



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

## Progress Report 2

July 2010  
European Commission



**RAMBOLL**

**milieu**  
ENVIRONMENTAL LAW & POLICY

TETHYS CONSULTING

**Mott MacDonald**

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and ship pollution prevention for the Black Sea and Caspian Sea  
(SASEPOL)

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EuropeAid Co-operation office, European Commission, Centralised Operations for Europe,  
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# Executive Summary and Recommendations

This Progress Report relates to the second six months of implementation of SASEPOL project activities, corresponding to the period 1 February 2010 to 31 July 2010. Its key purpose is to provide a review of project progress in this period and a clear work plan for the next period. It also provides the necessary appendices to facilitate project monitoring.

As for the end of July 2010, significant progress has been achieved in the implementation of Activities 1.2, 1.3, 3.1, 4.1, 4.2 and 7. Some delays have been encountered in the implementation of Activities 1.2, 1.3, 2.1, 5.1 and 5.2 for various reasons, but rapid mitigation measures have been implemented to reduce all risks towards the successful implementation of the project and these activities.

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

| Project Tasks  | Progress (as for July 31st 2010)   |
|--|--|
| <b>RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection</b>                               | <b>Due March 2011.</b>   |
| Activity 1.1 Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's  | This activity is now complete.   |
| Activity 1.2 If needed, prepare and implement a plan for transposition of above – mentioned international conventions and regulations into national legislation  | Relevant information is being collected in Kazakhstan and Turkmenistan. The draft reports already developed by the international STE during this reporting period will be reviewed and revised, as appropriate, during the following reporting period. Final reports will include specific references to the action plans, as appropriate.                           |
| Activity 1.3 Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"   | Meetings took place during this reporting period regarding the Voluntary IMO Member State Audit Scheme. In addition, three training courses on "VIMSAS National Auditor training" have been included in the Training Plan to be held in Baku, Astana and Odessa in spring of 2011.   |
| <b>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</b> | <b>Due March 2011.</b>   |
| 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)                    | Changes in staffing arrangements triggered a slight delay in the implementation of this activity. Local experts are currently collecting relevant information which will be included in the final reports to be submitted by the new international expert (approved for this role at the beginning of July 2010).  |
| Activity 2.2 Assess needs and priorities for the use and operations of VTS systems in major national ports   | Following the initial Needs Assessment, cooperation with the Ukrainian VTS has been initiated in order to carry out training of personnel from Azerbaijan, Georgia and Ukraine; event scheduled for February 2011.   |
| <b>RESULT 3: Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems</b>   | Ongoing; due on the date of finalizing the project.  |
| 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.                                  | Draft Training Plan (DTP) submitted and approved by the EC Project Management. Subsequently, submitted to the Beneficiaries Countries for review and comments. Any relevant comments have been included in the final version of the Training Plan, which was approved by the EC Project Management.<br><br>A shorter version of the Training Plan got into the draft |

|   |  |
|---|--|
|   | <p>Training Catalogue at the end of June 2010, to be used by the National Country Coordinators. It was also distributed to the National Country Coordinators during the National Coordinators Kick Off Meeting held on 13 and 14 July in Kiev, Ukraine.</p>  |
| <p>Activity 3.2 Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how</p>  | <p>First two training activities on Oil Spill Preparedness, Response and Cooperation - May 2010 in Baku and Odessa, respectively.</p> <p>Due to illness, holiday season and shortcomings of qualified instructors, it has been necessary to postpone training activities planned to be held June and July 2010. The postponed courses will be held during the autumn of 2010.</p>  |
| <p><b>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</b></p> | <p><b>Due February 2011.</b></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>This activity is now 80% complete (all except Turkmenistan). There will be a supplementary chapter to this report, containing information about Turkmenistan. Draft report to be submitted during the following reporting period.</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>The International STE has been mobilised and the assessments for five ports was developed. We also extended the allocated time for the International STE and appointed a local STE in the Ukraine.</p> <p>A pilot PWMP will be developed for Odessa and then introduced to the other beneficiary ports during special sessions. Follow-up meetings on progress achieved in the development of PWMPs for national ports are also scheduled.</p>  |
| <p>Activity 4.3 Further assessment, identification of best practice ports and support to the implementation of ISPS Code</p>  | <p>The final version of the Training Plan includes a regional training course on the implementation of the ISPS Code to be held in December 2010 in Odessa. Also regional workshops and follow up's will be conducted in all the beneficiary countries during 2010 and beginning of 2011 (see Activity 4.2).</p>   |
| <p><b>RESULT 5: Support to regional cooperation in the field of maritime safety and security</b></p>  | <p><b>Due on the date of finalizing the project.</b></p>   |
| <p>Activity 5.1 Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)</p>   | <p>The first kick off meeting took place in Kiev, where the Country Coordinators met and discussed the establishment of the national working groups.</p>   |
| <p>Activity 5.2 Develop a regional Action Plan on maritime safety, security and environmental protection in line with international conventions and regulations</p>   | <p>Swift progress is expected to be achieved once regional working groups are established.</p>   |
| <p><b>RESULT 6: Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public, Private Partnerships (PPP)</b></p>    | <p>Not due yet. Planned for <b>March – June 2011.</b></p>  |
| <p><b>RESULT 7: Communication and awareness raising activities on maritime safety, security and environmental protection are developed</b></p>  | <p><b>Due on the date of finalizing the project.</b></p> <p>The communication expert has produced an information flyer and banner, in line with the EU visibility requirements. It has been and will be used in future events. The communication plan is now being developed.</p> <p>The SASEPOL project was also present with a dedicated booth and a presentation at the main conference during the International Transport Week conference in Odessa, in the period 31 May to 04 June 2010.</p> <p>The international IT Expert started to develop the project web-site. The web-site is now updated every week.</p> |



In this reporting period, the initial staffing schedule underwent a few changes. The first Team Leader retired due to ill-health, another appointee as Acting Team Leader decided not to pursue the TL appointment and the Safety and Security Expert (KE2) underwent surgery in his home country. These events delayed the implementation of project activities, but the project management team took focused measures mitigating the risks to successful project implementation.

A replacement second TL was identified but after assuming the position for a short while, the expert in question decided to no longer to pursue this opportunity. The Project Management was then forced to nominate another suitable candidate for the TL position. The new nominated expert assumed this role with the interim approval of the Contracting Authority and was first mobilized in June 2010. The formal approval for this candidate was received on July, 27<sup>th</sup> 2010.

Another key constraint was and is the time taken 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. This is about to improve as increased presence is planned in these countries.

At this stage of the project, most of the local lawyers and other national experts required to provide support to the international team of experts have been contracted and mobilised, substantial contribution to the project implementation are under way. Also support of experts from the non-TRACECA countries in the region, recognising their significant experience, has been sought and initiated.

The main recommendations and objectives at this stage of the project and, in particular for the next reporting period, are:

- To maintain the momentum found at the Country Coordinator Kick Off Meeting in Kiev in July 2010 and to cooperate and coordinate more closely with the Regional Working Group;
- To further develop the project communication plan to improve communications with beneficiaries;
- To enhance the active participation of TRACECA Secretariats in the beneficiary countries;
- To enhance the active participation of the non beneficiary countries (Romania, Bulgaria and Turkey) in the project workshop activities.
- Develop and strengthen the relations in Turkmenistan and Kazakhstan.
- Further mitigate any possible effects of project staffing arrangements from this reporting period on the future implementation of project tasks.
- Work on the backlog and deliver activities.

# 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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| Signatures      | : | _____  | _____  |

Date of report: 31 July 2010  
 Reporting period: 01 February 2010 – 31 July 2010  
 Author of report: Falko Josef Sellner, Bertrand Appery, John Ostergaard

|                                |        |             |        |
|--------------------------------|--------|-------------|--------|
| EC M & E team                  | _____  | _____       | _____  |
|                                | [name] | [signature] | [date] |
| EC Delegation                  | _____  | _____       | _____  |
|                                | [name] | [signature] | [date] |
| TACIS Bureau<br>[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   |
|-----------------------------|---|
| <b>Overall Objective :</b>  | 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   |
| <b>Specific Objective :</b> | 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  |
| <b>Expected Results :</b>   | <p><b>Result 1:</b> 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><b>Result 2:</b> 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><b>Result 3:</b> 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><b>Result 4:</b> 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><b>Result 5:</b> 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><b>Result 6:</b> Maritime projects and financing schemes have been identified and the corresponding "Project Fiches" or similar documents have been prepared containing specification for relevant feasibility of pre-feasibility studies</p> <p><b>Result 7:</b> Information and relevant documentation related to the activities of the project have been disseminated and a project website established</p> |
| <b>Planned Outputs :</b>    | <p><b>Result 1:</b></p> <ul style="list-style-type: none"> <li>Report on the state of transposition and implementation of the international</li> </ul>  |

| 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"><li>• Plan for the transposition of the international conventions and other instruments related to the maritime safety, security and prevention of pollution from ships.</li><li>• Operational framework for the application of the voluntary IMO Member State Audit Scheme;</li><li>• 1 Workshop on the implementation of the “Voluntary IMO Member State Audit Scheme”</li></ul>   |
|        | <p><b>Result 2:</b></p> <ul style="list-style-type: none"><li>• Action Plan for the development of modern maritime administrations;</li><li>• Report on the state of organization and operation of VTS services in the beneficiary countries;</li><li>• Training course plan for the VTS operators.</li></ul>  |
|        | <p><b>Result 3:</b></p> <ul style="list-style-type: none"><li>• Training Plan for relevant issues identified in previous activities;</li><li>• Course material for the courses included in the Training Plan;</li><li>• Reports on the training courses delivered;</li><li>• Report on the impact of training activities.</li></ul>  |
|        | <p><b>Result 4:</b></p> <ul style="list-style-type: none"><li>• Report on the level of implementation of the Black Sea MoU in the concerned countries;</li><li>• Best practice port model on the PSC implementation for each country;</li><li>• Report on the existing reception facilities for ship generated waste;</li><li>• Best practice port model on reception facilities for each country;</li><li>• Report on the level of implementation of the ISPS Code in the concerned countries;</li><li>• Best practice port model on the ISPS Code implementation for each country;</li><li>• Proposal for the updating of the implementation of the ISPS Code in the countries</li></ul> |
|        | <p><b>Result 5:</b></p> <ul style="list-style-type: none"><li>• Terms of reference for the Working Group on maritime safety, security and marine pollution;</li><li>• Draft Action Plan on maritime safety, security and protection of the marine environment.</li></ul>   |
|        | <p><b>Result 6:</b></p> <ul style="list-style-type: none"><li>• Model for financial arrangements of projects;</li><li>• Prioritised list of identified maritime projects.</li><li>• Project fiches for selected proposed projects</li></ul>  |
|        | <p><b>Result 7:</b></p> <ul style="list-style-type: none"><li>• Project website established and operating;</li><li>• List of information to be included on the website.</li><li>• List of publications and dissemination of information documents.</li></ul>   |

**Project activities : towards Result 1**

- Activity 1.1 Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's (all countries)
- Activity 1.2 Depending on the findings of the Activity 1.1, prepare and implement a plan for transposition, when necessary, of the reviewed international conventions and regulations into national legislation
- Activity 1.3 Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"
- Activity 1 Hold a regional workshop on the implementation of international maritime conventions

**Project activities : towards Result 2**

- Activity 2.1 Assess and support the rationalization of national maritime organizations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS and PSC MoU's)
- Activity 2.2 Assess needs and priorities for the use and operation of VTS systems in major national port

**Project activities : towards Result 3**

- Activity 3.1 Prepare a Training Plan based on relevant issues for training and capacity building, and in coordination with relevant training institutes in beneficiary countries
- Activity 3.2 Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how

**Project activities : towards Result 4**

- Activity 4.1 Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country
- Activity 4.2 Assessment of wastes handling systems in major national ports (compliance with MARPOL 73/78 and EC 2000/59 Directive) and development of Port Waste Management Plans
- Activity 4.3 Further assessment, identification of best practice ports and support to the implementation of ISPS Code

**Project activities : towards Result 5**

- Activity 5.1 Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)
- Activity 5.2 Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations

**Project activities : towards Result 6**

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

**Project activities : towards Result 7**

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

**Project starting date** : 31 July 2009  
**Project duration** : 24 months

## 3. Review of project progress since the start

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

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

#### 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 will be taken into account during the implementation of SASEPOL activities to ensure consistency and minimise the risk of duplication of effort: Of particular interest is:

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

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

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

The SASEMAS innovation which involves a combined system is a matter for further attention in the next steps of SASEPOL implementation. At this stage the following points are proposed for consideration:

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

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

### **3.2 Progress towards achieving objectives**

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

The specified objective of the project is 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.

In addition to the administrative elements of the project, the aim of this project phase was to further gain and work on the understanding of key issues identified within the region. All the SASEPOL National Coordinators of the participating jurisdictions (and direct beneficiaries) met in July 2010 in Kiev, Ukraine. This meeting was most beneficial in understanding each others' problems and how the Regional Working Group (now institutionalised) and the National Working Groups will be coordinated in the implementation of the activities of this project.

This general approach is consistent with the approach put forward in the Methodology, although there have been a number of constraints that have inhibited the performance we would have expected at this point in the project. These include the unfortunate withdrawal of the originally proposed Team Leader replacement (David Burack), but a replacement TL (Falko Josef Sellner) has been found quickly.

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   |
|-----------|--|---|--|--------------|--|
| <b>1</b>  | <b>RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection</b>                               | <b>See 1.1 to 1.3 below.</b>  | <b>March 2011 (next reporting period)<br/>Initially planned for September 2010.</b>  | <b>50%%</b>  | <b>Ongoing</b>   |
| 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.  | 98%          | Report submitted for approval.   |
| 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.   | Ongoing.<br>Estimated date for completion – October 2010.                            | 50%          | Relevant information is being collected by the local experts in Georgia and Turkmenistan. The draft reports already developed by the international STE will be reviewed and revised as appropriate and then submitted in the next reporting period.  |
| 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;<br>- Dedicated trainings on the implementation of the audit scheme;<br>- Technical assistance, as required. | Ongoing  | 15%          | Meetings took place during this reporting period regarding the Voluntary IMO Member State Audit Scheme.<br><br>Three dedicated training courses (in elaboration of the workshop) on VIMSAS National Auditor training have been included in the Training Plan and are scheduled for March 2011. |
| <b>2.</b> | <b>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</b> | <b>See 2.1 &amp; 2.2 below.</b>   | <b>March 2011 (completion of Activity 2.2)<br/>Initially scheduled for Month 16.</b> | <b>20%</b>   | <b>Ongoing<br/>Data collection initialized in this reporting period.</b>   |

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   |
|----------|--|---|---|--------------|--|
| 2.1      | Assess and support the rationalization of national maritime organizations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS, and PSC MoUs)           | <ul style="list-style-type: none"> <li>- Action plan;</li> <li>- Training and assistance to relevant maritime organisations – institutional &amp; operational requirements.</li> </ul>  | Due to start in the next reporting period; estimated completion date: Month 11.   | 20%          | Not due yet. Relevant data collection initialized and one of the jurisdictions and the report methodology is finalised. Change of position of the international expert for this (now TL).  |
| 2.2      | Activity 2.2: Assess needs and priorities for the use and operation of VTS systems in major national ports   | <ul style="list-style-type: none"> <li>-Report on VTS services in the beneficiary states;</li> <li>-Training plan on VTS issues;</li> <li>- Technical Assistance as required.</li> </ul>  | Due to start in Month 14; estimated completion date: Month 16.  | 15%          | Not due yet. Relevant data and promotional activities under way in all jurisdictions. Collection initialized.  |
| <b>3</b> | <b>RESULT 3: Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems</b>   | <b>Training Plan drafted, agreed on by stakeholders &amp; implemented.</b>  | <b>Month 23</b>   | <b>50%</b>   | <b>Ongoing</b>   |
| 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. | <ul style="list-style-type: none"> <li>- Training plan – final version.</li> </ul>  | Initially due to start in Month 7 (next reporting period); estimated completion date: Month 9.<br><br>In accordance with CA's suggestion, the completion of this task was scheduled for February (draft) and April 2010 (final) | 100%         | Training Plan submitted to the EC Project Manager and approved. Relevant comments and suggestions received from the beneficiaries were included in the Training Plan.<br><br>A shorter version of the Final Training Plan was used in the development of a Training Catalogue which has been submitted to the National Coordinators to be distributed to the direct beneficiaries of the training events.                              |
| 3.2.     | Activity 3.2: Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how.  | <ul style="list-style-type: none"> <li>-Course materials (PowerPoint presentations; handouts)</li> <li>- National / regional / on-the-job training provided, in accordance with the activities set in the Training Plan.</li> <li>- Reports on the training courses delivered;</li> <li>- Report on the impact of the training activities.</li> </ul> | Ongoing.<br>Estimated completion date: Month 23.  | 5%           | First two training activities on Oil Spill Preparedness, Response and Cooperation in May 2010, in Baku and Odessa.<br><br>Reports on the training activities performed submitted as due.<br><br>Due to illness, holiday season and shortcomings of qualified instructors, it has been necessary to postpone training activities initially planned for June and July 2010. The courses rescheduled will take place in the fall of 2010. |

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  |
|-----|--|---|--|--------------|---|
| 4.  | <b>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</b> | See 4.1 to 4.3 below.   | <b>Rescheduled for February 2011.<br/>Initially due on Month 16 (on completion of Activity 4.3)</b>  | 45%          | <b>Ongoing</b>  |
| 4.1 | Activity 4.1: Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country  | <ul style="list-style-type: none"> <li>- Assessment of the level of Black Sea MoU implementation in all 5 states;</li> <li>- Identification of a 'best practice' port in each of the 5 country;</li> <li>-Assessment of existing PSC procedures;</li> <li>-Draft recommendations &amp; further relevant training activities, as appropriate.</li> </ul> | Activity started as planned (due in Month 6) but due to administrative difficulties there will be a slight delay in the finalization of this task (initially estimated for Month 9). | 80%          | Assessment reports including all aspects relevant for this task have been developed with the exception of Turkmenistan. Data collection currently ongoing in Turkmenistan.<br><br>Final draft progress report to be submitted in the next reporting period (October – November 2010).                                 |
| 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                         | <ul style="list-style-type: none"> <li>- Report on the existing reception facilities for ship generated waste;</li> <li>-Best practice port model on reception facilities for each country;</li> <li>-Waste Management Plan for each major port in the beneficiary countries.</li> </ul>  | Initially due to start & be finalized in this reporting period.  | 70%          | Assessments for the five ports have been developed. A pilot PWMP is currently developed for the port of Odessa with a view to disseminating the results and procedures to the other beneficiary countries. Progress in the latter's development of their own PWMPs will be 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   | <ul style="list-style-type: none"> <li>-Report on the level of implementation of the ISPS Code in the 5 beneficiary states;</li> <li>-Best practice port model on the ISPS Code implementation in the 5 beneficiary states;</li> <li>-Proposal for the updating of the implementation of ISPS Code in the countries.</li> </ul>                         | Due to start in Month 14; estimated completion date: Month 16.   | 0%           | Not yet due (identification of experts under way).<br><br>The Training Plan took into account the initial informal assessment of ISPS Code implementation in the beneficiary states and it now includes regional workshops and follow-ups scheduled for 2010 and 2011.  |
| 5.  | <b>RESULT 5: Support to regional cooperation in the field of maritime safety and security</b>  |   | <b>Month 23</b>  |              |   |
| 5.1 | Activity 5.1: Support regional Working   | -Terms of reference for the   | Due to start in Month  | 15%          | Assistance has been provided to   |

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  |
|-----|---|--|---|--------------|---|
|     | Groups on maritime safety and security (TRACECA/Baku initiative)  | Working Group on maritime safety, security and maritime pollution.   | 5 (this reporting period); estimated completion date – Month 23.                    |              | beneficiary organisations in the process of establishing National Working Groups.<br><br>During this reporting period assistance was sought and obtained from the National Coordinators who were briefed on their role with respect to this task during the first NC kick-off meeting in July 2010.   |
| 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;<br><br>- Assistance in the implementation of the AP, as required & appropriate.  | Due to start in Month 17; estimated completion date – Month 19.                     | 0%           | Not due yet.  |
| 6.  | <b>RESULT 6: Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnership (PPP)</b> | -Model for financial arrangements of projects;<br><br>- Prioritised list of identified maritime projects;<br><br>-Project fiches / specifications for relevant feasibility or pre-feasibility studies. | Due to start in Month 20; estimated completion date – <b>Month 23.</b>              | <b>0%</b>    | Not due yet.  |
| 7.  | <b>RESULT 7: Communication and awareness raising activities on maritime safety, security and environmental protection are developed</b>   | -Website on maritime safety and security;<br><br>-Communication Plan – drafted & implemented;  | Due to start in this reporting period; estimated completion date – <b>Month 23.</b> | <b>30%</b>   | - flyers, posters developed;<br><br>- website created and regularly uploaded;<br><br>- meetings; press release (incl. on local television);<br><br>- communication plan is currently being developed and will be submitted during the nearest future, improving internal and external communications. |

### **3.3 Activities undertaken**

#### **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)**

This activity is now complete. The report has been submitted to the EU Project Manager for approval.

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

Due to the late completion of Activity 1.1, activity 1.2 started with a delay. The International STE 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. At present, local STEs have been mobilised in Georgia and Turkmenistan to retrieve information which, upon submission, will be computed into the main report.

Whilst it expected to achieve significant progress with this task in Georgia, the local staff available in Turkmenistan experience administrative problems in the retrieval and access of official information. With the opening of a SASEPOL office in Turkmenistan, this is expected to improve significantly. Also, the experience of other EU funded projects in Turkmenistan will be analysed and used to speed up the implementation progress.

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

This activity will be implemented jointly with Activity 1.2 by the Jorgen Rasmussen, international expert for this task, and Key Expert 2, Capt. Bertrand Apperry, who has already carried out a mission on this activity to Georgia. Local STEs have been mobilised in Georgia and Turkmenistan (the only two beneficiaries which could not be included in the initial discussions and reports) to conduct the first part of 1.3, together with the Country Coordinators, that is their specific task is to promote VIMSAS and to review existing operational frameworks (if appropriate) for the introduction of VIMSAS. This will be followed by dedicated trainings included in the Training Plan. Because of the relative importance of this point, the "workshop" as required in the TOR, has been elevated to these three dedicated trainings (courses No. 17, 18 and 19).

#### **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).**

This activity has commenced with the appointment of an International Expert and a local expert in Ukraine. Several visits took place of most the relevant institutions in Ukraine and the country specific report is finalised and so is the methodology for the main report. .

(Already approved) 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 as Acting Team Leader and meanwhile approved as TL, the implementation period has been extended to the end of this year (2010). Also a new international expert has been appointed for this activity at the beginning of July 2011.

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

Following the initial needs assessment, cooperation with the Ukrainian VTS has been initiated in order to carry out training of personnel from Azerbaijan, Georgia and Ukraine; event scheduled for February 2011. Promotional activities have taken place, all with (initial) positive response in all jurisdictions.

The remaining activities for this task will focus on the delivery of training as scheduled in the Training Plan. Activities scheduled for this task are planned to end in March 2011.

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

The final version of the Training Plan, which now includes the beneficiaries' comments and suggestions as per ToR has been approved by EC Project Management.

The Training Catalogue, developed and distributed to the National Country Coordinators during the National Coordinators Kick Off Meeting held on 13 and 14 July in Kiev, Ukraine, will be further advertised so as to ensure the participation of all major stakeholders.

The Training Plan has to be seen as a "living" document, since the training until the end of the project can naturally not be finalised as to precise dates and locations. Also, there is a small element of flexibility, to allow and cater for additional trainings. 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. However, adjustments of locations and time schedules might be foreseen along the implementation of the Training Plan.

**3.3.7 Activity 3.2 Conduct relevant training courses**

This activity began in May 2010, with two training courses on "Oil Spill Preparedness, Response and Cooperation" The first one was held in Baku, from 12th to 14th of May 2010; with 17 participants from Azerbaijan and Kazakhstan and the second one was held in Odessa, from 17th to 19th of May 2010 with 27 participants from Georgia and the Ukraine.

Due to the changes in the management team (replacements), illness and holiday closure two training courses set up initially for July 2010 had to be postponed and will be held in the fall of 2010.

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

The international STE Ib Mathiesen was mobilised and has conducted activities and visits from March to May 2010. Ib Mathiesen visited all jurisdictions apart from Turkmenistan as no visa could be obtained. Even with the Kazakhstan visa, additional difficulties were encountered, which led to the overspending of Ib Mathiesen's initially allocated time (hence the approval sought for the additional allocation).

The report was submitted at the end of June 2010 to the Contracting Authority. The local expert in Turkmenistan was mobilised and there will be a supplementary chapter to this report, containing relevant information about Turkmenistan.

**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**

JP Ohlenschlaeger has been mobilised as international waste management expert and Dimitry Chernega has been engaged as local Ukrainian expert. Site visits took place to Azerbaijan (Baku), Georgia (Batumi) and Ukraine (Odessa). First assessments were developed (with the help of national coordinators and local

experts) providing an overview of the current situation within the ports, including legal frameworks, types of traffic, handling processes for key waste streams within each port; notification processes; cost recovery for waste services, waste operators, and outline data on the waste itself (streams and volumes).

The port waste management expert has raised concerns over the amount of time available to work in partnership with the ports to develop model port waste management plans in each country. It is envisaged that the waste management expert will undertake another mission to Odessa to develop a Port Waste Management Plan, which will be used as model to be presented at the port waste management workshop included in the training programme and, in due course to organise local interactive workshops in those jurisdictions, where the PWMPs will be implemented. For this, one-to-one dedicated workshops will be held to transfer the methodology, and where the authorities in charge will be supported in developing their own PWMPs.

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

This activity is due to start in the following reporting period with a regional training course on the implementation of the ISPS Code, to be held in December 2010 in Odessa. Regional workshops and follow-up meetings will be conducted in all the beneficiary countries during the remaining months of 2010 and at the beginning of 2011.

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

The beneficiary organisations (with the support of the project team) have established the basis of the National Working Groups. These organisations analyse the situation of the maritime transport in their respective countries in terms of safety, security and prevention of pollution. They will present findings, conclusions and recommendations to the Regional Working Groups that will be composed by representatives from the National Working Groups. In order to activate the National Working Groups, a Kick off Meeting took place in Kiev in July 2010, where all country coordinators meet for a 2 days interactive workshop, where the TOR for the National and Regional Working Groups were discussed and an action plan for next NWGs was issued.

A regional (Black and Caspian Seas) Working Group on maritime safety, security and marine pollution will be established and is tentatively scheduled to meet in late September 2010 in Brussels, rescheduled from its previously targeted dates in June due to illness/absence of two KEs. Its 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 Group is to be composed of two experts per country with specific experience in the fields of maritime safety, security and pollution control. 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 is currently the view that the one group now forming is preferable in that the leading members will provide examples and encouragement to the countries that yet have to develop their maritime safety, security, and pollution control capabilities. This will require the involvement of the Black Sea Secretariat and the Tehran Convention Secretariat to build on existing regional cooperation efforts. Also the non-beneficiary countries Bulgaria, Romania and Turkey will be involved.

The draft agenda and the preliminary list of participants is in Appendix D.

**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**

This activity is due to start in the following reporting period, as a follow up on all the activities performed for Activity 5.1.

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

This activity is not yet due (planned for March – June 2011).

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

This activity has now been “split” into an internal and external component, after it became apparent that the internal communication, understanding and external activities have to be coordinated first, so that the external activities under this umbrella are coordinated and effective.

Some efforts are thus now dedicated to streamline the internal communication, with access to relevant centrally stored information (reports, flyers, updates, etc), as well as access to external information, as in presentation of the project and its results to the public (website, flyers, promotional material, etc).

Staffing resources have been identified and employed as due with a view to implementing project tasks (Communication Expert and IT Expert). In due course a series of communication materials regarding the project have been produced and duly distributed.

In addition, the first draft of the Communication Plan was prepared, circulated and discussed; the website is currently updated on a regular basis. Contact with the TRACECA Secretariat in Baku was initiated.

The SASEPOL project was also present with a dedicated booth and a presentation at the main conference during the International Transport Week conference in Odessa, in the period 31 May to 04 June 2010.



### 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 : 01.02.10 – 31.07.10   |  | Prepared on : 31/07/2010                     |                 | 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 ADDENDUMM 3 (man days) | PERIOD PLANNED                               | PERIOD REALISED | TOTAL REALISED  | AVAILABLE FOR REMAINDER |        |  |
| PERSONNEL   |  |  |                 |   |                         |        |  |
| EU TOTAL  |  |  |                 |   |                         |        |  |
| F Pardo/F Sellner   | 406  | 120  | 8               | 126   | 280                     |        |  |
| B Apperry   | 300  | 100  | 83              | 88  | 212                     |        |  |
| J Ostergaard  | 400  | 100  | 69              | 58  | 273                     |        |  |
| Short Term Junior   | 367  | 30   | 5               | 51  | 316                     |        |  |
| Short Term Senior   | 2373                                       | 560  | 574             | 884   | 1489                    |        |  |
| Sub-total   | 3846                                       | 910  | 739             | 1207  | 2570                    |        |  |
| EQUIPMENT AND MATERIAL  |  |  |                 |   |                         |        |  |
| Sub-total   |  |  |                 |   |                         |        |  |
| OTHER INPUTS INCIDENTALS  | 1,200,441.41€                              | €100,000                                     | €73,000         | €125,676.24   | €1,074,735.17           |        |  |
| Sub-total   | 1,200,441.41€                              | €100,000                                     | €73,000         | €125,676.24   | €1,074,735.17           |        |  |
| TOTAL   | 1,200,441.41€                              | €100,000                                     | €73,000         | €125,676.24   | €1,074,735.17           |        |  |

### **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.
- 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.

Two main interventions have been identified to speed up implementation of this project in Turkmenistan and Kazakhstan. One is the opening of a regional SASEPOL office in Turkmenistan (under way) and two is the closer cooperation with other EU funded projects in this region, which have experience in administrative issues in these jurisdictions, which can and will be utilised for the SASEPOL project. To this end, a special point has been added to the agenda of the RWG meeting, taking place in Brussels, end of September 2010, where details of the TOR for the RWG will be discussed and finalised, and thereby conveying ownership of those to the participants of the RWG.

### **3.6 Management and coordination arrangements**

Unfortunately, the project lost in this reporting period the Team Leader Fernando Prado, due to ill health. The replacement Acting Team Leader David Burack decided, unexpectedly, not to take up the Team Leader role and informed the consortium of his decision in early June 2010. Mr. Falko Sellner was then proposed as new Acting Team Leader, assumed his new role and was approved as Team Leader on July 27<sup>th</sup>, 2010. The newly established dialogue amongst and under the National Country Coordinators with Safety and Security Expert (KE2) and the Training Coordinator Kyril Sereda already benefits the implementation of the project, as activities are now being closely coordinated in the beneficiary countries.

### **3.7 Financing arrangements**

The replacement of Team Leader has led to changes to the structure of the financial component of the project. Due to different issues, it was not possible for the nominated team leader to deliver the full 332 days remained to this role. Therefore Team Leader days were reallocated to junior Non-Key Expert days and a minor adjustment was made to the Incidental Budget to ensure the change was budget neutral.

### **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.

Communication is a current area of concern, both between consultant and client and consultant and beneficiary organisation. A draft communication plan has been developed (as part of Result 7) and duly disseminated. It is expected to be finalized during the next reporting period.

### **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 is essential that the approach to training recognises 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 identifies threats to this knowledge being passed onto the next generation of seafarers.

Lastly, and perhaps least obviously, there are opportunities to consider sustainability in the development of Result 6, which focuses on identifying capital projects and finance mechanisms to improve maritime infrastructure in the region with respect to safety, security and pollution prevention. There is a clear opportunity to incorporate sustainability principles into the selection and evaluation criteria of these projects.

## 4. Work plan for the next period

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

In order to maintain the interest of the beneficiary organisations, who are strongly focused on the training component of this project, a draft training plan was delivered in March for consultation purposes. Any suggestions and comments to the Draft Training Plan have been duly considered and when appropriate, included in the final version of the Training Plan, which the EC Project Manager subsequently approved.

In order to assist the Country Coordinators in their work in nominating participants for the training courses a Course Catalogue has been developed and distributed to the Country Coordinators during the Working Group meeting held in July 2010 in Kiev.

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

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

#### **4.1.1 Activity 1.1 Review the level of transposition of international conventions and regulations into national legislation**

Report submitted to EU.

#### **4.1.2 Activity 1.2: Depending on the findings of the Activity 1.1 (now completed), prepare and implement a plan for transposition, when necessary, of the reviewed international conventions and regulations into national legislation**

**Implementation Period: March to September 2010**

#### **Scope of the work**

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

International Expert Jorgen Rasmussen has drafted an implementation plan in close cooperation with the concerned Maritime Administrations and Port Authorities (with the exception of Kazakhstan and Turkmenistan). The plan addresses actual compliance and to which extent guidelines have been prepared for staff members of the Maritime (and Port where appropriate) Administrations.

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

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

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

## Resources

The activity is the primary responsibility of Non-Key expert for IMO matters and international conventions, Jorgen Rasmussen, supported by the Team Leader and Safety and Security Expert (KE2). Local experts in the countries have been mobilised to support the international experts.

### **4.1.3 Activity 1.3: Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme – VIMSAS."**

**Implementation Period: March to September 2010**

#### **Scope of the work**

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

The appropriateness of VIMSAS audits has been discussed with Maritime Administrations, during visits to the administrations and/or with the attendees at the workshops and trainings.

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

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

- to provide technical advice on the convenience to request the voluntary audit scheme for a better implementation of this Scheme;
- to develop an operational framework for the application of the voluntary IMO Member State Audit Scheme.

During the RWG workshop to be held in conjunction with the Steering Committee meeting in September 2010, the beneficiaries will be asked (again) if they are ready to participate. In 2015 VIMSAS becomes mandatory. Some countries are more enthusiastic and nearer to conformity with the IMO scheme.

Taken together, all three activities (1.1, 1.2, and 1.3) will provide sufficient support and outputs to fulfil Result 1.

## Resources

The activity is resourced jointly with Activity 1.2. The activity is the primary responsibility of Non-Key expert for IMO matters and international conventions, Jorgen Rasmussen, supported by the Team Leader and Safety and Security Expert (KE2) and local experts, who have been mobilised.

## **4.2 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**

### **4.2.1 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).**

#### Scope of the work

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

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

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

## Resources

The exercise has been launched with non-key expert Falko Sellner assisted by Calin Trelea, both experts having specific experience in Maritime Administrations and Port Authorities.

Due to changes in TL role Mr Calin Trelea will replace Falko Sellner (now TL) as an international institutional expert for this activity and he will develop the next country reports and final activity report in collaboration with the national lawyers.

Missions are to be completed in September, and final report is scheduled before the end of this year 2010.

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

**Implementation Period: January to March 2011**

#### Scope of the work

Through this activity an analysis will be undertaken of the situation of VTS systems in the beneficiary countries in order to identify the needs and priorities of the countries in this field.

The expert will carry 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;
- Provision of advice on the efficient use and management of the VTS;
- Preparation and organization of training courses for the VTS operators.
- To propose the establishment of a coordinated VTS in cases the service
  - Involves two or more neighbouring countries.
  - Elaboration and submission of a report on the state of organization and operation of VTS in the beneficiary countries;
  - Preparation of a training course for VTS operators and participation as course instructor.

Following the outcome of the Needs Assessment, two Training Courses for VTS personnel from Azerbaijan, Georgia and Ukraine, are planned to be held in February 2011, at the Ukrainian VTS Training Centre outside Odessa.

## Resources

The exercise will be launched upon identification of a suitable international expert.

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

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

#### **4.3.1 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**

Activity completed.

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

**Implementation Period: until end of the Project**

#### **Scope of the Work:**

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

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

For each of the training modules, course plans and training materials will be prepared and developed as appropriate.

The training plan has been developed by Key Expert 3 (Training Specialist), modified by review and discussion with the TL, KE2, and selected experts, such as Jorgen Rasmussen. Specialised trainers are being selected. A number of potential partner organisations have also been identified to provide both logistical support and local instructors to this activity.

In Ukraine the following training institutions have been identified:

- The Odessa State Marine Academy offers training courses for seafarers, according to the IMO conventions, through the STCW Inspectorate that is part of the Maritime Administration. The academy runs a post graduate Institute and has access to a training ship.

In Kazakhstan, the following training institutions have been identified:

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

In Azerbaijan the following training institution has been identified:

- Baku State Maritime Academy, Baku, which will provide venue and logistical support for the courses.

In Georgia the following training institution has been identified:

- Batumi State Maritime Academy, Batumi, which will provide venue and logistical support for the courses.

No information is currently available regarding training institutions in Turkmenistan, but extra efforts are being diverted to Turkmenistan to change this (partner and other EU projects will be contacted).

All training activities will take place at a regional or sub-regional level, covering all five beneficiary States or for the Black Sea or Caspian Sea Sub-Regions, respectively. Some of the training activities will take place at a regional level, at the same time many of the courses are designed to be delivered locally within one of the five beneficiary countries.

## **Resources**

The exercise has been launched and is lead by Training Expert (KE3), supported by Training Coordinator Kyril Sereda and International Experts.



#### **4.4 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**

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

**Implementation Period: March – end of 2010**

##### **Scope of the Works:**

The scope of this activity is to support the development of inspection procedures to comply with the Port State Control requirements.

This activity is now 80% complete (all except Turkmenistan). A report has been drafted by Ib Matthiesen and it was submitted in June 2010. It does not cover Turkmenbashi. Work on Turkmenbashi will be completed by Safety and Security Expert (KE2) with the support of a local expert.

Three dedicated training courses on PSC Inspections are included in the Training Plan, to be implemented under activity 3.2; those will be held in January and February 2011.

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

This exercise is being led by Key Expert 2, Capt. Bertrand Apperry, with technical inputs from the specialist in Port State Control, Ib Matthiesen. Local experts in the countries will provide support to the international experts

##### **4.4.2 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 (PWMPs)**

**Implementation Period: September 2009 – December 2010.**

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 overall. This was flagged at the Steering Committee meeting in Brussels in December 2009.

The revised proposal is to use Odessa as a model port in the region and provide targeted support in developing the Odessa Port Waste Management Plan. Following this, a regional training event (March 2011) will be held to pass on skills, knowledge and tools for waste management to the other beneficiary countries. A workshop will be conducted presenting the Odessa PWMP as a template methodology for the other beneficiaries to outline and the procedures for their own PWMPs. Dedicated trainings will be designed and delivered for the other jurisdictions where the methodology for PWMPs and the implementation of PWMPs in principle will be assisted in dedicated one-to-one training workshops.

##### **Scope of the Work**

The scope of the task includes the evaluation of existing organization and facilities for ship generated waste in the main ports of the beneficiary countries. The assessment of the situation in the selected ports

will be carried out following the requirements of the EU Directive, EC 2000/59 including at least the following subjects:

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

Special efforts should be made to secure participation from the environmental conventions for the two Seas.

### **Status and next steps**

Information has been collected in Azerbaijan, Georgia, Kazakhstan and Ukraine during the PSC experts mission in April 2010. The work plan for completion of this activity will result in the preparation of a PWM Manual for Odessa Port, 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 includes a PWM Training Course to be held in March 2011, in Odessa.

### **Resources (Port Waste Management Specialist, Local expert (Odessa), Training Experts**

This activity is being led by a Port Waste Management Specialist (J-P Øhlenschläger). There may also be a requirement for training staff depending on the conclusion of discussions on the best way to achieve the

overall result of best practice examples for Port Waste Management in the region. Local experts in the countries will provide support to the international experts.

#### **4.4.3 Activity 4.3: Further assessment, identification of best practice ports and support to the implementation of ISPS Code.<sup>1</sup>**

**Implementation Period: October 2010 to February 2011**

##### **Scope of Work**

The following tasks are 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;
- Application of the model to the other national ports;
- 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;
- Contribution to the Activity 5.1 on Working Groups

The Training Plan includes a Regional ISPS-Code Training Course, to be held in December 2010.

**Resources:** This activity will be led by Safety and Security Expert (KE2) supported by an international expert and local experts.

#### **4.5 RESULT 5. Support to regional cooperation in the field of maritime safety and security**

##### **4.5.1 Activities 5.1 and 5.2: Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative); develop a regional Action Plan on maritime safety, security and environmental protection**

**Implementation Period: until the end of the project**

##### **Scope of Work**

A Regional (Black and Caspian Seas) Working Group on maritime safety, security and marine pollution is in process of being established and is tentatively scheduled to meet in late September 2010 in Brussels, rescheduled from its previously targeted dates in June due to illness/absence of two KEs. Its purpose is to enhance the regional cooperation and interchange of knowledge and practices between the countries participating in the project. A principal product is a Regional Action Plan. The Group is to be composed of two experts per country with specific experience in the fields of maritime safety, security and pollution control.

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

- objectives and terms of reference of the Regional Working Group and its meetings;

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

Terms of reference for the Regional Working Group have been drafted, and are on file in the SASEPOL office. The first National Coordinators' Meeting took place in July 2010 in Kiev, which turned out most beneficial, and will be followed by quarterly or bi-annual meetings, to review progress, discuss any problems encountered, to discuss further activities, align efforts, etc. Brief monthly reports are now institutionalised from the national coordinators to the project management.

The TOR for the Regional Working Groups will be finalised at the RWG meeting in Brussels taking place from 28 to 29 of September 2010; this with a view of introducing efficient modus operandi and also, to convey ownership of those TOR to the active participants of the RWG (ensuring that the RWG becomes a sustainable institution).

### **Resources (Key Experts)**

The proposed advice and support will be delivered by the three Key Experts with contributions from the Non-Key experts on specific technical issues if appropriate. The project's national coordinators will also play a key role in establishing the groups.

## **4.6 RESULT 6. Identification and preparation of maritime projects and financing schemes involving the private sector**

### **Implementation Period: March to June 2011**

Continue to identify potential BOO and PPP projects by using our key experts travelling in the region to meet with potential investors as well as determine needs from the Maritime Administrations and the port leadership. Each of the KEs also have good ideas for fulfilling this part of the project. The expert will prepare and develop "Project Fiches" or similar documents containing specification for relevant feasibility of pre-feasibility studies.

The project expert will carry out the following activities in coordination with the concerned authorities and private sector:

- Review of the relevant information contained in the PPP background analysis provided by the "Maritime Links" project
- On the basis of the previous review, proposal and promotion of PPP models and Build Own Operate (BOO) arrangements for financing relevant maritime projects in the region;
- Identification of the most relevant and prioritised maritime projects with a regional impact along the TRACECA corridor;
- Elaboration of "Project Fiches" for the identified maritime projects with at least the following contents:
  - Objectives of the project;
  - Description of the project;
  - Expected results;
  - Size of investment, including estimated budget for implementation
  - Partners;
  - Contract elements;
  - Return of investment.

- To prepare and deliver a model for financial arrangements of projects;

This activity is not yet due.

#### **Resources**

The proposed advice and support will be delivered by an international Short Term Expert with contributions from the international junior and local experts.

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

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

**Implementation Period: until the end of the project**

#### **Scope of Work**

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

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

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

- Improvement of the dedicated project website, developed with a view to a post-project handover to an appropriate regional body (possibly creation of a new, dedicated website);
- Preparation and implementation of an "Information Dissemination Plan" for the Project Activities. This plan should include the use of the following mechanisms:
  - Press releases;
  - Press conferences;
  - Leaflets and newsletters;
  - Banners and promotional items related to project activities; and
  - References to relevant websites
- Participation in conferences and exhibitions, such as Inter-Transport 2010, now being held in Odessa, and supported by SASEPOL with good visibility.

The Communication Plan will be finalized in the nearest future and continuously be updated. Also, the IT Expert will ensure efficient communication (internal communication platforms, access to server, internet security, alignment of software, etc), continue to update the project website as appropriate. The project team may participate in other regional / international events (if appropriate) in order to promote the project objectives and other appropriate staffing resources may be found in order to ensure compliance with the ToR for this task.

#### **Resources (Team Leader, National Coordinators Media Relations and IT experts)**

Communications will be led by the Team Leader, supported by the Deputy Team Leader, with local contacts made through national coordinators and local experts (Communication, media relation expert and IT Expert) and also the outside contacts will be made through international junior communication expert which will be responsible with the EU visibility requirements.

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#### 4.8 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.<br>Coordination with other EU projects, having experience in these matters.<br><br>Gain support from TRACECA secretariats  | Project Team<br><br><br>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.<br><br>Where practical, organise meetings in with less stringent visa requirements.<br><br>Coordination with other EU projects, 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<br>Plan missions well in advance<br><br>Beneficiary organisations should provide appropriate access to facilities and make the project team aware of any specific constraints.<br><br>Implement confidentiality memorandum .   | Project Team<br><br>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<br><br>The administrations should make fair efforts to nominate appropriate people and afford them time to engage with the project | Project Team<br><br>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.<br><br>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<br>Actively seek cooperation from other projects and interested organisations | Project Team   |



#### **4.9 Special activities to support sustainability**

Predominantly the project activities are 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.

Beyond this, further consideration needs to be given to sustainability within Activity 6 and a review of the ToR should be undertaken before implementation of the activity to ensure sustainability is taken into account in the selection and promotion of projects.

It is recognized that the appropriate national implementation of international and regional conventions is very time consuming and might be impossible within 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.

## 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.<br>National legislation and guidelines for the implementation verified. | National legislation and operational arrangements compared with convention requirements and guidelines.<br>National legislation compared with convention requirements. | Sufficient level of commitment of the beneficiary countries to transpose and implement effectively the international conventions and legislation;   |
| 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.   | TA provided.<br>National legislation and guidelines for the implementation verified.      | Inspection of VTS operations and comparison with EU standards.   | Sustainability in common  |

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|  |  |  |   |
|--|--|--|---|
| <p>RESULT 3. Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems.</p>  | <p>Technical advice on the use of VTS provided.<br/>TA provided. Training modules.<br/>Evidence of participation in training events.</p> | <p>Training Programme<br/>Course material and evaluation of course comparison with EU standards.</p> | <p>regional priorities in the maritime affairs;<br/>Technical support from the Maritime Authorities and Port Authorities and the short-term local experts;<br/>Co-ordination, involvement and participation of the concerned institutions.<br/>Political willingness to support the regional cooperation.<br/>Sufficient level of cooperation among different ministries.</p> |
| <p>RESULT 4. Identification of model ports and best practices, awareness raising and training in Port State Control activities, MARPOL implementation (reception facilities), ISPS Code implementation</p> | <p>TA provided.<br/>Model ports selected.<br/>Best practices confirmed with PSC, MARPOL and ISPS Code requirements.</p>                  | <p>Model port practice comparison with relevant port practice in EU.</p>                             |   |
| <p>RESULT 5. Support to regional cooperation in the field of maritime safety and security</p>  | <p>TA provided<br/>ToR of Working Group on regional cooperation.</p>   | <p>Evidence of exchange of information and operational activities.</p>                               |   |
| <p>RESULT 6. Support to identification and preparation of maritime projects and financing schemes involving the private sector e.g. through BOO arrangements and Public Private Partnerships (PPP).</p>    | <p>TA provided.<br/>List of prioritised maritime projects and corresponding "Fiche".</p>   | <p>Proposed projects and financing schemes comparison with EU experiences.</p>                       |   |
| <p>RESULT 7. Communication and awareness raising activities on maritime safety, security and environmental protection are developed.</p>   | <p>TA provided.<br/>Dissemination Plan and Website.</p>  | <p>Comparison of information plan and website with EU project websites.</p>                          |   |

| Activities  | Means  | Cost | Risk and Assumptions  |
|---|--|------|---|
| <p>Activity 1.1: Review the level of transposition of international conventions and regulations into national legislations regarding MARPOL, SOLAS/ISPS and PSC MoU's (all countries)</p>                           | <p>IMO document "Status of IMO conventions".<br/>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</p>                                      | <p>TA of international and short-term experts</p>                                    |      |   |

|   |  |  |
|---|--|--|
| <p>and PSC MoU's)</p> <p>Activity 2.2: Assess needs and priorities for the use and operation of VTS systems in major national ports</p> <p>Activity 3.1: Prepare a Training Plan based on relevant issues for training and capacity building, and in coordination with relevant training institutes in beneficiary countries</p> <p>Activity 3.2: Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how.</p>                             | <p>Visits to the VTS systems.</p> <p>Meetings with the authorities in charge of VTS.</p> <p>TA of international and short-term experts.</p> <p>Visits to training institutes and meetings with training personnel.</p> | <p>Different legal and organisational bases of the beneficiaries' Authorities involved.</p> <p>International rules and regulations are subject to national variations and interpretations.</p> |
| <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>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.</p> <p>Visits and meetings to the main ports of the beneficiary countries.</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.</p> <p>Visits and meetings to the major waste management installations.</p>   |  |
| <p>Activity 5.1: Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)</p>  | <p>Visits of experts to the main ports and discussions on the port security arrangements.</p> <p>TA of international and short-term experts.</p>   |  |
| <p>Activity 5.2: Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations</p> <p>Activity 6.1: Elaboration of "Project Fiches" or similar documents containing specification for relevant feasibility of pre-feasibility studies.</p> <p>Activity 7.1: To provide the Administrations and interested public with information and relevant documentation related to the activities of the project</p> | <p>TA of international and short-term experts.</p> <p>TA of international and short-term experts.</p> <p>TA of international and short-term experts.</p>   |  |

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

**Appendix B. Work plan and resources for the next period**

|   |  |  |    |    |    |    |    |  |          |                        |        |
|---|--|--|----|----|----|----|----|--|----------|------------------------|--------|
| Project title : Development of common security management, maritime safety and ship pollution prevention for the Black Sea and Caspian Sea (SASEPOL)  |  | Project number: EuropeAid/127221/C/SER/Multi |    |    |    |    |    | Countries: Azerbaijan, Georgia, Kazakhstan, Turkmenistan, Ukraine            |          | Page :                 |        |
| Planning period : 01.08.10 – 01.02.11   |  | Prepared on : 29.07.2010                     |    |    |    |    |    | 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 |  |  |    |    |    |    |    |  |          |                        |        |
|   |  | TIME FRAME                                   |    |    |    |    |    | INPUTS   |          |                        |        |
|   |  | 2010 -2011 (months)                          |    |    |    |    |    | PERSONNEL  |          | EQUIPMENT AND MATERIAL | OTHER  |
| No  | ACTIVITIES   | 08   | 09 | 10 | 11 | 12 | 01 | EC Consultant  | Extrenal | Incidentals            |        |
| 1.2   | Plan for transposition of conventions  | X  | X  |    |    |    |    | 2  |          |                        | 5000   |
| 1.3   | Plan accession to the "Voluntary IMO Member State Audit Scheme                     |  | X  | X  | X  |    |    | 2  |          |                        | 7000   |
| 2.1   | Rationalization of national maritime organizations, structure and procedures       | X  | X  | X  | X  | X  | X  | 2  |          |                        | 7000   |
| 3.1   | Training Plan for beneficiary countries  | X  |    |    |    |    |    | 3  |          |                        | 5000   |
| 3.2   | Training courses national and regional levels                                      |  | X  | X  | X  | X  | X  | 3  | 15       |                        | 600000 |
| 4.1   | Ships Inspection procedures - PSC  | X  | X  | X  |    |    |    | 2  |          |                        | 7000   |
| 4.2   | Port wastes handling   | X  | X  | X  | X  |    | X  | 3  | 1        |                        | 5000   |
| 5.1& 5.2  | Regional Working Groups on maritime safety and security                            | X  | X  | X  | X  | X  | X  | 7  |          |                        | 35000  |
| 7   | Communication and awareness raising activities                                     | X  | X  | X  | X  | X  | X  | 2  |          |                        | 15000  |
| -   | Other Costs (including Steering Committee Meetings, office rent, translation, etc) |  |    |    |    |    |    |  |          |                        | 40000  |
| <b>TOTAL</b>  |  |  |    |    |    |    |    |  |          |                        | 726000 |

## **Appendix C. Internal Document**

## Appendix D. RWG & SC Meeting Details

### DRAFT AGENDA of SASEPOL REGIONAL WORKING GROUP

Venue: BRUSSELS

Date: 28 and 29th of September 2010

| Time         | Topic  | Directed by  |
|--------------|--|--|
| 09.00 -09.30 | Registration   | Sasepol staff/EC   |
| 09.30- 09.45 | Welcome and Presentation of participants   | Sasepol TL/EC  |
|              | Designation of a President and vice president  | Sasepol KE2  |
| 09.45- 11.00 | Results of NWGs: Summary of findings and problems detected (KE2) including results from International experts reports on VIMSAS, PSC and PWM.<br>Discussion on solutions proposed  | President, TL and KE 2<br><b>Results presented by NCs from countries</b> |
| 11.00- 11.30 | Coffee break   |  |
| 11.30- 12.30 | Other topics non already discussed earlier including: <ul style="list-style-type: none"> <li>- Amendments to N/RWG TOR (KE2)</li> <li>- Bottleneck of Port Security (KE2)</li> <li>- Bottleneck of Best practice ports (TL)</li> <li>- Focus on confidentiality of our findings</li> <li>- Issuance of a memorandum of confidentiality</li> </ul> Any question on SASEPOL activities | President and TL and KE 2<br><br>KE 2<br>All participants                |
| 12.30- 14.00 | Lunch  |  |
| 14.00 -15.15 | Involvement of private sector (shipping companies and Port operators) KE 2<br>Involvement of non direct beneficiary countries in the project TL and KE2<br>Involvement of TRACECA (TL)<br>Opinion of representatives   | TL and KE 2<br><br>NC and NWG representatives                            |
| 15.15-15.45  | Coffee break   |  |
| 15.45-16.45  | Link between SASEPOL and BS SASEMAS<br>Starting draft of the Regional Action Plan<br>Guidance to NWGs<br>Proposition for next RWG (venue/date)   | KE 2<br>TL<br>KE2<br>President   |
| 16.45-17.00  | EC point of view   | ROEL HOENDERS  |
|              | End of RWG   |  |

### Draft List of Participants

| N° | NAME                      | Position  | Passport/ Validity                    |
|----|---------------------------|---|---------------------------------------|
| 1  | Olga DEMCHENKO            | NC for KAZAKSTAN  | N2744952 valid 2045                   |
| 2  | Gulshat DAUYESHOVA        | Chief expert of Water transport department at the MOT and com of Kazakhstan | S0004088 valid Feb 2013               |
| 3  | Enegul HAYDAROVA          | NC for TURKMENISTAN   | A 0034423 valid Jan 2020              |
| 4  | Amangulych ALLAGUEYYEV    | Inspector of ISM code of TURKMENISTAN Maritime Administration               | A 003367 valid dec 2019               |
| 5  | Sergey RUDENKO            | Vice rector of NMU of ODESSA/NC Ukraine                                     | Need color copy of passport           |
| 6  | Viacheslav VOLOSHYN       | Director Maritime Security Agency (State enterprise)                        | Need color copy of passport           |
| 7  | Nino SIKHARULIDZE         | NC coordinator Georgia  | Need color copy of passport           |
| 8  | Capt Valerian IMNAISHVILI | Head of Georgian Register   | Need color copy of passport           |
| 9  | Bakhtiyar MURADOV         | NC AZERBAIJAN   | Need color copy of passport           |
| 10 | Ahmet ISMAYLOV            |   | Need color copy of passport           |
| 11 | Zhandoro SATYBALDYEV      | TRACECA permanent secretary (Azerbaijan)                                    | Need color copy of passport           |
| 12 | Ivanka GEORGUIEVA         | Government representative for Bulgaria                                      | Need color copy of passport           |
| 13 | Simona VASILE             | Romanian Naval Authority  | Need color copy of passport           |
| 14 | Imre DINCER               | Under secretariat of Maritime affaires TURKEY                               | Need color copy of passport           |
| 15 | XXXX                      | Representative of RUSSIAN FEDERATION  | Need name & color copy of Passport    |
| 16 | Prof Ahmet KIDEYS         | Executive director of BS commission TURKEY                                  | Need color copy of passport           |
| 17 | Dr Parvia FARCHI          | Project Manager CASPECO   | Need color copy of passport           |
| 18 | Falko SELLNER             | SASEPOL A.T.L   | Need color copy of passport           |
| 19 | Capt Bertrand APPERRY     | SASEPOL KE2   | 04AK34331<br>For access pass          |
| 20 | Wim VERHEUGT              | Mott MacDonald Project Manager  | Need copy of passport for access pass |
| 21 | Andrei PENESCU (TBC)      | SASEPOL Administrative manager  | Need copy of passport for access pass |
| 22 | Roel HOENDERS             | EC Project Manager  |                                       |
| 23 | TBD                       | EC Representative   |                                       |
| 24 | SASEPOL staff             |   |                                       |