sep 2011	Report on revision on RO control and monitoring & draft RO law.
Ukraine 04	Port Strategy	Oct – Nov 2011	Project Fiche on National Port privatisation strategy.

The distribution of funds and assistance for these support packages is based on actual requests from the beneficiaries, covered by the respective action and transposition plans and, on the possibility and on the assumed priority of such requested assistance.

There are, for example, requests that cannot be covered by this project because of time or budget limitations (for example the implementation of a QM system in Georgia). Any such legitimate requests were discussed with the NWG and then brought to the RWG's attention. If these requests were tabled at the RWG meetings, bilateral support might materialised (there are examples for this between Turkey and Georgia).

Whilst efforts are made to distribute the available funds evenly over the direct beneficiaries, some countries are more demanding and in immediate need for assistance than others. Then, some beneficiary countries are more open to provide information and access. In other words, there are different environments and given the time and budget limitations of SASEPOL, and given the general obligation of the project management to put public funds to most efficient use (EC Aid Delivery Methods, Volume 1, Project Cycle Management Guidelines), some beneficiary countries have benefitted somewhat to a higher degree than others.

The **objective** to provide tailored assistance to the beneficiaries has therefore been met.

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

TOR and Objectives

During the inception phase, the project will analyze the possibility to support the existing TRACECA website or to create a new website dedicated to maritime safety and security. The website should provide relevant documentation, status of relevant activities and plans for future activities. This website should be developed with a sustainable purpose, since it should be further developed and maintained after the end of this project

Finally, a Communication Plan should be developed and implemented, including press releases, press conferences, leaflets and newsletters, websites, banners and promotional items related to the project activities. In particular, regular update on the project should be sent to the TRACECA Permanent Secretariat for their quarterly newsletter. EC templates and guidelines should be respected for any communication action.

The **objectives** of this activity were to design and update a dedicated website and to draft and implement a communication plan.

Activities

According to the ToRs the project team should draft and implement a Communication and Visibility Plan, which should provide for “[...] *press releases, press conferences, leaflets and newsletters, websites, banners and promotional items related to the project activities.*” Moreover, all project deliverables for this activity will have follow EC Visibility and Communication Guidelines and Instructions for EC External Actions. The plan was submitted to the EU in September 2010 and was approved during the same month.

The Communication and Visibility Plan covered SASEPOL project’s external communication and representation and ensures EU visibility criteria are implemented and followed through. In addition, the CVP also partially covers internal communication channels and procedures, thereby ensuring mutual and efficient internal communication and representation of project aims and achievements.

All external communication activities performed in accordance with the CVP throughout the duration of the project were targeted at two main groups:

- relevant maritime administrations and other public stakeholders in the beneficiary countries;
- other institutionalised target groups, such as relevant EU organisations, institutions and projects, including institutions and organisations outside the remit of the EU.

The key stakeholders in the **Beneficiary Countries** have includes:

- Maritime Administrations;
- Port administrations;
- Maritime educational institutions;
- General public;
- Media.

Target groups **within the EU** have included:

- TRACECA;
- The respective EC delegations and TACIS (in Turkmenistan);
- ENPI Information Centre (Brussels);
- Other EU-funded initiatives in the area of maritime safety, security and environmental protection, such as SAFEMED II, IDEA, LOGMOS, etc.

Target groups outside the direct remit of the **EU** have included:

- Black Sea Commission;
- CASPECO;
- IMO;
- Diplomatic missions.

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All the activities and deliverables planned in the ToR and CVP for this Result have been achieved. Additionally, there were a number of actions undertaken which were taken over from the EU Communication and Visibility Manual and other guidelines available on the EU ENPI InfoCentre website.

The SASPEOL project has also developed a SASEPOL brochure, containing the required feature stories and highlights of the SASEPOL projects, together with a CD Rom on which promotional material, reports and the most important trainings material can be found. This has been distributed to the beneficiary countries, to the RWG presidency, to TRACECA and the EU delegations.

The SASEPOL website receives an average of 4,000 hits per month, it is estimated that half are genuine.

Three SASEPOL Newsletters were released. The newsletters have been redesigned to be in line with the new EU communication and visibility guidelines. An overview of these articles, references, etc are shown below. Also, the SASEPOL website will be kept operational for one more year, until 31 December 2012, by which time the website will be handed over to either TRACECA or to the RWG.

The table below summarizes the activities conducted and the public appearances.

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Output / Deliverable as set in ToR & CVP AND additional	Number / M.U. set in the ToR / CVP	Outputs / Deliverable Reported	Dissemination Channel	Reference
Website	1	Website regularly updated, integrated with TRACECA website: www.sasepol.eu The languages of the website are English and Russian	www.sasepol.eu The website menu includes: - About SASEPOL - Project Overview - TRACECA Action Plan [one of the main project achievements] - Downloads [section with full-text access to project reports, newsletters, brochures, etc.] - News - Links - Contact us	www.sasepol.eu http://www.traceca-org.org/en/technical-assistance/development-of-common-security-management-system-and-cooperation-in-the-area-of-maritime-safety-and-ship-pollution-prevention-for-the-black-sea-and-the-caspian-sea/
Newsletters (bilingual – English/Russian)	Number not given	SASEPOL LIFEBOUY, Issue 1, November 2010	SASEPOL website SASEPOL emailing list	http://www.sasepol.eu/downloads/press/newsletter/
		SASEPOL LIFEBOUY, Issue 2 (project newsletter), April 2011	SASEPOL website TRACECA News ENPI Info News NYCOM WORLDWIDE COMMUNITY NEWS	http://www.sasepol.eu/downloads/press/newsletter/ http://www.traceca-org.org/en/news/single-news/n/sasepol-newsletter-issue-2/ http://www.enpi-info.eu/eastportal/news/project/25601/Newsletter-emphasises-closer-maritime-cooperation-within-Black-and-Caspian-Sea-regions

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Output / Deliverable as set in ToR & CVP AND additional	Number / M.U. set in the ToR / CVP	Outputs / Deliverable Reported	Dissemination Channel	Reference
				http://www.nykom.com/2011/06/17/sasepol-newsletter-issue-2/
		SASEPOL LIFEBOUY, Issue 3 (project newsletter), October / November 2011	SASEPOL website TRACECA News [to be uploaded once translated into Russian and TRACECA PR Officer's approval has been obtained] ENPI Info News [to be uploaded once translated into Russian]	http://www.sasepol.eu/downloads/press/newsletter/ http://www.traceca-org.org/en/news/news-filtered-by/?tx_ttnews[project]=250
Press releases (have been complemented by "News", cf. description below)	Number not given	Press Release on VTS Training in Delta-Pilot State Enterprise, Nikolayiev (Ukraine), 18 February 2011. Quotes given by: John Ostergaard (SASEPOL Key Expert), Gennadiy Garas, Delta-Pilot Deputy Director, Kyril Sereda, Project Training Coordinator, and Sergey Rudenko, SASEPOL Country Coordinator & Vice-Rector of Odessa National Maritime University.	Delta Pilot Website Trans-Port Online Transas Ukraine (online)	http://www.delta-pilot.ua/index.php?mode=events&id=1153 http://www.trans-port.com.ua/index.php?newsid=25082 http://www.transas.com.ua/content/view/72/27/
		"Two More EU-funded International Training Events in Odessa and Baku: IMO Conventions in the Spotlight" September 2010	SASEPOL website	http://www.sasepol.eu/downloads/press/
		"High-level Meeting: Regional Working Group & Steering Committee on Maritime Safety, Security and Pollution Prevention Due in September", September 2010	SASEPOL website TRACECA website	http://www.sasepol.eu/downloads/press/ http://www.traceca-org.org/en/technical-assistance/development-of-common-security-management-system-and-cooperation-in-the-area-of-maritime-safety-and-ship-pollution-prevention-for-the-

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Output / Deliverable as set in ToR & CVP AND additional	Number / M.U. set in the ToR / CVP	Outputs / Deliverable Reported	Dissemination Channel	Reference
				black-sea-and-the-caspian-sea/
		"First MARPOL 73/78 Training Event for SASEPOL Project Beneficiaries Due in October", early October 2010	SASEPOL website	http://www.sasepol.eu/downloads/press/
		"Training on Operational aspects of SOLAS 74 for SASEPOL Project Beneficiaries Due This Fall", October 2010	SASEPOL website	http://www.sasepol.eu/downloads/press/
		"Second MARPOL 73/78 Training Event for SASEPOL Project Beneficiaries," November 2010	SASEPOL website	http://www.sasepol.eu/downloads/press/
		"Training on International Safety Management Code for SASEPOL Project Beneficiaries," November 2010	SASEPOL website TRACECA website	http://www.sasepol.eu/downloads/press/ http://www.traceca-org.org/en/news/single-news/n/sasepol training on international safety management code/
Press conferences & press briefings	Number not given	Press conference, 1 February, 2011, Istanbul (Turkey), at the time of the Regional Working Group Meeting, 28 – 1 February, Istanbul (Turkey). Speakers: Roel Hoenders (EU PM); Wim Verheugt, SASEPOL Project Director ; John Ostergaard, SASEPOL Key Expert; Ahmet Kideys, Executive Director of the Black Sea Commission; Emre Dincer, Maritime Expert, Under Secretariat for Maritime Affairs.	Deniz Haber News Agency (Online & in Print) Ulasim Online & In Print Utikad Online Lojiport Online TRACECA website SASEPOL website	http://www.denizhaber.com.tr/sektorden/32992/traceca-karadeniz-hazar-denizi-proje-bulgaristan-caspeco-uzman-sekreterligi.html http://www.ulasimonline.com/news_detail.php?id=25350 http://www.utikad.org.tr/haberler/default.asp?id=7538 http://www.lojiport.com/traceca-2012de-hayata-geciyor-27021h.htm http://www.traceca-org.org/en/technical-assistance/development-of-common-security-

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Output / Deliverable as set in ToR & CVP AND additional	Number / M.U. set in the ToR / CVP	Outputs / Deliverable Reported	Dissemination Channel	Reference
				management-system-and-cooperation-in-the-area-of-maritime-safety-and-ship-pollution-prevention-for-the-black-sea-and-the-caspian-sea/
		<p>Press conference in Baku, Azerbaijan on 21 October 2010 (following the implementation of the training course No 8). Speakers included: Mr. Akif Mustafayev, Azerbaijan's National Secretary of the TRACECA programme; Mr. Jean-Louis Lavroff, Counsellor, Delegation of the European Commission to the Republic of Azerbaijan, Captain John Østergaard, SASEPOL Key Expert</p>	<p>SASEPOL Website</p> <p>AZTV (Azerbaijani National Television) - A video account of the press conference was included in the daily news by the national television and broadcasted in October 2010.</p> <p>Salam News, Trend Information Agency, SIA, INTERFAX Azerbaijan, APA INFORMASIA, AZADINFORM, Palitra, Ria Novosti, NGO „Eco Union,” and Space (private television station in Azerbaijan)</p>	<p>Accounts published at:</p> <p>www.sia.az; - www.525.az (525-ciqazet); - www.hellenicshippingnews.com; - www.news.az; www.oananews.org (the Organization of Asia-Pacific News Agencies); www.searates.com; www.seanews.com.tr; www.today.az.</p>
		<p>Press Briefing on Odessa Port Waste Management Manual developed with the support of SASEPOL, Odessa, 15 April 2011. Speakers: Jens-Peter Olenschlager (SASEPOL Expert), Falko Sellner (SASEPOL TL); Dmitri Chernega (Odessa Port); Sergei Rudenko (SASEPOL Country Coordinator for Ukraine); representatives of major stakeholders from Odessa and other Ukrainian Ports (roundtable discussion)</p>	<p>PWM Manual broadcast on 18 & 19 April 2011 at 8.10, 15.10 and 18.10 on Ukrainian Radio and Black Sea Radio.</p>	<p>http://www.sasepol.eu/news/</p>

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Output / Deliverable as set in ToR & CVP AND additional	Number / M.U. set in the ToR / CVP	Outputs / Deliverable Reported	Dissemination Channel	Reference
Leaflets and brochures	No. not given	SASEPOL-dedicated brochures and flyers have been designed in accordance with EU visibility guidelines and distributed to all participants to SASEPOL events throughout the duration of the project.	Trainings and other events organised by the project.	http://www.sasepol.eu/downloads/press/brochure/
	None (this activity is additional to those included in the CVP/ToR)	Two more brochures will be produced in the last month of the project in order to promote project success stories (modelled on EU templates for feature stories and case studies)	SASEPOL website TRACECA website ENPI Info Centre portal A number of hard copies will be sent out to the EC in Brussels, TRACECA Permanent Secretariat, EU Delegations from beneficiary countries, and maritime administrations in beneficiary countries.	<i>(references not yet available at this stage; will become available once the brochures are final and approved for publication)</i>
Banners and promotional material	Number not given	SASEPOL-dedicated banners and stationery (maps, pens) have been designed in accordance with EU visibility guidelines and displayed / distributed to all participants to SASEPOL events throughout the duration of the project.	Trainings and all other events organised by the project.	N/A
Updates on project activities – “News”	Number not given	“Further Steps in Developing a Regional Action Plan on Maritime Safety, Security and Ship Pollution Prevention for the Black and Caspian Seas under the Umbrella of TRACECA,” July 2011	SASEPOL website TRACECA News ENPI News NYCOM WORLDWIDE COMMUNITY NEWS	http://www.sasepol.eu/tras/ http://www.traceca-org.org/en/news/single-news/n/further-steps-in-developing-a-regional-action-plan-on-maritime-safety-security-and-ship-pollution/ http://www.enpi-info.eu/eastportal/news/project/25602/Black-and-Caspian-Seas-Regional-Action-Strategy-approved-at-TRACECA-meeting http://www.nykom.com/2011/06/17/further-steps-in-

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Output / Deliverable as set in ToR & CVP AND additional	Number / M.U. set in the ToR / CVP	Outputs / Deliverable Reported	Dissemination Channel	Reference
				developing-a-regional-action-plan-on-maritime-safety-security-and-ship-pollution-prevention-for-the-black-and-caspian-seas-under-the-umbrella-of-traceca/
		"SASEPOL Regional Working Group Meeting and Steering Committee Meeting Brussels, Belgium, 28-29 September, 2010"	SASEPOL website TRACECA website	http://www.sasepol.eu/news/ http://www.traceca.org/en/technical-assistance/event/n/sasepol_regional_working_group_sasepol_steering_committee_meeting/
		"SASEPOL Training Event and Press Conference, 18 – 22 October, 2010"	SASEPOL website TRACECA website	http://www.sasepol.eu/news/ http://www.traceca.org/en/technical-assistance/event/n/sasepol_training_event_and_press_conference/
		Announcements of the issue of newsletters	SASEPOL website	http://www.sasepol.eu/news/
		"Last SASEPOL Workshop on TRAS," August 2011	SASEPOL website TRACECA website	http://www.sasepol.eu/news/ http://www.traceca.org/en/news/single-news/n/on_6_7_september_2011_workshop_on_the_development_of_regional_action_plan_tras_was_held_in_antalya/
				http://www.traceca.org/en/technical-assistance/event/n/traceca_regional_action_strategy_tras_workshop/

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Output / Deliverable as set in ToR & CVP AND additional	Number / M.U. set in the ToR / CVP	Outputs / Deliverable Reported	Dissemination Channel	Reference
		"Second SASEPOL Study Tour in Rotterdam and Fourth Regional Working Group Meeting in Brussels, 26th September – 1st October, 2011," September 2011	SASEPOL website TRACECA website	http://www.sasepol.eu/news/ http://www.traceca-org.org/en/technical-assistance/event/n/second_sasepol_study_tour_in_rotterdam_and_fourth_regional_working_group_meeting_in_brussels/
Participation in public regional events & promotion of project objectives and EU contribution.	None (this activity is additional to those set in CVP)	Dedicated booth and a presentation during the International Transport Week conference in Odessa, 31 May - 4 June 2010	Banners, brochures and presentation	http://www.expo-odessa.com/exeb.phtml?id=59&lang=en

In order to improve internal communication and to ensure the observance of EU communication and visibility guidelines set with regard to reporting, organisation of training sessions / seminars, interaction with main stakeholders, etc. across the project team working in the two project offices (Odessa and Baku) and five beneficiary states:

- Project reporting templates were created (progress reports; mission reports; training reports, etc.) which used the same formatting; the reports were issued / published only after undergoing revision and internal approval (the issue and revision data are included in all SASEPOL reports);
- Project reports and other materials relevant for the general public and not under any confidentiality agreement with the Client and / or beneficiary countries have been published on the project website ("Downloads" section)
- An online files server was created which could be accessed from offsite by all project staff, national and international via the project website. In order to make this system operational, the IT Expert reviewed the hardware and software facilities available in all five countries; recommendations were made if improvements were necessary and all project staff were trained into its use as well as on EU communication and visibility guidelines.

Resources

Communications have been led by the Team Leader, supported by the Communication Expert and the IT Expert, with local contacts made through national coordinators and local experts.

3.4 Resources budget used

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		Countries: Azerbaijan, Georgia, Kazakhstan, Turkmenistan and Ukraine		Page :
Planning period : 01.08.11 – 31.12.11		Prepared on : 10/12/2011		EC Consultant : Mott MacDonald - Milieu - Ramboll Danmark - Tethys Consulting		
Project objectives: 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						
RESOURCES/INPUTS	TOTAL PLANNED AFTER ADDENDUM 4 (man days)	PERIOD PLANNED	PERIOD REALISED	TOTAL REALISED	AVAILABLE FOR REMAINDER	
PERSONNEL						
EU TOTAL						
F Pardo/F Sellner	406	78	80	406		0
B Appery	290	53	53	290		0
J Ostergaard	338	0	0	338		0
Short Term Junior	492	169	169	492		0
Short Term Senior	2373	200	200	2363		0
Sub-total	3899	500	502	3899		0
EQUIPMENT AND MATERIAL						
Sub-total						
OTHER INPUTS INCIDENTALS						
	1,200,854.56€	€334,000	€333,634	€1,200,488.56		€366.00
Sub-total	1,200,854.56€	€334,000	€333,634	€1,200,488.56		€366.00
TOTAL	3,403,182.06€					€366.00

3.5 Assumptions and risks

An analysis of assumptions and risks is provided in section 4.7 of this report. These are broadly as per the inception report for the project and have therefore not been explained again in detail here. However the key issues identified include:

- Administrative delays slowing the progress of the project and inhibiting expert access to maritime administrations.
- Visa Delays delaying entry of experts to beneficiary countries but also delaying beneficiary staff attending regional events outside their home country in some jurisdictions.
- Security constraints inhibiting access to ports and people.
- Lack of availability of Key Stakeholders, preventing meaningful meetings and interaction.
- Language difficulties preventing meaningful discussion and leading to misunderstandings.
- Ensuring that experts recognise the different characteristics of the two different seas.
- A potential lack of support to the training programme.
- Poor interaction with third parties, including NGOs, private sector organisations and non maritime government organisations, could lead to narrower benefit than the project could potentially have.

The main interventions in this reporting period concerned confidentiality and visas. Regarding confidentiality, all SASEPOL experts are signing a confidentiality agreement in both Russian and English language and this has proven useful in gaining access to otherwise withheld information and people. Concerning Visas for Azerbaijan and Turkmenistan, a formal process has been identified and this allows Visas now being retrieved in time.

As SASEPOL has gained recognition in the beneficiary countries, the formal process of meeting key stakeholders has also improved and there is an increased willingness to cooperate. Reference is made to the VIMSAS promotion and the PWM activities, where a keen interest in most countries can be noted to proceed.

3.6 Management and coordination arrangements

Mr Wim Verheugt retired as Project Director and was replaced by Mr Sean Murphy. Apart from that, there were no changes to the management structure or methodology in this reporting period.

3.7 Financing arrangements

Addendum No 4 lead to a reallocation of funds within the project budget lines.

3.8 Key quality/sustainability issues

The project is managed under Mott MacDonald's ISO9001 and 14001 certified Quality Safety and Environmental management system. All documentation is in place and available for inspection should this be required.

3.8.1 Quality

Documents are being checked and reviewed for technical content and language by Mott MacDonald prior to issue to the Commission and Beneficiaries.

EU protocols have been followed to date and the EU visibility rules are being complied with.

3.8.2 Sustainability

From an environmental sustainability perspective the key issue is the delivery of support to beneficiary nations in the implementation of international conventions and any local conventions. This is a recurrent theme through the prescribed results and activities in the ToRs.

From a wider sustainability perspective, it was essential that the approach to training recognised the need to leave a legacy of knowledge to the beneficiaries, gained through interaction with the trainers, international experts and other beneficiaries (Direct and Indirect) and that the project also identified threats to this knowledge being passed onto the next generation of seafarers.

The RWGs and the NWG both carry solid elements of sustainability. Both the TRAS and the action plans of the NWGs go far beyond the duration of the SASEPOL project. The first presidency of the RWG has been assumed by Turkey.

Predominantly the project activities were designed to promote sustainability through the provision of Technical Assistance in the implementation of local legislation and processes enacting the requirements of the relevant international conventions; this has been reflected in the various action and transposition plans and the support packages, including a number of Project Fiches.

The trainings material and reports are available on the SASEPOL website and it will be kept operational for another year following the end of the SASEPOL project.

It is recognized that the appropriate national implementation of international and regional conventions is very time consuming and it was not impossible during the life time of the SASEPOL Project, why sustainability can only be achieved by continuous support during a follow-up (Phase 2) of the Project, most likely to be implemented by EMSA directly.

3.9 Updated risk management plan

Risk	Potential Impact	Risk Level (H/M/L)	Risk Management Strategy	Responsibility
Administrative delays	Delays to project missions and an inability to access to key staff within the maritime administrations	L	Use national coordinators to advise and steer the project team efficiently through the necessary administrative processes. Coordination with other EU projects, having experience in these matters. Gain support from TRACECA secretariats	Project Team TRACECA
Visa delays	Inability of experts or beneficiary staff to travel to meetings or missions	M	Advance planning of missions and meetings to ensure that staff have adequate time to obtain visas. Where practical, organise meetings in with less stringent visa requirements. Coordination with other EU projects and EC / TACIS delegations, having experience in these matters.	Project Team
Security constraints	Some port operations are sensitive, particularly with respect to security and port state control activities within the project. This could prevent access to facilities, people and records, preventing the project team from fully understanding the situation and leading to poor quality advice.	H	Identify and follow local requirements Plan missions well in advance Beneficiary organisations should provide appropriate access to facilities and make the project team aware of any specific constraints. Implement confidentiality memorandum.	Project Team Beneficiary organisations
Participation of Key Stakeholders	For the project to be accessible the team need to work with and train the operational staff within the Maritime Administrations. If cannot get access to these people, we will produce little more than guidance that will sit on the shelf.	H	The project team should provide advance notice of meetings and events as well as clear Terms of Reference making clear the people required and the benefits to the administrations The administrations should make fair efforts to nominate appropriate people and afford them time to engage with the project	Project Team Beneficiary Agencies
Language difficulties	Translation errors leading to confusion or misinterpretation of project activities or conclusions	L	Ensure that suitably qualified translators and interpreters are available for the project	Project Team
Specific characteristics of the two different seas	Generalisations are made about performance or issues leading to guidance that is in appropriate to some of the beneficiaries. In the worst case this could lead to the alienation of countries	H	Create sub-regional interaction at the Black Sea and Caspian Sea levels. Ensure that the differences are recognised in the advice the project team provides	Project Team
Support to the training	However if activities are not fully supported by the beneficiary countries there is a risk that project implementation will be	M	Ensure an early draft of the training plan is developed and circulated to the beneficiaries, providing them with opportunities to	Project Team/Beneficiary

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Risk	Potential Impact	Risk Level (H/M/L)	Risk Management Strategy	Responsibility
programme	constrained.		comment.	organisations
Interaction with third parties	There is potential for duplication of work between ongoing projects, but also there is a risk of excluding third parties who play an active part in the operation of ports and shipping in the area	M	Raise the profile of the project, through activity 7 to highlight the aims of the project to third parties Actively seek cooperation from other projects and interested organisations	Project Team

4. Critical Study of Major Problems

In accordance with Section 26 of the General Conditions of the Contract, a "critical study of major problems, if appropriate, must be included in the final report. Therefore, this section deals with the major problematic areas of the SASEPOL project.

It can be stated that there were no major problems in the implementation of this project, seen retrospectively. This is not to say that no problems were encountered in the implementation phase of this project. Problems did flare up and the table below shows the nature of these problems, the mitigating measures and what lessons can be learned.

Problem	Mitigating measure/s	Lessons learnt
Restrictive visa regimes	Advance planning and closer cooperation with maritime administrations. Clearance letters from TRACECA.	Visits need to be pre-announced to relevant authorities and allowing sufficient time for Visas. Involvement of the EU delegations.
Access to information	Signature of confidentiality agreements and advance sending of mission terms.	Drafting of confidentiality agreements is essential, as is a project declaration of the type of information required and the reasons for this.
Changes in institutional structures	Show flexibility and support changes with targeted interventions.	Over the lifetime of a long term project, institutional changes are inevitable. An element of flexibility in the TOR should allow for ad-hoc assistance.
Accidents, health issues	Implementation of Mott MacDonald Health and Safety guidelines.	Pre-project health checks for long term staff and implementation of a Health and Safety policy should be mandatory.
Cancellation of participation of participants for trainings	Advance planning and clearance with respective administration.	Some countries have internal systems in place and internal permission is required to participate in trainings. This should be addressed with the EC delegations and clearance should be sought of key staff to avoid lengthy approval processes.

5. Appendix A: Log Frame

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
<p>Promote the integration of international conventions rules into national legislation and regulations;</p> <p>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;</p> <p>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;</p> <p>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;</p> <p>Establish best practice models regarding safety, security and environmental protection from ships in selected ports in involved TRACECA countries utilising European experience;</p> <p>Support priority project identification and promote financing schemes for private sector participation and development of PPP platforms.</p>	Compliance with the expected results		<p>Lack of harmonized legal systems for the implementation of international conventions.</p> <p>Lack of cooperation between countries.</p> <p>Different national interpretation of the requirements of international conventions.</p>
Results	Indicators of achievement	Sources of Verification	Risks and Assumptions
RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection.	TA (TA) provided. National legislation and guidelines for the implementation verified.	National legislation and operational arrangements compared with convention requirements and guidelines.	Sufficient level of commitment of the beneficiary countries to transpose and implement effectively the international
RESULT 2. Support implementation of the relevant		National legislation compared with convention requirements.	

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



In association with Ramboll, Milieu & Tethys

Activities	Means	Cost	Risk and Assumptions
maritime legislative framework and international conventions, as well as the use of VTS systems in Maritime Administrations and Port Authorities.	TA provided. National legislation and guidelines for the implementation verified.	Inspection of VTS operations and comparison with EU standards.	conventions and legislation;
RESULT 3. Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems.	Technical advice on the use of VTS provided. TA provided. Training modules. Evidence of participation in training events.	Training Programme Course material and evaluation of course comparison with EU standards.	Sustainability in common regional priorities in the maritime affairs; Technical support from the Maritime Authorities and Port Authorities and the short-term local experts;
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	TA provided. Model ports selected. Best practices confirmed with PSC, MARPOL and ISPS Code requirements.	Model port practice comparison with relevant port practice in EU.	Co-ordination, involvement and participation of the concerned institutions.
RESULT 5. Support to regional cooperation in the field of maritime safety and security	TA provided ToR of Working Group on regional cooperation.	Evidence of exchange of information and operational activities.	Political willingness to support the regional cooperation.
RESULT 6. Support to the implementation of the transposition plans following activity 1.1 and 1.2, the action plans following activity 2.1 and the port waste management plans following activity 4.2.	TA provided. List of prioritised maritime support projects and corresponding "Fiche".	Project Fiches submitted, trainings provided and reports.	Sufficient level of cooperation among different ministries.
RESULT 7. Communication and awareness raising activities on maritime safety, security and environmental protection are developed.	TA provided. Dissemination Plan and Website.	Comparison of information plan and website with EU project websites.	

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<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>IMO document "Status of IMO conventions". Review of national legislation.</p>	<p>Political instability in some of the beneficiary countries or in the region.</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>Technical Assistance.</p>	<p>Frequent administrative changes in some beneficiary countries which cause a loss of the know-how and dispersion of the professionals</p>
<p>Activity 1.3: Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"</p>	<p>Meetings with the maritime Administrations</p>	<p>Lack of cooperation between the beneficiary countries at the regional level.</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>TA of international and short-term experts</p>	<p>Different legal and organisational bases of the beneficiaries' Authorities involved.</p>
<p>Activity 2.2: Assess needs and priorities for the use and operation of VTS systems in major national ports</p>	<p>Visits to the VTS systems.</p>	<p>International rules and regulations are subject to national variations and interpretations.</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>Meetings with the authorities in charge of VTS.</p>	<p>International rules and regulations are subject to national variations and interpretations.</p>
<p>Activity 3.2: Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how.</p>	<p>TA of international and short-term experts. Visits to training institutes and meetings with training personnel.</p>	<p>International rules and regulations are subject to national variations and interpretations.</p>
<p>Activity 4.1: Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country</p>	<p>Courses and workshops.</p>	<p>International rules and regulations are subject to national variations and interpretations.</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>TA of international and short-term experts. Visits and meetings to the main ports of the beneficiary countries.</p>	<p>International rules and regulations are subject to national variations and interpretations.</p>
<p>Activity 4.3: Further assessment, identification of best practice ports and support to the implementation of ISPS Code</p>	<p>TA of international and short-term experts. Visits and meetings to the major waste management installations.</p>	<p>International rules and regulations are subject to national variations and interpretations.</p>
<p>Activity 4.3: Further assessment, identification of best practice ports and support to the implementation of ISPS Code</p>	<p>Visits of experts to the main ports and discussions on the port security</p>	<p>International rules and regulations are subject to national variations and interpretations.</p>

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Activity 5.1: Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)	arrangements. TA of international and short-term experts.
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	TA of international and short-term experts.
Activity 6.1: Elaboration of "Project Fiches" or similar documents containing specification for relevant feasibility of pre-feasibility studies.	TA of international and short-term experts.
Activity 7.1: To provide the Administrations and interested public with information and relevant documentation related to the activities of the project	TA of international and short-term experts.

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6. Appendix B: Reports and other Documents

These documents are submitted on a CD and as a separate document titled "SASEPOL Appendix Compendium B". Hardcopies are only provided for the TRAS and the Project Fiches.

B.1: Analytical Reports	CD ROM only
B.2: Trainings Material	CD ROM only
B.3: RWG Reports	CD ROM only
B.4: Newsletters, flyers, etc.	CD ROM only
B.5: Confidential Reports on ISPS	CD ROM only
B.6: Final Trainings Catalogue	CD ROM only
B.7: Final TRAS	CD ROM and Hardcopy
B.8: Project Fiches B.8.1: Kazakhstan B.8.2: Georgia B.8.3: Ukraine	CD ROM and Hardcopy

7. Appendix B7 – TRAS



**PERMANENT SECRETARIAT
OF THE INTERGOVERNMENTAL COMMISSION TRACECA**

**TRACECA REGIONAL ACTION STRATEGY
on Maritime Safety and Security and Environmental Protection
for the period up to 2021**

List of Abbreviations

AIS	Automatic Identification System
BAT	Best Available Technology
BEP	Best Environmental Practice
BS MoU	Black Sea MoU on PSC
BSC	Black Sea Commission
CASPECO (CEP)	Caspian Environment Programme
COP	Code of Practice
CS	Classification Societies
EC	European Commission
EMS	Environment Management System
EMSA	European Maritime Safety Agency
ENP	European Neighbourhood Policy
ETS	Emissions Trading System
EU	European Union
IFI	International Financial Institutions
IGC	Intergovernmental Commission
ILO	International Labour Organization
IMO	International Maritime Organization
ISO	International Organization for Standardization
LRIT	Long-Range Identification and Tracking
MLA	Basic Multilateral Agreement on International Transport for the Development of the Transport Corridor Europe-the Caucasus-Asia
MLC	Maritime Labour Convention
MoU	Memorandum of Understanding
MSC	Maritime Safety Committee
NIS	New Independent States
NS	National Secretary
NWG	National Working Groups
OSH	Occupational Health and Safety
PR	Public Relations
PS	Permanent Secretariat
PSC	Port State Control
PWM	Port Waste Management
RWG	Regional Working Group
SAR	Search and Rescue
SASEMAS	Common Safety and Security Management System
SASEPOL	Safety, Security and Pollution Project (Development of Common Security Management and Maritime Safety and Ship Pollution Prevention for the Black Sea and the Caspian Sea)
SID	Seafarer Identification Document
TA	Technical Assistance
TEN-T	Trans-European Transport Networks
ToR	Terms of Reference
TRACECA	Transport Corridor Europe-Caucasus-Asia

AIS	Automatic Identification System
BAT	Best Available Technology
BEP	Best Environmental Practice
TRAS	TRACECA Regional Action Strategy

7.1 INTRODUCTION.

Transport industry has always played an important role in the regional economic development. Dynamic development and efficient operation of transport as a significant economic sector is a prerequisite for the achievement of high and stable rates of trade-economic development of every state, increase of the living standards of population and rational integration with the world economy.

Thereupon, the European Union within the framework of the Programme of Technical Assistance to the New Independent States initiated in 1993 a special TRACECA Programme aimed at the development of economic relations, trade and transport communication in the Black Sea region, South Caucasus, the Caspian Sea region and Central Asia. The aims of this Programme were first defined at the Ministerial Conference in 1993, in Brussels, within the framework of cooperation of the European Commission with the Governments of Azerbaijan, Armenia, Georgia, Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan regarding support to the processes of integration of these countries with international economy by developing trade and transport.

In September 1998, at the historic Summit in Baku 12 TRACECA countries signed the **“Basic Multilateral Agreement on International Transport for Development of the Europe-the Caucasus-Asia Corridor” (MLA)** with the aim of implementing in full of their geopolitical and economic potentials. The MLA was a logical continuation of the interregional EU TRACECA programme and at the same time a unique legal basis for its efficient implementation. After signature of this Agreement and establishment of the Intergovernmental Commission (IGC) TRACECA and its Permanent Secretariat there appeared new legal foundations for the development and operation of international transit transport at a higher quality level.

In May 2009 the Islamic Republic of Iran acceded to the MLA TRACECA and became a full member of the Intergovernmental Commission (IGC) TRACECA, the Republic of Lithuania was granted the status of observer within the IGC TRACECA.

The MLA provisions in the process of their implementation set for the Parties the main objective: the development of economic relations, trade and transport communication in the regions of Europe, the Black Sea, the Caucasus, the Caspian Sea and Asia, particularly, the Parties' contribution to the process of international traffic through the IGC institution and its Permanent Secretariat (PS).

In the context of globalization and dynamically developing international trade and increase of transcontinental traffic volumes special attention is devoted to security strengthening and environmental protection.

Sustainable operation of maritime transport, safe and reliable transport of passengers, qualitative delivery of goods are the prerequisites of proper social activity being achieved owing to the efforts of sector specialists. Maritime transport is one of guarantors of economic stability.

The aims of transport sector development and, in particular, of its maritime components are one of the priority activity dimensions of the governments of the MLA member states.

Within the framework of the implemented projects the Permanent Secretariat of the IGC TRACECA in close cooperation with the EC and the member states take necessary actions in order to introduce advanced transport technologies, to organize and to enhance traffic in the region.

For the period of more than 15 years within the framework of TRACECA programme there have been completed dozens of Technical Assistance and Investment projects.

Since 1995 up to-date out of various completed and on-going projects more than 20 of them relate to maritime and transit transport.

The TRACECA Strategy up to 2015 and the Action Plan for the Strategy implementation 2010-2012 state that it is precisely the dimensions of safety and security strengthening, including maritime transport and environmental protection, that will be the key ones for the TRACECA corridor.

Annual growth of hydrocarbon production and goods turnover between Europe and Asia essentially impact the dynamics of growth of goods transportation and handling at sea ports which in its turn result in an increase of contamination scales and the nature of transported goods has a negative impact on the environment and demands efficient measures for rise of security level.

Therefore the coordinated activity of international organizations especially in the field of legal regulation directed to addressing the issues of transport and ecological safety is a primary task.

Today according to the information of the International Maritime Organization there have been developed and function more than 40 various Conventions and Protocols to them, more than 800 Codes and recommendations regulating practically all essential issues of navigation safety and marine environment protection enabling to standardize international navigation process.

The IGC TRACECA is steadily working on the fulfillment of the requirements adopted by the Conventions within the framework of the International Maritime Organization (IMO). At the same time the activities on accession of the TRACECA member-states to new Conventions and Agreements, particularly to the Convention on Facilitation of International Maritime Traffic (FAL 1965), Convention on the International Maritime Satellite Organization (INMARSAT 1976), International Convention Relating to Intervention on the High Seas in Cases of Oil Pollution Casualties (INTERVENTION 1969), Convention on Containers Safety (CSC 1972), the International Convention on Maritime Search and Rescue (SAR 1979) and others. The principal components of the international and European legal standards regulating maritime safety and environmental protection issues are transposed into the national legislations of the countries.

All these measures are directed to achieving one aim – safe operation of maritime transport in the context of increasing requirements of the international structures.

In this context developed in compliance with International Conventions and Rules (IMO & ILO) and other normative documents, the TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection will favour the exchange of advanced technologies and the implementation of the best practices in the regions of the Black and the Caspian Seas.

It is precisely by establishing cooperation and extending the fields and modes of coordination, that the MLA member states will find the most optimal ways of meeting the challenges and many priority tasks, ensuring security and decreasing maritime transport-induced negative impact on the environment.

7.2 Conventions, Memorandums of Understanding and Initiatives:

The following Conventions, Memorandums of Understanding and Initiatives apply to this Strategy:

- International Convention for the Prevention of Pollution from Ships (MARPOL 73/78)

It was designed to minimize pollution of the seas, including dumping, oil and exhaust pollution. Its stated objective is to preserve the marine environment through the complete elimination of pollution by oil and other harmful substances and the minimization of accidental discharges of such substances.

- International Convention for the Control and Management of Ships' Ballast Water and Sediments (BWM 2004)

This Convention is designed to prevent potential destructive effect as a result of spread of harmful aquatic organisms transferred by ship's ballast water from one region to another.

The Convention prescribes that all ships should introduce the Management Plan for ballast water and associated sediments. All ships should keep the registries of operations with ballast, manage ballast water in compliance with certain standard. The operated ships should also follow this regulation, but they will introduce the requirements on a step-by-step basis.

- International Convention Relating to Intervention on the High Seas in Cases of Oil Pollution Casualties (INTERVENTION 1969)

The Convention affirms the right of a coastal State to take such measures on the high seas as may be necessary to prevent, mitigate or eliminate danger to its coastline or related interests from pollution by oil or other substances or the threat thereof, following upon a maritime casualty.

The coastal State is, however, empowered to take only such action as is necessary, and after due consultations with appropriate interests including, in particular, the flag State or States of the ship or ships involved, the owners of the ships or cargoes in question and, where circumstances permit, independent experts appointed for this purpose.

A coastal State which takes measures beyond those permitted under the Convention is liable to pay compensation for any damage caused by such measures. Provision is made for the settlement of disputes arising in connection with the application of the Convention

- International Convention on Civil Liability for Oil Pollution Damage (CLC 1969, PROT 1976/1992)

This Convention was adopted to ensure that adequate compensation is available to persons who suffer oil pollution damage resulting from maritime casualties involving oil-carrying ships.

The Convention places the liability for such damage on the owner of the ship from which the polluting oil escaped or was discharged.

- FUND (1971)

The International Convention on the Establishment of an International Fund for Compensation for Oil Pollution Damage (FUND 1971 and its Protocols 1992, 2000, 2003) was adopted with the purpose to provide compensation for pollution damage to the extent that the protection afforded by the CLC is inadequate; and to give relief to ship-owners in respect of the additional financial burden imposed on them by the 1969 Civil Liability Convention, such relief being subject to conditions designed to ensure compliance with safety at sea and other conventions.

- BUNKER (2001)

The International Convention on Civil Liability for Bunker Oil Pollution Damage (BUNKER 2001) was adopted to ensure that adequate, prompt, and effective compensation is available to persons who suffer damage caused by spills of oil, when carried as fuel in ships' bunkers.

The Convention applies to damage caused on the territory, including the territorial sea, and in exclusive economic zones of States Parties.

As with the CLC, a key requirement in the bunkers convention is the need for the registered owner of a vessel to maintain compulsory insurance cover.

- International Convention for the Safety of Life at Sea (SOLAS 1974)

The main objective of the SOLAS Convention is to specify minimum standards for the construction, equipment and operation of ships, compatible with their safety. Flag States are responsible for ensuring that ships under their flag comply with its requirements, and a number of certificates are prescribed in the Convention as proof that this has been done. Control provisions also allow Contracting Governments to inspect ships of other Contracting States if there are clear grounds for believing that the ship and its equipment do not substantially comply with the requirements of the Convention.

- ISM – International Safety Management Code (SOLAS, Chapter IX)

The International Safety Management Code (ISM, 2002) is an international standard for the safe management and operation of ships and for pollution prevention.

The objectives of the Code are to ensure safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular to the marine environment and to property.

- International Convention on Standards of Training, Certification and Watch-keeping for Seafarers (STCW 1978)

The Convention prescribes minimum standards relating to training, certification and watch-keeping for seafarers which countries are obliged to meet or exceed.

- International Convention on Maritime Search and Rescue (SAR 1979)

Parties to the Convention are required to ensure that arrangements are made for the provision of adequate SAR services in their coastal waters.

- International Ship and Port Facility Security Code (SOLAS, Chapter XI-2)

The International Ship and Port Facility Security Code (ISPS Code) is a comprehensive set of measures to enhance the security of ships and port facilities, developed in response to the perceived threats to ships and port facilities in the wake of the 11 September 2001 attacks in the United States.

The ISPS Code is implemented through chapter XI-2 on special measures to enhance maritime security in SOLAS. The Code has two parts, one mandatory and one recommendatory.

The purpose of the Code is to provide a standardized, consistent framework for evaluating risk, enabling Governments to offset changes in threat with changes in vulnerability for ships and port facilities through determination of appropriate security levels and corresponding security measures.

- ILO/IMO Code of Practice on Security in Ports

The objective of this ILO/IMO Code of Practice (COP) on security in ports is to enable governments, employers, workers and other stakeholders to reduce the risk to ports from the threat posed by unlawful acts. The COP provides a guidance framework to develop and implement a port security strategy appropriate to identified threats to security.

This COP is intended to promote a common approach to port security amongst ILO/IMO Member States.

This COP provides a method of identifying potential weaknesses in a port's security and outline security roles, tasks and measures to deter, detect and respond to unlawful acts against ports serving international traffic and maritime operations.

The code provides a proactive approach to security in ports and follows, where practicable, the practice and principles identified in SOLAS Chapter XI-2 and the ISPS Code.

- Voluntary IMO Member States Audit Scheme (VIMSAS)

The Voluntary IMO Member State Audit Scheme (VIMSAS) creates a basis to assess the degree to which a Member State complies with its obligations set out in the various IMO instruments made mandatory by the ratification of the State.

- International Convention on Oil Pollution Preparedness, Response and Co-operation (OPRC 1990)

The Parties to the OPRC Convention are required to establish measures for dealing with pollution incidents, either nationally or in cooperation with other countries. Parties to the Convention are also required to provide assistance to others in the event of a pollution emergency and provision is made for the reimbursement of any assistance provided.

These international documents made it possible for the first time to regulate not only the issues of control over ships operation but shipping companies' activities regarding security, including their own security management systems embracing their coastal divisions with further inspection and receiving the relevant international certificate.

- Convention on Facilitation of International Maritime Traffic (FAL 1965)

The Convention on Facilitation of International Maritime Traffic (FAL, 1965) aims to prevent unnecessary delays in maritime traffic, to aid co-operation between Governments, and to secure the highest practicable degree of uniformity in formalities and other procedures. In particular, the Convention reduces the number of declarations which can be required by public authorities.

- International Convention for Safe Containers (CSC 1972)

The International Convention for Safe Containers (CSC, 1972) has two goals: the first is to maintain a high level of safety of human life in the transport and handling of containers by providing generally acceptable test procedures and related strength requirements; the other is to facilitate the international transport of containers by providing uniform international safety regulations, equally applicable to all modes of surface transport

The requirements of the Convention apply to the great majority of freight containers used internationally, except those designed specifically for carriage by air. The scope of the Convention is limited to containers of a prescribed minimum size having corner fittings and devices which permit handling, securing or stacking.

- Convention on the International Maritime Satellite Organization (INMARSAT 1976)

The Convention on the International Maritime Satellite Organization (INMARSAT, 1976) defines the purposes of INMARSAT as being to improve maritime communications, thereby assisting in improving distress and safety of life at sea communications, the efficiency and management of ships, maritime public correspondence services, and radio-determination capabilities.

INMARSAT's obligation to provide maritime distress and safety services via satellite were enshrined within the 1988 amendments to SOLAS which introduced the Global Maritime Distress and Safety System (GMDSS). Ships sailing in specified sea areas are required to carry INMARSAT communications equipment for distress and safety calls and to receive navigational warnings.

- ILO MLC 2006

The ILO's Maritime Labour Convention (MLC), 2006, provides comprehensive rights and protection at work for the World's more than 1.2 million seafarers. The Convention aims to achieve both decent working conditions for seafarers and secure economic interests in fair competition for quality ship-owners.

Each Member which ratifies this Convention undertakes to give complete effect to its provisions in the manner set out in Article IV in order to secure the right of all seafarers to decent employment.

Article IV states that:

1. Every seafarer has the right to a safe and secure workplace that complies with safety standards.
2. Every seafarer has a right to fair terms of employment.
3. Every seafarer has a right to decent working and living conditions on board ship.
4. Every seafarer has a right to health protection, medical care, welfare measures and other forms of social protection.
5. Each Member shall ensure, within the limits of its jurisdiction, that the seafarers' employment and social rights set out in the preceding paragraphs of this Article are fully implemented in accordance with the requirements of this Convention. Unless specified otherwise in the Convention, such implementation may be achieved through national laws or regulations, through applicable collective bargaining agreements or through other measures or in practice.

■ ILO 185

In June 2003, in response to post 11 September 2001 (USA) requirements for international travel documents, new Seafarers Identification Document (SID) regulations were adopted with the passage of ILO 185 to conform to current universal secure identification requirements.

Each Member for which this Convention is in force shall issue to each of its nationals who is a seafarer and makes an application to that effect a seafarers' identity document.

Each Member shall also ensure that a record of each seafarers' identity document issued, suspended or withdrawn by it is stored in an electronic database. The necessary measures shall be taken to secure the database from interference or unauthorized access.

Finally, each Member for which this Convention is in force shall, in the shortest possible time, and unless clear grounds exist for doubting the authenticity of the seafarers' identity document, permit the entry into its territory of a seafarer holding a valid seafarer's identity document, when entry is requested for temporary shore leave while the ship is in port. For the purpose of shore leave seafarers shall not be required to hold a visa. Any Member which is not in a position to fully implement this requirement shall ensure that its laws and regulations or practice provide arrangements that are substantially equivalent.

■ ILO-OSH 2001

ILO's Guidelines on Occupational Safety and Health Management Systems (OSH) are intended to contribute to the protection of workers from hazards and to the elimination of work-related injuries, ill health, diseases, incidents and deaths.

At national level, the guidelines should:

- be used to establish a national framework for OSH management systems, preferably supported by national laws and regulations;
- provide guidance for the development of voluntary arrangements to strengthen compliance with regulations and standards leading to continual improvement in OSH performance; and
- provide guidance on the development of both national and tailored guidelines on OSH management systems to respond appropriately to the real needs of organizations, according to their size and the nature of their activities.

- ILO Code of Practice on Safety and Health in Ports

The practical recommendations in this code are intended to provide relevant guidance to ILO constituents and all those responsible for or involved in the management, operation, maintenance and development of ports.

The Code intends to raise the profile of safety and health issues in ports in all parts of the world, and to encourage more countries to ratify the Occupational Safety and Health (Dock Work) Convention, 1979 (No. 152), or otherwise implement its provisions.

The Code (Code of Practice) covers all aspects of work in ports where goods or passengers are loaded onto or unloaded from ships, including work incidental to such loading or unloading activities in the port area. It is not limited to international trade and is equally applicable to domestic operations, including those on inland waterways.

- Baku Initiative (2004)

The Baku Initiative on Transport, launched in November 2004, denotes a policy dialogue aimed at enhancing transport cooperation between the EU on the one hand, and the Black Sea and Caspian Sea States and their neighbours, on the other hand, and constitutes the basis for the development of transport cooperation and networks interoperability in accordance with EU and international legal and regulatory frameworks.

- Bucharest Convention (1994)

The Bucharest Convention (also called the Convention on the Protection of the Black Sea against Pollution) constitutes a basic framework of agreement on three specific Protocols: a Land-Based Sources Protocol; a Dumping Protocol; and an Emergency Response Protocol.

The basic objective of the Bucharest Convention is to prevent and reduce pollution in the Black Sea in order to protect and preserve the marine environment, and to provide a legal framework for cooperation and concerted actions to fulfill this obligation.

- Tehran Convention (2006)

The Framework Convention for the Protection of the Marine Environment of the Caspian Sea (also called the Tehran Convention) is a regional convention signed by the official representatives of the five littoral Caspian states: Azerbaijan, Iran, Kazakhstan, Russian Federation and Turkmenistan in Tehran, Iran on 4 November 2003.

The objective of the Convention is to protect the Caspian environment from all sources of pollution including the protection, preservation, restoration and sustainable and rational use of the biological resources of the Caspian Sea.

Tehran Convention is an “umbrella” Convention for all the conventions within the framework of the Caspian Environment Programme (CEP). Since 2009 the Tehran Convention has been implemented by the Caspian Organization for Environment Projects’ Management and Coordination (CASPECO).

- Ankara Agreement (1998)

The Agreement on Cooperation regarding Maritime Search and Rescue Services among the Black Sea Coastal States of 27 November 1998 (also called the Ankara Agreement) relates to cooperation among the Parties in respect of maritime Search and Rescue (SAR) services within the Black Sea.

The Agreement states that representatives of the competent authorities of the Parties shall meet as necessary and at least once a year to develop cooperation and to exchange information and experiences.

The Parties shall also hold regional conferences as necessary to maintain efficient operational coordination of SAR services in the region.

- Paris Memorandum of Understanding on Port State Control (PSC) (1982)

The Paris MoU on PSC of 1982 is the official document in which the 27 participating Maritime Authorities agree to implement a harmonized system of port state control (PSC). The MoU covers the waters of the European coastal States and the North Atlantic basin from North America to Europe.

Port state control (PSC) comprises the inspection of foreign ships in other national ports by PSC officers (inspectors) for the purpose of verifying that the competency of the master and officers on board, the condition of a ship and its equipment comply with the requirements of International Conventions (e.g. SOLAS, MARPOL, STCW, etc.) and that the vessel is manned and operated in compliance with applicable international law.

- Black Sea MoU on Port State Control (PSC) (2000)

The MoU on Port State Control (PSC) in the Black Sea region (BS MoU), based upon the Paris MoU, was completed and signed in April 2000 by representatives of the Maritime Authorities of Bulgaria, Georgia, Romania, the Russian Federation, Turkey and Ukraine.

The objective of the BS MoU is to establish a regime in the Black Sea region for ensuring that all ships sailing in the Black Sea comply with maritime safety and marine pollution prevention standards prescribed by the International Maritime Organization's (IMO) Conventions thus ultimately eliminating sub-standard shipping in the region.

- Black Sea Synergy Initiative (2008)

A Conference between the EU and the Black Sea Nations Ministers of Foreign Affairs in 2008 in Ukraine resulted in a Joint Statement establishing the Black Sea Synergy with the objective of increasing cooperation between the countries surrounding the Black Sea, since closer regional ties will:

- stimulate democratic and economic reforms;
- support stability and promote development;
- facilitate practical projects in the areas of common concern;
- open up new opportunities and overcome challenges through coordinated action in a regional framework; and
- encourage the peaceful resolution of conflicts in the region.

- Helsinki Commission (HELCOM) (1974/2000)

Helsinki Commission (HELCOM) (also known as the Helsinki Convention) is the governing body of the "Convention on the Protection of the Marine Environment of the Baltic Sea Area".

7.3 Aims and Objectives

Safety of any technical object, including that of sea ships is provided not only by technical measures but the organizational ones, their significance increasing as the human factor in navigation rises.

Specialists who develop and operate current technology should be specially trained as security specialists guided not only by economic principles and criteria in their professional activities, but by ethical principles enabling human and environmental safety.

The notion "maritime safety and security" has wider sense than just an accident-free operation of sea ships. It embraces the system of measures directed to preserving human lives at sea, protecting sea ships against sea threats as well as protecting marine environment from ships' pollution.

Maritime safety and security should as well involve the studies of the nature of sea threats, the role and place of human factor in ensuring protection. Studies of maritime safety and security and marine pollution prevention should enable the players to learn the security principles, to elaborate professional outlook based on the security concept.

In this connection the Technical Assistance Project "Development of Common Security Management, Maritime Safety and Ship Pollution Prevention for the Black Sea and the Caspian Sea" worked out the TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection together with the European Commission and the Permanent Secretariat TRACECA.

The Regional Strategy pursues two main objectives subdivided into a number of Priority Actions within three guidelines for actions, i.e. maritime security, protection of the environment and maritime safety, each envisaging for a number of relevant measures.

In this context the TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection fully corresponds to the TRACECA programme and the Strategy of the Intergovernmental Commission TRACECA for development of international transport corridor "Europe-the Caucasus-Asia" for the period up to 2015.

With the view of improving regional cooperation in the field of maritime safety and security and environmental protection of the Black and Caspian Seas region, the IGC TRACECA calls the member-states to timely and fully implement the relevant Conventions (IMO and ILO) and other regulating documents favouring:

- approximation of various regional methods of port state control and implementation of quality procedures;
- development of vessels traffic monitoring and coordination of information systems between the countries;
- development of safety management systems so as to protect the citizens in case of marine pollution through the implementation of the Oil Pollution Preparedness, Response and Cooperation Convention (OPRC);
- elimination of substandard shipping;
- increase of crews and passengers protection;
- reduction of the risk of environmental pollution;

By adopting the **TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection** the Participating States expressed their general consent to examine the practice of Helsinki Commission (HELCOM) regarding marine environment protection of the Baltic Sea and possible application of this experience for the Black Sea and the Caspian Sea based primarily on the following Principles:

Responsibility: In order to improve maritime safety and security and to restore the ecosystems of the Black and Caspian Seas and to preserve their ecological balance the Participating States shall individually or jointly take all appropriate legislative, administrative or other measures to prevent and eliminate pollution, illicit acts and cases of pollution following on from maritime transport.

Best Environmental Practices and Best Available Technologies: will be promoted by the Contracting Parties and their respective maritime industry to prevent the pollution of the Black and Caspian Seas. Additional measures shall be taken if the consequent reductions of inputs do not lead to acceptable results.

The "**polluter pays**" principle should serve as the economic basis for the control of environmentally harmful activities, emphasizing the importance of responsibility by forcing polluters to pay for the true costs of their activities.

Avoiding risks: Implementing the TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection should neither result in trans-boundary pollution and negative actions affecting regions outside the Black and Caspian Seas region, nor involve increases or changes in ship-generated waste disposal or other activities that could increase health risks. Any measures taken must not lead to unacceptable environmental strains on the atmosphere, soils, water bodies or groundwater.

For the purposes of regular activities for the implementation of this Strategy it is envisaged to implement the Priority Actions within maritime safety and security and environmental protection as well as to involve the interested Ministries and Departments (assigned by the Participating State) responsible for their fulfillment and monitoring (Tables 1, 2, 3).

7.4 Modus Operandi

At the regional level, the implementation of the TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection will initially be coordinated by the Permanent Secretariat TRACECA through the Regional Working Group (RWG), with financial support of the EU-funded SASEPOL Project and/or other TRACECA projects dealing with maritime safety and security and environmental protection.

Subsequently additional funding will be sought from public and private sectors, such as EMSA (European Maritime Safety Agency) and other IFI's. Eventually and once the RWG has become a self-sustainable and officially recognized inter-regional structure the Participating States should allocate funds for its activities in their respective national budgets. The allocated funds for the RWG activities will be considered by the Participating States additionally. RWG or a steering committee will perform their activity under the aegis of the PS IGC TRACECA.

TRACECA Member-States under the auspices of the RWG will work out and agree upon the measures and Priority Actions, which the governments of the member states or relevant national agencies/administrations must realize in their respective national programmes and legislation.

The National Working Groups (NWG) will assist the Regional Working Groups (RWG) in implementation of the TRACECA Regional Action Strategy on Maritime Safety and Security in accordance with their national plans. Through the NWGs the Participating States will contribute to the overall coordination of their regional activity.

The RWG will initially be chaired by the Permanent Secretariat TRACECA, but eventually the Chairmanship/Presidency will rotate between the member states every 12 months, according to their alphabetical order in English.

In accordance with p. 5 of the Final Resolutions of the Ninth Annual Meeting of the Intergovernmental Commission TRACECA (24 November 2011, Bucharest/Romania) the RWG Presidency modeled after the EU and first presided by Turkey, will undertake the following tasks and responsibilities:

- Organize the RWG Meetings;
- Develop and circulate Annual Work Plans;
- Coordinate the implementation of activities under the TRAS Priority Actions;
- Monitor progress of the implementation of the TRAS;
- Coordinate and assist with Funding Applications for projects involving more than one Member State.

The RWG will meet at least twice a year. Initially the EU through its Technical Assistance projects will finance the RWG meetings, but later the receiving member state will pay the RWG meetings convocation costs. Other member states and organizations will pay the costs of their representatives' participation in the meetings.

The TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection will be adopted for a 10-year period. The TRAS will serve the basis for developing plans of activities for 1-2 years correspondingly. During the implementation period the Parties will have the possibility to make amendments and additions to the Regional Strategy subject to the needs and the existing situation. Any amendments and additions will be coordinated with the TRACECA participating states during meetings of plenipotentiary representatives of the parties involved in the activities of the Regional Working Group.

The TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection is operational from the date of its adoption and until 2021.

Subsequently, upon the expiration of the validity period on the basis of the RWG Participating states' proposals, a new plan of priority actions will be developed and submitted to the IGC TRACECA for approval.

7.4.1 The Regional Working Group (RWG) will comprise the following representatives:

- Officials from the EC and/or the European Maritime Safety Agency and selected experts from the EU funded projects as appropriate;
- Representative (-s) of the PS IGC TRACECA;
- National Coordinators (National Secretaries) of the National Working Groups;
- One representative of the maritime administration from each Participating State (participation of an additional representative will depend on the size of financing of the receiving party) ;
- One representative of the BSEC and one representative of CEP (CASPECO);
- Other relevant Ministries, Departments, organizations as deemed necessary and desirable (e.g., IMO, Ministry of Ecology, Ministry of Emergency Situations of the member states, the Black Sea Memorandum on Port State Control, etc.).

7.4.2 By adopting the TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection, the TRACECA member states agree to:

- Participate in the work of the Regional Working Group (RWG) on maritime safety and security and environmental protection;
- Share information and experience on the implementation of relevant IMO and ILO Conventions on maritime safety and security;
- Strengthen NWGs to ensure integration of the Strategy's Objectives and Priority Actions into national plans; and
- Develop and/or incorporate into existing national plans the recommended activities in accordance with the Priority Actions agreed within the framework of the TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection.

7.5 Priority Actions within Maritime Safety

Table 2 below lists the identified Priority Actions within maritime safety and their corresponding activities as well as the responsible body (assigned national institution) for their implementation and monitoring.

Table 2: Priority Actions within Maritime Safety

No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
1	Improve the exchange of information between countries regarding vessel traffic movements to achieve full compliance with IMO instruments related to AIS, LRIT and Vessel Traffic Monitoring and Information System (VTMIS) Adoption of corresponding measures providing for ships safety in the water areas of ports and navigation channels.	<p>Set up a single national window for shipping safety data and an electronic exchange information mechanism on vessel traffic in the Black and Caspian Seas;</p> <p>Introduce real-time electronic mapping, data storage and exchange;</p> <p>Establish a MoU on AIS data;</p> <p>Develop a regional AIS server;</p> <p>Further support the activities of the BSC (MONINFO Project);</p> <p>Carry out TNA and training of staff;</p> <p>Plan and carry out regional workshops, regarding AIS and LRIT.</p> <p>Carry out relevant research in the Black and Caspian Seas and prepare corresponding recommendations ensuring maritime safety in the ports areas and navigation channels</p>	<p>National and regional vessel traffic databases established;</p> <p>Maritime safety in the region improved;</p> <p>Full compliance with IMO instruments achieved;</p> <p>TNA completed and staff trained;</p> <p>Workshops conducted.</p> <p>improvement of conditions for maritime safety</p>	<p>Technical support;</p> <p>IIT hardware and software;</p> <p>Funding for training and workshops;</p> <p>Operational and maintenance costs.</p> <p>Technical Assistance</p>	2015-2018	All Participating States	All concerned Ministries and Departments	<p>One State to become host country and responsible for operation of the regional server.</p> <p>Cost sharing modality to be determined.</p>

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
2	Enhance PSC at national level and enhance regional cooperation on PSC by 2013-2015.	<p>Improve PSC ship-targeting procedures;</p> <p>Conduct bi-annual reviews of PSC manuals and maintain national procedures and update when necessary;</p> <p>Exchange best practices on PSC;</p> <p>Conduct annual PSC inspection excellence tours;</p> <p>Closer alignment of the BS MoU with the Paris MoU by revising and refining the BS MoU as agreed by the Parties;</p> <p>Develop a Draft Caspian Sea (CS) MoU;</p> <p>Carry out TNA and training of staff;</p> <p>Plan and carry out regional workshops.</p>	<p>BBS MoU closer aligned with the Paris MoU on PSC;</p> <p>CBS MoU on PSC drafted;</p> <p>PPSC manuals reviewed and updated;</p> <p>PPSC at national level improved and regional PSC cooperation enhanced;</p> <p>Staff trained.</p> <p>Regional workshops conducted.</p>	<p>TTA support;</p> <p>Further training on PSC;</p> <p>Funding for study tours on PSC and workshops.</p>	2013-2015	All Participating States	National PSC responsible organisation	TTA and budget support to be determined.
3	Ensure effective cooperation in SAR operations and reinforce the SAR capacity in the region.	<p>Agree on simplified procedures and delimitation of areas of responsibility;</p> <p>Ensure adequate communication systems (radio) for SAR co-ordination, especially shore-side;</p> <p>Fulfil international SAR regulations and ensure the systematic application of the IMO's "Guidelines on the treatment of persons rescued at sea";</p> <p>Active participation in IMO</p>	<p>Procedures and delimitation of responsibility agreed;</p> <p>Adequate regional and national radio communication systems in place;</p> <p>International regulations and IMO guidelines applied;</p> <p>Workshops conducted;</p> <p>Best practices on SAR exchanged.</p>	<p>TTA support;</p> <p>SSAR Equipment;</p> <p>Funding for training, workshops and participation in IMO SAR related events.</p>	2014	All Participating States	National SAR responsible organisation	Funding sources for TA and equipment and participation in IMO events to be determined.

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
		initiated activities in this context; Plan and develop workshops on exchange of best practices on SAR.						
4	Adoption of the commitments by the member states in accordance with the relevant international Conventions related to maritime safety and fulfil the requirements of the Code for the Implementation of Mandatory IMO Instruments, as well as the IMO Member State Audit Scheme (VIMSAS).	Strengthen the capacities of maritime administrations in terms of adequate staff, know-how and funds availability; Ensure that all national maritime administrations deploy the economic and human resources needed to ensure the fulfilment of their responsibilities as Flag, Port and Coastal States; Develop a Quality Management System on Flag State Administrations' operational activities; Establish a mechanism for facilitation and coordination regarding the accession of the countries of the region to the IMO Conventions; Annual review of IMO Conventions accession and subsequent needs assessment of further support measures required; Assist Participating States in preparation of VIMSAS;	Maritime administration capacities strengthened; Appropriate economic and human resources allocated; Maritime Administrations certified according to ISO 9001 on Quality Management; Member states supported with respect to accession and implementation of VIMSAS; The relevant international conventions and IMO instruments were revised by member States.	Local budget for economic and human resources; TTA support.	2015	All Participating States	All concerned Ministries and Departments	National funding of the operation of maritime administrations to be determined; Funding for TA to be determined.
5	All Partner States should aim to be on the "White List" of the Paris MoU on PSC by 2021 at	Conduct an Age Profile Analysis on national fleets; Develop and introduce a national database on ships flying under the Flag State;	Age Profile of national fleets established and analysed; Flag State Inspection improved; Electronic Targeting System	TA support; IIT hardware and software; Funding for training, workshops, and seminars.	2015 (from "Grey" to "White" List)	All Participating States	All concerned Ministries and Departments	The updated records are instrumental for planning and scheduling the phasing out of the single-hull tankers (ref. Priority Action # 6).

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
	the latest.	<p>Improve Flag State Inspection;</p> <p>Develop and introduce Electronic Targeting System;</p> <p>Develop and introduce Electronic Certification System to standardise all documents and achieve transparency;</p> <p>Conduct Information Seminars for the maritime sector on the Paris MoU etc.;</p> <p>Conduct Concentrated Inspection Campaigns;</p> <p>Update vessel records in accordance with international standards.</p> <p>Publish vessels inspection/delays data of member states based on the Paris MoU to achieve the intended objectives</p>	<p>developed and implemented;</p> <p>Electronic Certification System developed and implemented;</p> <p>National databases developed and implemented;</p> <p>Information Seminars completed;</p> <p>Concentrated Inspection Campaigns completed;</p> <p>Vessel records updated.</p> <p>Data published</p>		2021 (from "Black" to "White List")			
6	<p>Phase-out single-hull tankers in accordance with MARPOL 73/78 and its amendments.</p> <p>For the member states - to adopt measures aimed at the development of Maritime Commercial</p>	<p>Review and subsequently improve national Ship Scrapping Policy;</p> <p>Assess capacity and capability of national shipyards to scrap old tankers/ships;</p> <p>Adapt and develop relevant national legislation regulating requirements and specifications of new built tankers/ships.</p> <p>Review national merchant marine development plans.</p>	<p>National Ship Scrapping Policy reviewed and improved;</p> <p>National shipyards' capacity and capability assessed;</p> <p>National legislation developed, enacted and enforced;</p> <p>Merchant marine development plans reviewed.</p>	TTA support	2012-2021	All Participating States	All concerned Ministries and Departments	<p>This will require a change in the legislation to enforce that all newly built tankers adhere to international standards – double hull.</p> <p>Timing to be discussed in line with expected replacement schedule of the existing national tanker fleets in lieu of national fleet development plans.</p>

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
	Navy based on National Plans (NP)							
7	Improve Flag States' internal verification of the performance of Recognised Organisations (Ros/Maritime Registers) acting on their behalf.	<p>Review the procedures for agreements between Flag States and ROs;</p> <p>Analyse the performance of existing ROs;</p> <p>Strengthen the capacity of national administrations to effectively monitor ROs;</p> <p>Carry out TNA and training of staff (ministerial and bodies);</p> <p>Promote EU Policy (Third Maritime Safety Package) on RO's</p> <p>Promote planned IMO Code on ROs.</p>	<p>Regulation and performance reviewed and analysed;</p> <p>Staff trained and capacity strengthened.</p>	TTA support	2013		All concerned Ministries and Departments	

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
8	Promote the ratification of ILO MLC 2006 by Participating States	Development and adoption of national legislation on decent, fair and safe working conditions for seafarers. Subsequent submission of Instrument of Ratification to the ILO	ILO MLC 2006 ratified by Partner states; Working conditions and rights of seafarers improved.	TA Support	2014	Littoral States of the Black Sea and Caspian Sea, which have not ratified ILO MLC 2006 yet		
9	Promote the	Development and	Guidelines for Occupational	TA Support	2014	All		

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
	adoption and implementation of ILO-OSH 2001 by Participating States	implementation of national legislation and/or guidelines to protect workers from hazards and to eliminate work-related injuries, ill health, diseases, incidents and deaths.	Safety and Health established; Safety and Health conditions improved .			Participating states		

7.6 Priority Actions within Environmental Protection

Table 3 below lists the identified Priority Actions within environmental protection and their corresponding activities as well as the responsible body (assigned national institution) for their implementation and monitoring.

Table 3: Priority Actions within Environmental Protection

N o.	Priority Actions	Activities	Expected Results	Input Requirements	Dead line	Applicable Countries	Responsible for Implementation	Comments
10	Minimise wastes and emissions from maritime transport and ensure that Partner States are able to achieve "good environmental status" in marine waters covered by their sovereignty or jurisdiction.	<p>Analysis of present situation and levels of emissions;</p> <p>Introduction of Best Environmental Practices and Best Available Technologies to prevent the pollution of the Seas;</p> <p>Instigate the Polluter Pays Principle as the economic basis for the control of environmentally harmful activities, emphasising the importance of responsibility by forcing polluters to pay for the true costs of their activities;</p> <p>Conduct a study to identify the advantages and disadvantages of the establishment of a Black Sea and Caspian region, respectively, for the control of emissions of sulphur oxides in accordance with Regulation 14 of Annex VI of MARPOL;</p> <p>Conduct a study on the potential of a regional aid scheme aimed at the promotion of transition to alternative fuel for engines of</p>	<p>Best Practices introduced;</p> <p>Legislation amended incorporating Polluters Pays Principle;</p> <p>GHG emissions monitored;</p> <p>Greenhouse gas emissions reduced;</p> <p>Advantages and disadvantages of regional control of emissions of sulphur oxides identified;</p> <p>Alternative fuels for engines identified;</p> <p>Recommendations on the use of LNG as ship fuel developed and substantiated;</p> <p>Assessment of EU ETS Green Paper on Aviation completed.</p>	TTA support on environmental practices, emission control, legislation and the use of alternative ship fuels.	2017	All Participating States	All concerned Ministries and Departments	Amendment of existing legislation is a precondition for instigating the Polluters Pays Principle.

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
		<p>marine vessels engaged in maritime transport over short distances, in order to alleviate the effect of shipping on the environment;</p> <p>Conduct a study on increasing energy efficiency on ships at sea and in ports;</p> <p>Conduct Cost-Benefit Analysis on the use of LNG as ship fuel;</p> <p>Carry out bi-annual monitoring of emissions of GHG;</p> <p>Develop a database on emissions data;</p> <p>Assess Green Paper on EU Emissions Trading System (ETS) for Aviation and subsequently judge its applicability to the maritime sector.</p>						
11	Promote the use of alternative energy solutions in ports, including non-conventional/alternative sources of energy, such as solar energy and wave power.	<p>Carry out study to identify the use of alternative energy solutions i.e. shore-side electricity;</p> <p>Develop Public Relations (PR) materials and conduct PR campaign.</p>	<p>Study on alternative energy solutions conducted;</p> <p>PPR material developed and published;</p> <p>PPR Campaign conducted.</p>	TTA support; PPR material	2015	All Participating States	All concerned Ministries and Departments	
12	Enhance port reception facilities for ship-generated waste and cargo residue.	<p>Determine the availability of adequate facilities and administrative procedures to meet the expected traffic growth;</p> <p>Provide adequate port reception facilities for ship-generated wastes according</p>	<p>Adequate port reception facilities and administrative procedures established;</p> <p>AA national information system on PWM developed</p>	TTA support; IIT software and hardware; Funding for adequate port reception facilities	2017	All Participating States	All concerned Ministries and Departments	

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
		<p>to MARPOL 73/78, Annex I, IV, V.</p> <p>Establish a national information system on waste reception, transfer and disposal;</p> <p>Implement efficient waste notification and cost recovery systems;</p> <p>Train staff in PWM.</p>	<p>and implemented;</p> <p>AA notification system developed and implemented;</p> <p>Staff trained in PWM.</p>					
13	<p>Develop a Regional Environmental Management System (EMS) in accordance with ISO 14001 for Maritime Transport targeting the continuous improvement of the environmental performance of shipping.</p>	<p>Review a modulation of registration fees, ecological dues and other charges, with a view to rewarding efforts towards greener shipping;</p> <p>Enhance regional cooperation on EMS for maritime transport in the Black and Caspian Seas;</p> <p>Design and implement EMS on the basis of ISO 14001;</p> <p>Develop a reporting and monitoring system as part of EMS;</p> <p>Develop a website or regional server on EMS data;</p> <p>Raise awareness on EMS.</p> <p>Further support the activities of BSC and CASPECO with regard to EMS.</p>	<p>A Review on registration fees, ecological dues and other charges conducted;</p> <p>Regional cooperation on EMS enhanced;</p> <p>EEMS according to ISO 14001 designed and implemented;</p> <p>Reporting and monitoring system developed and implemented;</p> <p>Website or regional server on EMS data developed and implemented;</p> <p>Awareness on EMS raised;</p> <p>BSC and CASPECO supported with regard to EMS.</p>	<p>TTA support;</p> <p>IIT hardware and software;</p> <p>Funding for training, workshops, and awareness raising;</p>	2017	All Participating States	All concerned Ministries and Departments	
14	<p>Enhance national and inter-regional response to maritime pollution Incidents.</p>	<p>Further develop and update the national Contingency Plans in accordance with the Protocol on Cooperation in Combating Pollution of the</p>	<p>Contingency Plans for the Black Sea on Combating Oil Pollution further developed and</p>	<p>TA support to develop and update Contingency Plans;</p>	2020	All Participating States	All concerned Ministries and Departments	

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Dead line	Applicable Countries	Responsible for Implementation	Comments
		Black Sea by Oil and Other Harmful Substances in Emergency Situations; Further develop and implement the Caspian Sea draft Protocol on Regional Cooperation in Combating Oil Pollution Incidents (OPI Protocol) and its related draft Regional Plan on Cooperation in case of Major Oil Spill in the Caspian Sea; Establish an inter-state mechanism to enable a quick response to major pollution events; Ensure that in case of an accident the right equipment is available and routines are in place to respond immediately in co-operation with neighbouring states; Coordinate the aerial surveillance of maritime shipping routes to provide a complete picture of sea-based pollution and to help identify suspected polluters; Where no satellite images are available, conduct a cost-benefit analysis of the implementation of a satellite monitoring system.	updated; Draft Caspian Sea OPI Protocol and related Regional Plan on Cooperation developed and circulated; Inter-State Mechanism established; Satellite images on illegal discharges to Black and Caspian Seas provided to the EU's CleanSeaNet service, Istanbul Technical University; Satellite Communication and Remote Sensing Center (ITU, CSCRS) (Turkey); And other relevant systems provided the availability of technical capacities.	TA support to develop and implement OPI Protocol; TA support to develop and implement satellite surveillance; TA support to join EU's CleanSeaNet;				Funding for adequate emergency equipment; Funding for laboratory equipment; Funding for satellite surveillance.
15	Aim to ratify the International Convention for the Control and	Conduct a cost-benefit analysis of adopting the	Cost-benefit analysis on adopting the	TTA support	2015-2017	All Participating States	All concerned Ministries and	

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
	Management of Ships' Ballast Water and Sediments (BWM - 2004) to prevent the potentially devastating effects of the spread of harmful aquatic organisms carried by ships' ballast water from one region to another.	Convention; Support Partner States in the adoption of the Convention; Develop and implement a Ballast Water and Sediments Management Plan; Train staff in the inspection of BWM.	Convention conducted; Convention ratified by Partner States; Ballast Water and Sediments Management Plan developed and implemented; Staff trained in the inspection of BWM.				Responsible for Implementation Departments	
16	Submit proposals regarding "Special Areas" provisions under Annexes I, II, V and VI of MARPOL 73/78 for the Caspian Sea.	Implement first steps regarding "Special Area" (revert to TA); Apply for the designation as a "Special Area" for the Caspian Sea.	Application for "Special Area" submitted and approved.	TTA support	2015	Caspian Sea Littoral States	All concerned Ministries and Departments	
17	Ratification of CLC Convention of 1969 and Protocols to CLC Convention of 1976 and 1992.	Conduct a cost-benefit analysis on adopting CLC 1992; Development and adoption of national legislation on compensation to persons who suffer oil pollution damage resulting from maritime casualties involving oil-carrying ships. Subsequent submission of Instrument of Ratification to the IMO.	Cost-benefit analysis on ratifying CLC 1992 conducted; CCLC 1992 ratified by Partner States;	TTA support	2020	Littoral States of the Black and Caspian Sea, which have not ratified CLC Convention of 1969 and Protocols to it yet.	All concerned Ministries and Departments	
18	Ratification of FUND Convention of 1971 and Protocols to the FUND Convention of 1992, 2000 and 2003.	A. Conduct a cost-benefit analysis on adopting FUND 1971; B. Development and adoption of national legislation on compensation for pollution damage to the extent not	Cost-benefit analysis on ratifying FUND 1971 conducted; Convention Fund 1971 was ratified by Partner States.	TA support	2020	Littoral States of the Black and Caspian Seas which have not ratified FUND Convention of 1971 and Protocols to it		

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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
		afforded by the 1969 CLC and on relief to ship-owners from the additional financial burden imposed upon them by the 1969 CLC.				yet.		
19	Ratification of INTERVENTION Convention of 1969 and Protocol of 1973 to the INTERVENTION Convention.	Development and adoption of national legislation on measures to prevent, mitigate and eliminate dangers to coastline or related interests from pollution by oil or other substances following a maritime casualty.	INTERVENTION 1969 ratified by Partner States	TA support	2020	Littoral States of the Black sea and the Caspian sea which have not ratified INTERVENTION Convention of 1969 and Protocols to it		
20	Ratification of BUNKER Convention of 2001.	A. Conduct a cost-benefit analysis on adopting BUNKER 2001; B. Development and adoption of national legislation on compensation to persons who suffer damage caused by spills of oil, when carried as fuel in ships' bunkers. Subsequent submission of instrument of Ratification to the IMO.	Cost-benefit analysis on ratifying BUNKER 2001 conducted; BUNKER 2001 ratified by Partner States.	TA support	2020	Littoral States of the Black Sea . which have not ratified BUNKER Convention of 2001 yet		
21	Member states should take necessary measures for accession to a number of International Conventions and regional Conventions, Treaties and Agreements for the Black and Caspian Seas related to the protection of the marine environment.	Support Partner States in the ratification and implementation of relevant Conventions, Treaties and Agreements for the protection of the marine environment; Conduct a cost-benefit analysis on adopting the Conventions, Treaties and Agreements, respectively;	Conventions, Treaties, and Agreements ratified and implemented; Cost-benefit analysis conducted;	TTA support	2015	All Participating States	Concerned Ministries and Departments	

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7.7 Priority Actions within Maritime Security

Table 4 below lists the identified Priority Actions within maritime security and their corresponding activities as well as the responsible body (assigned national institution) for their implementation and monitoring.

Table 4: Priority Actions within Maritime Security

No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
22	Improve conformity of national maritime security codes to the International Ship and Port Facility Security Code (ISPS) and the relevant EU Directives	<p>Further support Partner States in the implementation of the ISPS Code;</p> <p>Train staff in the ISPS Code;</p> <p>Exchange experience and best practices on maritime security issues;</p> <p>Establish a regional association of Maritime Security Officers;</p> <p>Conduct regional conferences on Maritime Security Issues and safety of life at sea</p>	<p>Partner States supported in the implementation of/ conformity with the ISPS Code;</p> <p>Staff trained in the ISPS Code;</p> <p>Regional Association on Maritime Security Officers established.</p>	<p>TTA support;</p> <p>Training in ISPS Code</p>	2015	All Participating States	All concerned Ministries and Departments	
23	Establish an integrated security information management system for ships crossing both seas to enable the identification, monitoring, tracking and reporting of vessels at sea.	<p>Develop and implement an integrated security information management system;</p> <p>Develop and implement EDI systems in ports that are comprehensive and fully integrated, in the sense that they can link all concerned actors together and allow for all applications associated with clearing freight to be made electronically;</p>	<p>An integrated security information management system developed and implemented;</p> <p>EEDI systems developed and implemented in ports;</p> <p>Relevance and applicability of EU's Port Community</p>	<p>TA support</p> <p>IT software and hardware</p>	2017	All Participating States	All concerned Ministries and Departments	

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



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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
		Evaluate the relevance of instigating the EU's Port Community System in the region; Conduct a cost-benefit analysis on implementing the EU's Port Community System.	System assessed; Cost-benefit analysis on implementing EU's Port Community System conducted.					
24	Enhance coastal surveillance of maritime transport by improving shore-based infrastructure and regional cooperation.	Enhance regional cooperation on coastal surveillance of maritime transport; Improve shore-based infrastructure for coastal surveillance, i.e. equipment etc.; Train staff in coastal surveillance.	Regional cooperation on coastal surveillance enhanced; Shore-based infrastructure improved; SStaff trained in coastal surveillance.	TTA support; Funding for adequate equipment.	2015	All Participating States	All concerned Ministries and Departments	
25	Promote the ratification of ILO 185	Ratify ILO 185; Establish an electronic database on SIDs; Improve shore leave for seafarers by first ratifying and subsequently implementing the provisions set out in ILO 185.	Security on board ships and in ports enhanced following implementation of SIDs; Seafarers ability to go ashore when joining and leaving ship improved	TA support	2015	Littoral States of the Black Sea and Caspian sea which have not ratified ILO 185 yet.		
26	Adopt and implement ILO/IMO's Code of practice on Security in ports	Agree on and develop a common approach to port security amongst	Port security measures enhanced and	TA support	2015	All Participating States		

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



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No.	Priority Actions	Activities	Expected Results	Input Requirements	Deadline	Applicable Countries	Responsible for Implementation	Comments
		Participating States Establish methods for identifying potential weaknesses in port's security and outline security roles, tasks and measures to deter, detect and respond to unlawful acts against ports serving international traffic and maritime operations	aligned					
27	Promote the adoption of a MOU on Port Security	Establish a MOU on Port Security on the basis of ILO/IMO Code of Practice on Security in ports Develop and implement a common monitoring system on security of ports and ships via SASEMAS	Port security procedures harmonised and aligned	TA support	2015	All Participating States		

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



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7.8 Status of Implementation of Related Conventions

Note: The updated version of the Status of Implementation of Related Conventions can be found on the web-site: www.imo.org (section Conventions)

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



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8. Appendix B8 – Project Fiches

8.1 Appendix B 8.1 – Kazakhstan

ACTION FICHE

DOCUMENT FILE NAME	Action Fiche Kazakhstan_SASEPOL_2011
DOCUMENT VERSION	1.0
DATE	October 2011
PROJECT TITLE	Improvement the capacity of Aktau International Sea Commercial Port Authority on the ship-waste management, considering the future development of processing capacity

1. BASIC INFORMATION

Title	Improvement the capacity of Aktau International Sea Commercial Port Authority on the ship waste management, considering the future development of processing capacity
Programme / Sector	TRACECA / SASEPOL
Location	Kazakhstan, Aktau

2. OVERALL OBJECTIVE AND PROJECT PURPOSE

2.1. Overall objective

The overall objective of the project is to ensure that the Aktau International Sea Commercial Port Authority (AISCP) has the required technical and administrative capacity to implement maritime standards in the field of ship waste handling management, in accordance with the ratified maritime legislation (MARPOL 73/78 – Annexes I-V), national legislation and specific local environmental regulations, considering the future development of processing capacity.

2.2. Project purpose

The project has the purpose of improving the quality and efficiency of ship waste handling through:

- Development and implementation of a comprehensive Port Waste Management Manual
- The upgrade of maritime safety and maritime pollution prevention, according with regulatory and maritime standards, through training of AISCP personnel involved in environmental activities, particularly in waste management

3. DESCRIPTION OF THE PROJECT

The following description details are based on:

- "Port Reception Facilities Ship Waste Handling Procedures _ Aktau, Kazakhstan" – report issued on September 2010, European Commission, SASEPOL project.
- Working visit during 13-17 of June, 2011, by SASEPOL experts (technical and financial) in Aktau port. On this occasion, was held a series of meetings with AISCP management representatives and technical staff involved in investment activities and management of environmental issues, as for example

3.1. Background and justification

3.1.1. Generalities

The production and implementation of Waste Management Plans in ports and harbours presents the most effective means of minimising and avoiding the potential effects of operational and illegal discharges of oil and waste from ships into the marine environment. Improvements will be achieved through the provision of adequate reception facilities that encourage the disposal of wastes in ports and terminals.

In most ports, the operation of waste facilities is carried out by contractors properly approved by the local environment agency and the local authority. They have the expertise and capability to develop the efficiency of the waste system, and the motivation to do so.

Most ports and harbours encourage and facilitate the work of other authorities in the responsible management of waste, including waste minimisation and recycling, at the points of generation, transportation and disposal.

3.1.2. Current state of waste handling in Aktau International Sea Commercial Port - Kazakhstan

Type of port operations

The following port operations take place within Aktau Port jurisdiction:

- Container terminal
- Bulk terminal (dry cargo)
- Crude oil loading (to oil tankers)
- Ferry transportations

A ship yard is located outside the port.

Waste treatment

The "AISCP" has its own waste management system from collection to final treatment.

All the shipping companies having vessels entering in port Aktau, are informed by Inspection of port supervision of port on Rules, the customs of port Aktau stipulated by the Arch of customs of the international seaport.

Particularly, the "AISCP" within its water basin provides services to the vessels:

- **Provision of potable water;**
- **Reception of bilge water, sewage, wastes;**

According to the requirements of International Convention MARPOL 73/78, the port executes a 100% of services with regards to the reception of all types of wastes and sewages from vessels via a specialized vessel SLV "Raduga". There will be another new built vessel at the end of 2011, which is being built at ship yard in Istanbul, Turkey.

The Port has no treatment facilities and transfers the generated sewage to the reception organizations in accordance with the contractual agreements between parties:

- Sewage water – are transferred to the municipal treatment plants with subsequent biological treatment;
- Oily water – are transferred to a specialized organization for treatment;

There is no polygon for disposal of solid domestic wastes and industrial wastes at "AISCP". All wastes received from vessels and generated at port are stored at designated areas as per the agreements with receiving parties.

The waste management procedure of "AISCP" as well as the wastes received from vessels is regulated by the technical document named as "The project of standards for waste management" which is approved by the authorized regional environmental and sanitary-epidemiological departments. This project foresees the sequence from place of wastes generation to the approved treatment and disposal area (storage at polygon and disposal) in a form of tables, management schemes, and consists of passports for each type of waste including the vessel generated wastes identified by their level of hazard.

The "AISCP" has been accredited and has a functioning Environmental Management System (EMS) which complies with the requirements of international ISO 14001:2004 standard. The main objective of this system is the minimization and awareness of unlikely effect of business activities of "AISCP" to the natural environment

The Port accepts wastes generated by vessels only, in the process of their operation. The waste reception vessels (barges), which receive wastes and sewage from other vessels, which are operated in the Caspian sea shelf, fulfil the procedure of waste discharge directly to the reception organizations via their own agents (based on agreements between parties: ship owner – agent). The "AISCP" environmental team is responsible for the monitoring of the waste management system implementation as well as documentation fulfilment.

Cost recovery

The system of indemnification of payment for reception of sewage and wastes by vessels to port is as follows:

- for the provision of containers for wastes, there is an ecological rate for the daily storage at port, irrespective if the wastes were delivered to the shore;
- for the reception of sewage (industrial, bilge), there is a rate for the work period of the vessel (1 hour rate), irrespective of the volume of sewage received;
- all oily waters from Annex 1, but not ballast water and not the tank flushing and sludge;
- solid wastes;
- sewage water.

Basically, the fixed limits are not present – the port accepts all until it is proved and can be taken away by an available barge. The payment is based on a principle of direct payments (for oily wastes). It does not create any incentive motives to hand over waste on port reception facilities.

Issues related to development of Aktau Port infrastructure in the near future

AISCP is acting now for improving the facilities in the existing port, in parallel with the expansion works in the North Port which are already underway.

Based on the last discussion with AISCP representatives, the current situation in the North Port is:

- The North Port breakwater and mole have been partially constructed, but the contract was terminated in 2006 when the work was less than 25% complete. After that, a new contract to complete the mole and breakwater was awarded in 2007, and the construction was finished 100% in 2009;
- The new Oil Terminal (which will take the Tengizchevroil oil exports, currently carried by rail to Ukraine) is partially completed; also, in the same situation is the future Dry Cargo Terminal. Construction activity is on going, with governmental funding.

- Estimates of the oil volume to be processed through Aktau port are:

OIL	Actual	2015	2020
(000 tones)	10.000	15.000	17.000

In these conditions and taking into account experience to date, AISCP has decided to develop their own wastewater treatment facilities for oily water collected from tankers moored in Aktau Port and from the current activity performed in the actual and future Oil Terminal.

AISCP intends to purchase separately the design and works for construction of the new oily wastewater, so they can be financed from own sources and completed simultaneously with construction of the new Oil Terminal.

3.2. Scope of the project

The project proposes the improvement and strengthening of the capacity of Aktau International Sea Commercial Port (AISCP) authority by implementation of a Waste Management Manual together with trainings delivered to technical staff involved in environmental activities, in order to manage ship waste handling in accordance with environmental and marine regulations.

The responsible authority shall play a more active role and clear responsibilities for the involved bodies should be drawn up.

There are three significant requirements under the environmental and maritime regulations:

- Ships must provide notification of waste to be discharged, before entry into a port or terminal, including information on types and quantities;
- The delivery (discharge, disposal) of ship-generated wastes is mandatory, if volume of waste exceeds 50% of storage capacity on board and if the next port of call is unknown or the volume of the ship's storage tanks are not sufficient for accumulation of the waste during the voyage to the next port of call;
- Ships must pay fees for waste discharged and a mandatory charge to make a significant contribution to the cost of port reception facilities for ship generated waste, whether they use them or not.

The mandatory waste notification, the waste delivery limitations, the real costs of operating the ship waste handling system and all procedures described in the Port Waste Management Manual will be in place after the project has been implemented.

3.3. Organizations relevant to the project

The project will be implemented within the operational area of AISCP, and will affect all organizations involved in ship waste handling, summarised in Table 3.1.

Table 3.1 : Organizations involved in Port Waste Management

Organizations / Companies	Role
Aktau Port Authorities - Environmental Department	Coordinator of waste handling system
Aktau Port Authorities - Financial Department	Financial operations
Aktau Port Authorities – Aktau Port Fleet Service	Waste operator-manager using the waste collecting vessels
Aktau Port Authorities - Harbour Master Department	Performs control functions for the Harbour Master
Aktau Port Authorities - Port State Control	Performs control functions for the Harbour Master
State Ecological Inspection of Environmental Protection	Performs control functions for the Ministry of Environment
Aktau Port Authorities - Port Traffic Controller	Coordinates ships moving and berthing

3.4. Results to be achieved

The results to be achieved by the Consultant are the following:

- Result 1:** Port Waste Management Manual (PWMM) in place, with procedures related to:
- Waste flow (per type)
 - Administrative flow (documentation and data registration)
 - Financial flow
 - Sanitary dues
 - Additional charges, etc.
- Result 2:** Introduction of a mandatory notification system on wastes, including the notification form (EU standard or IMO);
- Result 3:** Introduction of waste delivery limitations according to ship size and last port of call;
- Result 4:** Establish a sanitary due which reflects the real cost of operating the ship waste handling system;
- Result 5:** Support compliance with international conventions and European legislation regarding environmental protection from ship waste
- Result 6:** Prepare and implement training modules on relevant maritime pollution prevention and ship waste management.
- Result 7:** Prepare and implement training modules on asset management, operations and maintenance of waste collection & treatment facilities.

3.5. Assumptions

The following assumptions are considered to be basic prerequisites for project implementation:

- Sufficient level of commitment of the beneficiaries (AISCP and stakeholders) to transpose and implement effectively the international conventions and legislation;
- Existence of continuity at the decision making level;
- Sustainability in common regional priorities in maritime environmental protection;
- Technical support from the maritime authorities and port authorities and the short-term local experts.
- Co-ordination, involvement and participation of the maritime administration and port authorities;
- Sufficient level of understanding between the authorities responsible within the maritime sector to facilitate the introduction and application of the project recommendations and the new Port Waste Management Manual.

3.6. Risks

The following risks have been identified:

- Risk 1:** Frequent administrative changes which could cause the loss of know-how through Dispersion of professionals;
- Risk 2:** Lack of cooperation between the maritime and port authorities and other Environmental domain representatives;
- Risk 3:** Different legal and organisational bases of the beneficiaries involved;
- Risk 4:** International rules and regulations are subject to national variations and Interpretations.

These risks have to be minimised by the use of already functioning mechanisms established in the SASEPOL project. The following measures and considerations will contribute to minimising the risks:

- On risk 1: Establishing an efficient and effective transfer of know-how system, providing Simple guidelines and practical implementations tools
- On risk 2: Reinforcing the coordination role and advisory functions of the TRACECA/SASEPOL Structure
- On risk 3: Harmonising the legal systems according to international and EU standards
- On risk 4: Reinforcing general awareness of maritime environmental protection aiming at the effective achievement of the project's objective.

3.7. Activities to be executed

Successful implementation of this project anticipates the following:

Activity 1 – Development and implementation of a comprehensive Port Waste Management Manual

In order to develop and implement the Port Waste Management Manual, Activity 1 should consist of the following steps:

- **Consultation** – the purpose of consultation is to ensure that the waste reception facilities meet the users' needs and to involve those who have an interest in the provision of services. All users have an obligation to land waste for disposal rather than to dump it at sea. Good facilities at the right price can only be provided if there is full constructive dialogue between the service providers and the users. Details of the consultation procedures must be incorporated in the Plan. Consultation should be carried out with:
 - Users (berth users)
 - Regulators (local offices of environmental regulator, port department of environment, port health authority, etc.)
- **Analysing the need for waste reception facilities** – the regulations stipulate that the following information be collected:
 - Amounts of each type of waste actually received;
 - Amounts of each type of waste which should be received – based on notification data;
 - Amounts and types of waste stored by ships for reception in other landing places
- **Evaluation of the type and capacity of waste reception facilities** – the regulations only require the dealing with on-board wastes produced by users at sea. AISCP should decide what waste facilities are needed, and the Plan should take into account users' reasonable requirements.
- **Estimation of the cost of facilities** - under the *polluter pays* principle, ships should bear the cost of providing reception, treatment and disposal of the waste, but the cost of using port waste reception facilities should not be so high that it encourages disposal of waste at sea. The charges may take into account the type, size and category of the ship and whether it produces reduced quantities of ship-generated waste because of its environmental management, design, equipment or operation.
- **Evaluation of the location and ease of use of facilities** – ships calling at a landing place should be encouraged to use the waste reception facilities by way of their convenient location and ease of use. AISCP already have experience of providing waste reception; however, making a formal plan or revising an existing plan provides an opportunity to rethink the key requirements of convenient location and ease of use from the user's perspective.
- **Writing the Port Waste Management Manual** – the PWMM should be organized in the following way:
 - Section 1 – Introduction
 - Section 2 – Contact information of all organizations involved in Port Waste Management and Handling System.
 - Section 3 – Overall description of the waste flow, payment system, documentation and data registration.

- Section 4 – Waste types accepted at Aktau port
- Section 5 – Waste handling formal procedures:
 - Waste flow (per type)
 - Payment system
 - Administrative flow (documentation and data registration)
 - Mandatory waste notification
 - Methods and conditions for waste collection
- Section 6 – Task and Responsibilities:
 - Ship Master
 - Agents
 - Aktau Port Departments
 - Waste Operators
 - Inspection Authorities
- Section 7 – Fees and Charges
 - Sanitary Fee
 - Additional Charge
 - Special Charge
 - Fines
 - Transportation Costs
- Section 8 – Standard documents
 - Waste Notification Reporting Form
 - Waste Delivery Report
 - Waste Operator Monthly Report
 - Requirements for Standard Discharge Connections
- **Implementation of Port Waste Management Manual** – the implementation phase should be performed in the following way:
 - Identification of a person or persons from AISCP management to be responsible for the implementation of the PWMM;
 - Establish a plan of implementation, training the people in charge of implementation in their tasks and responsibilities
 - Informing users - all users should be told where waste reception facilities are, how to use them and, when applicable, how any additional charges are levied.
 - Distribute the PWMM to all users, regulatory bodies and stakeholders;
 - Training of the relevant personnel from AISCP departments in charge or involved in port waste management in the new PWMM requirements;
 - Start application of PWMM by AISCP management.

Resources:

In order to facilitate the execution of the activities the following experts are required:

- international senior institutional expert – for procedural aspects
- local senior financial expert – for financial aspects
- local junior technical expert – for waste management technical aspects

Local experts could be provided by the Port Authority / Ministry of Environment / Local Regulatory Bodies, as part of the project team.

All of them must be familiar with IMO mandatory instruments and EU directives.

Period: 6 months

Activity 2 – Development and training of AISCP relevant personnel involved in environmental activities

In order to upgrade maritime safety and maritime pollution prevention in Aktau port, in accordance with regulatory and maritime standards and through training of AISCP relevant personnel involved in environmental activities, Activity 2 will consist of the following sub-activities:

- Review and design the organizational structure in order to assure a competent control and monitoring of AISCP activities in the field of waste management
- Develop a procedure for control and monitor the waste management activities in the AISCP operational area
- Establish minimum professional criteria for staff involved in waste management
- Define clearly staff roles and responsibilities
- Establish adequate performance indicators for staff in order to increase their professional capacity
- Establish adequate financial and non-financial incentive schemes
- Develop training modules on relevant maritime pollution prevention and ship waste management.
- Develop training modules on asset management, operations and maintenance of waste collection & treatment facilities.
- Training delivery
- Final evaluation of the knowledge level achieved.

Resources:

In order to facilitate the execution of the activities the following experts are required:

- international senior expert on institutional aspects
- local senior expert on human resources development
- local junior expert on environmental aspects
- local junior expert on waste management

Local experts could be provided by the Port Authority / Ministry of Environment / Local Regulatory Bodies, as part of the project team.

All of them must be familiar with IMO mandatory instruments and EU directives

8.2 Appendix B 8.2 – Georgia

8.2.1 Appendix B 8.2.1 - Action Fiche 1

ACTION FICHE

DOCUMENT FILE NAME	Action Fiche GEORGIA_STCW & FSC Databases_2011
DOCUMENT VERSION	1.2
DATE	November 2011
PROJECT TITLE	Development of STCW and FSC Databases for the Georgian Maritime Transport Agency

1. BASIC INFORMATION

Title	Development of STCW and FSC Databases for the Georgian Maritime Transport Agency
Programme / Sector	ENP East / Eastern Partnership / EU Direct Budget Support
Location	Batumi, Georgia
Implementing arrangements	
Contracting Authority	European Community represented by the European Commission on behalf of the Beneficiary
Implementing Agency	European Commission
Beneficiary	Maritime Transport Agency, Georgia

2. OVERALL OBJECTIVE AND PROJECT PURPOSE

2.1 Overall purpose

The overall purpose of this intervention is to contribute to Georgia becoming compliant with international maritime conventions and standards, as those set by IMO, ILO and the various MoUs that Georgia is party to, such as the Paris, Black Sea or Tokyo MoUs.

In line with the overall reform of the Georgian Maritime environment and the objectives of the newly established Georgian Maritime Administration, stipulated in the Regulation of the Maritime Transport Agency (MTA), approved by the Ministry of Economy and Sustainable Development of Georgia, Order No 1-1/585 published on 14th April 2011, Article 2, "*The Objective of the MTA is to provide maritime safety, to regulate functions and legal aspects of maritime transport and to meet and maintain the compliance with international standards*".

Therefore this project aims to improve the overall performance of the Georgian MTA, thereafter referred to as the Beneficiary of this project.

2.2 Project objective

The objective of this project is to provide the Georgian Maritime Transport Agency with an IMO- and EU-compliant system to operate standard Standards of Training, Certification & Watchkeeping (STCW) Convention and Flag State Control (FSC) data. Specifically, the project is to result in the creation of two integrated, operational databases which would enable the MTA to discharge with an important part of its obligations such as:

- Flag State and Port State Control;
- inspections, control and surveillance of navigation in the territorial sea and ports of Georgia;
- registration of ships flying the Georgian flag;
- registration and certification of seafarers;
- representation of the Georgian government in the international organizations in the field of maritime transport;
- Investigation of marine accidents on vessels flying the Georgian Flag.

2.3 Project structure

In order to comply with EU financing specifications, this project has been divided into two lots:

- 1 service contract whose object is to develop the STCW and FSC databases and to train the MTA personnel on their functionalities and proficient use;
- 1 supply contract whose object is to provide all software and hardware necessary for the installation and efficient use of the databases.

Whereas the service contract is completely dependant on the second (the MTA budget cannot accommodate the costs associated with the purchase of minimum IT software and hardware), the second may be discharged with by a different contractor. Both contracts will be tendered simultaneously and the supply contract will provide for the supply and installation of equipment within maximum 3 months from the commencement date.

1. DESCRIPTION OF THE PROJECT

This project is a vital part of the overall reform of the Georgian maritime sector, aiming to improve their international standing, to be removed from the MOU Black List and to achieve revocation of the EU decision cancelling the acceptance of Georgian STCW certificates. As such this project is in the national interest and part of a wider and quite dynamic ongoing reform process.

3.1 Background and justification

3.1.1 General

The performance of the Georgian Flag State has deteriorated significantly over the past few years. Georgia is now the black list of the Tokyo MOU with 303 inspections and 82 detentions for the biennial 2007 – 2009 and also rated as Black list, classified as 'high risk', by the Paris Memorandum of Understanding with 129 detentions out of 832 inspections between 2007 and 2009. The EU The European Commission has also issued a decision in (COMMISSION DECISION of 22 November 2010 on the withdrawal of the recognition of Georgia as regards education, training and certification of seafarers for the recognition of certificates of competency (notified under document C (2010) 7966) (Text with EEA relevance) (2010/705/EU)) and has revoked the acceptance of STCW certificates for Georgian seafarers.

In response, the Georgian Government initiated a programme of reforms aimed to address the situation. Accordingly, the Law of Georgia on Management and Regulation of the Field of transport (2011/10/03) has triggered a major overhaul of the Georgian United Transport Administration, which has led to the creation of a new institution - the Maritime Transport Agency (MTA) of Georgia.

The MTA of Georgia has since embarked on a major reform program and has received support from the European Commission via several instruments, including a major regional TA project aimed to help Georgia (as well as 4 other beneficiary countries) to comply with international conventions and standards on maritime safety, security and environmental pollution prevention (Development of Common Security Management, Maritime Safety and Ship Pollution Prevention for the Black Sea and Caspian Sea -

SASEPOL project, www.sasepol.eu). Efforts were employed by this project to set the ground work for both the acceptance of the Georgian STCW certificates and the improvement of the standing of the Georgian maritime sector aiming at compliance with international conventions, as stipulated and published by the IMO and the EU, by drafting a new Law that would transpose the STCW Convention (as amended).

The MTA has been assigned to be responsible for the implementation of the STCW Convention (as amended). It is thus responsible for the accreditation of training academies, issuance of Certificates of Competencies for Georgian Nationals and foreigners graduating from the approved training institutions, as well as endorsements attesting to foreign certificates of competencies.

The Maritime Transport Department, in an attempt to improve Flag's performance, has published on 5/10/2010 a circular in which the State's new quality policy in respect to PSC was stated. This document has set the framework for new and improved Flag State actions, such as annual flag state inspection, criteria for registering ships based on their safety record and provision for deletion from the Registry in case of three consecutive detentions within one calendar year.

Further steps need to be taken in order to improve the image of the Flag State and several action plans (including the TRACECA Regional Strategy) have been drafted to this purpose. However, detailed actions need to be based on a comprehensive assessment of existing situations and problems which in its turn depends on statistical and historical data.

3.1.2 Current state of STCW & FSC Registries in Georgia

The absence of a centralized, electronic registry of STCW and FSC –related data is a major obstacle in remedying the existing situation.

The STCW Convention requires Parties to maintain registers of certificates and endorsements for masters and officers and to make information available on the status of such certificates and endorsements to other Parties and companies who request verification of the authenticity and validity of certificates produced by seafarers.

Currently, 24 states allow for third parties to verify the status of seafarers' certificates online, by entering their website. At this moment, Georgia provides confirmation by email and keeps records in an older, simple database and hardcopy files. The existing database cannot produce real-time statistics and it does not allow for financial records to be integrated into its database.

FCS data is not centralised and it does not contain entries that constitute international key performance indicators for maritime safety and security. At the moment it consists of a simple Excel file, with most of the information on paper or with the RO's / classification societies.

3.2 Scope of the project

The project is addressed to the MTA in Georgia, located in Batumi, as the principal organisation responsible for the implementation of the STCW Convention and the improvement of Flag State performance.

The projects consists of two contracts – one to create / develop the STCW & FSC database(s) and train the MTA staff, and one to supply the hardware and software necessary for the implementation of the database(s).

The overall period of implementation is 8 months from commencement date.

3.3 Organizations relevant to the project

The project will be implemented in close cooperation with the Georgian MTA and will affect a variety of organisations, which have been involved in the implementation of IMO / EU international conventions / directives / standards, including STCW and FSC requirements. These are listed in Table 3.1.

Table 3.1 : Organizations involved in the development & operation of the STCW & FSC Systems

Organizations / Companies	Role
Ministry of Economy and Sustainable Development of Georgia	Approves and controls all normative and budget-related (including international financing) acts
Maritime training institutions in Georgia	Issue of Academic and Training Certificates
International maritime administrations	Verification of Seafarer's Certificates and PSC
Recognized Organisations	Maintenance of ship records, including seafarers' certificates
Flag State Inspectors / Auditors	Inspections and audits of vessels flying the Georgian Flag
Ministry of Health, Labour and Social Affairs	Responsible for the healthcare system, labour issues and social security system
Ministry of Finance	Has competency in the amendments of law, if the state budget is concerned
Ministry of Foreign Affairs	Competent to determine compliance of Georgian Legislation with international treaties

These organisations, plus individual seafarers, constitute the pool of stakeholders for this project. They would be contacted during various stages of the implementation of this project, as appropriate.

3.4 Results to be achieved

The results to be achieved by the Consultant(s) are as follows:

1. Lot 1 – Development of STCW & FSC Databases

- **Result 1:** STCW & FSC integrated database(s);
- **Result 2:** MTA personnel trained and proficient in the population and use of the two databases;

2. Lot 2 – Supply of STCW & FSC Database Hardware & Software

- **Result 3:** Supply of all the IT software (licenses) and hardware necessary for the efficient operation of the STCW & FSC databases.

3.5 Assumptions

The following assumptions are considered to be basic prerequisites for project implementation:

- Sufficient level of commitment of the beneficiaries (MTA and stakeholders) to transpose and implement effectively relevant STCW & FSC requirements;
- Existence of continuity at the decision making level;
- Continuity at the level of MTA staff directly involved in the operation of the two databases;
- Additional technical support for MTA will be made available (for example by EMSA);
- Co-ordination, involvement and participation of MTA and other directly relevant authorities and institutions.

3.6 Risks

The following risks have been identified:

- Risk 1:** Administrative and / or personnel changes which could cause the loss of know-how through dispersion of professionals;
- Risk 2:** Lack of cooperation between MTA and other relevant authorities and institutions;
- Risk 3:** Delay in the population of the two databases;
- Risk 4:** International rules and regulations are subject to national variations and Interpretations.

These risks have to be minimised by the use of already functioning mechanisms established in the SASEPOL project. The following measures and considerations will contribute to minimising the risks:

- On risk 1: Establishing an efficient and effective transfer of know-how system, providing simple guidelines and practical implementations tools, showing inter alia, the career prospectus for staff, also the implementation of comprehensive training plans.
- On risk 2: Reinforcing the leading role of MTA in the reform of the maritime sector of Georgia and introduction of stakeholder meetings; sourcing of highest political support for the transposition of the STCW and FSC plans of actions.
- On risk 3: Harmonising the legal systems according to international (and EU) standards need to be seen as “public duty” for the relevant institutions involved. MTA will plan in due course for the allocation of human resources necessary for the population of the database(s).
- On risk 4: Reinforcing general awareness of international maritime conventions and standards aiming at the effective achievement of the project’s objective.

3.7 Activities to be performed

3.7.1 Activities for Lot 1 – Development of STCW & FSC Databases

Activity 1: Development of the STCW & FSC integrated databases

Methodology

It is expected that the database design is finalized within the first two weeks from project commencement date, in agreement with the Beneficiary’s technical and management personnel. Specifically, the options to have one STCW & FSC database or two integrated databases will be reviewed and decided upon, as well as the number of users. However, as minimum requirements:

- The database(s) will have an online interface on the Beneficiary’s website which would allow differentiated access to international maritime administration’s personnel, ship owners / classification societies, individual Georgian seafarers / seafarers-to-be and maritime training institutes, who would be able to check the accuracy of seafarers’ records / upload relevant information and documents, as appropriate (in accordance with relevant STCW and FSC Convention requirements, transposed into Georgian legislation);
- The database(s) will have an online interface which would allow relevant individuals and organisations to make online payments, due to the Georgian Maritime Transport Agency;
- The databases will be left “open” once the project is over, i.e. they would allow for changes in the number of entries and fields, required by objective changes such as: number of seafarers, legal requirements that have to be met by seafarers’ / ship owners / classification societies / other relevant bodies involved in the implementation of the STCW and FSC requirements; they will also allow for changes in the amounts to be paid to the MTA and / or the method of payment.
- The database(s) will be able to produce reports and statistics according to key performance indicators established in agreement with relevant MTA personnel;
- The STCW database will count a minimum of about 25,000 entries;
- The FSC database will count a minimum of about 300 entries.

Activity 2: MTA personnel trained and proficient in the population and use of the two databases;

Methodology

It is expected that the design of the database(s) will take no longer than 4 calendar months from commencement date. Month 5 will consist in providing a practical demonstration on the population of the database(s) with the STCW & FSC-relevant data and documents to the MTA personnel. During the same week, the MTA staff will start populating the database(s) and the database experts will run the first tests. Month 5 will also consist in one week of training to MTA personnel on the population of the database(s).

Month 5 and 6 will consist in MTA's populating the database(s), whilst one of the database experts will be available for assistance as required.

At the end of Month 6, there will be one week training for relevant MTA personnel and other stakeholders on the functionality and use of the database.

In Month 7 an overall test will be performed by the experts and any deficiencies will be remedied. Further tests will take place in Month 8.

3.7.2 Resources and timing for Lot 1

It is envisaged that the MTA will provide the location for the hardware as well as office space for the experts involved in the execution of this contract. The Beneficiary will also make sure the personnel to be involved in operation of the databases is available for the population of the databases as well as for formal training sessions.

The team of experts involved in the development of the databases will consist of:

- 2 international database experts responsible for the development of the two databases in English and team up with the software and hardware providers, as well as with the testing of the databases and the training of MTA personnel on the use of the databases;
- 1 local junior international database expert responsible for the development of the databases interface in Georgian and provision of on-the-job technical assistance to the MTA staff, as required;
- 1 team leader, also IT expert, responsible for the overall management of the team and its activities and of liaison with the beneficiary and the Client.

Timing: Month 1 to 8

3.7.3 Activities for Lot 2 – Supply of STCW & FSC Database Hardware & Software

Activity 3: Supply of IT software (licenses) and hardware necessary for the efficient operation of the STCW & FSC databases.

Methodology

The Provider will have to supply as a minimum the following:

Hardware

1. Rack 42U, cooling system & UPS.

Rack specifications:

- Maximum Height 2000.00 mm
- Maximum Width 600.00 mm
- Maximum Depth 1100.00 mm
- Rack Height 42U

- Rack Free Space 38U

Batteries & Runtime

- Battery Type: Maintenance-free sealed Lead-Acid battery with suspended electrolyte : leak proof
- Battery Volt-Amp-Hour Capacity: 864
- Input:
 - Nominal Input Voltage: 230V
 - Input Frequency: 50/60 Hz +/- 3 Hz (auto sensing)
- Output:
 - Configured Power: 2400 Watts / 3000 VA
 - Nominal Output Voltage: 230V
 - Output Connections: (20) IEC 320 C13

Air Cooling Close-coupled for Rack

- Compressor Type: Rotary
- Air Discharge Patterns: Horizontal
- Intake Air: Rear Return
- Refrigerant Charge: 1.36 KG
- Air Flow: 566.34 lps
- Condensate Pump Capacity: 0.002 lps
- Maximum Height: 2000.00 mm
- Maximum Width 600.00 mm
- Maximum Depth 1100.00 mm

Primary and Mirror Servers

- 2U 2Socket
- Intel Xeon E5620 Processor (2.40GHz, 4C, 12M Cache, 5.86 GT/s QPI, 80W TDP, Turbo, HT),
- 4GB Memory for 1CPU (1x4GB Dual Rank RDIMMs) 1333MHz
- 2*300GB SAS 6Gbps 15k 3.5" HD Hot Plug,
- PERC H700 Integrated RAID Controller, 512MB Cache, For 8x HDD Chassis
- 16X DVD+/-RW ROM Drive SATA
- Redundant Power Supply (2 PSU) 750W

Backup Server:

- 1U 1Socket
- Intel Xeon E3-1230 Processor (3.2GHz, 4C/8T, 8M Cache, 80W, Turbo)
- 4GB Memory (1x4GB Dual Rank LV UDIMM) 1333MHz
- 2*2 TB SATA 7.2k 3.5
- 16X DVD +/-RW Drive SATA

Firewall + two-factor authentication

- 25 VPN Connections (and licenses for them if necessary)
- 4 Gigabit Ethernet interfaces
- Load Balancing
- Minimal Firewall Throughput: 400mbps
- 225 Mbps IPsec VPN
- Integrated two-factor authentication

Software

- 3 X Microsoft Windows Server 2008 R2, 64bit, English
- 2 X Microsoft Windows 25 CAL Licenses

3.7.4 Resources and timing for Lot 2

It is envisaged that the equipment will be bought in accordance with EU guidelines for external aid, i.e. they would originate from the EU. Also, the Beneficiary is to ensure proper housing conditions for the equipment as well as office space for the staff employed by the Provider for the installation of the equipment.

The Provider will also devote one calendar day to the on-the-job training of MTA employees on the operation of the equipment installed, should any queries arise thereof. The reception certificate for the equipment delivered and installed will be signed at the end of the on-the-job training day.

Timing: Month 1 to 3

3.7.5 Miscellanea

According to EU Visibility and Communication Guidelines for External Actions, the Beneficiary will have to ensure that the EU contribution is publicized in accordance with the said requirements. Specifically, as a minimum, the website connected to the database(s) will announce EU contribution and bear all EU visibility elements. The equipment will also be publicized by means of a banner / plaque and labels. Other visibility requirements will be identified during the implementation of the project.

8.2.2 Appendix B 8.2.2 - Action Fiche 2

ACTION FICHE

DOCUMENT FILE NAME	Action Fiche GEORGIA_MLC_2011
DOCUMENT VERSION	1.1
DATE	October 2011
PROJECT TITLE	Ensuring legal and institutional compliance of the Georgian MTA with the requirements of the Maritime Labour Convention 2006.

4. BASIC INFORMATION

Title	Ensuring legal and institutional Compliance of the Georgian MTA with the requirements of the Maritime Labour Convention 2006.
Programme / Sector	
Location	Batumi, Georgia and Brussels, Belgium
Implementing arrangements	
Contracting Authority	European Community represented by the European Commission on behalf of the Beneficiary
Implementing Agency	European Commission
Beneficiary	Maritime Transport Agency, Georgia

5. OVERALL OBJECTIVE AND PROJECT PURPOSE

5.1. Overall objective

In line with the overall reform of the Georgian Maritime environment and the objectives of the newly established Georgian Maritime Administration, stipulated in the Regulation of the Maritime Transport Agency, approved by the Ministry of Economy and Sustainable Development of Georgia, Order No 1-1/585 published on 14th April 2011, Article 2 "*The Objective of the MTA is to provide maritime safety, to regulate functions and legal aspects of maritime transport and to meet and maintain the compliance with international standards*".

Therefore the overall objective of this intervention is to prepare the amendments to Georgian legislation in order to meet the international requirements and standards as contemplated by the Maritime Labour Convention of 2006 and the Council Directive 1999/63/EC (as amended 20/05/2009)

5.2. Project purpose

The project has the purpose of improving the working conditions for seafarers and to secure economic interests in fair competition for quality ship owners through:

- c) Establishment of minimum requirements for seafarers to work on a ship;
- d) Establishment of good conditions of employment;
- e) To ensure minimum standards for accommodation, recreational facilities, food and catering;
- f) Establish minimum requirements for health protection, medical care, welfare, and social security protection; and
- g) To ensure ongoing compliance and enforcement; and to
- h) Raise awareness on the importance of the MLC 2006 in Georgia.

6. DESCRIPTION OF THE PROJECT

This project is a vital part of the overall reform of the Georgian maritime sector, aiming to improve their international standing, to be removed from the MOU Black List and to achieve revocation of the EU decision cancelling the acceptance of Georgian STCW certificates. As such this project is in the national interest and part of a wider and quite dynamic ongoing reform process.

The project will prepare amendments to incorporate the vital principles and requirements of the MLC 2006 in Georgia Legislation. Also the relevant institutions will be analysed as to their actual statutory and technical capacities to implement the (to be) transposed MLC 2006 requirements.

To this end, part of the interventions will also concern capacity building measures.

6.1. Background and justification

6.1.1. Generalities

The European Commission has issued a decision in (COMMISSION DECISION of 22 November 2010 on the withdrawal of the recognition of Georgia as regards education, training and certification of seafarers for the recognition of certificates of competency (notified under document C(2010) 7966) (Text with EEA relevance) (2010/705/EU)) and has revoked the acceptance of STCW certificates for Georgian seafarers.

According to the amendments in the Law of Georgia on Management and Regulation of the Field of transport (2011/10/03 a major overhaul of the Georgian United Transport Administration was announced, to first of all, unbundle the different transportation sectors of Georgia into Aviation, Land Transport and Maritime Transport, and, here relevant the establishment of a new institution, the Maritime Transport Agency (MTA) of Georgia.

The MTA of Georgia has since embarked on a major reform program and has received support from the European Commission via the ongoing SASEPOL project (www.sasepol.eu) and efforts were employed by this intervention to set the ground work for both, the acceptance of the Georgian STCW certificates and the improvement of the standing of the Georgian maritime sector aiming at compliance with international conventions, as stipulated and published by the IMO and the EU.

Under the SASEPOL EU TA project, Georgia has benefitted from various interventions, milestones of the SASEPOL intervention were the drafting and / or amendment of laws and regulations concerning the local legislation on STCW and ROs. The MTA is in the process of review of the draft laws with the relevant ministries of Georgia (compliant with EU and IMO) due to come into full force with 01 January 2012 and the Georgian and the Technical Regulation concerning "Recognition of Classification Societies" in force since 18 August 2011. MTA has commenced with the application of these regulations; see for example the notification to ship owners regarding their compliance with

international conventions and local regulations, circular note 08 from 06 October 2011 (attached as Annex 1).

The transposition and sustainable application of the principles of MLC 2006 is considered to be a milestone for Georgia in the acceptance of Georgian STCW certificates and Flag State Implementation ensuring compliance with IMO/ILO requirements for the ships flying the Georgian flag. Therefore, compliance with the MLC 2006 is in the national interest since compliance with MLC 2006 mandatory requirements will be part of the approval process of Georgian STCW certificates.

The MLC 2006 convention is expected to be in force late 2011 or 2012, and Georgia will, irrespectively of, embrace the major requirements and transpose these into Georgian law and regulations and to train the capacities with a view of full compliance with MLC 2006 by the end of 2012.

6.1.2. Current state of compliance with MLC 2006

At present, the Georgian compliance with the mandatory requirements of MLC 2006 is insufficient. The Labour Code foresees some minimum rights for blue and white collar workers, but does not extend its scope to the seafarers nor does it cover the minimum rights for seafarers and obligations for ship owners as contemplated under the MLC 2006 convention.

The new Maritime Code currently under revision and expected to be submitted to the legislative bodies also does not cater for the MLC 2006 mandatory requirements, though it can be used as umbrella or empowering Law for the enactment of Regulations and MTA could adopt the principles of MLC 2006.

6.2. Scope of the project

The project proposes the transposition of the MLC 2006 main requirements into the applicable legislative environment in Georgia and sustainable strengthening of the capacities of MTA by training and the provision of an Action Plan for further improvement.

MTA will, in the future and as a result of this intervention, play a more active role and clear responsibilities for the MTA and other relevant institutions and organisations.

There are 5 significant requirements under the MLC 2006 convention, these are concern:

- Minimum requirements for seafarers to work on a ship;
- Conditions of employment;
- Accommodation, recreational facilities, food and catering;
- Health protection, medical care, welfare, and social security protection; and
- Provisions for compliance and enforcement.

The project will carry out an assessment of the applicable Georgian legislation in force concerning the wider environment covered by the main principles of the MLC 2006 convention, identify the gaps vis-a-vis the principles of the MLC 2006 convention together with an options analysis for rectification of the identified gaps.

A stakeholder meeting, involving also other Ministries (Ministry of Labour, Health and Social Affairs of Georgia, Ministry of Economy and Sustainable Development of Georgia, Ministry of Justice, Ministry of Finance, etc) will identify the most suitable option. Following this stakeholder meeting, the transposition of the identified principles of the MLC 2006 conventions into the Georgian legislative environment will commence.

In parallel to this transposition process, the actual capacities of the MTA will be analysed as to their ability to actually implement these (to be) transposed MLC 2006 major principles; a concrete action plan will be developed and first trainings will be provided, ensuring the relevant capacities are capable of implementing the new competencies and duties of MTA.

6.3. Organizations relevant to the project

The project will be implemented in close cooperation with the Georgian MTA and will affect a variety of organisations, summarised in Table 3.1.

Table 3.1 : Organizations involved with the transposition of MLC 2006

Organizations / Companies	Role
1.Ministry of health, labour and Social affairs (Georgia)	Responsible for the healthcare system, labour issues and social security system.
2.Ministry of Foreign affairs (Georgia)	Competent to determine compliance of Georgian Legislation with international treaties, in this case with MLC 2006.
3.Ministry of Finance (Georgia)	Has competency in the amendments of law, if the state budget is concerned.
4.Ministry of Justice (Georgia)	Ensures compliance of draft laws with other normative acts of Georgia.
5.Ministry of Economy and Sustainable Development of Georgia	Approves and controls all the normative acts issued by agency.

6.4. Results to be achieved

The results to be achieved by the Consultant are the following:

Result 1: Transposition of MLC 2006 mandatory (Part A) requirements into the Georgian legislation - Draft laws and amendment to laws developed, agreed with main stakeholders and when possible put into effect;

Result 2: Institutional capacity of MTA to implement MLC 2006 main requirements has increased, relevant staff has been trained and implements the MLC 2006 transposed requirements;

Result 3: Implementation of Action Plan to train MTA capacities with respect to the efficient assumption of the transposed new functions of the MLC 2006.

6.5. Assumptions

The following assumptions are considered to be basic prerequisites for project implementation:

- Sufficient level of commitment of the beneficiaries (MTA and stakeholders) to transpose and implement effectively the MLC 2006 convention;
- Legislative bodies are committed to the policy decision to implement MLC 2006 and are transposing these requirements efficiently;
- Existence of continuity at the decision making level;
- Sustainability in common regional priorities in maritime environmental protection;
- Additional technical support for MTA will be made available (for example by EMSA);
- Co-ordination, involvement and participation of MTA and other directly relevant authorities and institutions;
- Sufficient level of understanding between the concerned authorities and institutions, responsible within the maritime sector to facilitate the actual implementation of the transposed requirements;

6.6. Risks

The following risks have been identified:

- Risk 1:** Administrative and/or personnel changes which could cause the loss of know-how through dispersion of professionals;
- Risk 2:** Lack of cooperation between MTA and other relevant authorities and institutions;
- Risk 3:** Delay in the transposition of the relevant principles of MLC 2006;
- Risk 4:** International rules and regulations are subject to national variations and Interpretations.

These risks have to be minimised by the use of already functioning mechanisms established in the SASEPOL project. The following measures and considerations will contribute to minimising the risks:

- On risk 1: Establishing an efficient and effective transfer of know-how system, providing Simple guidelines and practical implementations tools, showing inter alia, the career prospectus for staff, also the implementation of comprehensive training plans.
- On risk 2: Reinforcing the leading role of MTA in the reform of the maritime sector of Georgia and introduction of stakeholder meetings; sourcing of highest political support for the transposition.
- On risk 3: Harmonising the legal systems according to international (and EU) standards need to be seen as "public duty" for the relevant institutions involved.
- On risk 4: Reinforcing general awareness of maritime labour laws and rights aiming at the effective achievement of the project's objective.

6.7. Activities to be executed

Successful implementation of this project anticipates the following:

Activity 1 – Review of the compliance of the applicable legislative environment in Georgia with the main requirements of the MLC 2006.

The review process will identify the mandatory provisions of the MLC 2006 ensuring compliance with IMO/ILO requirements, also in compliance with the Council Directive 1999/63/EC (as amended 20/05/2009). Following this, the applicable legal framework in Georgia will be analysed identifying the gaps vis-a-vis these mandatory requirements. An options analysis will prioritise the available options to overcome the identified gaps and those will be discussed in a wider stakeholder meeting, involving the concerned institutions and ministries. At this stakeholder meeting, the preferred options will be agreed upon.

The following methodology should thus be employed:

1. Review of MLC 2006, Council Directive 1999/63/EC (as amended 20/05/2009) and the respective Georgian legislative framework;

In a first step the minimum requirements of the above quoted instruments will be established, showing the mandatory (minimum) requirements and those which are optional. In a second step the applicable and relevant Georgian legislation will be analysed and the applicable regime thus identified.

2. Gap and Options Analysis;

The first analysis will be followed by a Gap and Options Analysis, showing where and to which extent the Georgian legislative framework falls short to the international requirements. These gaps will then be subjected to an options analysis, identifying potential solutions utilising the legislative tools available in Georgia. The Options will be ranked and prioritised.

3. Stakeholder meeting and Identification of preferred Option;

At a wider stakeholder meeting the options will be presented and discussed and the preferred option will be identified.

Resources:

In order to facilitate the execution of the activities the following experts are required:

- International senior legal expert – for international legal aspects;
- International Legal (one lawyer) and Maritime Experts (naval architect or similar) – for international legal and maritime aspects ;
- Junior International Expert – for Publicity, Public Awareness and EU visibility;
- Local legal expert – for local legal aspects;
- Local maritime expert – for local maritime aspects;

Local experts could be provided by the Port Authority / Ministry of Environment / Local Regulatory Bodies, as part of the project team.

All Experts must be familiar with IMO mandatory instruments and EU directives.

Period: 3 months

Activity 2 – Transposition of relevant principles of MLC 2006 into the Georgian Legislative Environment

The actual transposition of the identified principles will depend on the outcome of the stakeholder meeting and on the technical nature of the legal text to be transposed (regulation, law, bylaw, etc).

The project will propose the amendment of either suitable legislation or the introduction of a new law or regulation dealing with the transposition of the mandatory and identified MLC 2006 requirements.

Support will be rendered in the provision of the actual amended legal text or the drafting of new legal text within and anchored into the applicable legislative framework in Georgia. This will also entail the provision of advice and support at public hearings, parliament sessions, etc as might be required.

The following methodology should be employed:

1. Amendment of existing laws and regulations and/or drafting of new laws and regulations;
2. Presentation of new / amended laws and regulations to legislative council;
3. Provision of ad hoc advice in the formal law / regulation making procedure.

Resources:

In order to facilitate the execution of the activities the following experts are required:

- International senior legal expert – for international legal aspects;
- International Legal (lawyer) and Maritime Experts (naval architect or similar) – for international legal and maritime aspects ;
- Junior International Expert – for Publicity, Public Awareness and EU visibility;
- Local legal experts – for local legal aspects (labour and maritime issues);
- Local maritime expert – for local maritime aspects;

Period: 4 months

Activity 3 – development of Action Plan for capacity building and execution of first trainings measures

The training will ensure MTA will be capable of implementing the new competencies and functions of the (to be) transposed MLC 2006 requirements. To this end, an Action Plan shall be developed and agreed upon with MTA for a period of 5 years and at least two comprehensive trainings shall be executed and one study tour should be organised, ensuring relevant staff of MTA is trained and qualified to implement the new requirements. In addition, one of the trainings shall have the form of a workshop, where major stakeholders (politicians, administration, etc) will be invited.

The following methodology shall be employed:

1. Assessment of trainings needs of relevant staff;
2. Drafting and agreement of Trainings Action Plan;
3. Execution of trainings and one study tour.

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



In order to facilitate the execution of the activities the following experts are required:

- International Maritime Experts – for human resource aspects;
- Junior International Expert – for Publicity and EU visibility;
- Local Human Resource Expert – for human resource aspects;

Appendix 6.1: Copy Circular Note "8" of MTA 06 October 2011

საქართველოს
ეკონომიკისა და მდგრადი
ბუნებრივი რესურსების სამინისტრო



MINISTRY OF ECONOMY
AND SUSTAINABLE
DEVELOPMENT OF GEORGIA

საზღვაო ტრანსპორტის
სააგენტო

MARITIME TRANSPORT
AGENCY

Circ.
№ 8

„ 6 “October 2011 წ.

TO: ALL SHIPOWNERS

**SUBJECT: CHANGING OF CLASS OF THE VESSELS CURRENTLY SUPERVISED
BY NON-IACS MEMBER CLASSIFICATION SOCIETIES**

Dear Sir/Madam,

Maritime Transport Agency of Georgia presents you its compliments and would like officially notify you on the following:

Referring to our circular No.6 dated 18th of August, 2011 concerning Classification Societies recognized by Georgia and according to recently approved technical Regulation on Recognition of Classification Societies in force since August 18, 2011 Maritime Transport Agency shall not recognize classification society unless it is IACS member. Subsequently, the ships under non-IACS member Classification Societies shall no longer be entitled to fly Georgian Flag.

Bearing in mind commonly recognized approach for safe operation of vessels and for the sake of good order Maritime Transport Agency expects to receive your action plans regarding changing of class of the vessels under your management. Therefore, you are kindly requested to provide MTA with the detailed action plan together with the documented evidences such as official letters from IACS member Classification Societies, etc.

As deadline is approaching and there is not so much time left you are herewith requested to provide us with above requested information until October 14, 2011. In case the requested information is not submitted in due time MTA reserves the right to take appropriate measures to