



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

Progress Report 3

JANUARY 2011  
European Commission



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# Executive Summary and Recommendations

This Progress Report relates to the third six months of implementation of SASEPOL project activities, corresponding to the period 1 August 2010 to 31 January 2011. 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 January 2011, significant progress has been achieved in the implementation of Activities 1.2, 1.3, 2.1, 3.2, 4.1, 4.2, 4.3, 5.1, 5.2 and 7. Some delays have been encountered in the implementation of Activities 1.3, 2.1, and 4.3 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:

<b>Project Tasks</b>	<b>Progress (as for January 31st 2011)</b>
<b>RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection</b>	<b>Due May 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	Reports submitted and published. Action and Transposition Plans are being implemented.
Activity 1.3 Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"	An international expert has been deployed to define the operational framework for VIMSAS. This activity is under will be completed in the following period.
<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 May 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 the institutional set up in some beneficiary countries required additional analysis. The reports are being finalised and will be submitted in February 2011.
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 to commence in March 2011.
<b>RESULT 3: Prepare and implement training modules on relevant maritime issues such as PSC, PWM, ISPS and management of VTS systems</b>	<b>Ongoing; due on the date of finalizing the project.</b>
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.  By the end of 2010, the Trainings Plan was revised and a new (slightly modified) Trainings Plan has been published.
Activity 3.2 Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how	To date, 11 trainings have been successfully implemented.
<b>RESULT 4: Identification of model ports and best practices, awareness raising and training in Port State</b>	<b>Due July 2011.</b>



<b>Control activities, Marpol implementation (reception facilities), ISPS Code implementation</b>	
Activity 4.1 Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country	This activity is complete and the report has been submitted. (regarding the missing chapter on Turkmenistan, additional information has been retrieved and KE 2 will complete this).
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	The International STE has been mobilised. The reports have been submitted and are published. A pilot PWMP has been developed for Odessa and will 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.
Activity 4.3 Further assessment, identification of best practice ports and support to the implementation of ISPS Code	An international expert has been deployed and visits were conducted. The reports are under finalisation. The final version of the Training Plan includes a regional training course on the implementation of the ISPS Code to be held in May / June 2011 in Odessa.
<b>RESULT 5: Support to regional cooperation in the field of maritime safety and security</b>	<b>Due on the date of finalizing the project.</b>
Activity 5.1 Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)	The first kick off meeting took place in Kiev, where the Country Coordinators met and the national working groups have been established and meet quarterly.
Activity 5.2 Develop a regional Action Plan on maritime safety, security and environmental protection in line with international conventions and regulations	The second Regional Working Group meeting took place in Brussels in September 2010. The TRACECA regional action strategy was drafted for further elaboration and discussion at the third RWG meeting in Istanbul (01 – 02 Feb 2011).
<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>	<b>Proposed (post addendum deadline) September 2011.</b> Following the auditors report and appreciating recent developments in the beneficiary countries, this result 6 is currently under discussion for an addendum. Upon approval, concrete support packages for beneficiary countries will be designed.
<b>RESULT 7: Communication and awareness raising activities on maritime safety, security and environmental protection are developed</b>	<b>Due on the date of finalizing the project.</b> The Communication Plan has been submitted, the first newsletter was released, various press releases have announced important events, a press conference was successfully conducted (with TV presence) and the website was comprehensively redesigned and it is now more user friendly.

This reporting period, all three main components of this project (analytical, trainings and regional) were significantly taken forward. Good progress has been achieved in the delivery of reports, albeit some setbacks and delays. This period saw changes to institutions, changes to applicable visa regimes, elections and subsequent institutional changes in the senior management of maritime administration, etc. All those changes had no overall negative effect, as the project reacted actively and quickly to any such event and mitigated the impact. There are, however, delays in the delivery of some reports.

The trainings implementation is progressing according to the trainings plan, 11 trainings have been conducted (with 9 held in the reporting period) and the assessment of the trainings shows a high grade of overall satisfaction with the methodology and execution of the training. Following a trainings implementation analysis, the trainings plan has been slightly amended, with a view of making it more efficient and trainings locations have been moved, so that all countries have a almost even number of trainings implemented on their territories (with the exception of Turkmenistan, only one training will take place there).



The regional component also received a boost with the successful implementation of the second Regional Working Group (RWG) meeting in Brussels, in September 2010. As a result of this RWG, the TRACECA Regional Action Strategy was drafted and a first comprehensive version has been released to the participants of the third RWG meeting in Istanbul (01 – 02 February 2011). The Conventions (Black Sea Commission and CASPECO/Teheran Convention) were actively involved in the activities of the regional component. Eight National Working Group meetings were conducted, with the outcome of those being analysed and, partly, elevated to the Regional Working Group. Also, SASEPOL participated in events of the Black Sea Commission and the communication and cooperation with indirect beneficiaries has increased (mainly Turkey, Bulgaria and also Romania).

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

At this stage of the project, most of the remaining budget for non-key experts has been allocated.

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

- To maintain the momentum initiated at the Country Coordinator Kick Off Meeting in Kiev in July 2010, further strengthened at the National Working Group Meetings and to cooperate and coordinate more closely with the Regional Working Group;
- To finalise the analytical component of this project (all reports will be submitted in the next reporting period);
- To elaborate on the TRACECA Regional Action Strategy, ensuring a sustainable and effective tool for regional cooperation and coordination of activities concerning maritime safety and security in place;
- To continue with the implementation of the communication plan to improve communications with beneficiaries (press conference, newsletter, etc) and to enhance the visibility of the project;
- To enhance the active participation of TRACECA Secretariats in the beneficiary countries;
- To maintain the momentum in the active participation of the non beneficiary countries (Romania, Bulgaria and Turkey) in the project workshop activities and of the Conventions;
- Further mitigate any possible effects of project staffing arrangements from this reporting period on the future implementation of project tasks;
- Employ additional measures to ensure sustainable impact of the SASEPOL activities beyond the duration of the project.

At the moment of submission of this progress report 03, a contract addendum is being finalised. This contract addendum concerns:

1. An extension in time of the project until December 2011. The initial delays in the implementation of this project and delays that have materialised in the last reporting period will require additional 5 months in time allowing proper and most effective conclusion of this project.

2. The replacement of result No. 6 the "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)" by a new result, which will identify and prioritise "actions" from the Action and Transposition plans as an outcome of result 1, 2 and 4. At the same time, there are developments in the beneficiary countries, which require specific support. Thus, the new result No 6 will enable to provide support to the beneficiary countries.
3. A redistribution of resources within the fee-budget for this project. Resources will be taken from the key expert budget line and allocated to non-key experts. This is for two reasons: One, the trainings implementation is well under way and not all resources initially allocated for trainings implementation will be required; in addition, KE 2 experienced an accident and needs medical treatment in his home country. At the time of writing this report, the implications of this accident can only be estimated; the current best guess is a 6 to 8 weeks break for KE 2.

At the same time, there is a concrete need for support in some beneficiary countries and the action and transposition plans, drawn up under results 1, 2 and 4. Those provide a sound basis for concrete technical assistance support packages, which have been drafted in close cooperation with the respective beneficiary countries' administration. The new "result 6" will allow for additional intervention based on these action and transposition plans.

This is why resources from the Key Expert budget line will be shifted to the Non-Key expert budget and external experts will be mobilised.



# 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	
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Date of report: 31 January 2011  
 Reporting period: 01 August 2010 – 31 January 2011.  
 Author of report: Falko Josef Sellner, Bertrand Apperry

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

## 2. Project Synopsis

<b>Project Title :</b>	<b>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)</b>
<b>Project Number :</b>	<b>EuropeAid/127221/C/SER/Multi</b>
<b>Country :</b>	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 model ports.

**Project activities : towards Result 3**

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

**Project activities : towards Result 4**

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

**Project activities : towards Result 5**

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

**Project activities : towards Result 6**

Activity 6	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).
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**Project activities : towards Result 7**

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



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



The specified objective of the project 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.

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) Initially planned for September 2010.</b>	<b>70%</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.	100%	Report submitted and published.
1.2	Activity 1.2: Plan for transposition of the reviewed international conventions and regulations into national legislation	- Plan for transposition of relevant legislation, as appropriate; - Technical assistance in implementing action and transposition plans is provided.	Ongoing.	80%	Reports submitted, approved and published. Specific support packages are being drafted and implemented (relating to the transposition and action plans).
1.3	Activity 1.3: Discussed and plan accession to the "Voluntary IMO Member State Audit Scheme- VIMSAS"	- Operational framework for the application of the voluntary IMO Member State Audit Scheme; - Dedicated trainings on the implementation of the audit scheme; - Technical assistance, as required.	Ongoing	30%	The first visits to the beneficiary countries took place, promoting VIMSAS and defining the operational framework. A dedicated visit to Georgia took place in December 2010 and a report on VIMSAS was submitted. Technical assistance in designing the operational framework for VIMSAS is provided.  Two dedicated training courses on VIMSAS National Auditor training have been included in the Training Plan and are now scheduled for March and May 2011.
<b>2.</b>	<b>RESULT 2: Support implementation of the relevant maritime legislative framework and international</b>	<b>See 2.1 &amp; 2.2 below.</b>	<b>May 2011</b>	<b>50%</b>	<b>Ongoing</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
	<b>conventions, as well as the use of VTS systems in Maritime Administrations and Port Authorities</b>				
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>	Completion date: February 2011.	85%	Visits in all jurisdictions took place, the data collection is completed and the reports have been updated by recent developments. The reports are being finalised.
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>	Completion date: May 2011.	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>End of the project</b>	<b>75%</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>	<p>Initially due to start in Month 7 (next reporting period); estimated completion date: Month 9.</p> <p>In accordance with CA's suggestion, the completion of this task was scheduled for February (draft) and April 2010 (final)</p>	100%	An analysis of the trainings conducted in December showed a very high rate of satisfaction with the trainings. A cost analysis showed that the trainings were exceeding the allocated budget and therefore the trainings plan was amended, making it more rational, without losing momentum or quality. This new trainings plan was published mid December 2010, following approval from the EC.
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.	50%	Ten trainings were conducted in this reporting period, all together 12 have been completed by the project. Reports on the training activities performed were submitted as due.

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
<b>4.</b>	<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>	<b>See 4.1 to 4.3 below.</b>	<b>Rescheduled for June 2011.</b>	<b>80%</b>	<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>	Estimated for March 2011.	80 %	Assessment reports including all aspects relevant for this task have been submitted and published. Data from Turkmenistan have been received and are processed; KE 2 due to travel to Turkmenistan in February 2011 and complete the Turkmen chapter.  The final report will be submitted in the next reporting period.
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>	June 2011.	80%	Assessments for the five ports have been submitted and published. The pilot PWMP has been 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 in March 2011.	80%	An expert was deployed and visited all countries apart from Kazakhstan, the respective reports are under finalisation and will soon be submitted.
<b>5.</b>	<b>RESULT 5: Support to regional cooperation in the field of maritime safety and security</b>		<b>End of project</b>	<b>40%</b>	<b>Ongoing, due at end of the project.</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
5.1	Activity 5.1: Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)	-Terms of reference for the Working Group on maritime safety, security and maritime pollution.	October 2011.	50%	Assistance has been provided to beneficiaries in establishing National Working Groups; One RWG meeting and 8 NWG meetings took place in this reporting period and one meeting of the National Coordinators, following the Regional Working Group Meeting in Brussels.
5.2	Activity 5.2: Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations	-Action Plan on maritime safety, security and protection of marine environment; - Assistance in the implementation of the AP, as required & appropriate.	October 2011.	25%	Following the outcome of the RWG in Brussels in September 2010, a TRACECA Regional Action Strategy was drafted and released to the participants of the 3 <sup>rd</sup> RWG meeting in Istanbul.
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; - Prioritised list of identified maritime projects; -Project fiches / specifications for relevant feasibility or pre-feasibility studies.	September 2011.	0%	Not due yet. This result is subject of an addendum to the contract.
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; -Communication Plan – drafted & implemented;	End of project.	60%	The SASEPOL website has been redesigned and is regularly updated, the first newsletter has been published, press release were drafted prior to trainings and other events, one press conference was organised and the communication plan was submitted and approved.

### **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**

The analytical component is complete, the reports were submitted and approved. Technical Assistance is provided and concrete support packages have been designed for Georgia on STCW and ROs. The first support package on STCW has been initiated, two international and one local expert have been mobilised to support the Georgian administration in their endeavours vis-a-vis the recent DG MOVE decision to revoke Georgian Seafarers certificates.

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

The first part of this delivery is the promotion of VIMSAS, and all beneficiary countries are now in favour of VIMSAS, even Turkmenistan and have, in the National Working Groups, voiced their desire to adopt VIMSAS.

For the second part of this delivery being the definition of operational framework for VIMSAS, an international expert has been approved (Capt. John Wynn). A questionnaire has been sent out to all beneficiary country's maritime administrations and the replies are currently being analysed. A comprehensive round of visits is planned.

The third part of this delivery, provision of technical assistance has also started and an expert (Mr George Christofi) was deployed to Georgia. His report has been submitted to the administration in Georgia, who are working on the identified rectifications.

To round this activity off, two workshops on VIMSAS are planned, where the auditors will receive VIMSAS audit training. Contact with IMO has been established and IMO has agreed, upon receiving the respective reports and upon request from the beneficiary countries, to include the trainees in the roster of auditors.

#### **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).**

An International Expert (Mr Calin Trelea) has been mobilised following the retirement of the originally appointed non key expert and appointment of the new TL (Falko Sellner). 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. Local experts were mobilized in Ukraine, Azerbaijan, Georgia, Kazakhstan and Turkmenistan. The International Expert visited all countries.

Due to a personal accident of the international expert, the delivery of this activity got delayed by 4 to 6 weeks. The reports are currently finalised and the first report on Georgia has been submitted to the beneficiary administration for review.



### **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 centre in Nikolayev has been initiated in order to carry out training of personnel from Azerbaijan, Georgia and Ukraine; these events are scheduled for February 2011.

The remaining activity for this task will be an identification of relevant equipment (as per the TOR) focus on the delivery of training as scheduled in the Training Plan. Activities scheduled for this task are planned to end in April 2011.

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

In December 2010, the SASEPOL project management analysed the outcome of the first 9 trainings. The findings were: about 194 people participated in the (ten) trainings, overall very positive response and very high evaluation of the courses conducted. Some locations are about 50% cheaper than others. Please revert to Appendix C for a more detailed analysis on this.

The excess in number of participants and excess in costs in certain locations led to a redesign of the training plan. To date, 206 trainees attended the courses (11 by the time of drafting this report), which reflects an increase of 34% over the originally planned number and also caused a cost overrun of 26% of the originally anticipated budget. The mitigating measures employed are a shift of trainings to cheaper locations and three VIMSAS and three PSC trainings were merged into two trainings each. Utmost efforts were employed not to lose momentum and to adjust the trainings locations evenly, so that all participating jurisdictions have a similar number of training in their countries (with the exception of Turkmenistan, where the restrictive visa regime renders the organisation of comprehensive trainings very difficult; nevertheless, training No 25 will most certainly be conducted in Turkmenbashi in September 2011).

The revised trainings plan was submitted to the beneficiaries and the EU and was approved on the 20 December 2010.

### **3.3.7 Activity 3.2 Conduct relevant training courses**

In this reporting period the following trainings courses (No. 3 to 12) were implemented:

<b>N.</b>	<b>Subject</b>	<b>Location</b>	<b>Period</b>	<b>Participants</b>	<b>Instructor/s</b>
3	Implementation and Enforcement of the International Safety Management Code (ISM Code)	Batumi, Georgia Alik Hotel, Batumi	15 – 19 November 2010	Azerbaijan (3) Georgia (16) Kazakhstan (2) Ukraine (4)	Bertrand Apperry
4	IMO Conventions and their national Implementation, including VIMSAS	Odessa, Ukraine Black Sea Hotel, Odessa	6 – 10 September 2010	Azerbaijan (4) Georgia (3) Turkey (1) Ukraine (11)	Jorgen Rasmussen
5	Operational aspects of SOLAS 1974	Baku, Azerbaijan State Maritime Academy	13 – 17 September 2010	Azerbaijan (7) Georgia (3) Turkey (1) Ukraine (5)	Mihai Andrei Dan Bodolan
6	Maritime Administration, Organization and Functioning	Astana, Kazakhstan Hotel Imperia, Astana	22 – 24 September 2010	Kazakhstan (16)	Jorgen Rasmussen

N.	Subject	Location	Period	Participants	Instructor/s
7	Operational aspects of SOLAS 1974	Astana, Kazakhstan Hotel Duman, Astana	11 – 15 October 2010	Kazakhstan (16)	Dorel Popa Mihai Andrei Dan Bodolan
8	MARPOL 73/78 How to do it?	Baku, Azerbaijan Park Inn Hotel, Baku	18 – 22 October 2010	Azerbaijan (7) Georgia (2) Ukraine (5)	John Østergaard Anna Shotadze
9	MARPOL 73/78 How to do it?	Astana, Kazakhstan Hotel DUMAN, Astana	8 – 12 November 2010	Kazakhstan (23)	Jack O'Sullivan Anna Shotadze John Østergaard
10	International Conventions & national Implementation, including VIMSAS	Aktau, Kazakhstan Grand Hotel VICTORY	07 – 10 December 2010	Kazakhstan (21) Turkmenistan (6)	Bertrand Apperry John Østergaard
12	Port State Control Inspections	Odessa Maritime University	25 – 27 January 2011	Ukraine (12)	Ib Matthiesen John Østergaard

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

This activity is completed, save as to the Turkmen chapter. A local expert (Mr Sapar) has been mobilised in Turkmenistan and information has been received. Supplementary information has been requested and will be retrieved by KE 02 upon his forthcoming visit to Turkmenistan. The Turkmen chapter will then be finalised and submitted.

**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**

An international expert Mr 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 all model ports, being: Baku / Azerbaijan, Batumi / Georgia, Odessa / Ukraine, Aktau / Kazakhstan and Turkmenbashi / Turkmenistan. The respective reports were drafted, discussed and cleared with the national authorities. Upon their approval those were submitted and in due course published on the website.

A Port Waste Management Plan has been developed for Odessa, 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. Additional days have been allocated to the International Expert.

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

This activity commenced in September 2010 and a comprehensive round of visits took place, to all countries except Kazakhstan, where clearance could not be achieved in time. The issues pertaining to access to (relevant) information was and is met by a degree of resistance based on confidentiality concerns regarding ISPS. In order to gain access to relevant information, a confidentiality statement was



signed by the international expert (both in Russian and English) and this was submitted to the relevant authorities, together with an explanatory letter from the project.

The visit to Kazakhstan is scheduled for February 2011. The reports are being finalised and will be submitted in February 2011 and a regional training course on the implementation of the ISPS Code, to be held in May 2011, addressing identified deficiencies, in Odessa will conclude this activity.

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

The National Working Groups (NWG) are all operational and three NWG meetings were held prior to the RWG meeting in Brussels from 28 to 29 September 2010. All National Coordinators were present at the RWG meeting in Brussels and a meeting of the National Coordinators was called for by KE 2. The Terms of References for the NWG were presented, discussed and agreed upon at the RWG meeting and implementation of the NWG meetings has since followed this methodology. Five more NWG meetings were conducted before the end of the year, with another round of meetings planned in February / March 2011. A comprehensive report on the NWG meetings up to the end of 2010 is currently being drafted and will be submitted after the 2<sup>nd</sup> national coordinators meeting in Istanbul (following the RWG meeting).

The table below shows the NWG meetings (blue background shows the reporting period):

Country	1st	2d	3d	4th
Azerbaijan	17 Sep 2010 Baku	14 Dec 2010 Baku	TBC*	
Georgia	19 Nov 2010 Batumi	TBC*		
Kazakhstan	21 Sep 2010 Astana	10 Dec 2010 Aktau	TBC*	
Turkmenistan	12 Oct 2010 Turkmenbashi	TBC*		
Ukraine	11 Mar 10 Odessa	10 Sep 2010 Odessa	16 Dec 2010 Odessa	TBC*

\* Due to the accident of KE 02 in charge of the NWGs, the coming NWG meetings, originally scheduled for February / March 2011 will be rescheduled.

The second RWG meeting in Brussels (28 to 29 September 2011) had the following (high level) outcomes:

- increase of cooperation in the fields of maritime safety and security;
- active involvement of the Conventions (Black Sea Commission and the Teheran Convention / CASPECO) into the efforts of RWG and
- drafting of a "TRACECA Regional Action Plan" to be presented and discussed at the 3<sup>rd</sup> RWG meeting, taking place on 01 to 02 February 2011 in Istanbul. The preliminary Agenda is attached in Annex C.

To this end, SASEPOL KE 2 and KE 3 visited and actively participated at the Black Seas Days of the BSC in Trabzon end of October 2010 and KE 3 participated in another BCS meeting end of November / beginning of December 2010.

The teamleader has been communicating and exchanging ideas with BSC, the Bulgarian and the Turkish participants to the RWG. Contact with IMO has been initiated and a representative of IMO has been invited to the RWG meeting in Istanbul.

**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**

The TRACECA Regional Action Plan, as per the ToR and a delivery as an outcome of the 2<sup>nd</sup> RWG meeting has been renamed into TRACECA Regional Action Strategy (TRAS). A first draft has been circulated to the participants of the RWG. The TRAS overall objectives have been defined; the sub-objectives and concrete actions will be further identified and discussed at the RWG meeting in Istanbul. In addition, two international experts have been mobilised and currently work on the objectives and communication methodology of the TRAS.

**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 was not due in the past reporting period. This activity is subject to an addendum to the project contract, the respective changes will be effected in the coming reporting period.

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

The Communication Expert took up a full time position and was thus replaced and Mrs Emilia Postalache was appointed as new Communication Expert. Mr Alexandru Trelea was appointed as IT expert. The Communication and Visibility Plan was drafted and submitted to the EU in September 2010; It has since been approved and activities are being implemented according to this plan.

In a first effort, all existing SASEPOL project material and the SASEPOL offices were checked as to their compliance with the EU visibility requirements (templates, promotional material, etc). A catalogue of measures was implemented and the SASEPOL project complies fully with the latest EU visibility rules. The website has been redesigned and made more user-friendly. In addition, the SASEPOL website has now a mirror website on the TRACECA website. The internal communication was improved, a restricted access web-interface now serves as internal information exchange platform, where any relevant information can be accessed at any given time. The IT expert travelled to all jurisdictions, established access to the web-interface, installed and updates software and trained the NCs and / or other secretarial staff on the use of the web-interface, website and on EU visibility rules and requirements.

The second round of efforts concentrated on the promotion and publication of SASEPOL activities. Contacts with the ENPI have been established and SASEPOL events are now promoted on their mailing list and website. One press conference was held in Baku, Azerbaijan on 21 October 2010, following the implementation of the trainings course No 8. This resulted in a number of local TV clips, in the main news on Azeri TV and in a number of national and international press and newspaper reports. The first newsletter was drafted and released and nine press releases have been drafted and sent out to promote SASEPOL events.



### 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	113	238	168	
B Apperry	300	100	101	189	111	
J Ostergaard	400	100	107	238	162	
Short Term Junior	367	30	117	161	206	
Short Term Senior	2373	560	553	1457	916	
Sub-total	3846	910	991	2283	1563	
EQUIPMENT AND MATERIAL						
Sub-total						
OTHER INPUTS INCIDENTALS	1,200,441.41€	€450,000	€436,500	€594,261	€606,180	
Sub-total	1,200,441.41€	€450,000	€436,500	€594,261	€606,180	
<b>TOTAL</b>	<b>1,200,441.41€</b>	<b>€450,000</b>	<b>€436,500</b>	<b>€594,261</b>	<b>€606,180</b>	

### **3.5 Assumptions and risks**

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

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

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

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

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

There were no changes to the management structure or methodology in this reporting period.

### **3.7 Financing arrangements**

There were no changes to the financing arrangements in this reporting period.

### **3.8 Key quality/sustainability issues**

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

#### **3.8.1 Quality**

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

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



### **3.8.2 Sustainability**

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

From a wider sustainability perspective, it 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.

The RWGs and the NWG both carry solid elements of sustainability. Both the TRAS and the action plans of the NWGs go far beyond the duration of the SASEPOL project.

## 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.

The specific approaches to achieving each result required by the Terms of Reference are 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 2010 to May 2011**

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

The analytical reports were submitted to the EU. Action and transposition plans were prioritised and are now being implemented in accordance with the needs and requirements in the beneficiary countries. In particular the most recent events in Georgia, being the EU Council decision to revoke Georgian Seafarers certificates and accompanying institutional and personal changes have opened a concrete opportunity to provide tailored support. Two dedicated support packages have been drafted in close cooperation with the Georgian authorities, one on STCW and another one on the Recognised Organisations.

For the first support package, two international and one local expert have been mobilised and they have commenced their activities. The second support package on the ROs will start upon the completion of the STCW intervention.

More support packages will be drafted, based on the transposition and action plans.

#### **Resources**

These support packages will be led by the TL, supported by international and local experts as required.

#### **Comment**



At the time of drafting of this progress report, an addendum to the project contract has been initiated, where the current result No 6 will be replaced by a new result, emphasizing the implementation of action and transposition plans. Therefore, once the addendum is effective, the activities contemplated hereunder regarding the support packages, will be shifted to the new result 6. The same can be said for the action and transposition plans under activity 1.3, 2.1 and 4.2.

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

**Implementation Period: March 2010 to May 2011**

##### **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;
- provision of technical assistance if required.

During the RWG meeting in September 2010, the beneficiaries were asked (again) if they are ready to participate. KE 2 has promoted VIMSAS during his campaign of NWG meetings. In 2015 VIMSAS becomes mandatory. So far the response has been positive and Azerbaijan, Georgia and the Ukraine have all stated their intent to comply with VIMSAS in the nearest future.

Two dedicated seminars are planned VIMSAS (train the auditor) and one international expert has been mobilised to define the operational framework for VIMSAS. Additional technical assistance might be made available.

In order to prepare the beneficiary countries for VIMSAS it has been proposed the project will help them to carry out a VIMSAS Internal audit just after the VIMSAS training course. This proposition has been well received by the working groups and will start as soon as KE 2 has recovered from his accident.

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 the primary responsibility of KE 2 and of Non-Key expert for IMO matters and international conventions, Capt John Wynn, 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).**

Implementation Period: until April 2011

#### **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 international project expert (Mr Trelea) has been mobilised to 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.

#### **Status**

This activity is almost complete, the respective reports are being finalised the report covering Georgia has been submitted to the Georgian authorities for review. The action plan implementation will be supported on a priority basis.

#### **Resources**

This activity is led by the TL and an international expert has been mobilised; Mr Calin Trelea has visited all jurisdictions and is currently finalising the reports, due for submission in February 2011.

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

Implementation Period: March to May 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.



An expert will be mobilised to 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;

Dedicated training on VTS will cover the following:

- 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.

An international expert will review the VTS systems and submit a report on the state of organization and operation of VTS in the beneficiary countries.

Following the outcome of the needs assessment, two Training Courses for VTS personnel from Azerbaijan, Georgia and Ukraine, will be held in February 2011, at the Ukrainian VTS Training Centre outside Odessa.

### Resources

The VTS trainings will be conducted in February 2011, in Nikolayev Ukraine and an international expert will be deployed in March 2011.

### **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).

The trainings plan has been amended and will be implemented as now published on the SASEPOL website. Some changes might be necessary regarding dates and locations (for example training No 25 in Turkmenbashi, no date has been fixed).

#### **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**

After the implementation of nine trainings a comprehensive analysis showed a high satisfaction of the participants of the trainings about the courses contents, trainers and the trainings methodologies employed. At the same time the analysis showed that more trainees participated in the trainings than originally planned and that some trainings locations were almost twice as expensive as are others (more details of this analysis are in Appendix C).

In order to maintain the spirit of the trainings plan and the quality of the courses, the trainings plan was reviewed and two interventions will now allow efficient implementation of the trainings plan. One mitigating measure was the reduction of three trainings on VIMSAS and PCS (each) to two more comprehensive trainings on VIMSAS and PSC (each) and the other measure was that trainings locations have been moved to the cheaper locations. Overall, save as to Turkmenistan, all countries will, by the end of the project, have had a similar number of trainings in their countries. The new trainings plan was approved and issued in December 2010.



#### **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 latest 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 and KE2. 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.

In Turkmenistan, the (new) maritime administration has offered their (new) trainings facilities and one training (No. 25 on offshore structures) will be moved to Turkmenbashi.

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 the Training Expert (KE3); the trainings are organised by the Odessa office, namely by the Training Coordinator Kyril Sereda and International Experts appointed as Lead Trainer and KE 2 and KE 3 and Euroconsult MMD who have been engaged as subconsultants for the training execution.

## **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 2010 – March 2011**

#### **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 complete except for the chapter on Turkmenistan. A report has been drafted by Ib Matthiesen and it was submitted in June 2010. A local expert has been mobilised in Turkmenistan and relevant information was submitted in October 2010. This information was analysed and the Turkmen part of this report will be completed by Safety and Security Expert (KE2) with the support of a local expert upon his next visit to Turkmenistan.

Two 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, Mr. Ib Matthiesen.

### **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 – June 2011.**

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

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.

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 (April 2011) will be held to pass on skills, knowledge and tools for waste management to the other beneficiary countries. The Odessa PWMP will be presented 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.

### Status

A comprehensive round of visits took place to all model ports in the beneficiary countries and the respective reports have been submitted and are published on the SASEPOL website. The model PWM Manual for Odessa is almost completed, 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 April 2011, in Odessa. Following this training, a round of one-to-one coaching has been organised where the International Expert will travel to the other beneficiary countries and provide concrete assistance in the implementation of the (model) PWM Manual.

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

This activity is being led by a Port Waste Management Specialist (J-P Øhlenschläger). Additional resources were made available for the international expert, allowing a round of one-to-one coaching. 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 March 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;
- 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;

### Status

A comprehensive round of visits has taken place to all countries but Kazakhstan (due in February 2011). The reports are being finalised and will be submitted in February 2011. The Training Plan includes a Regional ISPS-Code Training Course, to be held in May / June 2011.

### Resources

This activity will be led by Safety and Security Expert (KE2) supported by the already mobilised international expert (Capt John Wynn) 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 has been established and the second RWG meeting took place in Brussels 28 to 29 September 2010. 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, which has been drafted and submitted to the participants of the RWG (called TRAS / TRACECA Regional Action Strategy). The RWG is composed of:

- two experts per country with specific experience in the fields of maritime safety, security and pollution control;
- representatives of the Black Sea Commission and the Teheran Convention (CASPECO);
- participants from the EC (and, for the time being SASEPOL representatives) and
- IMO, who are offered observer status.

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.

National Working Groups have been made operational in all beneficiary countries. The NWGs have been and will be used to further the objectives of this project, such as the promotion of VIMSAS (which shows first concrete results already). The NWGs are convening quarterly to review progress, discuss any

problems encountered, to discuss further activities, align efforts, etc. The outcome of the NWGs meetings will be summarized in a forthcoming dedicated report.

The modus operandi for the Regional Working Group will be further discussed and possibly finalised at the RWG meeting in Istanbul taking place from 01 to 02 February 2011, where the objectives for the RWG under the TRAS will be discussed. In addition, emphasis will be put on conveying ownership of the RWG and TRAS 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 TL, KE 2 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 delivering the objectives of the NWGs. In addition, two international experts have been mobilised and are and will be working on the TRAS (objectives, communication, etc).

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

#### **Implementation Period: March to September 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.



#### **Comment**

This activity has been pointed out by the auditors to be deleted and the resources be allocated to another result, or to replace this by a result more suitable to the overall objectives on this project. Based on this recommendation and following discussions with the EC and also appreciating recent developments in some beneficiary countries, this result is currently subject to an addendum to the contract and will be replaced by a result focusing on the implementation support of prioritised action and transposition plans.

## **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" provides 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

The Communication Plan is under implementation, press releases are drafted and released prior to SASEPOL events, the SASPEPOL website has now a mirror website on the TRACECA website and another press conference is planned following the next RWG meeting in Istanbul on 02 February 2011. The project team participated and will continue to 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, the Communication Expert and the IT Expert, 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. Coordination with other EU projects, having experience in these matters. Gain support from TRACECA secretariats	Project Team  TRACECA
Visa delays	Inability of experts or beneficiary staff to travel to meetings or missions	M	Advance planning of missions and meetings to ensure that staff have adequate time to obtain visas. Where practical, organise meetings in with less stringent visa requirements. Coordination with other EU projects and EC / TACIS delegations, having experience in these matters.	Project Team
Security constraints	Some port operations are sensitive, particularly with respect to security and port state control activities within the project. This could prevent access to facilities, people and records, preventing the project team from fully understanding the situation and leading to poor quality advice.	H	Identify and follow local requirements Plan missions well in advance Beneficiary organisations should provide appropriate access to facilities and make the project team aware of any specific constraints. Implement confidentiality memorandum.	Project Team  Beneficiary organisations
Participation of Key Stakeholders	For the project to be accessible the team need to work with and train the operational staff within the Maritime Administrations. If cannot get access to these people, we will produce little more than guidance that will sit on the shelf.	H	The project team should provide advance notice of meetings and events as well as clear Terms of Reference making clear the people required and the benefits to the administrations The administrations should make fair efforts to nominate appropriate people and afford them time to engage with the project	Project Team  Beneficiary Agencies
Language difficulties	Translation errors leading to confusion or misinterpretation of project activities or conclusions	L	Ensure that suitably qualified translators and interpreters are available for the project	Project Team
Specific characteristics of the two different seas	Generalisations are made about performance or issues leading to guidance that is inappropriate to some of the beneficiaries. In the worst case this could lead to the alienation of countries	H	Create sub-regional interaction at the Black Sea and Caspian Sea levels. Ensure that the differences are recognised in the advice the project team provides	Project Team
Support to the training	However if activities are not fully supported by the beneficiary countries there is a risk that project implementation will be	M	Ensure an early draft of the training plan is developed and circulated to the beneficiaries, providing them with opportunities to	Project Team/Beneficiary

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



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#### **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.

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
<p>RESULT 1: Support compliance with provisions of International Conventions and European legislation regarding maritime safety, security and environmental protection.</p> <p>RESULT 2. Support implementation of the relevant maritime legislative framework and international conventions, as well as the use of VTS systems in Maritime Administrations and Port Authorities.</p>	<p>TA (TA) provided. National legislation and guidelines for the implementation verified.</p> <p>TA provided. National legislation and guidelines for the implementation verified.</p>	<p>National legislation and operational arrangements compared with convention requirements and guidelines. National legislation compared with convention requirements. Inspection of VTS operations and comparison with EU standards.</p>	<p>Sufficient level of commitment of the beneficiary countries to transpose and implement effectively the international conventions and legislation;</p> <p>Sustainability in common</p>



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

Activities	Means	Cost	Risk and Assumptions
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)	IMO document "Status of IMO conventions". Review of national legislation.		Political instability in some of the beneficiary countries or in the region.
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	Technical Assistance.		Frequent administrative changes in some beneficiary countries which cause a loss of the know-how and dispersion of the professionals
Activity 1.3: Discuss and plan accession to the "Voluntary IMO Member State Audit Scheme"	Meetings with the maritime Administrations		Lack of cooperation between the beneficiary countries at the regional level.
Activity 2.1: Assess and support the rationalization of national maritime organizations, structure and procedures to implement relevant regulations (MARPOL, SOLAS/ISPS)	TA of international and short-term experts		

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and PSC MoU's)			Different legal and organisational bases of the beneficiaries' Authorities involved.
Activity 2.2: Assess needs and priorities for the use and operation of VTS systems in major national ports	Visits to the VTS systems.		
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	Meetings with the authorities in charge of VTS. TA of international and short-term experts. Visits to training institutes and meetings with training personnel.		International rules and regulations are subject to national variations and interpretations.
Activity 3.2: Conduct relevant training courses (either at national or regional levels) and support efficient transfer of know-how.		Courses and workshops.	
Activity 4.1: Support the development of relevant inspection procedures and identify best practice ports ensuring efficient PSC in each country		TA of international and short-term experts.	
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	Visits and meetings to the main ports of the beneficiary countries.	TA of international and short-term experts. Visits and meetings to the major waste management installations.	
Activity 4.3: Further assessment, identification of best practice ports and support to the implementation of ISPS Code	Visits of experts to the main ports and discussions on the port security arrangements.		
Activity 5.1: Support regional Working Groups on maritime safety and security (TRACECA/Baku initiative)	TA of international and short-term experts.		
Activity 5.2: Develop a regional Action Plan on maritime safety, security and protection of the marine environment in line with international conventions and regulations	TA of international and short-term experts.		
Activity 6.1: Elaboration of "Project Fiches" or similar documents containing specification for relevant feasibility of pre-feasibility studies.	TA of international and short-term experts.		
Activity 7.1: To provide the Administrations and interested public with information and relevant documentation related to the activities of the project	TA of international and short-term experts.		



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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 : 01.02.2011 – 31.07.2011		Prepared on 02 .02.2011						EC Consultant: Mott MacDonald – Milieu - Ramboll Danmark - Tethys Consulting			
Project objectives: To support the efficient implementation of international legislative framework and international conventions for maritime safety security and environmental protection in the Black Sea and Caspian Sea countries											
		TIME FRAME						INPUTS			
		2011						PERSONNEL		EQUIPMENT AND MATERIAL	OTHER
No	ACTIVITIES	02	03	04	05	06	07	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, study tours		X	X	X	X	X	3	15		350000
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)										50000
										<b>TOTAL</b>	486,000

## Appendix C. Outcome Trainings Analysis

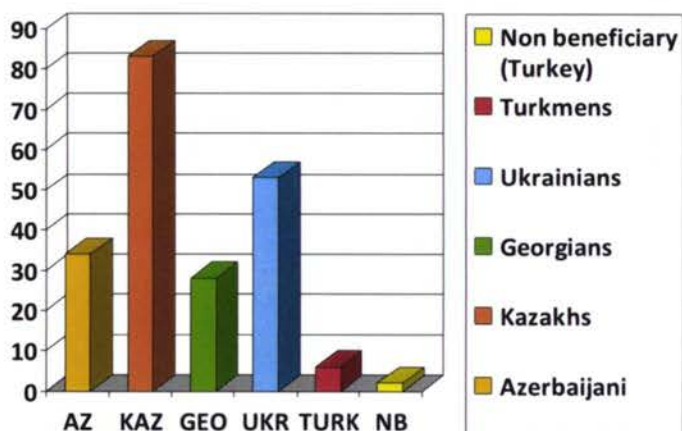
The trainings analysis was conducted in December 2010, by the Team Leader, the Deputy Team Leader and the Project Manager. This trainings analysis has been updated by the training conducted in Odessa 25 to 27 January 2011, on PSC.

The outcomes are as follows:

1. More Trainees than planned;

The originally planned number of trainees for the first 11 trainings was 154. Actual participation shows a total of 206 attendees. This is an average of more than 18 participants per training. The increase in trainees is 34% over the original plan. The reasons for the increase are: (i) more local participants than originally foreseen (ii) "gambling" on cancellations, meaning that a natural cancellation of participation was expected (typically up to 20% of the overall number) but has not materialised to this extent.

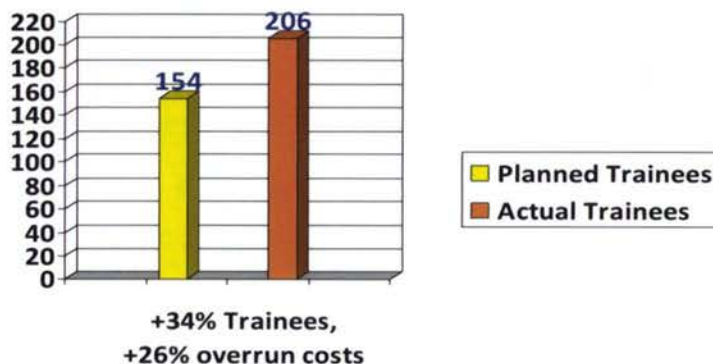
The graph below shows the participants composition.



2. Higher costs than planned;

The originally budgeted costs for the first 11 trainings was exceeded by 26%. This is (i) because of the increase in participants and (ii) because of an increase in ancillary costs (rebooking, new Visa regimes, etc). The increase in costs is less than the increase in the numbers of attendees because a percentage of additional attendees were local and did not require flights and many times also not overnight stays.

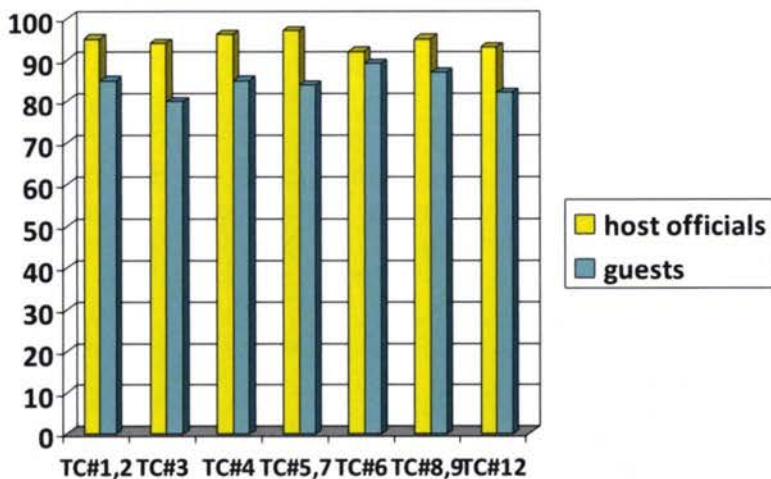
The graph below shows the increase in trainees and the associated cost overruns.





3. Indicator for Trainings;

The level of satisfaction of the trainings is very high. The graph below shows the overall satisfaction of the participants with the trainings, trainers and trainings material.

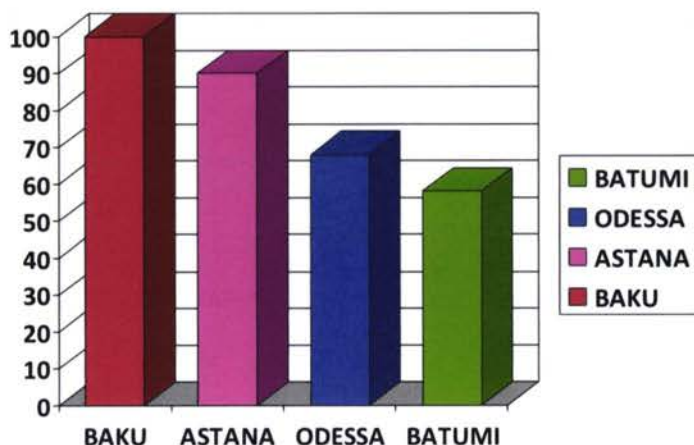


No reason could be found why there appears a higher level of satisfaction for host country officials.

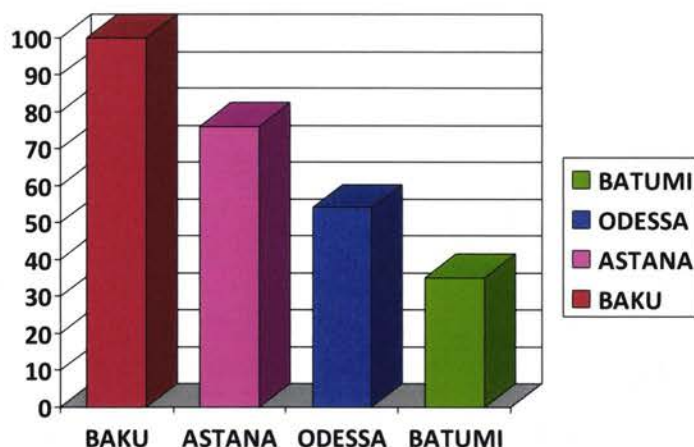
4. Cost Comparison;

In order to allow for targeted intervention, the costs of the different trainings locations were identified, on a "total" and "per participant" basis. This is shown by the two graphs below.

Below is a comparison in percentage of the most expensive trainings location (100%) and the other locations as "total costs" (Astana includes Aktau).



The graph below shows a comparison of costs per participant; again with the most expensive location as 100% (Astana includes Aktau).



#### 5. Measures

It is thus clear, that Baku and Astana are almost twice as expensive as are Batumi and Odessa. In addition (and as shown by the graph below) the distribution of trainings locations was uneven. At the same time, the level of satisfaction is very high and thus, any measures must not affect the quality of the trainings implementation.

As a first measure, trainings were thus relocated to cheaper locations (Odessa and Batumi) so that there is now an even distribution of trainings locations among Batumi, Odessa, Baku and Astana/Aktau.

The table below shows the trainings locations before and after the implementation of this first measure.

Location	Original TP	Revised TP	Change
Azerbaijan	7	4	-3
Georgia	2	4 (1)*	+2
Kazakhstan	6	4	-2
Turkmenistan	0	1*	+1
Ukraine	6 (2)**	6 (2)**	/
Total	23	21***	-2***

\* This concerns Training No 25, which is planned to be moved to Turkmenbashi.

\*\* The trainings on VTS can only be conducted in Nikolayev, Ukraine, since this is the only VTS trainings facility in the beneficiary countries.

\*\*\* The reduction of to trainings is a result of the merger of 3 VIMSAS and 3 PSC trainings into 2 each.



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



The financial effect of the first measure was not sufficient to secure implementation of the rest of the trainings plan, so a second measure was indentified. This was the reduction of 3 VIMSAS training and 3 PSC trainings to 2 more comprehensive trainings each.

## Appendix D. RWG Meeting Istanbul Agenda



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



Развитие управления морской охраной и безопасностью, предотвращение загрязнения с судов для Черного и Каспийского морей

Regional Action Programme 2006: Project EuropeAid/127221/C/SER/Multi  
Tel: + 380487972670(79), Fax: + 380487972670 E-mail: [falko.sellner@mottmac.net.ua](mailto:falko.sellner@mottmac.net.ua)

### Agenda for RWG Meeting Istanbul

#### SASEPOL 3rd RWG Meeting

Time: 01 - 02 February 2011.

Location: Hotel Crown Plaza, Istanbul Old City, Ordu Cad Laleli Eminönü, Istanbul, +90 212 444 9333 ([www.crowneplazaistanbul.com](http://www.crowneplazaistanbul.com)).

Participants: EC, TRACECA  
SASEPOL beneficiaries  
BSC, CASPECO  
SASEPOL

#### AGENDA SASEPOL REGIONAL WORKING GROUP

DAY 1 "RWG Formal Issues"		
Time	Topic	Presenter
09.00 – 09.30	Registration	
09.30 – 10.00	Opening of RWG Introduction	Seçil Özyanik, TRACECA Turkey Roel Hoenders, EC
10.00 - 10.30	Turkeys Experience from the Paris MOU black to white list.	Azfer Arslan, USec Maritime Affairs, Turkey
10.30 – 11.15	Update on EU policy: - Maritime safety; - Maritime security; - Pollution prevention; Discussion.	Guiseppe Russo, EMSA
11.15 – 11.30	Coffee break	
11.30 – 12.00	- Review of SASEPOL progress;	Falko Sellner, SASEPOL TL



	- Introduction of TRACECA (Transport Corridor Europe-Caucasus-Asia) Regional Action Strategy (TRAS).	Julie Hubertz, SASEPOL Expert
12.00 – 12.30	RWG/TRAS Modus Operandi; discussion and decisions: <ul style="list-style-type: none"> <li>- Definition of sub objectives;</li> <li>- Nature of intervention (consultative to recommendatory);</li> <li>- Information pool/exchange platform;</li> <li>- Funding of RWG/implementation of TRAS.</li> </ul>	Falko Sellner, SASEPOL TL
<i>12.30 – 14.00</i>	<i>Lunch Break</i>	
14.00 – 14.45	Examples of international cooperation in the field of maritime security and safety (HELCOM, lessons learned, etc.). Discussion	Capt John Ostergaard, SASEPOL KE 3
14.45 – 15.15	PSC in the Black Sea	Capt Yuce, BS MoU
<i>15.00 – 15.30</i>	<i>Coffee Break</i>	
15.30 – 16.00	Activities of EC Delegation in Turkey.	Mr Goktug Kara, EC
16.00 – 16.30	Concluding remarks / end day 1. Group picture	Roel Hoenders, EC
	<i>Dinner [tbc]</i>	

<b>DAY 2 “RWG Operational Issues”</b>		
<b>Time</b>	<b>Topic</b>	<b>Presenter</b>
<i>09.00 – 09.15</i>	<i>Registration</i>	
09.15 – 10.30	Reports on latest developments in maritime safety and security and pollution prevention from jurisdictions and conventions (15 min. each) and Identification of areas of intervention for RWG/TRAS: <ul style="list-style-type: none"> <li>- Azerbaijan;</li> <li>- Bulgaria;</li> <li>- BSC “Environmental Safety Aspects of Shipping”;</li> <li>- CASPECO;</li> <li>- Georgia;</li> </ul>	Country Representatives
<i>10.30 – 10.45</i>	<i>Coffee break</i>	
10.45 – 12.00	Continuation (of above): <ul style="list-style-type: none"> <li>- Kazakhstan;</li> <li>- Romania;</li> <li>- Turkey;</li> <li>- Turkmenistan;</li> <li>- Ukraine.</li> </ul>	Country Representatives
12.00 – 13.00	Round Table discussion: <ul style="list-style-type: none"> <li>- Review of sub-objectives for TRAS;</li> <li>- Drafting of closing memorandum ;</li> </ul>	Roel Hoenders, EC
13.00	Concluding remarks / signing of closing memorandum.	Roel Hoenders, EC Giuseppe Russo, EMSA

Development of common security management, maritime safety  
and ship pollution prevention for the Black Sea and Caspian Sea  
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		Seçil Özyanik.
13.30	Lunch	
<i>End of RWG</i>		

Legend:

- NWG National Working Group
- RWG Regional Working Group
- SCM Steering Committee Meeting
- TBC to be confirmed