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TRACECA Maritime Safety and Security II

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



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1. Executive Summary

The project TRACECA Maritime Safety and Security II – hereafter TRACECA Maritime, launched by the European Commission in January 2013 is a follow-up on the “Development of common security management, maritime safety and ship pollution prevention for the Black Sea and the Caspian Sea (SASEPOL)” that was implemented from 31 July 2009 to 31 December 2011. TRACECA Maritime also follows up on the results of the “Environmental monitoring of the Black Sea basin: Monitoring and Information Systems for reducing oil pollution (MONINFO)” Project implemented between 2009 and 2011 by the Commission on the protection of the Black Sea against pollution (Black Sea Commission).

The overall objective of the project is to support the approximation of EU legislation and further ratification and implementation of international conventions in the domains of maritime safety and security as well as improving the level of quality and coordination of maritime administrations in the Black Sea and the Caspian Sea partner countries aiming to make shipping safer, more secure and environment friendly.

The present report documents the activity of the TRACECA Maritime technical assistance project during the second six months of its implementation.

The report provides information on the project and elaborates on the third six-month period. This paper documents the plans of the project team until the end of the project in the context of situation with local stakeholders and cooperation with project partners and target groups. This planning is presented with the perspective of the objectives of the project and lists the identified missions and events. The current paper delivers an overview on the country based activities aimed at the results of each particular component.

The document provides an outline of planning activities for the next reporting period.

The report explains the overall objective of the current project contributing to an increased performance of maritime administrations and fostering regional cooperation in the TRACECA region. This document details the project approach proposed to the partners: adhering to a common objective whilst keeping in mind the specific situation of each country in order to promote quality shipping, compliance with international obligations and approximation with EU legislation. This method of implementation encourages interactivity and allows for an increased empowerment of the project’s results by the beneficiaries.

The period reported under this progress report has seen a strong increase in regional and national activities. All project's component have been impacted. In terms of coordination, an updated perspective on implementation of regional coordination has been defined, and national groups have started their work. Flag State Performance has been at the core of the project's efforts since the beginning and during the reporting period has been the topic of two regional events and the main priority of the national workgroups, declined according to each beneficiary's priority. Support to preparation of the IMO Member State Audit Scheme

(IMSAS) has also been a focus of this component. Activities related to Traffic Surveillance have been subject to a contract addendum and transferred to the European Maritime Safety Agency. The first activities on Protection of the Marine Environment, port reception facilities, have started. This reporting period also saw changes in the perimeter of the project's activities related to the Human Element, with an increased emphasis on implementation of the ILO Maritime Labour Convention, 2006 (ILO MLC, 2006). Following the success of the first regional workshop on Maritime Security, national training and awareness-raising activities are being implemented. Material for Communication has been designed, and the project's web page on the TRACECA website is being updated regularly. All project's activities support the implementation of the TRACECA Maritime Strategy.

It is important to note that during the various missions in the field a high level of cooperation with the national authorities is experienced by the experts. This is one of the necessary conditions to achieve concrete results and advance towards the fulfilment of the objectives of the project, and which will allow the partners and the team to progress in confidence.

2. Project Synopsis

Project Name:

TRACECA Maritime Safety and Security II

EuropeAid/133051/C/SER/multi

Contract number : 2012/308-311

Beneficiary countries:

Direct: Armenia, Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Moldova, Tajikistan, Turkmenistan, Ukraine and Uzbekistan;

Indirect: Bulgaria, Romania and Turkey.

Overall objectives:

The TRACECA Maritime Safety and Security II project is a follow-up on the results of the “Development of common security management, maritime safety and ship pollution prevention for the Black Sea and the Caspian Sea (SASEPOL)” and of the “Environmental monitoring of the Black Sea basin: Monitoring and Information Systems for reducing oil pollution (MONINFO)” Projects. In this regard, the overall objective of the project is to support the further ratification and implementation of international maritime safety and security conventions as well as improving the level of quality and coordination of maritime administrations in the Black Sea and the Caspian Sea partner countries aiming to make shipping safer, more secure and environment friendly.

Specific objectives

- Strengthening the regional coordination between the EU and partner countries, and the countries themselves, in the framework of maritime safety and security.
- Monitoring of the flag performance and provision of dedicated assistance to maritime administrations to overcome the impediments identified by the Voluntary IMO Member State Audit Scheme (VIMSAS); reinforcement of port State control capacity both in terms of procedures and training of port State control officers.
- Enhancing the regional cooperation in the field of vessel traffic monitoring and reporting in order to improve maritime safety and to reduce maritime pollution.
- Reduction of illegal waste disposal, pollution and emissions related to maritime transport.
- Increasing the qualifications of maritime personnel.
- Maintaining a secure shipping environment by proper implementation of the International Ship and Port Facility Security (ISPS) Regulations.
- Proper dissemination of the project results.

Expected results

1. Improved level and coordination of maritime administrations
2. Improved performance of the partner countries on the Paris Memorandum Black and Grey lists
3. Reduced maritime pollution caused by ships
4. Better information available regarding vessel movements and increased sharing of data between neighbouring countries
5. Better secured ship and port facilities and enforcement of related measures.

Activities:

Component 1 Regional coordination

One of the differences between a bilateral and a multilateral project such as TRACECA Maritime Safety and Security II is that in a regional project the total ought to be superior to the sum of the parts. However, results in this regard will show only if the activities are implemented in a coordinated manner. For this reason, this component aims at promoting a unified approach, regionally, for the national work achieved with each partner, and support existing efforts within the framework of TRACECA. These three elements are covered in the following activities:

Activity 1.1 Regional Working Group

The purpose of the Regional Working Group is to assess progress made and project's achievements, put the project into perspective, exchange with stakeholders on its adequacies with the partners' needs, reaffirm the relevance of objectives and refine project implementation.

Activity 1.2 Support to National Working Groups

The National Working Groups are supported by the project with the purpose of fostering consistency in the regional approach, build on the assessment phase by determining priorities and defining action plans monitored during the project's framework. Through the National work groups, partners participate to the overall implementation of the TRAS. Group participants are national officials in charge of maritime safety, security and protection of the marine environment. A representative from the National TRACECA Secretariat is invited to participate.

Activity 1.3 Contribution to the implementation of the TRAS

The TRACECA Regional Action Strategy (TRAS) on Maritime Security, Safety and Environmental Protection for the period up to 2021 points out the main directions of collaboration on maritime security, safety and environmental protection between the Participating States. The Strategy is considered as a general framework for the cooperation of the Caspian and Black Sea countries in the field of maritime transport with particular focus on maritime safety, security and environmental protection. Project's activities

participate to the support of the Strategy, where relevant. The workgroups ensure a unified approach is implemented throughout the region, whilst taking into consideration the individual priorities of each beneficiary. Components related to effective implementation of international maritime conventions in terms of Flag State Performance, Protection of the Marine Environment and Human Element are fully in line with the objectives set by the Strategy. Project's activities correspondence with TRAS priorities are detailed under each applicable activity.

Component 2: Flag State implementation

Obligations of Flag States

As a consequence of ratification of international instruments a number of obligations are to be dealt with by Flag states. The results of port State control inspections, and of statistics and anonymized data from the voluntary Audits carried out by the IMO, reveal the difficulties flag States have in surveying ships flying their flags and the insufficient monitoring of recognized organizations for duties that have been delegated. In order to strengthen the beneficiaries' capacity to perform their duties under the EU and international regulations, the project provides assistance in the form of regional and national training sessions, national action plans and studies based on the results of previous projects and updated assessments.

Activity 2.1: Strengthening the models for Flag State administrations, including the establishment of a quality system (TRAS priority action 4)

In recent years the scope of duties for maritime Administrations has broadened significantly on the one hand through new international conventions developed primarily by the International Maritime Organization as well as by the International Labour Organization and on the other hand through technical developments in shipping industry as per public expectations. In order to adequately cope with these requirements, maritime Administrations need to review their setup.

In the initial phase of the project, wherever relevant, GAP analyses and reviews have been conducted, the exact scope of each having been adapted to the specific situation of each beneficiary. Following this initial step, workgroups have been set up on an ad hoc basis.

Project's activities in improvement of flag State performance have to be viewed in the perspective of the institutionalization of the IMO Audit scheme. Since the project's inception, for those beneficiaries that officially volunteered for the Audit Scheme, the project proposed a mock-audit, performed by two experienced auditors, in conditions similar to an actual audit, allowing those beneficiaries to best prepare for the actual exercise and work on identified non-conformities. This action has been conducted once during the reporting period and produced good results. In addition, it should be noted that the Audit schedule for the mandatory Scheme has now been published – IMO Council C112/INF.3, and that some of the project's beneficiaries will be audited early. For that reason, the project will proactively propose to those beneficiaries susceptible to be audited in the first or second year of the mandatory scheme to benefit from projects' assistance.

In terms of Quality Management Systems (QMS), following the Seminar delivered during the previous reporting period, an initial national consultancy for partners interested in implementing an ISO process is systematically proposed in the national work groups.

Activity 2.2: Supporting the implementation of international legislation in the area of flag state including the monitoring of flag performance and monitoring by recognised organisations.

Ratification of Conventions in General (TRAS priority items 4, 15, 17-21)

Effective implementation of international conventions is a key element to flag State performance. The partner countries meet obstacles in the process, and this task supports them in this respect, based on the principles set in Directive 2009/21/EC of 23 April 2009 on compliance with flag State. In addition to the work done within national working groups, two regional events were organized during the reporting period. The first one was devoted to the topic of effective implementation of international Conventions. The subject is the theme of the 2014 World Maritime Day and is particularly relevant in view of the institutionalization of the IMO Audit Scheme. The second one examined how States can properly delegate their obligations to Recognized Organizations and which effective monitoring mechanisms to put in place.

Activity 2.3: Assisting beneficiaries to set up independent accident investigation bodies and provide one basic training for accident investigators in coordination with EMSA performance (EU Maritime Policy, 3rd Maritime Safety Package, ref also to TRAS paragraph 3.2.3)

This activity is now implemented directly by EMSA (see 3.2.2)

Activity 2.4: Undertaking tutoring projects in coordination with EMSA on port State control for those beneficiaries (Ukraine and Georgia) that are members of the Black Sea MoU and those that perform PSC inspections in the Caspian Sea (Azerbaijan)

This activity is now implemented directly by EMSA.

Activity 2.5: Assist in continuing data exchange, to support to the Black Sea MoU information system (BSIS)

This activity is now implemented directly by EMSA.

Activity 2.6: Training of auditors to the IMO Audit Scheme

This activity is proposed in reference to TRAS priority n° 4 "... fulfil the requirements of the IMO MS Audit Scheme / Assistance to participating States in preparation of VIMSAS".

As addressed in Activity 2.1, the IMO audit is currently the most common instrument to evaluate the performance of a Flag state. In order to be able to do proper self-assessments it is beneficial to have trained auditors in the administration. A regional training course will be organised possibly in cooperation with IMO. It will focus on the principles and objectives of the Scheme, its evolutions in view of the coming institutionalisation of the Scheme after

2014. The course will focus both on training of auditors and as a first step in beneficiaries' assistance to the preparations to the Audit.

Component 3 Safety of navigation – Traffic monitoring

Activities of this component not previously implemented by the project are now implemented directly by EMSA.

Component 4 Protection of the marine environment

The purpose in relation to the protection of the marine environment is to facilitate the implementation of relevant regulations and mechanisms. This purpose is closely connected to the Priority Actions No. 10 to 21 of the TRACECA Regional Action Plan for 2021 on Marine environment protection. Protection of the marine environment from pollution originating from ships is covered by EU Marine Strategy Directive 2008/56/EC, Directive 2013/30/EU of the European Parliament and of the Council of 12 June 2013 on safety of offshore oil and gas operations, Directive 2012/33/EU of the European Parliament and of the Council of 21 November 2012 amending Council Directive 1999/32/EC as regards the sulphur content of marine fuels, Commission Directive 2010/26/EU of 31 March 2010 amending Directive 97/68/EC of the European Parliament and of the Council on the approximation of the laws of the Member States relating to measures against the emission of gaseous and particulate pollutants from internal combustion engines to be installed in non-road mobile machinery, Directive 2009/123/EC of the European Parliament and of the Council of 21 October 2009 amending Directive 2005/35/EC on ship-source pollution and on the introduction of penalties for infringements, Commission Directive 2007/71/EC of 13 December 2007 amending Annex II of Directive 2000/59/EC of the European Parliament and the Council on port reception facilities for ship-generated waste and cargo residues, Directive 2005/35/EC of the European Parliament and of the Council of 7 September 2005 on ship-source pollution and on the introduction of penalties for infringements.

In the Black Sea, the Convention on the Protection of the Black Sea Against Pollution 1992 (the Bucharest Convention) entered into force on 15 January 1994. Article VIII of the Convention Pollution from vessels provides that: "The Contracting Parties shall take individually or, when necessary, jointly, all appropriate measures to prevent, reduce and control pollution of the marine environment of the Black Sea from vessels in accordance with generally accepted international rules and standards." Three protocols complement the Convention, including in particular the Protocol on Cooperation in combating pollution of the Black Sea Marine Environment by Oil and Other Harmful Substances in Emergency Situations and the Protocol on The Protection of The Black Sea Marine Environment Against Pollution by Dumping.

Activity 4.1: Training to strengthen national legislation regarding port reception facilities for ship generated waste and cargo residue and provide support for improving the implementation arrangements (TRAS priority action 10 and 12)

The International Convention for the Prevention of Pollution from Ships (London, 1973 and 1978 [protocol]; MARPOL 73/78) regulates the quantities of various wastes that vessels may discharge into the sea. Port states are requested to provide suitable reception facilities to allow ships to deposit residuals which in accordance to the Convention have to be disposed land side. This refers to cargo residuals and cargo tank cleaning residuals (MARPOL Annex I and Annex II) as well as to ship borne residuals like sewage, garbage and ozone depleting substances (MARPOL Annex IV, V and VI). The EU directive 2000/59/EC gives guidance in implementation of the MARPOL requirements including fees and enforcement. The Regulations for the Prevention of Pollution by Garbage from Ships (Annex V to the Convention) deals with the marine litter problem because any garbage or solid waste thrown out overboard can be considered as marine litter. According to Regulation 5 of Annex V, the Black Sea is defined as a Special Area¹ with much stricter requirements on the disposal of garbage than in many other maritime areas of the world. Any discharges of garbage (except food waste) are prohibited here. However, the garbage discharge requirements for a region that has been designated as a Special Area (e.g., the Black Sea area) will not enter into force until adequate garbage reception facilities are provided by all riparian countries in their ports and harbours. The project will assist in reaching the objective of reduction of dumping of wastes and marine litter by providing guidance for port states on how to best implement respective legislation but also practical advice such as on the layout or capacities of reception facilities. This guidance will include the following:

- Assess existing national legislation related to port reception facilities
- Deliver a two or three days regional workshop to present the results of the assessment, analyse impediments and propose action plans for an effective implementation of the MARPOL Convention as related to Port Reception Facilities, using EU directive 2000/59/EC where relevant. Cost-recovery mechanisms will be presented. A roundtable with the participants will assess which solutions are considered most feasible. Assessment phase and workshop preparations begun during the reporting period with the workshop itself being delivered during the next phase.

Activity 4.2: Supporting activities related to prevention of pollution by oil, pollution by noxious liquid substances, and pollution by harmful substances carried by sea (TRAS priority action 10 and 14)

Based on the outcome of studies and GAP analyses carried within the project, an assessment study will be undertaken to evaluate the level of implementation of the relevant MARPOL requirements in the partner countries. The study will focus on the existing regulations, administrative organisation, and efficiency of the enforcement system of the implementation of the Convention.

A 3- to 4-day regional workshop will update the participants on the latest development of MARPOL, further the workshop will demonstrate the benefits of the Convention and how the collection of its Annexes creates a cohesive and efficient system to prevent pollution from ships, and thus will promote more thorough implementation.

Activity 4.3: Training session on the latest amendments of international and EU legislation related to the sulphur content on marine fuels

The EU adopted in 1999 Council Directive 1999/32/EC relating to a reduction in sulphur content of certain liquid fuels, following the addition of a new Annex VI to the International Convention for the Prevention of Pollution from Ships (MARPOL). The Regulations for the Prevention of Air Pollution from Ships (Annex VI) seek to minimize airborne emissions from ships (SO_x, NO_x, ODS, VOC) and their contribution to local and global air pollution and environmental problems. The purpose of directive 1999/32 is to reduce the emissions of certain types of liquid fuels and thereby to reduce the harmful effects of such emissions on man and the environment. The directive requires the Member States to determine the national penalties applicable to breaches of the directive's provisions.

Following the entry into force of MARPOL Annex VI in May 2005, work started on the revision of Annex VI and the NO_x Technical Code with the aim of significantly strengthening the emission limits in light of technological improvements and implementation experience. As a result, in October 2008, MEPC 58 adopted the revised MARPOL Annex VI and the NO_x Technical Code which entered into force on the 1 July 2010.

The new revised MARPOL Annex VI substantially tightens the NO_x and the Sulphur limits when compared to the original requirements of the said Annex. The main changes will result in a progressive reduction in sulphur oxides (SO_x) emissions from ships, both globally and also in the established Sulphur Emission Control Areas (SECAs) and also progressive reductions in NO_x emissions from marine engines, with the most stringent controls on the so-called "Tier III" engines, i.e. those engines installed on ships constructed on or after 1 January 2016, operating in Emission Control Areas (ECAs). The new revised Annex VI also allows for an Emission Control Area (ECA) to be designated for SO_x and Particulate Matter (PM), or NO_x, or all three types of emissions from ships.

Directive 2012/33/EU of the European Parliament and of the Council of 21 November 2012 amending Council Directive 1999/32/EC aligns the Directive with the latest IMO provisions on the sulphur content of marine fuels, adapts the Directive to the IMO provisions on alternative compliance methods, maintains the link between the stricter fuel standards in Special Emission Control Areas (SECAs) and the fuel requirements for passenger ships on regular service and improves implementation of the Directive by harmonising and strengthening provisions for monitoring of compliance and reporting.

A regional workshop will be convened in order to raise awareness within the Black and Caspian Seas coastal States of the benefits of ratifying Annex VI, familiarize the participants with Annex VI requirements in general and, in particular, the key changes that the revised Annex VI brought along, assist in the preparatory work for the ratification, implementation and enforcement of Annex VI, and finally to make the participants aware of the requirements and the preparatory work needed for the designation of the Black and Caspian Seas regions as an Emission Control Areas (ECA). This seminar will also allow Flag states to keep vessels flying their Flag up to date on necessary precautionary measures when sailing in Emission Control Areas.

Activity 4.4: Assistance for regional and national activities related to places of refuge, the Anti-Fouling Convention, ballast water management and the handling of dangerous goods.

- a) Places of refuge

The issue of "places of refuge" is one aspect of contingency planning in the consideration of which the rights and interests of coastal States as well as the need to render assistance to vessels that are damaged or disabled or otherwise in distress at sea ought to be taken into account.

Activities related to this topic will take into account the state of legislation, EU Directive 2002/59 establishing a Community vessel traffic monitoring and information system, and in particular article 20 on places of refuge making reference to IMO guidelines. A regional workshop, to which the Black Sea Commission will be invited to participate, will assess in which respect the above mentioned regulations and guidelines apply effectively to the beneficiaries and evaluate the willingness of partners to put in place a regional coordination mechanism.

b) Anti Fouling Convention

The International Convention on the Control of Harmful Anti-fouling Systems on Ships, which was adopted on 5 October 2001, prohibits the use of harmful organotins in anti-fouling paints used on ships and establishes a mechanism to prevent the potential future use of other harmful substances in anti-fouling systems. The convention entered into force on 17 September 2008. EU regulation 782/2003 prohibits organotin compound on ships and takes additional steps to ensure a general ban on tributyltin (TBT) coatings.

A Regional Workshop will be organised in order to take stock of the level of implementation of the AFS Convention, in particular, with respect to the survey and inspection procedures adopted by the Black and Caspian coastal States, and to exchange views regarding the best practices with regard to these surveys and inspections which are essential for the effective implementation of the AFS Convention.

c) Handling of dangerous goods

The International Maritime Dangerous Goods (IMDG) Code was developed as a uniform international code for the transport of dangerous goods by sea covering such matters as packing, container traffic and stowage, with particular reference to the segregation of incompatible substances.

In order to assist the beneficiaries in the full implementation of the IMDG Code, the Project will:

- Evaluate, for each partner country, the needs related to the implementation of international standards on the handling, transport and storage of dangerous cargoes on ships and in port areas;
- Provide a risk analysis in the same countries to facilitate the preparation of emergency plans and to provide them with administrative and technical advice to comply with the SOLAS requirements and the IMDG Code.

d) Ballast Water management

Since the introduction of steel hulled vessels around 120 years ago, water has been used as ballast to stabilize vessels at sea. Ballast water is pumped-in to maintain safe operating conditions throughout a voyage. This practice reduces stress on the hull, provides transverse stability, improves propulsion and manoeuvrability, and compensates for weight lost due to fuel and water consumption.

While ballast water is essential for safe and efficient modern shipping operations, it may pose serious ecological, economic and health problems due to the multitude of marine species carried in ships' ballast water. These include bacteria, microbes, small invertebrates, eggs, cysts and larvae of various species. The transferred species may survive to establish a reproductive population in the host environment, becoming invasive, out-competing native species and multiplying into pest proportions.

The Ballast Water Management Convention, adopted in 2004, aims to prevent the spread of harmful aquatic organisms from one region to another, by establishing standards and procedures for the management and control of ships' ballast water and sediments. TRAS Priority Action 15 refers. With the entry into force of the Convention it is expected that enforcement will be carried out in the context of Directive 2009/16/EC on Port State Control.

A regional Consolidation and Implementation Training Course on the Ballast Water Management (BWM) Convention, 2004 will aim to promote awareness in the Region and to support preparatory steps of implementation. Issues associated with the implementation of the Convention and the respective roles of the Flag, Coastal and Port State will be debated. The question of Port State Control and sampling will be developed to highlight its complexity.

Activity 4.5: Support the introduction of satellite surveillance (CleanSeaNet) on a sustainable basis in the Black Sea (optional)

This activity is now being directly implemented by EMSA.

Activity 4.6: Training on pollution response (optional)

Marine pollution is a major field of concern, and staff of maritime administrations and port authorities must be trained in prevention, identification and combat of all types of marine pollution from ships. This activity is in line with TRAS Priority Action n° 14 "Enhance national and inter regional response to maritime pollution incidents".

The training will contain an overview of marine pollution combating systems (equipment, detection, information collection, legal action) and elaborate on ways to prevent pollution.

The training could be best provided in training sessions for relevant maritime administration officers (including Port authority and Coastguard staff) engaged in pollution prevention and combat and in collecting, controlling and maintaining maritime data between member states. The Training is primarily targeted at participants from Coastal States.

For training on pollution response, a regional course on pollution prevention and control will be organised with the objectives of:

- (a) familiarising participants with relevant EU regulations and international conventions on pollution prevention and control;
- (b) raising awareness on regional contingency planning for preparedness and response to marine pollution incidents;
- (c) providing the participants with an insight on oil spill control systems together with practical training; and
- (d) providing information on liability and compensation for oil pollution damage.

The training could be modelled on the INFOPOL training course delivered by CEDRE.

In order to maximise efficiency within the limits of available budget, the training will be organised under the “Train the trainers” principle.

Timing of training is best scheduled after initial assessment has been made on levels of progress in prevention of marine pollution and the protection of marine environment in terms of regulation and implementation plans as available. Training could be planned in 2014.

Activity 4.7: Training on offshore units regulations

Training on offshore unit regulations will focus on the obligations on Coastal States in relation with the issuance of surveys and monitoring by recognised organisations for the mobile offshore drilling units operating in their waters, as well as issuance of exemptions and equivalences, control of certificates and incident/casualty investigation. A questionnaire to the partners will allow a first assessment of the number of countries concerned. Depending on the results of this assessment, regional or national training on the job will be provided.

Component 5 The Human Element

Activity 5.1: Implementation and enforcement of the International Safety management Code (ISM Code) – training of ISM auditors

The ISM regime is the mandatory quality management system to be used for the management of ships. Amongst the obligations of a Flag State is the auditing and certification of the ISM system. For managing the survey and certification it is helpful to have Flag State Surveyor having experienced an ISM auditor training. Therefore an ISM auditor training course will be organised. The main objective of the Training Course will be for the trainees to acquire good knowledge and understanding of:

- 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; and of
- the mandatory rules and regulations and applicable codes, principal guidelines and standards recommended by the IMO, administrations, classification societies and maritime industry organisations

Activity 5.2: Specialised STCW course

The International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended (STCW convention) forms the basic instrument for the education and certification of seafarers. The latest comprehensive set of amendments was adopted on 25 June 2010 during a diplomatic conference in Manila. The training will take into account the latest amendments and focus on the obligations of Parties to the Convention to ensure compliance with its requirements including requirements emanating from the amendments. This includes that:

- training, assessment of competence and certification of seafarers are in accordance with the provisions of the Convention;
- STCW certificates and endorsements accurately reflect the competencies of the seafarers, using the appropriate STCW terminology as well as terms which are identical to those used in any safe manning document issued to the ship;
- impartial investigation can be held of any reported failure, whether by act or omission, that may pose a direct threat to safety of life or property at sea or to the marine environment;
- certificates or endorsements issued by the flag State can be effectively withdrawn, suspended or cancelled when warranted, and when necessary to prevent fraud

Activity 5.3: Training of flag and port State inspectors to the ILO MLC 2006 (TRAS Priority Action n° 8)

Together with the SOLAS, MARPOL and STCW Conventions, ILO MLC, 2006 is considered one of the pillars upon which it will be possible to build a safe and sustainable international maritime transport system. With the Convention now into force and thus producing effects to all flag States, the project rightly makes ratification and effective implementation of ILO MLC, 2006 one of its priorities.

Training will be delivered under the form of a regional seminar to promote ratification and those partners sufficiently advanced in the process will have the opportunity to send law and/or policy officials from government departments concerned with the legal aspects of treaty implementation and maritime labour inspectors to participate in the training programs offered by the International Training Centre of the ILO.

In addition to the above, a contractual amendment concluded in February 2014 extends the assistance the project will deliver with regards to ILO MLC, 2006. Specifically, the project is tasked with reviewing the compliance of the applicable legislative environment in Georgia with the main requirements of the MLC 2006 and assisting in the transposition of relevant principles of MLC 2006 into the Georgian Legislative Environment. Results of work carried out for these activities in Georgia will benefit all partners by dissemination and feedback from national experience.

Component 6 Security of ships and ports

This component is closely related to Priority Actions No. 22 to 27 of the TRACECA Regional Action Strategy for 2021. Support in various forms is required on the implementation and coordination of maritime security in and between partner states, in particular Coastal states.

The International Ship and Port Facility Security Code (ISPS Code) is a comprehensive set of measures to enhance the security of ships and port facilities. The ISPS Code is a part of International Convention for the Safety of Life at Sea (SOLAS), 1974.

The purpose of the Code is to provide a standardised, consistent framework for evaluating risk, enabling Governments to offset changes in threat with changes in vulnerability for ships

and port facilities through determination of appropriate security levels and corresponding security measures.

Activity 6.1: Organisation of training for staff on the ISPS Code and support its implementation

Following the success of the project's first regional workshop on exchange of experiences and best practices on maritime issues, a training programme for willing countries has been drafted. Its objectives are to train enough Port Security Officers (PSOs) to ensure the security of the ports via the implementation of the IMO/ILO code of practice and the ED 65/2005 and to train future trainers (Port Facility Security Officers - PFSOs and PSOs) for enabling them to ensure training of port facilities and ports personnel as defined in the IMO.1/Circ 1341. It should be pointed out that training for Port Facilities Security Officers is a new and innovative field.

Activity 6.2: Organising exchange of experiences and best practices on maritime security issues in close coordination with other relevant regional initiatives

A yearly regional workshop, in cooperation with DG/MOVE, is organized, with the first of these having taken place during the current reporting period. The purpose of these workshops is to promote the reforms that are necessary for an effective implementation of the ISPS Code within the partner countries. The workshops address both the regulatory and technical aspects of the implementation of the maritime security rules.

The main priorities are to recall the common objectives and commitments and to identify:

- the level of the implementation of the relevant legal instruments in each of the partner countries and the definition of the most suitable "Organisational chart" for each country, completed by a coherent Action Plan identifying the reforms needed;
- the level of implementation of SOLAS maritime security requirements both for ships and port facilities based on self-assessments of the partner countries.

Component 7 Visibility and communication

We strive to ensure that all stakeholders and the general public are provided with an adequate opportunity to learn about the aim and objectives of this specific project and about the work being carried out by the Contractor, experts and public officials in collaboration with the Contracting Authority and the partner countries. The specific objectives of this component are to:

- generate a high level of awareness of the background, objectives, scope of works and the status of activities and deliverables,
- deliver a high level of accurately, prior approved visibility of the project, and
- communicate and disseminate the project results.

All activities will be carried out in close collaboration with the Client and the Project Partners. The activities will strictly follow the guidelines set up by the EC in their

“Communication and Visibility Manual”. The Manual outlines rules and procedures for project promotion material for all contractors working under the EU.

Activity 7.1: Developing of Strategy, Guidelines and Procedures for Communications

The aim of this task is to set up a framework for continuous conversation in which awareness and knowledge of specific issues is shared and largely discussed between all the other relevant stakeholders involved.

The Contractor has developed a communication strategy and detailed guidelines and procedures for internal and external project information, communication and dissemination of information. The strategy considers different target groups and stakeholder interests. The procedures follow the communication strategy and set out communication rules and procedures, including approval and back-up procedures. The strategy has been developed in coordination with the Transport Dialogue and Network Interoperability II Project in order to ensure complementarity of efforts and achieving common goals in a synchronised way. A Senior Communication Non-Key Expert has been recruited for this purpose, after the necessary structures of the Transport Dialogue and Network Interoperability II Project were in place and allowed for an integrated and coordinated communication approach.

Activity 7.2: Dissemination activities and project portal

The dissemination programme includes a combination of all communication instruments/tools such advertisements, PR, website promotion, participation at fairs and events, based on a unified comprehensive communication concept.

The page devoted to the project on the TRACECA website is now operational.

All visibility and publicity activities will be carried out in close cooperation with and with the approval of the Project Partners and Contracting Authority. The EU and TRACECA logos will appear in all visibility documents, reports, training materials etc.

Target groups

The main target groups are officials from the maritime, port, transport authorities and maritime academies of the beneficiary countries. Shipping companies and maritime business interests may also be indirect beneficiaries.

Project starting date: 16 January 2013

Project duration: 36 months

Inputs: Technical Assistance will include:

Long-Term Key Experts:

Team Leader: 660 MD

Senior Experts: 554 MD

Short-Term Experts:

Senior Experts: *597 MD*

Junior Experts: *357 MD*

Project main office:

Ulitsa Saksaganskogo n° 119, building 1, office n° 30, Kiev 01032, Ukraine

Tel: +380 44 235 5344, +380 97 379 9574

Email: tracecamar@ntu.eu

3. Analysis of the Project

1.1 Relevant project context

The TRACECA Maritime Safety & Security II Project is to some extent a follow-up on the EU-funded SASEPOL Project, implemented between 31 July 2009 and 31 December 2011. SASEPOL's objectives were similar to TRACECA Maritime, with fewer beneficiaries. TRACECA Maritime also builds on the results of the MONINFO Project, which objective was to establish a regional AIS server in the Black Sea. The technical specifications of the server have been produced but no agreement has been reached.

Globally, the beneficiaries can be divided in three groups: countries with access to the Black Sea, countries with access to the Caspian Sea, landlocked countries. The beneficiaries are, with the exception of Turkmenistan, members of the TRACECA Inter-Governmental Commission (TRACECA ICG). Armenia, Azerbaijan, Georgia, Moldova and Ukraine are members of the EU – Eastern Partnership dialogue. The signature of an association agreement with Georgia, Moldova and Ukraines implies the commitment to adopt relevant *acquis communautaire* including in the topics covered by the project.

One of the objectives is to support the implementation of the TRACECA Regional Action Strategy on Maritime Safety and Security and Environmental Protection for the period up to 2021 (TRAS). This strategy is an outcome of the SASEPOL project.

3.2. Implementation approach

3.2.1. General implementation

Focusing on the objectives of the project and how these should be achieved, the approach is based on the knowledge that the beneficiaries' situations are very diverse, not only from a geographical standpoint but also from a performance perspective. It should be noted that, depending on the beneficiaries, the economic model of the ship registers are very different: some are open, some are restricted, some are already engaged in a performance-driven approach, some have chosen a more short-term approach designed to prioritize quantity over quality. For these reasons, the project, to the fullest extent possible, tailors its approach to the specific needs of each beneficiary. This is particularly clear in the national activities, such as the national work groups or the upcoming security trainings.

From a planning perspective, the project can be divided in six phases:

- 1) Inception and Pre-assessment. This phase was destined to acquire general knowledge about the beneficiaries, take stock of the achievements of past projects, and present the project to national authorities and regional organizations. The Inception Phase was completed in April 2013, while the Pre-assessment Phase was completed in July 2013.
- 2) Assessment: This phase is now achieved. It was devoted to in-depth missions in the field in the following domains, in line with the project's activities:
 - a. GAP analysis part of activity 2.1 "Strengthening the models for Flag State administrations, including the establishment of a quality system (TRAS priority action 4)
 - b. Assessment part of activity 2.2 "Supporting the implementation of international legislation in the area of flag state including the monitoring of flag performance and monitoring by recognised organisations
 - c. Assessment part of activity 2.3: "Assisting beneficiaries to set up independent accident investigation bodies and provide one basic training for accident investigators in coordination with EMSA (TRAS paragraph 3.2.3)"
 - d. Assessment part of activity 3.1: "Vessels Traffic Monitoring Systems needs assessment"
 - e. Assessment part of activity 4.1: "Training to strengthen national legislation regarding port reception facilities for ship generated waste and cargo residue and provide support for improving the implementation arrangements (TRAS priority action 10 and 12)"
 - f. Assessment part of Activity 4.2: Supporting activities related to prevention of pollution by oil, pollution by noxious liquid substances, and pollution by harmful substances carried by sea (TRAS priority action 10 and 14)
 - g. Assessment part of activity 4.4.c "Assistance in the handling of dangerous goods"
 - h. Assessment part of activity 6.1 "Organisation of training for staff on the ISPS Code"
- 3) Drafting of National Action Plans: based on the results of the assessments, drafting of priority plans for the beneficiaries were proposed as a basis for the works of the

National Working Groups to be set up under the terms of Activity 1.2 “Support to National Working Groups”.

- 4) Development of training programmes: the training topics are in line with the activities identified in the inception report. However, the outcome of the assessment missions are used to fine tune the programmes and focus on the priorities identified to achieve the project’s objectives. The refinement is an ongoing process in view of the rapidly changing context.
- 5) Training delivery: the TRACECA Maritime project is designed mainly for capacity-building. In line with this design, the majority of the project resources are devoted to the delivery of training activities. Training has begun at the end of the first year of the project and will be pursued until the end.
- 6) Results monitoring: Through the Regional Working Groups meetings to be supported by the Project under Activity 1.1, the project’s achievements, and progress made by the beneficiaries will be monitored and where necessary corrective action will be taken.

3.2.2. Changes In implementation approach

As was informed in the previous progress report, a shift in the focus of implementation has been decided.

The following activities currently under the TRACECA Maritime Safety and Security II project, as described in the inception report, are now transferred to EMSA:

- **Activity 2.3:** Assisting beneficiaries to set up independent accident investigation bodies and provide one basic training for accident investigators in coordination with EMSA performance (EU Maritime Policy, 3rd Maritime Safety Package, ref also to TRAS paragraph 3.2.3)
- **Activity 2.4:** Undertaking tutoring projects in coordination with EMSA on port State control for those beneficiaries (Ukraine and Georgia) that are members of the Black Sea MoU and those that perform PSC inspections in the Caspian Sea (Azerbaijan)
- **Activity 2.5:** Assist in continuing data exchange, to support to the Black Sea MoU information system (BSIS)
- **Activity 3.1:** Needs assessment for Safety of navigation – Traffic monitoring
- **Activity 3.2:** Development of training plans for Safety of navigation – Traffic monitoring
- **Activity 3.3:** Training delivery for Safety of navigation – Traffic monitoring
- **Activity 4.5:** Support the introduction of satellite surveillance (CleanSeaNet) on a sustainable basis in the Black Sea

The resources initially reserved for these activities have been re-allocated to the following activities:

Extended assistance with regards to ILO MLC 2006, to assist Georgia, complemented with actions to use the as such built up new experience to the benefit of other countries in the region (within the scope of Activity 5.3), namely:

- ***Activity 5.3.2 – Review of the compliance of the applicable legislative environment in Georgia with the main requirements of the MLC 2006.***

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

The following methodology should thus be employed:

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

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

- ***Activity 5.3.3 – Transposition of relevant principles of MLC 2006 into the Georgian Legislative Environment***

The actual transposition of the identified principles will depend on the outcome of Activity 5.3.2 and on the technical nature of the legal texts to be transposed (regulation, law, bylaw, etc).

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

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

The following methodology should be employed:

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

Activity 5.3.4 – Development of Action Plan for capacity building and execution of first trainings measures

The training will ensure MTA will be capable of implementing the new competencies and functions of the (to be) transposed MLC 2006 requirements. To this end, an Action Plan shall be developed and agreed upon with MTA for a period of 5 years. At least two comprehensive

trainings shall be executed and one study tour *may* be organised, ensuring relevant staff of MTA is trained and qualified to implement the new requirements. The training sessions may be organized in liaison with the ILO International Training Centre in Turin.

4. Project Progress

4.1 Implementation overview

This reporting phase encompasses the third six months period of the project implementation from January 2014 until the end of July 2014. The second progress report indicated that focus would be on regional activities and national workgroups, and this has been achieved. Details are included in the description of activities above. In a nutshell, expected objectives have been met. The previous progress report mentioned also delays due to the overall low level of activity in the first year. These difficulties have now been overcome, and it is expected that the project, now on the right track, will be able to fulfil its objectives within the planned time frame.

During the reporting period, sixteen events, missions and meetings have been delivered, undertaken and attended, regionally and nationally. More than 130 officials have taken part in our activities.

Below are highlighted the main events that took place during the reporting period.

4.2 Components

Component 1: Regional Coordination

Activity 1.2: Support to National Working Groups

The purpose of these groups is to ensure acceptance of the project's objectives, build upon findings assessed during the previous period, and reach a greater number of officials. Experts followed a similar procedure for each concerned beneficiary: a review of the assessment report was conducted with the group members, consensus reached on the recommendations, with work ensuing on how to address these. A work plan was drafted at the end of the two-day session, with steps to take before next meeting. This process ensures continuity during the project's implementation and allows to monitor progress. The approach has been met positively and further meetings will be conducted on an ad hoc basis. (cf. Annexes IV & V)

Component 2: Flag State Implementation

Activity 2.1: Strengthening flag State administrations

Besides the Quality Management Workshop that has been delivered previously, reaching compliance with international and EU standards is one of the main subjects of the work done in the countries. The partners are very diverse in their structures, capacities, fleet and geography but their responsiveness is a sign that there is awareness and results can be achieved if the approach is sustained.

Another important aspect of this activity is the support provided for the preparations to the Audit Scheme under conditions as close as realistically possible to a real Audit. The exercise carried out during the reporting period was successful and it will be proposed to reproduce it where relevant. The audited partner is now in possession of a detailed list of findings with recommendations on measures to take to improve the situation before the actual audit.

Activity 2.2: Implementation and monitoring

The two workshops considered under this activity have been delivered:

1. From 25 March to 27 March a two and a half day seminar on the **ratification of conventions** was conducted in Hamburg, Germany (cf. Annex III). The Seminar on "Ratification of Conventions – From Planning to Implementation" was organised within the framework of the project with the following main objectives:
 - Introduction in the ratification process; signature, acceptance, accession.
 - Discussion of planning of a ratification, consider the impact of the new instrument on the maritime strategy and national legislation
 - Consider steps necessary for implementation, legal and technical
 - Exchange of experience gained with the ratification and implementation of international instruments.

The seminar was aimed at persons responsible for the legal and/or technical implementation of international instruments at maritime administrations of the partner countries of the TRACECA Maritime Safety and Security II Project. The seminar addressed topics related to legal and high level technical implementation. Due to the location Hamburg it was possible to invite representatives of the German Administration allowing for the exchange of experience with the administration of an EU Member State and in addition as Hamburg is the host town of the International Tribunal of the Law of the Seas (UNCLOS) it was possible to organize a visit of UNCLOS including a presentation held by the head of the legal section of UNCLOS about cases dealt with by that institution and the unique opportunity to have a discussion with Judge Vladimir Golitsyn about legal aspects related to UNCLOS topics in the TRACECA region.

The seminar introduced the aspects of ratification of international instruments, from basics aspects up to technical interpretations and enforcement taking into account the related EU legislation and the implications of ratification on the IMO Member States Audit Scheme. The visit of the International Tribunal of the Law of the Seas gave a further insight into the link between the United Nations Convention on the Law of the Seas and the Instruments of the International Maritime Organization.

2. From 8 July to 10 July 2014 a three days seminar and workshop was held in Baku, Azerbaijan, on **effective monitoring of Recognised Organisations** (cf. Annex VIII). It explained the legal background of delegation of authority and introduced methods to monitor the activities of Recognized Organizations in order to ensure the best possible control of the fleet flying a states flag. The main objectives of the seminar were to
 - Understand the legal basis for the delegation of authority and the pros and cons of such delegation on the fleet's quality.
 - Discussion of the effect of monitoring of activities of recognized organizations and different monitoring approaches.
 - Introduction of monitoring obligations of a flag State in view of the new RO Code.
 - Influence the authorization contract to facilitate monitoring efforts.
 - Exchange of experience gained with different recognized organizations.

The seminar aimed at persons responsible for the authorization of recognized organizations and the subsequent monitoring at maritime administrations of the partner countries of the project. The agenda of the seminar addressed topics related to high level authorization aspects and to practical monitoring concepts.

The seminar introduced the aspects of authorisation of recognized organisations, from basics aspects up to the establishment of monitoring concepts commensurate to a Flag States individual situation in terms of regional aspects and fleet size under consideration of requirements of European and International Instruments. Through group work sessions the participants were invited to develop practical solutions for typical situations.

Component 4: Protection of the Marine Environment

Activity 4.1: Port Reception Facilities

This activity, which will be concluded with the workshop to take place at the beginning of the next reporting period, has been prepared with the assessment phase. The rate of return of the questionnaire was satisfactory.

Component 5: Human Element

Activity 5.3: ILO MLC, 2006

The first phase of the work performed under this activity, which scope has been enlarged with the contractual amendment detailed under 3.2.2, related to work planning, opening meeting and meeting with stakeholders, including shipowners and seafarers representatives (cf. Annex VII). These, together with a detailed review of the current legislative status, allowed to produce a GAP analysis which has been disseminated to the Georgian Maritime Authorities.

In addition, three officers benefitted from a training for maritime administrations managers that was delivered by the International Training Centre of the ILO. This training will be offered to all beneficiaries who have progressed in the implementation of the Convention. A regional workshop on the Convention promoting its ratification will be organized within the project's framework.

Component 6: Security of ships and ports

Activity 6.1: Organization of training for staff

Development for the training programs have begun for Port and Port Facilities Security Officers following the positive feedback from the first workshop. Delivery of these will start during the next reporting period.

Activity 6.2: Exchange of experience and best practices

The proposed objectives have been covered during the first workshop held in Istanbul between 4 and 6 February (cf. Annex I): start of exchange of experiences, search for best practices and reception of needs to improve maritime security. The good reception of the first workshop by the participants as well as their active participation provided a fruitful start for the rest of the training activities. The national consultancies that followed allowed to raise awareness on the issue and ensure acceptance of the future training undertaken as per Activity 6.1 (cf. Annexes VI, IX & X)

Component 7: Communication

The web page of the project is now available on the TRACECA website. Communication material has been produced and will from now on be disseminated during the various events organized by the project. (See also Annex II for training delivered by EUD in Kiev).

4.3 Cooperation with TRACECA, EU-funded projects and maritime stakeholders

The important local stakeholders for the TRACECA Maritime project are primarily the heads of the Maritime Administration and also of the Port Authorities. The TRACECA National Secretaries act as contacts for the Project and are being kept informed of the project's activities in their countries. The EU delegations in the countries are systemically informed when experts are sent on the field and good relations have been established in some beneficiaries. In the Black Sea, the Black Sea Commission and the Secretariat of the Black Sea MoU on Port State Control have been contacted.

Cooperation and contact is also maintained with relevant TRACECA projects financed by the EU at regional level. These include:

- Transport Dialogue and Networks Operability II
- Road Safety II

- Direct implementation by EMSA of some of the project's activities will provide further avenues for cooperation between the Agency and the project's team. This cooperation will begin to be reported during the next reporting period.

In particular, cooperation with the Transport Dialogue and Networks Operability II during the reporting period related to preparations for the availability of the TRACECA Maritime project page on the website of the TRACECA organization. The page is now operational.

The TRACECA Permanent Secretariat and TRACECA National Secretaries are kept informed of the project's activities.

Table 1: List of missions, meetings and events

Country / Organization	Date	Team Mobilization	Event
Istanbul, Turkey	4-6 February 2014	KE1, SNKE, JNKE	Workshop on Organising exchange of experience and best practices on maritime security issues
Kiev, Ukraine	10 February, 2014	KE1	Meeting with the Team Leader of the IDEA II Project
Kiev, Ukraine	18-19 February 2014	JNKE	Web-site training for the TRACECA TA Projects organized by IDEA II
Kiev, Ukraine	18-19 March 2014	JNKE	Communication training organized at the EU Delegation in Ukraine
Hamburg, Germany	25 - 27 March 2014	KE3, SNKE, JNKE, Speakers	Seminar on Ratification of Conventions – From Planning to Implementation
Kiev, Ukraine	22 April 2014	KE1, JNKE	Meeting with the Ukrainian Maritime Authorities
Chisinau, Moldova	7-8 May 2014	KE1, KE3	National Workgroup meeting 1
Batumi, Georgia	28-29 May 2014	KE1, KE3	National Workgroup meeting 1
Astana, Kazakhstan	24-25 June 2014	SNKE	National ISPS Seminar
Batumi, Georgia	3-4 July 2014	KE1	ILO MLC mission
Batumi, Georgia	3-19 July 2014	SNKE, JNKE	ILO MLC effective implementation mission

Country / Organization	Date	Team Mobilization	Event
Baku, Azerbaijan	8-10 July 2014	KE1, KE3, SNKE, Speaker	Recognized Organizations Monitoring Workshop
Chisinau, Moldova	10 July 2014	SNKE	National ISPS Seminar
Batumi, Georgia	15 July 2014	SNKE	National ISPS Seminar
Astana, Kazakhstan	16-17 July 2014	KE1, KE3	National Workgroup meeting 1
Batumi, Georgia	21-25 July 2014	KE1, SNKE, SNKE	Mock Audit



The table below details the resources (man/days) used during the reporting period.

Table 2: Working time allocation / balance

Expert	Initial Quantity	Consumed 01/02/14	Resources consumption during reporting period						Total for the period	Balance 01/08/14
			Component 1	Component 2	Component 4	Component 5	Component 6	Component 7		
KE1	660	240.5	37	30	14.5	15.5	16	7	120	299.5
KE2	54	54							0	0
KE3	500	152	28	38.5					66.5	281.5
SSTEs	597	82		48		21	18,5		87.5	427.5
JSTEs	357	61	4	11	1	8	5	26	55	241



Table 3: Original plan of activities

Project title: TRACECA Maritime Safety & Security II
Project number: EuropeAid / 133051 / C / SER / MULTI

Beneficiary countries:

Direct: Armenia, Azerbaijan, Republic of Moldova, Ukraine and Georgia, Kazakhstan, Kyrgyzstan, Uzbekistan, Tajikistan and Turkmenistan
Indirect: Bulgaria, Romania, Turkey

Planning Period: 16 January 2013 – 16 January 2016		EC Contractor: NTU / EGIS International / EGIS Ukraina																																											
Project objective: The overall objective of the TRACECA Maritime Safety & Security II Project is to support the further ratification and implementation of international maritime safety and security conventions as well as improving the level of quality and coordination of maritime administrations in the Black Sea and Caspian Sea partner countries with the overall objective of making shipping safer, more secure and environment friendly.																																													
N°	Activities	TIME FRAME																																Expert Inputs / Days											
		2013												2014												2015																			
Year	Calendar month	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	TL	KE2	KE3	SE	JE			
0	Inception phase	X	X	X																																				40	10	15		10	
1.1	Regional Working groups									X						X						X										X									165	100	130	34	195
1.2	National Working groups							X		X		X		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X							
2.1.a	Maritime Administration Review			X	X	X	X	X	X	X	X																																		
2.1.b	Quality Management Systems Workshop											X																																	
2.2.a	Convention enforcement Workshop														X																														
2.2.b	Recognized Organization Monitoring Workshop																	X																						81	15	185	40	60	
2.3	Accident Investigation Workshop																														X														
2.4	National Port State Control Officers Tutoring																X	X	X																										
2.5	Black Sea MoU Information System Assessment										X																																		

Project title: TRACECA
Maritime Safety & Security II

Project number: EuropeAid /
133051 / C / SER / MULTI

Beneficiary countries:


Direct: Armenia, Azerbaijan, Republic of Moldova, Ukraine and Georgia, Kazakhstan, Kyrgyzstan, Uzbekistan, Tajikistan and Turkmenistan


Indirect: Bulgaria, Romania, Turkey


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Implementation month		1	2	3	4	5	6	7	8	9	10	11	12	1	1	1	1	1	1	1	1	2	2	2	2	2	2	2	2	2	2	2	3	3	3	3	3	3	3						
4.6	Oil Pollution Response Training (optional)																				X																								
4.7	Mobile Offshore Drilling Units Training																																					X							
5.1	Intl. Ship Mgmt. (ISM Code) Training																																												
5.2	Standards Training Certification & Watchkeeping Convention Course																																						X						
5.3.a	ILO Maritime Labour Convention (MLC 2006) Seminar																	X																											
5.3.b	ILO MLC 2006 Training																				X																								
6.1.a	Ports & Ships Security (ISPS Code) training needs assessment										X	X	X																																
6.1.b	ISPS Training														X	X	X																												
6.1.c	ISPS Study Tour																																			X									
6.2	ISPS Workshops														X													X																	
7.1	Communication Strategy development				X	X	X	X	X	X	X	X																																	
7.2	Dissemination activities				X			X				X			X			X			X			X			X			X			X		X		X								

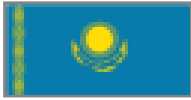



4.4 Project Progress in the reporting period in the beneficiaries


	<p>Armenia</p>
<p>Inception</p>	<p>Armenia is one of the land-locked countries that expressed interest in the project following the letter sent to the National TRACECA Secretary and further contacts established during the project team participation to the Coordination Meeting between European Commission, IGC TRACECA and Technical Assistance-Projects held in Kiev 16-17 April 2013. A mission to present the project and examine avenues for further cooperation took place on 6 June 2013. Proposals remain pending and the project team is open to pursue cooperation at any time.</p>
<p>Component 1 Regional coordination</p>	<p>A proposal for assistance to establishment of a national ship register was put forward on September 2013. No reply has been received so far.</p>
<p>Component 2 Flag State Implementation</p>	<p>Armenia presented an actual case for establishing a national ship register and the TRACECA Maritime project expressed to the Armenian authorities that it is in a position to offer guidance.</p>
<p>Component 4 Protection of the marine environment</p>	<p>n/a</p>
<p>Component 5 Human element</p>	<p>n/a</p>
<p>Component 6 Ports and ships security</p>	<p>n/a</p>
<p>Component 7 Visibility and communication</p>	<p>The project was presented to the national authorities.</p>

	Azerbaijan
Inception	Azerbaijan has been the subject of two missions during the inception period. The National TRACECA Secretary has been visited on 12 March 2013 and the project has been presented. A preliminary mission to the national authorities took place during 11-12 July 2013.
Component 1 Regional coordination	Azerbaijan has now adopted its reformed maritime legislative framework and conditions are now optimal to set up the national work group.
Component 2 Flag State Implementation	Azerbaijan participated in both workshops under this component. The Recognized Organization Workshop took place in Baku in July 2014.
Component 4 Protection of the marine environment	To be detailed later.
Component 5 Human element	To be detailed later. Azerbaijan is engaged in the process of ratification of ILO MLC 2006.
Component 6 Ports and ships security	Azerbaijan participated in the first workshop on maritime security and expressed its interest for the training activities of this component.
Component 7 Visibility and communication	The project was presented to the national authorities.

	Georgia
Inception	Georgia was visited by the project's expert team during a mission on 3-5 June 2013. Meetings were held at the Ministry of Economy and Sustainable Development in Tbilisi, at the Maritime and Transport Agency in Batumi, Batumi State Maritime Academy, Batumi Port Authority, Poti Port Authority.
Component 1 Regional coordination	The national work group has been set up and is operational.
Component 2 Flag State Implementation	Georgia participated in the regional activities delivered under this component. Having volunteered for the IMO Audit and requested the project's support, a mock-audit was organized.
Component 4 Protection of the marine environment	Georgia will participate in the first activity of this component.
Component 5 Human element	Georgia is in the process of ratification of ILO MLC 2006. Specific national work is underway.
Component 6 Ports and ships security	Georgia participated in the first Maritime Security workshop and has expressed interest in the proposed training.
Component 7 Visibility and communication	The project was presented to the national authorities.

	Kazakhstan
Inception	Kazakhstan has responded positively to the project's team suggestion to come present the project to the National Transport Authorities.
Component 1 Regional coordination	Based on the results of the assessment mission that took place in Astana and Aktau from 28 to 30 January 2014 and taking into account the specific requests from the Kazakh Authorities, a National Workgroup has been set up and started its work during the reporting period.
Component 2 Flag State Implementation	Kazakhstan participated in both regional workshops held under this component.
Component 4 Protection of the marine environment	Kazakhstan participated in the assessment phase of the first activity under this component and is due to take part in the regional activity.
Component 5 Human element	To be detailed later
Component 6 Ports and ships security	Kazakhstan participated in the first Maritime Security workshop and has expressed interest in the training activities.
Component 7 Visibility and communication	To be detailed later


	Kyrgyzstan
Inception	Kyrgyzstan has responded positively to the project's team suggestion for a national visit and a mission took place on 26 June 2013 to present the TRACECA Maritime project to the Transport Authorities of Kyrgyzstan and explore possible future avenues for cooperation.
Component 1 Regional coordination	A proposal has been made to Kyrgyzstan to set up a National Workgroup based on the findings on the mission that took place on 26 June 2013. The proposal remains pending and the project is open to pursue cooperation at any time.
Component 2 Flag State Implementation	As a follow-up on this preliminary mission, it is recommended to perform a review of the organizational structure of the Kyrgyz Transport Department in charge of navigational issues.
Component 3 Safety of Navigation	Kyrgyzstan has expressed a need for capacity-building of national expertise.
Component 4 Protection of the marine environment	n/a
Component 5 Human element	n/a
Component 6 Ports and ships security	n/a
Component 7 Visibility and communication	The project was presented to the national authorities.


	Moldova
Inception	Moldova has expressed interest in the project during the Coordination Meeting between European Commission, IGC TRACECA and Technical Assistance-Projects held in Kiev 16-17 April 2013. An in-depth assessment mission in Chisinau and Giurgiulesti has been carried out in October 2013.
Component 1 Regional coordination	Based on the results of the assessment mission that took place during the reporting period, a National Workgroup has been set up during the present reporting period and started its work.
Component 2 Flag State Implementation	Moldova participated in the regional events organized under this component.
Component 4 Protection of the marine environment	Moldova took part in the assessment phase of the first regional activity to be delivered under this project. This activity will be hosted in Chisinau.
Component 5 Human element	To be detailed later
Component 6 Ports and ships security	Moldova took part in the first regional workshop and expressed interest in the proposed training programme.
Component 7 Visibility and communication	The project was presented to the National Authorities




Tajikistan

The National TRACECA Secretary for Tajikistan has been informed about the start of the TRACECA Maritime project. There has been no further feedback.

	Turkey
Component 1 Regional coordination	To be detailed later
Component 2 Flag State Implementation	Turkey participated in both regional activities organized during the reporting period.
Component 4 Protection of the marine environment	Turkey participated in the assessment phase of the regional workshop on Port Reception Facilities to be held during the next reporting period.
Component 5 Human element	To be detailed later
Component 6 Ports and ships security	Turkey hosted the first regional workshop on maritime security.
Component 7 Visibility and communication	n/a

	Turkmenistan
Inception	A more direct contact has been established with the competent Turkmen authorities and official took part in one of our activities. Communication channels and visa issues are still not optimal.
Component 1 Regional coordination	To be detailed later
Component 2 Flag State Implementation	Turkmenistan took part in the Recognized Organization workshop that was organized in Baku.
Component 4 Protection of the marine environment	To be detailed later
Component 5 Human element	To be detailed later
Component 6 Ports and ships security	To be detailed later
Component 7 Visibility and communication	To be detailed later

	Ukraine
Inception	Ukraine is the host country of the TRACECA Maritime project.
Component 1 Regional coordination	A meeting was held at the request of the Ukrainian Authorities and expressed requests have been proceeded with.
Component 2 Flag State Implementation	Ukraine participated in both FSI events organized during the reporting period.
Component 4 Protection of the marine environment	Ukraine took part in the assessment phase of the regional workshop on Port Reception Facilities to be held during the next reporting period.
Component 5 Human element	To be detailed later
Component 6 Ports and ships security	Ukraine participated in the first Maritime Security workshop and expressed interest for the proposed training..
Component 7 Visibility and communication	The project has been presented to the Ukrainian Port State Control Officers in the port of Mariupol on 16 September 2013.

	Uzbekistan
Inception	Uzbekistan has responded positively to the project's team suggestion to come present the project to the National Transport Authorities and a mission took place on 27 July in Tashkent. Further expression of needs is a preliminary necessary for future cooperation.
Component 1 Regional coordination	n/a
Component 2 Flag State Implementation	n/a
Component 3 Safety of Navigation	n/a
Component 4 Protection of the marine environment	n/a
Component 5 Human element	n/a
Component 6 Ports and ships security	n/a
Component 7 Visibility and communication	The project has been presented to the national authorities and logistics companies' representatives.

5. Project planning

5.1 Introduction

The original plan of operation is presented in table 3 of the present report. The planning for the next reporting period is available below in table 4.

5.2 Reporting period IV – August 2014 / January 2015

Component 1: Regional Coordination

National groups will continue their work based on the priorities defined for each partner. The rhythm of meetings will depend on achievement of milestones of the action plans, as some partners may meet temporary difficulties. The two initially planned group meetings will probably be supplemented.

A regional meeting that will assess progress made and future directions will be held at the end of the next reporting period.

Component 2: Flag State Implementation

Improvement of flag State performance, monitoring of Recognized Organizations, will continue to be essential priorities of the work carried out in the national groups. Preparations to the Audit Scheme will be continued with a training for Auditors and possibly another mock-audit.

Component 4: Protection of the Marine Environment

The first workshop on this component will take place at the beginning of the next reporting period and another event will follow.

Component 5: Human Element

The next phase of the work on effective implementation of the ILO MLC, 2006 in Georgia will be implemented, beginning with a stakeholders' meeting.

Component 6: Security of ships and ports

National training programs will begin and the second regional workshop will be delivered

Component 7: Communication

Communication activities will be continued, including dissemination of results in appropriate conferences.

The table below details the planned use of resources for the upcoming period.

Table 4: Planned activities for the next reporting period

	August	September	October	November	December	January
1.1 Regional Working Group						X
1.2 National Working Group			X	X	X	
2.1 Mock Audit						X
4.1 Port Reception Facilities Workshop		X				
5.2 STCW Course					X	
5.3 ILO MLC 2006			X	X	X	X
6.3 ISPS Training delivery			X	X	X	
6.2 ISPS Workshop						X
7.2 Dissemination of results		X				

Table 5: Working time allocation / balance for the next reporting period

1. Work allocation (amended)

Code	Experts	TOTAL PLAN (work days)	Inception Phase	Component 1	Component 2	Component 3	Component 4	Component 5	Component 6	Component 7
KE1 TL	Albert Bergonzo	660	40	165	130	35	130	100	20	40
KE2	Rene Kist	54	10			44				
KE3	Stephan Assheuer	500	15	100	215		90	65		15
	TOTAL KEY EXPERTS	1,214								
	<i>Short-Term Non Key experts</i>									
SSTE	TOTAL SSTE EXPERTS	597		45	63	40	124	175	116	34
JSTE	TOTAL JSTE EXPERTS	357	10	172	56		19	47	12	41
	TOTAL WORKING DAYS	2,168	75	482	464	119	363	387	148	130

2. Planned for next reporting period

Expert	Initial Quantity	Balance 01/08/14	Component 1	Component 2	Component 4	Component 5	Component 6	Component 7	Total for the period	Balance 01/02/15
KE1	660	299.5	30	15	25	10	10	5	95	204.5
KE2	54	54								
KE3	500	281.5	28	15	30	15			88	193.5
SSTEs	597	427.5		35	30	55	35		155	272.5
JSTEs	357	241	15	11	10	8	5	15	64	177

Table 6: Performance Monitoring Indicators

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
0	Project inception	Project kick-off	1 kick-off meeting held in Brussels	25 January 2013	Achieved
		Team mobilization	1 team meeting held in Brussels	1 February 2013	Achieved
		Project office set up	Project office established	February 2013	Achieved
		Contact with beneficiaries	Letters sent to TRACECA NS	March 2013	Achieved
		Project presentation to national authorities	6 missions in the beneficiaries	June – July 2013	Achieved
Component 1: Regional coordination					
1.1	Regional Working groups	Regional action plans	Regional WG meeting and work plan		On-going
1.2	National Working groups	National action plans	National WG meetings and work plans		On-going
Component 2: Flag State implementation					
2.1.a	Maritime Administration Review	Recommendation for increased compliance with EU regulations and international maritime Conventions	National in-depth reviews, GAP analyses, mock-audits	Preliminary assessment performed following project presentation to national authorities	Achieved
2.1.b	Quality Management Systems Workshop	Explain the principles of Quality Management, applicable ISO standards, and relevance to the performance of duties by Maritime Authorities	1 regional workshop delivery	Delivered in December 2013	Achieved
2.2.a	Convention enforcement Workshop	Raising awareness on the integration of EU and international instruments in national legislation and mechanisms for approximation and ratification	1 regional workshop delivery	1 st semester 2014	Achieved

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
2.2.b	Recognized Organization Monitoring Workshop	Recommendations for effective monitoring mechanisms	1 regional workshop delivery		Achieved
2.3	Accident Investigation Workshop	Recommendations to improve the efficiency of investigation bodies in compliance with relevant EU and international regulations	1 regional workshop delivery		Transferred
2.4	National Port State Control Officers Tutoring	Capacity-building for PSCOs	1 week national training delivery		Transferred
2.5	Black Sea MoU Information System Assessment	Assessment of system performance and data exchange	Provision of assistance on data exchange improvement		Transferred
2.6	VIMSAS Auditors Training	Internal audit capacity for beneficiaries	1 regional workshop		Not started
Component 3: Safety of navigation					
3.1	Vessel Traffic Systems (VTS) Assessment	Update on VTS status in beneficiaries	Identification of equipment, local experts and training institutions	Relevant for coastal States	Achieved
3.2	VTS Training plans design	Development of training programmes	Approval of training plans by national authorities	Relevant for coastal States	Transferred
3.3.a	VTS operators training	Capacity-building for VTS operators	VTS operators training delivery	Relevant for coastal States	Transferred
3.3.b	VTS Workshop	Promotion of regional exchange of AIS data	1 regional workshop	Relevant for coastal States	Transferred
3.3.c	Long Range Id. & Tracking Workshop	Provision of information on LRIT architecture and legal obligations	1 regional workshop		Transferred
Component 4: Protection of the marine environment					
4.1	Port Reception Facilities Training	Action plan on compliance with regulatory obligations	1 regional workshop	Relevant for port States	In preparation

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
4.2	Prevention of pollution by oil, noxious and harmful substances carried by sea	Evaluation of the level of compliance with EU and international maritime Conventions and recommendations	1 regional workshop		Not started
4.3	Sulphur content on marine fuels	Raising awareness on the benefits of implementing applicable EU and international regulations	1 regional workshop	Possibly organized jointly with 4.2	Not started
4.4.a	Places of Refuge Workshop	Assessment of the effective application of existing regulations and recommendations	1 regional workshop	Relevant for coastal States	Not started
4.4.b	Anti-Fouling Systems Convention Workshop	Exchange of views regarding best practices on surveys and inspections	1 regional workshop		Not started
4.4.c	Dangerous Goods (IMDG Code)	Needs assessment and risk analysis for the beneficiaries	Technical reports		Not started
4.4.d	Ballast Water Mgmt. Conv. Course	Awareness raising on BWM issues	1 regional course		Not started
4.5	<i>CleanSeaNet Introductory Workshop (optional)</i>	<i>Awareness raising on ClenSeaNet service</i>	<i>1 regional workshop</i>		<i>Not started</i>
4.6	<i>Oil Pollution Response Training (optional)</i>	<i>Awareness on preparedness and response to oil pollution from ships</i>	<i>1 regional training</i>	<i>Relevant for port and coastal States</i>	<i>Not started</i>
4.7	Mobile Offshore Drilling Units Training	Awareness raising on coastal States obligations	1 regional training	An assessment will determine how many beneficiaries are concerned	Not started
Component 5: The Human element					
5.1	Intl. Ship Mgmt. (ISM Code) Training	Training of ISM auditors	1 regional training		Not started
5.2	Standards Training Certification & Watchkeeping Convention Course	Awareness raising on the obligations of parties	1 regional training		Not started

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
5.3.a	ILO Maritime Labour Convention (MLC 2006) Seminar	Awareness raising on the benefits of ratifying the ILO MLC 2006	1 regional training	For beneficiaries that are at a preliminary stage in the process	Not started
5.3.b	ILO MLC 2006 Training	Training of managers and surveyors	2 regional trainings	For beneficiaries at an advanced stage of ratification	Not started
Component 6: Ports & ships security					
6.1.a	Ports & Ships Security (ISPS Code) training needs assessment	Training program	Draft training programme		Achieved
6.1.b	ISPS Training	Awareness-raising and capacity-building for ISPS	National training delivery		On-going
6.2	ISPS Workshops	Promotion of reforms for an effective ISPS implementation and exchange of views	3 regional workshops		First workshop delivered
Component 7: Visibility and communication					
7.1	Communication Strategy development	Communication strategy	Technical report		Strategy drafted
7.2	Dissemination activities	Increased project visibility	Participation to events, dissemination of project information		On-going



Annexes

Annex I: Workshop on exchange of experience and best practices on maritime security

Annex II: EU Delegation in Ukraine Communication Training

Annex III: Convention Ratification Seminar

Annex IV: National work group meeting Moldova

Annex V: National work group meeting Georgia

Annex VI: National ISPS Seminar Kazakhstan

Annex VII: ILO MLC, 2006 Effective implementation Progress report 1

Annex VIII: Recognized Organizations Workshop

Annex IX: National ISPS Seminar Georgia

Annex X: National ISPS Seminar Moldova