

Global Project Task Force (GPTF) First Meeting

IMO, LONDON, 5-7 JULY 2000

Proceedings

Global Ballast Water
Management Programme





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IMO Headquarters, London: 5-7 July 2000

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The Global Ballast Water Management Programme (GloBallast) is a cooperative initiative of the Global Environment Facility (GEF), United Nations Development Programme (UNDP) and International Maritime Organization (IMO) to assist developing countries to reduce the transfer of harmful organisms in ships' ballast water.

The opinions expressed in this document are not necessarily those of GEF, UNDP or IMO.

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Closing Address

by Mr. W.A. O'Neil, Secretary-General of IMO

I unfortunately missed the opening of the first Global Project Task Force Meeting due to previous commitments, and so I am glad to have the opportunity to address the task force before the closure today. Being briefed on your discussions, I was particularly pleased to learn that the project is now well underway and the project co-ordination unit is fully operational.

The Project Implementation Plan has been agreed upon and I am sure that the National Work Plans will be shortly prepared in the framework of the overall objectives of the project. It appears to have been a laborious undertaking, and I am informed that both IMO and UNDP have significantly contributed to the final product.

The short-term plan for the remainder of the first year of the Project is now agreed and we look forward to seeing the organization of the activities in the participating countries. I have been informed that the Project Co-Ordination Unit has already selected a number of international consultants ready to share their expertise regarding ballast water transfers. Nevertheless, I would like to encourage participating countries to identify potential local expertise, especially in fields such as port biota surveys and revisions of the national regulations regarding ballast water. The local consultants should play a significant role in the implementation of the project so that the needs of the countries are properly addressed.

A series of activities are already visible and the fact that you have managed to hold your first meeting in such a short period of time since the inception of the project should be considered a success in itself. I am aware that, in some of the participating countries the establishment of the country focal point offices is almost complete, and that this process is rather advanced in the rest. I am sure that, having appointed the full time assistants, the country focal points in all participating countries will become fully operational in the near future. In relation to this particular aspect, I can assure that you will receive full co-operation from our administrative division which, as far as I was informed, has had a fruitful dialogue with the country representatives over the past three days.

At this point, I would like to reiterate the commitment of IMO to actively support the project co-ordination unit and the project by offering essential access to all the existing resources of the organization. In the meantime, we will make sure that appropriate co-ordination will be maintained between the MEPC Working Group On Ballast Water and the Global Ballast Water Management Project. In this respect, the Project Co-Ordination Unit will be continuously updated on the progress made by the MEPC Working Group.

I would like to congratulate the participants for their efforts in preparing for the first GPTF meeting and for their contributions to the successful development of the project's activities. I would also like to take this opportunity to thank participants from the shipping industry and relevant international organizations for their consistent support and assistance and I am sure that your co-operative efforts will lead this project towards the success.

Group Photograph



Provisional Agenda

Venue: Conference Room 4, IMO Headquarters, London.

Wednesday 5 July. Registration 0900.

Meeting commences 0930.

Opening remarks (welcome message)

1. Adoption of the Agenda
2. GPTF Terms of Reference
 - 2.1. UNDP briefing on the role of the GPTF
3. PCU briefing on Project Implementation Plan (PIP)
4. Immediate Work Plans and Budgets
 - 4.1. July-December 2000
 - 4.2. 2001(tentative)
 - 4.3 Financial regulations for the execution of the budget.

Thursday 6 July.

Meeting commences 0900.

5. PCU Progress Report
6. Country status reports
 - 6.1. Brazil
 - 6.2. China
 - 6.3. India
 - 6.4. Islamic Republic of Iran
 - 6.5. South Africa
 - 6.6. Ukraine
7. NGO/Industry information papers regarding involvement in the ballast water issue.

Friday 7 July. Meeting commences 0900.

8. Establishment of advisory bodies
 - 8.1. Technical body
 - 8.2. Scientific body
9. National Work Plan template.
10. Proposed IMO/Pilot Country MoUs
11. Terms of Reference for Regional Task Forces
12. Forthcoming Country Communication Workshops
13. Forthcoming Case Studies
14. Other business

Annotations to the Provisional Agenda

1 Adoption of the agenda

- 1.1 The meeting will be invited to adopt the agenda of its first session (GPTF 1).

2 GPTF Terms of Reference

- 2.1 A briefing paper will be submitted on this matter by the Secretariat.
- 2.2 The UNDP representative will brief the meeting on previous experiences in GEF funded projects and on the role of GPTF as the highest advisory body for the project.

3 Project Implementation Plan (PIP)

- 3.1 A briefing paper on the Project Implementation Plan will be submitted by the PCU.
- 3.2 The meeting will be invited to comment on the Plan and provide advice on the implementation process in the participating countries.

4 Immediate work-plans and budgets

- 4.1.1 A briefing paper on the work-plan and budget for the remainder of the year 2000 will be submitted by PCU.
- 4.1.2 The meeting will be invited to comment on the Plan and provide advice on the implementation process in the participating countries.
- 4.2 The meeting will be invited to comment on the tentative plan for the year 2001 and provide suggestions for finalizing the document

5 PCU Progress Report

- 5.1 A briefing paper on the progress achieved in developing the project will be submitted by the PCU.
- 5.2 The meeting will be invited to consider the report and to provide advice on this matter. It is expected that, after a general exchange of views, UNDP and IMO will approve the report.

6 Country Status Reports

- 6.1 The representatives of the participating countries will be invited to present the status of their achievements with regard to the project's development. The presentations will focus on the organizational aspects, statistics regarding the volume of ballast water discharges, national legislation already in place, observance of the IMO Voluntary Guidelines, any known marine introductions, etc. It is expected that each country presentation will last around 20 minutes. Another 10 minutes will be allocated for comments from the meeting for each presentation.

7 NGOs/Industry information papers regarding the ballast water issue

- 7.1 The organizations with observer status will be expected to introduce their information papers focusing on their specific interest in ballast water issues. Fifteen minutes for each intervention and five minutes for comments will be allocated for this item.

8 Establishment of advisory bodies

- 8.1 A briefing paper on the need for technical and scientific expertise will be submitted by the PCU.
- 8.2 The meeting will be invited to comment on this matter and to provide advice regarding the future approach.

9 National Work Plan template

- 9.1 A briefing paper on the National Work Plan template will be submitted by the PCU focusing on the need for a standardized and consistent approach.
- 9.2 The template itself will be introduced by the PCU.
- 9.3 The meeting will be invited to comment on the National Work Plan template as appropriate and advise on further improvements.

10 Proposed IMO/Pilot countries MoU

- 10.1 A briefing paper on the IMO/Pilot countries' MoU and the document itself will be submitted by the PCU focusing on benefits of such a MoU.
- 10.2 The meeting will be invited to comment on the MoU as appropriate and to provide advice on any changes needed to fine-tune the document with the national legislation of the participating countries.

11 Terms of Reference for the Regional Task Forces

- 11.1 A briefing paper will be submitted on this matter by the Secretariat.
- 11.2 The meeting will be invited to comment on the Terms of Reference for the Regional Task Forces and provide advice on further developments of the regional components.

12 Forthcoming Country Communication Workshops

- 12.1 A briefing paper will be submitted on this matter by the Secretariat.
- 12.2 The meeting will be invited to comment on this matter and to provide advice on local arrangements for the organization of the Workshops.

13 Forthcoming case studies

- 13.1 A briefing paper on the case studies will be introduced by the PCU focusing on the importance of selecting the most representative case studies for the participating countries and the actions required to support this activity.
- 13.2 The meeting will be invited to comment on this matter and to provide advice as appropriate.

14 Other business

- 14.1 The meeting will be invited to consider other matters which may be raised under this agenda item.

Briefing Papers and Submissions

Agenda Item 2:

GPTF Terms of Reference

GEF/UNDP/IMO Project: GLO/99/G31/A/1G/19

As this is a global project, it is necessary to have a global advisory and coordination mechanism to guide the PCU and participating countries in the implementation of programme activities, and to provide a forum for consultation and communication between the various international parties involved or with a vital interest in the programme. A Global Project Task Force has therefore been formed.

The Terms of Reference for the GPTF are as follows:

Role

The GPTF will be the highest advisory body of the programme. The GPTF will review the activities of the programme and will provide advice to the IMO and UNDP on the general directions to be followed. The GPTF will make decisions based on the principle of consensus.

Membership

Initial GPTF membership will include a representative from each of the six participating countries as well as one each from GEF/UNDP, the private sector, the NGO community and the IMO. Additional members can be added at the discretion of the IMO and UNDP on the advice of GPTF. The PCU CTA will act as Secretary to the GPTF. The GPTF will be chaired jointly by IMO and UNDP.

Tasks

The GPTF will advise and assist the IMO and UNDP on the following tasks:

- Provide overall strategic policy and management direction to the programme;
- Assist in identifying and allocating programme support for activities consistent with programme objectives;
- Annually review and assess the progress of the programme and its components;
- Annually review and approve the work plan and comment on the budgets of the programme and its activities, and provide strategic direction on the work plan;
- Provide guidance to the PCU in coordinating and managing the programme and its activities;
- Create mechanisms for interaction with the private sector (shipping, ports), NGO and other stakeholders (e.g. public health); and
- Seek additional funding to support the outputs and activities of the programme.

Meetings

GPTF meetings will be held once a year for the duration of the programme, or more frequently if required. GPTF meetings may be hosted by IMO, UNDP or participating countries.

Costs

A total of US\$120,000 is provided under the programme to support GPTF meetings (primarily the costs of airfares and daily subsistence allowance for government and UN participants), based on 1 meeting per year for three years and a cost of \$40,000 per meeting.

Agenda Item 3: Project Implementation Plan (PIP)

1. Introduction & Background

A full description of the GEF/UNDP/IMO project ‘Removal of Barriers to the Effective Implementation of Ballast Water Control and Management Measures in Developing Countries’ (hereafter referred to by its short-title of ‘Global Ballast Water Management Programme’) is contained in the UNDP Project Document GLO/99/G31/A/1G/19. That document outlines the following elements of the project:

- A. Context;
- B. Strategy;
- C. Development Objectives; Immediate Objectives; Outputs and Activities;
- D. Inputs;
- E. Risks and Prior Obligations;
- F. Institutional Framework, Coordination and Administration;
- G. Monitoring, Reporting and Evaluation;
- H. Legal Context;
- I. Work Plan; and
- J. Budget

It was endorsed by the six pilot countries (Brazil, China, India, Islamic Republic of Iran, South Africa and Ukraine), approved by the GEF Council and signed by UNDP and IMO in 1999.

With the establishment of the Programme Coordination Unit (PCU) at IMO and the commencement of project execution, one of the first tasks of the PCU has been to review the Project Document and to develop from it a practical Project Implementation Plan (PIP). The PIP is based on the Project Document but updates the Outputs and Activities components of section C and sections I. Workplan and J. Budget. The other sections of the original Project Document are not repeated in the PIP. The Project Document should be referred to in relation to those sections.

The PIP is intended to improve programme delivery by streamlining and rationalising implementation as far as possible. The original Project Document is found to be too complex and repetitive for day-to-day implementation purposes of the PCU and Country Project Task Forces (CPTFs). Some components and activities present significant opportunities for streamlining (e.g. the original Project Document repeats the establishment of in-country Lead Agencies and Country Focal Points in both Activities 1.A.5 and 1.B1, whereas the PIP rolls these into a single Activity 1.B.1. Original Activities 1.B.2, 2.1 and 2.2 have been integrated to form part of a new Component 2).

Some of the proposed activities required reconsideration from a technical perspective, and other activities that are essential to the success of the programme were not included in the original Project Document (e.g. risk assessment and port baseline surveys). The PIP requires a re-allocation of budget to accommodate these updates, whilst staying within the overall original budget and programme design. .

2. Development Objectives

The broad development objectives of the programme are:

In the long-term;

- assist developing countries to reduce the transfer of harmful organisms from ships' ballast water.

In the nearer term;

- increase adherence by these countries to the current IMO voluntary guidelines on ballast water management, and
- assist these countries to prepare for the implementation of the IMO mandatory regime when it comes into force.

3. Immediate Objectives

In order to achieve the broad development objectives, the programme has a number of Immediate Objectives, which are reflected in the programme Components and linked to specific Outputs and Activities. These are:

- Objective 1: Establish effective programme coordination, management and support mechanisms at the national, regional and global levels.
 - Objective 1.A: Establish a Programme Coordination Unit (PCU) and a Global Information & Communication Network at IMO.
 - Objective 1.B: Establish and support a Lead Agency, Country Focal Point and multi-sectoral Country Project Task Force (CPTF) in each country.
 - Objective 1.C: Establish and support a Global Project Task Force to review the programme and to advise the general directions to be followed.
- Objective 2: Develop and implement communication, education and awareness-raising programmes and activities about ballast water threats and solutions at the port, national and regional level, for each demonstration site.
- Objective 3: Undertake an initial risk assessment and information gap filling exercise at each demonstration site to provide a clearer understanding of the level and types of risks of introductions that each port faces, as well as the most sensitive resources and values that might be threatened, and the management responses required.
- Objective 4: Develop and implement generic and country/port specific plans, with defined ballast water management measures, to increase compliance with IMO guidelines and protect identified, country specific most sensitive values at risk.
- Objective 5: Develop and implement generic and country/port specific compliance monitoring and enforcement programmes, to increase compliance with IMO guidelines and protect identified, country specific most sensitive values at risk.
- Objective 6: Where appropriate, establish and support Regional Project Task Forces to increase regional awareness and cooperation and eventual replication of programme results across each region.

- Objective 7: Identify and secure opportunities for self-financing of the programme during its life-time and for the sustainable continuation of IMO, Global, regional and national efforts to implement IMO ballast water management provisions.

4. Programme Components, Outputs and Activities

In order to achieve the seven Immediate Objectives, the programme is divided into seven equivalent Components, each with a set of Outputs and Activities, as described below and the following Summary Tables.

Component 1: Programme Coordination & Management

No programme can be effective without coordination and management mechanisms. For this programme, coordination and management mechanisms are divided into 3 sub-components; 1.A: Programme Coordination Unit, 1.B: In-Country Coordination Arrangements and 1.C: Global Coordination Arrangements.

Sub-component 1.A: Programme Coordination Unit

The first step towards implementing the programme is to create an IMO based Programme Coordination Unit (PCU). The PCU will ensure effective programme coordination and support (information, communications, expert assistance, program implementation capacity and evaluation and assessment) and bring cohesiveness and consistency to programme implementation through the establishment of a global support system .

This sub-component, among other things, creates within the IMO in London, a PCU comprised of two (2) professionals, an Associate Program Officer (provided a donor can be found), requisite administrative and technical support and backstopping support from the permanent staff of the IMO. The work of the PCU is supported by the programme over the three years of the programme on a declining basis. After the three-year period, the IMO will undertake to establish and sustain the necessary mechanism to assist all member states as they strive to meet their obligations under the expected mandatory IMO regulations. It is particularly important that IMO be centrally involved as they create for the programme, as noted by the GEF STAP review, access to officials and programs in countries where many ships are registered, such as Panama, Liberia, and Norway, whose positions, along with classification societies, will be crucial for the development of future regulations.

While the IMO is committed to assisting in co-financing the creation of an effective PCU and to endeavor to sustain that presence after programme completion, development and implementation of pilot programs at the country and port level, are not part of IMO's mandate. Without the GEF intervention, the needs outlined in this programme proposal will not be met. The relationship between IMO regular activities and the GEF/UNDP/IMO programme appears as Annex II.

Sub-component 1.B: In-Country Coordination Arrangements

Work undertaken during the PDF-B phase of the programme (GLO97/G41) found that no country's single agency had been given or had assumed lead responsibility for work related to the ballast water issue. Without delegation or assumption of leadership on the part of any specific agency, it is impossible to address the issue effectively or at all. One of the priority recommended barrier removal activities is the creation of a Lead Agency in each pilot country that has overall responsibility for development of the port-specific and country-specific strategies that are the principal objective of this programme. The Lead Agency, through a Country Focal Point (CFP), would be responsible for the creation and convening of the necessary inter-ministerial and multi-sectoral Country Project Task Force (CPTF) and would also be responsible for the development and implementation of the

necessary informational, educational and participation activities that are key to programme success. Provision of GEF resources would enable recruitment of a CFP Assistant in each country to assist in the coordination and implementation of programme activities.

Sub-component 1.C: Global Coordination Arrangements

The Global Project Task Force (GPTF) will be the highest advisory body of the project. This will comprise representatives of GEF, UNDP, IMO and the six participating countries. The shipping industry, environmental NGOs and possible other parties that are able to contribute to the programme in a meaningful way will also be invited. The GPTF will meet once a year, and be hosted either by IMO or one of the pilot countries. The PCU will act as the Secretariat to the GPTF.

Component 2: Communication, Education and Awareness Raising

The most significant barrier to action on ballast water transfer has been identified within the PDF-B process, and by other observers, as the lack of awareness about the existence and potentially catastrophic consequences of the introduction of unwanted organisms. Without adequate information on the actual and potential seriousness of impacts, actions to remediate the problem will not be taken.

The PCU will assume an important role in the activities related to this component through the coordination and communication of real-life case studies that demonstrate the threats and impacts posed by introduced marine species. These case studies will be as relevant as possible to the six demonstration sites. They will be undertaken by consultants on contract to the PCU, with significant input and support from each CFP/CPTF. Communication of the case studies to all stakeholders will receive highest priority.

The participating countries are likely to have few if any education and awareness raising materials to address or describe problems associated with unchecked ballast water releases. Increasingly, however, there is a growing body of case studies, research, control programs, and public education and information programs that have been and continue to be developed in countries such as Argentina, Australia, Canada, Israel, New Zealand, Brazil and the United States. The PCU will make maximum use of existing case studies and public information and education programmes to generate generic communication, education and awareness raising materials, for use by the pilot countries and others, and will be able to 'tailor' materials to meet country-specific needs.

In addition, each pilot country should develop a country/port specific communication workplan. This will be done through a country communication workshop, to be held in each pilot country early in the programme. These workshops will be assisted by the PCU (in particular the Technical Adviser, who has primary responsibility for communication matters in the PCU), and involve the CFP and relevant members of the CPTF, as well as national authorities on communication, education, public participation and community consultation.

Significant resources will be made available by the programme for the implementation of each country's communication workplan. In addition, the Information/Communication Network established by the PCU under Activity 1.A.3 will play a major part in Component 2 as well.

Component 3: Risk Assessment.

After communication, education and awareness raising, the next foundation for the programme at the port/country level is to conduct port-specific Ballast Water Risk Assessments for each demonstration site. This is important for establishing the level and types of risks of introductions that a particular port faces, as well as the most sensitive resources and values that might be threatened. These will differ from site to site, and will determine the types of management responses that are required.

The current IMO ballast water management guidelines offer states significant flexibility in determining the nature and extent of their programmes. This flexibility is warranted given that nations

are still experimenting with approaches. A pilot country may wish to apply its programme uniformly to all vessels which visit or it may wish to attempt to assess the relative risk of vessels to valuable resources and apply the programme selectively to those which are deemed of highest risk.

The uniform application option offers the advantages of simplified programme administration in that there are no “judgement calls” to be made or justified by the host country/port regarding which vessels must participate and which need not. In addition, the system requires substantially less information management demands. Finally, it offers more protection from unanticipated invaders, and overall protection is not dependent upon the quality of a decision support system which may not be complete. The primary disadvantages of this approach are: 1) additional overall cost to vessels which otherwise might not need to take action, and 2) more vessels will be involved in undertaking the measures, and therefore the host country/port will need to monitor compliance from a greater number of vessels.

Some nations are experimenting with systems to allow more selective applicability based upon voyage-specific risk assessments because this approach offers to reduce the numbers of vessels subject to ballast water controls and monitoring. The prospect of reducing the numbers of ships to which the program applies is especially attractive to nations that wish to eliminate introductions of target organisms such as toxic dinoflagellates. More rigorous measures can be justified on ships deemed to be of ‘high risk’ if fewer restrictions are placed on low risk vessels. However, this approach places commensurate information technology and management burdens on the host country/port and its effectiveness depends on the quality of the information supporting it. The approach may also leave the country/port vulnerable to unknown risks from non-target organisms.

For countries/ports which choose the selective approach, it will be essential that each demonstration site establish an organized means of evaluating the potential risk posed by each vessel entering their port, through a Decision Support System (DSS). Only in this way can they take the most appropriate decision regarding any required action concerning that vessels’ ballast water discharge. The DSS is a management system that provides a mechanism for assessing all available information relating to individual vessels and their individual management of ballast water so that, based upon assessed risk, the appropriate course of action can be taken.

Before a pilot country decides on whether to adopt the ‘blanket’ (i.e. all vessels) approach or to target specific, identified high risk vessels only, a general, first-past risk assessment should be carried out. This should look at shipping arrival patterns and identify the source ports from which ballast water is imported. Once these are identified, source port/discharge port environmental comparisons should be carried out to give a preliminary indication of overall risk. This will greatly assist the government to assess which approach to take. The programme will support these initial, ‘first-past’ risk assessments as a consultancy on contract to the PCU. The CFP/CPTF, including the local port and shipping industry, will play a key role in providing data on shipping movements, source ports, ballast water management patterns, and coastal and marine resources and environmental conditions. The PCU consultant, in conducting the risk assessment in each pilot country, will identify country counterpart(s) and include them in the study process as part of the capacity building objectives of the programme, so as to allow each country to undertake its own risk assessments in future.

It is also necessary to conduct baseline port biota surveys in each demonstration site. This is vital for assessing existing natural conditions and the presence or absence of introduced marine species. Such surveys are fundamental to the programme. The programme will support initial baseline surveys in each port, through provision of an expert to assist in survey design and to provide in-country training, and through provision of US\$50K per demonstration site. The PCU will also provide standardised port survey protocols, including for data management. Actual in-country work should be undertaken by the in-country marine science community (a member of the CPTF). Once the initial baseline surveys are conducted with programme support, they should be conducted on an ongoing basis, as a long-term biological monitoring programme for the port. This will allow any existing introductions to be tracked and managed and any new introductions to be detected and responded to. This ongoing effort will have to be resourced in-country.

All outputs of Component 3 will be vital for identifying information gaps and defining and clarifying the nature of the threats posed by ballast water introductions and the most sensitive resources and values at risk at each demonstration site. This component is therefore vital to shaping the development of each country's response to the issue.

Component 4: Ballast Water Management Measures

The essence of this programme is twofold. First it is intended to result in the development of a generic, developing country based, ballast water management measures which can be adopted in other countries. Second, and to the extent possible, the programme will facilitate the development of country and port specific measures, including national legislation, to achieve effective ballast water management consistent with IMO provisions. Work undertaken in the PDF-B phase of the programme and a review of existing ballast water control programs is indicative of the overall strategy that should form the basis for programme development. Ballast water management measures should seek to avoid the adverse economic, environmental, and human health impacts of unwanted, introduced marine species. Such measures should make provision to avoid unwanted introductions by minimizing their risk of entry, establishment, and spread in country receiving waters while simultaneously minimizing impediments to trade.

Development and implementation of the actual ballast water management measures that are necessary to minimise the risk of introduced marine species constitutes the 'backbone' of the programme at each demonstration site. It is these measures that will produce the practical benefits of the programme, in order to achieve the near-term development objectives of the programme:

- To increase adherence by countries to the current IMO voluntary guidelines on ballast water management, and
- To assist countries to prepare for the implementation of the IMO mandatory regime when it comes into force.

Ballast water management measures that are developed and implemented at each demonstration site should therefore initially be consistent with the IMO voluntary guidelines (A.868(20)) and eventually adopt the provisions of the IMO mandatory regime as it comes into being. Fortunately, the IMO voluntary guidelines already contain recommended ballast water management measures, and these are supported by a Model Shipboard Ballast Water Management Plan already developed by industry (ICS/INTERTANKO). There is no need to develop new measures. What is required is to adapt these measures to local situations and develop activities to implement these measures at each demonstration site effectively. It is of paramount importance that nothing is developed or implemented that is inconsistent with the standardised IMO regime, and that activities are coordinated across all demonstration sites.

To this end, the programme contains a number of activities. These include broad distribution and communication of the current IMO voluntary guidelines and other existing templates and models (such as the ICS/INTERTANKO model) to all stakeholders (Activity 4.1), and the development and delivery of education and training packages to Lead Agency, port and shipping personnel on how to implement these (Activity 4.2). This will make use of the UN Train-X decentralized course development and sharing system to help participating countries create and adapt course packages which, together, will form a targeted education and training programme.

This component also includes resourcing for a review of existing legislation and regulations relating to ballast water in each pilot country, providing recommendations on what each country needs to do to implement any necessary regulatory changes (Activity 4.3).

In addition, under Component 4 the programme will sponsor a Global Research and Development Symposium (Activity 4.4). This is because existing ballast water management and control methods do not currently provide adequate protection from marine introductions, even when fully implemented. Research and development (R&D) of new ballast water treatment technologies is urgently required.

There are currently a range of R&D projects underway by various groups around the World. These are often not well coordinated and some duplication may be occurring. They may also be focussed on conditions prevailing in developed rather than developing countries. An important objective of the programme is to act as a central coordination point, clearing house and knowledge broker for such research, and to ensure that at least some of this R&D is targeted towards the needs of developing countries. The R&D symposium will bring leading authorities on ballast water R&D together, along with pilot country representatives; to review current state of knowledge, enhance networking, communication and cooperation between R&D groups and the programme participants, encourage R&D groups to establish R&D projects in partnership with the pilot countries, establish PCU as central coordination point, clearing house and knowledge broker, help shape R&D agenda to suit developing countries' needs and communicate outcomes to all stakeholders.

Finally, the National Workplans developed under Activity 1.B.4 will include provision for the implementation of country/port specific ballast water management measures, and US\$85K/country is available from the programme to assist implementation of these workplans.

Component 5: Compliance Monitoring and Enforcement

Effective implementation of country/port specific ballast water management measures under the IMO guidelines is not possible without compliance monitoring and enforcement (CME) systems.

It is essential that, as each country assesses what it deems to be the most appropriate array of control options (consistent with IMO guidelines), effective CME is established to accomplish two objectives. First, monitoring will be important for each country to measure the extent of compliance with IMO and country-specific guidelines. Without monitoring to inform of successful compliance, replication of programme results may not be warranted. Second, country-specific compliance monitoring can serve as an important research tool that can be used to assess the relative efficacy of ballast water management options in a variety of situations, as represented by the six demonstration sites. Thus effective monitoring can both inform and form the ongoing effort to minimize the global risks associated with the ballast water transfer of organisms.

Fortunately, the existing IMO guidelines and related templates and models such as the ICS/INTERTANKO model shipboard ballast water management plan already provide some of the basic components of a compliance monitoring system. In addition, many countries such as Australia, Canada, the EU, New Zealand and the USA already have well developed compliance monitoring systems. The programme will utilise these to develop generic CME systems and tailor these each demonstration. This will include the provision of basic ballast water sampling and testing equipment, and most importantly, training for Lead Agency, port and shipping personnel. Funds are also available to assist each country to implement its CME system (US\$40K per country), however, each country will have to assume responsibility for resourcing and financing CME activities over time.

Component 6: Regional Cooperation & Replication

The countries and ports that have chosen to participate in the programme are taking an important first step to facilitate local and national compliance with the current IMO guidelines and expected new international legal instrument. Ports are competitive and it is possible that a port participating in the programme will enact certain requirements that will make other regional ports more attractive to shippers. Regional or Sub-Regional initiatives will be necessary to minimize the possibility that participating ports will be penalized in any way for their programme participation. Further, the programmes that will be developed in each of the six participating countries and ports should to the extent possible be replicated across the region. The formation of the Regional Project Task Forces (RPTFs) is intended to facilitate this process.

Component 7: Resources and Financing

This programme is intended to provide the resources necessary to catalyse national, regional and global action in response to the ballast water issue. It will run for a set time only. Each country and region will have to assume responsibility for resourcing its ballast management arrangements progressively as the programme proceeds, and over the longer term when the programme is completed.

This will be progressed through two Activities, Activity 7.1: National Resourcing and Financing and Activity 7.2: Global Donor Conference. The former will focus on breaking dependence on donors and will review the opportunities for self-financing of programme components and future ballast water management arrangements at the national level, on an ongoing basis, pinpointing the potential economic sources and mechanisms. These will be based on the principles of user-pays and polluter pays. The latter will comprise a donor conference using the on-going GEF programme as leverage for the creation of necessary additional donors and the securing of loans, and confirm IMO's support for the continuation of post-programme activity from its regular budget

Summary Tables – Revised Programme Components, Outputs and Activities (May 2000)

COMPONENT 1: PROGRAMME COORDINATION & MANAGEMENT

No programme can be effective without coordination and management mechanisms. For this programme, coordination and management mechanisms are divided into 3 sub-components; 1.A: Programme Coordination Unit, 1.B: In-Country Coordination Arrangements and 1.C: Global Coordination Arrangements.

Sub-component 1.A: Programme Coordination Unit

The first step towards implementing the programme is to create an IMO based Programme Coordination Unit (PCU) to bring cohesiveness and consistency to programme implementation through the establishment of a global support system.

Activities:	Responsible Parties	Partners	Budget (US\$K)	Budget Notes
Outputs: <ul style="list-style-type: none"> Programme coordination and management mechanism established and functioning; Effective coordination between and among all stakeholders. Programme performance improves over time with input from evaluation and review. 	Success Criteria: <ul style="list-style-type: none"> PCU established and operational . Info/Coms Network established and functioning. Programme evaluation and review procedures operating. 			
Activity 1.A.1: Human Resources: Recruit and hire PCU staff: <ul style="list-style-type: none"> Chief Technical Advisor (CTA) Technical Advisor (TA) Programme Assistant (PA) Necessary outsourced services 	IMO, UNDP		CTA: 450 TA: 00 PA: 180 S Trm Cnsltns: 195 Total: 825	Salary/benefits. Paid by IMO (ex prog. budget). Salary/benefits. Outsourced support as required.
Activity 1.A.2: Hardware Organise physical hardware and set-up office at IMO and at each demonstration site.	IMO/PCU, with CFP & UNDP support.		Hardware: 50 Total: 50	PCU & field IT, comms, furniture etc
Activity 1.A.3: Information and Communication Network (Info/Coms). Develop the information and communication mechanisms necessary for effective programme implementation and replication, including communications and data transfer within and among all stakeholders. <ul style="list-style-type: none"> Web site/web links/databases/internet communications groups. Quarterly newsletter. Library collection and bibliographies. 	PCU/IMO with CFP, CPTF & RPTF support.	Other governments and institutions (esp. Australia, USA and EU), Industry, NGO's.	Web/internet: 5 Newsletter: 12 Docs purchase: 5 Other costs: 28 Total: 50	IMO costs to establish. Compilation, design, layout, printing and distribution, 4/yr x 3 yrs. For library collection. Outsourced support/hardware.
Activity 1.A.4: PCU Travel Provide resources to enable PCU staff to travel to demonstration sites and other destinations as part of programme coordination role, including attending CPTF /RPTF and other meetings.	PCU		Travel: 150 Total: 150	Airfares, DSA etc over 3 yrs.
Activity 1.A.5: Programme Evaluation and Review. Establish the mechanisms necessary for assessing the successes and areas for improvement as the programme progresses. Arrange annual programme review visits. <ul style="list-style-type: none"> Communicate review outcomes for programme implementation. 	IMO, UNDP, consultants		Eval. missions: 80 Total: 80	Programme review visits to each country/yr for 3 yrs.

Sub-component 1.B: In-Country Coordination Arrangements

Successful implementation of the programme is vitally dependent on effective in-country coordination arrangements. Without a Lead Agency, Country Focal Point, multi-sectoral Country Project Task Force and other institutional arrangements in each country, the demonstration sites cannot succeed. In-country parties are responsible for developing and implementing country work plans and supporting regional activities.

Outputs:	Success Criteria:			
<ul style="list-style-type: none"> In-country arrangements established and functioning in each country. 	<ul style="list-style-type: none"> Lead Agency and CFP designated and functioning effectively in each country. CFP Assistant engaged and functioning effectively in each country. CPTF formed and functioning effectively in each country. 			
Activities:	Responsible Parties:	Partners	Budget (USSK)	Budget notes
<i>Activity 1.B.1: Establish Lead Agency and Country Focal Point (CFP)</i> Designate Lead Agency and CFP from that agency in each country.	Country governments with PCU and UNDP support.		Nil	Country governments to cover costs.
<i>Activity 1.B.2: Support CPTF and CFP Assistant</i> Hire and deploy CFP Assistant in each country. <ul style="list-style-type: none"> Each CFP's to nominate shortlist to PCU. PCU/IMO select/engage. Lead Agency to house Programme to support CPTF and CFP Assistant's activities. 	PCU with CFP, IMO and UNDP support.		Support: 660 Total: 660	Salary, office hardware and support for each CFP Assistant and general CPTF support for 3 yrs.
<i>Activity 1.B.3: Support CPTF Meetings</i> <ul style="list-style-type: none"> Form CPTF in each country. Should be inter-ministerial and cross-sectoral in nature, meet at the call of the Lead Agency and chaired by the CFP or senior representative of the Lead Agency as appropriate. Responsible for programme development, implementation and oversight in each country. Hold meetings. PCU to support meetings. 	CFP to coordinate with PCU support. CPTFs to include all relevant government, industry and NGO groups (refer PCU CPTF Guidelines).	IMO, UNDP Country Offices, CPTF members.	CPTF mtngs: 180 Total: 180	Basic meeting costs. 10 meetings per country over 3 yrs (3K/meeting).
<i>Activity 1.B.4: National Workplans</i> Develop and implement a National Workplan for in-country implementation of each of the relevant activities under Components 2 to 7 below.	CPTF – develop and implement. PCU – provide template and support.	CPTF members.	Dev & imp wkplans: 750K Total: 750K	Support CPTF to develop & implement wkplans (125K/country)

Component 1.C Global Coordination Arrangements

The Global Project Task Force (GPTF) will be the highest advisory body of the project. This will comprise representatives of GEF, UNDP, IMO and the six participating countries. The shipping industry, environmental NGOs and possible other parties that are able to contribute to the programme in a meaningful way will also be invited.

Outputs:	Success Criteria:			
<ul style="list-style-type: none"> GPTF formed and functioning effectively. 	<ul style="list-style-type: none"> Programme is effectively advised and assisted by the GPTF. 			
Activities:	Responsible Parties:	Partners	Budget (USSK)	Budget notes
<i>Activity 1.C.1: Global Project Task Force (GPTF)</i> Establish and run GPTF to formulate and review the programme and advise the general directions to be followed. Seek advice from scientific and technical advisory groups as required. <ul style="list-style-type: none"> Form GPTF and advisory groups. Organize and hold meetings Communicate GPTF outcomes for programme implementation. 	PCU – secretariat. Comprises CFPs, UNDP, IMO, Industry, NGOs, Sponsors.	Industry NGO's Sponsors	GPTF meetings: 120 Adv groups: 120 Total: 240	1 meeting/year for 3 years. 40K per meeting. Travel & meeting costs and correspondence groups as required.

COMPONENT 2: COMMUNICATION, EDUCATION AND AWARENESS RAISING (CEAR)

Work undertaken during the preparatory phase of the programme resulted in a finding that information about the dangers of ballast water transfers was poor to non-existent in many countries, and constituted a major barrier to action. This lack of information and low level of general awareness of the issue is seen as an extremely important, early priority of the programme to address.

One of the priority recommended barrier removal activities is the development of communication, education and awareness raising activities in each pilot country. Accordingly, the following Activities are included in the programme to address communication, education and awareness raising.

Outputs: <ul style="list-style-type: none"> Level of awareness about the ballast water issue, its impacts and potential solutions is raised amongst all stakeholders in participating countries, resulting in increased commitment to implementing the programme and addressing the issue in general 	Success Criteria: <ul style="list-style-type: none"> Programme identity established Case studies completed and communicated to stakeholders. Generic communication materials produced. Country communication workshops held and workplans developed. Country communication workplans implemented. 			
Activities:	Responsible Parties:	Partners	Budget (US\$K)	Budget notes
<i>Activity 2.1: Programme Identity</i> Design and implement programme identity, including logo, stationary and standards for application.	PCU, external suppliers.		Design/develop: 3 Total: 3	Materials to be developed and produced professionally using external supplier(s).
<i>Activity 2.2: Generic Communication, Education and Awareness Raising Materials</i> PCU to produce a range of generic communication, education and awareness raising materials for use by PCU, IMO and in countries, in suitable languages. <ul style="list-style-type: none"> Standardised slide presentations. Programme brochure. Educational posters, pamphlets and other products. 	PCU, external suppliers – carry out. PCU, IMO, countries and others to use.	Industry, IMO-MEPC, Australia, EU, US, other countries with relevant experience.	Develop/produce: 100 Total: 100	Materials to be developed and produced professionally using external supplier(s) where necessary. Maximum use to be made of existing materials, outputs of Activity 2.2. and internal/IMO expertise and facilities.
<i>Activity 2.3: Case Studies.</i> Review and prepare case studies demonstrating the economic, environmental and public health dangers of ballast water introductions (focused on/relevant to demonstration sites). <ul style="list-style-type: none"> Carry out case studies. Communicate to all stakeholders. 	PCU – manage. Consultants – carry out. CFP – assist.	IMO-MEPC, Australia, EU, US, other countries with relevant experience.	Contracts: 100 Total: 100	Fees/travel to research, prep & communicate case studies, ongoing.
<i>Activity 2.4: Country Communication Workshops & Workplans</i> Workshop in each country to develop national communication workplans, including strategies and activities for education and awareness raising and community participation. <ul style="list-style-type: none"> Plan workshops. Hold workshops - develop National Communication Workplans. Include utilisation of outputs of Activity 2.3. 	CFP/CPTF with PCU support.	Industry, NGOs, community groups.	Wkshps: 120 Total: 120	20K/wkshp.
<i>Activity 2.5: Implement National Communication Workplans.</i> Implement the activities contained in the workplans.	CFP/CPTF with PCU support.	Industry, NGOs, community groups.	Implementation: 540 Total: 540	Countries to develop National budgets within their Workplans

COMPONENT 3: RISK ASSESSMENT

After communication, education and awareness raising, the next foundation for the programme at the port/country level is to conduct port-specific Ballast Water Risk Assessments for each demonstration site. This is important for establishing the level and types of risks of introductions that a particular port faces, as well as the most sensitive resources and values that might be threatened. These will differ from site to site, and will determine the types of management responses that are required.

It is also necessary to conduct port biota surveys in each demonstration site. This is vital for assessing existing natural conditions and the presence or absence of introduced marine species. Such surveys are fundamental to the programme, and should be conducted on an ongoing basis, as a long-term biological monitoring programme for the port. This will allow any existing introductions to be tracked and managed and any new introductions to be detected and responded to.

Accordingly, the following Activities are included in the programme to address risk assessment.

Outputs: <ul style="list-style-type: none"> All levels of management and all stakeholders have a clearer understanding of the level and types of risks of introductions that each port faces, as well as the most sensitive resources and values that might be threatened, and the management responses required. 	Success Criteria: <ul style="list-style-type: none"> Risk assessment completed for each demonstration site. Baseline port biota surveys completed for each demonstration site. System in place for future surveys. Information gaps identified and activities defined to fill gaps. 			
Activities	Responsible Parties	Partners	Budget (US\$K)	Budget notes
<p><i>Activity 3.1: Ballast Water Risk Assessment</i> Review existing information regarding the quantity, quality and sources of current ballast water discharges at each demonstration site and use source port/discharge port environmental comparisons to determine the existing and potential threats on the economy, environment, and human health. Include training/capacity building of country counterparts.</p> <ul style="list-style-type: none"> Determine/agree optimum risk assessment methodology and adopt standard protocol. Undertake risk assessment. Communicate findings to stakeholders. 	PCU – manage. GPTF Adv. Grps – advise. Consultants – undertake. CFPs/CPTF’s and industry – assist/support.	IMO/UNDP Country Offices/WHO/F AO	Contracts: 300 Total: 300	Fees, travel and costs to undertake the risk assessments, including training and capacity building of country counterparts.
<p><i>Activity 3.2: Port Baseline Surveys</i> Undertake review of existing data on native biodiversity and introductions at each site and implement long-term port survey programme to detect introductions.</p> <ul style="list-style-type: none"> Determine/agree optimum port survey methodology and adopt standard protocol. Undertake port surveys – inc. training of in-country marine science capability. Communicate findings to stakeholders. 	PCU – manage. GPTF Sci. Adv. Grp – advise. Consultant – training/advice. In-country marine science community – implement. CFP/CPTF – support.	Countries with port survey experience (e.g. Australia, USA).	Contracts: 100 1 st surveys: 300 Total: 400	To set-up survey protocols and train/advice in-country survey teams. Includes travel to countries. 50K per port, includes field sampling, analysis, archiving and reporting. Additional funds required for future annual surveys (should be an ongoing programme).
<p><i>Activity 3.3: Information Gap Filling</i> Use outputs of Activities 3.1 and 3.2 and ongoing review of all activities to ascertain existing information gaps at each site and define the activities needed to fill those gaps.</p>	PCU with CFP/CPTF support.	IMO/UNDP Country Offices	Nil	No explicit costs, part of general, ongoing PCU, CFP and CPTF activities.

COMPONENT 4: BALLAST WATER MANAGEMENT (BWM) MEASURES

Development and implementation of the actual ballast water management measures that are necessary to minimise the risk of translocation of harmful aquatic organisms constitutes the ‘backbone’ of the programme at each demonstration site. It is these measures that will produce the practical benefits of the programme, in order to achieve the near-term development objectives of the programme:

- To increase adherence by countries to the current IMO voluntary guidelines on ballast water management, and
- To assist countries to prepare for the implementation of the IMO mandatory regime when it comes into force.

Ballast water management measures that are developed and implemented at each demonstration site should therefore initially be consistent with the IMO voluntary guidelines (A.868(20)) and eventually adopt the provisions of the IMO mandatory regime as it comes into being. Fortunately, the IMO voluntary guidelines already contain recommended ballast water management measures, and these are supported by a Model Shipboard Ballast Water Management Plan already developed by industry (ICS/INTERTANKO). There is no need to develop new measures. What is required is to adapt these measures to local situations and develop activities to implement these measures at each demonstration site effectively. It is of paramount importance that nothing is developed or implemented that is inconsistent with the standardised IMO regime, and that activities are coordinated across all demonstration sites.

Outputs: <ul style="list-style-type: none"> • Effective ballast water management measures are implemented at each demonstration site to reduce the transfer of aquatic organisms in ballast water, consistent with IMO guidelines and standards. 	Success Criteria: <ul style="list-style-type: none"> • IMO guidelines & ICS/INTERTANKO Model widely promulgated. • Education and training packages developed and delivered, with system for ongoing delivery. • Legislation reviews completed for each country and recommendations considered/implemented. • Global R&D Symposium held. 			
Activities: <i>Activity 4.1: Translate/disseminate IMO Voluntary Guidelines & ICS/INTERTANKO Model</i> Enhance use of existing guidelines and model at the demonstration sites:	Responsible Parties PCU – manage. CFPs/CPTF’s – promulgate.	Partners Industry.	Budget (US\$K) Translation: 20 Distribution: 2 Total: 22	Budget notes: Outsourced. Postage etc.
<i>Activity 4.2: Education and Training Packages</i> Develop and deliver generic and adaptable course packages for targeted education and training of ship operators, masters and crews, port authorities, lead agencies and other parties, on the ballast water issue in general and on the practical implementation of the IMO guidelines and ICS/INTERTANKO model. <ul style="list-style-type: none"> • Consultant to develop package, considering UN TRAIN-X methodology and in cooperation with WMU, IMA and in-country maritime training institutions, through a course development workshop. • Deliver training courses in each country and validate. • Ongoing delivery by national/regional training units. 	PCU – manage. Consultant – develop. Country training institutes – deliver. WMU, IMA, CPF/CPTF – support.	Industry.	Dev T-X methods: 50 Crse dev wkshp: 70 Nat training: 180 Total: 300	Contract fees/travel. Run wkshp. Deliver 1 st training courses in each country. Additional resources required for ongoing delivery of training courses.
<i>Activity 4.3: Legislation and Regulations</i> Review existing domestic legislation and regulations relating to ballast water and recommend any changes necessary for the implementation of the IMO voluntary guidelines. <ul style="list-style-type: none"> • Consultant to review existing legislation. • CPTF’s to consider/ implement recommendations. 	PCU – manage. Consultants – undertake. CPTF – implement.		Local cnslnnts: 150K Advice/coordin: 30K Total: 180K	Fees/travel (25K/country - national consultants and institutions). Fees/travel.

Component 4 continued.

Activities:	Responsible Parties	Partners	Budget (US\$K)	Budget notes:
Activity 4.4 Global R&D Symposium Hold a Global symposium to bring together leading authorities on ballast water treatment R&D; <ul style="list-style-type: none"> review current state of knowledge, enhance networking, communication and cooperation between R&D groups, establish PCU as central coordination point, clearing house and knowledge broker, help shape R&D agenda to suit developing countries' needs and communicate outcomes to all stakeholders. 	PCU – plan and hold workshop	R&D community. Industry. Country governments.	Workshop: 60 Total: 60	Travel and holding of workshop.
Activity 4.5: National Ballast Water Management Plans Assist each pilot country to develop a National Ballast Water Management Plan <ul style="list-style-type: none"> develop template and provide to countries use template to develop National plans get plans approved by government implement plans 	PCU – develop template and assist countries to use it. CFP Assistants/CPTFs - develop plans etc		PCU, CFP Assistant and CPTF members staff time only.	No explicit budget required to develop the plans. Implementation of the plans to be a National responsibility.

COMPONENT 5: COMPLIANCE MONITORING AND ENFORCEMENT (CME)

Effective implementation of ballast water management measures under the IMO guidelines is not possible without compliance monitoring and enforcement systems.

Outputs:	Success Criteria:			
<ul style="list-style-type: none"> Systems are in place to monitor and enforce compliance with the ballast water management measures to be implemented under Component 4. 	<ul style="list-style-type: none"> Compliance, monitoring and enforcement arrangements in place and operating for each demonstration site. 			
Activities:	Responsible Parties	Partners	Budget (US\$K)	Budget notes:
<i>Activity 5.1: Develop CME Systems.</i> <ul style="list-style-type: none"> Consultant to adapt relevant components of IMO guidelines and other standardised protocols to develop compliance, monitoring and enforcement system for each demonstration site. 	PCU – manage. Consultant – develop procedures. Lead Agency, CPTF – Support.	Industry.	Contracts: 70 Total: 70	Fees/travel to develop system.
<i>Activity 5.2: Ballast Water Sampling Equipment</i> <ul style="list-style-type: none"> Purchase ballast water sampling equipment for use in compliance monitoring at each site. 	PCU – purchase/provide equipment.	Industry. Countries with relevant experience – Australia, Canada, EU, New Zealand and USA,	Equipment: 60 Total: 60	10K/site.
<i>Activity 5.3: In-country CME Personnel & Training</i> <ul style="list-style-type: none"> Lead agency to designate compliance monitoring and enforcement officials for placement at the demonstration sites, PCU to coordinate training of these personnel in the CME system and use of ballast water sampling equipment. 	Lead Agency – recruit/designate personnel. PCU – resource and support training		Training costs: 480 Total: 480	Funds for initial training in each country. Countries to resource thereafter.
<i>Activity 5.4: Implement CME Systems</i> <ul style="list-style-type: none"> Support Lead Agency to implement compliance, monitoring and enforcement system at each site. 	Lead Agency – implement. PCU – support		Implement the systems: 240 Total: 240	While the aim is that CME implementation costs will be covered in-country, 40K is available per country to initiate this.

COMPONENT 6: REGIONAL REPLICATION

A key objective of the programme is to replicate successes at each demonstration site throughout each region represented by these sites. Creation of effective and active Regional Project Task Forces will help to reduce the extent to which competing ports in the region may adopt the lowest common denominator in regard to ballast water controls to lure business away from pilot demonstration sites. Regional Project Task Forces are instrumental in efforts to replicate programme results beyond the participating countries.

<p>Outputs:</p> <ul style="list-style-type: none"> • Creation of a regional support base for the work of the programme. • Increased likelihood of regional cooperation on the ballast water issue. • Creation of mechanisms to ensure regional level replication of programme demonstration site results. • Facilitated process of regional level involvement in the implementation of IMO ballast water related provisions. • Creation of an ongoing, ballast water related communications capacity at the regional level. 	<p>Success Criteria:</p> <ul style="list-style-type: none"> • Demonstration sites are protected against competing regional ports abiding by poor to no ballast water management practices. • Programme outputs employed by other regional countries. • A formalized communications system through identified lead agencies is in place and functioning at the regional level. • Programme regions are an increasingly forceful and effective presence in international/IMO fora where the ballast water issue is being discussed and policy formulated. 			
Activities:	Responsible Parties	Partners	Budget (US\$K)	Budget notes:
<p><i>Activity 6.1 Form Regional Project Task Forces</i> Create as appropriate and in cooperation with participating countries, six regional or sub-Regional Project Task Forces (RPTFs) to support and learn from the experience of the participating countries and ports.</p>	<p>PCU/Participating Countries (Lead Agencies)/GEF Focal Points</p>	<p>Governments in regional countries</p>	<p>Travel: 60 Total: 60</p>	<p>Travel to initiate RPTFs.</p>
<p><i>Activity 6.2. RPTF Meetings and Study Tours</i> Provide for RPTF meetings and ensure effective communications between RPTF and the programme</p>	<p>PCU/Participating Countries (Lead Agencies)/GEF Focal Points/Port Officials</p>	<p>Governments in regional countries</p>	<p>RPTF mtngs: 300K Study tours: 240K Total: 540</p>	<p>1 RPTF meeting/region/yr x 2 yrs. 25K per meeting. 40K per region</p>

COMPONENT 7: RESOURCES AND FINANCING

In addition budgetary resources provided through GEF and the participating countries for 3 years, a vital objective of the programme is to identify and secure opportunities for self-financing of the programme during its life-time and for the sustainable continuation of IMO, Global, regional and national efforts to implement IMO ballast water management provisions into the future, beyond the life of the programme.

Outputs: <ul style="list-style-type: none"> Potential resourcing and financing mechanisms are identified for national, regional and global ballast water management arrangements in accordance with IMO guidelines/requirements. 	Success Criteria: <ul style="list-style-type: none"> Potential in-country resource and financing mechanisms identified. Identification of specific interested donors. Active participation of a broad array of donors at the donor conference. Active participation of developing countries from all regions. Specific commitments of donors (including IMO) to continuing post programme work. 			
Activities:	Responsible Parties	Partners	Budget (US\$K)	Budget notes
<i>Activity 7.1: National Resourcing and Financing</i> Review the opportunities for self-financing of programme components and future ballast water management arrangements at the national level on an ongoing basis, pinpointing the potential economic sources and mechanisms. Based on the principles of user-pays and polluter pays, consider potential for port fees/shipping levies.	PCU – manage. Consultant – undertake review. Lead Agency/CPTF – support and implement.	Industry, IMO, UNDP, WB, Regional Development Banks, National and International Donors.	Contracts: 50 Total: 50	Fees/travel to undertake review.
<i>Activity 7.2: Global Donor Conference</i> Sponsor a donor conference using the ongoing GEF programme as leverage for the creation of necessary additional donors and the securing of loans, and confirm IMO's support for the continuation of post-programme activity from its regular budget.	PCU	Industry, IMO, UNDP, WB, Regional Development Banks, National and International donors.	Donor Conf: 50 Total: 50	Costs of the conference.

Revised Indicative Three Year Workplan (May 2000)

See over:

2002												2003			No.	Description/Activity
J	F	M	A	M	J	J	A	S	O	N	D	J	F	M		
																PERSONNEL
															1.A.1	Chief Technical Advisor
															1.A.1	Technical Adviser
															1.A.1	Consultancies: Short-term; Miscellaneous
															1.A.3	Consultancies: Info/Comms Network
															4.2	Consultancies: Develop Train-X methodology
															1.A.1	Administrative Assistant
																MONITORING AND EVALUATION
															1.A.5	Evaluation: TPR, APR missions
															1.A.4	PCU travel and DSA
															6.1	Travel to establish RPTFs
															7.1	Travel, Donor Conference
																CONTRACTS
															2.3	Prepare Case Studies
															1.B.4	Develop & implement National Workplans
															1.B.2	Support CPTFs including hiring of assistants
															2.1/2.	Programme Identity & CEAR Materials
															2.5	Implement National Comms Workplans
															3.1	Conduct Risk Assessments
															3.2	Coordinate Port Baseline Surveys
															4.3	Conduct Legislation/Regulation Reviews
															5.1	Develop CME Systems
															5.4	Implement CME Systems
															5.3	In-country CME Personnel & Training
															4.2	BWM Train-X course development workshop
															4.2	Deliver In-country BWM Training (Train-X)
																MEETINGS
															1.B.3	CPTF
															1.C.1	GPTF
															2.4	Country Communication Workshops
															4.6	R&D Symposium
															6.2	RPTF and Evaluation
															7.2	Donor Conference
																EQUIPMENT
															1.A.2	Expendable Equipment (PCU)
															5.2	BW Sampling Equipment
																MISCELLANEOUS
																Miscellaneous & Sundries
																Reporting Costs

Revised Programme Budget (US\$) (March 2001)

Budget Line	Description/Activity	Act. No.	Total	2000	2001	2002	2003
	PERSONNEL						
	International Experts						
11.01	Chief Technical Advisor	1.A.1	450,000	134,484	128,016	150,000	37,500
11.02	Technical Adviser	1.A.1	IMO				
	Consultants						
11.51	Consultancies: Short-term; Miscellaneous	1.A.1	195,000	37,572	37,428	65,000	55,000
11.52	Consultancies: Info/Comms Network	1.A.3	50,000	21,344	28,656		
11.53	Consultancies: Develop BWM Train-X methodology	4.2	50,000	--	50,000		
	Administrative support personnel						
13.01	Administrative Assistant	1.A.1	180,000	23,904	81,096	60,000	15,000
	Monitoring and evaluation						
15.01	Evaluation: TPR, APR missions	1.A.5	80,000	46,000	39,954	20,000	20,000
	Mission costs						
16.01	PCU travel and DSA	1.A.4	150,000	42,867	42,133	45,000	20,000
16.02	Travel to establish RPTF's	6.1	60,000	27,979	32,021		
16.03	Travel, Donor Conference	7.1	50,000			50,000	
	SUB-TOTAL PERSONNEL		1,265,000	288,196	439,304	390,000	147,500
	CONTRACTS						
21.01	Prepare Case Studies	2.3	100,000	--	75,000	25,000	
21.02	Support to develop & implement National Workplans	1.B.4	750,000	91,918	283,082	250,000	125,000
21.03	Support for CPTFs including hiring assistants	1.B.2	660,000	--	330,000	220,000	110,000
21.04	Develop Programme Identity & CEAR Materials	2.1/2.2	103,000	--	103,000		
21.05	Implement National Communication Workplans	2.5	540,000	--	240,000	180,000	120,000
21.06	Conduct Risk Assessments	3.1	265,000	--	100,000	100,000	65,000
21.07	Coordinate Port Baseline Surveys	3.2	400,000	--	400,000		
21.08	Conduct Legislation/Regulation Reviews	4.3	180,000	--	180,000		
21.09	Reprint IMO BWM Guidelines	4.1	22,000	--	22,000		
21.10	Develop CME Systems	5.1	70,000	--	70,000		
21.11	Implement CME Systems	5.4	240,000	--	100,000	100,000	40,000
	SUB-TOTAL CONTRACTS COMPONENT		3,330,000	91,918	1,903,082	875,000	460,000
	TRAINING/MEETINGS						
32.01	Training						
32.02	In-country CME Personnel & Training	5.3	480,000	--	240,000	240,000	
32.03	Course Development Workshop – BWM Train-X	4.2	70,000	34,285	35,715		
32.04	Deliver In-country Training - BWM Train-X	4.2	180,000	29,268	40,732	110,000	
	Meetings						
32.05	CPTF	1.B.3	180,000	1,703	118,297	60,000	
32.06	GPTF	1.C.1	240,000	3,300	136,700	80,000	20,000
32.07	Country Communication Workshops	2.4	120,000	--	120,000		
32.08	Global R&D Symposium	4.4	60,000	--	60,000		
32.09	RPTF	6.2	540,000	--	270,000	270,000	
32.10	Donor Conference	7.2	50,000	--	--		50,000
	SUB-TOTAL TRAINING/MEETINGS		1,920,000	68,556	1,021,444	760,000	70,000
	EQUIPMENT						
41.01	Expendable Equipment (PCU)	1.A.2	50,000	52,664	- 2,664		
42.01	BW Sampling Equipment	5.2	60,000	4,935	55,065		
	SUBTOTAL EQUIPMENT		110,000	57,699	52,401		
	MISCELLANEOUS						
51.01	Sundries		35,000	229	19,771	10,000	5,000
52.01	Reporting costs		30,000	322	19,678	10,000	
53.01	Miscellaneous		30,000	--	10,000	10,000	10,000
	SUB-TOTAL MISCELLANEOUS		95,000	551	49,449	30,000	15,000
	TOTAL:		6,720,000	506,820	3,465,680	2,055,000	692,500
	Executing Agency support 10%		672,000				
	GRAND TOTAL		7,392,000				

Acronyms in this Table: APR = Annual Project Review. BW = Ballast Water. BWM = BW Management. CEAR = Communication, Education & Awareness Raising. CFP = Country Focal Point. CME = Compliance Monitoring & Enforcement. CPTF = Country Project Task Force. DSA = Daily Subsistence Allowance. GPTF = Global Project Task Force. PCU = Programme Coordination Unit. RPTF = Regional Project Task Force(s). TPR = Tripartite Review

Revised Budget Notes

(New Budget Lines on right hand side)

Activity 1.A.1: Human Resources	US\$825,000	
Covers salary, benefits, travel for PCU, necessary administrative/secretarial personnel, and international short term consultancies. The CTA absorbs nearly half the amount in salary and benefits alone.		
a) Salary for CTA	US\$450,000	1.1.1
b) Salary for Administrative Assistant	US\$180,000	1.3.1
c) Salary and travel for short-term consultants who will assist the CTA to get the programme off the ground	US\$195,000	1.2.1
 Activity 1.A.2: Hardware	 US\$ 50,000	 4.1
Cost of IT equipment, office fittings and supplies, telephones etc in PCU and field offices.		
 Activity 1.A.3: Info/Comms Network	 US\$50,000	 1.2.2
Costs to establish web-site, global information clearing-house and communication system, including hardware and contracting in of consultant(s) , plus production of quarterly newsletter and procurement of publications for library collection.		
 Activity 1.A.4: PCU Travel	 US\$ 150,000	 1.5.1
Airmiles, daily subsistence allowance and other travel costs for PCU travel throughout the programme		
 Activity 1.A.5: Programme Evaluation & Review	 US\$80,000	 1.4.1
Travel and other costs for UNDP, IMO etc for tripartite and annual programme evaluations and reviews.		
 Activity 1.B1: Establish Lead Agencies and CFP's	 In-country cost	
 Activity 1.B.2: Support CPTF's and CFP Assistants	 US\$660,000	 2.3
Salary, benefits, travel and other costs for CFP Assistant in each pilot country at UN local staff level plus general support CPTF activities.		
 Activity 1.B.3: CPTF Meetings	 US\$180,000	 3.2.1
Funds to support basic meeting costs for CPTFs in each country, based on US\$3,000 per meeting, 10 meetings over 3 years for 6 pilot countries.		
 Activity 1.B.4: Develop & Implement National Workplans	 US\$750,000	 2.2
US\$125,000 per country to assist each CPTF in developing and implementing its National Workplan for the programme. It should be noted that the National Workplans will be implementing many of the activities under programme components 2 to 7, which have separate budgets, so total resources available for National Workplan implementation are significantly greater than the funds available under Activity 1.B.4 alone.		
 Activity 1.C.1: Global Project Task Force	 US\$240,000	 3.2.2
Travel, DSA and other costs for holding GPTF meetings, based on \$40,000 per meeting and 1 meeting per year for three years, plus an additional \$120,000 to cover the costs of Advisory Group or Sub-Committee meetings that may be required.		

<p>Activity 2.1: Programme Identity Costs of engaging external suppliers to develop programme logo, stationary and standards for application.</p>	<p>US\$3,000</p>	<p>2.4</p>
<p>Activity 2.2: Comm, Education and Awareness Raising Materials Costs of producing a range of communication, education and awareness raising materials for use by PCU, IMO and pilot countries in suitable formats and languages, including standard slide presentations, brochures, educational posters, pamphlets and other products. To be developed and produced professionally using external suppliers but utilising existing materials from countries that are advanced in this area.</p>	<p>US\$100,000</p>	<p>2.4</p>
<p>Activity 2.3: Case Studies Contract fees for consultant to research and compile case studies demonstrating the economic, ecological and human health impacts of ballast water introductions plus costs of publishing and communicating the case studies to all stakeholders in the pilot countries.</p>	<p>US\$100,000</p>	<p>2.1</p>
<p>Activity 2.4: Country Communication Workshops \$20,000 per country to hold national workshops to develop National Communication Workplans, including in-country strategies and activities for education and awareness raising and public participation.</p>	<p>US\$120,000</p>	<p>3.2.3</p>
<p>Activity 2.5: Implement National Communication Workplans \$90,000 per country to assist with implementing the workplans developed from activity 2.4.</p>	<p>US\$540,000</p>	<p>2.5</p>
<p>Activity 3.1: Ballast Water Risk Assessment Consultancy fees and costs to undertake a ballast water risk assessment for each demonstration site (\$50,000 per port). Each CPTF to support this task through provision of data and information.</p>	<p>US\$300,000</p>	<p>2.6</p>
<p>Activity 3.2: Port Baseline Surveys \$100,000 consultancy fees and costs to design and coordinate the surveys and provide in-country training. \$300,000 to support in-country marine science community to undertake biota surveys at each demonstration site (\$50K per port).</p>	<p>US\$400,000</p>	<p>2.7</p>
<p>Activity 3.3. Information Gap Filling Most activities under the programme will identify information gaps as a matter of course and the PCU with support from the CPTFs will undertake ongoing review of all activities to ascertain these and define activities needed to fill these gaps.</p>	<p>No explicit cost.</p>	
<p>Activity 4.1: Translate/Disseminate IMO Guidelines The major focus of the programme is on assisting the pilot countries to implement the IMO ballast water management guidelines. In order to do this, the guidelines must be made widely available. Costs of translating the guidelines and distributing them.</p>	<p>US\$22,000</p>	<p>2.9</p>

Activity 4.2: BWM Education and Training Packages	US\$300,000	
It is necessary to train Lead Agency, port and shipping personnel in each pilot country in ballast water management, consistent with the IMO guidelines. This training has three components:		
Consultant to develop generic package, using TRAIN-X methodology:	\$50,000	1.2
Hold workshop to finalise course package:	\$70,000	3.1.2
Deliver initial training course in each country and validate:	\$180,000	3.1.3
Ongoing training to be in-country responsibility.		
Activity 4.3: Legislation and Regulations	US\$180,000	2.8
\$25,000 per country for in-country consultants/institutions to review all existing national and local legislation and regulations relating to ballast water and recommend any changes required to mandate national ballast water management arrangements developed under the programme.		
\$30,000 for expert advice and coordination on contract to PCU.		
Activity 4.4: Global R&D Symposium	US\$60,000	3.2.4
Costs of holding the symposium, inc. travel and DSA.		
Activity 5.1: Develop CME Systems	US\$70,000	2.10
Consultant fees and costs to adapt relevant components of IMO guidelines and other standard protocols to develop compliance monitoring and enforcement (CME) system for each demonstration site.		
Activity 5.2: Ballast Water Sampling Equipment	US\$60,000	4.2
\$10,000 per country to purchase standard ballast water sampling equipment for use in CME activities.		
Activity 5.3: In-Country CME Personnel and Training	US\$480,000	3.1.1
\$80,000 per country to train CME personnel designated by Lead Agency/port authorities in CME procedures and use of BW sampling equipment.		
Activity 5.4: Implement CME Systems	US\$240,000	2.11
\$40,000 per country to assist with implementing CME systems.		
Activity 6.1: Form Regional Project Task Forces	US\$60,000	1.5.2
\$10,000 per country to establish RPTFs.		
Activity 6.2: RPTF Meetings and Study Tours	US\$540,000	3.2.5
Travel and other costs to hold RPTF meetings and for study tours by personnel from neighbouring countries to the initial demonstration sites.		
Activity 7.1: National Resources and Financing	US\$50,000	1.5.3
Consultant fees, travel and other costs to identify opportunities for self-financing of ballast water management arrangements in each pilot country.		
Activity 7.2: Donor Conference	US\$50,000	3.2.6
Travel and other costs to hold conference.		

Agenda Item 4: Immediate Workplans and Budgets

Background

The Briefing Paper and attachments for Agenda item 3 'Project Implementation Plan' provide full details on the overall workplan and budget for the programme over the full three year implementation period. This Briefing Paper provides specific details on the immediate workplans and budgets for the remainder of 2000 (1 July to 31 December) and the tentative workplan for 2001.

Immediate Workplan and Budget for July-Dec 2000

The following activities are planned to be undertaken in Jul-Dec 2000:

*= PCU expenditure. # = In-country expenditure.

Description/Activity	No.	2000						Budget (US\$)
		J	A	S	O	N	D	
PERSONNEL								
Chief Technical Advisor	1.A.1							*66,250
Technical Adviser	1.A.1							IMO
Consultancies: Short-term; Miscellaneous	1.A.1							*5,000
Consultancies: Info/Comms Network	1.A.3							*40,000
Consultancies: Develop Train-X methodology	4.2							*25,000
Administrative Assistant	1.A.1							*22,500
MONITORING AND EVALUATION								
Evaluation: TPR, APR missions	1.A.5							20,000
PCU travel and DSA	1.A.4							*20,000
Travel to establish RPTFs	6.1							
Travel, Donor Conference	7.1							
CONTRACTS								
Prepare Case Studies	2.3							*25,000
Develop & implement National Workplans	1.B.4							#320,000
Support CPTFs including hiring of assistants	1.B.2							200,000
Programme Identity & CEAR Materials	2.1/2.							*53,000
Implement National Comms Workplans	2.5							#200,000
Conduct Risk Assessments	3.1							*100,000
Coordinate Port Baseline Surveys	3.2							*100,000
Conduct Legislation/Regulation Reviews,	4.3							
Develop CME Systems	5.1							
Implement CME Systems	5.4							
TRAINING/MEETINGS								
In-country CME Personnel & Training	5..3							
BWM Train-X course development workshop	4.2							
Deliver In-country BWM Training (Train-X)	4.2							
CPTF	1.B.3							#30,000
GPTF	1.C.1							*60,000
Country Communication Workshops	2.4							#120,000
R&D Symposium	4.6							
RPTF	6.2							

Donor Conference	7.2												
EQUIPMENT													
Expendable Equipment (PCU)	1.A.2												
BW Sampling Equipment	5.2												
MISCELLANEOUS													
Miscellaneous & Sundries													10,000
Reporting Costs													10,000

Tentative Workplan and Budget for 2001

The following activities are planned to be undertaken during 2001.

*= PCU expenditure. # = In-country expenditure.

Description/Activity	No.	2001												Budget (US\$)
		J	F	M	A	M	J	J	A	S	O	N	D	
PERSONNEL														
Chief Technical Advisor	1.A.1													*150,000
Technical Adviser	1.A.1													IMO
Consultancies: Short-term; Miscellaneous	1.A.1													*65,000
Consultancies: Info/Comms Network	1.A.3													10,000
Consultancies: Develop Train-X methodology	4.2													25,000
Administrative Assistant	1.A.1													*60,000
MONITORING AND EVALUATION														
Evaluation: TPR, APR missions	1.A.5													20,000
PCU travel and DSA	1.A.4													*45,000
Travel to establish RPTFs	6.1													*60,000
Travel, Donor Conference	7.1													
CONTRACTS														
Prepare Case Studies	2.3													*50,000
Develop & implement National Workplans	1.B.4													#170,000
Support CPTFs including hiring of assistants	1.B.2													#200,000
Programme Identity & CEAR Materials	2.1/2.													*50,000
Implement National Comms Workplans	2.5													200,000
Conduct Risk Assessments	3.1													*200,000
Coordinate Port Baseline Surveys	3.2													#300,000
Conduct Legislation/Regulation Reviews	4.3													*180,000
Develop CME Systems	5.1													*50,000
Implement CME Systems	5.4													#100,000
TRAINING/MEETINGS														
In-country CME Personnel & Training	5.3													#240,000
BWM Train-X course development workshop	4.2													*70,000
Deliver In-country BWM Training (Train-X)	4.2													#70,000
CPTF	1.B.3													#60,000
GPTF and Advisory Bodies	1.C.1													*80,000
Country Communication Workshops	2.4													
R&D Symposium	4.6													*60,000
RPTF	6.2													*210,000
Donor Conference	7.2													
EQUIPMENT														
Expendable Equipment (PCU)	1.A.2													
BW Sampling Equipment	5.2													#60,000
MISCELLANEOUS														
Miscellaneous & Sundries														*30,000
Reporting Costs														10,000

Agenda Item 5: PCU Progress Report

For the period 1 March to 30 June 2000

Establishment of the PCU

During the reporting period the PCU was established and is now fully operational. Establishment activities included:

- Recruitment and commencement of the Chief Technical Adviser (CTA), Technical Adviser (TA) and Programme Assistant (PA).
- Procurement and commissioning of information technology hardware, furniture and other office equipment and fittings.
- Establishment of a filing and document management system, within the overall IMO framework.
- Confirmation of internal PCU/IMO reporting procedures.
- Revision of the original Project Document and development of a practical Project Implementation Plan (PIP) and revised budget for the whole three year period, and specific workplans for 2000 and 2001.

Preparation of an initial consultants register for use in the IMO accelerated recruitment procedure.

Information/Communications Network

During the reporting period the PCU laid the foundations for the programme's Information/Communication Network (including information resource centre). Activities included:

- Establishment of a contacts database of all major players in the programme.
- Establishment of cataloguing and archiving system for the ballast water/introduced marine species collection in the IMO library.
- Commencement of procurement of publications World-wide for this collection, Many publications have been received already and all organisations providing publications to date have done so free-of-charge, as support for the programme.
- Establishment of links with other agencies that are developing ballast water/introduced marine species databases and directories (e.g. Smithsonian Environmental Research Center (SERC) in the USA and the Centre for Introduced Marine Pests (CRIMP) in Australia), so as to avoid duplication.

- Initiation and maintenance of official regular, day-to-day correspondence with CFPs and other key players in the programme.
- Agreement with IMO IT section to develop programme Web-site jointly and host on the IMO web-site.
- Designing, compiling and publishing first edition of Ballast Water News, the programme's quarterly newsletter.

In-country Arrangements

During the reporting period in-country arrangements were established in each of the six pilot countries as follows:

- A Lead Agency was designated in each country.
- A Country Focal Point (CFP) was designated in each country.
- A CFP Assistant was recruited and commenced duties in each country.
- A Country Task Force (CPTF) was established in each country, and the first CPTF meeting was held with attendance of a PCU/IMO representative.
- Guidelines for CPTF's were produced and disseminated by the PCU, providing each country with a standardised framework for the roles and functions, membership and structure of CPTF's and how to run CPTF meetings.
- A draft National Workplan template was developed by the PCU, for consideration at the 1st Global Project Task Force (GPTF) meeting. This provides each country with a standardised approach and structure for developing their National Workplans, and will help ensure a consistent coordinated approach between countries.

Communication, Education and Awareness Raising

In addition to the activities listed under 2. above, the following communication, education and awareness raising activities were undertaken by the PCU during the reporting period.

- A corporate identity was established for the programme, through the development of a programme specific logo and guidelines for its application.
- A standard PowerPoint presentation was developed and delivered to both IMO in-house audiences and to the CPTF in each country.
- Preliminary planning commenced for the country communication workshops to be held in the next reporting period.
- Preliminary planning commenced for the Case Studies to be conducted in the next reporting period.

Global Project Task Force (GPTF)

During the reporting period all arrangements for the 1st GPTF meeting were completed by the PCU, including:

- Defining GPTF membership and inviting participation.
- Making travel and accommodation arrangements for country delegates.
- Developing and preparing the meeting Agenda and supporting documents.
- Securing venue and catering arrangements.

PCU/IMO Travel

During the reporting period, PCU and IMO staff made programme inception visits to all six participating countries. In-country activities included:

- Initiation meetings with the CFP, CFP Assistant and other key personnel in each country.
- Attendance at the 1st CPTF meeting in each country, including delivery of the standard PowerPoint presentation to each CPTF.
- Finalising contractual arrangements where necessary for the employment of CFP Assistants.
- Progressing establishment of bank accounts and procedures for management of programme funds in each country.
- Field familiarisation visits to each demonstration site.
- Identification of potential in-country consultants.

Agenda Item 6: Country Status Reports

For the period 1 March to 30 June 2000

Brazil

Since 1998, Brazil has translated into Portuguese “The Guidelines for the Control and Management of Ships’ Ballast Water” and the resolution A.868(20). These Guidelines were given to all ships in Brazilian ports in order to enable us to establish a database.

Related to this, we sent one technician to take part in the technical co-operation with the United States Coast Guard and the Smithsonian Institute. This technician will be the co-ordinator of our database.

Our Environment State Agency has organised a CD-Rom containing the oceanographic parameters of the Sepetiba Bay region.

During the last year, our administration a ‘Draft Project of Ballast Water Management’. This was an important step towards the establishment of our guidelines for the Ballast Water Management Programme.

After the 1st GPTF Meeting, our draft project will be revised according to the new format that the meeting agrees. It is important to state that this draft was very important in our initial organisation. Its Revised Version will enable us towards the next important step in our work.

The next important step we hope to perform alongside the revision of our draft project. This step consists of the final indication of our Lead Agency, our Focal Point and the Focal Point Assistant.

Today, we have a Lead Agency and a Focal Point belonging to our Maritime Authority. Taking into consideration the outcome of the 1st GPTF Meeting we will consider whether it is necessary to shift the Lead Agency to the Ministry of the Environment or to keep it with the Maritime Authority. After this decision the new Focal Point will, if necessary, be indicated and his Assistant selected. We hope to finalise this process by the end of July.

China

There are three laws and regulations in force at present concerning ballast water management. These legal instruments are the frontier health and quarantine law, the law of marine environment protection and the regulations governing the prevention of pollution from ships.

Under these laws and regulations, captains are required to declare to the local MSA the quantity of ballast water on board, the place where the ballast water was taken and whether the ship has a separate piping system for ballast operations. Ships are also required to maintain the records of ballast water operations.

According to the Quarantine law, ballast water taken at the places listed by WHO as the infected areas maybe required by the Quarantine Office to be treated by the use of biocides. However, such practice has become less common because more and more ships carry out ballast water exchange at sea and more and more ballast water is taken on the high seas rather than shallow waters. Studies on the effectiveness of such treatment methods have been carried out by Dalian Maritime University.

Under the GloBallast Project, China has completed the following organizational work:

1. Leading agency – The China Maritime Safety Administration has been designated the leading agency for implementation of the project.
2. Country Focal Point – Captain Song Jiahui, Deputy Director-General of China MSA has been designated Country Focal Point.
3. Country Focal Point Assistant – Mr Zhao Dianrong, Division Director of Ship Safety and Pollution Control, Tianjin MSA, has been appointed CFP Assistant.
4. Country Project Task Force – The Country Project Task Force has been established through consultation with the relevant organizations relating to ballast water management. The CPTF consists of the representatives from the following authorities and organizations:
 - China MSA
 - Ministry of Agriculture
 - State Administration for Environmental Protection
 - State Administration for Entry-Exit Quarantine and Inspection
 - State Administration of Oceanography
 - Dalian MSA
 - Environmental Protection Center of Ministry and Communications
 - COSCO Shipping Community
 - Dalian Maritime University
 - UNDP Beijing Office

The CPTF is composed of fifteen people from the above-mentioned authorities and organizations.

5. First CPTF Meeting – The first CPTF meeting was convened on 22 June 2000. Mr Koji Sekimizu, Senior Deputy Director of the Marine Environment Division of IMO, attended the meeting and delivered a presentation on the project. The report of the first CPTF meeting and its attachments have been submitted to PCU [*attached at Appendix 3*].

During the past years, the Government has sponsored several baseline studies of China's coastal areas. The results of the studies can be used by the project.

Dalian, the demonstration site of the project, is located in the Bohai Sea. The Bohai Sea is listed as one of the most polluted areas in the country. Because Bohai Sea is an inner sea, the circulation of the water is comparatively slow. It takes about ten years for the water to circulate once.

As a result of the increasing maritime activities, more ballast water is discharged or up-taken. Bohai Sea is also an area where red tides frequently occur. It is proposed that a study and risk assessment be conducted to identify the risks of ships' ballast operations in the areas where a red tide takes place. If the risks are identified that a ship taking up ballast water in or near a red tide area is liable to transfer the red tide organisms to other areas where it will deballast, action plans should be made to reduce such a possibility.

A red tide information providing system may need to be established to advise the captains how to avoid taking in ballast in such areas.

A ship borne treatment devise using a combination of heating and electrolysis is being researched at Dalian Maritime University. The research group has completed the first design work.

A summary of our national workplan has been drafted. The detailed national workplan will be developed according to the outcome of the first Global Project Task Force meeting.

China MSA ensures its commitment to continue its support to the ballast water project and its efforts towards implementation of IMO Guidelines concerning ballast water management.

The CPTF is in a position to carry out its further work to implement the project.

India

As the Country Focal Point for India, I am pleased to inform you that we have already had our First Lead Agency meeting at Goa on 15-6-2000. The minutes of the above meeting is enclosed herewith. Subsequently, we had our first Country Project Task Force meeting at Mumbai with various agencies, the list of which is also enclosed.

At the first Country Project Task Force we had with us Shri Dandu Pughiuc who had come all the way from IMO to attend the meeting. The minutes of the meeting is also enclosed herewith [*attached at Appendix 3*]. After the first meeting of the Task Force, I had hardly any time to further in this project before I attended the Global Project Task Force meeting at IMO, London.

I have already issued instructions to the ports to start collecting data on the quantity of ballast water exchanged by each ship entering into Mumbai & Jawaharla Nehru ports.

As it was agreed upon at the first Country Task Force meeting at Mumbai all the representatives were issued with a letter to have their input about this project with the Country Focal Point. I am pleased to inform that we have received various input from the representatives – that is what I have concised and to inform you that how India wants to progress in this gigantic global Ballast water project. In order to achieve the above objectives, the following measures are to be undertaken at the earliest possible date:

1. Recording the ballast water exchanged by each ship at all ports as per ballast water report forms
2. Voluntary implementation of the entire IMO guideline A-868 (20)
3. Development of a database to identify microorganisms/pathogens present in national waters, ports, etc. and detect new entrants, tracking their growth and impact on the ecosystem and identifying preventative measures.
4. To identify all such organisms and their source of strength.
5. To conduct training and awareness programmes for ships' master and crews and others on the subject of environmental contamination due to ballast water and sediment discharge and the threats posed by them.
6. To assist in developing ballast water management plans for ships as well as to approve them.
7. Regular meetings between Indian ship owners and the Country Focal Point for India be arranged in order to brief them on the developments in this matter and to consider technical issues such as regular cleaning of residues from ballast tanks, problems arising, if any, on account of exchange of ballast at sea, etc.

Islamic Republic of Iran

I, as CFP, am glad to announce to you that some activities were done for the GloBallast Project in Iran as follows:

- a) The First Task Force Meeting was held by the following attendants:
- b) PSO's Marine General Manager as Leading Agency
- c) UNDP's representative in Iran
- d) The Foreign Ministry's Representative
- e) Two persons from Iran's Environmental Conservation Organization
- f) CFP
- g) PSO's Marine Environment Division

I should say that the first CPTF meeting report has already been submitted to IMO [*attached at Appendix 3*].

A seminar titled "The Ninth Marine Departments Organization Meeting" was held in Iran's PSO by attending 360 experts on 13 - 14 July 2000. The Environmental Conservation Committee was one of the four most active committees and I, as one of the Aims of Committee, presented a complete report entitled "GloBallast Project" there. Besides this, I have to say that the members of the Marine Environmental Conservation Committee are the same as the National Task Force members, and they are completely familiar with the project's aims and results through different meetings and they also announced their readiness to cooperate.

According to the NITC's declaration, the Ballast Water Management Plan (BWMP) is completed and they are going to take the final operation permission from the legal authorities.

There are lots of qualified potentials for cooperating in the GloBallast project, divided into different organizations such as fisheries, research centres, NIOC's lab and research centre, environmental conservation organizations, health organizations, shipping companies, etc. The PSO as the Leading Agency is trying to organize them and simplify different official problems and could establish Iran's Marine Environmental Conservation Committee (IMECC) which I have pointed before and it is supposed to continue their activities for the next year.

We are now gathering the necessary ballast water and exchange information through the ballast water report forms which are recommended in resolution A868 (20) and finally the data collected will be analyzed.

As you know, the VLCC and ULCC are berthed to Kharg Island jetties, and we are always trying to avoid or decrease the factors which affect a ship's delay. So, the most important item is the method of sampling the tankers' ballast water without causing any delays and covering all the required data. Therefore we shall look forward to receiving PCU's recommendation and the other members' experiences regarding the methods of sampling and relative reports.

Iran is one of the biggest oil producers and exporters in OPEC and we severely need it economically. Thus, this is so important for us that after finishing the project, the results do not disturb the oil market.

Regarding the specification of the Persian Gulf and its special situation and huge quantities of oil exported by the countries, it is necessary to pay specific attention to prevent such treatments that have negative impacts of oil businesses and shipping companies.

In the end, I thank all the dear audiences' attention and I wish all the best for the project and its members.

South Africa

The Lead Agency for purposes of the project is the Department of Environmental Affairs and Tourism.

The Country Focal Point is Dr L Jackson, Deputy Director, Marine and Aquatic Pollution Control in the DEAT.

The CFP Assistant is in the process of being appointed. The candidate recommended is Mr Adnan Awad.

The port which has been selected as the site for the purposes of the project is the Port of Saldanha, which lies on the West Coast of South Africa, about 120 kilometres north of Cape Town. The port exports iron ore and other ores (copper, lead, etc.), and both imports and exports oil. It therefore has quite large discharges of ballast water (8,759,527 metric tonnes over the last year). Ship movements were as follows: 899 (1999); 780 (1998); and 759 (1997). There is a proposed expansion of the iron ore facilities so that the current amounts exported would double over the next 10 years. This would obviously result in a dramatic increase in shipping movements and ballast water discharges.

In addition to the above, Saldanha is an extremely sensitive site from an environmental perspective. The southern part of the bay – called Langebaan Lagoon – is a National Marine Park and a Ramsar Site, with a large number of migrant waders. The bay also encompasses a number of islands with large seabird colonies, and hosts a number of mariculture operations.

There are a number of recorded introductions of marine species into South African waters. These include the European mussels (*Mytilus galloprovincialis*), the European shore crab (*Carcinus meanis*), whelks (*Bedeva paivae* & *Thais haemostoma*), and a dinoflagellate (*Glennodinium cf. mikimotoi*). Of greatest concern to this project is an outbreak of a unicellular algae (*Oreococcus anophageffernes*), which has appeared in Saldanha Bay over the last three years and which appears to be having a negative effect on the growth rates of the mussels being grown there – to the extent that some of the mussel farmers are considering closing down operations.

The IMO Voluntary Guidelines are not to be applied in the ports, but some of the ports, including Saldanha have, for some years, been collecting data on ballast water discharges.

The first Country Project Task Force Meeting was held on 20 June [*minutes attached at Appendix 3*] and a workshop to develop the National Workplan is being planned for early August.

Ukraine

There is not so much time past since we received confirmation that the Global Ballast Water Management Programme (GloBallast) became reality, and the Ukrainian port of Odessa is going to become for the nearest 3-4 years a European demonstration centre for ways of solving ballast water management problems.

We are well aware that the Programme's main objective is removing obstacles for effective ballast water management as it is defined both in its name and contents. However, the initiative group of the Shipping Safety Inspectorate of Ukraine, when taking part in the discussion of alien problems at the MEPC session from the very beginning, has suggested that these tasks be solved in a wider scope than that covering only the IMO guidelines implementation.

In order to prove that suggestion as well as involve wider public circles to the problem's solution both in Ukraine and in the Black Sea and Caspian region as a whole, the Inspectorate even before its

appointment as National Lead Agency held a three-day workshop aboard the scientific vessel Georgiy Ushakov in September 1999. The workshop was organized under the leadership of IMO and attended by officers of the Marine Environment Protection Division and many international experts. The participants visited the ports of Odessa, Constanta and Varna, actively exchanging their views in various scopes concerning possible ways of the most effective solution of the problem in the region.

Calling, in the course of the workshop, press conferences with the mass media of the coastal countries and observing the consequent publications and TV and radio reports, we were convinced that the environmental and medical public are well aware of the possible outcome of exotic species' intervention and showed deep concern in taking steps to reduce the probability of such interventions and decrease their impact. Hence, we have come to think that Ukraine's participation in GloBallast is a serious and positive step not only for Ukraine and the neighbouring countries, but also for other countries interested in reducing the risk of a still undefeated problem – provided we prove this trust.

Recognizing the responsibility laid down on the Shipping Safety Inspectorate of Ukraine, as the agency in charge of the Programme in Ukraine, we assumed from the beginning of this year the series of consultations with representatives of merchant shipping, environmental and sanitary authorities, port authorities and local state power bodies in order to highlight the extent of their concern in participating in the Programme. We have managed to determine the actual range of organizations and authorities ready to appoint their employees for further work. We also blueprinted the scope of competency for the Lead Agency and that of the main activities for the Country's Task Force.

Considering the zero stage of preparation of the Programme's realization, we can't but mention that utterly important support permanently rendered by the Project Co-ordination Unit. This was expressed primarily by reacting swiftly to all our enquiries and requests, appointing the CFP well in time and supplying us with the necessary organizational materials. In our view, development of such bulky and comprehensive documents within such a short time frame deserves particular thanks. It is due to their persistence and our modest efforts that we can too can admit not that Objective 1 of the Programme is achieved, at least in Ukraine.

The organizational basis for achieving the further goals of the Programme in Ukraine were created the following way:

1. Publications in the press and TV reports drew to the Programme the attention of all those concerned, namely environmentalists, medics, shipping companies, ports and local authorities. The Green Party of Ukraine officially addressed the Transport Ministry and suggested that a large meeting and wide discussions should be sponsored dealing with ways of appearing of exotic species transfer threat and ways of preventing such a threat. The meeting in Odessa, on 29 May 2000, approved of the Demonstration Centre to be established in Odessa and the key lines of its activities, agreed with the proposal by Shipping Safety Inspectorate of Ukraine to create a Country Task Force embracing representatives of almost all organizations taking part in the meeting. Detailed information on the CPTF of Ukraine is submitted to the PCU.
2. As soon as 9 June 2000, the first meeting of the CPTF of Ukraine took place, its audience requested to prepare proposals on their corresponding organizations' participation in the Programme and to submit them to the PCU representative Mr Khalimonov during his mission in Ukraine [*minutes attached at Appendix 3*].
3. The date when the CPTF of Ukraine was born should be regarded as its first official session with the PCU representative taking part, that is 20 June 2000, which was accompanied by a number of discussions following on organizational matters on the 21st and 22nd.

In the course of these meetings our CPTF obtained full and comprehensive advice on how to make up the National Workplan for the implementation of GloBall in Ukraine is priority. Results of the talks mentioned are now under consideration. Based on the Programmes' objectives and tasks, taking into account the recommendations of Mr Khalimonov, we drafted a sketch plan submitted to the PCU.

The CPTF session drew its attention to the necessity of the earliest completion of the preliminary stage of the Programme in order to start practical activities. In particular, it was especially pointed out that without the Programme's final adaptation to the requirements of practical solutions and without the documents' revision, completed national and regional workplans cannot be prepared and avoided.

Thus, the Demonstration Centre of Ukraine can boast of the following:

- The Lead Agency (Shipping Safety Inspectorate of Ukraine) is appointed;
- The Country Focal Point is designated;
- The CFP Assistant is appointed;
- The Country Task Force of Ukraine is established, its personnel list have been approved;
- The scope of major activities for the Ukrainian CPTF is drafted as well as the National Workplan blueprinted;
- Provisional measures are taken to find a place for a specialized laboratory and to sign the Memorandum of Understanding between the Ministry of Transport and International Maritime Organization (MoU on GloBallast).

In the nearer term, depending on the solution taken on ways and numbers of funding, we expect to provide:

- Elaboration of the National Working Plan for the implementation of the GloBallast Programme in Ukraine, its agreeing with the PCU;
- Equipment for the Demonstration Centre with modern office facilities and communications;
- Establishment of an information & analysis centre of the CPTF of Ukraine;
- Signing of the MoU on GloBallast.

We believe that the most important line of the Ukrainian CPTF activities is possibly the soonest development of regional co-operation by means of involving experts interested from other countries of the Black Sea region aiming at further creating the Regional Task Force with its own working plan and ways of its realization. At the same time, we don't think it feasible if any regional activities start before national plans are approved.

There is no doubt that the Programme has come to life. The potent personnel structure of the PCU and national human resources available prove that with international organizations' support such ways of the problem's solution can be reached that they\ would allow developing countries to find real measures preventing or reducing even a smallest opportunity for exotic species to trespass national ecosystems. It can turn out that the activity of demonstration centres would provide with universal recommendations for developed countries too, and then it could be rather easy to set up any mandatory measures for shipping mechanism of such threats' prevention.

Agenda Item 7: NGO/Industry information papers

OCIMF

OCIMF represents some 40 international oil companies from every region of the world. Our interests include both shipping and terminalling of oil cargoes and often setting many of the operational standards and guidelines for the industry. Environmental and Safety issues are our main concern and we realise that whether ballast water management becomes a ship or terminal responsibility (or a combination) the system will have to be managed on an operational level by our member companies. Substantial financial input from our members is a foregone conclusion whether in treatment systems on ships or reception facilities ashore.

OCIMF will support any reasonable measures that are applied fairly and uniformly, helping reduce environmental and biological impact from ballast water carriage and disposal, but commensurate with safe operation of ships and terminals. We feel that ballast water exchange at sea remains a potential safety hazard with existing ship designs and realise that many masters may feel commercially pressurised into exchanging ballast in inappropriate weather conditions.

The general policy adopted by OCIMF is as I briefly quoted yesterday is to: "Support moves to encourage the development of new technologies and methods of operating (including monitoring and performance criteria), as a means of addressing the safety concerns associated with ballast water exchange at sea for preventing the transfer of harmful aquatic organisms in ship's ballast".

This policy is under periodic review and to formulate a comprehensive policy we need to gain more awareness of the range of practical issues and problems that can be expected (by both developing and developed countries) in implementing existing ballast water control guidelines and in the introduction of mandatory provisions currently under development.

The current status of research into the full range of ecological and environmental liabilities and development of workable treatment methods is an important factor into determining the best overall solutions. With particular regard to this project and the participating countries, the means of enforcing the rules should be considered of equal importance and should not be relegated to a minor position. If an effective control system is not seen to be operating and penalties are not sufficient to impel people to comply it is almost certain that a large number of operators will ignore or bend the rules. Ballast water management is such a huge problem both financially and logistically we need to get it right, first time. The issue will not go away.

To give a practical example of the type of problems that can occur with a ship and ballast I can use the last ship I was Master of, a 1996 built double hull shuttle tanker operating wholly within NW Europe. A particular port in France, Donges on the river Loire, is typical of many river berths around the world, it is less a river and more a mud chute. Whatever we tried to limit the sediment intake whilst ballasting -waiting for highest tide or until the ships stresses were approaching safe limitations, or addition of supposedly safe emulsifier chemicals, the ship always sailed with approximately 2-3000 tons of sediment including a rich bioculture -having waded waist deep through it I can vouch for the problem.

After sailing, exchanging ballast totally in pairs of ballast tanks some 90-95% of sediment and organisms remained on board. Frequent further changes had no effect. The only means of removing this matter was by men in tanks with hoses taking 6 or 7 working days to complete all tanks.

In short sea trades this is not possible, and the ships cargo carrying capacity is substantially reduced. No damage to steelwork was noted but wear on pump bearings and impellers was severe.

The benefits of filtering when loading ballast, and filtrate back washed to water source are therefore highlighted both operationally and biologically.

INTERTANKO

INTERTANKO have been involved with the issue of alien species introduction since the early 90's when IMO were developing their first set of guidelines produced in 1993. Since then, INTERTANKO has taken a number of major steps to aid owners in their environmental responsibilities.

At present, INTERTANKO has four main areas of action in the issue:

On an international level, INTERTANKO have been working within the IMO to ensure that a wholly international approach to the problem is undertaken on a legislative level. In aiding in the development of resolution A.868 (20) and then the development, with ICS, of the Model Ballast Water Management Plan, INTERTANKO are aiming at ensuring that legislation is practical for the industry and effective in its role of preventing further environmental damage.

On a national and regional level, INTERTANKO have had to ensure that national and regional legislation is common knowledge to the owners and operators. This has been especially so in the last 5 years as unilateral action became more common place. Recently, INTERTANKO's Environmental Committee have requested that a database of all the legislation be established on the web site – this has been done and is currently available to our members – and in the spirit of co-operation will be available to all on our website before the end of the summer.

Due to the problems associated with the use of ballast water exchange at sea, INTERTANKO have been active in supporting R&D projects looking at alternative treatment techniques. In particular, INTERTANKO have recently been involved in a proposal put to the EU by Newcastle University in which they intend to focus on four alternatives and to carry out full scale tests in which INTERTANKO will ensure the availability of vessels. Furthermore, INTERTANKO's Environmental Committee continue to assess and appraise the various new technologies for ballast water management at each meeting in order to ensure that owners are aware and up to date on the new options.

Finally, INTERTANKO have been active in developing awareness within the tanker, and indeed the shipping community on the issue of alien species. I say alien species, as this is the aspect on which it is essential that the industry understand. With information articles in circulars and on the web, INTERTANKO are ensuring that operators and owners understand the reasons for the need to be proactive on this issue and indeed why they need to carry out the procedures in the first place.

In light of this INTERTANKO will actively support the GloBallast project during the next three years and to help ensure its ultimate success in the prevention of the introduction of unwanted alien species. In this spirit, INTERTANKO, along with ICS, would like to donate a copy of the Model Ballast Water Management Plan to each of the six representatives from the six participating States.

Friends of the Earth International

Control on the discharge of ships ballast water will be required by states for a broad range of reasons with particular regard to the introduction of unwanted or harmful aquatic species. At present an absolute technical solution does not exist which would enable total cleansing of the necessary ballast water discharge. Therefore in assessing the risk of an unwanted species introduction it will be necessary to establish a hierarchy or spectrum of concern. What is or is not discharged in ballast water within the jurisdiction of a coastal state is at the discretion of that state.

Ships normally interface only with the maritime administration of a particular state and which can be somewhat remote from the socio/political structure of that state ie an external perspective as opposed to an internal perspective.

In order to bridge what can be a substantial gap in understanding of cause and effect and thereby target resources effectively it is essential to establish some form of administrative structure. This may be best achieved through an Integrated Coastal Management system. Many states already have such a coherent system in place and where this is so using it can avoid the duplication of effort.

The first stage is to establish the scoping list to enable effective stakeholder input and consultation. A preliminary list is suggested below.

- Aquaculture -fish diseases etc.
- Capture fisheries/artisanal fishing -as above and introduced predators. Public health - bacteria/viruses, water intakes and sewage discharges - fouling organisms.
- Biodiversity/nature conservation - any introduced species.
- Coastal maritime built infrastructure -Flood defences, timber jetties and piled buildings - boring and burrowing species -Coastal power plants, cooling water intakes -fouling organisms.

Agenda Item 8: Establishment of Advisory Bodies

Background

During implementation of the programme, specialist technical and scientific advice will be required on various matters, so as to ensure that activities delivered to participating countries are technically sound and, where relevant, scientifically rigorous, credible and defensible.

Significant technical and scientific expertise exists within the Programme Coordination Unit (PCU). However, the breadth and complexity of many of the issues that will be dealt with during the programme and the primary focus of the PCU on overall programme management, will require co-opting of supplementary technical and scientific advice and assistance.

It should be noted that these Technical and Scientific Advisory Bodies (TABs and SABs) are in addition to experts contracted as consultants to undertake specific tasks and activities, as provided for in the Project Implementation Plan (PIP). Unlike individual consultants, they will act as expert panels, providing advisory and review services on a variety of issues as and when required. This includes when it is necessary and/or prudent to obtain the opinions of a number of experts, rather than rely on the advice of an individual consultant.

Examples of where such advice and assistance will be required are as follows:

Risk Assessment

Under the programme, an assessment of the risk of alien marine species introductions will be conducted at each demonstration site. This is important for establishing the level and types of risks of introductions each port faces, as well as the most sensitive and valuable resources that might be threatened. These will differ from site to site, and will determine the types of management responses that are required. The risk assessments therefore constitute a fundamental foundation for each country's response to the ballast water issue.

There are currently a variety of risk assessment techniques available. These range from highly complex, quantitative modelling exercises through to relatively simple, descriptive/comparative methods, and from methods that assess specific target species through to methods based on broad environmental comparisons. Many of these techniques are still considered to be experimental, and there is still significant debate amongst the scientific community as to which constitutes the best approach. In order to ensure that the programme delivers credible and practically useful results to participating countries and value for money to the project donors, the PCU must ensure that the risk assessment methodology adopted for the programme is the best possible. This must consider the circumstances at each demonstration site, the availability of data and the available budget. A SAB comprising the world's best experts in introduced marine species risk assessment would need to be assembled to consider this issue and advise the PCU and participating countries on the optimum methodology that should be adopted.

Port Baseline Surveys

Under the programme, port baseline surveys will be conducted at each demonstration site. These will constitute field collection, classification and description of marine biota from the full range of habitats in each port, to provide an inventory of existing marine biodiversity and to identify the presence or absence of any introduced marine species. As with the risk assessment above, these surveys will constitute a fundamental foundation of each country's response to the ballast water issue. The initial surveys to be resourced and supported by the programme should become long-term, ongoing biological monitoring programmes for each port, resourced by each country. This will allow any existing introductions to be tracked and managed and any new introductions to be detected and responded to.

There are currently a variety of port survey techniques available, and some organisations have developed standardised sampling protocols. In order to ensure that the programme delivers credible and practically useful results to participating countries and value for money to the project donors, the PCU must ensure that the port survey methodology adopted for the programme is the best possible. This must consider the circumstances at each demonstration site, the availability of biological expertise and facilities in each country and the available budget. A SAB comprising the world's best experts in port baseline surveys would need to be assembled to consider this issue and advise the PCU and participating countries on the optimum methodology that should be adopted.

Ballast Water Treatment

There is currently a large range of engineering and scientific research and development projects underway at various institutions around the world aimed at developing more effective treatment methods to prevent the transfer of marine organisms in ships' ballast water. While the programme itself does not provide for significant involvement in such R&D, apart from sponsoring an international R&D symposium, the PCU will be expected to provide advice to participating countries on this issue. Some pilot countries may embark on treatment R&D pilot plant projects as part of their national responses. Limited expertise exists within the PCU on this specific issue and a TAB comprising engineers, water treatment specialists, shipping experts and biologists may need to be established in order to advise the programme.

Technical Review Services

From time to time the programme will produce scientific reports and technical documents. Quality control procedures will require peer review of these prior to publication, and SABs and TABs may need to be utilised for this purpose.

SAB & TAB Membership

The membership of these advisory groups will be by invitation from the PCU. Relevant experts will be identified from databases and directories such as the Smithsonian's Alien Invasions Research Directory (AIRD) and other sources. Membership will not comprise more than five experts per group.

Meetings and Costs

SAB and TAB meetings will be called for and organised by the PCU as and when required, and held at a venue appropriate to the task at hand. As technical bodies, the PCU will act as Chair and Secretary to these groups. The programme will cover the costs of these meetings, including travel and daily subsistence allowance for members. Members will be requested to provide their time free-of-charge, as a service to the programme in return for the various benefits that such membership provides, including kudos and networking.

A total of US\$120,000 is budgeted for these meetings, based on an estimate of one meeting of each group each year (two meetings per year) over the three years of the programme, and a cost of US\$20,000 per meeting.

Agenda Item 9: National Workplan Template

Background

In order to facilitate the implementation of programme activities at the national and port level, a National Workplan (and budget) is required for each pilot country.

One of the main tasks of the Country Project Task Force (CPTF) will be to develop, as a cooperative group, these National Workplans.

In order to ensure standardisation and a consistent approach across each demonstration site, and to reduce the effort required by each CPTF, the Programme Coordination Unit (PCU) has prepared a general National Workplan template (Attachment One). The National Workplans should follow this template, which outlines the different components of the programme that need to be implemented at each demonstration site. How these tasks are approached may differ from country to country, and it is up to the CPTFs to develop this.

However, it should be noted that detailed guidelines, templates and protocols are being developed by the programme to assist each country with specific tasks, for example recording and reporting procedures, standardised ballast water sampling procedures, risk assessment methodologies and port baseline survey techniques. These standardised approaches will be developed in consultation with the world's foremost ballast water and marine bio-invasions authorities, and made available by the PCU for use by each country, along with technical assistance and support for their implementation.

National Workplans will be drafted by each CFP Assistant with the support of the CPTF and submitted to the PCU for review and feedback, and will form the basis upon which each CPTF will implement programme activities within its jurisdiction.

Budget

A total of US\$660,000 is available under the programme to assist each country to develop and implement their National Workplans.

National Workplan Template

The National Workplan Template is attached at Appendix 4.

Agenda Item 10: Proposed IMO/Pilot Country MoUs

Background

As this is a complex project involving the three UN organisations and six national governments, the international transfer of funds and an expectation that each participating party will carry out various activities to fulfil certain obligations, as outlined in the Project Document, it is necessary to provide a legal basis and mandate for cooperation between the executing agency (IMO) and each participating country. This is most effectively and efficiently achieved through a simple Memorandum of Understanding (MoU) between IMO and the government of each participating country.

Accordingly, approximately two years ago during the preparatory phases of the project, such an MoU was drafted by IMO for consideration my governments. This MoU has now been amended to reflect feed-back received from some participating countries and a final draft is now available (Attachment I) for consideration by participating countries for signing.

Benefits

The benefits of such an MoU include:

- Clear definition of the roles, responsibilities and obligations of each party.
- Provision of a clear mandate for the project at the national level.
- A basis for the Lead Agency in each country to secure support from other national government bodies, including treasury, for the implementation of in-country programme activities.

Action Required

The national government in each participating country needs to review the final draft MoU and progress.

- .2 provide technical assistance and guidance to the national Focal Point in the execution of the Project on both a national and a regional basis in accordance with the Project Document;
- .3 finance the consultancy contracts and pay the costs of the activities related to implementation of the Project;
- .4 assist and provide financial support for organizing the national and/or regional meetings in accordance with the Project Document;
- .5 procure and finance the equipment necessary for the implementation of the Project;
- .6 cover the costs for reporting and evaluating the Project; and,
- .7 assist and provide financial support for the establishment of the Regional Task Forces (RPTFs).

Article 3: Undertaking by the [Ministry, Governmental Agency, etc.] of []

3.1 The [Ministry, Governmental Agency, etc.] of [] will:

- .1 act as a Lead Agency and appoint a Country Focal Point for the Project;
- .2 in co-operation with the PCU, select a competent person to act as Assistant to the Country Focal Point and provide office space for the Assistant;
- .3 release the Country Focal Point from his normal duties to attend meetings and participate in other activities related to the implementation of the Project (all travel costs incurred in this respect will be covered by the project);
- .4 develop port and country-specific programmes of action based on the model provided by PCU;
- .5 provide free access to information required for the implementation of the Project;
- .6 authorize, subject to adequate prior notification and formal clearance, site visits by technical experts to support the implementation of the Project;
- .7 provide financial and in kind support for the activities of the Project, especially covering local expenditure;
- .8 support the risk assessment activities, the port baseline surveys and academic research on subjects related to ballast water issues; and,
- .9 ensure co-ordination between its different agencies involved in the ballast water issue (environment, transport, fisheries, etc.).

Article 4: Implementation

- 4.1 During the development of the Project, the [Ministry, Governmental Agency, etc.] shall inform the PCU, through the Focal Point, of any other national or regional organizations to be involved in the project implementation.
- 4.2 The [Ministry, Governmental Agency, etc.] through the Focal Point and IMO, through the PCU, shall keep each other mutually informed of all relevant developments related to the Project through official correspondence.

4.3 To ensure adequate follow-up and co-ordination of the work plan, regular national and regional meetings shall be arranged between the Focal Point the Country Project Task Force, the Regional Project Task Force, and the PCU.

Article 5: Amendments

5.1 Any amendment to the present MOU must be confirmed in writing between the [Ministry, Governmental Agency, etc] and IMO.

Article 6: Entry into force and expiry of the Memorandum of Understanding

6.1 This Memorandum of Understanding will enter into force upon signature by the parties hereto. The duration of the present Memorandum of Understanding will be linked to the period necessary for the implementation of the Project. It will expire no later than 30 April 2003, or such other date as IMO and the [Ministry, Governmental Agency, etc.] shall agree in writing.

Article 7: Settlement of disputes

7.1 All disputes arising in connection with this Memorandum of Understanding shall be settled amicably by direct negotiation between the parties hereto.

Article 8: Termination

8.1 This Memorandum of Understanding may be terminated by IMO with a minimum of 60 days notice in the event of non-performance of any of its clauses or force majeure.

In witness hereof the duly accredited undersigned affix their signature.

Made in duplicate in the English language.

[City]

[day]

[date]

[year]

On behalf of
International Maritime Organization

On behalf of
[Ministry, Governmental Agency, etc.]

Agenda Item 11: Terms of Reference for Regional Project Task Forces

Background

A key objective of the programme is to develop cooperative relationships in the field of ballast water management between each of the initial six pilot countries and neighbouring countries and to replicate each demonstration site throughout each region that the initial demonstration sites represent.

This objective will be facilitated by the creation of Regional Project Task Forces (RPTFs), the holding of RPTF meetings and the sponsoring of study tours by personnel from neighbouring countries to the initial demonstration site in their region.

The Terms of Reference for the RPTFs are as follows:

Role

The RPTF's are primarily a vehicle for communication and consultation. They will provide the principle forum in each of the six regions for enhancing multi-lateral, regional cooperation, and for the exchange of information and experiences. The RPTFs will help to ensure coordination of activities between countries and consistency of regional activities with IMO guidelines and requirements, in the field of ballast water management.

Formation

Formation of RPTF's will be at the instigation and invitation of the PCU, with support from the CTF in the initial pilot countries. During the programme the initial pilot countries will be encouraged to initiate contact and the development of cooperative arrangements directly with neighbouring countries, with a view to forming an RPTF. Maximum use should be made of existing regional mechanisms in establishing each RPTF (e.g. other GEF IW projects in the region, UNEP Regional Seas Programme secretariats where relevant).

Membership

RPTF membership will comprise the CPF and CPF Assistant from the initial demonstration site, senior government officials from the maritime, environment and/or port administrations in as many

neighbouring countries as possible, regional shipping and port industry representatives, the Programme Coordination Unit, IMO and UNDP, and a representative from any existing regional programmes or projects (as above). Initially, the PCU will chair RPTF meetings and the CFP/CFP Assistant in the initial pilot countries will act as Secretariat. As the three year programme draws to a close, each RPTF will need to continue and should designate its own chairmanship and secretarial arrangements.

Tasks

Each RPTF will undertake the following tasks:

- Share information from the initial pilot countries on lessons learned from the initial demonstration sites.
- Assist the PCU with organising study tours by RPTF members to the demonstration sites.
- Identify suitable additional sites in the region for replicating the initial demonstration sites, and facilitate the establishment of these sites.
- Develop regional strategies and action plans to implement IMO guidelines and requirements at the regional level.

Meetings

RPTF meetings will be held as and when required and may be hosted by any participating country in each region.

Costs

A total of US\$60,000 is available in the programme budget to assist PCU and UNDP travel associated with establishing the RPTFs and US\$630,000 is available to support RPTF meetings and study tours to demonstration sites.

Agenda Item 12: Forthcoming Country Communication Workshops

Background

The most significant barrier to action on ballast water transfer has been identified within the PDF-B process, and by other observers, as the lack of awareness about the existence and potentially catastrophic consequences of the introduction of unwanted organisms. Without adequate information on the actual and potential seriousness of impacts, actions to remediate the problem will not be taken.

The participating countries are likely to have few if any education and awareness raising materials to address or describe problems associated with unchecked ballast water releases. Increasingly, however, there is a growing body of case studies, research, control programs, and public education and information programs that have been and continue to be developed in countries such as Argentina, Australia, Canada, Israel, New Zealand, Brazil and the United States. The PCU will make maximum use of existing case studies and public information and education programmes to generate generic communication, education and awareness raising materials, for use by the pilot countries and others, and will be able to 'tailor' materials to meet country-specific needs.

In addition, each pilot country will develop a country/port specific communication workplan. These workplans will clearly outline the strategies and activities that each country will carry out in order to communicate and raise awareness about ballast water and invasive marine species, including aims, target audiences, key messages, proposed communication mediums, roles and responsibilities, timelines and budget.

This will be done through a three (3) day country communication workshop, to be held in each pilot country. These workshops will be resourced by the programme (US\$20,000 per country) and assisted by the PCU (in particular the Technical Adviser, who has primary responsibility for communication matters in the PCU). They will involve the CFP and relevant members of the CTF, as well as national authorities on communication, education, public participation and community consultation.

Significant resources will be made available by the programme for the implementation of each country's communication workplan (US\$600K over the three years of the programme, or US\$100K per country).

Action Required

It is proposed to hold the Country Communication Workshops in September/October 2000, and planning and organisational arrangements will need to commence in July. The PCU will require substantial support and assistance from the CFP and CFP Assistant in each country for these tasks, including:

- Identifying workshop participants and resource personnel, including national authorities on communication, education, public participation and community consultation.
- Identifying and securing suitable venue and facilities.
- Arranging in-country accommodation, catering, transport and logistics.
- Developing the workshop programme and activities.
- Running the workshop.
- Preparing the National Communication Workplan developed by the workshop.

Agenda Item 13: Forthcoming Case Studies

Background

The most significant barrier to action on ballast water transfer has been identified within the PDF-B process, and by other observers, as the lack of awareness about the existence and potentially catastrophic consequences of the introduction of unwanted organisms. Without adequate information on the actual and potential seriousness of impacts, actions to remediate the problem will not be taken.

The participating countries are likely to have few if any education and awareness raising materials to address or describe problems associated with unchecked ballast water releases. The PCU will assume an important role in raising awareness within each pilot country, region and internationally through the coordination and communication of real-life case studies that demonstrate the threats and impacts posed by introduced marine species. These case studies will be as relevant as possible to the six demonstration sites. They will be undertaken by consultants on contract to the PCU, with significant input and support from each CFP/CTF. Communication of the case studies to all stakeholders will receive highest priority.

Action Required

It is proposed to commence the first round of Case Studies in the second half of 2000, and planning and organisational arrangements will need to commence in July. The PCU will manage the engagement of consultants to undertake the Case Studies, and will require substantial support from the CFP and CFP Assistant in each country, in particular to:

- Gather as much in-country and regional data as possible on known existing introductions, including economic, ecological and human health impacts.
- Identifying in-country and regional authorities on introduced marine species.
- Providing this information to the consultant and facilitating the consultant's own data gathering exercises and contacts with in-country and regional authorities on introduced marine species.
- Reviewing the draft reports on the Case Studies.
- Facilitating the dissemination and communication of the Case Studies to in-country and regional audiences, including through distribution of Case Study reports, holding of seminars and use of the mass media.

Appendix 1: List of Participants

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Appendix 2: Minutes of the Meeting

Wednesday 5 July

Conference Room 4, IMO Headquarters, London.

The meeting was attended by 27 participants (The list of participants is attached as Annex 1).

Registration 09:30. Meeting commenced 10:00.

Opening remarks (welcome message)

The Director of the IMO Marine Environment Division and co-Chairman of the 1st GPTF, Mr Oleg Khalimonov, opened the meeting, welcomed the delegates, outlined housekeeping arrangements and introduced the programme. It was agreed that the meeting would be co-chaired by UNDP and IMO.

Agenda Item 1: Adoption of the Agenda

The Agenda was adopted without any changes.

Agenda Item 2: GPTF Terms of Reference

UNDP briefing on the role of the GPTF

The PCU Chief Technical Adviser presented the Terms of Reference as outlined in Briefing Paper GPTF 1/2, emphasizing the fact that the Global Project Task Force (GPTF) is the highest Advisory body of the Programme. The initial membership of the GPTF will include a representative and an alternate from each participating country, representatives from UNDP/GEF, UNDP, IMO, the private sector and NGO community. The GPTF will be chaired jointly by IMO and UNDP. The UNDP representative and co-Chairman of the meeting, Mr Philip Reynolds, encouraged the participants to give their input and indicated the chain of accountability in the framework of the project.

The GPTF Terms of Reference were adopted by the meeting as introduced by the Chief Technical Adviser.

Agenda Item 3: PCU briefing on Project Implementation Plan (PIP)

The PCU Technical Adviser presented the PIP, as outlined in Briefing Paper GPTF 1/3.

It was stated that UNDP has essentially approved the PIP and the plan will be open for transparent discussions once every year. **It was agreed that the CFP Assistant is expected to carry on a significant part of the work under the different activities.**

Several questions and suggestions were made by various GPTF members.

- The South African delegate pointed out that one activity under Component 4: Ballast Water Management Measures was missing from the PIP – the development of National Ballast Water Management Plans.
- Delegates queried why US\$22K was needed for Activity 4.1: Translate/disseminate IMO Guidelines/ICS-INTERTANKO Model. It was explained that as one of the main objectives of the programme is to implement these guidelines, it is vital that they be distributed widely and freely. As the IMO guidelines must be purchased from IMO at a cost of £4.50 each, and the ISC-INTERANKO Model is also sold, funds are required to cover the purchase and dissemination of these and other similar documents. UNDP expressed strong concerns about IMO charging for the guidelines and urged that this be reconsidered. The MED Director explained that all IMO Resolutions are made available for free to IMO members. **Some**

delegates requested that provision be made in the budget for the translation of these documents into their national languages.

- The budget available under Activity 6.2, Regional Co-operation and Replication, (US\$690K) was thought by the South African delegate to be somewhat excessive. **It was also requested that some of the funds under this area be allocated for use by the countries themselves, as some countries would like to take the lead in establishing regional arrangements.** An awareness seminar to precede the Regional Project Task Force meetings was suggested by the delegate, as was the possibility of piggy-backing the existing regional agreement by sending delegates to the relevant meetings and disseminate the generic information on ballast water management.

After extensive discussions the meeting agreed as follows:

- In justified exceptional situations, and on a case by case basis, internal travel of the CPTF members, and subsequent DSA, may be paid at the request of CPTF and with the approval of CFP under Activity 1.B.3.
- As a general procedure, funds allocated for in-country activities will be made available through the local imprest accounts after approval by the PCU. The PCU will make sure that approved activities are included in the workplans and consistent with project objectives.
- The revised budget will provide for translation and dissemination of the most important IMO documents regarding the ballast water issues and that these documents will be made available for free to the participating countries.
- The level of revision of the national legislation regarding ballast water may vary from country to country and this activity should be conducted in close consultation with the CPTFs.
- The PCU should ensure consistency and standardization of project activities in all the participating countries to facilitate accountability to IMO, UNDP and GEF for this global project.
- Starting with the next GPTF meeting, the Country Focal Points will report for the previous reporting period and submit their work plans and budgets for the subsequent reporting period. **These work plans and budgets will need to be approved by the PCU/IMO and UNDP on the advice of the GPTF.**

The Chairman highlighted the similarities between the project and PEMSEA (Partnership for Environmental Management in the Seas of East Asia). **The meeting agreed that the GloBallast project should follow the patterns for execution and implementation already established by PEMSEA.**

The PIP was approved subject to the following issues being addressed by the PCU:

- Activity 3.1: Ballast Water Risk Assessment: This should be revised to include a capacity building component where the international consultants are required to involve in-country counterparts in the risk assessment process and train them in the application of the risk assessment methodologies, for future use.
- Component 4: Ballast Water Management Measures: The development of National Ballast Water Management Plans should be included in Component 4 as a self-standing measure.(NB: this is distinct from Activity 1.B.4: Development and Implementation of National Workplans). The National Workplan should result in the production of a National Management Plan (amongst other things).
- Activity 4.1: Dissemination of IMO Guidelines/ICS-INTERANKO Model: Provisions should be made in the budget for the translation of the relevant documents into the national languages, when so required, and relevant documents should be made available free of charge.

- Activity 6.2: Regional Cooperation & Replication: The budget under this activity should be reviewed as it was thought somewhat excessive. Some of the funds under this activity should be allocated for use by the countries themselves, as some countries would like to take the lead in establishing regional arrangements.

Agenda Item 4: Immediate Work Plans and Budgets

4.1: July-December 2000

The July-December 2000 tentative work plan and budget as outlined in Briefing Paper GPTF 1/ 4 was approved. As an exception from the general rule for approval the 2000 national work plans and budgets will be approved by the PCU after the initial workshops in each country.

4.2: 2001(tentative)

The tentative 2001 work plan and budget as outlined in Briefing Paper GPTF 1/ 4 was introduced by the Chief Technical Adviser and noted by the meeting.

4.3: Financial regulations for the execution of the budget.

IMO Finance and Budget Personnel addressed the meeting and outlined the financial procedures for execution of the budget within each pilot country, as outlined in Briefing Paper (GPTF 1/4/INF1)

Country delegates had a number of queries and questions and an informal session was scheduled for the end of the meeting were delegates could resolve these directly with the IMO Finance and Budget Personnel.

Thursday 6 July

Meeting commenced 0915.

Agenda Item 5: PCU Progress Report

The PCU Chief Technical Adviser presented the PCU Progress Report as outlined in briefing paper GPTF 1/5, and it was noted by the meeting.

Agenda Item 6: Country status reports

Each country presented a report on the status of ballast water issues in their countries. Copies of the written reports as provided by the countries are attached.

Agenda Item 7: NGO/Industry information papers regarding involvement in the ballast water issue.

Each NGO/Industry group presented their position on the status of ballast water issue. Copies of each of the written reports provided by the NGO/Industry representatives are attached.

Friday 7 July

Meeting commences 0915.

Agenda Item 8: Establishment of Advisory bodies

The PCU Technical Adviser briefed the GPTF on the need for and the proposed arrangements for scientific and Advisory bodies, as outlined in briefing paper GPTF 1/8. This was approved by the meeting, on the understanding that there may be different meetings convened, sometimes virtually, and that the PCU would determine the appropriate mix of technical and scientific personnel.

Agenda Item 9: National Work Plan template.

The PCU Technical Adviser briefed the GPTF on the use of the National Workplan template, as outlined in briefing paper GPTF 1/9. Countries were advised that the template represents a useful guideline and a standardised format, and subsequently countries were encouraged to use the template. However, the main concern of the PCU is that National Workplans comply with the overall Project Implementation Plan (PIP). **Countries were also strongly encouraged to use a planning workshop as the forum through which to develop their National Workplan, and to adopt the South African initiative of combining the planned Country Communication Workshop with the broader National Workplan workshop.** This was noted by the meeting.

Agenda Item 10: Proposed IMO/Pilot Country MoUs

The PCU Chief Technical Adviser briefed the GPTF on the proposed IMO/Pilot Country MoUs, as outlined in briefing paper GPTF 1/10. It was explained that while this MoU was not compulsory, it was highly recommended, given the benefits it would provide countries as outlined in the briefing paper. UNDP especially supported the idea of a MoU as a particularly useful instrument for the lead agencies in the participating countries, saying it will ease the relationship with the Treasury and other governmental bodies involved, avoid negotiating the same issues every year and help to maintain and organize the activities regarding ballast water management in the post-project period. **The MoU should be as specific as possible and negotiated with the right person from the appropriate government agencies in order to maximise efficiency. It would be highly desirable having the MOU endorsed/approved by the institution/person in charge for controlling the funding of the Lead Agency/Country Focal Point.** This was noted by the meeting.

Agenda Item 11: Terms of Reference for Regional Task Forces

The PCU Chief Technical Adviser briefed the GPTF on the proposed Terms of Reference for the Regional Task Forces, as outlined in briefing paper GPTF 1/11. The regional meetings should be convened by the CFPs with support from PCU and IMO, but there should be certain flexibility during the preparation stage. In some cases, like the Black Sea and Persian Gulf, the involvement of the whole basin would be desirable. In other cases, the participating countries should identify their best partners with a real interest in the issue and a willingness to share the experience. Further coordination between PCU and CFPs in this respect should take place on a bilateral basis. This was approved by the meeting.

Agenda Item 12: Forthcoming Country Communication Workshops

The PCU Technical Adviser briefed the GPTF on the forthcoming Country Communication Workshops, as outlined in briefing paper GPTF 1/12. This was noted by the meeting.

Agenda Item 13: Forthcoming Case Studies

The PCU Technical Adviser briefed the GPTF on the forthcoming Case Studies, as outlined in briefing paper GPTF 1/13. This was noted by the meeting.

The representative of OCIMF offered to provide an inventory of case studies on ballast water, prepared by the organization to help PCU find the most suitable scenario for the participating countries.

Agenda Item 14: Other business

No other business was raised.

Close of Meeting

The UNDP representative identified the PCU as the interface between the project and the global support system and expressed the hope that it will be absorbed by the IMO at the end of the three years. The Director of MED briefed the GPTF on the work of MEPC where both possibilities of having a protocol or a convention are being considered. The draft regulations are well advanced and there is still a debate on a global approach vs. ballast water management areas. This process is intended to be finalised by March 2002. The final decision will probably be taken by MEPC 47. He also appreciated as premature to discuss the full integration of the PCU in IMO permanent secretariat at this stage, but based on previous experience he expressed the view that a new convention or instrument always implies increased demand for further assistance for the implementation process.

During the close of the meeting the following statements were made:

- Mr Philip Reynolds, UNDP: As far as UNDP is concerned the Project Implementation Plan (PIP) is approved, subject to the issues outlined under Agenda Item 3 above being addressed.
- Mr Andrew Hudson, UNDP stated that the progress made with the project to date is impressive and sets new standards for the productivity and quality of outputs for GEF International Waters projects. He informed the audience about his intention to share with the GEF Secretariat the success of this meeting.
- Mr Roger Lancaster, FOEI: This constitutes one of the most exciting environmental projects in the world today.

The IMO Secretary General, Mr William O'Neil closed the meeting with an official statement, highlighting the fact that in executing the project, IMO will strive to avoid any bureaucratic problems and make sure that the objectives will be achieved. There is pressure from unilateral measures; therefore this project should be developed rapidly and successfully. IMO will promote any implementable approach and ensure that the acceptable procedures will be applied every time limited time constraints appear.

The proceedings of the meeting will include:

- Minutes
- PIP (revised version)
- The country status reports
- Observer statements
- List of participants
- Minutes of the 1st CPTF meetings
- Contact directory

Appendix 3: 2000 CPTF Meeting Reports

China

Minutes of the first meeting of the Country Project Task Force for China, held in Beijing, China on 22 June 2000

Executive Summary

- The Country Project Task Force (CPTF) of China has been established with China Maritime Administration as the leading agency and participation of other relevant Government authorities and organizations for the purpose of implementation of the global ballast water project..
- The 1st CPTF Meeting chaired by the Country Focal Point was convened successfully on 22 June 2000 in Beijing China.
- The meeting discussed and agreed upon the roles, responsibilities and tasks of the CPTF contained in Section 5 of the CPTF Guidelines with some modifications. A draft Summary of the National Workplan was agreed upon at the meeting and submitted to PCU and GPTF for consideration.
- China Maritime Safety Administration ensured its commitments to continuously support the activities related to ballast water management and control.
- Mr. Koji Sekimizu, Senior Deputy Director of MED, IMO, attended the meeting on behalf of the Project Coordination Unit. The meeting highly appreciated his presentation and guidance which contributed to the success of the meeting.

Minutes of the Meeting

1 Establishment of the CPTF and Preparation of the 1st CPTF Meeting

As required by the GloBallast programme, each participating country should establish a Country Project Task Force (CPTF) for the implementation of the project. There are several Government authorities and organizations involved in marine environment protection and ballast water management. China Maritime Safety Administration (China MSA), as the country's leading agency of the project, carried out coordination and consultation work with the relevant Government authorities and organizations. A preparatory meeting was held on 15 June 2000 under the chairmanship of Mr. Song Jiahui, the Country Focal Point of the project. The preparatory meeting was participated by the high rank responsible persons of the relevant Government Authorities, research organizations and shipping industry. Agreement was reached at the preparatory meeting that to meet the requirements of the project and to ensure its effective implementation, the CPTF should include the representatives from the following organizations:

- China MSA (leading agency)
- Ministry of Agriculture (Fishery Bureau)
- State Administration for Environment Protection
- State Administration for Entry-Exit Quarantine and Inspection
- State Administration of Oceanography
- Dalian MSA
- Environment Protection Center of the Ministry of Communications
- COSCO Shipping Com

- Dalian Maritime University
- UNDP Beijing Office

The members of the CPTF are listed in Appendix 3 of this report.

Five documents for the 1st CPTF Meeting were circulated to the members of CPTF. These documents include:

- Chinese vision of IMO Resolution A.868(20)
- CPTF Guidelines
- Activities of the project (Part C.3 of the Project Document)
- Research on the treatment method carried out by Dalian maritime University
- Draft summary of China national workplan

2 *The opening of the 1st CPTF Meeting and adoption of the agenda*

The 1st CPTF Meeting was held on 22 June 2000 under the chairmanship of Mr. Song Jiahui, CFP of China. Mr. Koji Sekimizu, Senior Deputy Director of MED, IMO, attended the meeting.

Upon introducing himself, the chairman introduced Mr. Sekimizu to the members of CPTF and on behalf of the CPTF expressed his welcome and thanks to Mr. Sekimizu for his attendance at the meeting. The list of participants is included in Appendix 2.

The adopted agenda of the meeting is included in Appendix 1.

3 *Presentation on the ballast water issue and the GloBallast Project*

Mr. Sekimizu delivered his presentation on the ballast water issue and the GloBallast Project under Agenda Item 7. While introducing the history of shipping and importance of ballast to the safety of different types of ships, he pointed out that shipping transfers 10 billion tonnes of ballast water per year and carries more than 3,000 species of microbes, plants and animals at any one time. Invasive marine species are one of the 4 major threats to the oceans of the world, although ballast water is not the only vector for introduced marine species.

The environment problem with ballast water is that it may contain thousands of species which are taken on board at the source port and be discharged into the sea at the destination port, thus causing the possibility of the foreign species especially those harmful organisms to be transferred into geographically separated areas. The presentation was supported by case studies.

The presentation also includes the global responses to the issue and introduction on IMO activities, including IMO Resolution A. 774(18), IMO Resolution A.868(20) which replaced A.774(18) and development of the banding instrument for ballast water management which is continuing in IMO.

The presentation is then focused on the GEF/UNDP/IMO Project (GloBallast). A brief introduction was given to the elements of the project including its initiation, funding and timeline, management arrangements, ballast water management measures, compliance monitoring and enforcement. The presentation emphasized the following objectives of the project:

- assist countries to reduce transfer of harmful organisms in ships' ballast water;
- increase adherence with the current IMO voluntary guidelines;
- assist countries to prepare for the implementation of the new IMO mandatory regime.

The presentation is welcomed with acclamation from the floor.

4 Overview of roles, responsibilities and tasks of the CPTF (refer to Section 5 of CPTF Guidelines)(Agenda Item 8)

The meeting discussed and agreed upon the 7 roles, responsibilities and tasks of the lead agency and CPTF with the following modifications:

- To delete the words "free access" in the second item of the roles and responsibilities. The sentence would read "provide information required for the implementation of the programme".
- In the third item of the roles and responsibilities, to replace the words "provide for" with "promote" and to add the word "voluntary" in between the words "IMO guidelines". The sentence would read "promote the in-country application of IMO voluntary guidelines by shipping companies and port authorities."

The chairman ensured the commitment of the Chinese Government to continue its support to the research of ballast water issues and to increase its input in the activities related thereof

5 Overview of components to be developed for national workplan (Agenda Item 9)

The CPTF considered the activities and objectives of the proposed activities which are included in Part C.3 of the Project document. The CPTF holds the view that apart from the planned activities, China is planning to carry out some activities which are in line with the objectives of the project and suitable for the specific needs for minimizing the possibility of the transfer of harmful organisms from one place to another.

Some members of the CPTF are of the view that awareness of the environment problem related to ballast water among those Government officials, especially high rank officials, should be stressed and raised. Workshops or seminars should be widely participated. However one or two seminars should be held for Government people and administrative personnel.

Dalian, the demonstration site of this project is located in the Bohai Sea which is listed as one of the most polluted areas in the country. Since Bohai Sea is an inner sea, the circulation of the water is comparatively slow. It takes about ten years for the water to be circulated once. As result of the increase of maritime activities along the Bohai coasts, more ballast water is discharged or up-taken. It is also an area where red tide takes place frequently. It is proposed that study and risk assessment be conducted to identify the risks of ships ballast operation in the areas when a red tide takes place. If the risks are identified that a ship taking in ballast water in or near the red tide areas is liable to transfer the red tide organisms to the place where it discharge the ballast. Action plans should be made to reduce such possibility .A red tide information providing system may be established to advise those captains to avoid taking ballast water in such areas.

It is noticed that there is not a treatment method suitable to all ships. Although ballast exchange at open seas is proved to be the most effective method at present, due to safety consideration alternative methods must be found for ships to chose in case ballast exchange at sea is not possible. Chemical treatment method using chlorine compounds has been long used in the country for killing some target bacteria contained in the ballast water. Risk assessment need to be conducted to ascertain the advantage and disadvantage of such treatment including the impact of the chemical on the environment and the ships tank structure. Based on the results of the assessment, action plans should be developed.

A shipborne treatment device using combination of heating and electrolysis has been under research in Dalian Maritime University. The research group has completed the first step of design. They need further support to finish the prototype-making for later experiment on board ships.

Views were also expressed that, since China has a coastline of 18,000km, some baseline studies have already been carried out by the relevant organizations, collection and further analysis of such information are of very importance for identification target organisms and risks assessment related to

ballast water discharge and up-take. The output of such activity should be a national action plan for policy-making in the future.

The representative from Dalian Maritime University informed the CPTF that the university is planning to establish a ballast water research center upon its own investment. The university ensured its commitments on the research work related to the ballast water and awareness-raising of the ballast water issue in the university.

Mr. Sekimizu informed the CPTF that a Project Implementation plan will be developed by PCU, which may provide necessary guidance to the participating countries in the development of each detailed national workplans.

Considering some decisions will be made at the 1st GPTF Meeting which will be take place in early July this year, the CPTF is of the view that the activities proposed at the 1 st CPTF Meeting should be included in the report for kind consideration by PCU and GPTF .

A Summary of National Workplan of China has been drafted and attached as Appendix 4 to this report for consideration by PCU and GPTF.

6 Allocation of national workplan development task to CPTF members (Agenda Item 10)

The CPTF considered it was premature at this stage to do anything under this agenda. Outcome of GPTF Meeting has to be waited for.

7 Other business

There was no other business raised at the meeting.

8 Closing of the meeting

The chairman expressed his thanks to all the CPTF members for their cooperation and in particular he express his appreciation to Mr. Koji Sekimizu for his attendance at the meeting and valuable guidance he provided to the meeting.

Mr. Koji Sekimizu expressed his congratulations to the success of the 1st CPTF Meeting and thanked Chairman and China MSA for the successful organization of the meeting and the hospitality he received during his stay in China. He ensured IMO's full support to the CPTF's work and China's efforts in the implementation of the project.

Appendix 1 – Agenda for 1st China GPTF Meeting

22 June 2000, Beijing China

1. Opening of meeting
2. Adoption of Agenda
3. Introduction of the Chairman (Country Focal Point)
4. Introduction of the Programme Coordination Unit (PCU) Delegate
5. Introduction of Secretary (CFP Assistant)
6. Intoduction of each CPTF members
7. Presentation of Programme Briefing by the PCU Delegate
8. Overview of roles, responsibilities and tasks of the leading agency and CPTF (refer to Section 5 of the CPTF Guidelines)
9. Overview of components to be developed for national workplan (refer to Section 8 and Appendix 3 of CPTF Guidelines)

10. Allocation of national workplan development tasks to CPTF members
11. Other business
12. Closing of the meeting.

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India

Minutes of the first meeting of the Country Project Task Force for India, held in Mumbai, India on 22 June 2000

The list of the participants is enclosed.

Mr. S.Chakrabarty, Country Focal Point, chaired the meeting.

He first introduced Mr.B.K.Biswas; Chief Surveyor to the Govt.of India to all the participating Members. He was involved himself in the project from the very beginning. He then introduced Mr.Dandu Pughuic, Chief Technical Assistant, who had specifically come to attend this meeting from IMO, London.

Mr.Biswas introduced the subject to all the Members briefly. Subsequently all the Members have introduced themselves to the Chair. A short introductory video on IMO and its activities was played by Mr.Dandu, before he presented his paper on Ballast water project. Mr.Dandu in his presentation primarily focussed on its implementation. Mr.D.T.Joseph, Director General of Shipping also addressed the Task Force Members on this project. Subsequently Dr.A.C.Anil of NIO, Goa was requested to give his presentation on the subject. His paper was very informative and there was complete unanimity among the group about the causes and global concern in this matter. His paper was highly appreciated by everybody. After the presentation formalities were over the question-answer session started. The question was raised primarily by the representative of the Environment Ministry which has been satisfactorily replied by Mr.Dandu. Subsequently there was discussion on various methods of cleaning the cist/sediments from the ballast tanks of the ship. On that Mr.Bose informed that the new bulk carriers being built at Korea and Japan which are fitted with tank cleaning machines similar to the ones fitted on oil tankers.

On the question of implementation of the project Dr.Anil suggested that research students could be used for sampling and testing purposes. He also mentioned that these students should be paid for their job. Mr.Dandu clarified that there is a component for this in the project finance.

Most of the members raised queries regarding the availability of finance and the IMO should come out with a detailed project plan with clear objectives and various activities which has to be undertaken by the task force. To that effect Mr. Dandu clarified that this is a seed project of the UNDP and it is expected that respective Governments should take over this project after three years period. He also stated that the project is in the process of finalization and would be available by July when templates will be ready for the individual country .He also mentioned that India has been chosen in this region for this pilot project because India has necessary infrastructure for developing the technology and at a later stage they can export this to the other countries in the region. He is of the opinion that the next step would be to hold communication seminar for network and to develop national plan by end of this year.

Dr.Anil was of the opinion that we should collect base data to start off the investigation. To that Mr.Dandu has referred about the information resource center at the IMO. Mr.Dandu also clarified that at this stage ports should only be asked to collect database on quantity of ballast water being handled at each port. A format has been suggested by the IMO for the purpose. The objectives of the Task Force are as follows:

- (a) Spread awareness through case studies in country communication workshops and in country communication plans and activities
- (b) Risk assessment through demonstration sits, sampling and port base surveys
- (c) Ballast water management measures

- (d) Legislation review
- (e) In-country training
- (f) National Ballast Water Management plans
- (g) R& D Symposium
- (h) Compliance monitoring & Enforcement
- (i) Training of personnel
- (j) Application of standard IMO & ICS-Intertanko guidelines forms & record keeping
- (k) Ballast water sampling equipment & training

At the end of the project each country is required to form co-operation links with neighbors and form a regional task Force.

The meeting ended with a Vote of Thanks to the Chair.

IMO Representative Mr.Dandu also thanked the Members and expressed his optimism in achieving the objectives of the project through such well informed and motivated Task Force.

The Country Focal Point thanked all the members for their active participation and expressed confidence that the momentum generated in this first meeting will be maintained through in the coming days.

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Islamic Republic of Iran

Minutes of the first meeting of the Country Project Task Force for the Islamic Republic of Iran, held in Tehran, Iran on 21 May 2000

The meeting of CPTF was held on 21, May/2000 at P.S.O main office. The meeting comprised of representatives from the following:

- Lead agency, (Mr. Ghaderi), Mr. Kayvan Rad
- CFP, (Mr.Fallahi)
- Department of Environment, (Mr. Sedighi & Miss. Porvakhshori)
- Foreign Affairs Ministry, (Mr. Edris Abadi)
- The guest representative from UNDP, (Mr .Rostami).

The meeting opened by Mr Ghaderi statement on importance of the project for sensitive ecosystem of Persian Gulf, then he explained on project objectives and the necessity of wide co-operation among relative organizations in the country. He emphasized that the CPTF have to work hard in order to achieve the project objectives. He also mentioned the project should introduce through common media in the country.

Then the CFP stated on the topic of "what have been doing since the project has begun to perform in Iran". He also referred to legal, technical, scientific and environmental matters related to unwanted organism transfer through ballast water and mentioned that IMO is trying to find some reasonable solution for problems associated with ballast water.

The main request of the participants is to consider the Caspian Sea, the greatest closed water in the world, as part of the project coverage. The CPTF confirmed that it is necessary having one day seminar for introducing the project and attract the public attention by giving lecture.

In addition another meeting was held on 13 Jun/2000 by participating of representative from the related ministries and organizations (ie. National MEPC).

The meeting reviewed the project circumstances and considered its objectives and the legal measures, which have been doing by IMO (MEPC) concerning either new protocol to MARPOL convention or establish new convention.

The delegations announced the chairman their preparedness for overall cooperation with the project.

The delegation from Department of Environment stated the necessity of planning in order to collecting more information about indigenous fauna and flora in Persian Gulf and Oman Sea. He also referred to tow oceanographic cruises for studied the physical, chemical and biological aspects of the Persian Gulf on sampling station to similar 100 days. He also stated that, for accurate assessment of the project it's important to have more data regarding the regional fauna and flora.

The delegation from Fisheries Department stated their potential and readiness to define and implement all necessary scientific action in cooperation with the project. The delegation from National Iranian Tanker Company explained the various aspects of the measurements which have been made by the company in order to apply voluntary guidelines of IMO. She also stated the company's concern about technical problem for complete applying the guidelines.

The delegation from Oil terminals stated their intention to fully support of the project.

South Africa

Minutes of the first meeting of the Country Project Task Force for South Africa, held in Cape Town, South Africa on 20 June 2000

Introductions of all in attendance (see attached list of participants).

Presentation by Steve Raaymakers, introducing the ballast water issue and the role of the IMO, and subsequently outlining the tasks ahead for the Ballast Water Management Programme.

Discussed justification for the choice of Saldanha Bay as the model site. Cape Town harbour has a higher incidence of ballast water discharge, but Saldanha Bay receives higher volumes. The sensitivity of the mariculture industry in Saldanha Bay also makes ballast water management a high priority in this area.

The issue of managing other vectors, including recreational yachting, was raised. Steve Raaymakers explained that this programme strictly targets the management of ballast water transfer. If so desired, an integrated National workplan may be designed to include management of other such vectors.

There was a general acceptance, by all in attendance, of their respective roles as participants on the Country Programme Task Force (CPTF).

It was generally agreed that we need to invite a representative from the Mariculture Association to join the Country Task Force. Pete Cook, Chairman of the Mariculture Association, was suggested.

It was decided that the Parks Board should be invited to participate in the upcoming workshop on management plan development.

Mr. Eddie Bremner, Saldanha Port Captain, suggested that we invite a representative from the Navy. He has someone specific in mind and will pass on his contact details.

Mr. Glenn Ashton advised that time and budgetary constraints might limit NGO representation in the CPTF. He will recommend that someone be tasked to attend these forums. He is also planning to write a summation of the Ballast Water Project for publication in the local paper.

It was decided that the workshop for the development of the National Workplan will likely take place in August, and will span two to three days. General goals for the workshop were discussed, including the following:

- 1 Identification of research requirements including case studies, project budget and financing needs, consultants and academic participation.
- 2 Development of National communication and awareness plan, including identification of educational needs, necessary materials and contacts specific to the local community.
- 3 Identification of training needs for local regulatory compliance, and potential for training programme implementation.

A draft proposed schedule for the workshop will be produced and circulated to the invitees, so that any schedule conflicts may be worked out in advance.

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Ukraine

Minutes of the first meeting of the Country Project task Force for Ukraine, held in Odessa, Ukraine on 19-25 June 2000

1. Background.

For the last several years the Shipping Safety Inspectorate of Ukraine has been taking an active part in elaboration and adoption by IMO of a number of international instruments regulating ballast water management including Guidelines for the control and management of ships' ballast water to minimize the transfer of harmful aquatic organisms and pathogens (Resolution A.868 (20)).

In a number of countries implementation of the IMO Guidelines is connected to the necessity of taking steps to overcome legal, organizational and technical obstacles connected to the provisions of national law. Since Ukraine has been chosen as one of the global demonstration sites for the GEF/UNDP/IMO project 'Removal of Barriers to the Effective Implementation of Control and Management in Developing Countries' (Global Ballast Water Management Programme), the Shipping Safety Inspectorate of Ukraine has performed a number of tasks of the project's initial stage. In particular, it has held an international workshop on the problem (under the aegis of the IMO), started consultations with representatives of authorities and organizations concerned with the project's implementation, held a comprehensive meeting of scientists and practitioners of various scopes, and held the preparatory meeting of the nominated members of Ukrainian CPTF.

In the process of preparation of the 1st Meeting of the CPTF its members were trained to present their vision of main work programme directives and suggestions on actual tasks of the GLO-Ballast Programme.

2. Opening of the session and presentation of responsible persons.

Chairman Mr. Rabotnyov opened the 1st Session of the CPTF. In his address he briefly described the essence of the problem and the Programme, ways of their solution. He noted that the preliminary

preparatory stage of the Programme has been completed. The meeting approved the agenda proposed by the Chairman. The Chairman introduced to the participants Mr. O. Khalimonov, Director of the Marine Environment Division, IMO Secretariat, representing PCU, Task Force Permanent Chairman, and the CFP for Ukraine acting by the Order of Ministry of Transport No.84 by 01/03/2000, Mr. V. Rabotnyov, Deputy Head, Shipping Safety Inspectorate of Ukraine. The Chairman then presented the Session's Secretary, CFP Assistant Mr .S. Limanchuk, Deputy Head, Shipping Standards Division, Shipping Safety Inspectorate of Ukraine; other participants of the Session -employees of the Shipping Safety Inspectorate. As the Inspectorate is the Lead Agency for Ukraine, some of its employees are involved in the CPTF work directly, namely Mrs. T. Lesnik, Head of Coordination and Cooperation Division, Mrs. L. Prozhegurina, Head of Environment Protection Division, and Mr .R. Bashtanny, State Inspector on Marine Environment.

It was decided that during his/her speech each CPTF member should, apart from his/her and his/her organization's presentation, briefly impart his/her consideration on the CPTF purposes and objectives in general, as well as focus on possible ways for his/her organization's participation in the Programme.

3. CPTF members presentation.

Mr. Yuriy Horb noted in his speech that in the sea trade port of Illichivsk the MARPOL group had worked since 1997. The group's main objective is to control ships on their compliance with conventions, requirements and to inspect their onboard environment protection equipment. The port authority is ready to support activities within the Programme's framework, in particular, in developing normative and legal acts and updating national legislation concerning environment protection.

Mr. Volodymyr Savusin informed the audience that State Inspection of the Black Sea Protection provided control of compliance with national environment protection legislation in the territory of Ukraine, its territorial sea and the EEZ. The Inspection's officers are ready to take part in the matters of sampling, control, accumulating and elaborating information on vessels and their onboard ballast water dumped.

Mr. Mykola Berlinskyy informed the audience that the institute he was representing had been researching in the field of matters referred to for over 40 years. It was noted that the scientific part of the Programme could be coordinated by Academician of National Academy of Sciences of Ukraine, Yuvenaliy Zaitsev. The institute was ready to participate in the Programme, namely: to work out an Atlas of water organisms movement in different part of the World Ocean; to elaborate a List of migrants dangerous for the Black Sea. It was suggested that the Programme's objectives should be met by the creation of a special group to observe biological showings (phyto-, zooplankton etc.). The results expected could be noted:

- Creation of a unified system of ballast water control;
- Development of a set of reference literature on the problems; elaboration of an Atlas of water organisms movement;
- Working out recommendations on prevention of water organisms transborder movement with ships' ballast water between different areas of the World Ocean.

Mr. Valentyn Yarychuk briefly highlighted the Programme's objectives and problems faced by his office. He confirmed the readiness of the Odessa Region State Administration to take part in developing legal norms and regulations concerning ballast water control.

Mr. Lev Mohylevskyy noted that his institute had been dealing with the problem of studying infection pathogens for more than 30 years. He stressed the evidence of the role played by ballast water in epidemic spreading of diseases. For many years the cholera vibrio was noticed numerous times in various ports of Ukraine. The expected results of the Programme could be :

- Working out a methodology for the express analysis of ballast water concerning infection diseases spreading;

- Development of Guidelines on prevention of infection diseases trespassing with ballast water

Mr. Ihor Borovskyy, when noting the readiness of the Odessa port authority to participate in the Programme, emphasized that his office considered its part in the Programme to be as follows:

- Participation in developing legal norms and regulations, methods and techniques and sampling forms;
- Elaboration of techniques on ballast water disinfection;
- Ballast water sampling jointly with the Inspection for Protection of the Black Sea.

Mrs. Nonna Varlamova drew the attention of the audience to the fact that the Ukrainian Research & Design Institute of Merchant Marine was a multifunctional institute having experimental production of its own capable of developing any cleaning equipment. The Institute was ready to take part in elaboration of measures by paragraphs 7, 9, 11 of the Programme, namely:

- Developing and manufacturing equipment to clean and disinfect ballast water;
- Use of the practised techniques of conservation and delivery of samples taken;
- Monitoring.

There was necessity and feasibility noted as concerned the provisional working out of all technical solutions within the CPTF framework, with consequent environmental expertise. Finalizing, she put forward a suggestion that it was necessary to consider the problem of applying the IMO Guidelines on Port State Control Procedures particularly for this case.

Mr. Mykhaylo Lavrynenko in his speech noted that the ballast water control procedures lacked legal regulating in Ukraine. In light of which he saw his participation in the Programme only by way of drafting legal regulations. Besides, Ukrainian Danube Shipping Co. operated some 40 sea-going vessels which if necessary could be involved for the CPTF purposes.

Mrs. Iryna Orlova said that the Ukrainian Scientific Centre of Marine Environment had been dealing with problems of natural environment situation monitoring in Ukraine for about 30 years. At present the Centre was providing such monitoring by an order of the Government within a number of state programmes. The Chairman's attention was drawn to the fact that the Centre as a shipowner could provide two vessels as an experimental base for pilot and other projects.

Mr. Volodymyr Sydenko noted that the Maritime Transport Hygiene Institute's laboratory had been working on environmental cleaning of sewage for almost 20 years. There is a rather painful problem of bringing various diseases into Ukraine with water transport. They have experience in providing water ballast evaluation both by classic and express methods at provisionally pathogenic, pathogenic, bacterial and viral-parasitic levels. The Institute developed a universal sampling device. An experimental variant of an ozone sewage disinfecting device has been manufactured, which needs practical development.

Mr. Yuriy Dubov, as a representative of the International Academy of Ecology, Man and Nature Protection Sciences, Ukrainian Department, particularly stressed the opportunity to involve the scientific resources of this organization. He underlined the necessity for popularising the Programme at various levels. His material proposals concerned:

- Establishing two groups within the CPTF dealing with problems of the search for technical solutions and normative and legal solutions;
- Working out ships' onboard plans for ballast water management, and their gradual implementation;
- Necessity of sediments management in ballast tanks of vessels.

4. Presentation of the Programme's briefing by the representative of CPU.

Mr. Khalimonov briefly presented the current status of Programme implementation. The global Programme tasks are:

- To help the developing countries in the realization of IMO Guidelines;
- To prepare conditions for new international instruments, implementation of 2002.

Project Coordination Unit had been established in March in London. Capt. Dandu Pughic (Romania) was designated as Chief Technical Adviser. Technical Adviser (Steve Raaymakers -Australia) and office-manager (Matthew Baker, Information Technologies & Public Relations) were appointed in April. It was pointed out that Ukraine (as Brazil and China did) was among the leaders as to the Programme's realization. The attention of the audience was drawn to the fact that in order to facilitate the Programme's work the Project Implementation Plan (PIP) had been prepared for approval by the GPTF meeting in July. In particular the suggestion was made to focus on two priorities in the very near future:

- study of biological population in ports (including the working out of standard form of Survey Protocol);
- Analysis of national normative acts on environment protection activity as to ballast water regulations, finding out the necessary and most effective ways to implement IMO rules.

Particular attention was drawn to the problem of the application of IMO Guidelines in view of the regional situation. CPTF members were also familiarized with Project Implementation Plan elements which included:

- Basic studies;
- Risks assessment;
- Development and implementation of alternative methods for ballast water management.

In the course of discussions on matters raised by Mr .0. Khalimonov, establishment of communication and information system under the Programme was stressed as being necessary .

5. Review of the CPTF functions, obligations and objectives. Review of issues to be included into the National Working Plan.

Mr. Limanchuk advised the audience of the CPTF main functions and objectives. Within the consideration of Working Plan issues attention was drawn to the necessity of elaborating the National Working Plan in order to provide the CPTF with real actions. The matter of developing a list of normative acts directly followed by the organizations and authorities represented in the CPTF was considered to be very important.

6. Presenting to the audience's attention the tasks towards developing the National Working Plan.

Mr. Rabotnyov familiarized the CPTF members with the Programme tasks. The need to provide free access to the information concerned and to equip a venue for the CPTF discussions was emphasized. It was suggested that such a place would be situated in the Shipping Safety Inspectorate being responsible for the Programme's realization in Ukraine.

7. Other matters.

The participants of the meeting agreed unanimously with Mr. Rabotnyov's proposition that the precise CPTF members proposals would be adjusted with while the decision working out through an accessible communication facility (fax, telephone, Internet).

Mr. Dubov, expressing the opinion of the majority of the CPTF members, offered to establish within the Shipping Safety Inspectorate a permanent information centre, where the CPTF members and the employees of organizations concerned could receive all necessary information on the Programme. In this regard Mr. Rabotnyov stressed the fact that the matter of public awareness on the problem of aquatic organisms in ship ballast water was a priority in the Programme's realization. This objective would be considerably facilitated after the establishment of the Programme communication system.

8. Closing of the Session

8.1. In his final speech, Mr. O. Khalimonov expressed his full satisfaction with the current work on the Programme's realization in Ukraine on the whole and, in particular, with the results of the 1st Session of Ukrainian CPTF. He noted professionalism of all CPTF members, and their readiness to work within the CPTF framework. Particular note was taken of the activities of the CFP and his assistant, and their efforts in co-ordinating the Programme's implementation with the PCU/IMO. At the conclusion, the participants expressed their appreciation to the organizers.

9. As the outcome of its 1st Session the CPTF decided:

To approve the list of members of the CPTF of Ukraine (Annex 1).

To approve as main directions for the Ukrainian CPTF scope of competency the following:

- Normative and legal;
- Laboratory and analytical;
- Environmental antiepidemic;
- Technological;
- Organizational and technical.

To work out the structure of the National Working Plan, deadline 01.07.00 and to include in the Plan as priorities:

- Analysis of the national legislation in force and development of proposals on changing it and implementing new legal and normative acts regulating ships water ballast management;
- Research of Ukrainian ports in respect of ballast water discharges (volume, places of reception, duration and periodicity of carriages) including analysis of their main transportation routes; -providing basic biological studies of ports' water areas and adjacent waters of Ukraine (baseline studies);
- Establishment of the project's information & analysis centre;
- Search and adaptation criteria for risk assessment of dangerous water organisms with water ballast of ships, and methods of their use;
- Development of a single method of sampling and providing biological analyses taking into consideration the results achieved within the project, studying the possibility to apply express methods;
- Search for an optimum mechanism for introduction of the IMO Guidelines in Ukraine;
- Evaluation of proposals on technological options for solution of ballast water treatment.

Bearing in mind the short duration of the project, to take, as a matter of urgency, relevant measures to develop the Black Sea regional cooperation mechanism under the auspices of the GLO-Ballast Programme.

To submit to the IMO proposals on the National Working Plan by the 05/07/00

Agenda

1. Opening of the session. Address by the Chairman (CFP). Approving the agenda. Presentation of the Secretary (CFP Assistant). Presentation of the Programme Coordinating Unit's representative (PCU).
2. Presentation of each CPTF member.
3. Briefing of the CPU by its representative.
4. Review of the CPTF functions, obligations and objectives. Review of issues to be included into the National Working Plan.
5. Presenting to the audience's attention the tasks towards developing the National Working Plan.
6. Other matters.
7. Closing the session

List of Participants

Volodymyr Rabotnyov	Deputy Head of Shipping Safety Inspectorate of Ukraine Country Focal Point of Ukraine (CFP) Task Force Chairman
Serhiy Limanchuk	CFP Assistant Task Force Secretary
Oleg Khalimonov	Director, Marine Environment Division PCU delegate, IMO
Lyudmyla Prozhegurina	Head of Environment Protection Division Shipping Safety Inspectorate of Ukraine
Tetyana Lesnik	Head of Co-ordination and Co-operation Division Shipping Safety Inspectorate of Ukraine
Roman Bashtanny	State Inspector of Environment Protection Division Shipping Safety Inspectorate of Ukraine
Volodymyr Sydenko	Research & Design Institute of Transport Medicine
Volodymyr Savusin	First Deputy Head State Inspection for Protection of the Black Sea
Yuriy Dubov	Associated Member International Academy of Ecology, Man and Nature Protection Sciences Ukrainian Department (IAEMNPS)
Nonna Varlamova	Head of Division Ukrainian Research & Design Institute of Merchant Marine Chief Officer of Marine and Railway Transport
Valentyn Yarychuk	Marine Sector Department Odessa State Regional Administration

Iryna Orlova	Head of Scientific Division Marine Environment Monitoring, Ukrainian Marine Environment Scientific Center
Lev Mohylevskyy	Deputy Director for Scientific Work, I.I. Mechnikov Anti-Pest Research Institute
Ihor Borovskyy	Manager, Environment Department Odessa Sea Trade Port
Yuriy Horb	Deputy Harbour Master Head of MARPOL 73/78 division Illichevsk Sea Trade Port
Mykhaylo Lavrynenko	Head of Environmental Safety Division Ukrainian Danube Shipping Company
Mykola Berlinskyy	Scientific Secretary Institute of Biology of Southern Seas Odessa Branch

Appendix 4: National Workplan Template



National Workplan Template

How to use this Template

This National Workplan Template is provided by the PCU in order to assist each CPTF to develop its National Workplan. It is available from the PCU electronically, via email or on disc. It is in Word 97.

The Template is provided as a guideline or framework for the National Workplan – it is not necessary to follow the template precisely, so long as the overall National Workplan fits within the global Project Implementation Plan (PIP).

Wherever *(brackets bold italics)* appear in the template, the CPTF will need to develop the appropriate text for insertion into the Workplan. Any other text may be used as it is in the template.

The Country Focal Point (CFP) Assistant should be given primary responsibility for developing the National Workplan with the support of the CPTF.

The CPTF should assign different National Workplan development tasks to different members of the CPTF, depending on their expertise, roles and resources.

A total of US\$110,000 is available to each country to assist in the development and implementation of its National Workplan.

The CPTF may wish to allocate some of these funds to a planning workshop, at which the National Workplan is developed. This workshop should be held in August 2000. The PCU should participate in this planning workshop.

The National Workplan should fall directly out of the global Project Implementation Plan (PIP)

The PCU may be contacted at any time for assistance.



NATIONAL WORKPLAN
for
(add Country Name)

1. Introduction and Background

(Add text to be developed by CPTF. Can base on text in section 1 of CPTF Guidelines).

(space for text)

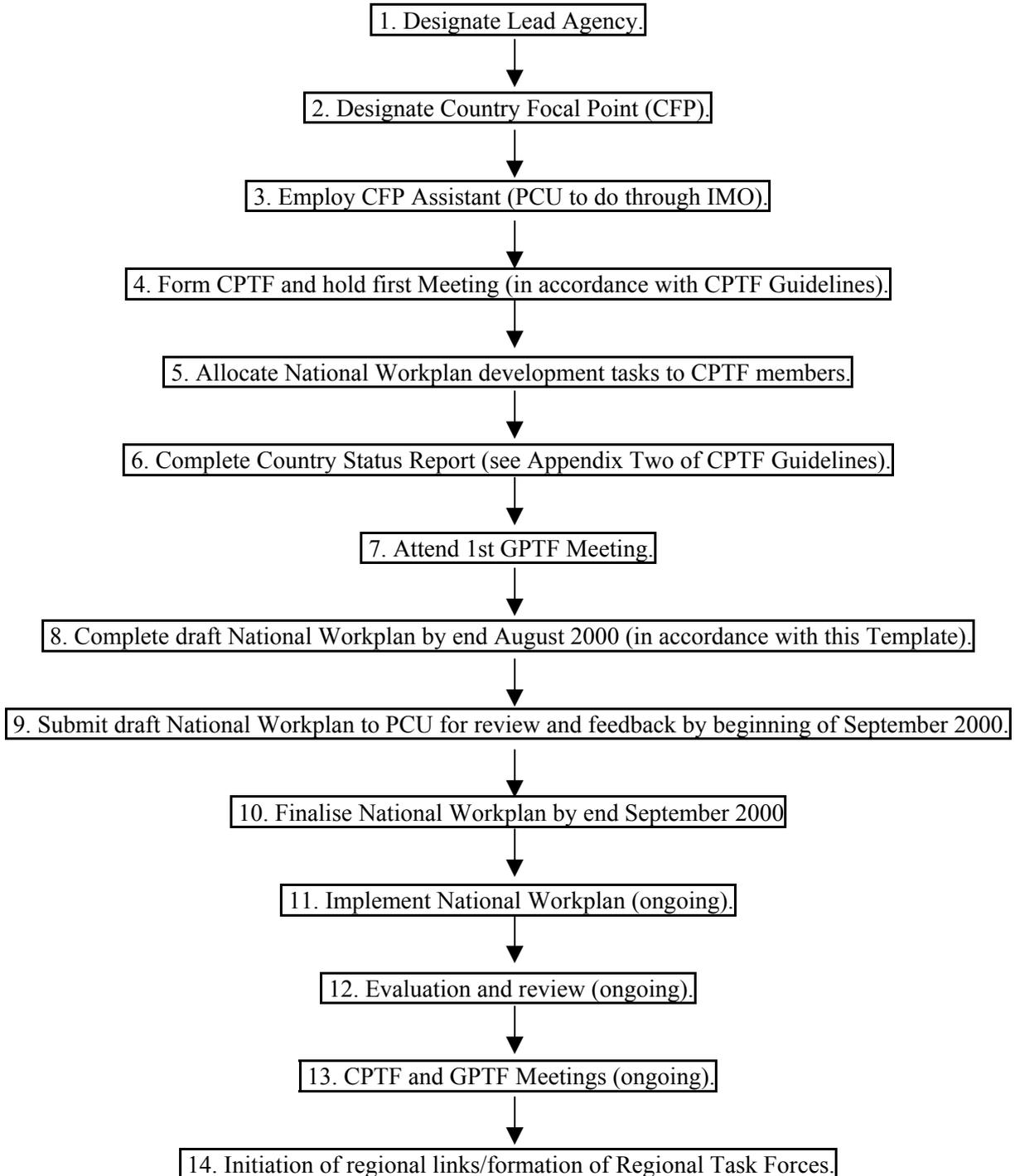
2. Objective

The Objective of this National Workplan is:

“to provide a framework for the activities that need to be developed and implemented within the Port of *(add name of port)* and in *(add name of country)* generally, in order to minimise the transfer of harmful aquatic organisms in ships’ ballast water, in accordance with the GloBallast Programme.”

3. Tasks to be Completed

In accordance with the overall Objectives, Outputs and Activities of the GloBallast Programme, the following sequential tasks need to be completed in each pilot country/demonstration site, in order to develop and then implement the National Workplan.



4. Components of National Workplan

At the global level, the Programme Coordination Unit (PCU) has developed a Project Implementation Plan (PIP), which outlines the Components, Outputs and Activities to be delivered and carried out under the programme and the budgets and timelines for each. The National Workplan should remain within the bounds of the PIP.

In order to implement PIP at the National and port level at each demonstration site, the following components are included in the National Workplan.

- Component 1: Programme Coordination and Management
 - Sub-component 1.B: In-country Arrangements
- Component 2: Communication, Education and Awareness Raising.
- Component 3: Risk Assessment & Port Biota Surveys.
- Component 4: Ballast Water Management Measures.
- Component 5: Compliance Monitoring and Enforcement
- Component 6: Regional Cooperation and Replication
- Component 7: Resources and Financing.

Each of these is described in more detail below. A summary is provided in Table 1 at the end of this section. Programme Activities that are not the responsibility of CPTFs (e.g. because they will be undertaken by the PCU), need not be included in the National Workplans and are therefore not covered here.

Component 1: Programme Coordination and Management

Sub-component 1.B: In-country Arrangements

Activity 1.B.1: Designate Lead Agency and Country Focal Point (CFP).

The designated Lead Agency for ballast water issues in *(add country name)* is the *(add name of Lead Agency)*.

The designated Country Focal Point (CFP) for the project in *(add country name)* is the *(add position title)* of the *(add name of organisation)*.

Activity 1.B.2: Support CPTF and CFP Assistant

Under the PIP, US\$100,000 is available to support the CPTF and the CFP Assistant in each country. A significant proportion of this is to cover the CFP Assistant's salary and emoluments over the three years of the project. As the CFP Assistant is a direct employee of IMO, salary and emoluments will be paid directly by IMO into the CFP Assistant's personal account. The remainder is to provide office equipment and logistics for the CFP Assistant. These requirements for *(add country name)* are as follows:

<u>Item</u>	<u>Cost (USDS\$)</u>
<i>(add)</i>	<i>(add)</i>

Activity 1.B.3: Support CPTF Meetings

Under the PIP, US\$30,000 is available to support the holding of CPTF meetings in each country. This is based on an amount of US\$3,000 per meeting and a total of 10 meetings during the three years of the programme. Estimated meeting costs are as follows:

<u>Item</u>	<u>Cost (USD\$)</u>
<i>(add)</i>	<i>(add)</i>

Activity 1.B.4: Develop/Implement National Workplans

Under the PIP, US\$110,000 is available to support the development and implementation of the National Workplan in each country. These funds are not linked to any specific activity in the PIP and are for country-specific activities that may not be covered by the PIP, as follows:

<u>Activity</u>	<u>Cost (USD\$)</u>	<u>Timeline</u>
<i>(add)</i>	<i>(add)</i>	<i>(add)</i>

Component 2: Communication, Education and Awareness Raising

Work undertaken during the preparatory phase of the programme resulted in a finding that information about the dangers of ballast water transfers was poor to non-existent in many countries, and constituted a major barrier to action. This lack of information and low level of general awareness of the issue is seen as an extremely important, early priority of the programme to address.

One of the priority recommended barrier removal activities is the development of communication, education and awareness raising activities on the issue of ballast water and invasive marine species in each pilot country.

Accordingly, the following country-level Activities are included in the PIP to address communication, education and awareness raising.

Activity 2.3: Case Studies

Review existing and as necessary, prepare new case studies demonstrating the economic, environmental and public health dangers associated with ballast water transfers and communicate these to all stakeholders in each pilot country.

This Activity will be undertaken by the PCU, using consultants as necessary. However, the assistance of each CPTF is required to provide information on case studies relating to its area, and most importantly, to assist in disseminating and communicating the case studies to all stakeholders in-country.

(The National Workplan should include plans for how the CPTF will achieve this. Add here).

Activity 2.4: Country Communication Workshops

Plan and hold a country-based communication workshop at each Demonstration Site to develop in-country communication, education and awareness-raising workplans.

The CPTF is responsible for organizing and running these workshops, with assistance from the PCU, who will attend.

Each CPTF should develop country-specific communication, education and awareness-raising approaches that are tailored to the social, cultural, economic, environmental and other circumstances at each Demonstration Site.

These workshops should be held as early as possible so that the communication, education and awareness-raising approaches agreed for each country can be initiated quickly.

(The National Workplan should include plans for how the CPTF will organize and run the Communication Workshop. Add here).

Funds available to each country for this Activity: US\$20,000.

Activity 2.5: Implement Country Communication Workplans

It is of course necessary to implement the Communication Workplans developed under Activity 2.4.

(The National Workplan should include plans for how the communication workplan will be implemented. Add here).

Funds available to each country for this Activity: US\$90,000.

Component 3: Risk Assessment

After communication, education and awareness raising, the next foundation for the programme at the port/country level is to conduct port-specific Invasive Marine Species Risk Assessments for each demonstration site. This is important for establishing the level and types of risks of introductions that a particular port faces, as well as the most sensitive resources and values that might be threatened. These will differ from site to site, and will determine the types of management responses that are required.

Accordingly, the following Activities are included in the PIP to address risk assessment.

Activity 3.1: Ballast Water Risk Assessment

Review existing information regarding the quantity and quality of current ballast water discharges and determine existing and potential threats on the economy, environment and human health. Ascertain existing information gaps and activities needed to fill those gaps.

There are a number of methods for conducting risk assessment in the context of invasive marine species. These include analysing shipping patterns and comparing the environmental similarity of source and sink ports, through to more complex methods targeting specific species and evaluating the pathways and processes required for successful introduction and establishment of that species.

It is proposed that under the GloBallast programme the more simple method of comparing source and sink ports be used. Details of the methodology to be used will be developed by the PCU with expert advice from the GPTF and its scientific and technical advisory groups.

The actual Risk Assessments will be undertaken as a consultancy on contract to the PCU. However, the CPTF in each country will need to be heavily involved, and to provide data and information to the consultancy team.

At an early stage the CPTF should gather together from all sources as much information as possible on existing environmental conditions in its port and on shipping movements, including the most sensitive environmental resources and values and the locations of source ports from which ships arrive.

(The National Workplan should include plans for how this will be achieved. Add here).

Activity 3.2: Port Baseline Surveys

Another important 'baseline' for the programme is to conduct port surveys in each demonstration site. This is vital for assessing existing natural conditions and the presence or absence of introduced marine species. Such surveys are fundamental to the programme, and should be conducted on an ongoing basis, as a long-term biological monitoring programme for the port. This will allow any existing introductions to be tracked and managed and any new introductions to be detected and responded to.

Such surveys can be highly complex logistically, technically and scientifically. Competent field teams are required to undertake field sampling, sampling methodology and design must be standardised and statistically meaningful, laboratory facilities must be capable of sorting, preserving and archiving the collections properly and adequate taxonomic expertise is required for species identification. Reporting mechanisms need to be well developed, so that if scientific teams detect a new introduction, management agencies are alerted in a timely manner.

Protocols for port biota surveys have been developed internationally. Details of the methodology to be used will be developed by the PCU with expert advice from the GPTF and its scientific and industry advisory groups.

Actual surveys in each demonstration site will be undertaken by the local marine science community, with financial and technical support and training from the programme, and in accordance with standardised procedures. It may be necessary to form a consortium comprising the various marine science institutions in the country. Marine science students should be used to carry out field collection, providing an excellent practical component to their studies.

Funds available to each country for this Activity: US\$50,000.

(The National Workplan should include plans for how this will be achieved. Add here).

Component 4: Ballast Water Management Measures

Once communication, education and awareness raising activities are underway and risk assessments and port baseline surveys have commenced, it is necessary for each CPTF to develop and implement the actual management measures that are necessary to minimise the risk of translocation of harmful aquatic organisms. Development and implementation of ballast water management measures constitutes the 'backbone' of the programme at each demonstration site. It is these measures that will produce the practical benefits of the programme. In developing such measures, CPTFs should bear in mind that the near-term development objectives of the programme are:

- To increase adherence by countries to the current IMO *voluntary* guidelines on ballast water management, and
- To assist countries to prepare for the implementation of the IMO *mandatory* regime when it comes into force.

Ballast water management measures that are developed and implemented at each demonstration site should therefore initially be consistent with the IMO voluntary guidelines (A.868(20)) and eventually adopt the provisions of the IMO mandatory regime as it comes into being.

Fortunately, the IMO voluntary guidelines already contain recommended ballast water management measures. CPTF's do not need to develop new measures. What is required is to adapt these measures to the local situation and develop activities to implement these measures at each demonstration site effectively.

It is of paramount importance that CPTFs do not develop or implement anything that is inconsistent with the standardised IMO regime, and that activities are coordinated across all demonstration sites.

Ballast water management measures contained in the IMO voluntary guidelines include:

- training of ships' crews;
- procedures for ships
- procedures for port states
- recording and reporting procedures
- ships' operational procedures
- Port State considerations
- enforcement and monitoring
- future considerations
- guidance on safety aspects

The National Workplan developed by each CPTF should outline the activities required to implement each of these components of the IMO voluntary guidelines. The National Workplans should focus on the IMO voluntary guidelines initially, but will need to evolve in the future to include implementation of the IMO mandatory regime when it comes into being. The PCU will keep CPTF's fully informed of developments in this area.

The following in-country Activities are included in the PIP to address development and implementation of ballast water management measures:

Activity 4.2: In-Country Training

Generic and adaptable course packages which will form a targeted education and training programme for ship owners, operators, masters and crews as well as shipping agents and port authorities, on the ballast water issue in general and on application of ballast water management measures under the IMO voluntary guidelines.

The PCU will take the lead in developing these course packages, considering the UN TRAIN-X methodology. Once these packages are developed, the PCU will run workshops at each demonstration site and the CPTF's will be responsible for implementing this training thereafter. CPTF's should co-opt the assistance of local maritime training institutes in this regard.

(The National Workplan should include plans for how education and training in relation to the IMO voluntary guidelines will be delivered. Add here).

Funds available to each country for this Activity: US\$30,000.

Activity 4.3: Legislation and Regulations:

Review existing domestic legislation and regulations relating to ballast water and recommend any changes necessary for the implementation of the IMO voluntary guidelines.

Implementation of the IMO voluntary guidelines at each demonstration site may require the amendment of existing domestic legislation or the development and implementation of new legislation and regulations.

The CPTF, with the assistance of local consultants, will undertake the review of existing legislation and regulations and make recommendations for any developments required. The CPTF will be responsible for implementing these recommendations.

(The National Workplan should include plans for how the CPTF will assist the PCU and consultants with the legislation review and how any recommendations will be implemented. Add here).

Funds available to each country for this Activity: US\$30,000.

Component 5: Compliance Monitoring and Enforcement

Support CPTFs to develop generic and country/port-specific compliance and monitoring programmes, manuals and reporting forms; provide training to Lead Agency and port personnel in compliance enforcement and monitoring; establish sampling programmes.

Fortunately, the IMO voluntary guidelines already provide clear guidance on compliance enforcement and monitoring, standard ballast water reporting forms have already been developed, the shipping industry (ICS and INTERTANKO) has already developed a model ship-board ballast water management plan, and ballast water sampling procedures have already been developed internationally.

It is not necessary for the programme to re-invent these. What is required is a plan of action to implement these measures at each demonstration site, including training of relevant personnel. The following in-country Activities are included in the PIP to assist with compliance monitoring and enforcement.

Activity 5.2: Ballast Water Sampling Equipment

The PCU will provide US\$10,000 worth of ballast water sampling equipment to each country, as recommended by standard international ballast water sampling procedures, for use in monitoring and enforcing compliance with the IMO guidelines.

(The National Workplan should identify which government agency will have responsibility for compliance monitoring and enforcement and for conducting ballast water sampling and maintaining the sampling equipment. Add here).

Activity 5.3: CME Personnel and Training

The programme will train compliance monitoring and enforcement personnel in the implementation of CME procedures, including use of ballast water sampling equipment.

(The National Workplan should identify which government agency will have responsibility for compliance monitoring and enforcement and which personnel will receive this training. Add here).

Funds available to each country for this Activity: US\$80,000.

Activity 5.4: Implement CME Systems

The programme will support each country to implement CME systems. This may include ship-shore communication and reporting systems, surveillance and inspection systems, record keeping and establishment of databases etc.

(The National Workplan should outline the CME systems that the country requires to be implemented. Add here).

Funds available to each country for this Activity: US\$40,000.

Component 6: Regional Cooperation and Replication

An important objective of the GloBallast programme is to establish and support Regional Task Forces to increase regional awareness and co-operation, and eventual replication of the demonstration sites across each region.

The following activities are included in the programme to address regional cooperation:

Activities 6.1 & 6.2: Regional Programme Task Forces, Meetings and Study Tours

The PCU and IMO in general, supported by UNDP and GEF, will apply their influence to encourage other countries in the regions represented by each demonstration site to join a Regional Programme Task Force (RPTF) and to learn from the experiences of the initial six sites.

The CPTFs of each of the initial six sites will also be expected to play key roles in forming cooperative relationships with their neighbours, to address ballast water transfers in a coordinated, consistent manner and to communicate their experiences widely.

(The National Workplan should include plans for how the CPTF will ensure regional cooperation and its effective participation in the RPTFs. Include budget estimate. Add here).

Component 7: Resourcing and Financing

Whilst the programme itself has a budget from GEF of US7 million for the first three years, to cover the costs of PCU activities and to support many of the in-country activities outlined above, each country is also expected to allocate funds and resources for in-country activities as outlined in the UNDP Project Document GLO/99/G31/A/1G/19.

In addition, a vital objective of the programme is to identify and secure opportunities for self-financing of the programme during its life-time and for the sustainable continuation of IMO, Global, regional and national efforts to implement IMO ballast water management provisions into the future, beyond the life of the programme.

The following Activities are included in the programme to address resourcing and financing:

Activities 7.1 & 7.2: Review Opportunities and Hold Donors Conference

Each CPTF will need to identify, evaluate and implement long term in-country resourcing and financing arrangements for their National ballast water management programmes. Consideration may be given to a levy on shipping visiting their ports, linked to the legislation and regulations referred under Activity 3.5 above. This approach has been applied successfully in some jurisdictions already. Consultation with the shipping industry would be required.

(The National Workplan should include plans for how the CPTF will develop in-country resourcing and financing arrangements. Add here).



More Information?

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