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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, was initially launched by the European Commission in January 2013 for a duration of three years. It has been extended for five months until 15 June 2016.

It builds on the results of two previous projects, SASEPOL and MONINFO, implemented between 2009 and 2011. TRACECA Maritime beneficiaries are Georgia, Moldova, Turkey and Ukraine in the Black Sea, Azerbaijan, Kazakhstan and Turkmenistan in the Caspian Sea, and Armenia, Kyrgyzstan, Tajikistan and Uzbekistan for landlocked countries in the Caucasus and Central Asia. Bulgaria and Romania, in their quality as EU Member States, are indirect project beneficiaries.

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 project is implemented both by the TRACECA Maritime project office headquartered in Kiev, Ukraine and by the European Maritime Safety Agency in Lisbon, Portugal. This reports relates only to activities delivered by the project office. It documents the period from August 2015 to January 2016 included.

The report provides information on the project and elaborates on the sixth six-monthly period, 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. The planning has been updated and 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 last reporting period until the end of the project (June 2016) in line with the project extension.

The report explains how the overall objective of the current project contributing to an increased performance of maritime administrations and fostering regional cooperation in the TRACECA region is being met. 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.

A very substantial level of activities has been delivered during the period. All project's components have been impacted.

The second Steering Committee Meeting of the project was held in January and was successful for presenting the past year's outcomes and the next phase of the project which will be implemented by EMSA. In terms of flag State performance, the project has performed a mock-audit of Azerbaijan and continued its assistance to Kazakhstan in its preparation to the IMO Audit Scheme. For the protection of the marine environment, where the emphasis clearly lays for this reporting period, a regional workshop on the Ballast Water Management and Anti-Fouling Systems Conventions was delivered. National assessment missions on compliance with the MARPOL Convention and the International Maritime Dangerous Goods IMO Code were performed by experts, and in Ukraine the work on Port Reception Facilities was achieved. In Georgia, the national task for the preparation of ratification of the ILO Maritime Labour Convention, 2006 has been completed. At the request of Azerbaijan, a national workshop on the Convention has been delivered. Efforts in national training for Maritime Security were pursued with sessions in Azerbaijan and Ukraine. A new calendar has been printed and the project's web page on the TRACECA website is being updated regularly.

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. Likewise, the level of participation in the regional events is high. 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, Turkey, Turkmenistan, Ukraine and Uzbekistan;

Indirect: Bulgaria and Romania

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.

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: 41 month

Inputs: Technical Assistance will include:

Long-Term Key Experts:

Team Leader: 775 MD

Senior Experts: 569 MD

Short-Term Experts:

Senior Experts: 752 MD

Junior Experts: 357 MD

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3. Analysis of the Project

3.1 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. Further work on traffic monitoring cooperation is implemented by EMSA.

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 Ukraine implies the commitment to adopt relevant *acquis communautaire* including in the topics covered by the project, and project implementation has taken this factor into account for the relevant countries.

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 models 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 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. 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) National work and output of assessment missions / Action Plans: Assessment has been carried out during the initial phase in Azerbaijan (GAP Analysis), Georgia (GAP Analysis), Kazakhstan (request for assistance), and Moldova (assessment mission). In spite of repeated attempts during the year 2013, it has not been possible to achieve substantial results out of the various meetings that took place with the Ukrainian Authorities of the time. Contacts with Turkmenistan are difficult, with all official communication channels having to go through the Ministry of Foreign Affairs via the Turkmen Embassy in Kiev. The lack of a direct contact with the maritime authorities has impeded the possibility of setting up national missions.
The overall results of performed assessments is that there is room for improvement in terms of flag State performance in all relevant domains. The enforcement capacity is lacking strength in several countries, a precise delimitation of responsibilities is not always present, and monitoring of Recognized Organizations authorized to perform on behalf of the States is not performed efficiently. Priority plans have been designed accordingly.
- 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 Steering Committee Meetings delivered in cooperation with EMSA under a revised Activity 1.1, the project's achievements, and progress made by the beneficiaries is monitored and refinements in implementation are enacted.

4. Project Progress

4.1 Implementation overview

This reporting phase encompasses the sixth six months' period of the project implementation from August 2015 until the end of January 2016. The list of activities show that two regional training sessions have been delivered, which is two less than during the previous reporting period. However, a total of **twenty-one** national missions have been conducted, compared to eight between February and July 2015, reflecting the intense effort carried out to provide tailor-made assistance.

More than 200 officials have taken part in our activities during this period.

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

4.2 Components

Component 1: Regional Coordination and National Work

Activity 1.1 Steering Committee

The second Steering Committee Meeting of the project was held in Kiev on January 27th, 2016. It was organized jointly with the European Maritime Safety Agency (EMSA). Its purpose was to offer the opportunity to present the results of activities implemented by EMSA and by the main project office, for the participants to present progress achieved in the implementation of the project's overall objective during the past year and express future needs. Participants came from Azerbaijan, Bulgaria, Kazakhstan, Moldova, Turkey and Ukraine. Georgian officials were unfortunately prevented from attending due to weather conditions at Batumi airport.

Ukraine was the host country and Ms. Oksana Reiter, Deputy-Minister at the Ministry of Infrastructure opened the meeting recalling the importance of the maritime transport sector and the relevance of the project.

Project outcomes since the first meeting were presented. All components have been impacted in 2015:

- National support;
- Flag State performance;
- Protection of the marine environment;
- Human element;
- Maritime Security.

Activities performed during February to July 2015 have been described in the fifth progress report, whilst those delivered between August 2015 and January 2016 are covered in the relevant sections of this report.

Lessons learned from these activities are that awareness of issues has been raised, there is progress towards ratification of major conventions, the perspective of the IMO Audit exerts a positive influence and, for the relevant countries, there are benefits from the EU Association Agreement. Problem areas lie with the lack of a systematic approach and of a quality management system, together with a pace of reforms that is often too slow, hindering progress, or too hasty, generating instability.

Mr. Giuseppe Russo, officer in charge of training and cooperation at EMSA, detailed the activities implemented by the agency in 2015, for flag State implementation, port and coast State control. EMSA provides training and services to the project's beneficiaries. The agency has now well-established communication channels with the partners, fosters regional exchanges, provides operational support and exchange of best practices with EU member States.

Dr. Koetz, Human resources Expert, delivered lectures on human resources management and how to optimize performance with limited resources.

The project's Task Manager, Mr. Stefaan Bil, DG/NEAR presented an action plan for the follow-up project that will start next year.

The need was identified for the smooth hand-over of this project's results and good practices to EMSA at the end of the project's lifetime for their use in EMSA's future activities in the region.

Beneficiaries then presented their latest developments in how they fulfil the project's objectives and what their expectations are for the next project phase.

EMSA and the project office then presented their plan of activities for the rest of the year 2016.

The Meeting ended with the adoption of conclusions. The Meeting's agenda, list of participants, and conclusions are annexed to this report.

Activity 1.2: National Work Groups activities

Four countries were the main beneficiaries of national work activities:

- Azerbaijan,
- Georgia,
- Kazakhstan and
- Ukraine.

The domains covered were:

- Preparations to the IMO Audit Scheme (Component 2)
- Port Reception Facilities (Component 4)
- ILO MLC, 2006 (Component 5)

Several activities that were undertaken or continued during the previous reporting period have now been achieved. For the sake of clarity, details and status are reported under their respective components.

Component 2: Flag State performance

Activity 2.1: Strengthening the model for flag State administrations (IMSAS preparations)

It was reported six months ago that Azerbaijan and Kazakhstan had requested the project's assistance in their preparations to the Audit Scheme. Following preparatory sessions in these countries in the first half of the year 2015, a mock-Audit took place in Baku, and a second preparatory session in Astana. The mock-Audit in Baku confirmed the value of the exercise. In particular, due to the preparations by Azerbaijan, it has been possible to involve agencies and organizations beyond the Maritime Authorities. The mock audit model proved again successful. Its main outcome is to provide to the audited State a report from which it can draft a corrective action plan for the actual audit. The mock audit of Kazakhstan is planned for April 2016.

Component 4: Protection of the Marine Environment

Activity 4.1: Port Reception Facilities / Update of the Port Waste Management plan in Ukraine

The workgroup that started its activities in the beginning of 2015 has now finished its work. The outcomes are a port waste management plan which is compliant with the provisions of Directive EC/2000/59 on port reception facilities for ship-generated waste and cargo residues. At national level, guidelines for a regulation on port reception facilities for ship generated waste and cargo residues has been drafted for the benefit of the Ministry of Infrastructures. A national workshop in Kiev with both Ukrainian Seaport Authority (USPA) and Ministry representatives fostered a fruitful exchange. One remaining obstacle to full compliance with the Directive's provisions is the establishment of a transparent, fair and non-discriminatory fee system. Guidelines have been provided to that effect.

Activity 4.2 Supporting activities related to prevention of pollution by oil.

One of the outcomes of the regional workshop delivered in Chisinau, Moldova, between 21 and 23 July 2015 was that the beneficiaries needed further guidance. Consequently, it was decided to dispatch an expert in the field to provide national guidance on the implementation of the MARPOL Convention. The expert visited Azerbaijan, Georgia, Kazakhstan, Moldova and Ukraine between November 2015 and January 2016. Reports confirm that there is room for improvement and appropriate recommendations have been issued.

Activity 4.4 – b & d Anti Fouling Systems Convention Seminar, Ballast Water Management Convention Seminar.

Those two Seminars were held back to back in Astana, Kazakhstan to promote awareness in the Caspian Sea region and to support preparatory steps for the implementation of the Ballast Water Management Convention (BWMC), 2004, and of the Anti-Fouling Systems Convention, 2001. The impact of introduced species was demonstrated to understand the trigger leading to BWMC. Thereafter, the issues associated with the implementation of the Convention and the respective roles and obligations of the Flag, Coastal and Port State were discussed. Options for Port State Control of ballast water management standards and sampling (Compliance Monitoring and Enforcement (CME)) were presented. The experts shared their practical knowledge and ensured that the participants understood the CME system of the BWMC, the different sampling methods and approaches and also the different sample analyses. On the last day, the audience was presented with the Antifouling Systems (AFS) Convention. After discussing the motivation and history for the AFS Convention, the Convention itself and the Guidelines supporting the convention were detailed. In the final session the obligations of parties to the Convention were considered.

Activity 4.4 – c Handling of dangerous goods (IMDG Code)

The recruited expert carried out his assignment in Azerbaijan, Georgia, Kazakhstan, Moldova and Ukraine in September 2015. He evaluated, for each partner, the needs related to the implementation of international standards on the handling, transport and storage of dangerous cargoes on ships and in port areas, and provided a risk analysis in the same

countries to facilitate the preparation of emergency plans, together with administrative and technical advice to comply with the requirements of the SOLAS Convention and the IMDG Code. Reports show an overall poor level of implementation, and a high degree of risks in some countries.

Component 5: Human Element

Activity 5.3. 1: Training to the ILO MLC, 2006

National training

Following the successful delivery of the regional workshop on the Maritime Labour Convention of the ILO (ILO MLC) that was organized in Batumi, Georgia, from 19 to 21 May 2015, Azerbaijan requested the delivery of a national workshop on the subject that would be targeted at maritime stakeholders and civil society (e.g. maritime lawyers). The workshop took place in Baku on 13 and 14 October 2015. It covered the legal aspects of the Convention and focused on the consequences for seafarers, manning agencies and shipping operators. This task was organized on top of the planned program of activities.

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

The work carried out under this activity related mostly to drafting of legislation, work which is now finalized, as planned. Draft legislation has been reviewed and completed. It is annexed to the report, together with a final report on the activity.

Component 6: Security of ships and ports

Activity 6.1: Organization of training for staff

Two national training sessions were organized in Kiev, Ukraine, and Baku, Azerbaijan, respectively during the reporting period. Both trainings were part of the regular training programme and were very well received. The practical, hands-on approach is the appropriate one for the topic. Training in Moldova is planned for the next reporting period.

Component 7: Visibility

The web page of the project is regularly updated and regional training sessions presentations, documentation and reports are published in both English and Russian language versions. The project has published its 2016 Calendar.

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 with the Black Sea Commission took a concrete turn with the delivery of the MARPOL Seminar.

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

Cooperation with EMSA was concretized during the previous reporting period with the joint organization of the first, and now also second, Project Steering Committee meeting reported above. Informal exchanges of information will continue. EMSA officers are welcome to attend the project's activities they consider of particular relevance and the project team is fully available to share good practices and ensure a smooth hand-over of project results to EMSA who will continue the efforts in the region after the completion of this project.

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
Odessa, Ukraine	19-20 August 2015	KE1, SNKE	PWM Workshop
Kiev/Odessa, Ukraine	7-8 September 2015	SNKE	Ukraine IMDG compliance review
Batumi, Georgia	9-10 September 2015	SNKE	Georgia IMDG compliance review
Baku, Azerbaijan	14-15 September 2015	SNKE	Azerbaijan IMDG compliance review
Chisinau, Moldova	17-18 September 2015	SNKE	Moldova IMDG compliance review
Astana/Aktau, Kazakhstan	21-22 September 2015	SNKE	Kazakhstan IMDG compliance review
Kiev, Ukraine	21 September 2015	KE1, KE3, JNKE	Meeting with Ukrainian Maritime Authorities
Baku, Azerbaijan	13-14 October 2015	KE1, KE3, SNKE	National MLC Workshop
Baku, Azerbaijan	20-23 October 2015	SNKE	National ISPS Training
Kiev, Ukraine	5 November 2015	KE1, JNKE	Meeting with Ukrainian Maritime Authorities
Baku, Azerbaijan	11-12 November 2015	SNKE	Azerbaijan MARPOL compliance review
Astana, Kazakhstan	16-17 November 2015	SNKE	Kazakhstan MARPOL compliance review
Batumi, Georgia	19-20 November 2015	SNKE	Georgia MARPOL compliance review
Astana, Kazakhstan	30 November – 1 December 2015	KE1, KE3,	IMSAS preparation NWG meeting
Astana, Kazakhstan	2-4 December 2015	KE1, KE3, 2 SNKEs	BWM/AFS Seminar
Chisinau, Moldova	7-8 December 2015	SNKE	Moldova MARPOL compliance review

Country / Organization	Date	Team Mobilization	Event
Baku, Azerbaijan	7-10 December 2015	KE1, 2 SNKEs	Mock Audit
Kiev, Ukraine	11 January 2016	KE1, SNKE, JNKE	Meeting on the National Waste Management Plan
Kiev, Ukraine	12-15 January 2016	KE1, SNKE,	National ISPS Training
Odessa, Ukraine	13-14 January 2016	SNKE	Expert's mission on final revision of Waste Management Plan for USPA
Kiev, Ukraine	20-21 January 2016	SNKE	Ukraine MARPOL compliance review
Kiev, Ukraine	27 January 2016	Project Team, SNKE	2 nd Project Steering Committee meeting



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


Table 2: Working time allocation / balance


Expert	Total (including extension)	Balance 01/08/15	Resources consumption during reporting period							Total for the period	Balance 01/02/16
			Component 1	Component 2	Component 4	Component 5	Component 6	Component 7			
KE1	775	191,5	32	10	35	17	15	3	112	79,50	
KE2	44	0							0	0	
KE3	525	193	30	12	21				63	130,00	
SSTEs	752	384,00	23	25	140	20	17,5		225,5	158,50	
JSTEs	357	151,00	11	6	10	16	11	12	66	85,00	


Table 3: Resource consumption per task

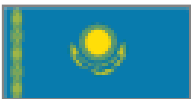
Expert	Activity 1.1	Activity 1.2	Activity 2.1	Activity 4.1	Activity 4.2	Activity 4.4	Activity 5.3.1	Activity 5.3.3	Activity 6.1	Activity 7.2
KE1	20	12	10	12	13	10	7	10	15	3
KE2										
KE3	5	25	12		10	11				
SSTEs	6	17	25	47	52	41	10	10	17,5	
JSTEs	6	5	6	3	3	4		16	11	12


4.4 Project Progress in the reporting period in the beneficiaries

	Armenia: n/a
Inception	
Component 1 Regional coordination	
Component 2 Flag State Implementation	
Component 4 Protection of the marine environment	
Component 5 Human element	
Component 6 Ports and ships security	
Component 7 Visibility and communication	

	Azerbaijan
Inception	
Component 1 Regional coordination	Azerbaijan participated in the second Steering Committee Meeting of the project.
Component 2 Flag State Implementation	The IMO mock-audit took place between 7 and 10 December 2015.
Component 4 Protection of the marine environment	Azerbaijan participated in the regional activities on the Anti-Fouling Systems and Ballast Water Management Conventions. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
Component 5 Human element	Azerbaijan hosted, at its request, a national workshop on the ILO MLC, 2006.
Component 6 Ports and ships security	National training on the ISPS Code was delivered.
Component 7 Visibility and communication	

	Georgia
Inception	
Component 1 Regional coordination	Weather conditions prevented Georgia from attending the second Steering Committee Meeting of the project.
Component 2 Flag State Implementation	
Component 4 Protection of the marine environment	Georgia participated in the regional activities on the Anti-Fouling Systems and Ballast Water Management Conventions. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
Component 5 Human element	Work on ratification of the ILO MLC is now completed. Draft legislation has been submitted.
Component 6 Ports and ships security	
Component 7 Visibility and communication	


	Kazakhstan
Inception	
Component 1 Regional coordination	A second mission on IMSAS preparation was held on 30 November – 1 December 2015. Kazakhstan participated in the second Steering Committee Meeting of the project.
Component 2 Flag State Implementation	
Component 4 Protection of the marine environment	Kazakhstan hosted the regional seminar on the Anti-Fouling and Ballast Water Conventions that was held between 2 and 4 December 2015. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
Component 5 Human element	
Component 6 Ports and ships security	
Component 7 Visibility and communication	


	Kyrgyzstan: n/a
Inception	
Component 1 Regional coordination	
Component 2 Flag State Implementation	
Component 3 Safety of Navigation	
Component 4 Protection of the marine environment	
Component 5 Human element	
Component 6 Ports and ships security	
Component 7 Visibility and communication	


	Moldova
Inception	
Component 1 Regional coordination	Moldova participated in the second Steering Committee Meeting of the project.
Component 2 Flag State Implementation	
Component 4 Protection of the marine environment	Moldova participated in the regional activities on the Anti-Fouling Systems and Ballast Water Management Conventions. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
Component 5 Human element	
Component 6 Ports and ships security	
Component 7 Visibility and communication	




Tajikistan: n/a

	Turkey
Component 1 Regional coordination	Turkey participated in the second Steering Committee Meeting of the project.
Component 2 Flag State Implementation	
Component 4 Protection of the marine environment	
Component 5 Human element	
Component 6 Ports and ships security	
Component 7 Visibility and communication	

	Turkmenistan
Inception	
Component 1 Regional coordination	
Component 2 Flag State Implementation	
Component 4 Protection of the marine environment	
Component 5 Human element	
Component 6 Ports and ships security	
Component 7 Visibility and communication	

	Ukraine
Inception	Ukraine is the host country of the TRACECA Maritime project.
Component 1 Regional coordination	Ukraine hosted the second Steering Committee Meeting of the project on 27 th January 2016.
Component 2 Flag State Implementation	
Component 4 Protection of the marine environment	Ukraine participated in the regional activities on the Anti-Fouling Systems and Ballast Water Management Conventions. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
Component 5 Human element	
Component 6 Ports and ships security	National training on the ISPS Code was delivered.
Component 7 Visibility and communication	

	Uzbekistan: n/a
Inception	
Component 1 Regional coordination	
Component 2 Flag State Implementation	
Component 3 Safety of Navigation	
Component 4 Protection of the marine environment	
Component 5 Human element	
Component 6 Ports and ships security	
Component 7 Visibility and communication	

5. Project planning

This chapter provides planning for the project's activities until the end of the project - 15 June 2016.

5.1 Planned activities

As of 1 February 2016, the remaining regional activities to be organized according to the Inception Report are:

Component 4: Workshop on Places of Refuge

This workshop 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. It is scheduled to take place during week 19 (9-13 May) in Kiev, Ukraine.

Component 4: Mobile Offshore Drilling Units (MODU) Workshop

In view of assessment made and knowledge acquired during the project work, it is clear that the question of legislation for MODUs impacts most partners and in this respect a regional workshop will be organized, with the cooperation of the Black Sea Commission. Invitations have been sent and the workshop will take place on 30-31 March in Baku, Azerbaijan.

Component 5: STCW (Training Standards for Seafarers) Seminar

A regional training will focus on the obligations of Parties to the Convention to ensure compliance with its requirements in terms of certification of seafarers, competencies assessment, investigation of reported failures, withdrawal of certificates. The dates for the training are 9-10 February in Chisinau, Moldova.

Component 6: 3rd Maritime Security Workshop.

The 3rd workshop will take place in Batumi, Georgia, from 1 to 3 March.

Component 1: Project closure meeting

Project closure meeting with hand-over of project's results and good practices will take place at the end of the Project, i.e. in June 2016.

5.2 Additional national activities (in line with Addendum 2)

Component 1: Support to EU Association Agreement implementation

Georgia, Moldova and Ukraine will benefit from a national assistance mission in the form of a two-day workshop followed by a three-day assessment gap analysis of the needs to update legislation to implement the Acquis Communautaire for the maritime transport sector. The mission in Batumi, Georgia, takes place on week 8, 22-26 February. The mission in Chisinau, Moldova, is planned for week 16, and the one in Ukraine tentatively for week 14.

Component 1: Support to bilateral cooperation with Georgia

During the first Steering Committee Meeting, Georgia offered its assistance to Ukraine in benefitting from its experience in improving flag and port State performance, implementation of the IMO Audit Scheme, and how Georgia regained EU recognition of its certificates for seafarers. This offer has been taken up by Ukraine and an official request to support organization of this assistance has been received by the project. A program is being drafted.

Component 4: Support to Georgia for preparations to an effective implementation of MARPOL Annex VI

An expert on MARPOL Annex VI will be assigned the task of drafting Terms of References for a bilateral project that will provide assistance to draft legal acts to assist Georgia in its ratification of said Annex for effective implementation. This task will include a mission in the field with the Maritime Transport Authority of Georgia.

5.3 Additional regional activities (in line with Addendum 2)

Component 2: Training of IMO Auditors

During implementation of assistance to IMSAS preparations, it became clear that the priority laid with training of internal auditors, who would then acquire the knowledge necessary to prepare their countries for the Audit. Beyond that first step, it is important, for the sustainability of the results to train certified IMO auditors who will perform audits in other countries and will be trained and stay up to date in regulatory evolutions. In this respect, an in-depth training will be organized, in cooperation with the IMO in order to ensure that the IMO training standards are complied with. The training is planned for week 21 in Astana, Kazakhstan.

Component 2: To the satisfaction of the Administration

One recurring obstacle to the effective implementation of international maritime conventions is the lack of adoption of national regulations for the conventions' provisions that are "to the satisfaction of the administration". A workshop dedicated to this topic will explain the mechanism of these provisions, raise awareness of the participants of their importance, and how to develop a systematic approach in fulfilling these obligations, update them as needed and disseminate information. The workshop will take place in Istanbul, Turkey, on 26-27 April.



Table 4: Planned activities for the next reporting period and until the project’s end with extension

Activity	Feb. 2016	Mar. 2016	Apr. 2016	May 2016	Jun 2016
Component 4: Workshop on Places of Refuge				X	
Component 4: MODU workshop		X			
Component 5: STCW workshop	X				
Component 6: 3rd ISPS workshop		X			
Component 2: IMO Auditors workshop				X	
Component 2: Administration’s satisfaction measures workshop			X		
Component 2: Mock-Audit Kazakhstan			X		
Component 6: ISPS Training Moldova			X		
Component 1: Support to Ukraine EU-AA			X		
Component 1: Bilateral cooperation GE/UA			X		
Component 1: Support to Moldova			X		
Component 1: Support to Georgia	X				

Table 5: Working time allocation / balance until the project end (with extension)

1. Work allocation

Code	Experts	TOTAL PLAN (work days)	Inception Phase	Comp. 1	Comp. 2	Comp. 3	Comp. 4	Comp. 5	Comp. 6	Comp. 7
KE1 TL	Albert Bergonzo	775	40	225	160	35	140	115	20	40
KE2	Rene Kist	569	10			44				
KE3	Stephan Assheuer		15	130	215		90	50		15
	TOTAL KEY EXPERTS	1344								
	<i>Short-Term Non Key experts</i>									
SSTE	TOTAL SSTE EXPERTS	752		153	81	40	154	174	116	34
JSTE	TOTAL JSTE EXPERTS	357	10	172	41		19	47	12	56
	TOTAL WORKING DAYS	2453	75	680	497	119	403	386	148	145

2. Planned for next reporting period

Expert	Total Quantity (including extension)	Balance 01/02/16	Component 1	Component 2	Component 4	Component 5	Component 6	Component 7	Total for the period	Balance 15/06/16
KE1	775	79,50	25	15	14	10	12	2	78	1.5
KE2	44	0								
KE3	525	130,00	30	20	15	15		5	80	50,00
SSTEs	752	158,50	73,5	40	30	5	10		158,50	0
JSTEs	357	85	45		10	5	10	15	85	0

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	Delivered
		Team mobilization	1 team meeting held in Brussels	1 February 2013	Delivered
		Project office set up	Project office established	February 2013	Delivered
		Contact with beneficiaries	Letters sent to TRACECA NS	March 2013	Delivered
		Project presentation to national authorities	6 missions in the beneficiaries	June – July 2013	Delivered
Component 1: Regional coordination					
1.1	Steering Committee Meetings	Priority actions for sustainable project results	2 Steering Committee meetings		Delivered
1.2	National Working groups	Recommendations for fulfillment of project objectives at national level	3 national missions per active participating partner		Delivered
1.3	Support to Association Agreement implementation	Capacity-building for sustainable implementation for Georgia, Moldova and Ukraine	3 workshops 3 GAP Analysis 3 roadmaps	New activity	On-going
Component 2: Flag State implementation					
2.1.a	Maritime Administration Review	Recommendation for increased compliance with EU regulations and international maritime Conventions	2 National in-depth reviews, 2 GAP analyses, 3 assessments	Preliminary assessment performed following project presentation to national authorities	Delivered
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	Delivered

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
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	Delivered
2.2.b	Recognized Organization Monitoring Workshop	Recommendations for effective monitoring mechanisms	1 regional workshop delivery		Delivered
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		Delivered
2.7	IMSAS Auditors training	Participants trained to IMO standards with capacity to be nominated as auditors	1 regional training	New activity	Not started
2.8	Administration discretion in Convention implementation	Participants trained to implement a systematic and efficient approach to such Conventions' provisions	1 regional workshop	New activity	Not started
Component 3: Safety of navigation					
3.1	Vessel Traffic Systems (VTS) Assessment	Update on VTS status in beneficiaries	1 report on Identification of equipment, local experts and training institutions	Relevant for coastal States	Delivered

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
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	Delivered
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		Delivered
4.2.a	In the field MARPOL assessment	Recommendations for each concerned beneficiary on effective MARPOL implementation	5 missions in the field (AZ, GE, KZ, MD, UA) 5 national reports	New activity	Delivered
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	Delivered
4.3.a	MARPOL Annex VI ToR in Georgia	Terms of Reference for a project on MARPOL Annex VI ratification	1 field mission Draft ToR for a bilateral support project for Annex VI ratification	New activity	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

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
4.4.b	Anti-Fouling Systems Convention Workshop	Exchange of views regarding best practices on surveys and inspections	1 regional workshop		Delivered
4.4.c	Dangerous Goods (IMDG Code)	Needs assessment and risk analysis for the beneficiaries	1 evaluation per country 1 risk analysis per country		Delivered
4.4.d	Ballast Water Mgmt. Conv. Course	Awareness raising on BWM issues	1 regional course		Delivered
4.5	<i>CleanSeaNet Introductory Workshop (optional)</i>	<i>Awareness raising on ClenSeaNet service</i>	<i>1 regional workshop</i>		<i>Transferred</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>Superseded</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		Delivered
5.2	Standards Training Certification & Watchkeeping Convention Course	Awareness raising on the obligations of parties	1 regional training		Launched
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	Delivered
5.3.b	ILO MLC 2006 Training	Training of managers and surveyors	2 regional trainings	For beneficiaries at an advanced stage of ratification	Delivered
Component 6: Ports & ships security					
6.1.a	Ports & Ships Security (ISPS Code) training needs assessment	Training program	1 Draft training programme per active partner		Delivered
6.1.b	ISPS Training	Awareness-raising and capacity-building for ISPS	1 National training per active partner		On-going

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
6.2	ISPS Workshops	Promotion of reforms for an effective ISPS implementation and exchange of views	3 regional workshops		On-going
Component 7: Visibility and communication					
7.1	Communication Strategy development	Communication strategy	1 Technical report		Strategy drafted
7.2	Dissemination activities	Increased project visibility	Participation to 3 professional events, dissemination of project information, systematic dissemination of project material, systematic upload of information and documents		On-going



Annexes

- Annex 1 Report on the National Workshop on Strengthening of national legislation regarding port reception facilities for ship generated waste and cargo residue, Odessa, Ukraine
- Annex 2 Reports on Needs assessment and risk analysis on the implementation of the IMDG code in Azerbaijan, Georgia, Kazakhstan, Moldova, Ukraine
- Annex 3 Report on Maritime Labour Convention National Workshop, Azerbaijan
- Annex 4 Report on National ISPS Training, Azerbaijan
- Annex 5 Reports on the Overview of compliance/enforcement of the MARPOL Convention in Azerbaijan, Georgia, Kazakhstan, Moldova, Ukraine
- Annex 6 Report on the 2nd Mission for the preparation of the IMO Member state Audit, Kazakhstan
- Annex 7 Report on the Seminar on Ballast Water Management and harmful Anti Fouling Systems, Astana
- Annex 8 Report on Mock audit of the maritime sector of the Republic of Azerbaijan
- Annex 9 Report on the National Workshop on Strengthening of national legislation regarding port reception facilities for ship generated waste and cargo residue, Kiev/Odessa, Ukraine
- Annex 10 Report on National ISPS Training, Ukraine
- Annex 11 2nd Steering Committee meeting (Agenda, participants, conclusions)