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Contract number : 2012/308-311

TRACECA Maritime Safety and Security II

Beneficiary Countries: Armenia, Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, Turkmenistan, Ukraine, Uzbekistan



Mission Report

ISM Seminar, Sofia

10 – 12 November 2014

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TRACECA Maritime Safety and Security II

Contract number: 2012/308-311

Beneficiary Countries: TRACECA Region

	Name	Date
Written by:	Stephan Assheuer	15.12.2014
Approved by:	Albert Bergonzo	

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Summary

Name of the Expert:	Stephan Assheuer
Expert position:	Key Expert
Mission number:	
Mission start date:	10.11.2014
Mission end date:	12.11.2014
Number of working days:	3
Mission objective:	<p>The main objectives of the seminar were to understand</p> <ul style="list-style-type: none">• The requirements of the ISM Code, its interpretation and application;• The process of certification within the scope of the ISM Code;• The basic audit technique in conducting ISM and management system audits;• The mandatory rules and regulations and applicable codes, principal guidelines and standards recommended by the IMO, administrations, classification societies and maritime industry organisations and the• Exchange of experience between the participants.
Main activities:	Regional Seminar
Main results:	Participants understood the objective and the history of the ISM Code, the link between the SOLAS Convention and the ISM Code and learned the content and the meaning of the different sections of the Code. They learned the basic ideas and techniques used for audit with a focus on Flag State requirements and discussed the implementation of the ISM Code in EU Member States in the Black Sea region.
Programme of next mission:	n/a
Annexes (documents produced during the mission):	Agenda; List of Participants; Work Group Results; Presentations



Introduction

Following the capsizing of the HERALD OF FREE ENTERPRISE in 1987 the IMO introduced the ISM code as a Quality Management System for ships and ship management companies in order to address human element aspects in ship safety. The sinking of the ESTONIA in 1994 was followed by a European initiative introducing the ISM code as mandatory instrument on passenger ferries at an accelerated schedule compared to the original IMO schedule.

Since then the ISM Code has become an increasingly important instrument to manage maintenance and safety topics on board ships.

The main objectives of the seminar were to understand

- The requirements of the ISM Code, its interpretation and application;
- The process of auditing and certification within the scope of the ISM Code, on-board as well as in the company;
- The basic audit technique in conducting ISM and management system audits;
- The mandatory rules and regulations and applicable codes, principal guidelines and standards recommended by the IMO, administrations, classification societies and maritime industry organisations and the
- Exchange of experience between the participants.

The seminar aimed at persons involved in the ISM audit and certification process at maritime administrations of the partner countries of the TRACECA Maritime Safety and Security II Project, a list of participants is attached as Annex 1. Besides the aspects on auditing the ISM Code, the agenda of the seminar addressed also topics related to the EU approach and the influence of the ISM implementation of the quality of a flag States fleet, the agenda is attached as Annex 2 to this document.

Speaker

The seminar was moderated by key expert Stephan Assheuer acting also as speaker on the third day. The main speaker at the seminar was Mr Jörg Schwinning, an expert working in the ISM field since the early beginnings of the system with more than 20 years experience as ISM lecturer and trainer.

As additional speakers the following experts from Bulgaria and Romania presented at the seminar their experience of implementing the ISM regime with a particular focus on EU aquis:

- Capt. Alexander Iliev, Chief Inspector of the Bulgarian Maritime Administration in Burgas
- Mr. Constantin Raicu, Head of ISM ISPS Department of the Romanian Naval Authority



Programme

Day 1 and Day 2, 10/11 November 2014

On behalf of the project Stephan Assheuer welcomed the participants and introduced the agenda and programme of the seminar. The first two days were assigned to the International Safety Management Code, its history, its regulations and aspects of auditing an ISM system.

Mr Schwinning briefly introduced the background and history of the ISM regime and explained the fundamentals of a Quality Management System and ISM. He then went section by section through the regulations, for each section practical examples were presented and discussed. On selected topics small groups were tasked to discuss the topics and develop respective positions. The results of these group work sessions are shown in annex 3. Finally the links, synergies and differences between the ISM regime and other management approaches were discussed before concluding the very detailed excursion through ISM by some aspects related to work of Administrations. The presentation delivered by Mr. Schwinning is attached as Annexes 4.

Day 3, 12 November 2014

The third day of the seminar focused on aspects implementation of ISM by an Administration and implications on the work of an Administration. The day started with a presentation by Mr. Assheuer on Obligations of Administrations related to ISM, looking at obligation emanating from the different IMO instruments (annex 5). In a second presentation Mr. Assheuer then discussed the implications of ISM on the quality of a state's fleet (annex 6) emphasising the role and responsibility of the company for the quality of the fleet and that the ISM regime provides the means directly to address this role. As introduction into the presentation of experience made by the European Black Sea coastal States Bulgaria and Romania, Mr. Assheuer highlighted the EU aquis related to ISM (annex 7) before Capt. Alexander Iliev from the Bulgarian Maritime Administration in Burgas and Mr. Constantin Raicu from the Romanian Naval Authority shared their experience in implementing ISM under EU aquis with the participants (annexes 8 and 9).

The last topic of the day and the seminar discussed the various options and levels of delegation of authority to recognized organisations (RO) and the consequences. In his presentation Mr. Assheuer highlighted in particular the problem of communication in case ISM services and other statutory survey and certification services are provided by different ROs (annex 10). The presentations are attached as Annex 5 to 10.



Summary

The seminar introduced the ISM Code, the system and the specific requirements as well the aspects related to audits to a level of knowledge needed for an internal auditor. Options and obligations of maritime administrations related to SOLAS Chapter IX and the ISM Code were discussed including aspects related to the delegation of authority. The participants could share experience with representatives from the EU Member States Bulgaria and Romania.

Annexes

Annex 1, Agenda

Annex 2, List of Participants

Annex 3, Outcome of group work day

Annex 4 to 10, Presentations (separate documents)



Annex 1

**TRACECA Maritime Safety and Security II Activity 5.1
ISM Seminar, Sofia
Sofia, Bulgaria, 10 – 12 November 2014**

AGENDA

**Day 1
Monday 10 November 2014**

09:30 / 10:00	Registration and welcome	
10:00 / 10:30	Opening address, introduction of participants and speakers, outline of the workshop, logistics	Mr. Stephan Assheuer
10:30 / 11:00	Coffee break	
11:00 / 12:30	Introduction <ul style="list-style-type: none">• historical background• reasons for ISM• development of the ISM Code• objectives and principles of ISM ISM - a Management System	Mr. Jörg Schwinning
12:30/14:00	Lunch	
14:00 / 15:30	The ISM Code <ul style="list-style-type: none">• elements of ISM• errors and their causes• risks and risk management• details of requirements	Mr. Jörg Schwinning
15:30/ 16:00	Coffee break	
16:00 / 17:30	Implementation of ISM requirements, particular techniques, Session 1	Mr. Jörg Schwinning



Day 2
Tuesday 11 November 2014

09:00 / 10:30	Implementation of ISM requirements, particular techniques, Session 2	Mr. Jörg Schwinning
10:30 / 11:00	Coffee break	
11:00 / 12:30	Implementation of ISM requirements, particular techniques, Session 3	Mr. Jörg Schwinning
12:30 / 14:00	Lunch	
14:00 / 15:30	Synergies with other management disciplines and standards <ul style="list-style-type: none">• quality management acc. to ISO 9001• environmental management acc. to ISO 14001• occupational safety and health acc. to OHSAS 18001• energy management acc. to ISO 50001• food safety and HACCP acc. to ISO 22000• ISPS• MLC 2006	Mr. Jörg Schwinning
15:30 / 16:00	Coffee break	
16:00 / 17:00	Certification and enforcement <ul style="list-style-type: none">• Certificates• auditing of ISM• port state control	Mr. Jörg Schwinning
17:00 / 17:30	Conclusions of day one and two	Mr. Stephan Assheuer

Day 1 and Day 2 will contain group work sessions.



Day 3
Wednesday, 12 November 2014

09:00 / 9:45	Obligations of Administrations related to ISM <ul style="list-style-type: none">• ISM in the IMO Member State Audit Schemes• Latest developments at the IMO	Mr. Stephan Assheuer
9:45 / 10:30	Implications of ISM on the quality of the fleet	Mr. Stephan Assheuer
10:30 / 11:00	Coffee break	
11:00 / 12:30	ISM in the EU regulatory framework	Mr. Stephan Assheuer
	Experience of EU Members States with the implementation of ISM under EU law: Presentation by Bulgaria	Capt. Alexander Iliev
12:30 / 14:00	Lunch	
14:00 / 14:45	Experience of EU Members States with the implementation of ISM under EU law: Presentation by Romania	Mr. Constantin Raicu
14:45 / 15:30	Delegation of ISM responsibilities to recognized organisations	Mr. Stephan Assheuer
15:30 / 16:00	Coffee	
16:00 / 16:30	Final remarks and conclusion of the workshop	Mr. Stephan Assheuer



Annex 2

TRACECA Maritime Safety and Security II - Activity 5.1
Training for ISM internal Auditors, Sofia, Bulgaria, 10-12 November 2014

1.	Invitee	Position and Organisation	Telephone	e-mail	Post address	Signature
2.	Mr. Rashad Karimov	Advisor of Control and Ship Standards and Licensing Department of the State Maritime Administration of the Republic of Azerbaijan	+99455559944 +994124974405 Fax: +994124974406	rashad-kerimov@mail.ru r.kerimov@ardda.gov.az	Khanlar street, 2B, Baku, 1003, Azerbaijan Republic	
3.	Mr. Tarlan Huseynov	Advisor of Control and Ship Standards and Licensing Department of the State Maritime Administration of the Republic of Azerbaijan	+994557760404 +994124974405 Fax: +994124974406	tarlan.huseynov@yandex.ru	Khanlar street, 2B, Baku, 1003, Azerbaijan Republic	
4.	Mr. Tornike Karalashvili	Active Head of Flag State Control Division, LEPL Maritime Transport Agency	+995 595 115 147 Fax: +995 422 27 39 29	t.karalashvili@mta.gov.ge	23, Ninoshvili Str. Batumi City, 6000, Georgia	
5.	Ms. Miranda Mukhashavria	Chief Specialist, LEPL Maritime Transport Agency	+995422274925 Fax: 995 422 27 39 29	m.mukhashavria@mta.gov.ge	23, Ninoshvili Str. Batumi City, 6000, Georgia	
6.	Ms. Kristina Rzgoeva	Head of the Legal Department, LEPL Maritime Transport Agency/ Ministry of Economy and Sustainable Development of Georgia	+995577528325 Fax: +995422273929	K.Rzgoeva@mta.gov.ge	23, Ninoshvili Str. Batumi City, Georgia	



7.	Mr. Arlan Zakaryanov	Head of Water Transport Division Ministry of Investments and Development of the Republic of Kazakhstan	+77172243801 Fax: +77172242528	a.zakaryanov@mtc.gov.kz	Kabanbay Batyr Street, Astana, Republic of Kazakhstan
8.	Mr. Zhandos Almenov	Senior Expert of Water Transport Division Ministry of Investments and Development of the Republic of Kazakhstan	+77172243801 Fax: +77172242528	zh.almenov@mid.gov.kz	Kabanbay Batyr Street, Astana, Republic of Kazakhstan
9.	Mr. Andrei Ciornii	Consultant of the Legal Department of the Ministry of Transport and Road Infrastructure of Republic of Moldova	+37322238687 Fax: +37322546564	andrei.ciornii@mtid.gov.md	162, Stefan Cel Mare Boulevard, Chisinau, Republic of Moldova
10.	Mr. Igor Zaharia	Chief of Naval Transport Division, Ministry of Transport and Road Infrastructure of Republic of Moldova	+37322820714 Fax: +37322731396	igor.zaharia@mtid.gov.md	162, Stefan Cel Mare Si Sfint Ave, Chisinau City, 2004, Republic of Moldova
11.	Mr. Fatih Yilmaz	Flag/PSC Officer, Ministry of Transport, Maritime Affairs and Communication	+90 312 203 10 00 +90 312 203 34 39 Fax: +90 312 231 33 06	fatih.yilmaz@udhb.gov.tr	Hakki Turaylic Str. No:5 Emek Cankaya, Ankara 06338 Turkey



12.	Mr. Ramazan Sahin	Expert (technical), Ministry of Transport, Maritime Affairs and Communication	+90 312 203 10 00 +90 312 203 34 39 Fax: +90 312 231 33 06	ramazan.sahin@udhb.gov.tr	Hakki Turaylic Str. No:5 Emek Cankaya, Ankara 06338 Turkey	
13.	Mr. Gurbandurdy Hajyurdyyev	Harbour Master of the Turkmenbashi International Sea Port, the State Administration on Supervision of Navigation in Turkmenistan	+933 243 20799 Fax: +993 243 22052	portnadzor@online.ru	Chagadam, 8A Street, Turkmenbashi, Turkmenistan	
14.	Mr. Bayrammamet Soltan-mammedov	ISM PSC Inspector, Port State Control, the State Administration on Supervision of Navigation in Turkmenistan	+933 243 20799 Fax: +993 243 22052	gosnadzor@mail.ru	Chagadam, 8A Street, Turkmenbashi, Turkmenistan	
15.	Mr. Sergii Kazantsev	Head of the Sector for Coordination of Territorial Divisions, State Inspectorate of Ukraine for Maritime and Inland Water Transport Safety.	+380443514432 Fax: +380443514475	safety_control@ukr.net	14, Peremohy Ave, 01135, Kyiv, Ukraine	
16.	Mr. Constantin Raicu (SPEAKER)	Head of ISM ISPS Department of the Romanian Naval Authority	0040 241 61 61 24 ext 1183 00 241 61 61 04 ext 1183 Fax: 0040 241 61 62 29	craicu@rna.ro	Incina Port, Constanta, Romania	
17.	Mr. Hristo	Chief Inspector of the	+359 52 68 49 40	hristo.nachev@marad.bg	5, Primorski Blvd,	

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	Antonov Nachev	Bulgarian Maritime Administration	Fax: +359 52 68 49 39		Varna, Bulgaria	
18.	Capt. Alexander Iliev (SPEAKER)	Chief Inspector of the Bulgarian Maritime Administration in Burgas		alexandar.iliev@marad.bg	Varna, Bulgaria	
19.	Mr. Stephan Assheuer	Key Expert, TRACECA Maritime Safety and Security II Project	+380442355344	assheuer@ntu.eu	119, Saksaganskogo Street, 01032, Kiev, Ukraine	
20.	Mr. Jörg Schwinning	Expert, TRACECA Maritime Safety and Security II Project	+380442355344	info@schwinning.de	119, Saksaganskogo Street, 01032, Kiev, Ukraine	
21.	Ms. Anzhela Markova	Project Assistant	+380442355344	tracecamar@ntu.eu	119, Saksaganskogo Street, 01032, Kiev, Ukraine	
22.	Interpreter 1					
23.	Interpreter 2					



Annex 3

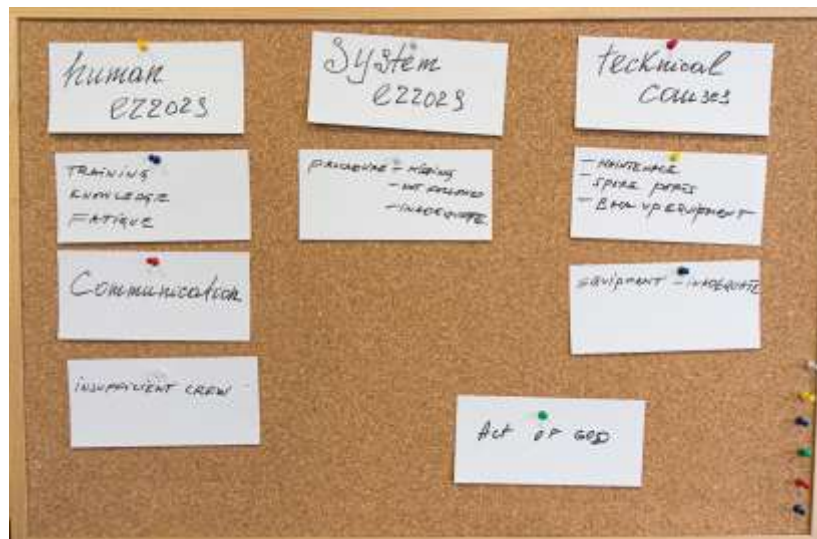
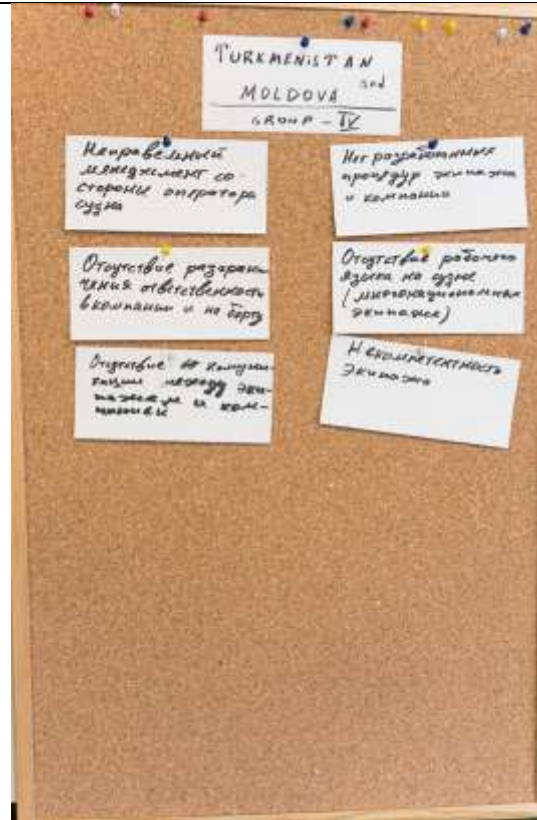
What are the causes for errors and accident (see also slide 31 annex 4)?





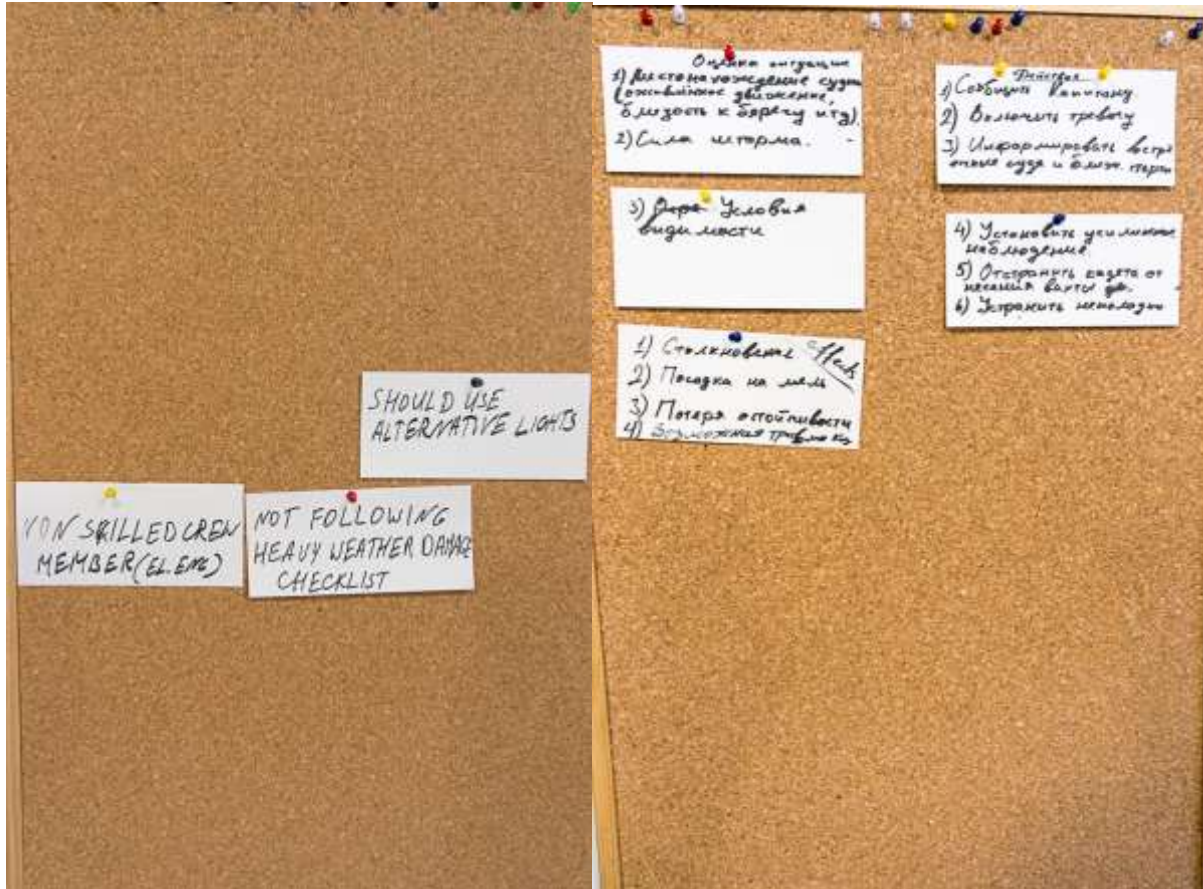
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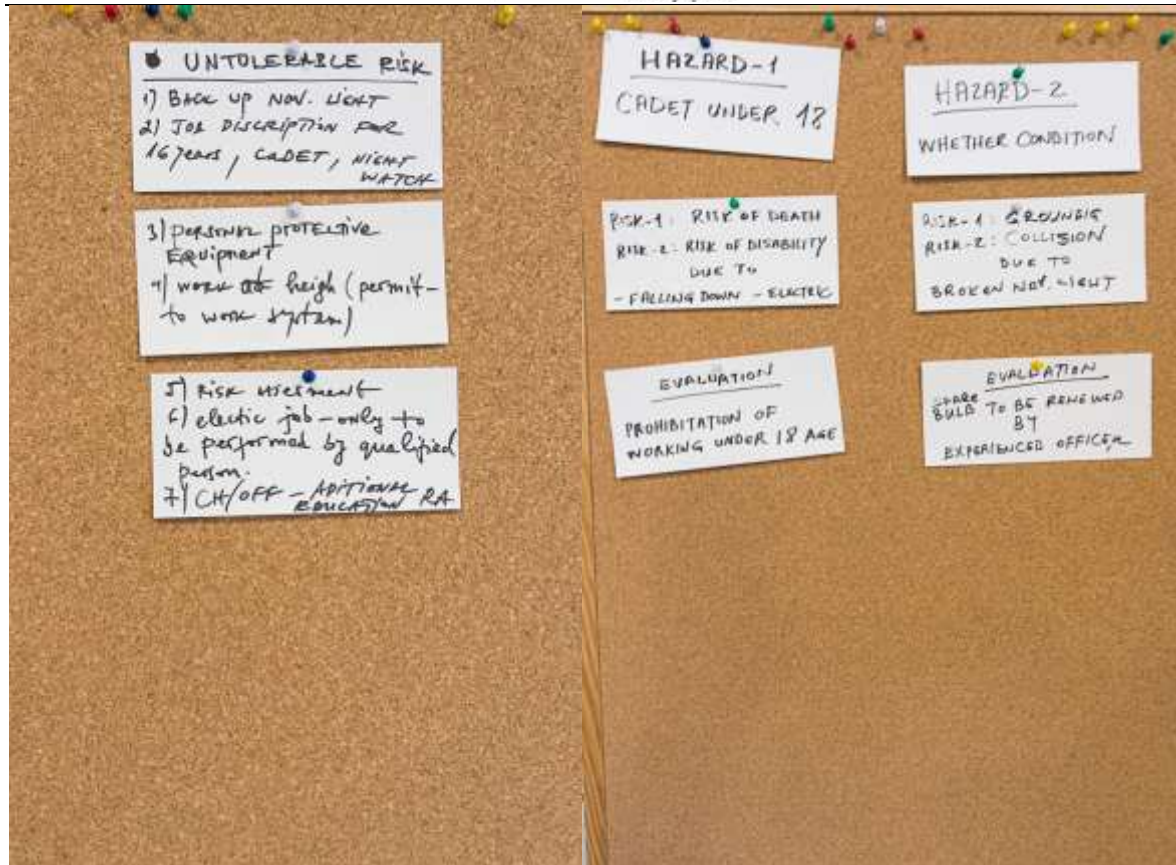
How would you assess the risk (see also slide 39 Annex4)?





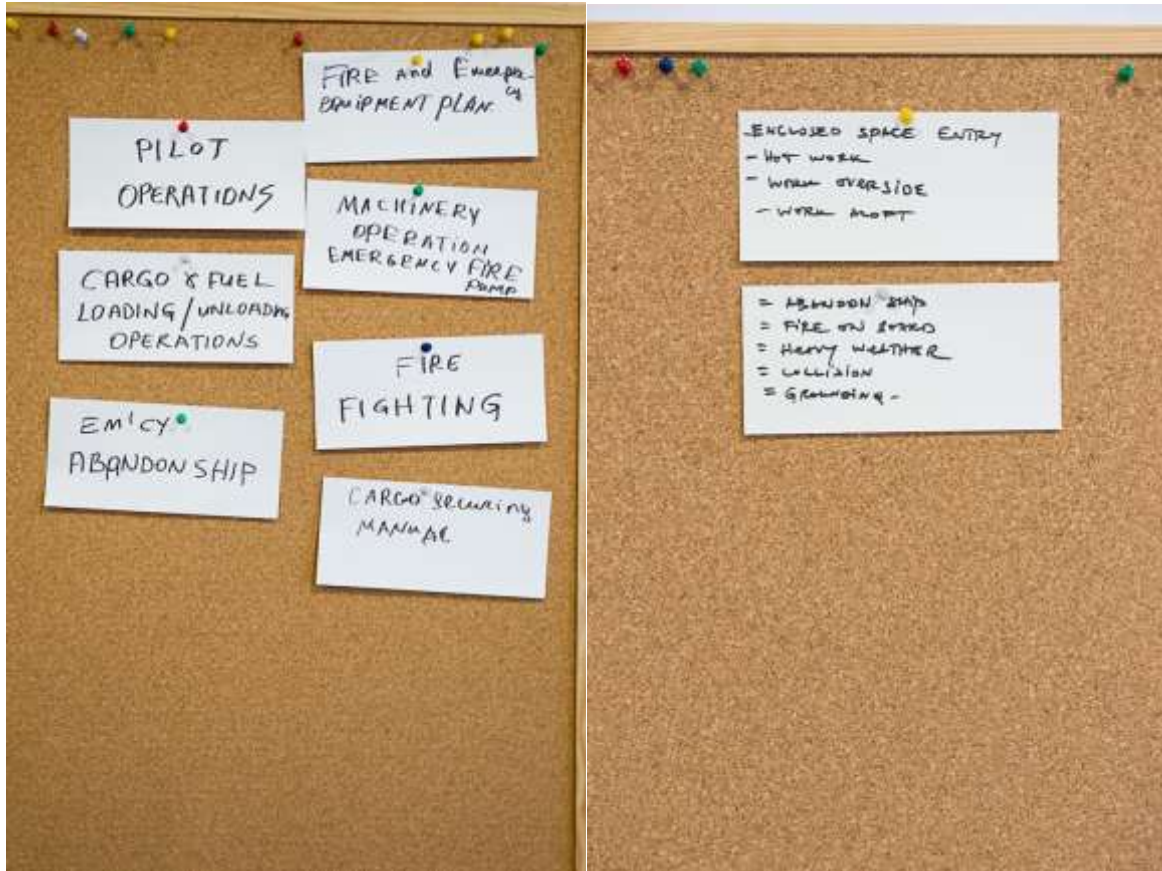
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What are key shipboard operations (see also slide 88, annex 4)?





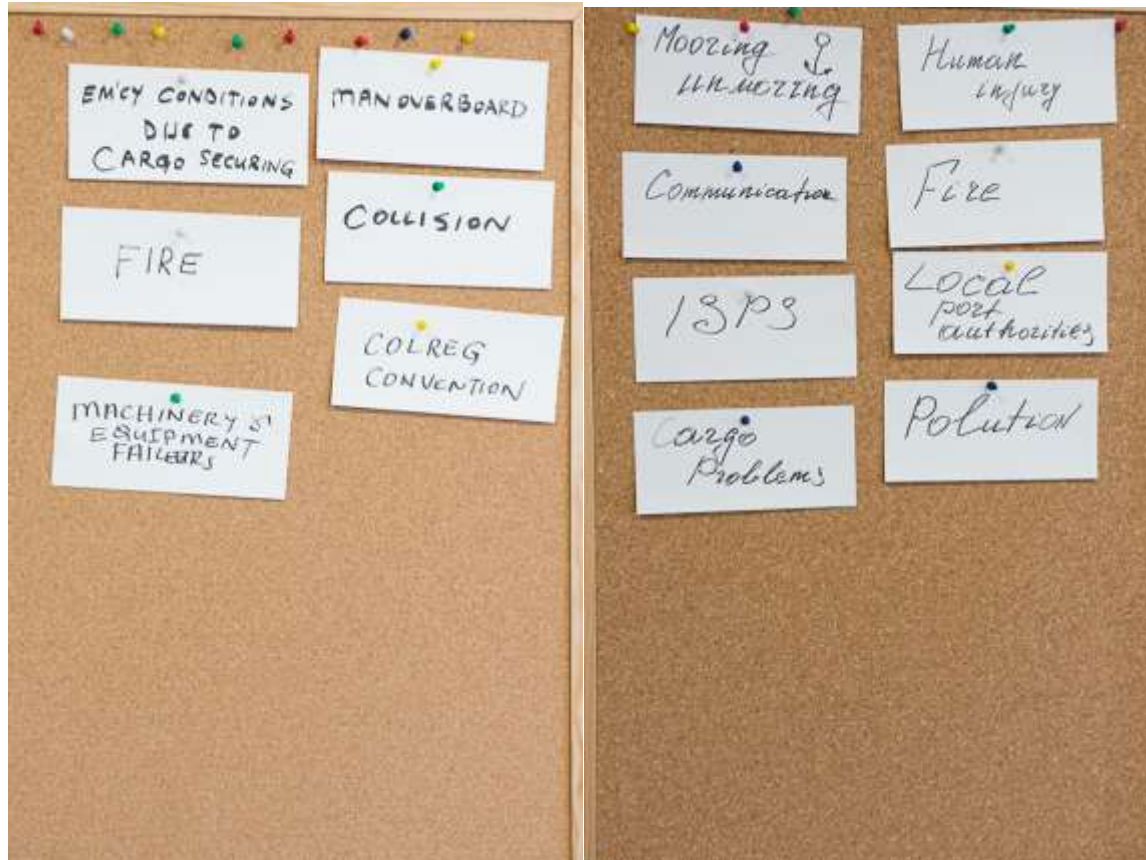
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What emergencies may happen (see also slide 94, annex 4)?





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Annex 4 (separate document)

International Safety Management

Annex 5 (separate document)

Obligations of Administrations related to ISM

- ISM in the IMO Member State Audit Schemes
- Latest developments at the IMO

Annex 6 (separate document)

Implications of ISM on the quality of the fleet

Annex 7 (separate document)

ISM in the EU regulatory framework

Annex 8 (separate document)

Experience of EU Members States with the implementation of ISM under EU law,
Presentation by Bulgaria

Annex 9 (separate document)

Experience of EU Members States with the implementation of ISM under EU law,
Presentation by Romania

Annex 10 (separate document)

Delegation of ISM responsibilities to recognized organisations