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## TRACECA Maritime Safety and Security II

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



Final Report

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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.

The report provides information on the entire project and elaborates on the final period beginning February 2016, documents the plan of the project team as achieved at the end of the project in the context of situation with local stakeholders and cooperation with project partners and target groups. Table 6 is presented with the perspective of the objectives of the project and lists the identified missions and events. The current report delivers an overview on the results of the country based activities of each particular component.

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 this last reporting period. All project's activities originally planned and later added have been delivered.

Three missions related to the support of Georgia, Moldova and Ukraine in implementing EU legislation as required through their individual EU Association Agreements have been successfully conducted. In terms of flag State performance, the project has performed a mock-audit of Kazakhstan in its preparation to the IMO Audit Scheme and conducted a seminar related to regulations in international instruments left to the discretion of the Administration. With particular relevance for those countries involved in offshore oil exploration activities was a seminar dealing with regulatory requirements for Mobile Offshore Drilling Units (MODUs). In Georgia, a national task to support the preparation for the ratification of MARPOL Annex VI has been conducted. Efforts in national training for Maritime Security were pursued with the final session in Moldova. On request of the Ukraine and with the kind support of the Maritime Administration of Georgia, the project organized a one week bilateral exchange of experience between Ukraine and Georgia, in Georgia.

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 was high. This was one of the necessary conditions to achieve concrete results and advance towards the fulfilment of the objectives of the project, and allowed 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 included:

Long-Term Key Experts:

*Team Leader:* 775 MD

*Senior Experts:* 511,5 MD

Short-Term Experts:

*Senior Experts:* 800,5 MD

*Junior Experts:* 337 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**

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 was not possible to achieve substantial results out of the various meetings that took place with the Ukrainian Authorities of the time. Contacts with Turkmenistan were 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 were in line with the activities identified in the inception report. However, the outcome of the assessment missions were used to fine tune the programmes and focus on the



priorities identified to achieve the project's objectives. The refinement was an ongoing process in view of the rapidly changing context.

- 5) Training delivery: the TRACECA Maritime project was designed mainly for capacity-building. In line with this design, the majority of the project resources were devoted to the delivery of training activities. Training began at the end of the first year of the project and was 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 were monitored and refinements in implementation were enacted.

## **4. Project Progress**

### **4.1 Implementation overview**

This reporting phase encompasses the seventh and final period of the project implementation from February 2016 until the end of the project 15 June 2016. The list of activities shows that 6 regional training sessions have been delivered, out of a total of 24 regional activities conducted during the project. In addition 7 national missions out of a total of 28 national missions have been conducted, 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**

*Activities 1.2 and 1.3: National Work Groups activities*

Four countries were the main beneficiaries of national work activities:

- Georgia,
- Moldova,
- Kazakhstan and
- Ukraine.

The domains covered were:

- Support to the implementation of the EU Association Agreement (Component 1.3)
- Preparations to the IMO Audit Scheme, Mock Audit (Component 2)
- MARPOL Annex VI ratification (Component 4)
- ISPS national training (Component 6)

All 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.

*Activity 1.2: Support to bilateral Cooperation Ukraine - 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. This exchange of experience took place in Batumi, Georgia between 22 and 25 March 2016.

Ukrainian participants from the Ministry of Infrastructure were exposed to the details of the reform process from the neighbouring Black Sea country, with comparable recent history, and that conferred a high value to the sharing of experience. All main topics relevant for a maritime administration were covered, from an organizational as well as actual enforcement point of view, including the Georgian activities initiated following the withdrawal by the EU of the recognition of seafarer certificates to regain that recognition. Demonstrating that reform is possible, produces results and is sustainable had a noticeable impact on the Ukrainian participants and it is hoped that the message will be forwarded in Kiev.

*Activity 1.3: Support to Association Agreement implementation*

In view of the signing, in 2015, of the Association Agreement (AA) between the EU and Georgia, Moldova and the Ukraine, this project was extended in order to specifically assist these three partners in their implementation of this Association Agreement. Under Component 1 of the Project, which deals with national work in the beneficiaries a more focused approach was initiated to assist these three countries in their implementation of the relevant section on Maritime Transport and the approximation to the maritime related EU legislation as indicated in the EU AA agreements with the three individual countries.

In this respect, a two-day Workshop followed by a three day GAP analysis was organised, between Monday 22 and Friday 26 February 2016, in Batumi, Georgia, as part of a one-week mission to Georgia in order to assist the Georgian maritime administration on the integration of the EU maritime transport legislation.

A two-day Workshop was subsequently organised, between Monday 4 and Tuesday 5 April 2016, followed by a three day table-top exercise from Wednesday 6th to Friday 8th April 2016, in Kiev, Ukraine, as part of a one-week mission to the Ukraine in order to assist the Ukrainian maritime administration on the integration of the EU maritime transport legislation. In co-ordination with the EU Delegation in Kiev, the Task Manager and the Ukrainian Ministry of Transport the table-top exercise focused on dedicated EU instruments in order to avoid an overlapping with other activities.

Finally a two-day Workshop was organised, between Monday 18 and Tuesday 19 April 2016, followed by a 3-day GAP analysis from Wednesday 20th to Friday 22th April 2016, in Chisinau, Moldova, as part of a one-week mission to the Republic of Moldova in order to



assist the Moldovan maritime administration in a similar way on the integration of the EU maritime transport legislation.

## Component 2: Flag State performance

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

It was reported in Progress Report V and VI 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, in second half of 2015 the activity was successfully concluded in Azerbaijan while in Kazakhstan a mock-Audit took place in Astana and Aktau in April 2016. The mock-Audit in Kazakhstan again confirmed the value of the exercise. In particular, due to the preparatory activities, 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 develop a corrective action plan for the actual audit.

### *Activity 2.7: Seminar on Administration discretion in Convention implementation*

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 was organized on 26 – 27 April 2016 in Istanbul, Turkey, to explain the mechanism of these provisions, raise awareness of the participants of their importance, and show how to develop a systematic approach in fulfilling these obligations, update them as needed and disseminate information.

The seminar introduced the various occurrences of regulations left to the satisfaction of the administration in international instruments and discussed different approaches and experiences how to address such regulations. Through a group work session the participants were invited to develop practical solutions for typical situations.

### *Activity 2.8: IMSAS Auditors Training*

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 was organized, in cooperation with the IMO in order to ensure that the IMO training standards are complied with. The training course took place 23 – 27 May in Kiev, Ukraine.

The objective of the training course was to adequately train personnel to undertake audits under the IMO Member State Audit Scheme (IMSAS) based on the scheme developed by the International Maritime Organization. The training course, in addition, envisaged augmentation of the beneficiary States' audit capacity with a view to enhancing further the global and uniform implementation of applicable IMO instruments. On completion of this training course, participants were expected to assist their administrations prepare for the



Member State audit by performing internal audits of their own administrations, and to be nominated to the IMO by their Administrations to participate in IMO audit teams. The training course was completed successfully and the objectives were met.

#### Component 4: Protection of the Marine Environment

##### *Activity 4.3a: MARPOL Annex VI ToR in Georgia*

Following the seminar organized by the project in July 2015 updating the participants on the latest developments of the MARPOL Convention, including Annex VI, Georgia has asked the project with support to prepare the ratification of Annex VI of MARPOL. Under the terms of an Association Agreement with the European Union, Georgia has committed to integrate Directive 1999/32/EC of 26 April 1999 as amended relating to a reduction of sulphur content of certain liquid fuels. The project supported Georgia by fulfilling the following tasks.

An expert on MARPOL Annex VI was assigned to conduct an Impact Study of MARPOL Annex VI Ratification on Georgia. This task included a mission in the field with the Maritime Transport Authority of Georgia which was conducted 16 – 19 May 2016. The impact study has covered legal implications, technical issues, impact on the fleet and potential growth, feasibility and time-frame. Recommendations on a way forward have been developed in the form of terms of reference for the further activities to be implemented by Georgia in order to successfully ratify the convention.

##### *Activity 4.4a: Seminar on Places of Refuge*

A training course on Granting Places of Refuge to Ships in Need of Assistance was organized in Kiev, Ukraine from 11 to 12 May 2016. This training course was intended to support the overall objectives of Activity 4.4 of the TRACECA project. In order to enable individual administrations to critically evaluate their capabilities for granting places of refuge to ships in need of assistance, it is beneficial to train key staff for various purposes and tasks under the relevant IMO and EU guidelines and frameworks. The training course was therefore intended to train participants to evaluate to which extent their home countries would be able to grant places of refuge to ships in need of assistance in accordance with IMO Resolutions A.949(23) – Guidelines for places of refuge for ships in need of assistance and A.950(23) – Maritime Assistance Services (MAS). Furthermore the recently published EMSA Places of Refuge EU Operational Guidelines were added to the course content as an example of good practice.

##### *Activity 4.7 : MODU Seminar*

A seminar related to the regulatory framework applicable to MODUs was conducted on 30 and 31 March in Baku, Azerbaijan. The seminar was focused on conformity of all kinds of MOUs (all Mobile Offshore Units, not limited to Drilling units).

The following topics were presented and discussed:

- Coastal state obligations from the SOLAS convention;
- Last reviews of MOU codes and recommendations: MODU code, Training of personnel on MOUs, review of LSA for MOUs;
- Measures to harmonize port state control for MODUs;

- Implementation of STCW convention to MOUs;
- Implementation of ISM and ISPS codes on MOUs;
- Application of provisions to FPSOs and FSUs;
- Incident & Casualty investigations with the recent result of the DWH disaster in Gulf of Mexico: proposed amendments in the air at IMO;
- Some involvement from the flags;
- The impact of Recognized organizations working on behalf the flags;
- Impact of private surveying organizations like IADC (International Association of Drilling contractors US) and IMCA (international maritime contractor association (UK)

## **Component 5: Human Element**

### *Activity 5.2: STCW Seminar*

The two-day seminar was conducted in Chisinau, Moldova. By means of presentations and group work the seminar highlighted the importance of the proper implementation of the STCW Convention on ships on international voyages and showed ways to promote unified and harmonized implementation of the national and international standards dealing with maritime education and training, certification and watch keeping.

## **Component 6: Security of ships and ports**

### *Activity 6.1.b: National ISPS training*

The last national training session on ISPS was organized in Chisinau, Moldova during 12 -15 April 2016. The training was part of the regular training programme and was very well received. The practical, hands-on approach is the appropriate one for the topic. With this training all envisaged national ISPS trainings have been delivered.

### *Activity 6.2 Organising exchange of experiences and best practices on maritime security, 3<sup>rd</sup> ISPS Workshop*

The third workshop on exchanges of best practices in maritime security was held in Batumi, Georgia, on 1-3 March 2016. This format of yearly workshops has proven to be successful to allow participants to exchange experiences and get updated on the evolutions. In particular, the presence of a representative from the European Commission (DG/MOVE) allows participants to benefit from most recent information and analyses of actions taken at EU level. The presence of the indirect beneficiaries, Bulgaria and Romania, also adds to the interest of the meetings. Besides the exchange of experience this third edition was devoted to the latest draft of IMO guidance and a field study in the port of Batumi. The yearly workshop was also a tool to monitor progress in the beneficiaries, and follow up of an action plan as agreed in the early stage.

## **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. Opportunities presenting the project at regional conferences as well as IMO conferences were used to present the project to maritime stakeholders in charge of ship safety and security activities. During seminars and other activities organized by the project, working material provided to the participants was carrying the corporate identity of the project. The project has published in 2015 and 2016 Calendars distributed amongst the key personnel of the beneficiary countries. Press-release covering Second Steering Committee was issued. The End-of-the project electronic brochure was prepared and disseminated.

#### **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 was 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 continued. EMSA officers were 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 were kept informed of the project's activities.

**Table 1: List of missions, meetings and events**

<b>Country / Organization</b>	<b>Date</b>	<b>Team Mobilization</b>	<b>Event</b>
Chisinau, Moldova	9-10 February 2016	KE3, SNKE	STCW Seminar
Batumi, Georgia	22-26 February 2016	KE3, SNKE, JNKE	EU AA support mission in Georgia
Batumi, Georgia	1-3 March 2016	SNKE	3 <sup>rd</sup> ISPS Workshop
Batumi, Georgia	22-25 March 2016	KE1	Support to bilateral cooperation with Georgia
Baku, Azerbaijan	30-31 March 2016	KE3, SNKE	MODU Seminar
Kiev, Ukraine	4-8 April 2016	KE1, KE3, SNKE, JNKE	EU AA support mission in Ukraine
Astana/Aktau, Kazakhstan	11-15 April 2016	KE1, 2 SNKEs	Mock Audit in Kazakhstan
Chisinau, Moldova	12-15 April 2016	SNKE	National ISPS training
Chisinau, Moldova	18-22 April 2016	KE3, SNKE	EU AA support mission in Moldova
Istanbul, Turkey	26-27 April 2016	KE3, SNKE	Seminar on Administration discretion in Convention implementation
Kiev, Ukraine	11-12 May 2016	KE1, SNKE, JNKE	Seminar on Places of Refuge
Batumi, Georgia	16-18 May 2016	SNKE	MARPOL Annex VI ToR in Georgia
Kiev, Ukraine	23-27 May 2016	KE1, KE3, 2 SNKEs, JNKE	IMSAS Auditors Training



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

**Table 2: Working time allocation / balance**


Resources consumption during reporting period									
Expert	Total (including extension)	Component 1	Component 2	Component 4	Component 5	Component 6	Component 7	Total for the period	Balance 15/06/16
KE1	775	26,5	15	14	10	12	2	79,5	0
KE2	44							0	0
KE3	467,5	25	17	13	13		4,5	72,5	0
SSTEs	800,5	50	77	47	10	23		207	0
JSTEs	337	30	10	7	4	5	9	65	0


**Table 3: Total utilization of working days for the whole project**

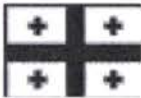
Code	Experts	TOTAL UTILIZED WORKING DAYS
KE1 TL	Albert Bergonzo	775
KE2	Rene Kist	511.5
KE3	Stephan Assheuer	
	<b>TOTAL KEY EXPERTS</b>	<b>1286.5</b>
	<i>Short-Term Non Key experts</i>	
SSTE	<b>TOTAL SSTE EXPERTS</b>	<b>800.5</b>
JSTE	<b>TOTAL JSTE EXPERTS</b>	<b>337</b>
	<b>TOTAL WORKING DAYS</b>	<b>2424</b>




#### 4.4 Project Progress in the reporting period in the beneficiaries

	<p><b>Armenia</b></p>
<p><b>Inception</b></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 remained pending and the project team was open to pursue cooperation at any time.</p>
<p><b>Component 1 Regional coordination</b></p>	<p>A proposal for assistance to establishment of a national ship register was put forward on September 2013. During the first project Steering Committee Meeting, Armenia reiterated orally its request for assistance for a ship register. A written confirmation awaited by the project office was not received.</p>
<p><b>Component 2 Flag State Implementation</b></p>	
<p><b>Component 4 Protection of the marine environment</b></p>	
<p><b>Component 5 Human element</b></p>	
<p><b>Component 6 Ports and ships security</b></p>	
<p><b>Component 7 Visibility and communication</b></p>	<p>The project was presented to the national authorities.</p>


	<b>Azerbaijan</b>
<b>Inception</b>	Azerbaijan has been the subject of two missions during the inception period. The National TRACECA Secretary was visited on 12 March 2013 and the project was presented. A preliminary mission to the national authorities took place during 11-12 July 2013.
<b>Component 1 Regional coordination</b>	On request, Azerbaijan was supported in its preparations for the IMO Member State Audit Scheme. An IMO mock-audit took place in December 2015. Azerbaijan participated in the Steering Committee Meetings of the project.
<b>Component 2 Flag State Implementation</b>	A GAP analysis was performed in Baku from 21 to 25 October 2013. Azerbaijan participated in all regional activities of the project.
<b>Component 4 Protection of the marine environment</b>	Azerbaijan participated in all regional activities of the project.
<b>Component 5 Human element</b>	Azerbaijan participated in all regional activities of the project. Azerbaijan hosted, at its request, a national workshop on the ILO MLC, 2006. Azerbaijan was granted two fellowships to the ILO International Training Centre in Turin, Italy, on national legal implementation of the ILO MLC.
<b>Component 6 Ports and ships security</b>	National training on the ISPS Code was delivered. Azerbaijan participated in all regional activities of the project.
<b>Component 7 Visibility and communication</b>	The project was presented to the national authorities.


	<b>Georgia</b>
<b>Inception</b>	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.
<b>Component 1 Regional coordination</b>	On request, Georgia was supported in its preparations for the Voluntary IMO Member State Audit Scheme. An IMO mock-audit took place in November 2014. Georgia passed the VIMSAS successfully in Spring 2015. Georgia participated in the first Steering Committee Meeting. Weather conditions prevented Georgia from attending the second Steering Committee Meeting of the project. Georgia hosted a visit for an exchange of experience between Ukraine and Georgian Experts. The project organized a seminar and a GAP analysis to support Georgia in the implementation of the EU AA agreement.
<b>Component 2 Flag State Implementation</b>	A GAP Analysis was performed in Batumi from 14 to 19 September 2013. Georgia participated in all regional activities of the project.
<b>Component 4 Protection of the marine environment</b>	Georgia participated in all regional activities of the project. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
<b>Component 5 Human element</b>	Georgia participated in all regional activities of the project. On request, Work on ratification of the ILO MLC was conducted. Assessment of existing legislation was made, and the consultation with stakeholders was held in Batumi on 9 March 2015. The work on ratification of the ILO MLC is completed. Draft legislation has been submitted.
<b>Component 6 Ports and ships security</b>	Georgia participated in the study carried out for the preparation of the first Maritime Security workshop. ISPS training for Port Security Officers was delivered in Batumi from 17 to 20 November 2014.
<b>Component 7 Visibility and communication</b>	The project was presented to the national authorities.



	<b>Kazakhstan</b>
<b>Inception</b>	Kazakhstan has responded positively to the project's team suggestion to come to present the project to the National Transport Authorities. A planned visit was conducted in connection with the assessment mission.
<b>Component 1 Regional coordination</b>	On request, Kazakhstan was supported in its preparations for the IMO Member State Audit Scheme. A second mission on IMSAS preparation was held on 30 November – 1 December 2015. An IMO mock-audit took place in April 2016. Kazakhstan participated in both Steering Committee Meetings of the project.
<b>Component 2 Flag State Implementation</b>	An assessment mission took place in Astana and Aktau from 28 to 30 January 2014 Kazakhstan participated in all regional activities of the project.
<b>Component 4 Protection of the marine environment</b>	Kazakhstan participated in all regional activities of the project. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
<b>Component 5 Human element</b>	Kazakhstan participated in all regional activities of the project.
<b>Component 6 Ports and ships security</b>	Kazakhstan participated in all regional activities of the project.
<b>Component 7 Visibility and communication</b>	The project was presented to the national authorities



	<b>Kyrgyzstan</b>
<b>Inception</b>	Kyrgyzstan had 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.
<b>Component 1 Regional coordination</b>	
<b>Component 2 Flag State Implementation</b>	
<b>Component 3 Safety of Navigation</b>	
<b>Component 4 Protection of the marine environment</b>	
<b>Component 5 Human element</b>	
<b>Component 6 Ports and ships security</b>	
<b>Component 7 Visibility and communication</b>	The project was presented to the national authorities


	<b>Moldova</b>
<b>Inception</b>	Moldova 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 was carried out in October 2013.
<b>Component 1 Regional coordination</b>	Moldova participated in both Steering Committee Meetings of the project. The project organized a seminar and a GAP analysis to support Moldova in the implementation of the EU AA agreement.
<b>Component 2 Flag State Implementation</b>	Moldova participated in all regional activities of the project.
<b>Component 4 Protection of the marine environment</b>	Moldova participated in the regional activities of the project with exemption of the MODU seminar. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
<b>Component 5 Human element</b>	Moldova participated in all regional activities of the project.
<b>Component 6 Ports and ships security</b>	Moldova participated in all regional activities of the project.
<b>Component 7 Visibility and communication</b>	The project was presented to the national authorities





**Tajikistan: n/a**

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




	<p><b>Turkey</b></p>
<p><b>Component 1 Regional coordination</b></p>	<p>Turkey hosted the first Steering Committee Meeting in Istanbul and participated in both Steering Committee Meetings of the project.</p>
<p><b>Component 2 Flag State Implementation</b></p>	<p>Turkey planned to participate in all regional activities of the project, however due to weather conditions participation in the QMS seminar had to be cancelled.</p>
<p><b>Component 4 Protection of the marine environment</b></p>	<p>Turkey participated in the regional activities of the project other than Ballast Water Management/Anti fouling convention and the Port of Refuge seminars.</p>
<p><b>Component 5 Human element</b></p>	<p>Turkey participated in all regional activities of the project.</p>
<p><b>Component 6 Ports and ships security</b></p>	<p>Turkey participated in two regional ISPS workshops of the project, one also hosted by Turkey</p>
<p><b>Component 7 Visibility and communication</b></p>	

	<b>Turkmenistan</b>
<b>Inception</b>	<p>The contact to the Turkmen Authorities was mostly difficult using formal diplomatic routes through their embassy in Kiev. Briefly a more direct contact had been established with the competent Turkmen authorities and Turkmen officials took part in three of our activities. Due to a change of staff communication went back to initial status.</p>
<b>Component 1 Regional coordination</b>	
<b>Component 2 Flag State Implementation</b>	<p>Turkmenistan took part in the Recognized Organization workshop that was organized in Baku</p>
<b>Component 4 Protection of the marine environment</b>	<p>Turkmenistan participated in the seminar on the MARPOL Convention that was delivered in Chisinau, Moldova, from 21 to 23 July 2015</p>
<b>Component 5 Human element</b>	<p>Turkmenistan participated in the training course on the ISM Code that was delivered in Sofia, Bulgaria, 10-12 November 2014</p>
<b>Component 6 Ports and ships security</b>	
<b>Component 7 Visibility and communication</b>	

	<b>Ukraine</b>
<b>Inception</b>	Ukraine is the host country of the TRACECA Maritime project.
<b>Component 1 Regional coordination</b>	Ukraine hosted the second Steering Committee Meeting of the project on 27 <sup>th</sup> January 2016 and participated in both Steering Committee Meetings. Following an official request for assistance, two meetings were held to examine the state of play of the maritime authorities in Ukraine and how to best proceed. Ukraine visited Georgia for an exchange of experience exercise organized by the project. The project organized a seminar and a table-top exercise to support Ukraine in the implementation of the EU AA agreement.
<b>Component 2 Flag State Implementation</b>	Ukraine participated in all regional activities of the project.
<b>Component 4 Protection of the marine environment</b>	Ukraine participated in all regional activities of the project. The country hosted the visits of the experts on MARPOL and IMDG Code implementation assessment.
<b>Component 5 Human element</b>	Ukraine participated in all regional activities of the project.
<b>Component 6 Ports and ships security</b>	Ukraine participated in all regional activities of the project. National training on the ISPS Code was delivered.
<b>Component 7 Visibility and communication</b>	The project was presented to the national authorities



	Uzbekistan: n/a
<b>Inception</b>	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 2013 in Tashkent. No further expression of interest in the projects activities was received.
<b>Component 1 Regional coordination</b>	
<b>Component 2 Flag State Implementation</b>	
<b>Component 3 Safety of Navigation</b>	
<b>Component 4 Protection of the marine environment</b>	
<b>Component 5 Human element</b>	
<b>Component 6 Ports and ships security</b>	
<b>Component 7 Visibility and communication</b>	The project has been presented to the national authorities and logistics companies' representatives.

## **5. Project achievements**

### **5.1 Problems encountered**

No major problems were encountered during the implementation of the project. All minor problems have been solved, and in any case none of them prevented the project's successful completion.

### **5.2 Recommendations**

Below are presented Consultant's recommendations grouped by Component.

#### **Component 1: Regional and national work groups**

On the regional side, following EMSA's direct involvement in the project's component 3, it appeared necessary to establish a forum of exchange with the participation of the beneficiaries. This was set up as the project's Steering Committee. Both committee meetings have proven useful and it is recommended to keep these yearly meetings.

Even if national workgroups as such may not bring that much benefit as long as a tailored approach is kept which takes into account the specific situation of each beneficiary, an activity such as sharing of Georgian experience with Ukraine has brought long-lasting benefits and it is highly recommended to set up such bilateral work group(s).

#### **Component 2: Flag State implementation**

Improvement of flag State performance is a perpetual task. Though the beneficiaries all have varied situations, two common flaws have regularly been found: insufficient level of monitoring of recognized organizations and lack of determination of solutions to the satisfaction of the administration. It is recommended that future activities focus on these tasks. IMSAS preparations and mock-audits have brought tangible benefits and where relevant should be pursued.

#### **Component 4: Protection of the marine environment**

Based on the findings of the national missions regarding MARPOL implementation, it is recommended to devote a substantial share of national tasks resources to MARPOL.

National expertise missions for the level of implementation of the IMDG Code have shown a high, and in some cases very high, level of risk in this sector. Based on the detailed risk assessment that the project has produced, it is recommended to further the work in the beneficiary countries in this respect.

#### **Component 5: Human element**

It is recommended to assess, for each beneficiary, what is the actual status of the ratification process of the ILO MLC, 2006, identify bottlenecks and implement actions aiming at overcoming them.

Regarding implementation of the STCW Convention, it is recommended to focus on the conditions of issuance of certificates in some countries, in order to try to prevent a potential withdrawal of recognition. It is recommended to approach the seafarers' unions in order to gather information as a first step.

#### **Component 6: Maritime Security**

The TRACECA Maritime project has led both regional and national activities in this field. The national trainings programs have been extensive and well-received, and in this regard, pursuance of such training may not be a priority in the next two to three years. However, the annual sharing of experiences has produced positive outcomes, and it is suggested to keep it as a forum, focusing on the regulatory evolutions. The direct participation of the Commission is a very important element of success for these meetings.

### **5.3 Review of Project outputs**

Table 4 overleaf provides a review of the project's outputs against monitoring indicators for the whole duration of the project.



**Table 4: 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
<b>Component 1: Regional coordination</b>					
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	VIMSAS/IMSAS preparations including a mock audit were conducted	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	Additional activity, in case of Ukraine GAP Analysis was modified to a table top exercise.	Delivered
<b>Component 2: Flag State implementation</b>					
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 <sup>st</sup> 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	Additional activity	Delivered
2.8	Administration discretion in Convention implementation	Participants trained to implement a systematic and efficient approach to such Conventions' provisions	1 regional workshop	Additional activity	Delivered
<b>Component 3: Safety of navigation</b>					
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
<b>Component 4: Protection of the marine environment</b>					
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	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	Additional activity	Delivered
4.4.a	Places of Refuge Workshop	Assessment of the effective application of existing regulations and recommendations	1 regional workshop	Relevant for coastal States	Delivered



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 CleanSeaNet 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		Delivered
<b>Component 5: The Human element</b>					
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		Delivered
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
<b>Component 6: Ports &amp; ships security</b>					
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		Delivered
6.2	ISPS Workshops	Promotion of reforms for an effective ISPS implementation and exchange of views	3 regional workshops		Delivered
<b>Component 7: Visibility and communication</b>					

Act. #	Activity	Output	Objective verifiable indicators	Comment	Status
7.1	Communication Strategy development	Communication strategy	1 Technical report		Delivered
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		Delivered





## Annexes

- Annex 1 Report on Assistance to the implementation of the Association Agreement with the European Union (EU AA) in the field of maritime transport regulations in Georgia
- Annex 2 Report on Assistance to the implementation of the Association Agreement with the European Union (EU AA) in the field of maritime transport regulations in Ukraine
- Annex 3 Report on Assistance to the implementation of the Association Agreement with the European Union (EU AA) in the field of maritime transport regulations in the Republic of Moldova
- Annex 4 Report on bilateral cooperation Georgia - Ukraine
- Annex 5 Report on the STCW Seminar held in Moldova
- Annex 6 Report on the 3<sup>rd</sup> ISPS Workshop held in Georgia
- Annex 7 Report on the MODU Seminar held in Azerbaijan
- Annex 8 Report of the IMSAS Mock Audit of Kazakhstan.
- Annex 9 Report on the National ISPS Training Moldova
- Annex 10 Report on the Seminar “to the Satisfaction of the Administration” held in Istanbul
- Annex 11 Report on the Course on Places of Refuge conducted in Kiev
- Annex 12 Report on the development of Terms of Reference for the Ratification of MARPOL Annex VI by Georgia
- Annex 13 Report on the Regional Training Course for Auditors under the IMO Member State Audit Scheme conducted in Kiev.
- Annex 14 Project Team’s Evaluation per Country