

**GloBallast Partnerships  
Monograph Series No.1**

# **Global Project Task Force (GPTF) First Meeting**

**IMO Headquarters, 55 Victoria Street, London:  
26-28 March 2008**

***Proceedings***



---

© International Maritime Organization

***Published in April 2008 by:***

Project Coordination Unit  
GloBallast Partnerships  
International Maritime Organization  
4 Albert Embankment  
London SE1 7SR  
Tel +44 (0)20 7587 3279  
Fax +44 (0)20 7587 3261  
Web <http://globallast.imo.org>

***The correct citation of this report is:***

GloBallast Partnerships 2008. *Global Project Task Force (GPTF), First Meeting, IMO Headquarters London, 26-28 March 2008: Proceedings*. IMO London

---

GloBallast Partnerships 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.*

# Contents

---

Acronyms .....	2
Opening Address .....	3
Meeting Agenda .....	6
Annotations to the Agenda .....	7
<b>Briefing Papers and Submissions .....</b>	<b>11</b>
<b>Agenda Item 2: GPTF Terms of Reference .....</b>	<b>13</b>
<b>Agenda Item 3: Project Implementation Plan .....</b>	<b>23</b>
<b>Agenda Item 4: Overall Work Plan and Budget .....</b>	<b>49</b>
<b>Agenda Item 5: PCU Progress Report.....</b>	<b>107</b>
<b>Agenda Item 6: RCO Status Reports .....</b>	<b>111</b>
<b>Agenda Item 7: LPC Status Reports.....</b>	<b>111</b>
<b>Agenda Item 8: Pilot Country Presentations .....</b>	<b>111</b>
<b>Agenda Item 9: NGO/Strategic Partners Information.....</b>	<b>111</b>
<b>Agenda Item 10: Progressing BWM Convention Implementation.....</b>	<b>113</b>
<b>Agenda Item 11: Key Components of Rapid Status Assessment.....</b>	<b>118</b>
<b>Agenda Item 12: Global Industry Alliance (GIA) Establishment .....</b>	<b>119</b>
<b>Agenda Item 13: National Taskforce Guidelines and Terms of Reference .....</b>	<b>129</b>
<b>Agenda Item 14: National Work Plan Template .....</b>	<b>137</b>
<b>Agenda Item 15: Terms of Reference for Regional Task Forces .....</b>	<b>139</b>
<b>Agenda Item 16: Forthcoming National Seminars .....</b>	<b>141</b>
<b>Agenda Item 17: GloBallast Training Package .....</b>	<b>143</b>
<b>Agenda Item 18: Proposed Project Implementation MoUs.....</b>	<b>149</b>
<b>Appendix 1: List of Participants</b>	
<b>Appendix 2: Minutes of the Meeting</b>	
<b>Appendix 3: National Work Plan Template</b>	
<b>Appendix 4: GPTF PowerPoint Presentations</b>	

## Acronyms

---

APR	–	Annual Project Reviews
BW	–	Ballast Water
BWM	–	Ballast Water Management
CME	–	Compliance Monitoring and Enforcement
CPPS	–	Permanent Commission for the South Pacific
CTA	–	Chief Technical Adviser
FP	–	Focal Point
GB	–	GloBallast
GBP	–	GloBallast Partnerships
GCLME	–	Guinea Current Large Marine Ecosystem
GEF	–	Global Environment Facility
GIA	–	Global Industry Alliance
GMEIS	–	GloBallast Marine Electronic Information System
GPTF	–	Global Project Task Force
IMO	–	International Maritime Organization
LA	–	Lead Agency
LME	–	Large Marine Ecosystems
LPC	–	Lead Partnering Country
LPIR	–	Legal, Policy and Institutional Reforms
NBWMS	–	National Ballast Water Management Strategy
NFP	–	National Focal Point
NGO	–	Non-Governmental Organization
NPC	–	National Project Coordinator
NTF	–	National Task Force
PBS	–	Port Baseline Survey
PC	–	Partnering Country
PCU	–	Programme Project Coordination Unit
PERSGA	–	Regional Organization for the Conservation of the Environment of the Red Sea & Gulf of Aden
PIP	–	Project Implementation Plan
PIR	–	Project Implementation Review
R+D	–	Research and Development
RAC/REMPEITC-Carib	–	Regional Activity Centre/Regional Marine Pollution Emergency, Information and Training Centre - Wider Caribbean
RAC/SPA	–	Regional Activity Centre for Specially Protected Areas
RCO	–	Regional Coordinating Organization
REMPEC	–	Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea
RFP	–	Regional Focal Point
ROP	–	Rules of Procedure
RTF	–	Regional Task Force
SPREP	–	South Pacific Regional Environment Programme
TA	–	Technical Adviser
TDA	–	Transboundary Diagnostic Analyses
UNDP	–	United Nations Development Programme
UNEP	–	United Nations Environment Programme

## Opening Address

---

**by Mr. M. Palomares, Director, Marine Environment Division, IMO**

Good morning. It is with much pleasure that I welcome you to the first meeting of the Global Project Task Force of the GEF-UNDP-IMO GloBallast Partnership programme. I would like to extend a particular welcome to those who are participating the GloBallast Meeting for the first time. Welcome to the “*GloBallast Family*”.

Distinguished delegates, I am most pleased to note that in the five short months since the project execution agreement was signed between UNDP and IMO, significant progress has been made to establish this Global Project Task Force. I also understand that the establishment of Regional and National Task Forces are underway in many regions. Your presence here, representing almost all of the Lead Partnering Countries, representatives of the GloBallast Pilot Countries, the Global and Regional Partnering Organizations including donors, NGOs and industry, is a strong vote of confidence that we are now ready to commence our journey together, to implement the various activities and to reach our common goals – a meaningful reduction in the transfer of harmful aquatic organisms and pathogens transferred in ships’ ballast water and to minimize the environmental, economical and human health risks from such transfers.

The significance of the marine bioinvasion issue is not diminishing and on the contrary, there is increasing evidence that the issue is getting even more serious, as new cases of invasions and economic, ecologic and human health impacts are reported from various parts of the world. It also constitutes perhaps one of the most serious environmental challenges facing the global shipping industry this century. IMO, working closely with industry, is taking the lead in addressing this challenge, both through this GloBallast programme and the discussions at MEPC. The realisation of a new International Convention on Ballast Water Management gave us the much awaited international framework and standards to address the issue and I am proud to say that GloBallast played a significant role in accelerating the Convention discussions.

Ladies and gentlemen, IMO, UNDP and GEF have been very proud of the achievements of GloBallast Pilot Project, a project that is described as a model for many such GEF interventions. The Pilot Countries transformed themselves into Centres of Excellence and are now playing key roles in their own regions to achieve regional consensus and to forge regional partnerships, in addition to the post-project activities at national level. The achievements of the pilot project significantly supported the mobilization of internal resources and political support in many of the Pilot Countries, and the momentum precipitated by the Project is being sustained. Seeing your leadership, interest and commitments, I am very confident that GloBallast Partnerships will be another success that we all can be proud of.

It is very obvious that, although we have achieved a lot during the last phase of GloBallast, the road ahead of us is long and challenging. Capacity building, policy, institutional and legal reforms will remain key hurdles in our attempts to manage ballast water mediated bioinvasions. I understand that this Project has a special emphasis on addressing this challenge and that the resource allocation and project implementation arrangements and modalities are in line with this challenge.

While exciting, the second phase of GloBallast with its global coverage and scaled-up scope brings a number of challenges to the implementation of the project, mainly in the form of available resources. It is clear that no single entity, whether it is multilateral funding bodies such as GEF, individual port state or the shipping industry, will ever have the resources to completely address ballast water issues and to meet all the objectives of a project of this nature and scope. It is clear that the success of

*GloBallast Partnerships* will depend on the drivenness of the countries, their commitment, and the true and innovative strategic partnerships that will emerge from such commitments and drivenness. Such partnerships should be formed among regional, national, and port level government entities and with NGOs and the private sector, as the case may be. The emerging *GloBallast Partnership* spirit is based on the principle that our diverse interests can come together, acting in synergy in the areas of our comparative strength, for the benefit of a country or a region with a shared goal to protect our seas.

It is important to note that *GloBallast Partnerships* is not designed in the traditional IMO technical cooperation activity implementation format or in the implementation format of the *GloBallast Pilot Project*. *GloBallast Partnerships* provides mainly a global forum for building partnerships and a forum to establish a dialogue among the partners at global, regional and national levels. It is very important to have a realistic expectation of what the project can do in terms of direct financial support of national level activities, due to the global coverage and scope of such activities. However, this forum and partnerships can bring all the strength and political support to mobilize additional interest and resources, and together I am very confident that we will be able to generate the multiplier and catalytic effects of such a seed-support from GEF.

I would also like to reiterate IMO's commitment to contributing to the success of this project. IMO will spare no efforts in supporting its objectives. We are determined to maintain the international momentum generated by *GloBallast* activities and we are especially proud of the substantial contribution the Project has already made to the global effort. IMO has already embarked on and will continue developing the various guidelines facilitating the standardised implementation of the Convention, and will continue its technical cooperation activities through its own Integrated Technical Cooperation Programme. Additionally, the newly formed Bio-Safety Section within the marine environment division of IMO will be fully engaged in supporting the Project implementation and technical backstopping.

As we look ahead, it is also clear that *GloBallast Partnerships* will be the start of a new form of partnership with the private sector through the Global Industry Alliance, being conceived within the *GloBallast* project framework. The industry can bring tremendous knowledge and benefits to the implementation of the objectives of this project and in pushing the technology solutions ahead. We are very encouraged by the fact that the shipping industry and other major maritime sectors are showing keen interest in this Alliance. It is my hope that these new activities and partnerships at the global level will also serve as a major facilitator and model for such private-public sector alliances at the regional and national levels. *GloBallast* is well positioned to be the catalyst and the bridge that facilitates these alliances.

Ladies and gentlemen, let me close my talk with expressions of sincere good wishes to all the participants in this Global Project Task Force Meeting. I would also like to thank you for your commitment to the Project and in partnering with IMO, UNDP and GEF. Your presence here today is a vote of confidence in the future of the Ballast Water Management activities and especially in the success of *GloBallast Partnerships*. Your involvement in this Project places you now at the forefront of the global drive to solve this critical global problem. I commend the vision of your governments for doing so.

Thank you.

## Group Photograph

---



# Meeting Agenda

---

**Venue:** Meeting Room 1, 2<sup>nd</sup> Floor, IMO Headquarters, 55 Victoria Street, London.

Opening remarks (welcome messages)

1. Adoption of the Agenda
2. GPTF Terms of Reference
  - 2.1. GEF-UNDP briefing on the role of the GPTF
3. Programme Coordination Unit (PCU) briefing on Project Implementation Plan (PIP)
4. Work Plans and Budgets
  - 4.1. Overall work-plan and budget for Project (2008-2012)
  - 4.2. Plan of activities for 2008-2009 and budgets (tentative)
  - 4.3. Financial reporting for the execution of the budget
5. PCU Progress Report
6. Regional Coordinating Organization (RCO) Status Reports
7. Lead Partnering Country (LPC) Status Reports.
8. Pilot Country presentations regarding pilot project experiences/lessons and post-pilot project activities
9. NGO / Strategic Partners information papers on their involvement in ballast water issues
10. Progressing BWM Convention implementation through existing Regional Mechanisms and Frameworks – Working Group Discussions
11. Key Components of Rapid Status Assessments at National Level – Working Group Discussions.
12. PCU proposal on Global Industry Alliance (GIA) Establishment and GIA Fund
13. National Task Force (NTF) Guidelines and Terms of Reference
14. National Work Plans and Work Plan template
15. Terms of Reference for Regional Task Forces (RTF) and plans for RTF meetings
16. Forthcoming national seminars, awareness generation activities and NTF meetings
17. Updated GloBallast Training Package and regional training activities for 2008-09
18. Proposed IMO/RCO MoUs
19. Other business.

## **Annotations to the 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 GEF-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. Programme Coordination Unit (PCU) briefing on 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 PIP and provide advice on the implementation process in the participating countries.

### **4. Work Plans and Budgets**

- 4.1. A briefing paper on the overall work plan and budget for the project will be presented by PCU.
- 4.2. The meeting will be invited to comment on the work plan and provide advice on the implementation process in the participating countries.
- 4.3. The meeting will be invited to comment on the tentative work plan for the year 2008-2009 and provide suggestions for finalizing the document
- 4.4. IMO Financial Services representative will explain the IMO financial monitoring and reporting systems and procedures. The discussions will include the financial reporting mechanism between UNDP and IMO, IMO and RCO, and RCOs and LPCs.

### **5. PCU Progress Report**

- 5.1. A briefing paper on the progress achieved in developing the project, the project start-up activities and the progress in implementation of certain initial activities 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, GEF-UNDP and IMO will approve the report.

### **6. Regional Coordinating Organization (RCO) Status Reports**

- 6.1. The representatives of the six RCOs will be invited to present the status of their initiatives with regard to the project's development and preparations. The presentations will focus on the organizational aspects, communications with LPCs and PCs, regional mechanisms/forums, current status of discussions on ballast water issues and GloBallast Project Implementation

- 6.2. It is expected that each RCO presentation will last around 10 minutes. Another 5 minutes will be allocated for comments from the GPTF for each presentation.

## **7. Lead Partnering Country (LPC) Status Reports**

- 7.1. The representatives of the LPC's will be invited to present the status of their initiatives with regard to the projects development and preparations. The presentations will focus on the organizational aspects, national statistics regarding shipping and port activities, national initiatives if any, in the area of BWM, challenges ahead etc.
- 7.2. It is expected that each country presentation will last around 10 minutes. Another 5 minutes will be allocated for comments from the GPTF for each presentation.

## **8. Pilot Country presentations regarding pilot project experiences/lessons and post-pilot project activities**

- 8.1. The representatives of the Pilot Countries (2) will be invited to present the status of their post- Pilot Project Activities in their countries and the regions they represent. The presentations will touch upon the lessons learned, best practices followed and new tools developed that can be shared with others.
- 8.2. It is expected that the LPC presentation will last around 15 minutes. Another 5 minutes will be allocated for comments from the GPTF for each presentation.

## **9. NGO / Strategic Partners information papers regarding involvement in the ballast water issues**

- 9.1. The NGO and Strategic Partner Organizations will be expected to introduce their information papers focusing on their specific interest in ballast water issues. 10 minutes for each intervention and 5 minutes for comments will be allocated for this item.

## **10. Progressing BWM Convention implementation through existing Regional Mechanisms and Frameworks – Working Group Discussions**

- 10.1 The delegates will be requested to form working group(s) to discuss the regional approaches, appropriate regional mechanisms, steps towards achieving regional cooperation, and measures to accelerate the implementation of the Convention through regional approaches.
- 10.2 The working group recommendations will then be summarised with a view to incorporate the suggestions in the Project implementation strategy.

## **11. Key Components of National Level Rapid Status Assessments– Working Group Discussions**

- 11.1. The delegates will be requested to form working group(s) to identify the key components of a rapid assessment that LPCS are expected to carry out in the early stages of the project and the expected outputs from such an assessment.
- 11.2. The working group recommendations will then be summarised with a view to incorporate the suggestions in the Rapid Assessment guidelines to be developed by PCU.

**12. PCU proposal on Global Industry Alliance (GIA) Establishment and GIA Fund**

- 12.1. A concept paper on the GIA will be submitted by the PCU, focusing on the need for increased industry participation in the project and proposing a model to establish a Global Industry Alliance (GIA) and a GIA Fund within the GloBallast framework.
- 12.2. The GPTF will be invited to comment on the model as appropriate and advise on further improvements.

**13. National Task Force Guidelines and Terms of Reference**

- 13.1. A briefing paper on the National Task Force formation and guidelines will be submitted by the PCU focusing on the need for an all all-inclusive approach.
- 13.2. The GPTF will be invited to comment on the guidelines as appropriate and advise on further improvements.

**14. National Work Plans and Work Plan Template**

- 14.1. 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.
- 14.2. The template itself will be introduced by the PCU.
- 14.3. The GPTF will be invited to comment on the National Work Plan template as appropriate and advise on further improvements.

**15. Terms of Reference for Regional Task Forces and plans for RTF meetings**

- 15.1. A briefing paper will be submitted on this matter by the PCU.
- 15.2. The GPTF 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.

**16. Forthcoming national seminars, awareness generation activities and NTF meetings**

- 16.1 The meeting will discuss opportunities for conducting LPC national level seminars followed by the GPTF, and conducting awareness generation activities, such as broadcasting of BBC documentary in national channels.

**17. Updated GloBallast Training Package and Regional Training Activities for 2008-09**

- 17.1 PCU will present a briefing paper on the updating of the GloBallast Training package and updates on Regional Training activity conducted in Wider Caribbean Region. Opportunities for regional training activities as planned in the project document for 2008-2009 will be discussed and consensus on host LPC countries for such regional training will be arrived at.

**18. Proposed IMO/RCO MoU**

- 18.1. A briefing paper on the IMO/RCO MoU will be submitted by the PCU focusing on benefits of such a MoU.

**19. Other business**



# **Briefing Papers and Submissions**



# Agenda Item 2: GPTF Terms of Reference

## Background

---

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 (GPTF) 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 its final recommendations to IMO and UNDP based on the principle of consensus. An organogram for the GloBallast Partnerships project explaining the functional relationships among the various stakeholders of the project is given in Annex 1.

## Membership

---

Initial GPTF membership will include a representative from each of the Lead Partnering Countries (LPC) and Regional Coordinating Organizations (RCO) as well as one each from GEF/UNDP, the private sector, other donor partners, the NGO community and the IMO. Two representatives from GloBallast Phase-1 Pilot Countries on a rotational basis will also be invited to GPTF meetings. Additional members can be added at the discretion of the IMO and UNDP on the advice of GPTF. The PCU Chief Technical Advisor (CTA) will act as Secretary to the GPTF. The GPTF will be chaired jointly by IMO and UNDP. A list of LPCs and RCOs is given below.

## **LPCs**

- Argentina
- Bahamas
- Chile
- Colombia
- Croatia
- Egypt
- Ghana
- Jamaica
- Jordan
- Trinidad and Tobago
- Turkey
- Venezuela
- Yemen

## **RCOs**

- Permanent Commission for the South Pacific (CPPS)
- Guinea Current Large Marine Ecosystem (GCLME)
- Regional Organization for the Conservation of the Environment of the Red Sea & Gulf of Aden (PERSGA)
- Regional Marine Pollution Emergency Response Centre for the Mediterranean Sea (REMPEC) and Regional Activity Centre for Specially Protected Areas (RAC/SPA)
- Regional Activity Centre/Regional Marine Pollution Emergency, Information and Training Centre - Wider Caribbean (RAC/REMPEITC-Carib)
- South Pacific Regional Environment Programme (SPREP)

## **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;
- Bi-Annually review and assess the progress of the programme and its components;

- Bi-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

---

The GPTF will meet on a biennial basis (e.g. 3 times, during 2008, 2010 and 2012). These three meetings will be built around the three key operational events:

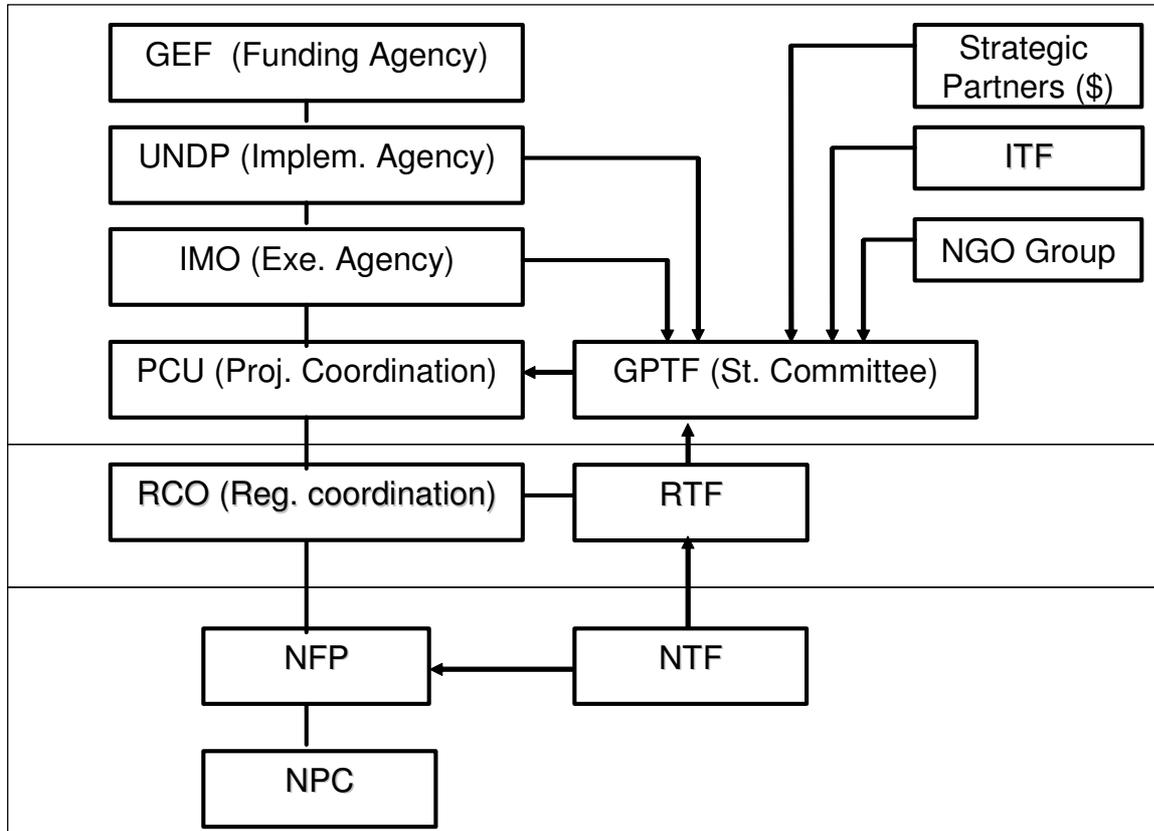
- Inception meeting: agreeing on a detailed work plan and preparation of an inception report
- Mid-term meeting: providing implementation status and an external mid term evaluation
- Final meeting: discussing achievements, lessons learned and next steps / sustainability.

As much as possible, the GPTF meetings will be held back to back with the IMO MEPC meetings. During the project years 2009 and 2011, an Executive Committee, composed of UNDP/GEF, IMO and the PCU will convene to discuss project implementation, focusing on feedback from issues raised in the annual APR/PIR reports.

## ANNEX 1: Project Organogram

---

### GloBallast Partnership - Organogram



# **Rules for Procedure for Global Project Task Force**

---

(Adopted by the 1<sup>st</sup> GPTF Meeting)

## **Introduction**

---

The purpose of these Rules of Procedure (ROP) is to provide a uniform basis for the Global Project Task Force (GPTF) of the GEF/UNDP/IMO Project-GloBallast Partnerships (**the Project**) and its subsidiary bodies, to conduct their work in an efficient and effective manner having regard to the available resources of the Project.

The ROP are applicable to the work of the GPTF and any subsidiary bodies that it may establish. The Chairmen of the GPTF and any subsidiary bodies should make all efforts to ensure strict compliance with the ROP.

The ROP and the appendices thereto was approved and adopted by the 1st Meeting of the GPTF and will be kept under review and updated as necessary by the GPTF in the light of experience gained in their application.

## **Role of the GPTF**

---

The role of the GPTF is to provide strategic advice and guidance on the activities of the Project and ensure the achievement of its development objectives, as outlined in the UNDP Project Document, in a co-ordinated, efficient and cost-effective manner, and to provide a forum for regular and ongoing review and approval of the Project's Implementation Plan.

## **GPTF 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;
- Bi-annually review and assess the progress of the programme and its components;
- Bi-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.

## Membership

---

Membership of the GPTF is open to:

- the Global Environment Facility (GEF);
- the United Nations Development Programme (UNDP);
- the International Maritime Organization (IMO);
- the National Focal Point (NFP) from each of the Lead Partnering Countries (LPC)
- the Project Focal Point (PFP) from each of the Regional Coordinating Organizations (RCO);
- one representative of each donor Financial Institution (FI)
- one representative of Industry Task Force (ITF)
- one representative from GloBallast Pilot Phase
- the following Observers:
  1. one representative each from International Chamber of Shipping (ICS) and International Association of Independent Tanker Owners (INTERTANKO)
  2. one representative from each of the environmental non-government organizations - International Union for the Conservation of Nature (IUCN) and World Wide Fund for Nature (WWF)
- any other party approved by a meeting of the GPTF in accordance with these ROP.

## Observer Members

---

The GPTF may grant Observer status to any organisation that is able to make a substantial contribution to the Programme, including but not restricted to the Observers listed under membership above.

Decisions by the GPTF to grant Observer status to any organisation shall be based on the following principles of purpose:

- for the purpose of enabling the GPTF to obtain information and/or expertise from an organisation with special knowledge, experience and/or interest in any particular subject relating to the Programme; and
- for the purpose of enabling an organisation which represents a large group who's activities have a direct bearing on the Programme, and vice-versa, to express their points of view to the GPTF.

Observer status may not be granted to an organisation unless it undertakes to support and promote the activities of the Programme.

The granting of Observer status shall confer the following privileges on an organization:

- the right to receive all documents relating to GPTF meetings;
- the right to submit written statements on items of the agenda of GPTF meetings; and
- the right to attend GPTF meetings and to make representations at such meetings, in accordance with these ROP and the Chairman's prerogative.

While, as a general rule the GPTF will make decisions based on the principle of consensus, including consensus of Observer members, in accordance with paragraphs 26 to 29, when voting is necessary Observer Members do not have voting rights.

All Observer members shall keep the GPTF fully informed of those aspects of their own activities which are likely to be of interest and relevance to the Programme.

The GPTF shall review from time to time the list of Observer members and decide any necessary changes.

## **Chairmanship & Secretariat**

---

The GPTF will be chaired jointly by IMO and UNDP

Any subsidiary groups which might be established shall elect from among their members a Chairman and Vice-Chairman.

The Chief Technical Adviser (CTA) of the Programme Coordination Unit (PCU) based at the International Maritime Organization (IMO) shall act as the Secretary of the GPTF and any subsidiary groups which may be established. He may delegate his functions to staff of the PCU and will be assisted in these functions by an IMO Officer back-stopping to the Programme. In carrying out these functions, he will have access to the resources and facilities of IMO.

It is the duty of the Secretariat to receive, process and circulate to Members all reports, resolutions, recommendations and other documents of the GPTF and its subsidiary bodies.

## **Meetings**

---

The GPTF will meet on a biennial basis (e.g. 3 times, during 2008, 2010 & 2012). These three meetings will be built around the 3 key operational events:

- Inception meeting (2008): agreeing on a detailed work plan, budget and preparation of an inception report
- Mid-term meeting (2010): providing implementation status and review of an external mid term evaluation
- Final meeting (2012): discussing achievements, lessons learned and next steps / sustainability.

As much as possible, the GPTF meetings will be held back to back with the IMO MEPC meetings. During the project years 2009 & 2011, an Executive Committee, composed of UNDP/GEF, IMO and the PCU will convene to discuss project implementation, focusing on feedback from issues raised in the annual APR/PIR reports.

The Secretariat, acting on the direction of the Chairman, shall notify Members at least two months in advance of the holding of a meeting.

## **Agenda**

---

The provisional, annotated agenda and supporting documents for each Meeting shall be prepared by the Secretary and shall normally be communicated to the Members 2 weeks before the opening of the meeting.

The first item on the provisional agenda for each meeting shall be the adoption of the agenda.

The provisional agenda for each meeting shall include:

- any item proposed by a member;
- any item proposed by the Secretariat;
- all items the inclusion of which has been requested by the GPTF at a previous meeting; and
- any item of the agenda of a previous meeting, consideration of which has not been completed, unless otherwise decided by the GPTF.

In circumstances of urgency the Secretary, with approval from the Chairman, may include any item suitable for the agenda which may arise between the dispatch of the provisional agenda and the opening of the meeting, in a supplementary provisional agenda which the GPTF shall examine together with the provisional agenda.

## **Languages**

---

The official language of the GPTF is English.

## **Decision making and voting**

---

In general, the GPTF will arrive at decisions by consensus of all Members, including Observers. In exceptional situations where consensus may not be possible, the GPTF will arrive at decisions by voting, if required. The GPTF should normally vote by show of hands. Each Member organisation shall have one vote, except Observers, who shall not have the right of vote.

## **Subsidiary bodies**

---

The GPTF may establish and dis-establish such subsidiary bodies as and when it considers necessary. Such subsidiary bodies shall follow these ROP so far as they are applicable.

The subsidiary bodies should, as necessary, operate under the instructions of, and report to, the GPTF.

## **Conduct of business**

---

Seven Members shall constitute a quorum.

The Chairman shall declare the opening and closing of each meeting. He shall direct the discussion and ensure observance of these ROP, accord the right to speak, put questions to the vote and announce decisions resulting from the vote.

## **Co-ordination and review of work plans**

---

The GPTF should periodically examine the Project's Implementation Plan, establish priorities,

allocate work to subsidiary bodies and review the allocation of meeting dates to each body and their future work plans and provisional agendas, taking into account any recommendations made by meetings of the GPTF' and subsidiary bodies.

The GPTF Chairman should, at the end of every 2 years, submit to the GPTF a joint plan covering the activities, priorities and meetings of the subsidiary bodies over the following 2 years.

The GPTF should:

- decide on items to be included in the work plans of their subsidiary bodies with clear and detailed instructions for the work to be undertaken;
- establish priorities and target dates or the number of sessions needed for the completion of the consideration of such items; and
- assign work on such new items to appropriate subsidiary bodies.

The following should apply when the GPTF is invited to consider proposals for the inclusion of new items in its Work Plan:

- specific indication of the action required;
- the need for the work proposed and its relation to the objectives of the Programme;
- the scope and issues involved;
- the costs to the Programme, the maritime industry, the legislative and administrative burdens involved and benefits which would accrue therefrom; and
- its degree of priority and a target completion date.

## **Preparation and introduction of documents and reports**

For each meeting, the Secretariat shall prepare the following documents:

- the provisional, annotated agenda;
- official invitations to all Members; and
- the meeting report.

Documents should be prepared in single spacing and be as concise as possible so as to facilitate their timely processing. In order to enhance the clear understanding of documents, the following should be observed:

- all documents should include a brief summary prepared in accordance with the form given in appendix 1;
- substantive documents should conclude with a summary of the action the relevant body is invited to take
- information documents should conclude with a summary of the information contained therein.

All documents should be made available to GPTF Members by the Secretariat 4 weeks or more before a session and should be introduced in the plenary for the proper consideration of the matter concerned.

Reports of the GPTF and their subsidiary bodies should, in general, contain, under each section, only:

- a summary of key documents and listing of other documents submitted by GPTF Members and the Secretariat;
- a summary of views expressed, during consideration of an item, which may have influenced the decision taken by the reporting body (thus not allowing the reports to turn into summary records, Statements by delegations should be included therein only at their express request during the session); and
- a record of the decisions taken.

Whenever possible, each subsidiary body should indicate in its report the progress made towards the target completion date set by the GPTF(s) for each major item.

Chairman of subsidiary bodies should not introduce their reports to the GPTF, as these should be taken as read.

## **Observance of the ROP**

---

These ROP should be observed strictly. This will assist Members in preparing adequately for each meeting and enhance their participation in the debate and decision-making process during meetings. It will also avoid delegations experiencing difficulties when developing positions on subjects on the agenda of the GPTF or its subsidiary bodies. Members should ensure that their experts attending meetings of subsidiary bodies are adequately informed and instructed on any action necessary to give effect to decisions made by the GPTF.

## **STANDARD FORMAT FOR DOCUMENTS**

---

### **(APPENDIX 1)**

The text of all the documents should be preceded by a brief summary prepared in the form, and containing the information, as set out hereunder.

<b>SUMMARY</b>	
<b><i>Executive summary:</i></b>	This description should be brief, outlining the proposed objective and if this is a new proposal/activity then it should include information on whether a proposal will have any financial implications for the Project budget.
<b><i>Action to be taken:</i></b>	A reference should be made to the paragraph of the document, which states the action to be taken by the GPTF, subsidiary body, etc.
<b><i>Related documents:</i></b>	Other Key documents should be listed to the extent they are known to the originator of the document.

# Agenda Item 3: Project Implementation Plan

## 1. Background

---

A full description of the GEF/UNDP/IMO project “Building partnerships to assist developing countries to reduce the transfer of harmful aquatic organisms in ship's ballast water (GloBallast Partnerships)” is contained in the UNDP Project Document which can be downloaded from website:

[http://www.gefweb.org/uploadedfiles/Global\\_ID%202261\\_GloBallast\\_Partnerships.pdf](http://www.gefweb.org/uploadedfiles/Global_ID%202261_GloBallast_Partnerships.pdf)

The above 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

## 2. Project Implementation Plan (PIP)

---

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 Project Document should be referred to in relation to any specific sections.

The PIP is intended to improve programme delivery by streamlining and rationalizing Implementation as far as possible. The original Project Document (ProDoc) is found to be too complex for day-to-day implementation purposes of the PCU, RCOs and NTFs. This PIP document is expected to assist day-to-day implementation purposes of the PCU, RCO, NFP and NPCs.

The PIP is provided as Attachment I.

The GPTF is invited to comment on the PIP and provide advice on the implementation process.

**ATTACHMENT-1**

**GEF-UNDP-IMO GLOBAL PROJECT: *BUILDING PARTNERSHIPS TO ASSIST DEVELOPING COUNTRIES TO REDUCE THE TRANSFER OF HARMFUL AQUATIC ORGANISMS IN SHIP'S BALLAST WATER (GLOBALLAST PARTNERSHIPS)***

**Project Implementation Plan (PIP)**

**(March 2008)**

**GEFSEC PROJECT ID:** 2261

**IA/ExA PROJECT ID:** PIMS No. 3050

**COUNTRY:** Global

**PROJECT TITLE:** Building Partnerships to Assist Developing Countries to Reduce the Transfer of Harmful Aquatic Organisms in Ship's Ballast Water (GloBallast Partnerships)

**GEF IA/ExA:** UNDP

**OTHER PROJECT EXECUTING AGENCY(IES):** IMO

**DURATION:** Five years

**GEF FOCAL AREA:** International Waters

**GEF STRATEGIC OBJECTIVES:** IW Strategic Objective (b) catalytic role in addressing transboundary water concerns; IW Strategic Programme I: Restoring and sustaining coastal and marine fish stocks and associated biological diversity

**GEF OPERATIONAL PROGRAM:** 10

**COUNCIL APPROVAL DATE:**

**CEO ENDORSEMENT AMOUNT\*:** USD 5,688,000

**CONTRACT MANAGER: MARINE ENVIRONMENT DIVISION, IMO**

<b>FINANCING PLAN (\$)</b>		
	<b>PPG</b>	<b>Project</b>
<b>GEF Total</b>	699,840	5,688,000*
<b>Co-financing</b>		
GEF IA/ExA		4,318,800
Government		9,849,799
Others		3,533,340
<b>Co-financing Total</b>		17,701,939
<b>Total</b>	699,840	23,389,939

\* Includes IMO AOS charges of 8%

## Introduction

---

In the last 15 years or so, scientists, governments, the community and industry have come to increasingly recognize the issue of transfer of harmful aquatic species and pathogens between ecosystems through ships' ballast water and sediments. The International Maritime Organization (IMO) and the shipping industry have taken concerted action to find ways to address this issue. IMO has been working on this issue for more than 10 years, developing two sets of guidelines and devising a new, legally binding international regime to meet the new challenges. In February 2004, the global efforts were rewarded with the adoption of the new International Convention for the Control and Management of Ships' Ballast Water and Sediments (BWMC) by its member States.

The Convention provides a critically needed set of management tools through which the maritime industry can be regulated in a manner that is predictable, transparent and responsive with regard to environmental benefits, technological achievability and international consistency. The Convention also calls for significant regional cooperation and harmonization of policies to address this transboundary marine environmental issue.

## GEF-UNDP-IMO GloBallast Programme (2000-2004)

---

Developing countries are among the largest “importers” of ballast water due to their significant exports of bulk commodities. Exports of raw materials and bulk cargoes are in many cases the primary source of revenue for developing countries and an important component of their national economies. On the other hand, developing countries are frequently dependent on their coastal and marine environments as the main source of living for coastal populations and as a major tourist attraction. Countries where ballast water is loaded, are also under pressure to see that the ballast is safe enough to be discharged at the destination ports.

During year 2000, in anticipation of adoption of the new Ballast Water Management Convention, IMO joined forces with the Global Environment Facility (GEF) and the United Nations Development Programme (UNDP) to implement the Global Ballast Water Management Programme (GloBallast). The Development Objectives of this technical cooperation programme (2000-2004) were to assist developing countries to:

- reduce the transfer of harmful aquatic organisms and pathogens in ships' ballast water,
- implement the then existing IMO Guidelines, and
- prepare for the implementation of a new Ballast Water Convention.

The Pilot Programme aimed to achieve these objectives through six initial demonstration sites, located in six Pilot Countries (Brazil, China, India, I.R. Iran, South Africa and Ukraine) representing the main developing regions of the world. Activities carried out at these sites focused on institutional strengthening and capacity building and included:

- establishment of National Lead Agencies and Focal Points for ballast water issues
- formation of cross-sectoral/inter-ministerial Country Task Forces,
- communication and awareness raising activities,
- ballast water risk assessments,
- port baseline surveys,
- training in implementation of the IMO Ballast Water Guidelines,
- in-country research and development projects,
- assistance with national ballast water legislation and regulations,

- training and technical assistance with compliance monitoring and enforcement,
- assistance with developing national ballast water management strategies and action plans,
- assistance with developing self-financing and resourcing mechanisms, and
- initiation of cooperative regional arrangements for ballast water management.

An unprecedented momentum of concerted international action has been precipitated by the GloBallast pilot phase. There has been an overwhelming demand from developing countries for ongoing programmatic support for replication of GloBallast activities and technical assistance. A number of countries and regions have expressed strong interest in joining the Programme, including several UNEP Regional Seas Programmes such as the South East Pacific Region, Mediterranean region, the Pacific Islands region, the Caspian Sea region, the Eastern Baltic countries, several South American countries and several African countries. This interest has been constantly increasing in the last few years and has resulted in the acceptance by the Global Environmental Facility (GEF) Council of a follow-up project proposal titled “**GloBallast Partnerships**” as described below.

### ***GloBallast Partnerships***

It was felt that, despite the general awareness and the international momentum generated by the GloBallast demonstration phase in six pilot countries, the knowledge base, legal/policy framework and technical and institutional capacity required to give effect to an international regime for the control and management of ships’ ballast water remain severe constraints for many of the developing countries / regions. The efforts made by developing countries, as the main recipients of ballast water, to adopt and implement this regime tend to be somewhat fragmented. The absence of a cooperative approach means that effective measures to address the ballast water problem may prove difficult. The lack of institutional arrangements and of co-ordinated action by the various stakeholders and the insufficient capacity to deal with invasive species in ships’ ballast water will continue to remain a major barrier to the effective implementation of ballast water control and management measures in developing countries, unless these issues are tackled on an urgent basis.

During 49<sup>th</sup> Session of IMO’s Marine Environmental Protection Committee Meeting (MEPC), after noting the information paper by the IMO Secretariat on the GloBallast Pilot Phase status and achievements, the Committee had requested the IMO Secretariat to re-approach the Global Environment Facility (GEF) and other donors with a view to explore the possibility of continuing the technical co-operation activities initiated during the GloBallast Pilot Phase. In response, in September 2003, the Secretariat submitted a Concept Paper to GEF for the second phase of GloBallast, titled ***GloBallast Partnership***. Subsequently, in April 2005 GEF approved a preparatory grant (PDF-B) of around US\$700,000 for the Secretariat to develop a full-scale project document. A Project Coordination Unit was established within the IMO Marine Environment Division to execute the PDF-B Project.

During 2005-2007 period, the PDF-B Project developed a proposal for the full-scale project “*Building Partnerships to Assist Developing Countries to Reduce the Transfer of Harmful Aquatic Organisms in Ships’ Ballast Water (GloBallast Partnerships (GBP))*”. The Preparatory activities included extensive consultation with the IMO Member States, Regional Organizations such as CPPS and other Key Stakeholders and Strategic Partners and mobilized significant co-financing for the execution of the Project.

GloBallast Partnerships will build on the pilot phase and will focus on the implementation of the Ballast Water Management Convention by assisting developing countries to enact legal, policy and institutional reforms to minimize the impacts of aquatic invasive species transferred by ships. This will be a five-year project (2007-2011) with a total budget of US\$23 million out of which US\$5.68 million will represent the GEF grant, the rest being mostly in-kind contributions from the participating countries, regional co-coordinating organizations and strategic partners, including the private sector.

The Project will assist 14 developing sub-regions and will include 13 Lead Partnering Countries (LPC) from 5 high priority sub-regions, namely Caribbean, Mediterranean, Red Sea and Gulf of Aden, the South East Pacific, and the West Coast of Africa. Specific regional capacity building activities for South Pacific region have also been planned in the project. In addition, all member countries in the six sub-regions who have officially expressed interest in participating in the Project will be invited to participate in the regional capacity building activities. Also, linkages will be established with the six pilot countries of Phase 1 that represented six other developing sub-regions, whose expertise and capacities will be drawn on for this global effort. Linkages will also be established to work cooperatively with the on-going GEF efforts in Caspian and Baltic region to address the issue of invasive species.

## Objective

---

The objective of GBP is to assist vulnerable developing states and regions to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments in order to minimize the adverse impacts of aquatic invasive species transferred by ships.

The specific objectives of this new project are:

1. To identify and agree upon the most appropriate strategies and actions required to reduce the rate of aquatic bio-invasions caused by invasive species transferred in ships' ballast water.
2. To provide technical assistance to implement legal, policy and institutional reforms at national level to minimize the adverse impacts of aquatic invasive species in ships' ballast water.
3. To use existing co-operative mechanisms and suitable partnerships to ensure financial sustainability for the control and management of ships' ballast water and sediments and for the effective involvement of the relevant stakeholders.
4. To mainstream and integrate ballast water management into a broader effort to control invasive aquatic species at the Large Marine Ecosystems (LME) level.
5. To develop an institutional and procedural approach for monitoring and evaluation of ballast water management and control measures.

The objectives of *GloBallast Partnerships* will be a logical expansion of the pilot phase, with a greater focus on legal, policy and institutional reforms in targeted developing countries and more emphasis on integrated management. The project is designed to build on the lessons learned during the pilot phase and is based on the principle of "on the ground" implementation. A number of activities particularly successful in the initial phase, will be replicated in new regions. The project will ensure a globally uniform approach and, to the extent possible, global coverage of the developing regions of the world. All activities will also include training and capacity building based on lessons and best practices acquired in the pilot phase.

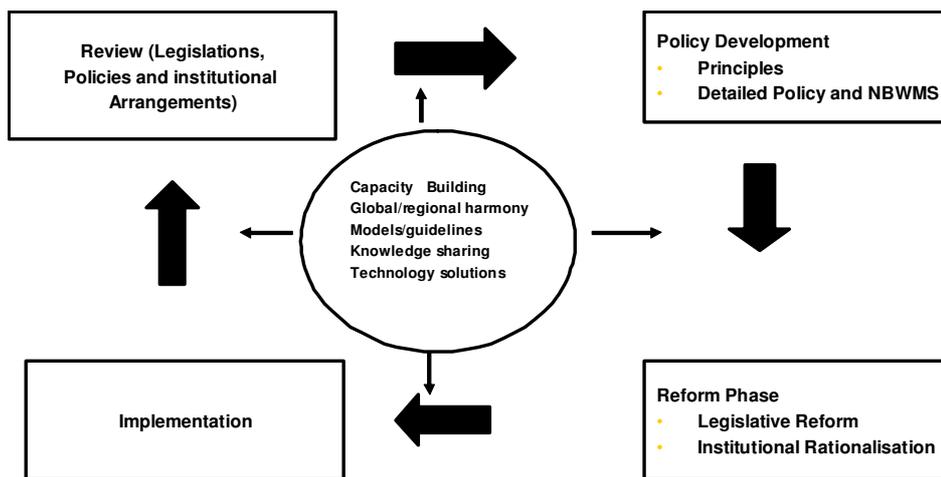
With the help of tools developed and lessons learned from the pilot project, the *GloBallast Partnerships* project will assist to build capacities at regional level, instigate legal, policy and institutional reforms at the country level, develop mechanisms for sustainability, and drive regional coordination and cooperation. The project will spur global efforts to design and test technology solutions, and will enhance global knowledge management and marine electronic communications to address the issue. The partnership effort is three-tiered, involving global, regional and country-specific partners, representing government, industry and non-governmental organizations. Private

sector participation will be achieved through establishing a GloBallast Industry Alliance with partners from major maritime companies. All told, more than 70 countries in 14 regions across the globe will participate, including the six pilot countries whose expertise and capacities will be drawn on for this global scaling-up effort. A summary of the project outcomes, objectives and activities are summarized in Annex 1.

**Strategy**

GloBallast Partnerships represents a continuation, expansion and refinement of the GloBallast pilot phase. It also takes the effort to its logical next step – developing a truly global partnership that spurs government action and industry innovation in order to significantly reduce a major risk to global biodiversity and human welfare. The strategy is ambitious, yet focused. While the reach is global, other shipping based vectors for IAS have not been added, and all of the intended outcomes, outputs and activities are directly focused towards improved management of ballast water, and improved monitoring and mitigation of its impacts.

The strategy takes its basis from the legal, policy and institutional reform (LPI) roadmap developed during the PDF-B phase which identified the critical milestones along the reform path and associated capacity building needs. The critical elements of this roadmap are shown in figure below.



strategy also incorporated ways and means of catalyzing global technology developments and better information sharing and communication mechanisms, to go hand in hand with the LPI reform process, to reduce the gap between policy developments and implementation.

The strategy for GBP has been developed using a 3-tiered approach:

1. A global component, managed through IMO London, providing international coordination and information dissemination, including the development of toolkits and guidelines, and establishing a strong cooperation with industry and NGOs.
2. A regional component, providing regional coordination and harmonization, information sharing, training, and capacity building in the application of ballast water management tools and guidelines.
3. A significant country component, that establishes a fast track (Lead Partner Country-LPC) and partner track (Partner Country-PC) process for GEF-eligible countries in the priority regions.

LPCs must commit to develop and implement a National Ballast Water Management Strategy (NBWMS), and to adopt legal, policy and institutional Reforms (LPIR).

The three-tier approach is schematically represented below:



***Global Component:***

The project will be managed globally through the Project Coordination Unit, based at IMO headquarters in London, UK. The PCU will be staffed with two subject matter experts whose services will be available for participating country activities, regional and global activities.

Within the global component is included the Global Project Task Force (GPTF), providing overall management advisory support for the project, and including as members regional and country representatives as well as industry and environmental organization representatives. There are also global outputs and activities focused on providing guidance and training to country officials and experts on strategic planning and legal, policy and institutional reform, on the management of risk based compliance systems, and the carrying out of marine biodiversity surveys. In addition, global level activities include public awareness raising and the development of knowledge management systems including the development of a GloBallast Marine Electronic Information System (GMEIS). Of special note, the global component includes a major partnering effort with industry to continue pushing R&D efforts on cost-effective ballast water treatment technology solutions.

***Regional Component:***

Fourteen regions are involved in the effort. Based on the recommendations from the Global Inception Meeting held in July, 2005, five regions are considered the priority regions, including the Caribbean, Mediterranean, Pacific Coast of South America, Red Sea and Gulf of Aden and West Coast of Africa. In addition, the South Pacific will receive support for its ongoing ballast water strategy development. The next tier of cooperation concerns the regions of the GloBallast Pilot countries, to ensure continuing momentum and to further the development and implementation of regional action plans.

These are: Southwest Atlantic coast of South America, South East Asia, South Asia, Persian Gulf, West Indian Ocean (Southern and East Africa). Additional linkages will be established with the Caspian and Baltic regions where there are existing GEF projects which include Ballast Water Management Programs.

The regional component is first and foremost a mechanism to ensure that all countries in the Partner regions have an opportunity to participate and learn from the activities undertaken by the LPCs. To that end, the regions will play a coordinating role for developing national level strategies, policies and programs. In addition, it is expected that the regional component brings significant value-added to the long term sustainability efforts by bringing the ballast water agenda to the regional convention discussions. The Regional Coordinating Organization (RCO) identified within the existing regional structure has a close access to the key policy makers of the countries and offer significant advantage in terms of achieving the most cost-effective coordination among the regional countries to achieve the objectives of the project.

### ***National Component:***

The pre-eminent focus of GloBallast Partnerships is at the national level. It is recognized that international measures can set the stage, and regional organizations can help to convene countries, but it is at the national (and industry) levels where the real actions are taken to reduce the risks from ship-borne invasive species. In particular, the national level activities are designed to provide the tools and techniques to enable partnering countries to reform their legal, policy and institutional structures in order to establish a risk-based and cost-effective approach to improved ballast water management that will reduce the risks of shipping-caused marine bio-invasions. GloBallast Partnerships will help partnering countries by providing a “roadmap” on how to achieve legal, policy and institutional reforms, and then by assisting partnering countries to steer the course.

Within the priority regions, a series of nation level actions will be carried out based on two tracks:

1. The fast track involves Lead Partner Countries (LPCs), which have committed themselves to developing national ballast water management strategies and policy reforms as well as significant country co-financing to support these national level activities. In order to be an LPC, each country had to provide a letter of endorsement and commitment to the project, and to commit significant co-financing support. Based on such supports, 13 countries have been identified as Lead Partner Countries (LPCs). This designation has been arrived at based upon the confirmed interest of these 13 states to play a leading role in GloBallast Partnerships. Each of the LPCs will appoint a National Focal Point (NFP) and National Project Coordinator (NPC).

While the LPCs will pioneer legal, policy and institutional developments at the national level, the lessons learned and experiences gained will be shared with other Partner Countries (PC) in each of the priority regions. The LPCs will host specific training and regional harmonization activities funded through the GloBallast Project Budget and invite the other countries in the region to participate in these activities, thus extending the benefits to all the other countries in the region.

Since GEF financing is expected to provide incremental support for activities that result in direct global and regional benefits, it is important to note that the most of the GEF Budget would be earmarked for the regional and global tier activities. LPCs would be given the first priority to host the regional tier activities with the coordination support of the RCO, depending on the interest and willingness to host such events of regional significance. The GEF Budget will be used to facilitate the participation of other GEF-eligible regional participants in these regional activities.

It is expected that the national level activities towards the legal, policy and institutional reforms would be mainly funded through the in-country co-financing. However, limited project budget for national level activities to procure the services of local experts and organizations will be earmarked and such allocations will be utilized on a need basis and based on specific proposals by the LPCs that will include co-financing commitment.

2. The partner track involves countries in each priority region who are invited to participate in the Regional Task Force and in regional training and workshop activities. Partner Countries are required to officially endorse the project.

The designation of LPCs and PCs is not static. It may be that over the course of the project some LPCs could slide due to less than satisfactory progress, and some Partner Countries may elevate into the fast track (LPC track) based on their demonstrated eagerness to play a key role and the progress achieved in ratification of Ballast Water Management Convention. Due to the budgetary constraints, it is expected that the number of LPCs will only exceed 13 during the course of the project if additional co-financing is mobilized.

## Status of the Project

---

The Global Environment Facility (GEF) Council, during its meeting from 12 to 15 June 2007, approved the full-size project proposal by IMO. The full-size project document can be downloaded from GEF website:

([http://www.gefweb.org/uploadedfiles/Global\\_ID%202261\\_GloBallast\\_Partnerships.pdf](http://www.gefweb.org/uploadedfiles/Global_ID%202261_GloBallast_Partnerships.pdf)).

The Proposal was endorsed by the GEF CEO on 31<sup>st</sup> August 2007. Upon receiving the delegation of authority from GEF to execute the Project, IMO Secretariat, on 17<sup>th</sup> September 2007, concluded the Project Execution agreement with UNDP which is the implementing partner for this Project. The Project has become operational with effect from 1<sup>st</sup> October 2007 coinciding with the completion of the preparatory activities and establishment of a Programme Co-ordination Unit (PCU) at IMO headquarters.

A detailed logical frame work that will guide the implementation of the Project is included in the Project Document under Agenda item 4. A summary of these activities and details of shared responsibilities are also summarized in this document.

## Project Outcomes

---

- |           |  |
|-----------|--|
| Outcome 1 | Learning, evaluation and adaptive management increased;  |
| Outcome 2 | Ballast Water Management Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level;   |
| Outcome 3 | Knowledge management tools and marine monitoring systems are effectively utilised to expand global public awareness and stakeholder support, improve understanding of ballast water impacts on marine ecology, and enhance maritime sector communications; |
| Outcome 4 | Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions.  |

## Project Outputs

---

- Output 1.1 Project coordination structures in place at global, regional and local level
- Output 2.1 Institutional capacities are enhanced through a comprehensive training program on Ballast water management
- Output 2.2 Rapid status assessment reports are developed and used to guide country activities
- Output 2.3 Economic aspects of marine bio-invasions factored into national strategic planning
- Output 2.4 National Ballast Water Management Strategy (NBWMS) developed and implemented
- Output 2.5 National legal reforms instituted
- Output 2.6 Specialist capacities improved for BWM
- Output 2.7 Compliance monitoring and enforcement indicators are developed and national systems enhanced, with an emphasis on risk-based priority setting, and the use of voluntary approaches
- Output 3.1 Baseline information established on biodiversity and alien species presence in major ports
- Output 3.2 GloBallast Marine Electronic Information System (GMEIS) established
- Output 3.3 Stakeholder and public awareness of ballast water management and marine bio-invasion issues is raised and sustained
- Output 4.1 Strategic partnership forged with shipping industry
- Output 4.2 Globally agreed standards developed for ballast water technology testing facilities
- Output 4.3 Solutions devised and best practices publicised on port-based reception facilities for ballast water tank sediments
- Output 4.4 State of the art in Ballast water treatment technology solutions identified and publicized
- Output 5.1 Project monitoring, evaluation and reporting systems established and implemented
- Output 6.1 Project Management Unit Established

## Description of Project Activities

---

The following section details the various project outcomes, outputs and the anticipated project activities in detail.

### **OUTCOME 1 LEARNING, EVALUATION AND ADAPTIVE MANAGEMENT INCREASED**

Within this outcome, the coordination and management aspects of the project are established, and mechanisms are established for reporting and external evaluation.

#### **Output 1.1 Project Management and coordination structures in place at global, regional and local level**

During the inception phase project management and coordination structures will be set in place at global, regional and local levels.

##### **Activity 1.1.1 Establish and manage a Project Coordination Unit**

A Project Coordination Unit (PCU) will be established at the London HQ of IMO, staffed by a Chief Technical Advisor, a Technical Advisor, and an Administrative Assistant. The CTA and TA will constitute the global technical advisory services group and will mainly be responsible for providing technical support and guidance to the regional and national level activities.

The PCU will also be responsible for the day to day management of the project, including ensuring that deadlines are met, financial and reporting requirements are adhered to, consultants are effectively utilized, and the Partner countries are ably supported.

##### **Activity 1.1.2 Global Project Task Force**

GloBallast Partnerships will be managed through a Global Project Task Force. The following are the expected GPTF members:

- UNDP/GEF (1)
- IMO (2)
- GloBallast PCU (1)
- RCOs (6)
- LPCs
- Industry (2)
- Environmental organizations / NGOs (2)
- GBP pilot country representative (1-in rotation)

There are significant financial implications in establishing a large GPTF, yet it is imperative that the key project participants have an opportunity to periodically come together to consider project status and operational aspects. To resolve these conflicting aspects, the GPTF will meet on a biennial basis (e.g. 3 times, during yrs 1, 3 & 5) and such meetings will be held back to back with the IMO MEPC meetings. The project funding will then be used to support the additional stay of the GPTF members in London who will also be attending the MEPC meeting. These three meetings will be built around the three key operational events:

- **Inception meeting:** agreeing on a detailed work plan and preparation of an inception report
- **Mid-term meeting:** providing implementation status and an external mid term evaluation
- **Final meeting:** discussing achievements, lessons learned and next steps / sustainability.

During the project years 2 & 4, an Executive Committee, composed of UNDP/GEF, IMO and the PCU will convene to discuss project implementation, focusing on feedback from issues raised in the annual APR/PIR reports.

### **Activity 1.1.3 Regional Coordinating Organizations**

GloBallast Partnerships includes a close partnership with regional coordinating organizations (RCO) from the targeted priority regions. These organizations have been identified based upon their involvement in the UNEP-Regional Seas and Large Marine Ecosystems Programs. In some regions, (Mediterranean and Caribbean), there are also direct financial and reporting relationships to IMO. These RCOs will each identify a coordinator responsible for GBP activities during the 5 year project cycle.

### **Activity 1.1.4 Regional Task Force**

The RCOs will facilitate establishing a Regional Task Force (RTF) comprised of each of the Partner country representatives. It is planned that the RTFs will meet three times during the project, prior to the three GPTF meetings. The RTFs will be open to all partnering countries in the regions, who will each nominate the representatives. It is anticipated that the three RTF meetings will be hosted jointly by the RCOs together with the LPCs from the region. As much as possible such meetings will be held back to back with suitable other regional meetings such as the RCO Focal Point Meetings.

The aims of creating RTFs are:

- To serve as a mechanism to expand Partner Country interest and involvement in GloBallast Partnerships.
- To raise issues and concerns, and generate regional status reports, for consideration at the GPTF meetings.
- To provide an opportunity for partnering countries to gather knowledge on the status of IMO ballast water management issues, including guidance on implementing the Ballast Water Management Convention
- To develop recommendations for regional coordination on ballast water management issues (for instance to agree on intra-regional ballast management requirements).
- To identify mechanisms for national and regional sustainability on ballast water management issues after the conclusion of GloBallast Partnerships.

### **Activity 1.1.5 LPC Coordination**

The LPCs each will appoint a National Focal Point (NFP) representing the Government's Lead Agency for ballast water management. It is assumed that the Lead Agency will most likely be from the Government Maritime Authority. The NFP is expected to be a senior government official who can speak on behalf of the lead agency, and who will serve on the RTF. It is further expected that each LPC will identify a National Coordinator (NC), who will provide day to day management for GloBallast Partnerships, on behalf of the NFP. National Coordinators can be specifically hired using national co-financing budget, or they can be current government officials, providing that at least 50% of their time is designated to coordinate activities under GloBallast Partnerships.

The project plan envisions frequent contact between the NCOs & NFPs, RCO's and the PCU. In addition to the opportunities afforded by workshops and task force meetings, there will be a project management teleconference every 6 months.

### **Activity 1.1.6 National Task Forces**

GloBallast Partnerships includes an additional governing task force at the national level. All of the 13 LPCs will either develop new task forces or utilize appropriate existing task forces to ensure:

- Other pertinent government agencies (e.g. port state control, ports management, transportation, environment and health) have an opportunity to express their views to the Lead Agency regarding the implementation of GloBallast Partnerships, and can be called upon to support legal, policy and institutional reforms.
- Interested stakeholders from industry and the environmental community have an opportunity to stay abreast of the strategies and actions being devised under GloBallast Partnerships.

The NTF meetings are expected to occur every year, and especially prior to the RTF and GPTF meetings. In this way, the LPCs have an opportunity to formulate their positions and recommendations prior to regional and then global decision-making meetings.

**Activity 1.1.7 International and Regional Conventions and Forums**

Based upon the experience from the GloBallast Pilot Phase, and the escalating requests to IMO from international and regional organizations to know more about ballast water and invasives issues, GloBallast Partnerships has been designed to present GloBallast Partnerships at international and regional conventions and forums.

**Output 1.2 Project monitoring, evaluation and reporting systems established and implemented**

The second set of outputs and activities within Outcome 1 involve monitoring and reporting procedures during the project; Project monitoring, evaluation and reporting systems will be established and implemented, to include mid-term and final evaluations and the submission of Annual Project Reviews (APR)/Project Implementation Review (PIR)s and other GEF/UNDP project monitoring reports as required.

**Activity 1.2.1 Mid-term evaluation**

The main focus of the mid term evaluation will be on the progress made to date, and whether changing circumstances merit revisions in the work plans.

**Activity 1.2.2 Final evaluation**

The final evaluation will address project successes and shortcomings, lessons learned and recommended next steps.

**Activity 1.2.3 APR/IPR**

The PCU will be responsible for the submission of APR/IPR and other progress reports.

**OUTCOME 2. BWM STRATEGIES IN PLACE, WITH LEGAL, POLICY AND INSTITUTIONAL REFORMS DEVELOPED, IMPLEMENTED AND SUSTAINED AT NATIONAL LEVEL**

The project is designed to assist all of the Partner countries to develop, implement and enforce legal, policy and institutional reforms (LPIR) in order to reduce the risk of bio-invasions from ship ballasting activities. At project conclusion, each LPC is expected to be implementing a National Ballast Water Management strategy (NBWMS), with revised legislation that conforms to the Ballast Water Management Convention, and an enhanced compliance monitoring and enforcement system.

The role of the RCOs will be to facilitate the participation of other partner countries in capacity building activities, hosted by the LPCs.

**Output 2.1 Institutional capacities are enhanced through a comprehensive training program on Ballast water management**

Institutional capacities will be increased amongst the Lead Partner and Partner Countries through a globally developed, and locally executed training program, using the GloBallast Introductory Modular Course for Ballast Water Management. This course was successfully developed, with several trail runs, during the GloBallast pilot phase.

**Activity 2.1.1 Update GloBallast Introductory Modular Course for Ballast Water Management**

The GloBallast training package was developed according to the UN Train-X methodology. The training package contains 10 training modules and includes instructions on the application of ballast water and sediment management procedures and maintenance of appropriate records and logs in accordance with the IMO Guidelines.

The course manual will be revised using international experts and will be made available to all LPCs and RCOs.

### **Activity 2.1.2 Hold training courses on BWM using updated Modular Training Package**

As soon as the modular training package has been updated, the course will be used to train more than 250 stakeholders from pertinent ministries in 9 regions on the basics of ballast water management. This aspect of the project includes a strong measure of co-financing from international, regional and local partners.

Recognizing the expertise that was established during the GloBallast pilot phase, a number of the course offerings will be carried out by pilot country experts.

## **Output 2.2 Risk-based, rapid status assessment reports are developed and used to guide country activities**

Status assessment reports will be developed by each of the 13 LPCs and used to guide country activities. The expectation is that early in project year 2, all 13 LPCs will have identified their key Ballast water Management issues, in the context of marine and coastal protection. Each will have developed an action plan for their activities during GloBallast Partnerships. Also during this early period, the LPCs will share their results and lessons learned with the other Partner countries, during the first RTF meeting.

### **Activity 2.2.1 Develop template and guidelines for rapid assessments**

A global template and guidelines for reporting will first be developed. The countries will then develop their rapid assessments. The detailed guidance for aspects to include in the assessments will be developed early in the inception phase, and are likely to include:

- General Information on coastal marine ecology and native species.
- Number and location of international maritime ports and their traffic mix (e.g. oil, minerals, containers, tourists, etc.)
- Information on quantity and source of ballast water received by the country
- Incidences, known locations and impacts of past marine bio-invasions
- Policies and legislation governing ballast water management
- Review of the implications of BWMC ratification
- Review of related marine policies and legislation (including UNCLOS and the CBD)
- Analysis of current port state control practices and the compliance monitoring and enforcement regime in place
- A review of key stakeholders
- Identification and listing of country-based ballast water, maritime and marine biology experts and consultants, as well as technical and training institutes.

GloBallast pilot phase experts and PCU experts will assist in the development of the template based on their experience from the pilot effort. The template will then be provided to all LPCs to carry out the rapid assessments.

### **Activity 2.2.2 Develop rapid status assessments**

It is expected that all 13 LPCs will have identified their key national issues for BW management, their top priorities and plans for reforms within the Rapid Assessment Reports, and that all of the reports will be completed by the end of 1<sup>st</sup> Q, yr 2

It is important to note that the assessments are not designed to be at the level of detail provided for in GEF transboundary diagnostic analyses (TDAs). The emphasis is not to move through an extensive set of stakeholder discussions in order to arrive at an understanding of root causes, but rather to set the stage for the strategic planning exercise by determining key issues and current status.

### **Output 2.3 Economic aspects of marine bio-invasions factored into national strategic planning**

In addition to being perceived as a major ecological problem, invasive aquatic species (IAS) cause significant economic impacts through, *inter alia*, disruption to fisheries, fouling of coastal industry and infra-structure, interference with human amenity and the costs of research, monitoring and control and mitigation measures. Globally, such economic impacts are only starting to be quantified, but are likely to exceed tens of billions of US dollars per year.

In order to provide a more informed basis for governments and industry to respond more effectively to this problem, a comprehensive assessment and quantification of the global economic impacts of aquatic bio-invasions is needed. Within GloBallast Partnerships, the intention is to work in concert with other actors to carry out a comprehensive, longer-term, global review of economic impacts. To this end, GloBallast Partnerships will especially focus its attention on Response Costs, in particular the cost to governments to administer national ballast water management programs, to carry through regulatory and institutional reforms, to implement the relevant international conventions especially the BWMC, and to operate enhanced monitoring and enforcement programs.

In addition to calculating response costs, each of the LPCs will be tasked with identifying mechanisms to finance their programs in light of these costs. It is expected that the ‘polluter pays’ principal may also guide the determination of funding schemes. These may include fee for service arrangements that cover the cost of administering national ballast water management programs. The results will be taken into account in the development of each NBWMS.

#### **Activity 2.3.1 Develop guidance for economic assessments**

GloBallast Partnerships will coordinate with the GISP efforts, and will ensure that cost assessment methodologies used are consistent across the LPCs, allowing for comparisons and collating of results. The guidance to be developed will be carried out using external consultants with economic expertise. The Guidance will be available to the countries by the 2nd quarter, project yr 2. It will provide instructions on the use of models and calculations.

#### **Activity 2.3.2 Develop national economic impact and response cost assessments, taking into account the need for financial sustainability.**

The timetable for LPC completion of their economic assessments is the 3<sup>rd</sup> quarter of project year 3. This will enable the results to be factored into the NBWM Strategies that each LPC is developing.

#### **Activity 2.3.3 Aggregate economic information**

The economic assessments will be compiled and utilized to generate a global report on the economic impacts and management costs associated with ship ballast water transferred invasive species. The report, together with the guidance document, will be published by the 2nd quarter, project year 4. It is planned that the report will be published as a GloBallast Monograph and made available via the GloBallast Partnerships web portal.

### **Output 2.4 National Ballast Water Management Strategy (NBWMS) developed and implemented**

Each LPC will adopt a National Ballast Water Management Strategy (NBWMS) and implement it during the course of the project. The NBWMS will cover all major facets of ballast water management, including legal and policy issues, institutional strengthening, regional cooperation, port environmental management, port state control enforcement, and flag state requirements. The

NBWMSs should specifically address the steps needed for ratification of the Ballast Water Management Convention.

As an adjunct to the NBWMS effort, it is expected that the RCOs will spearhead an effort in their respective organizations to achieve member state approvals for regional action plans addressing ballast water and marine invasive species. These RAPs build from the positive momentum achieved during the GloBallast Pilot Phase. It is expected that all of the new six priority regions will have a regional action plan (RAP) for BWM approved and in place by the end of project year 4.

#### **Activity 2.4.1 Develop guidelines for national BWMS development, including options for financial sustainability**

In order for the LPCs to launch their national planning efforts it will be important to provide during the Inception Phase a set of recommended guidelines on the strategic planning process and aspects to include. Such generic guidance will be developed and disseminated during the 1<sup>st</sup> quarter of project year 2. The PCU will draw upon expertise from the pilot country experts, based on their experience in developing NBWMSs.

#### **Activity 2.4.2 Hold (a) regional harmonization (including regional LPI assessment) and (b) Sustainability workshops**

Within this activity, two sets of workshops are envisioned, occurring at the beginning of project years 3 and 5. These workshops will also serve as the 2<sup>nd</sup> and 3<sup>rd</sup> (of 3) RTF meetings.

The first series of workshops is aimed towards regional harmonization, including consideration of common issues and concerns, and progress on development of the Regional Action Plan. The RAPs are expected to be developed and approved at regional conventions before the end of the project.

The workshops will provide an opportunity for the LPCs to present information on their progress to date, and lessons learned, on legal, policy and institutional reform and strategic planning. The expectation is that these presentations will serve to boost the efforts of other Partner countries to follow suit with their own strategies and reforms.

The second workshop in each region is aimed towards issues of sustainability. By the beginning of year 5, the LPCs will have approved NBWMSs, and will be expected to share lessons learned with the other regional Partner countries. The RAP should be either approved or pending member state approvals. The BWM Convention would have been ratified by one or more countries in each region, offering lessons learned on its implementation. Also, there would be results available from some of the economic assessments and port baseline surveys carried out in the region. All of these issues would be brought to the table, as well as agreement among the parties on how to continue regional processes after the conclusion of GloBallast Partnerships.

#### **Activity 2.4.3 Hold stakeholder workshops**

In addition to the expectation that LPCs will develop National Task Forces, there is also an expectation that there will be opportunities for interested stakeholders and the public to consider and provide comments on the NBWMSs as they are drafted and approved. LPCs are expected to run at least 3 stakeholder meetings before the end of project year 3, which may be split along geographic lines (e.g., a meeting in several ports with broad participation) or national meetings segmented by interest group (e.g., shipping, environment, ports management). In particular, it is expected that one of the stakeholder meetings will be dedicated to bringing together high level ministry and elected officials – as an aid to awareness raising and to boost support for the legal and policy reform effort and institutional capacity building.

#### **Activity 2.4.4 Develop and Implement National BWMSs**

Developing strategies is only the initial step. The key to this activity will be to have the national strategies developed, then approved and then implemented, with a demonstrated institutional and financial commitment from each of the LPC governments. The plan is to have all NBWMSs implemented by the end of year 4. The project will provide limited financial support to the LPCs for

technical assistance on the NBWMS effort. Strategies should include a summary of the rapid assessment findings, a set of strategy options considered, the preferred options for government approval, and the means to continue the program after the conclusion of GloBallast Partnerships.

**Output 2.5 National legal reforms instituted**

The GBP project includes development of a generic legal framework for ballast water management, supported by legal training on maritime and ballast water legal issues. The legal instruments will enable countries to implement the Ballast Water Management Convention and more generally to improve ballast water management compliance and enforcement.

**Activity 2.5.1 Develop legal road map, model legislation and training manuals**

The PCU will manage an external consultancy for this assignment; with contributions from the GB pilot country experts who worked on legislative aspects.

Aspects that are likely to be included are:

- designation of lead agencies and their authorities
- BW management responsibilities of flag state carriers.
- content and submissions process for ballast water reporting forms;
- operational requirements for the off loading and handling of ballast water sediments;
- mid ocean exchange and then treatment standard requirements (based on the BWMC), taking into account possible variances for intraregional shipping;
- conditions for port state control authorities to board ships, sample ballast tanks, scrutinize manifests, restrict ship operations and assess fines and penalties for failure to meet ballast water management requirements; and
- demarcation of specially protected areas in the coastal environment, where ballasting operations may be restricted;

**Activity 2.5.2 Train LPC lawyers on developing legal frameworks for BWM**

Ballast water management is a specialized field, and the legal aspects straddle maritime and environmental law. Based on the experiences of the GloBallast pilot countries, it has been recognized that some support is needed to acquaint national government lawyers with ballast water management issues. The training will be done on an ad-hoc, in-country basis, using as much as possible experts and government lawyers from the pilot countries and other IMO member states that are pioneers in establishing regulatory controls for ballast water management. The involvement of maritime institutes in providing legal expertise will also be considered.

**Activity 2.5.3 Develop national legislation**

The LPCs are expected to complete their legislative efforts no later than the 1<sup>st</sup> quarter of project year 4. This is not the deadline for completed drafts, but rather the deadline for enacted / revised legislation. It should be noted that there are differing legal structures in Partner countries. Some may ratify the BWMC and it then immediately becomes national law. Others may need to create national laws that enable the ratification of international conventions.

**Output 2.6 Specialist capacities improved for BWM**

This outcome is designed to lay the groundwork for national and regional specialist expertise to be available for ballast water techniques. This set of activities builds on the GloBallast pilot country experience, and is designed to expand on the traditional close association that IMO has had with maritime training institutes globally.

### **Activity 2.6.1 Develop model BWM (specialist) course**

By the end of project year 3, selected maritime institutes in each region and among the LPCs, will be training maritime experts in key aspects of ship-board BWM. IMO will finance this activity and will incorporate the results into its series of Model Courses under the International Convention on Standards of Training, Certification and Watch keeping for Seafarers (STCW)

### **Activity 2.6.2 Capacitate Training Institutes for delivery of introductory course and specialized courses**

International Maritime Organization does not approve training courses or institutes. This is a privilege and responsibility of Member Governments who are Parties to the STCW Convention. Nevertheless, it is possible under the GloBallast Partnerships to identify and encourage maritime institutes to expand their capacities in order to be prepared for providing training services for ballast water management, once the model courses are developed under STCW. These institutes can also continue to provide the introductory GloBallast modular training course (see activity 2.1.2) as part of the regular curriculum. It is expected that by end of yr 4, there will be at least one maritime institute in each LPC with the capacity to train sailors on BWM and to continue to provide the GloBallast Introductory Course to other stakeholders. Accreditation by the Partner Countries will be encouraged, with the PCU providing suggested criteria.

### **Output 2.7 Compliance monitoring and enforcement indicators are developed and national systems enhanced, with an emphasis on risk-based priority setting, and the use of voluntary approaches**

Enforcing ballast water management requirements typically involves port state control authorities communicating with vessels as they come to port, reviewing ballast water reporting forms, boarding selected ships to review documents and inspect equipment, and upon occasion using sanctioning powers to quarantine or fine vessels for failure to meet their legal obligations. During GloBallast Partnerships, effective methodologies and best practices for compliance monitoring and enforcement (CME) will be identified and partnering countries will assess and revise their existing CME systems.

### **Activity 2.7.1 Develop and disseminate model CME framework, including indicators**

As with other expected LPC outputs, the CME output will first start with a model framework and guidance from the PCU, based upon lessons learned from the GB pilot phase (scoping study and CME symposium), taking into account the experiences of countries that have been aggressively pushing ballast water management – for instance Australia and the USA, and recognizing the changed seascape with approval of the BWM Convention and IMO guidelines. A model CME framework, with options and including suggested indicators, will be developed by the 3rd quarter of project year 2. Then, by the start of yr. 3, model CME framework is available for LPCs to develop their revised CME systems.

### **Activity 2.7.2 Hold training workshops on CME**

Each of the training programs envisioned under GBP is designed to address the particular agencies and experts that can benefit from the training. In the case of CME, the focus of attention is upon port state control authorities who are empowered to uphold national laws governing the import and export of persons and materials into and out of the country. Depending on the particular BWM strategies and programs planned and in place in each of the Partner Countries, persons will be selected to participate in a training program designed to provide practical knowledge on CME management and the development of risk-based approaches.

### **Activity 2.7.3 Countries implement modified CME systems**

Armed with a model CME framework, and CME training for key personnel, Lead and Partner Countries are then expected to develop and implement improved CME systems. These should be in place by the end of Project Year 4. The CME systems would link closely to and build from the NBWM Strategies developed, and ideally would link directly to implementation of the BWM

Convention and related IMO Guidelines. In addition, all efforts will be made to harmonize the CME systems at the regional level, using the existing Port State Control MOUs among the regional countries.

**Activity 2.7.4 Conduct follow up reviews of modified CME systems and develop lessons learned study**

Given that each of the LPCs would have a revised CME system operating for ballast water management at the end of project year 4, GloBallast Partnerships includes a follow up activity one year later to evaluate the extent to which these systems are in place and functioning as intended. The PCU together with the RCOs will identify and hire independent experts to report on progress with the CME reforms. Their findings and recommendations will be submitted back to the LPCs for consideration and response, and will provide the basis for a concluding lessons learned study on CME, and risk-based approaches.

**Outcome 3. Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improve understanding of ballast water impacts on marine ecology, and enhance maritime sector communications.**

For GloBallast Partnerships, improved knowledge management is an expected outcome, which will help to increase public awareness, improve understanding of bio-invasion impacts on marine ecosystems, and enable enhanced communication between key stakeholders at national, regional and global levels.

**Output 3.1 Baseline information established on biodiversity and alien species presence in major ports**

Central to the consideration of marine invasive alien species risks is an understanding of the current presence of invasives, and their environmental impacts. Within this invasives monitoring output are a series of activities designed to establish survey protocols, train persons from the partner regions on surveys and taxonomy, build co-sponsorship support for carrying out port baseline surveys, and then capturing the resulting data and information in formats that allow for this information to influence national and regional strategy development. It is important to stress that GloBallast Partnerships will NOT directly fund the carrying out of port baseline surveys. It will, however, encourage co-sponsorship from other supporting organizations.

**Activity 3.1.1 Update Port baseline survey protocols**

The first activity under the port baseline survey output is an updating and enhancement exercise, designed to learn from GloBallast pilot phase surveying efforts, as well as from the continuing survey research carried out through other programs and institutes, (*inter alia*, the National Institute of Water & Atmospheric Research Ltd. in New Zealand has carried out more than 37 port baseline surveys and 66 early detection and delimitation surveys for marine pests in New Zealand and overseas). There is also a strong need to refine protocols and surveying methodology to keep costs down, enable comparisons across port surveys internationally, and stay abreast of technology improvements.

The PCU will utilize external experts to complete the revised protocols during the first quarter of project year 2. Experts for the assignment will include persons who carried out survey training efforts during the GB pilot phase as well as other recognized international experts.

**3.1.2 Hold training workshops on port baseline survey design and implementation**

During project years 2 & 3, GloBallast Partnerships will set the stage for future survey work by running training workshops. 6 workshops are planned, hosted by one LPC each from CAR, CPPS and WACAF and SPREP. Workshops in PERSGA region have already been conducted during the preparatory phase. Each of the workshops will include approximately 20 participants (including other Partner countries in the region). For the Mediterranean region, funding will be provided by the SAFEMED Project, which is being implemented by the RCO, REMPEC.

### **Activity 3.1.3 Develop country rosters of taxonomy experts**

GloBallast Partnerships will provide an important service at the national, regional and global levels in terms of identifying experts with the background for carrying out marine taxonomy activities. This will not be a referral service, merely a database of names and CVs that LPCs and RCOs can utilize to identify potential resources. The roster will also help to identify persons that may be interested to participate in the taxonomy training (2.6.33) activity.

### **Activity 3.1.4 Train local taxonomists in generic tools and methodologies for marine invasives detection and analysis**

One of the major stumbling blocks to completion of the port baseline survey work during the GBP pilot phase was the dearth of trained taxonomists available in the pilot countries to carry out taxonomy work. While it takes long time and considerable resources to build a core of well trained taxonomists, a need was identified to provide basic training on generic tools and methodologies for such taxonomy work, related to invasive species. It is expected that content for the training program can utilize existing similar training programs, such as the IOC capacity building program and / or Census of Marine Life Project and both programs have formally expressed their interest to partner with GBP.

### **Activity 3.1.5 LPCs carry out baseline surveys and develop national marine invasives reports**

PCU will work together with each RCO and the LPCs to identify additional sources of financial support for the survey work. Such discussions have already been initiated during the PDF-B phase. It is expected that each of the LPCs will succeed to raise sufficient funds for at least two baseline surveys covering their major commercial ports, and that many of the Partner Countries will likewise carry out surveys.

Once port baseline surveys have been carried out, the results will be drawn up as a report.

### **Activity 3.1.6 Compile country baseline data and input into GMEIS (see Output 3.2)**

During the GloBallast pilot phase, the pilot countries established country profile databases, which among other information, included data compiled during the port baseline surveys, especially including results on the type, number and locations of marine alien species. During GloBallast Partnerships this effort will be continued and further refined, with the data entered into a more robust information storage and retrieval system – dubbed GMEIS (see Output 3.2). The plan envisages a small amount of data entry assistance during year 5 to load data from the surveys into GMEIS. In fact, data will be entered as it becomes available.

### **Output 3.2 GloBallast Marine Electronic Information System (GMEIS) established**

The expectation is that at the end of the project, GMEIS will provide the building blocks for an up-to-date GloBallast marine information infrastructure. GMEIS, which will initially take the form of an internet portal, is planned to be launched during yr 3, and by project year 5 should be fully functioning, to include country profile data from each of the LPCs plus updated information from the pilot countries and other partners.

### **Activity 3.2.1 Identify GMEIS Design / Architecture Options**

The review will conclude with an assessment and set of recommendations concerning the technical and economic feasibility of developing maritime information systems for ballast water management at regional and global scales, and options for the GMEIS architecture and design. The report will be completed by the 1<sup>st</sup> quarter of Project Year 2.

### **Activity 3.2.2 Hold GMEIS expert workshop for design / architecture selection**

GloBallast Partnerships will bring together leading experts in the fields of information technology, MEH system integration, maritime operations and marine ecosystems protection, to provide a consensus set of recommendations on systems architecture and functionality for the GMEIS.

It is planned that by mid project year 2, the expert meeting has occurred and a recommended GMEIS architecture has been detailed.

**Activity 3.2.3 Develop country profile database format and disseminate to Partner countries**

At the beginning of the 2<sup>nd</sup> Project Year, the PCU will disseminate to the LPCs and other Partner Countries a set of reference documents on how they should establish their country BWM profiles and begin to set up national databases. The guidance will spring from the results of the experts workshop (3.2.2) and are likely to be commissioned from experts who participated in that workshop. The key is to establish user friendly formats that are adaptable to continuing refinement, and which can be used with widely varying amounts of data.

**Activity 3.2.4 Provide training and technical assistance on knowledge management and database development for LPCs**

GBP will assist with training and technical assistance to the LPCs and other partner countries on web and database development. Assistance will include:

- detailed on-line instructions,
- web-based and telephone hotlines for installation,
- service and software use questions,
- the availability of (duly licensed / proprietary) software downloads on a password protected site,
- limited on-site assistance in the event of major calamities, and
- options for the use of offsite servers for data storage.

**Activity 3.2.5 Develop country profile databases**

Activity 3.2.3 delineated the three database subsets envisioned. Each LPC is expected to develop a database no later than the beginning of project year 4, using internal or outsourced local data service providers. The LPCs are expected to fund their own basic hardware needs. A limited use of GEF funds is envisioned for licensing proprietary software packages, especially if GIS-based systems are used.

**Activity 3.2.6 Develop and maintain GloBallast GMEIS web portal**

GloBallast Partnerships will launch the GMEIS portal, which will integrate and make available data collected during the course of the project. During project year 1, the existing web site will be updated, and during the course of the project will evolve into the GMEIS portal as new data and information is made available. Sustainability of these efforts will be achieved when the GMEIS migrates into the IMO GISIS.

**Activity 3.2.7 Launch and maintain national BWM websites**

Each LPC is expected to have its GloBallast Partnerships national web site up and running early in Yr 2. The purpose is to serve as a vehicle for local participants, including national task force members, key stakeholders and local experts / consultants, to gain access to up to date information on project progress, ballast water issues and management aspects. It is expected that the web site will be launched in the national language, with an option for posting some materials in English. The LPCs are expected to provide their own financial and human resources to establish the web sites, however the PCU will provide web page templates, based on the Global site, which the LPCs can modify for their national use. All the national web sites will be cross-linked with the global GloBallast web site to facilitate information exchange.

**Activity 3.3 Stakeholder and public awareness of ballast water management and marine bio-invasion issues is raised and sustained**

This outcome is designed to ensure that interested stakeholders and the general public in all partner regions and countries stay informed of the issues and project status. The outcome serves to capture all

project activities designed to create and disseminate printed and visual media, including newsletters, pamphlets, posters and videos. In particular, the outcome is designed to provide wide exposure for the GloBallast BBC documentary, produced and launched during the PDF-B Phase, with generous backing from IMO and industry partners.

### **Activity 3.3.1 Stakeholder outreach to GB pilot regions, LMEs and Regional Seas**

This activity assumes a mix of tools to build and sustain stakeholder momentum, including direct contact, literature, participation in events, review of strategies and resolutions and in the case of the pilot regions, some small scale financial support for the inclusion of pilot country experts in regional workshops. Any direct support will be limited to use by and for GEF-eligible countries.

With respect to outreach to Regional Seas and LMEs that are not identified as partners for this project, the expectation is to provide a steady stream of information and direct contacts, as well as tools and guidance, and to urge that each take the initiative to address ballast water borne invasives issues.

### **Activity 3.3.2 Publish and post quarterly newsletters**

The PCU will take responsibility to publish the GloBallast newsletter on a semester basis (10 in total). The newsletters will provide updates and features, with each issue spotlighting different partner regions and countries, and highlighting breaking issues, such as R&D developments, and features on countries that are ratifying and implementing the BWM convention.

A mailing list will be developed, with a push to have most mailings electronic, through email, to minimize printing costs. The newsletters will be posted on the GloBallast website. The newsletters will also be made available to interested persons through the GEF IW: LEARN website. The newsletters will be sent to regional and local partners with a request that they make additional translated and printed copies available through their mailing lists.

### **Activity 3.3.3 Develop, update and translate GloBallast brochures and publications**

It is planned that many of the existing publications will be updated and translated into additional languages. Most notably, the plan is to disseminate widely the acclaimed IMO-BBC documentary “Invaders from the Seas”, launched in March 2006. Efforts will be made to get the documentary translated. Additionally, during GloBallast Partnerships, 600 copies of the documentary will be ordered and disseminated to the LPCs, RCOs and other partners.

## **Outcome 4. Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions**

The financing of outputs and activities under outcome 4 will be mostly financed by industry partners. The outputs will therefore be dependant on the mobilization of resources pledged by the industry.

### **Output 4.1 Strategic partnership forged with shipping industry**

The project will work with leading shipping and maritime companies and organizations to establish the GloBallast Industry Alliance (GIA), to stimulate continued R&D research, publicize advances in technology development and consider treatment technology testing and test facility standards. The GIA will include maritime industry leaders working together with GEF-UNDP-IMO to create opportunities for the Project to positively influence industry practices while benefiting from private sector strengths, including R&D knowledge and practical experience.

It is expected that a number of industry relevant activities that will also benefit the developing regions would be undertaken using the fund. It is expected that GIA partners would contribute financially and non-financially to undertake the pre-agreed activities.

### **Activity 4.1.1 The GIA will meet periodically to provide input to GloBallast Partnerships**

Once the GIA is in operation, the members can decide how frequently they intend to meet. At a minimum, it is expected that the industry members will meet during project years 1, 3 and 5, with

meetings held back to back with the Global Project Task Force Meetings. The Chair of the GIA will be from one of the industry members on a rotational basis. The industry will also have representation on the Global Project Task Force.

**Activity 4.1.2 Hold biannual industry dialogues between GIA and the GloBallast Steering Committee**

The purpose of holding back to back GIA and GPTF meetings is so that an overlapping day can be spent in joint session. These will constitute industry dialogues to enable discussions on the convergence of industry and government interests, and the progress being made on solving BWM technical hurdles.

**Output 4.2 Globally agreed standards developed for ballast water technology test facilities**

Ballast water treatment equipment test facility standards and inter-calibration procedures will be developed with the aid of a new testing facility to be fully financed and developed by one of the Partner GBP countries. The process of facility standards development will follow the usual framework proposition, workshop review and then standards development format.

**Activity 4.2.1 Develop framework for ballast water treatment equipment test facility standards and inter-calibration procedures**

An expert assistance effort, midway through the second project year will draw up an initial framework for the standards and procedures, identifying key issues and options for expert agreement.

**Activity 4.2.2 Hold expert’s workshop to propose test facility standards and procedures**

At the beginning of project year 3, an expert’s workshop will be held, to include representation from countries that are establishing treatment testing facilities. As it is intended for the GIA to sponsor this initiative, there are no limitations on the participation of non-GEF eligible countries.

**Activity 4.2.3 Develop and disseminate standards and procedures manual for ballast water treatment equipment test facility standards**

Based on the resulting agreements reached at the experts workshop, a manual will then be developed and all IMO member states will subsequently receive notice of the recommended testing facility standards. This notice is expected to go out by the end of Project Year 3.

**Output 4.3 Solutions devised and best practices publicised on port-based reception facilities for ballast water tank sediments**

While there has been significant efforts put into developing treatment technologies since approval of the BWMC, relatively little has been done to appraise member states of their options with respect to meeting sediment facility requirements. GloBallast Partnerships will facilitate a pilot study on ballast water sediment management. The effort will be fully underwritten by the GIA Fund.

**Activity 4.3.1 Identify dry dock site and conduct feasibility study for pilot sediment facility**

The PCU, based on advice from the GIA will organize a techno-economic feasibility study to be carried out on options for constructing a pilot sediment facility in one of the LPCs. The feasibility study should be completed towards the end of project year 3.

**Activity 4.3.2 Construct and manage pilot sediment facility**

The pilot site should be constructed midway through project year 4, and made operational. A start-up report will be required. It is assumed that in addition to GIA financial support, the host country will provide in-kind support, including facility management.

**Activity 4.3.3 Assess pilot facility operation and disseminate lessons learned**

One year on after the pilot sediment facility has been made operational, the performance will be reviewed and the resulting report disseminated to all partners. The PCU will hire an expert to do the evaluation and reporting, to be completed by the 3<sup>rd</sup> quarter of project year 5, and available for

consideration at the final GPTF meeting. It is anticipated that the resulting report will then be submitted for IMO MEPC review for consideration to include as BWM Convention guidance.

**Output 4.4 State of the art in Ballast water treatment technology solutions identified and publicized**

With strong support from industry partners involved in the GloBallast Industry Alliance, the GBP will set up a Ballast Water Management Innovation Fund (as a sub-set of the GIA Fund) to support and promote cost effective technology solutions.

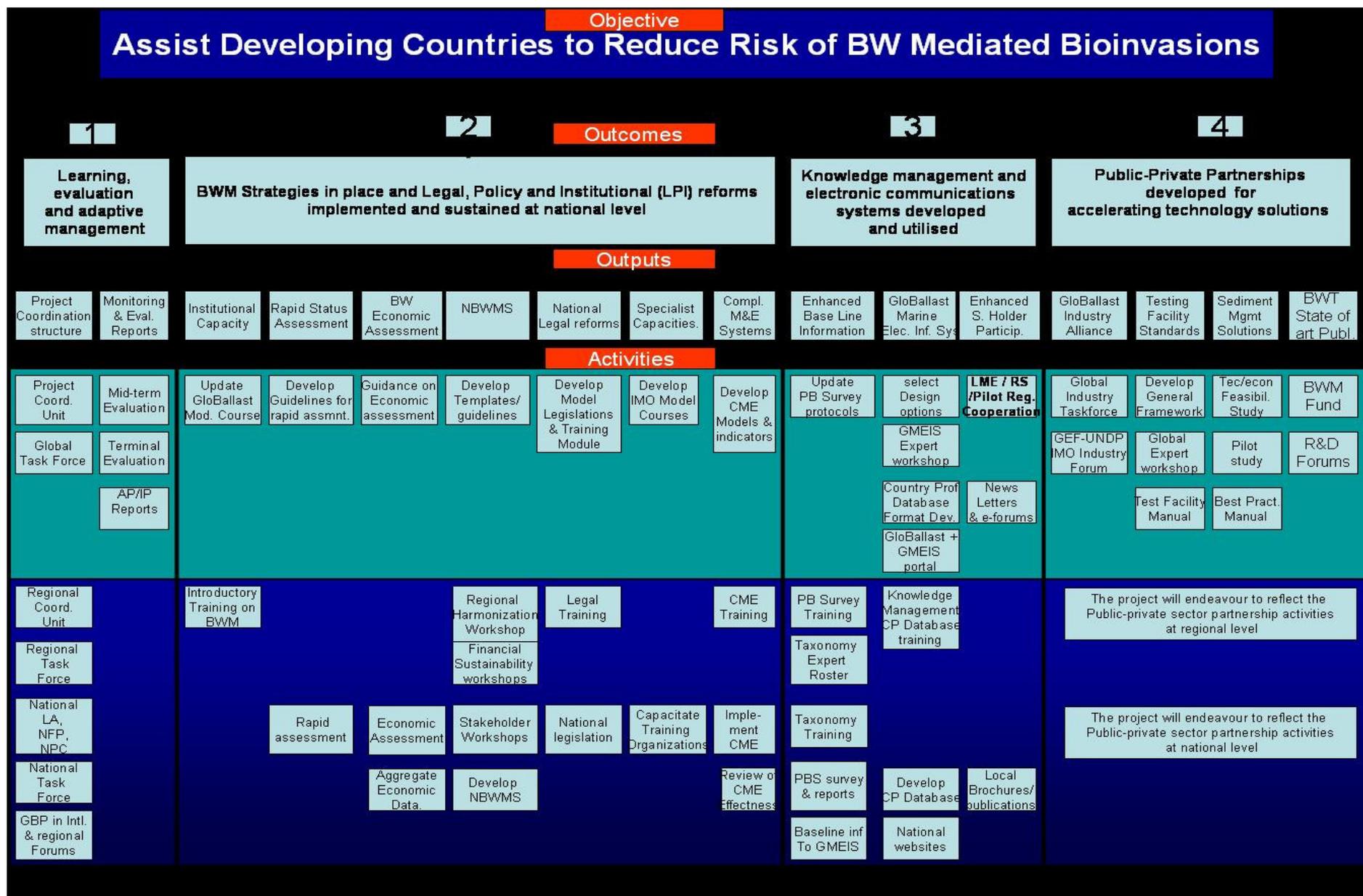
**Activity 4.4.1 Establish Ballast Water Innovation Fund and support innovative projects**

The Fund can be used to back innovative technology projects, and also to support on-board testing of best currently available technologies for technology transfer/training purpose. The PCU, together with the GIA-ITF, will send out request for proposals (RFPs). Once received, the proposals will be reviewed by an independent expert panel. The Fund should be in place by the end of the first Project year, with the awards made by the 3<sup>rd</sup> quarter of project year 2. Depending on available funding, a second RFP can be considered during project year 4.

**Activity 4.4.2 Hold biennial global R&D forums and biennial technology conferences**

The PCU is set to establish, together with the GIA, a series of R&D conferences, timed to coincide with the GIA / GPTF meetings during project years 3 & 5.

# Annex 1





# **Agenda Item 4: Overall Work Plan and Budget**

A Work Plan and overall budget to implement the Project as per the Project Implementation Plan (please refer Agenda Item 3), is given Attachment 1 of this briefing paper. This document also provides the Project Logical Framework (Log-Frame) that explains the expected project outcomes/outputs and indicators of success as well as means of verification. Additionally, it provides a detailed timeline for the various tasks and sub-tasks, the provisional budgetary allocation for each activities and shared responsibilities by various parties to achieve the outcomes expected from the Project.

The GPTF is invited to discuss and comment on the Work-Plan as appropriate and provide advice to improve the Plan.

ATTACHMENT 1

**GEF-UNDP-IMO GLOBAL PROJECT: *BUILDING PARTNERSHIPS TO ASSIST DEVELOPING COUNTRIES TO REDUCE THE TRANSFER OF HARMFUL AQUATIC ORGANISMS IN SHIP'S BALLAST WATER (GLOBALLAST PARTNERSHIPS)***

**Overall Work Plan and Budget**

**(March 2008)**

**GEFSEC PROJECT ID:** 2261

**IA/ExA PROJECT ID:** PIMS No. 3050

**COUNTRY:** Global

**PROJECT TITLE:** Building Partnerships to Assist Developing Countries to Reduce the Transfer of Harmful Aquatic Organisms in Ship's Ballast Water (GloBallast Partnerships)

**GEF IA/ExA:** UNDP

**OTHER PROJECT EXECUTING AGENCY(IES):** IMO

**DURATION:** Five years

**GEF FOCAL AREA:** International Waters

**GEF STRATEGIC OBJECTIVES:** IW Strategic Objective (b) catalytic role in addressing transboundary water concerns; IW Strategic Programme I: Restoring and sustaining coastal and marine fish stocks and associated biological diversity

**GEF OPERATIONAL PROGRAM:** 10

**COUNCIL APPROVAL DATE:** July 2007

**CEO ENDORSEMENT AMOUNT\*:** USD 5,688,000

**CONTRACT MANAGER:** MARINE ENVIRONMENT DIVISION, IMO

<b>FINANCING PLAN (\$)</b>		
	PPG	Project
<b>GEF Total</b>	699,840	5,688,000
<b>Co-financing</b>		
GEF IA/ExA		4,318,800
Government		9,849,799
Others		3,533,340
<b>Co-financing Total</b>		17,701,939
<b>Total</b>	699,840	23,389,939



# 1. Project Logical Framework

	Objective	Indicators	Sources of Verification
	<p>To assist vulnerable developing countries to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments in order to minimize the adverse impacts of aquatic invasive species transferred by ships</p>	<p>By the end of the project, all partnering countries can demonstrate significant improvement in legal, policy and institutional structures, with corresponding reduced risk of ballast water borne marine bio-invasions</p>	<ul style="list-style-type: none"> <li>• All lead partnering countries (LPCs) have assigned a Lead Agency, formed a National Task Force and developed National Ballast Water Management Strategy (NBWMS).</li> <li>• Each LPC has revised its legal instruments, instituted a risk-based compliance monitoring and enforcement (CME) system, and established a sustainable financing structure for their national ballast water management program.</li> <li>• All lead participating countries are proceeding towards ratification of the IMO ballast water management convention, with at least 10 LPCS ratified and implementing the Convention.</li> <li>• At least 3 neighboring partnering countries of each LPCs developed draft NBWMS.</li> <li>• The Regional Seas &amp; LME conventions in each partner region include approved provisions supporting improved BWM, the BWM convention and BWM regional strategies.</li> </ul>

	Outcomes <sup>1</sup> :	Indicators	Sources of Verification
1	Learning, evaluation and adaptive management increased (P)	The project team at global, regional and local levels is effectively coordinating the project, with objectives met, and outputs completed in time and within budget	Satisfactory / Highly satisfactory ratings on key activities and outcomes during terminal evaluation
2	BWM Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level (P)	At project conclusion, each LPC is implementing an effective program of ballast water management in line with the IMO Convention and any Regional Strategies. During the project, each LPC is sharing the lessons learned with other countries in the region	<ul style="list-style-type: none"> <li>• By the end of the project, each LPC will have a National Task Force and approved NBWMS in place</li> <li>• All LPCs will have revised legal structures, improved CME systems and a cadre of trained experts</li> <li>• Regional Task Forces and Regional Action Plans in place in each cooperating region by the end of the Project</li> <li>• Regional Coordinating Organizations are facilitating the participation of other partnering countries in capacity building activities hosted by LPCs</li> </ul>

Each of the key outcomes of the Project includes an indication of the type of indicator used. Most of the indicators for GloBallast Partnerships are Process (P) indicators. This is reasonable given the nature of the environmental problem and its mitigation. GloBallast Partnerships is designed to reduce the threat of invasives through ships' ballasting operations, however it is very difficult to detect specific invasive outbreaks as they are just starting, and virtually impossible to eradicate once the new species has established a foothold. The pathways and proliferation of marine invasives through international shipping make it difficult to set specific stress reduction indicators. This is a risk-reduction effort, which by nature is process driven. Nevertheless, several Stress Reduction (SR) indicators have been identified under Outcome 4– tied to specific demonstration projects for ballast sediment retention and new treatment technologies

During the inception phase, each of the lead countries will develop their implementation plans, within which indicators will also be included, with emphasis on stress reduction where feasible. So for instance, once ballast management requirements are in place, baselines can be established for the number of vessels being screened for compliance with ballast management and reporting system requirements. In addition, once the Ballast Water Convention enters into force, baselines can be established for the number of ships that have installed ballast treatment technologies and are implementing approved ballast management plans.

3	<p>Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improve understanding of ballast water impacts on marine ecology, and enhance maritime sector communications. (P)</p>	<p>Sufficient information is available by the end of the project for LPCs to implement risk-based ballast water management systems. All LMEs and regional Seas programs globally have raised ballast water management as an important coastal zone concern, with their members taking steps to address the issue. Momentum on GBM is sustained in the GB pilot regions.</p>	<ul style="list-style-type: none"> <li>• GMEIS system is operational, web sites are in place in each of the 13 LPCs. Newsletters are published. The GMEIS web portal includes information showing ballast water protocols and strategies in each LME and Regional Sea globally.</li> </ul>
4	<p>Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions (P and SR)</p>	<p>Cost effective technology solutions and testing standards are developed, tested and promoted through a successful partnership with industry</p>	<ul style="list-style-type: none"> <li>• A GloBallast Industry Alliance is launched, testing facility standards are developed, sediment facility options have been piloted, at least 2 R&amp;D symposiums held, and the BWM Innovation Fund gets launched.</li> </ul>

	Outcomes/Outputs/Activities	Indicator	Sources of Verification
<b>1</b>	Learning, evaluation and adaptive management increased	The project team at global, regional and local levels is effectively coordinating the project, with objectives met, and outputs completed in time and within budget	<ul style="list-style-type: none"> <li>Satisfactory / Highly satisfactory ratings on key activities and outcomes during terminal evaluation</li> </ul>
<b>1.1</b>	Project Management and coordination structures in place at global, regional and local level	A successful partnership in place providing effective management and direction for GBP at global, regional and country levels	<ul style="list-style-type: none"> <li>PCU, RCOs and LPCs up and running by end of 2<sup>nd</sup> Q, yr 1. GPTF, RTF and LPTF meetings held on schedule.</li> <li>Financial and project management carried out according to GEF &amp; UNDP guidelines and IMO procurement policies.</li> <li>Project completed on time and within budget. Low staff turnover, high country buy-in.</li> </ul>
<b>1.1.1</b>	Hire, equip and maintain project coordination unit staff and office at IMO HQ	Project coordination is properly staffed and effectively managing GBP	<ul style="list-style-type: none"> <li>By 2<sup>nd</sup> Q, yr 1, PCU is in place with all experts hired and working. TORs drafted, positions advertised, experts selected. Verified via APR, PIRs MTE and terminal evaluations</li> </ul>
<b>1.1.2</b>	Establish and support Global Project Task Force (GPTF)	GPTF is launched and provides guidance and direction for GBP Executive management meetings are held to provide annual project oversight	<ul style="list-style-type: none"> <li>3 full GPTF meetings</li> <li>2 executive management meetings at IMO (GEF, UNDP, IMO)</li> </ul>

1.1.3	Designate and coordinate with regional coordinating organizations	RCOs organize for regional activities and serve as financial conduit for PCU to LPCs	<ul style="list-style-type: none"> <li>• RCOs in place and MOAs completed by end of 2<sup>nd</sup> Q, yr 1</li> </ul>
1.1.4	Establish and maintain regional task forces	RCOs effectively coordinate regional activities and ensure sustainability after project completion. All partnering countries in the region nominate RTF members, BWM discussed in regional forums	<ul style="list-style-type: none"> <li>• 3, meetings (2 days) in each of the five regions: during inception, prior to mid term GPTF and prior to final GPTF (2nd and 3rd meeting coincides with activities under 2.4.2)</li> </ul>
1.1.5	Establish project coordination in each LPC, including identifying lead organization (LO), national focal point and national project coordinator	Effective structure of country coordination is established in each of the 13 lead participating countries (LPCs)	<ul style="list-style-type: none"> <li>• NFPs and NPCs assigned by LPCs</li> </ul>
1.1.6	Establish and maintain National Task Forces	Guidance and recommendations for national program. Generating support for legal policy and institutional reform (LPIR) and adoption of the ballast water management convention (BWMC)	<ul style="list-style-type: none"> <li>• NTF meetings every other year, prior to GPTF meetings</li> </ul>
1.1.7	Represent and promote GloBallast Partnerships in international and regional conventions and forums	GBP awareness and stature is raised in international and regional forums through participation of PCU, RCO and national focal points from LPCs	<ul style="list-style-type: none"> <li>• GBP presence at 3 forums per year: IW conference, CBD COP 9&amp;10, Regional Seas</li> </ul>

1.2	Project monitoring, evaluation and reporting systems established and implemented	Monitoring and evaluation support provides timely assistance to keep project on track and recommend strategies to ease bottlenecks	<ul style="list-style-type: none"> <li>• MTE and TE carried out on time and within budget.</li> </ul>
1.2.1	Conduct mid term evaluation and initiate mid course corrections	Providing external recommendations on mid course corrections	<ul style="list-style-type: none"> <li>• Mid term Evaluation held prior to yr 3 GPTF meeting</li> </ul>
1.2.2	Conduct terminal evaluation	At the end of GBP, the project successes, shortcomings, lessons learned and next step are identified	<ul style="list-style-type: none"> <li>• Final evaluation and audit held prior to final GPTF meeting</li> </ul>
1.2.3	Develop and submit APR/PIRs and other required GEF/UNDP project monitoring reports	All reporting requirements for GEF, UNDP and IMO are observed and GPTF receives timely updates enabling proper management of the GBP	<ul style="list-style-type: none"> <li>• Annual Project Reports (APR) and Project Implementation Reviews (PIR) developed annually and submitted prior to GPTF meetings.</li> </ul>
2	BWM Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level	At project conclusion, each LPC is implementing an effective program of ballast water management in line with the IMO Convention and any Regional Strategies. During the project, each LPC is sharing the lessons learned with other countries in the region	<ul style="list-style-type: none"> <li>• By the end of the project, each LPC will have a National Task Force and approved NBWMS in place</li> <li>• All LPCs will have revised legal structures, improved CME systems and a cadre of trained experts.</li> <li>• Regional Task Forces and Regional Action Plans in place in each cooperating region by the end of the Project.</li> <li>• Regional Coordinating Organizations are facilitating the participation of other partnering countries in capacity building activities hosted by LPCs</li> </ul>
2.1	Institutional capacities are enhanced through a comprehensive training	By end of yr 2, key decision makers, industry representatives and maritime training institutes in every priority region and LPC have been provided	<ul style="list-style-type: none"> <li>• By end of yr 2, more than 250 stakeholders from pertinent</li> </ul>

	program on Ballast water management	introductory training on all aspects of BWM	<p>ministries, industries and training institutes have participated in BWM modular course.</p> <ul style="list-style-type: none"> <li>• By end of yr 3, selected maritime institutes in each region / LPC are training maritime experts in all aspects of ship-based BWM.</li> <li>• By end of yr 2, the BWM modular package is also made available in an e-learning format.</li> </ul>
2.1.1	Update GloBallast Introductory Modular Course for Ballast Water Management	Updated Modular course ready for regional training by 2 <sup>nd</sup> Q year 1.	<ul style="list-style-type: none"> <li>• Completed course manual 2<sup>nd</sup> Q yr 1, completed e-learning package 1<sup>st</sup> Q yr 2. GMEIS portal posting. APR/PIR</li> </ul>
		E-learning module available for modular course instruction in yr 2	
2.1.2	Hold training courses on BWM using updated Modular Training package	By end of yr 2, more than 250 stakeholders from pertinent ministries in every GBP2 region trained on BW basics	<ul style="list-style-type: none"> <li>• Total 9 training programs conducted in 2008-2009</li> </ul>
2.2	Risk-based, rapid status assessment reports are developed and used to guide country activities	Early in project yr 2 all LPCs have identified the key issues of BWM and marine invasive species and developed their LPC action plans under GBP. LPCs have coordinated their planned activities with the other participating countries in the region	<ul style="list-style-type: none"> <li>• 13 Rapid Assessment Reports completed by the end of 1st Q, yr 2, covering all key aspects for BWM and AIS. Verified by report submission.</li> </ul>

2.2.1	Develop template and guidelines for rapid assessments	Guidance is provided to the LPCs during the 3 <sup>rd</sup> Q of yr 1, enabling them to assess their situation with respect to invasive species and ballast water management (BWM)	<ul style="list-style-type: none"> <li>Guidelines and templates are developed by PCU and submitted to LPCs</li> </ul>
2.2.2	Develop rapid status assessments	All 13 LPCs have identified their key national issues for BW management and have identified their top priorities and plans for reforms during GBP	<ul style="list-style-type: none"> <li>13 Rapid Assessment Reports completed by the end of 1<sup>st</sup> Q, yr 2</li> </ul>
2.3	Economic aspects of marine bio-invasions factored into national strategic planning	The economic impacts of marine invasive species is better understood, and economic impact as well as management costs, are factored into strategic planning for ballast water management	<ul style="list-style-type: none"> <li>LPC specific and aggregated economic impact reports completed by 3<sup>rd</sup> Q, yr 4</li> </ul>
2.3.1	Develop guidance for economic assessments	LPC economists are given methodology tools enabling economic impact assessments to be carried out	<ul style="list-style-type: none"> <li>Marine invasives economic assessment guidance completed 2nd Q Yr 2</li> </ul>
2.3.2	Develop national economic impact and response cost assessments, taking into account the need for financial	The economic consequences of marine bio-invasions in each of the LPCs is better understood	<ul style="list-style-type: none"> <li>Each LPC (13) completes an economic assessment by 3rd Q, Yr</li> </ul>

	sustainability		3.
<b>2.3.3</b>	Aggregate economic information	Global economic impacts and response costs of marine invasive species better understood	<ul style="list-style-type: none"> <li>Aggregate Economic Assessment Report completed, 2nd Q, Yr 4.</li> </ul>
<b>2.4</b>	National Ballast Water Management Strategy (NBWMS) developed and implemented	All lead countries and priority regions have approved and are implementing strategic plans to reduce the risk of bio-invasions from ship ballast water	<ul style="list-style-type: none"> <li>All 13 LPCs develop approved BWMSs by the end of yr 4. All 6 priority regions (incl. SPREP) have a regional action plan (RAP) for BWM in place by end of yr. 4</li> </ul>
<b>2.4.1</b>	Develop guidelines for national BWMS development, including options for financial sustainability	Guidance is developed enabling the participating countries to launch national planning efforts	<ul style="list-style-type: none"> <li>PCU develops and disseminates guidance to RCOs and LPCs during 1<sup>st</sup> Q, yr 2</li> </ul>
<b>2.4.2</b>	Hold (a) regional harmonization (including regional LPI assessment) and (b) Sustainability workshops	A regional ballast water management action plan approved in each of the 6 priority regions	<ul style="list-style-type: none"> <li>5 regions, back to back with RTF meetings- activity 1.1.4 (LPCs hosting the meetings).</li> <li>Draft Regional action plan developed and submitted to regional convention meeting by 2<sup>nd</sup> Q, Yr 5.</li> <li>Builds from GBP national and regional planning efforts, amended to account for BWMC adoption.</li> </ul>

2.4.3	Hold national stakeholder workshops	LPCs meet with key stakeholders to take comment on draft BWM Strategies, and ensure buy in once plans are adopted	<ul style="list-style-type: none"> <li>At least 3 stakeholder meeting in each of the 13 LPCs, before the end of yr.3</li> </ul>
2.4.4	Develop national BWMSs	All 13 LPCs have in place a national strategy addressing ballast water management	<ul style="list-style-type: none"> <li>All 13 LPCs develop approved BWMSs by the end of yr 4, PCU provides technical assistance</li> </ul>
2.5	National legal reforms instituted	By the end of yr 4, all LPCs have instituted legal and regulatory changes that improve BW management and adopt or harmonize with the IMO Ballast Water Management Convention	<ul style="list-style-type: none"> <li>All LPCs adopt new legislation / regulations to strengthen ballast water management by 1<sup>st</sup> Q yr 4</li> </ul>
2.5.1	Develop legal road map, model legislation and training manuals	By 1 <sup>st</sup> Q yr 2, LPCs have tools available for revising BW legal structures	<ul style="list-style-type: none"> <li>PCU thru consultancy to develop generic legal reform road map, model legislation and template. Road map, model and manuals developed by 4<sup>th</sup> Q, yr 1</li> </ul>
2.5.2	Train LPC lawyers on developing legal frameworks for BWM	Legal experts in priority regions trained on legal aspects of BWM, by 2 <sup>nd</sup> Q yr 3	<ul style="list-style-type: none"> <li>PCU to support LPCs with LPIR technical consulting assistance</li> </ul>

2.5.3	Develop national legislation	All LPCs adopt new legislation / regulations strengthening BWM by 1 <sup>st</sup> Q yr 4	<ul style="list-style-type: none"> <li>National legislation revised, country reports submitted</li> </ul>
2.6	Specialist capacities improved for BWM	Expertise on key facets of ballast water techniques and coastal biodiversity monitoring is enhanced across the participating countries and regions.	<ul style="list-style-type: none"> <li>By the beginning of project yr. 2, there exists global, regional and LPC rosters of taxonomists available to assist on coastal and port species surveys.</li> <li>By the end of year 3, 6 port species survey workshops have been held.</li> <li>By end of yr 4, selected maritime institutes in each region / LPC are training maritime experts in key aspects of ship-based BWM.</li> </ul>
2.6.1	Develop model BWM (specialist) course	By end of yr 4, specialist course is prepared for training institutes based on IMO Model Courses	<ul style="list-style-type: none"> <li>IMO completes specialist course development, incorporating IMO STCW</li> </ul>
2.6.2	Capacitate Training Institutes for delivery of Introductory course and specialized courses	By end of yr 5, sailors can be trained to be a BWM expert in any of the GBP priority regions	<ul style="list-style-type: none"> <li>Training institutes identified 4<sup>th</sup> Q yr 4; At least 1 institute in each of LPC offering BWM specialist course during yr 5</li> </ul>
2.7	Compliance monitoring and enforcement indicators are developed and national systems enhanced, with an emphasis on risk-based priority setting, and the use of voluntary approaches	By the end of yr 4, each LPC has developed / enhanced its CME system. By end of year 4, 35% of merchant shipping fleet calling on LPC ports indicates BWM plans being implemented	<ul style="list-style-type: none"> <li>By 2<sup>nd</sup> Q, yr 2, all Shipping companies calling on LPC ports have received model BWM plans. Follow on questionnaire in mid yr 3 identifies shipping companies implementing the plans.</li> </ul>

2.7.1	Develop and disseminate model CME framework, including indicators	By start of yr. 3, model CME framework is available for LPCs to develop their revised CME systems	<ul style="list-style-type: none"> <li>Model CME framework and indicators developed, 3rd Q, Yr 2</li> </ul>
2.7.2	Hold training workshops on CME	By end of year 3, at least 100 Port State Control Officers and CME managers in partner countries are trained on essential aspects of BW CME	<ul style="list-style-type: none"> <li>Country CME managers trained, 4<sup>th</sup> Q yr 3; Regional training workshop reports, APR/PIR</li> </ul>
2.7.3	Countries implement modified CME systems	By the end of yr 4, LPCs are effectively monitoring and enforcing BWM requirements based on new BWM laws and procedures	<ul style="list-style-type: none"> <li>By 2<sup>nd</sup> Q yr 4, all 13 LPCs have regulations approved, procedures revised, budgets augmented for revised CME programs</li> </ul>
2.7.4	Conduct follow up reviews of modified CME systems and develop lessons learned study	All 13 LPCs have undertaken a review of CME improvements by end of yr 5	<ul style="list-style-type: none"> <li>PCU / RCOs to hire consultants to report on progress with CME reforms 1 yr after implementation by 5 regions.</li> </ul>
3	Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improve understanding of	Sufficient information is available by the end of the project for LPCs to implement risk-based ballast water management systems. All LMEs and regional Seas programs globally have raised ballast water management as an important coastal zone concern, with their members taking steps to address the issue. Momentum on GBM is sustained in the GB pilot regions.	<ul style="list-style-type: none"> <li>GMEIS system is operational, web sites are in place in each of the 13 LPCs. Newsletters are published. The GMEIS web portal includes information showing ballast water</li> </ul>

	ballast water impacts on marine ecology, and enhance maritime sector communications.		protocols and strategies in each LME and Regional Sea globally.
<b>3.1</b>	Baseline information established on biodiversity and alien species presence in major ports (SR)	By end of yr 3, LPCs have detailed knowledge of marine invasive species risks, and presence	<ul style="list-style-type: none"> <li>• Baseline data from at least 1 port in each of the 13 LPCs developed, plus expectation of other participating country surveys, enabling ID of existing invasive species prevalence</li> </ul>
<b>3.1.1</b>	Update Port baseline survey protocols	Lessons learned from previous baseline surveys are applied as revised protocols	<ul style="list-style-type: none"> <li>• PCU completes revised protocols; 1<sup>st</sup> Q yr 2</li> </ul>
<b>3.1.2</b>	Hold training workshops on port baseline survey design and implementation	Regional experts are trained during yr 3 to carry out baseline port invasive species surveys	<ul style="list-style-type: none"> <li>• 5 workshops (hosted by one LPC each from CAR, CPPS and WACAF and SPREP), each with 20 participants (including other participating countries in the region)</li> </ul>

+ MED training to be funded by SAFEMED Project implemented by RCO for Mediterranean Region.

3.1.3	Develop country, regional and global rosters of taxonomy experts	Taxonomists are identified in every LPC	<ul style="list-style-type: none"> <li>Roster compiled 4<sup>th</sup> Q Yr 1</li> </ul>
3.1.4	Train local taxonomists in generic tools and methodologies for marine invasives detection and analysis	Local expertise is raised for marine taxonomy work in each LPC	<ul style="list-style-type: none"> <li>13 sessions carried out by 3<sup>rd</sup> Q year 2. 75 persons trained</li> </ul>
3.1.5	LPCs carry out baseline surveys and develop national marine invasives reports	LPCs provide assessments and data on biodiversity in major ports by end of yr 3	<ul style="list-style-type: none"> <li>13 LPC reports completed by 2<sup>nd</sup> Q yr 3.</li> </ul>

3.1.6	Compile country baseline data and input into GMEIS (see activity 3.2)	Global marine electronic information system is enhanced through detailed LPC information on port area biodiversity	<ul style="list-style-type: none"> <li>Data input received, entry completed Q4, Yr 5</li> </ul>
3.2	Global Marine Electronic Information System (GMEIS) for Ballast Water Management Established	Architecture is agreed to and data entered for launch and updating of Global Marine Electronic Information System during yrs 3 - 5.	<ul style="list-style-type: none"> <li>GMEIS launched during yr 3. By project year 5, the backbone for a GloBallast marine electronic information system for BWM has been designed.</li> <li>Web portal as the front-end of this system is operating, and a country profile database is in place</li> </ul>
3.2.1	Identify GMEIS Design/architecture Options	Design options identified and explained	<ul style="list-style-type: none"> <li>Design options report, completed by 1<sup>st</sup> Q, Yr 2</li> </ul>
3.2.2	Hold GMEIS expert workshop for design / architecture selection	By mid yr 2, top experts have planned out the GMEIS architecture, with ballast water as 1 <sup>st</sup> application	<ul style="list-style-type: none"> <li>Expert Workshop held (Marine Electronic Highway experts, other database developers) to finalize the global architecture</li> </ul>
3.2.3	Develop country profile database format and disseminate to participating countries	By mid yr 2, participating countries receive tools and instruction for developing Country Profile / BW databases	<ul style="list-style-type: none"> <li>Guidance developed and sent to LPCs by 1<sup>st</sup> Q Yr 2</li> </ul>
3.2.4	Provide training and technical	During yrs 3&4, training enables experts to manage database development in	<ul style="list-style-type: none"> <li>IT consultancy team provides</li> </ul>

	assistance on knowledge management and database development for LPCs	participating countries	internet and (limited) on-site assistance (5, per LPC) or sub-regional training
3.2.5	Develop country profile databases	Each LPC is able to develop a database of information on marine invasive species and ballast water management	<ul style="list-style-type: none"> <li>All LPC databases developed by Yr 4, using local technical assistance</li> </ul>
3.2.6	Develop and maintain GloBallast GMEIS web portal	GloBallast web site is updated for use in GBP during yr 1 and then gets major transformation to GMEIS portal during yr 3	<ul style="list-style-type: none"> <li>Website updated and in operation during year 1, augmented as GMEIS by year 3</li> </ul>
3.2.7	Launch and maintain national BWM websites	Each LPC has a web site up and running early in Yr 2, as main access for public to project information	<ul style="list-style-type: none"> <li>All lead participating country websites developed and operational by 1st Q yr 2,</li> </ul>
3.3	Stakeholder and public awareness of ballast water management and marine bio-invasion issues is raised and sustained	Interested stakeholders and the general public in all GBP regions and participating countries stay informed of the issues and project status	<ul style="list-style-type: none"> <li>Timely publication of newsletters, printing and dissemination of brochures, and widespread dissemination of the BBC documentary</li> </ul>

<p><b>3.3.1</b></p>	<p>Stakeholder outreach to GB pilot regions, LMEs and Regional Seas</p>	<p>Momentum on ballast water management is maintained in the GB pilot regions and extended to new regions, networked through the LME and regional Seas structures</p>	<ul style="list-style-type: none"> <li>• Prior to the conclusion of GBP, all LMEs and regional seas globally have addressed the issue of ballast water borne invasive species, through strategies, protocols, white papers, etc.</li> </ul>
<p><b>3.3.2</b></p>	<p>Publish and post quarterly newsletters</p>	<p>Interested stakeholders are provided with regular project updates by email</p>	<ul style="list-style-type: none"> <li>• 2 newsletters per yr, 10 total</li> </ul>
<p><b>3.3.3</b></p>	<p>Develop, update and translate GloBallast brochures and publications</p>	<p>Public awareness is raised through selected development, translation and dissemination of pamphlets, posters, and the BBC documentary</p>	<ul style="list-style-type: none"> <li>• 2 new brochures, 2 publications updated, 4 translated, 600 copies of BBC documentary distributed.</li> </ul>
<p><b>4</b></p>	<p>Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions</p>	<p>Cost effective technology solutions and testing standards are developed, tested and promoted through a successful partnership with industry</p>	<ul style="list-style-type: none"> <li>• A GloBallast Industry Alliance is launched, testing facility standards are developed, sediment facility options have been piloted, at least 2 R&amp;D symposiums held, and the</li> </ul>

			BWM Innovation Fund gets launched
4.1	Strategic partnership forged with shipping industry	Shipping industry enters into close partnership with other key stakeholders under GBP, through the GIA, helping to overcome major barriers in developing and implementing technology solutions	<ul style="list-style-type: none"> <li>At least 5 major maritime industry players agree to join the GIA. The GITF and industry dialogue meetings held concurrent to GPTF meetings throughout 5 yr project.</li> </ul>
4.1.1	Set up a GloBallast Industry Task Force to meet annually and provide input to GloBallast Partnerships	Shipping Industry organized throughout project, providing timely advise and support to GBP	<ul style="list-style-type: none"> <li>3 GITF meetings held concurrent to industry dialogues and GPTF meetings. Minutes produced.</li> </ul>
4.1.2	Hold biannual industry dialogues between GITF and the GloBallast Steering Committee	Throughout the project, structured discussions are held for the GPTF to receive industry advice on GBP	<ul style="list-style-type: none"> <li>Industry dialogues held concurrent to the (3) GPTF meetings.</li> </ul>
4.2	Globally agreed standards developed for ballast water technology test facilities	Port States can mutually accept technologies approved based on internationally agreed testing standards and test facilities	<ul style="list-style-type: none"> <li>By end of yr 3, test facility standards and procedures for endorsement of test facilities are developed into IMO BWMC guidelines</li> </ul>
4.2.1	Develop framework for ballast water treatment equipment test facility standards and inter-calibration procedures	Frameworks are developed that identify the key issues and options for expert agreement on test facility standards and procedures	<ul style="list-style-type: none"> <li>PCU to develop general framework for global standardization of test facilities. Framework developed by 2<sup>nd</sup> Q, Yr 2</li> </ul>
4.2.2	Hold experts workshop to propose test facility standards and procedures	Test facility standards and procedures are agreed to and proposed to IMO for adoption into BWMC guidelines	<ul style="list-style-type: none"> <li>GIA to sponsor 1 workshop. Workshop held by 1<sup>st</sup> Q y r3</li> </ul>

4.2.3	Develop and disseminate standards and procedures manual for ballast water treatment equipment test facility standards	All IMO members receive notice of recommended testing facility standards	<ul style="list-style-type: none"> <li>• By end of yr 3, test facility standards and procedures are developed into IMO BWMC guidelines</li> </ul>
4.3	Solutions devised and best practices publicized on port-based reception facilities for ballast water tank sediments (SR)	Based on pilot site results, all port authorities within priority regions receive recommendations on construction of sediment facilities	<ul style="list-style-type: none"> <li>• Pilot site constructed in Yr 4, with results evaluated and disseminated in year 5.</li> </ul>
4.3.1	Identify dry dock site and conduct feasibility study for pilot sediment facility	PCU to organize feasibility study; completed by 1 <sup>st</sup> Q, yr	<ul style="list-style-type: none"> <li>• Feasibility study developed. Report issued to PCU 1<sup>st</sup> Q, yr 4</li> </ul>
4.3.2	Construct and manage pilot sediment facility (SR)	Pilot site constructed by 3rd Q yr 4, and operational	<ul style="list-style-type: none"> <li>• Construction and management of 1 pilot facility. Start up report available by 1<sup>st</sup> Q, yr 5,</li> </ul>
4.3.3	Assess pilot facility operation and disseminate lessons learned	Operational recommendations are made available to participating countries during yr 5 on construction of sediment facilities	<ul style="list-style-type: none"> <li>• PCU to hire consultancy for evaluation and reporting. Assessment report completed 3<sup>rd</sup> Q yr 5</li> </ul>
4.4	State of the art in Ballast water treatment technology solutions identified and publicized (P/SR)	Innovative solutions for ships to meet the BWMC requirements are developed and publicized.	<ul style="list-style-type: none"> <li>• innovative technology projects provided with seed money through GIA (alternatively, 3 to 4 best currently available technologies tested onboard a ship for technology transfer/training purpose).</li> <li>• 3 technology conferences held, with participation by LPC scientists and other representatives</li> </ul>

<p><b>4.4.1</b></p>	<p>Establish Ballast Water Innovation Fund</p>	<p>Innovative research on BW technologies is supported</p>	<ul style="list-style-type: none"> <li>• PCU to send request for proposals (RFP) for Technology Testing, proposals reviewed by Expert panel and award decisions by GIA and GBP</li> <li>• Independent technology solutions development by R&amp;D Sector within the GIA framework.</li> <li>• Fund developed by 4<sup>th</sup> Q yr 1, 1<sup>st</sup> awards by 3<sup>rd</sup> Q yr 2 2<sup>nd</sup> awards by 1<sup>st</sup> Q yr. 5. 20-25 projects</li> </ul>
<p><b>4.4.2</b></p>	<p>Hold biennial global R&amp;D forums and biennial technology conferences</p>	<p>State of the art in BW research and treatment techniques are showcased every other year</p>	<ul style="list-style-type: none"> <li>• R&amp;D Forums and Technology Conferences</li> </ul>

## 2. Timeline

	Outcomes/Outputs/Activities	Year 1 (2008)				Year 2 (2009)				Year 3 (2010)				Year 4 (2011)				Year 5 (2012)			
		Q1	Q2	Q3	Q4																
<b>1</b>	<b>Learning, evaluation and adaptive management increased</b>																				
<b>1.1</b>	<b>Project Management and coordination structures in place at global, regional and local level</b>																				
<b>1.1.1</b>	<b>Hire, equip and maintain project coordination unit staff and office at IMO HQ</b>																				
<b>1.1.2</b>	<b>Establish and support Global Project Task Force (GPTF)</b>																				
<b>1.1.3</b>	<b>Designate and coordinate with regional coordinating organizations</b>																				
<b>1.1.4</b>	<b>Establish and maintain regional task forces</b>																				
<b>1.1.5</b>	<b>Establish project coordination in each LPC, including identifying lead organization (LO), national focal point and national project coordinator</b>																				
<b>1.1.6</b>	<b>Establish and maintain National Task Forces</b>																				
<b>1.1.7</b>	<b>Represent and promote GloBallast Partnerships in international and regional conventions and forums</b>																				

	Outcomes/Outputs/Activities	Year 1 (2008)				Year 2 (2009)				Year 3 (2010)				Year 4 (2011)				Year 5 (2012)			
		Q1	Q2	Q3	Q4																
<b>2</b>	<b>BWM Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level</b>																				
<b>2.1</b>	<b>Institutional capacities are enhanced through a comprehensive training program on Ballast water management</b>																				
<b>2.1.1</b>	<b>Update GloBallast Introductory Modular Course for Ballast Water Management</b>																				
<b>2.1.2</b>	<b>Hold training courses on BWM using updated Modular Training package</b>																				

<b>2.2</b>	<b>Risk-based, rapid status assessment reports are developed and used to guide country activities</b>																					
2.2.1	Develop template and guidelines for rapid assessments																					
2.2.2	Develop rapid status assessments																					
<b>2.3</b>	<b>Economic aspects of marine bio-invasions factored into national strategic planning</b>																					
2.3.1	Develop guidance for economic assessments																					
2.3.2	Develop national economic impact and response cost assessments, taking into account the need for financial sustainability																					
2.3.3	Aggregate economic information																					

	Outcomes/Outputs/Activities	Year 1 (2008)				Year 2 (2009)				Year 3 (2010)				Year 4 (2011)				Year 5 (2012)				
		Q1	Q2	Q3	Q4																	
<b>2.4</b>	<b>National Ballast Water Management Strategy (NBWMS) developed and implemented</b>																					
2.4.1	Develop guidelines for national BWMS development, including options for financial sustainability																					
2.4.2	Hold (a) regional harmonisation (including regional LPI assessment) and (b) Sustainability workshops																					
2.4.3	Hold national stakeholder workshops																					
2.4.4	National Ballast Water management Strategy (BWMS) developed																					

<b>2.5</b>	<b>National legal reforms instituted</b>																			
<b>2.5.1</b>	<b>Develop legal road map, model legislation and training manuals</b>																			
<b>2.5.2</b>	<b>Train LPC lawyers on developing legal frameworks for BWM</b>																			
<b>2.5.3</b>	<b>Develop national legislation</b>																			
<b>2.6</b>	<b>Specialist capacities improved for BWM</b>																			
<b>2.6.1</b>	<b>Develop model BWM (specialist) course</b>																			
<b>2.6.2</b>	<b>Capacitate Training Institutes for delivery of Introductory course and specialized courses</b>																			

	Outcomes/Outputs/Activities	Year 1 (2008)				Year 2 (2009)				Year 3 (2010)				Year 4 (2011)				Year 5 (2012)			
		Q1	Q2	Q3	Q4																
<b>2.7</b>	<b>Compliance monitoring and enforcement indicators are developed and national systems enhanced, with an emphasis on risk-based priority setting, and the use of voluntary approaches</b>																				
<b>2.7.1</b>	<b>Develop and disseminate model CME framework, including indicators</b>																				
<b>2.7.2</b>	<b>Hold training workshops on CME</b>																				
<b>2.7.3</b>	<b>Countries implement modified CME systems</b>																				



3.2.2	Hold GMEIS expert workshop for design / architecture selection																					
3.2.3	Develop country profile database format and disseminate to participating countries																					
3.2.4	Provide training and technical assistance on knowledge management and database development for LPCs																					
3.2.5	Develop country profile databases																					
3.2.6	Develop and maintain GloBallast GMEIS web portal																					
3.2.7	Launch and maintain national BWM websites																					
3.3	Stakeholder and public awareness of ballast water management and marine bio-invasion issues is raised and sustained																					
3.3.1	Stakeholder outreach to GB pilot regions, LMEs and Regional Seas																					
3.3.2	Publish and post quarterly newsletters																					
3.3.3	Develop, update and translate GloBallast brochures and publications																					

	Outcomes/Outputs/Activities	Year 1 (2008)				Year 2 (2009)				Year 3 (2010)				Year 4 (2011)				Year 5 (2012)				
		Q1	Q2	Q3	Q4																	
4	<b>Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions</b>																					
4.1	Strategic partnership forged with shipping industry																					
4.1.1	Set up a Global Industry Task Force to meet annually and provide input to GloBallast Partnerships																					
4.1.2	Hold biannual industry dialogues between GITF and the GloBallast Steering Committee																					
4.2	Globally agreed standards developed for ballast water technology test facilities																					
4.2.1	Develop framework for ballast water treatment equipment test facility standards and inter-calibration procedures																					
4.2.2	Hold experts workshop to propose test facility standards and procedures																					

4.2.3	Develop and disseminate standards and procedures manual for ballast water treatment equipment test facility standards																			
4.3	Solutions devised and best practices publicized on port-based reception facilities for ballast water tank sediments																			
4.3.1	Identify dry dock site and conduct feasibility study for pilot sediment facility																			
4.3.2	Construct and manage pilot sediment facility																			
4.3.3	Assess pilot facility operation and disseminate lessons learned																			
4.4	State of the art in Ballast water treatment technology solutions identified and publicized																			
4.4.1	Establish Ballast Water Innovation Fund and support innovative projects																			
4.4.2	Hold biennial global R&D forums and biennial technology conferences																			

### 3. Overall Project Budget (Budget Revision A – Based on Project Implementation Plan March 2008)

OUTCOME No.	OUTCOME	OUTPUT NO	OUTPUTS	Activity No	Sub-Activity No.	ACTIVITY Description	Total (Global)
<b>GloBallast Partnerships</b>							<b>5,688,000</b>
<b>Outcome 1.</b>	<b>Learning, evaluation and adaptive management increased</b>						810,000
	<b>Output 1.0</b>	<b>PCU Technical Advisory Services</b>					530,000
			<b>Activity 1.0.1</b>		PCU-Technical Advisory Services	530,000	
	<b>Output 1.1</b>	<b>Project Management and coordination structures in place at global, regional and local level</b>					280,000
			<b>Activity 1.1.1</b>		PCU/IMO Support		
			<b>Activity 1.1.2</b>		Global Project Task Force (GPTF) Meeting (London)	30,000	
			<b>Activity 1.1.3</b>		Regional Coordinating Organizations Identified + Adhoc Admin Assist	50,000	
			<b>Activity 1.1.4</b>		Regional Task Force (RTF) Meetings	150,000	
			<b>Activity 1.1.5</b>		LPC Coordination Activities		
			<b>Activity 1.1.6</b>		National Task Force Meeting		
			<b>Activity 1.1.7</b>		International and Regional Conventions and Forums	50,000	
<b>Outcome 2.</b>	<b>BWM Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level</b>						1,955,000
	<b>Output 2.0</b>	<b>PCU Technical Advisory Services</b>					530,000
			<b>Activity 2.0.1</b>		PCU-Technical Advisory Services	530,000	
	<b>Output 2.1</b>	<b>Institutional capacities are enhanced through a comprehensive training program on Ballast water management</b>					325,000
			<b>Activity 2.1.1</b>		Update GloBallast Introductory Modular Course for Ballast Water Management	25,000	
			<b>Activity 2.1.2</b>		Hold training courses on BWM using updated Modular Training Package	300,000	
	<b>Output 2.2</b>	<b>Risk-based, rapid status assessment reports are developed and used to guide country activities</b>					80,000

			<b>Activity 2.2.1</b>		Develop template and guidelines for rapid assessments	10,000
			<b>Activity 2.2.2</b>		Develop rapid status assessments	70,000
	<b>Output 2.3</b>	<b>Economic aspects of marine bio-invasions factored into national strategic planning</b>				95,000
			<b>Activity 2.3.1</b>		Develop guidance for economic impact assessments	20,000
			<b>Activity 2.3.2</b>		Develop national economic impact assessments	70,000
			<b>Activity 2.3.3</b>		Aggregate economic information	5,000
	<b>Output 2.4</b>	<b>National Ballast Water Management Strategy (NBWMS) developed and implemented</b>				320,000
			<b>Activity 2.4.1</b>		Develop guidelines for national BWMS development, including options for financial sustainability	25,000
			<b>Activity 2.4.2</b>		Hold (a) regional harmonization and (b) Sustainability workshops (back to back with 2nd and 3rd RTF)	100,000
			<b>Activity 2.4.3</b>		Hold national stakeholder workshops	65,000
			<b>Activity 2.4.4</b>		Develop National BWMSs	130,000
	<b>Output 2.5</b>	<b>National legal reforms instituted</b>				295,000
			<b>Activity 2.5.1</b>		Develop legal road map, model legislation and training manuals	25,000
			<b>Activity 2.5.2</b>		Train LPC lawyers on developing legal frameworks for BWM	140,000
			<b>Activity 2.5.3</b>		Develop national legislation	130,000
	<b>Output 2.6</b>	<b>Specialist capacities improved for BWM</b>				50,000
			<b>Activity 2.6.1</b>		Develop model BWM (specialist) course	0
			<b>Activity 2.6.2</b>		Capacitate Training Institutes for delivery of introductory course	50,000
	<b>Output 2.7</b>	<b>Compliance monitoring and enforcement indicators are developed and national systems enhanced, with an emphasis on risk-based priority setting, and the use of voluntary approaches</b>				260,000

			<b>Activity 2.7.1</b>		Develop and disseminate model CME framework and Training Module	20,000
			<b>Activity 2.7.2</b>		Hold training workshops on CME	120,000
			<b>Activity 2.7.3</b>		Countries implement modified CME systems	100,000
			<b>Activity 2.7.4</b>		Conduct follow up reviews of modified CME systems and develop lessons learned study	20,000

<b>Outcome 3.</b>	<b>Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improve understanding of ballast water impacts on marine ecology, and enhance maritime sector communications.</b>					1,413,000
	<b>Output 3.0</b>	<b>PCU Technical Advisory Services</b>				540,000
			<b>Activity 3.0.1</b>		PCU-Technical Advisory Services	540,000
	<b>Output 3.1</b>	<b>Baseline information established on biodiversity and alien species presence in major ports</b>				320,000
			<b>Activity 3.1.1</b>		Update Port baseline survey protocols	5,000
			<b>Activity 3.1.2</b>		Hold training workshops on port baseline survey design and implementation	150,000
			<b>Activity 3.1.3</b>		Develop country rosters of taxonomy experts	0
			<b>Activity 3.1.4</b>		Train local taxonomists in generic tools and methodologies for marine invasives detection and analysis	50,000
			<b>Activity 3.1.5</b>		LPCs carry out baseline surveys and develop national marine invasives reports	100,000
			<b>Activity 3.1.6</b>		Compile country baseline data and input into GMEIS	15,000
	<b>Output 3.2</b>	<b>GloBallast Marine Electronic Information System (GMEIS) established</b>				305,000
			<b>Activity 3.2.1</b>		Identify GMEIS Design / Architecture Options	25,000
			<b>Activity 3.2.2</b>		Hold GMEIS expert workshop for design / architecture selection	30,000
			<b>Activity 3.2.3</b>		Develop country profile database format and disseminate to Partner countries	20,000
			<b>Activity</b>		Provide training and technical assistance on	50,000

			<b>3.2.4</b>		knowledge management and database development for LPCs	
			<b>Activity 3.2.5</b>		Develop country profile databases	65,000
			<b>Activity 3.2.6</b>		Develop and maintain GloBallast GMEIS web portal	50,000
			<b>Activity 3.2.7</b>		Launch and maintain national BWM websites	65,000
	<b>Output 3.3</b>	<b>Stakeholder and public awareness of ballast water management and marine bio-invasion issues is raised and sustained</b>				248,000
			<b>Activity 3.3.1</b>		Stakeholder outreach to GB pilot regions, LMEs and Regional Seas	148,000
			<b>Activity 3.3.2</b>		Publish and post quarterly newsletters	50,000
			<b>Activity 3.3.3</b>		Develop, update and translate GloBallast brochures and publications including the DVD	50,000

<b>Outcome 4.</b>	<b>Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions</b>					730,000
	<b>Output 3.0</b>	<b>PCU Technical Advisory Services</b>				540,000
			<b>Activity 3.0.1</b>		PCU-Technical Advisory Services	540,000
	<b>Output 4.1</b>	<b>Strategic partnership forged with shipping industry</b>				
			<b>Activity 4.1.1</b>		Set up a GloBallast Industry Task Force to meet annually and provide input to GloBallast Partnerships	
			<b>Activity 4.1.2</b>		Hold biannual industry dialogues between GIA and the GloBallast Steering Committee	
	<b>Output 4.2</b>	<b>Globally agreed standards developed for ballast water technology test facilities</b>				50,000
			<b>Activity 4.2.1</b>		Develop framework for ballast water treatment equipment test facility standards and inter-calibration procedures	10,000
			<b>Activity 4.2.2</b>		Hold expert's workshop to propose test facility standards and procedures	30,000
		<b>Activity 4.2.3</b>		Develop and disseminate standards and procedures manual for ballast water treatment equipment test	10,000	

				facility standards	
	<b>Output 4.3</b>	<b>Solutions devised and best practices publicised on port-based reception facilities for ballast water tank sediments</b>			0
			<b>Activity 4.3.1</b>	Identify dry dock site and conduct feasibility study for pilot sediment facility	
			<b>Activity 4.3.2</b>	Construct and manage pilot sediment facility	
			<b>Activity 4.3.3</b>	Assess pilot facility operation and disseminate lessons learned	
	<b>Output 4.4</b>	<b>State of the art in Ballast water treatment technology solutions identified and publicized</b>			140,000
			<b>Activity 4.4.1</b>	Establish Ballast Water Innovation Award	50,000
			<b>Activity 4.4.2</b>	Hold biennial global R&D forums and biennial technology conferences	90,000

<b>Outcome 5</b>	<b>Monitoring, learning, adaptive feedback and evaluation</b>				100,000
	<b>Output 5.1</b>	<b>Project monitoring, evaluation and reporting systems established and implemented</b>			100,000
			<b>Activity 5.1.1</b>	Mid-Term Evaluation	50,000
			<b>Activity 5.1.2</b>	Final Evaluation	50,000
			<b>Activity 5.1.3</b>	APR/IPR	
<b>Outcome 6</b>	<b>Project Management</b>				680,000
	<b>Output 6.1</b>	<b>Project Management Unit coordinates the various activities</b>			680,000
			<b>Activity 6.1.1</b>	Project Manager (CTA)	135,000
			<b>Activity 6.1.2</b>	Assistant Project manager (TA)	60,000
			<b>Activity 6.1.3</b>	Administrative Assistant (AA)	300,000
			<b>Activity 6.1.4</b>	Office supplies (PCU)	125,000
			<b>Activity 6.1.5</b>	Travel related to project management	60,000

Budget Notes:

- i. *GloBallast Partnerships* is a Global Project and there are no specific national projects and national budgets. As such, no GEF resources are budgeted for international travel for national projects (i.e. study tours), international workshops for national projects, non-training workshops and study tours and furniture, office rental and vehicles.
- ii. International travel to Conventions meeting, study tours and exchanges, or other unspecified travel for project shall correspond to specific outputs designed into the log-frame.
- iii. As much as possible, costs of office space (rental) and supplies, phone and computers and communications and audio visual equipment shall be provided and paid for by the host government and/or co-financing. However, exceptions may be made in the case of LDC or SIDs countries or where a project site is remote and no facilities are available. Some limited resources for equipment and communication have been requested for project coordination purpose, as given under Table 4b below, considering the need for global project team communications.
- iv. No GEF resources are budgeted for purchase of vehicles.
- v. Workshops related to training for staff and counterparts, if any, shall be directly related to the log-frame of the project.
- vi. The cost of venue and catering for workshops shall be borne by the host country or agency unless the workshops are held in developing countries, in which case, every effort will be made to ensure these costs could be provided as in-kind contribution from the respective countries.
- vii. No GEF funding is requested for office furniture, office rental or vehicles.
- viii. GEF costs associated with Local Consultants represents the costs of delivering national activities using national expertise in addition to the in-kind contribution by 13 lead partnering countries over a period of five years. Examples of these activities include the rapid assessments, local expert inputs in training activities, economic impact assessments, development of national legislations, port baseline surveys using local expertise, local IT experts for development of country profile databases etc. GEF costs associated with the technical experts (Chief Technical Advisor and Technical Advisor), who will deliver most of the technical outcomes, are incorporated in the International Consultants component. Examples of these technical activities include training, development of guidelines and templates, capacity building and coordination and facilitation of regional workshops, development of regional action plans, implementation of activities within the Private-Public Partnership components etc. Extensive use of in-house technical expertise would ensure the much needed cost-efficiency required by tight budgets. International Consultant Component also include any costs associated with hiring external international consultants for very specialized activities identified in the Project such as midterm and terminal evaluation of the Project. The costs exclude any travel costs associated with the delivery of technical assistance.

## 4. Activities and Shared Responsibilities / Resources

Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source Resources of	Comments
1.1.1	PCU Technical Advisory Services and Global Programme Coordination	Global	PCU	2008-2012	IMO, London	GEF + In-kind support from IMO	This will consist of two (subject matter) international experts and one Project Administrative Assistant.
1.1.2	Global Project Task Force (GPTF) Meeting (London) – back to back with MEPC	Global	PCU	2008-2010-2012	IMO, London (back to back with MEPC meeting)	GEF funding for logistical support and for resource personnel	Please see the project document for the composition of GPTF
1.1.3	Regional Coordinating Organizations Identified + Adhoc Admin Assist	Regional	RCO	2008-2012	RCO Host Country	Mostly in-kind from RCO, limited GEF support for administrative support	
1.1.4	3 Regional Task Force (RTF) Meetings	Regional	RCO	2008-2010-2012	Decided by RCO and LPCs	GEF support to facilitate the participation of NFPs	Ideally to be conducted before the GPTF meetings
1.1.5	LPC Coordination Activities (NFP and NPC)	National	LPC	2008-2012	LPCs	In-kind time contribution by LPC	

Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments
1.1.6	National Task Force Meetings	National	LPC	2008-2010-2012	LPCs	In-kind time contribution by LPC	Ideally to be conducted before the RTF meetings
1.1.7	International and	Global /	ALL	2008-	Decided by IA/EA		

	Regional Conventions and Forums	Regional		2012			
2.1.1	Update GloBallast Introductory Modular Course for Ballast Water Management	Global	PCU	2008	London	GEF Funds	Modular Training Course and package will be used to conduct the Regional Training (activity 2.1.2.3) and the package will be made available to LPCs and PCs
2.1.2	Hold training courses on BWM using updated Modular Training Package	Regional	RCO	2008	Decided by RCO and LPCs	GEF Funds + in-kind support from all	The Training will support participation of two trainees each from the LPC and PCs (additional trainees from Host LPC)
Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments
2.2.1	Develop template and guidelines for rapid assessments	Global	PCU	2008	IMO-London	GEF Funds	To support national activities in 2.2.2.3

2.2.2	Develop rapid status assessments	National	LPC	2009	LPCs	Mostly LPC co-financing + limited GEF support on a need basis to get local expert services	
2.3.1	Develop guidance for economic impact assessments	Global	PCU	2008	IMO-London	GEF funds	To support the national activity 2.3.2.3
2.3.2	Develop national economic impact assessments	National	LPC	2009	LPCs	Mostly LPC co-financing + limited GEF support on a need basis to get local expert services	
2.3.3	Aggregate economic information	Global	PCU	2009	IMO-London	GEF funds	To support national activities 2.4.4
Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments

2.4.1	Develop guidelines for national BWMS development, including options for financial sustainability	Global	PCU	2008	IMO-London	GEF funds	To support national activities 2.4.4
2.4.2	Hold (a) regional harmonization and (b) Sustainability workshops (back to back with 2nd and 3rd RTF)	Regional	RCO	2010 2012	Decided by RCO and LPCs	GEF funds and in-kind support	(back to back with 2nd and 3rd RTF)
2.4.3	Hold national stakeholder workshops	National	LPC	2008 2010 2012	LPCs	Mostly LPC co-financing + limited GEF support on a need basis to get local expert services	It is expected that the NFP/NPC will coordinate a number of national meetings to discuss the draft national policy and strategy
Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments
2.4.4	Develop National BWMSs	National	LPC	2009-2010	LPCs	Mostly LPC co-financing + limited GEF support on a need basis to get local expert services	

2.5.1	Develop legal road map, model legislation and training manuals	Global	PCU	2009	IMO-London	GEF Funds	To support training activity 2.5.2.3
2.5.2	Train LPC lawyers on developing legal frameworks for BWM	National	RCO/LPC	2009-2010	LPCs	GEF funds for legal trainer / RCO expert travel + LPC funds for national meeting	It is expected that a legal expert will train national legal experts on drafting national legislations.
2.5.3	Develop national legislation	National	LPC	2010	LPCs	Mostly LPC co-financing + limited GEF support on a need basis to get local expert services	
Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments
2.6.1	Develop model BWM (specialist) course	Global	IMO	2010	IMO	IMO Funds	

2.6.2	Capacitate Training Institutes for delivery of introductory course	National	LPC	2008-2009	LPCs	Mostly LPC co-financing + limited GEF support on a need basis for help with national training deliveries	
2.7.1	Develop and disseminate model CME framework and Training Module	Global	PCU	2009	IMO-London	GEF funds	To support regional training (2.7.2.3) and national activity (2.7.3.3)
2.7.2	Hold training workshops on CME	Region	RCO	2010-2011	Decided by RCO and LPCs	GEF funds to facilitate participation of LPCs and PCs +LPC in-kind support for hosting	Target will be port state control inspectors – training could be considered back to back with any port state control MOU meetings.
Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments

2.7.3	Countries implement modified CME systems	National	LPC	2011	LPCs	Mostly LPC co-financing + limited GEF support on a need basis to get local expert services	
2.7.4	Conduct follow up reviews of modified CME systems and develop lessons learned	Global	PCU	2012	All LPCS	GEF funds	The summarized report will be a monograph
3.1.1	Update port baseline survey protocols	Global	PCU	2008	IMO-London	GEF Funds	To support regional activity 3.1.2.3
3.1.2	Hold training workshops on port baseline survey design and implementation	Regional	RCO	2008-2009	Decided by RCO and LPCs	GEF Funds + in-kind contribution by host country	For MED this will be funded by SAFEMED Project implemented by REMPEC
3.1.3	Develop country rosters of taxonomy experts	Global/Regional/National	PCU/RCO/LPC	2008-2009	Coordinated by PCU	All in-kind	

Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments
3.1.4	Train local taxonomists in generic tools and methodologies for marine invasives detection and analysis	National	LPC	2009	LPCs	Mostly LPC co-financing for organizing training activity+ limited GEF support on a need basis to get taxonomy expert services	
3.1.5	LPCs carry out baseline surveys and develop national marine invasives reports	National	LPC	2010-2011	LPCs	Mostly LPC co-financing for undertaking port surveys+ limited GEF support on a need basis to compile data and to produce a national report	
3.1.6	Compile country baseline data and input into GMEIS	Global	PCU	2012	IMO-London	GEF funds	

Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments
3.2.1	Identify GMEIS Design / Architecture Options	Global	PCU	2009	IMO-London	GEF funds	
3.2.2	Hold GMEIS expert workshop for design / architecture selection	Global	PCU	2009	Host Country	GEF funds to hold an expert workshop	
3.2.3	Develop country profile database format and disseminate to Partner countries	Global	PCU	2009	IMO-London	GEF funds	To support national level activities 3.2.4.3 and 3.2.5.3
3.2.4	Provide training and technical assistance on knowledge management and database development for LPCs	National	LPC	2009-2011	LPCs	GEF funds to hire IT expert to provide the training at national level	To support national level activities 3.2.5.3

3.2.5	Develop country profile databases	National	LPC	2009-2012	LPCs	Mostly LPC co-financing + limited GEF support on a need basis to develop the country profile database	
Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments
3.2.6	Develop and maintain GloBallast GMEIS and web portal	Global	PCU	2008-2012	IMO-London	GEF funds	
3.2.7	Launch and maintain national BWM websites	National	LPC	2008-2012	LPCs	LPC in-kind support + limited GEF funds to hire IT expert to develop National website	
3.3.1	Stakeholder outreach to GB pilot regions, LMEs and Regional Seas	Global and Regional	PCU and RCO	2008-2012	All	limited funds available to promote GBP at such forums on a case to case basis	

3.3.2	Publish and post semesterly newsletters	Global	PCU	2008-2012	IMO-London	GEF funds + IMO co-financing	Electronic Version or An LPC may take a lead in the production coordination
3.3.3	Develop, update and translate GloBallast brochures and publications including the DVD	Global	PCU	2008-2012	IMO-London	GEF funds + IMO co-financing	An LPC may take a lead in the production coordination
Activity No.	Activity Description	Type of Activity	Responsibility (By Whom)	When / By When	Where	Source of Resources	Comments
4.1.1	Set up a GloBallast Industry Task Force to meet annually and provide input to GloBallast Partnerships	Global	PCU	2008	IMO-London	Industry Funds + IMO co-financing	Subject to GIA establishment and GIA funds mobilization
4.1.2	Hold biannual industry dialogues between GIA and the GloBallast Steering Committee	Global	PCU	2008 2010 2012	IMO-London	Industry Funds + IMO co-financing	Subject to GIA establishment and GIA funds mobilization

4.2.1	Develop framework for ballast water treatment equipment test facility standards and inter-calibration procedures	Global	PCU	2009	IMO-London	GEF funds + IMO co-financing	
4.2.2	Hold expert's workshop to propose test facility standards and procedures	Global	PCU	2009	IMO-London	GEF funds + IMO co-financing	
4.2.3	Develop and disseminate standards and procedures manual for ballast water treatment equipment test facility standards	Global	PCU	2010	IMO-London	GEF funds + IMO co-financing	
4.3.1	Identify dry dock site and conduct feasibility study for pilot sediment facility	Global	PCU	2010	IMO-London	Industry Funds + IMO co-financing	Subject to GIA establishment and GIA funds mobilization
4.3.2	Construct and manage pilot sediment facility	Global	PCU	2011	IMO-London	Industry Funds + IMO co-financing	Subject to GIA establishment and GIA funds mobilization

4.3.3	Assess pilot facility operation and disseminate lessons learned	Global	PCU	2012	IMO-London	Industry Funds + IMO co-financing	Subject to GIA establishment and GIA funds mobilization
4.4.1	Establish Ballast Water Innovation Award	Global	PCU	2008	IMO-London	GEF funds + IMO co-financing	
4.4.2	Hold biennial global R&D forums and biennial technology conferences	Global	PCU	2008 2010 2012	IMO-London	GEF funds + IMO co-financing	
5.1.1	Mid-Term Evaluation	Global	PCU	2010	IMO-London	GEF funds + IMO co-financing	
5.1.2	Final Evaluation	Global	PCU	2012	IMO-London	GEF funds + IMO co-financing	

5.1.3	APR/IPR	Global	PCU	2008-2012	IMO-London	IMO financing	co-	
-------	---------	--------	-----	-----------	------------	---------------	-----	--



# **Agenda Item 4.3**

## **Immediate Work Plans and Budgets**

### **Background**

---

The Briefing Paper and attachments for Agenda item 4.1 provide full details on the overall work plan and budget for the programme over the full five year implementation period. This Briefing Paper provides specific details on the immediate work plans and budgets for 2008-2009 biennium.

The activities that are planned to be undertaken in 2008 and 2009 and the corresponding budget provisions are given in Annex 1.

The GPTF is requested to comment on the briefing paper and provide advice if any.



## 1: Immediate Work Plan and Budget for 2008-2009 (Based on PIP)

No	Output and activity Description	2008 - 2009 Timeline							2008 Allocation	2009 Allocation (Global)
1.1	Project Management and coordination structures in place at global, regional and local level									
1.0.1	PCU-Technical Advisory Services								110,000	110,000
1.1.1	Hire, equip and maintain project coordination unit staff and office at IMO HQ								0	0
1.1.2	Establish and support Global Project Task Force (GPTF)								10,000	
1.1.3	Designate and coordinate with regional coordinating organizations								10,000	10,000
1.1.4	Establish and maintain regional task forces								50,000	
1.1.5	Establish project coordination in each LPC, including identifying lead organization (LO), national focal point and national project coordinator									
1.1.6	Establish and maintain National Task Forces									
1.1.7	Represent and promote GloBallast Partnerships in international and regional conventions and forums								10,000	10,000
2.1	Institutional capacities are enhanced through a comprehensive training program on Ballast water management									
2.0.1	PCU-Technical Advisory Services								110,000	110,000
2.1.1	Update GloBallast Introductory Modular Course for Ballast Water Management								25,000	
2.1.2	Hold training courses on BWM using updated Modular Training package								300,000	

2.2	Risk-based, rapid status assessment reports are developed and used to guide country activities										
2.2.1	Develop template and guidelines for rapid assessments									10,000	
2.2.2	Develop rapid status assessments									35,000	35,000
2.3	Economic aspects of marine bio-invasions factored into national strategic planning										
2.3.1	Develop guidance for economic assessments									20,000	
2.3.2	Develop national economic impact and response cost assessments, taking into account the need for financial sustainability										70,000
2.3.3	Aggregate economic information										5,000
2.4	National Ballast Water Management Strategy (NBWMS) developed and implemented										
2.4.1	Develop guidelines for national BWMS development, including options for financial sustainability									25,000	
2.4.2	Hold (a) regional harmonisation (including regional LPI assessment) and (b) Sustainability workshops										
2.4.3	Hold national stakeholder workshops									35,000	30,000
2.4.4	National Ballast Water management Strategy (BWMS) developed										130,000

2.5	National legal reforms instituted										
2.5.1	Develop legal road map, model legislation and training manuals										25,000
2.5.2	Train LPC lawyers on developing legal frameworks for BWM										70,000
2.5.3	Develop national legislation										
2.6	Specialist capacities improved for BWM										
2.6.1	Develop model BWM (specialist) course										
2.6.2	Capacitate Training Institutes for delivery of Introductory course and specialized courses								25,000		25,000
2.7	Compliance monitoring and enforcement indicators are developed and national systems enhanced, with an emphasis on risk-based priority setting, and the use of voluntary approaches										
2.7.1	Develop and disseminate model CME framework, including indicators										20,000
2.7.2	Hold training workshops on CME										
2.7.3	Countries implement modified CME systems										
2.7.4	Conduct follow up reviews of modified CME systems and develop lessons learned study										

3.1	Baseline information established on biodiversity and alien species presence in major ports										
3.0.1	PCU-Technical Advisory Services									110,000	110,000
3.1.1	Update Port baseline survey protocols									5,000	
3.1.2	Hold training workshops on port baseline survey design and implementation										150,000
3.1.3	Develop country, regional and global rosters of taxonomy experts										
3.1.4	Train local taxonomists in generic tools and methodologies for marine invasive detection and analysis										50,000
3.1.5	LPCs carry out baseline surveys and develop national marine invasive reports										
3.1.6	Compile country baseline data and input into GMEIS (see activity 3.2)										
3.2	Global Marine Electronic Information System (GMEIS) for Ballast Water Management Established										
3.2.1	Identify GMEIS Design/architecture Options										25,000
3.2.2	Hold GMEIS expert workshop for design / architecture selection										30,000
3.2.3	Develop country profile database format and disseminate to participating countries										20,000
3.2.4	Provide training and technical assistance on knowledge management and database development for LPCs										25,000
3.2.5	Develop country profile databases										

3.2.6	Develop and maintain GloBallast GMEIS web portal									5,000	15,000
3.2.7	Launch and maintain national BWM websites										65,000
3.3	Stakeholder and public awareness of ballast water management and marine bio-invasion issues is raised and sustained										
3.3.1	Stakeholder outreach to GB pilot regions, LMEs and Regional Seas									30,000	30,000
3.3.2	Publish and post semester newsletters									10,000	10,000
3.3.3	Develop, update and translate GloBallast brochures and publications									10,000	10,000
4.1	Strategic partnership forged with shipping industry										
4.0.1	PCU-Technical Advisory Services									110,000	110,000
4.1.1	Set up a Global Industry Task Force to meet annually and provide input to GloBallast Partnerships										
4.1.2	Hold biannual industry dialogues between GITF and the GloBallast Steering Committee										
4.2	Globally agreed standards developed for ballast water technology test facilities										
4.2.1	Develop framework for ballast water treatment equipment test facility standards and inter-calibration procedures										10,000
4.2.2	Hold experts workshop to propose test facility standards and procedures										30,000
4.2.3	Develop and disseminate standards and procedures manual for ballast water treatment equipment test facility standards										
4.3	Solutions devised and best practices publicized on port-based reception facilities for ballast water tank sediments										

4.3.1	Identify dry dock site and conduct feasibility study for pilot sediment facility										
4.3.2	Construct and manage pilot sediment facility										
4.3.3	Assess pilot facility operation and disseminate lessons learned										
4.4	State of the art in Ballast water treatment technology solutions identified and publicized										
4.4.1	Establish Ballast Water Innovation Fund and support innovative projects								10,000	10,000	
4.4.2	Hold biennial global R&D forums and biennial technology conferences								30,000	30,000	
5.1	Project monitoring, evaluation and reporting systems established and implemented										
5.1.1	Conduct mid term evaluation and initiate mid course corrections										
5.1.2	Conduct terminal evaluation										
5.1.3	Develop and submit APR/PIRs and other required GEF/UNDP project monitoring reports										
6.1	Project Management Unit coordinates the various activities										
6.1.1	Project Manager (CTA)								27,000	27,000	
6.1.2	Assistant Project Manager (TA)								12,000	12,000	
6.1.3	Administrative Assistant (AA)								60,000	60,000	
6.1.4	Office supplies								25,000	25,000	
6.1.5	Travel related to Project Management								20,000	10,000	
<b>Total Budget for the Year (2008 and 2009)</b>									<b>1,239,000</b>	<b>1,514,000</b>	

# Agenda Item 5:

## PCU Progress Report

This progress report is mainly for the period 1 October 2007 to 28 March 2008. Additionally, certain important activities undertaken prior to the commissioning of the Project are also reported. Many of these activities were undertaken with the backstopping and technical support of IMO-Marine Environment Division and with co-financing support IMO-ITCP Programme and other external partners.

### Preparation prior to Project Approval and Commissioning

---

The Global Environment Facility (GEF) funded the preparatory phase (PDF-B) tasks for a full-scale GEF project “Building Partnerships to Assist Developing Countries to Reduce the Transfer of Harmful Aquatic Organisms in Ships’ Ballast Water (GloBallast Partnerships (GBP))”. The PDF-B Project’s objective was to develop the Project Document for GloBallast Partnerships (GBP), in consultation with the IMO Member States and other Key Stakeholders and Strategic Partners and to mobilise sufficient co-financing for execution of the Project.

The PDF-B project was implemented by UNDP and executed by IMO. PDF-B activities were coordinated by a Project Coordination Unit (PCU) located at IMO, London, supported by internationally recruited consultants. The specific activities that were undertaken under the PDF-B Project were:

- Activity 1: Identification and selection of countries/regions for GBP participation and undertake preparatory activities for stakeholder consultations
- Activity 2: Undertake stakeholder consultations with beneficiary countries / donors and project partners
- Activity 3: Development of a detailed Legal, Policy and Institutional Reform Roadmap
- Activity 4: Development of Initial Monitoring, Evaluation and Reporting (MER) Plan and Stakeholder Involvement and Communication (SI&C) Plan
- Activity 5: Development of a full-scale Project Document for submission to GEF

### GEF Approval of Project Document

---

The full-size Project Document was approved by the GEF Council in July 2007 and subsequently was endorsed by the GEF CEO on 31<sup>st</sup> August 2007. Upon receiving the delegation of authority from GEF to execute the Project, IMO on 17<sup>th</sup> September 2007, concluded the Project Execution agreement with UNDP which is the implementing agency (IA) for this Project.

Lead Partnering Countries and Regional Coordinating Partners were informed of the outcome through an IMO circular letter dated 30 October 2007 that also requested the nomination of First Point of Contact to discuss the project implementation activities.

## **Establishment of the Project Coordination Unit (PCU).**

During the reporting period the PCU was established that coincided with the conclusion of the PDF-B Phase on 31<sup>st</sup> September 2007. PCU establishment activities included:

- Recruitment and commencement of the Chief Technical Adviser (CTA),
- Advertisement for Technical Adviser (TA) and Administrative Assistant (AA)- The AA has been recruited and will join PCU on 21 April 2008. Interviews for TA have been completed and it is expected that the TA will join PCU by 1<sup>st</sup> June 2008.
- Agreements with IMO on PCU office space, backstopping support and administrative support.
- Establishment of Enterprise Resource Planning (ERP) sub-component (using SAP software) for Project Budget and Budget Administration
- Establishment of a filing and document management system, within the overall IMO framework.
- Confirmation of internal IMO-PCU reporting procedures and Delegation of Authorities.
- Revision of the original UNDP Project Document and development of a practical Project Implementation Plan (PIP) and revised budget for the five year period, and specific work plans for 2008 – 2009 biennium.

## **Project Coordination Structure**

During the reporting period the PCU laid the foundations for the Project's Information/Communication Network. Activities included:

- Establishment of preliminary database of contact details of key LPC, RCO and Strategic Partner Focal points, Project Coordinators and other key stakeholders.
- Establishment of links with other agencies that are developing ballast water related databases and directories.
- Initiation and maintenance of official regular correspondence with NFPs / RCO FPs and other key players in the Project.

During the reporting period in-country arrangements were established in several of the 13 LPCs

- National Focal Point (NFP) and National Project Coordinator (NPC) were designated in 12 LPCs.
- Guidelines for National Task Forces (NTF) were produced by the PCU, for consideration at the 1<sup>st</sup> Global Project Task Force (GPTF) meeting with an aim to disseminate the approved guidelines by the PCU, providing each country with a standardized framework for the roles and functions, membership and structure of NTF's.
- A draft National Work Plan template was developed by the PCU, for consideration at the 1<sup>st</sup> Global Project Task Force (GPTF) meeting. This provides each country with a standardized approach and structure for developing their National Work Plans, and will help ensure a consistent coordinated approach between countries.

## **Global Industry Alliance**

---

During the reporting period, the PCU developed a conceptual framework for Public-Private Sector Participation in the Project, developed a detailed concept paper and drafted an MOU to facilitate the establishment of Global Industry Alliance for Marine Biosecurity (GIA) and GIA Fund (please refer Agenda item 12)

PCU participated in several bilateral discussions with potential members of the GIA with a view to mobilize interest and financial commitment.

## **Communication, Education and Awareness Raising**

---

The following communication, education and awareness raising activities were undertaken by the PCU immediately prior to and during the reporting period.

- Mobilized nearly \$600,000 from shipping industry and other international organizations to produce a TV-documentary on Ballast water (*Invaders from the Sea*) in partnership with BBC
- Screened the documentary in a number of international forums, including IMO-MEPC Meeting, GEF International Waters Conference, International Conference on Ballast Water Management, Marine Bioinvasion Conference, and International conference on Biofouling and Ballast Water .
- Submitted the documentary for UN Film awards and attended the award function in New York to receive the award on behalf of GloBallast and IMO
- Translated the documentary into Arabic with the help of ROPME/MEMAC
- Preliminary planning commenced to translate the documentary into Spanish and Hindi
- Developed agreement with IMO on the distribution of the documentary through IMO distribution Channels
- Lectured at the World Maritime University (WMU)
- Preliminary planning commenced for the national seminars to be organized in next reporting period.
- Preliminary planning commenced for the Case Studies to be conducted in the next reporting period.

## **GloBallast – Outreach Activities through International and Regional Forums**

---

During the preparatory phase and reporting period of this progress report, PCU undertook the following out-reach activities:

- Presented a paper on GloBallast Project and Ballast water issues at the 4<sup>th</sup> International water conference. Two LPCs (Ghana and Turkey) were invited by GEF to participate in the conference. PCU also showcased the GloBallast Project using the “GEF innovation marketplace” booth at the Conference.
- GloBallast PCU and REMPEC jointly organized a side event on ballast water management and GloBallast project during the 15<sup>th</sup> Ordinary meeting of the Contracting Parties to the Barcelona Convention, Almeria, Spain (External Funding)

## **Capacity Building / Training**

---

During the reporting period, the PCU with the support of IMO's Biosafety Division undertook a major revision and updating of the "Introductory Course on Ballast Water Management" taking into consideration the new international legal regime, the Guidelines as well as the latest developments in ballast water treatment technologies. The revised Ballast Water Training Package (BWTP) covers the main aspects of ballast water management through 9 training modules which provide an introduction to ballast water management, development of a national strategy, regional cooperation, compliance monitoring and enforcement, measures to be taken on board ships as well as development of port ballast water management plans and post-invasion (incursion) management. The BWTP consists of the Trainee Manual and the Instructor Manual.

During the reporting period, the following training activities were undertaken by PCU:

- Introductory Course on Ballast Water Management – Wider Caribbean Region, February 2008
- GloBallast Risk assessment Training – Turkey , March 2007
- Regional Port-base line Survey Training for PERSGA member Countries, May 2007

## **Activities outside GBP Regions (Pilot regions, GEF – partner regions)**

---

During the preparatory period and reporting period, the following training activities were undertaken by PCU:

- Organized the Regional Introductory Training on Ballast water management for ROPME Member States (external funding) with the support of IMO and ROPME-MEMAC.
- Supported the First International Conference on Biofouling and ballast water management organized by India (Pilot Country), by acting as a co-organizer of the event – (External funding)
- Facilitated the development of a Regional Roadmap and Action Plan to assist the ROPME member countries to progress towards ratification of BWM Convention, by providing technical input to the Regional Steering Committee Meeting – (External Funding)
- Organized four national seminars on ballast water management in East Asia countries (Pilot Region) (External Funding)
- Organized a 3 day national seminar on Ballast Water management in Mauritius (East Africa – Pilot region) (External Funding)
- Partnered with Caspian Environment Programme (GEF Project) to implement a major study to identify ways and means of addressing ballast water issues in Caspian Sea Region and developed a regional roadmap through a series of regional meetings during 2007.

## **Global Project Task Force (GPTF)**

---

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

- Defining GPTF membership and inviting participation.
- Developing and preparing the meeting Agenda and supporting documents.
- Securing venue and catering arrangements

## **Agenda Item 6: Regional Coordinating Organisation (RCO) Status Reports**

Included in Appendix 4 to this report.

## **Agenda Item 7: Lead Partnering Country (LPC) Status Reports**

Included in Appendix 4 to this report.

## **Agenda Item 8: Pilot Country Presentations**

Included in Appendix 4 to this report.

## **Agenda Item 9: NGO/Strategic Partners Information**

Included in Appendix 4 to this report.



# Agenda Item 10: Progressing BWM Convention Implementation through existing Regional Mechanisms and Frameworks

## Background

---

Ecosystems and natural resources straddle national boundaries more often than not. Threats to them – such as pollution or invasive species - can, therefore, seldom, if ever, be addressed by individual states. While this is true across all ecosystems, it is even more so in the marine environment, where coastal currents can rapidly transfer pollutants or invasive species from one coastal state to the next.

In addition to above, there are a number of more specific reasons that make regional co-operation crucial to addressing the problem of ballast water :

- All countries that are dependent on ships are facing an increasing risk of the adverse consequences of harmful aquatic organisms and pathogens in ships ballast water.
- Shipping is a largely international industry and ships routinely cross jurisdictional lines to conduct trade.
- Article 13 of the IMO's BWM Convention recognises the need for standardised regional approaches to the issue. Regional agreements should cover reporting of ballast water-related issues, risk-based exemptions, emergency scenarios and additional measures, and the designation of ballast water exchange areas.
- Fair competition between ports is an important consideration that can only be addressed if a regional approach is adopted.
- If a country or port acts in isolation in instituting BWM arrangements, it is quite possible that this may adversely affect a neighbouring country - for example, the common practice of requiring ships to exchange their ballast water outside of the country's territorial waters can have the consequence of ships doing so in neighbouring countries' waters, thus increasing its exposure to the threat of the introduction of harmful aquatic organisms and pathogens.
- Furthermore, most countries are approaching marine environmental management on an integrated basis. This then implies that BWM should also be considered in an integrated manner along with the other marine environmental issues in the region.

Accordingly, it is now widely recognised that international and particularly regional co-operation is of paramount importance for achieving progress in preventing and/or combating the introduction and the spread of unwanted aquatic organisms and pathogens through ships' ballast water. In enclosed and semi-enclosed seas, the regional factor is essential and will determine the effectiveness of any effort to protect the marine environment.

## **Regional Seas and Regional Conventions**

---

The need for, and advantages of, regional co-operation on environmental matters are widely recognised, and in most parts of the world, neighbouring countries and those in specific regions have well-developed bilateral, multilateral and/or regional co-operative agreements. The most prominent of those in the marine context, are the Regional Conventions which provide the legal frameworks for the UNEP Regional Seas Programmes.

The UNEP Regional Seas Programme was launched in 1974 in the wake of the 1972 United Nations Conference on the Human Environment held in Stockholm. It aims to address the accelerating degradation of the world's oceans and coastal areas through the sustainable management and use of the marine and coastal environment, by engaging neighbouring countries in comprehensive and specific actions to protect their shared marine environment. Today, more than 140 countries participate in 13 Regional Seas Programmes established under the auspices of UNEP: the Black Sea, Wider Caribbean, East Africa, South East Asia, ROPME Sea Area, Mediterranean, North-East Pacific, North-West Pacific, Red Sea and Gulf of Aden, South Asia, South-East Pacific, South Pacific, and West and Central Africa. Furthermore, five partner programmes for the Antarctic, Arctic, Baltic Sea, Caspian Sea and North-East Atlantic Regions are members of the Regional Seas family.

The UNEP Regional Seas Programmes are all supported by Regional Conventions and associated Protocols on specific problems. They function through Action Plans covering issues ranging from chemical wastes and coastal development to the conservation of marine animals and ecosystems. IAS issues, including ballast water management, could also relatively easily be incorporated into the agreements by means of technical protocols, thereby offering an ideal platform for implementation of the Ballast Water Management Convention. Such protocols should obviously be consistent with the provisions of the International Convention on Ballast Water Management.

A number of the Programmes have already embarked on IAS activities:

- The South Pacific Regional Environmental Programme (SPREP) has developed a Biosecurity Strategy;
- The Caribbean Environment Programme, under the SPAW Protocol (the regional biodiversity agreement) has recently submitted a proposal to the GEF;
- The Regional Organization for the Protection of the Marine Environment (ROPME) have a regional agreement on ballast water management in the Persian Gulf;
- The Mediterranean Action Plan (MAP) have a regional action plan on species introductions in the Mediterranean Sea
- The Helsinki Commission (HELCOM) has been developing a regional action plan (in progress) to address ballast water. HELCOM is also working towards close co-operation with the North Sea region;
- Both the Abidjan and Nairobi Conventions – covering the West and Eastern coasts of Africa respectively – have recently adopted resolutions calling for the inclusion of marine IAS issues into their work programmes. A Strategic Action Plan on Ballast Water for Southern & Eastern Africa was also developed during the first phase of the GloBallast Programme.

Not only have these and many other similar regional arrangements demonstrated both the effectiveness and essentiality of co-operation between neighbouring countries and ports, but they can and should be used as models for the BWM issue. Indeed if possible it is preferable to use an existing co-operative arrangement and/or slightly modify it to incorporate BWM than to create a new arrangement.

During GloBallast Pilot Phase, a number of Regional Agreements were developed to adopt a Regional Strategic Action Plan to address ballast water management as follows:

- ***The Black Sea:** Resolution and REGIONAL SAP adopted by Bulgaria, Georgia, Romania, Russian Federation, Turkey and Ukraine*
- ***The ROPME Sea area (Regional Organisation for the Protection of Marine Environment):** Resolution and Regional SAP endorsed by Bahrain, Kuwait, Iran, Oman, Qatar, United Arab Emirates and Saudi Arabia.*
- ***East Asia:** Resolution and Regional SAP developed by China, the Democratic People's Republic of Korea, Japan, Republic of Korea, Philippines, Singapore and Vietnam*
- ***Eastern Baltic:** Resolution adopted and foundations for a Regional SAP developed by Estonia, Finland, Latvia, Lithuania, Germany, Poland, Sweden and the Russian Federation*
- ***South Asia:** Resolution and Regional SAP developed by India, Thailand, Singapore, Maldives and Sri Lanka*
- ***Southern and Eastern Africa:** Resolution and Regional SAP adopted at the COP of the Nairobi Convention (Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, South Africa, Tanzania)*

Based on experience gained during GloBallast, the following strategy for regional co-operation, based on a **five- pronged approach**, may be recommended: 1) **Participation** 2) **Partnerships** 3) **Sharing** 4) **Replication** and 5) **Integration**.

**Participation** of key stakeholders and relevant experts leads to **partnerships**, which in turn may facilitate common understandings and approaches as well as **sharing** of information, knowledge, tasks, commitments, etc. This then leads to the establishment of an agreed regional approach as a means for further **replication** of experiences among the countries of a region. Once a co-operative framework is in place, this may lead to a much broader **integration** of the regional BW management issues with more broadly based national and regional environmental policies up to large marine ecosystem level.

## **Working Group Discussions Objective:**

The GPTF is requested to discuss the following aspects of regional cooperation and approaches and identify ways and means of accelerating the Convention ratification and implementation by LPCs and PCs.

### **1) Participation:**

Regional co-operation is most effective when it is based on the active participation of all countries in the region in the design, drafting and implementation of the regional strategic Action Plans. This harnesses the skills and expertise of all concerned and provides a sense of ownership of the regional strategy to all stakeholders. It avoids fragmented and disparate approaches and avoids unnecessary duplication.

In addition, participation of all interested stakeholders from an early stage aids in the development and implementation of a standardised approach at the regional level, which in turn leads to effective measures to address the BW problem being taken in a co-ordinated and harmonised manner.

- a) *Please recommend strategies to ensure full participation of key stakeholders in the region and their involvement at an early stage and throughout the whole process of IMO BWM Convention ratification and implementation..*
- b) *How formal and informal gatherings to discuss the ballast water issues and Convention implementation could be facilitated and what mechanisms within the regional frameworks are available to facilitate such gatherings and networks?*

## **2) Partnerships**

---

As mentioned earlier, most of the major sea areas and semi-enclosed seas are covered by agreements such as the UNEP Regional Seas (RS) Programmes, and which provide a framework for regional co-operation in the area of coastal management and environmental protection. To varying degrees these existing regional structures, policies and associated operational arrangements are being used by the IMO as a platform for implementation, and many already include elements relating to ship-based marine pollution and, in some cases, invasive aquatic species.

- a) *Please evaluate and recommend appropriate regional frameworks (including RS) to ensure partnerships among various states at regional level.*
- b) *How such a framework could be effectively utilized for accelerating regional agreements with a view to achieve an early implementation of the Convention?*

## **3) Sharing**

---

‘Sharing’ is both an approach as well as a tool to facilitate regional co-operation in BWM. It is only when countries start sharing information, knowledge, experiences and tasks that the regional apparatus can operate at maximum effectiveness. Also, the key to the development of a Regional Strategic Action Plan is information and data which needs to be provided by, and shared between, the key stakeholders. Information requirements include things such as shipping patterns, existing port pest conditions, ballast water reporting requirements etc. Other aspects of sharing include sharing of specific tasks and experience.

- a) *Please discuss the key information requirements that need to be collected and shared at a regional level. How such information collection and sharing could be facilitated through current regional frameworks?*
- b) *How can the GBP project facilitate sharing knowledge and experience at regional level and also between regions?*
- c) *Sharing tasks at regional level can bring in significant cost-benefits (e.g, regional level risk assessments, inclusion of Compliance Monitoring and Enforcement within current Port State Control MOUs). Please discuss key areas / tasks that can be regionally shared and how this can be facilitated by the project.*

## 4) Replication

---

A considerable amount was learned from the experiences of the GloBallast pilot countries, as well as from arrangements in other parts of the world. Also, through the current Project, the Lead Partnering Countries will be gaining significant experience and developing country specific tools to address the issue. These experiences, and in many cases the arrangements put in place and/or proposed, can be largely replicated (with necessary changes to adapt them to specific local conditions) elsewhere in the region. This is not only a cost-effective approach, but it goes a long way to ensuring harmonised BWM arrangements for the region.

- a) *Please identify the pilot phase activities / tools developed that can be easily replicated in the new regions?*
- b) *Please identify strategies to benefit from the experiences gained by the Pilot Countries, especially in their efforts to progress towards ratification of the Convention?*

## 5) Integration at Large Marine Ecosystems

---

The cross-sectoral nature of BWM and harmful aquatic organisms and pathogens makes it essential for those dealing with these issues to establish strategic alliances with other organisations and programmes that are also endeavouring to address related problems. It also makes sense to consider these issues in parallel with other marine environmental management programmes and integrate them when appropriate.

- a) *Please discuss and identify ways and means of integrating ballast water issues to broader marine environmental management programmes in the region (e.g., large marine ecosystem programmes)*

# Agenda Item 11:

## Key Components of Rapid Status Assessment at National Level

Within the GloBallast Partnerships Project framework it is expected that all LPCs would identify their key national issues for BW management, their top priorities and plans for reforms by undertaking a Rapid Assessment or stocktaking, so that such an assessment could form the basis of developing national policies and strategies.

It is important to note that the assessments are not designed to be at the level of detail provided for in typical GEF transboundary diagnostic analyses (TDAs). The emphasis is **NOT** to move through an extensive set of stakeholder discussions in order to arrive at an understanding of root causes, but rather to **set the stage for the strategic planning** exercise by determining **key issues and current status**.

The expectation is that early in project year 2, all LPCs would have identified their key Ballast Water Management issues, in the context of marine and coastal protection. Also during this early period, the LPCs can share their results and lessons learned with the other Partner Countries, during the first RTF meeting.

As per the PIP, it is expected that the PCU will develop a template and guideline for rapid assessment to guide the LPC information collection activities and also to ensure some harmonization in such activities. The GPTF is therefore requested to discuss the key components of such rapid assessments and identify what is practical and what can be achieved within the existing national capacity and resources. The workgroup is requested to consider the following list and prioritise the key components so that the Rapid Assessment Guidelines, to be developed by PCU, can incorporate the recommendations. This is not a comprehensive list and recommendations could include additional items.

1. General Information on coastal marine ecology and native species.
2. Number and location of international maritime ports and their traffic mix (e.g. oil, minerals, containers, tourists, etc.)
3. Information on quantity and source of ballast water received by the country
4. Incidences, known locations and impacts of past marine bio-invasions
5. Policies and legislation governing ballast water management
6. Review of the implications of BWMC ratification
7. Review of related marine policies and legislation (including UNCLOS and the CBD)
8. Analysis of current port state control practices and the compliance monitoring and enforcement regime in place
9. A review of key stakeholders
10. Identification and listing of country-based ballast water, maritime and marine biology experts and consultants, as well as technical and training institutes.

# Agenda Item 12: Global Industry Alliance (GIA) and GIA Fund

## Goals of GIA

---

The GIA will be an alliance of maritime industry leaders working together with GEF-UNDP-IMO GloBallast Partnerships on ballast water management and marine bio-safety initiatives. The GIA will have an objective of reducing the transfer of harmful organisms and pathogens via ships and maximizing global environmental benefits from addressing this issue in a sustainable and cost-effective manner through enhanced partnership between public sector and the maritime industry, and the alignment of public, NGO and commercial activities toward common goals.

## GloBallast Partnerships: Opportunity for IMO-Industry Partnership

---

In order to assist countries to address the ballast water issue and to prepare for the new international regime, IMO in cooperation with the Global Environment Facility (GEF) and United Nations Development Programme (UNDP) successfully executed a US\$10 million pilot programme (titled *GloBallast*) during 2000-2004. Plans are now underway to expand and build on this successfully completed pilot project through a second phase called “*GloBallast Partnerships*”. *GloBallast Partnerships* is intended to be a five-year (2008-2012) global project with a tentative budget of \$21 million, mainly contributed by GEF and participating countries.

3. *GloBallast Partnerships* is seeking new and innovative partnership opportunities with maritime industry, multilateral banks, and the developed countries in achieving the goals and to lay the foundation for developing sustainable mechanisms to address the issue of marine bio-safety. Such a partnership between IMO-GloBallast and industry would be a pioneering initiative and would set a lead example and model for public-private partnerships in addressing an emerging global marine environmental issues.

## Benefits to GIA Partners:

---

The expected benefits to the GIA partners are as follows:

- Achieve synergy by pooling in resources to identify potential solutions to the problem and to overcome barriers that are perceived important by the industry.

- Access to a global information clearing-house mechanism for one-stop information access by the industry/ship owners
- Access to standardized and quality-assured IMO/GloBallast training programmes / materials / tools
- Opportunity to participate and co-organize global conferences/symposia etc focusing on technology developments, and sharing of best practices by the industries
- Membership to an IMO-GEF-industry Dialogue Forum at the global level to identify emerging issues and opportunities for partnerships.
- A seat in the GloBallast Industry Task Force and Global Steering Committee, and an opportunity to contribute to the policy discussions facilitated by GloBallast and access to decision makers and networks around the world through GloBallast networks
- Visibility of organizations' positive efforts in this area through global promotions of GIA and also through GloBallast Publications and other media publicity
- Access to all data and outputs from the GloBallast Programme to members of GIA, which could be disseminated to member /sister organizations.

## **GIA membership and Implementation**

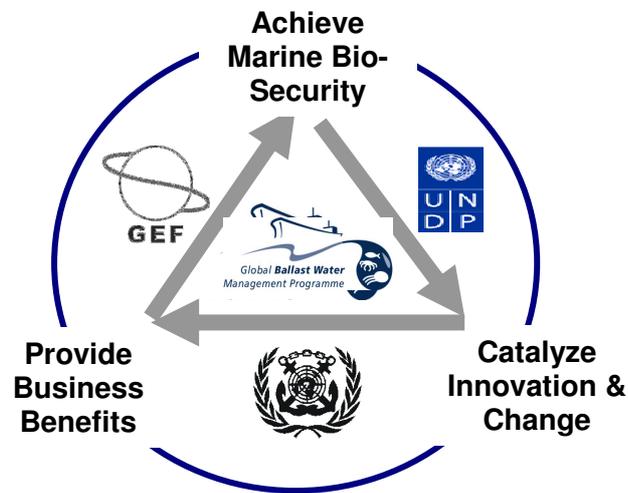
---

GIA members will consist of major shipping companies and industry organizations who have agreed to the annual financial membership subscription model (minimum US\$ 50K per year). The membership fees will be utilized to form a GIA Fund that will be administered by IMO, with auditing access to the members. Industry umbrella organizations are invited to join the GIA on behalf of the members. Annual membership subscription to GIA should be discussed and finalized prior to finalizing the founding members of GIA. The GIA will be for a duration of five years (2008-2012). An Industry Task Force (ITF) comprising the financial members will be formed to act as the apex advisory body to GIA and to recommend GIA trust fund allocations, to make sure that the resources will be used on activities that have direct relevance to the industry and benefit the industry/industry partners. It is expected that a partnership agreement will be negotiated and concluded in order to formalize GIA.

A detailed Concept Paper is presented in Annex 1. The GPTF is invited to comment on the concept paper as appropriate and advise on further improvements.

**ANNEX 1**

**Concept Paper on Global Industry Alliance (GIA)**



---

A cooperative initiative of  
the Global Environment Facility, the United Nations Development Program, the International  
Maritime Organization and the Maritime Industry

## **Global Industry Alliance (GIA)**

---

### **Goals of GIA**

---

The GIA is an alliance of maritime industry leaders working together with GEF-UNDP-IMO GloBallast Partnerships on ballast water management and marine bio-security initiatives with an objective of reducing the transfer of harmful organisms via ships and to maximize global environmental benefits from addressing this issue in a sustainable and cost-effective manner through enhanced engagement with the maritime industry, and the alignment of public, NGO and commercial activities toward common goals.

### **GloBallast Partnerships: Opportunity for IMO-Industry Partnership**

---

In order to assist developing countries to address the ballast water issue and to prepare for the new international regime, IMO in cooperation with the Global Environment Facility (GEF) and United Nations Development Programme (UNDP) successfully executed a US\$10 million pilot programme (titled *GloBallast*) during 2000-2004. Plans are now underway to expand and build on this successfully completed pilot project through a second phase called “*GloBallast Partnerships*”. *GloBallast Partnerships* is intended to be a five-year project and is expected to cover almost all developing regions of the world. While continuing to focus on assisting developing countries, *GloBallast Partnerships* will seek new and innovative partnership opportunities with industry, multilateral banks, and the developed countries in achieving the goals and to lay the foundation for developing sustainable mechanisms to address the issue of ballast water. Such a partnership between IMO and industry would be a pioneering initiative and would result in a paradigm shift in how an international regulatory body and regulated community partner together in addressing an emerging global marine environmental issue and, through such partnering process benefit the developing regions in addressing this issue.

### **Principles of IMO-GloBallast engagement with the industry**

---

The GEF-UNDP-IMO GloBallast Partnership Programme is committed, as a general principle, to develop mutually beneficial partnerships with leading private entities that promise the *greatest global environmental benefit* for the lowest expenditure of scarce multilateral resources and the least amount of risk. Under this strategy, the Project will identify appropriate private sector entities for partnerships on the basis of the following criteria:

- Environmental performance and stewardship
- Cost-effectiveness of partnership
- Transparency
- Industry drivenness

- Catalytic role and leveraging financial and human resources and/or appropriate technology
- Sustainability and replicability

Flexibility will be exercised to accommodate appropriate types and levels of engagement

Non-exclusivity will be achieved by providing partnership opportunities for small and medium enterprises (SMEs), large national corporations (LNCs) and multi-national corporations (MNCs) operating in an environmentally and socially progressive manner (e.g., promoting marine environmental stewardship, supporting a precautionary approach, and respecting local and international maritime environmental laws.) However, in order to gain experience, learn lessons and to identify most optimal partnership modalities, GIA would initially include industry leaders (up to 10 Founding Partners) based on previous partnership experience with IMO and level of initial industry support that can be provided.

GloBallast Partnerships will protect the intellectual property of partnering private sector participants and provide global visibility of the positive corporate initiatives.

Activities funded under the GIA should have direct benefits to the industries in developing countries also.

## **Specific Areas for Partnerships**

---

During a joint-industry round-table organized by GloBallast and Lloyds in November 2005, opportunities for partnerships between IMO and Industry were discussed. Further dialogue with certain industry players who showed interest in partnering with *GloBallast Partnerships* has identified the following priority areas for industry partnerships:

- Development of global and regional information clearing-house mechanisms for one-stop access by the industry/ship owner (technology, regulatory requirements)
- Development of tailor-made training programmes targeted at maritime industry / sea farers
- Co-organizing global conferences/symposia etc focusing on technology developments, and sharing of best practices by the industries
- Establishing and facilitating an IMO-GEF-industry dialogue process at the global level to identify emerging issues and opportunities for partnerships.
- Activities that accelerate technology transfer and technology diffusion within industry
- Activities aimed at accelerating technology verification and approval processes
- Activities that accelerate development of globally uniform compliance monitoring and enforcement practices through the development of guidelines/tool kits including electronic information exchange systems for CME and, inter-regional cooperation

The areas of cooperation will be finalized and specific activities will be identified through an ongoing dialogue with the industry partners during the Project Preparation Stage (2005-2006).

## Partnership Modalities

---

GloBallast-Industry partnerships should be achieved through a multi-layered partnering arrangement, as GloBallast Project is expected to have global, regional and national level activities. The global tier of the activities will be aimed at developing global tools and undertaking global information dissemination activities. Projects within the regional tier will aim at regional harmonization of activities undertaken by countries within a specific GloBallast region. National level activities will aim at legal, policy and institutional reforms and will help build the capacity of developing countries to undertake such a reform process through training and facilitating multi-party stakeholder dialogue and engagement.

Strategic Partnership between GEF-UNDP-IMO *GloBallast Partnerships* and industry will be achieved through:

- a) Establishing a GloBallast-Industry Partnership Fund through Corporate Annual Subscriptions or membership to a GloBallast-Industry Consortium ([Global Industry Alliance Fund for Ballast Water Management & Marine Bio-Security]). The fund will be managed by IMO-GloBallast with the advice of an Industry Task Force (ITF) which will consist of representatives from the various industry sponsors.
- b) Activity-specific partnership arrangements which will be negotiated and concluded during the course of GloBallast Project. Such partnerships could be at the global, regional or even national level depending on the activity and geographic locations. Contributions from the industry in the form of expertise, direct financial support and other in-kind contributions can form the basis of such partnerships.

## Why *GloBallast Partnerships* Project Should Seek Industry Engagement

---

There are a number of reasons why *GloBallast Partnership* Project would benefit from such a partnership with Industry: structured correctly, partnership with the industry/private sector will allow the IMO-*GloBallast Partnership* Project to achieve results on a much larger scale than might otherwise be possible. Engagement creates opportunities for the Project to positively influence industry practices while benefiting from private sector strengths that contribute to advancing the Global mission of the Project.

There is no doubt that the maritime industry, including shipping and oil/NG, has a deep and pervasive positive influence in the economies of various developing countries. Engagement of industry in such global programmes would contribute significantly to:

- Replication of successful activities;
- Sustainability of global environmental benefits;
- Leveraging (human, technological and financial) resources;
- Influence on and input into policy and regulations and a positive pull for reform processes;
- Development and dissemination of technological solutions to ballast water problems; and
- Acceleration of research and development.

## **Incentives/Benefits for the Private Sector to Engage with the GloBallast Partnerships**

---

The GloBallast Partnership can add significant value to the participating maritime industry in the following ways:

- Direct benefit accrued from activities that promotes a globally uniform implementation of regulatory regime
- Global visibility of the positive corporate initiatives
- Partnership with a global programme such as GloBallast can provide opportunities to accelerate technology commercialization by the industry, north-south technology transfer as well as accelerate technology diffusion within the industry and in developing regions around the world.
- Longer term benefits of environmental risk mitigation, improved business image/reputation, and access to the Projects' global networks and experience;
- Partnership with the GloBallast and the world's most prominent environmental funding mechanism such as GEF could be considered integral to the company's long-term business development strategy. The partnership may help open newer markets over the long term, or help to protect current interests by foreseeing environmental risks that may ultimately threaten the industry.

Specific benefits include:

- Direct tied-back benefit through access to all the tools developed by GloBallast Project, examples being tailor-made training programmes, global information clearing-house etc.
- Access to IMOs and GEF's worldwide experience and global information networks;
- Opportunity for offering the in-house expertise and services to a much wider community, and such services could be procured through the Project.
- Mitigation of environmental and related business risks: access to markets, reputation, and improved relations with regulators.
- Opportunity to inject new perspectives of the maritime industry that highlight innovative opportunities for development based on sustainability (e.g., new technologies, improved management methods etc.)
- Project facilitation of supportive policies and institutional environments conducive to private sector investment and technology adoption by industry
- Assistance in identifying technology partnership opportunities between Governments and Industry
- Dissemination of positive corporate initiatives to a global community through GloBallast News Letters and promotional materials
- A seat in the Industry Task Force and participation in an ongoing GEF-IMO-Industry Dialogue/forum
- Improved global acceptance of participating companies as corporate citizens and industry champions in addressing the issue of marine bio-security/alien species.

## **Management of Global Industry Alliance Fund (GIAF)**

---

IMO will act as the fiduciary for the Fund and the selected projects will be implemented by GloBallast Partnership Programme Coordination Unit, with the advice of an Industry Task Force consisting of representatives from founding partners. Chair of this task force will be from the industry

and on a rotational basis. The Industry Task Force will also have representation in the GloBallast Global Project Task Force (GPTF), the advisory body for the GloBallast Partnership Project. The funds will be utilized over the course of the Project Duration (2008-2012) and will also be used to leverage additional co-financing from donors such as International Financial Institutions. The Task Force will meet every year at IMO in London. A model for implementing the GIA and GIA Fund is given in Annex 2.

## **Expected Industry Contributions to Global Industry Alliance Fund (GIAF)**

---

It is expected that a number of industry relevant activities that will also benefit the developing regions would be undertaken using the GIAF. A tentative list of such activities is given in Table 1. It is expected that GIA partners would contribute financially and non-financially to undertake the pre-agreed activities.

Table 1: Example of Activities that may be funded under GIAF (tentative list only, as example) - proposed by potential partners

1	Establishing a GEF-Industry-IMO Dialogue/forum
2	Global Symposium on Technology Verification and Approvals
3	Development of Industry targeted training tools based on UN Train-X methodology
4	Global R&D and Technology Conference-Exhibition
5	Global workshop/symposia on best management practices
6	Development of GloBallast Marine Information System (GMIS) for one-stop access for information by shipping industry
7	Regional Training Programmes to Government and Industry Reps
8	Pilot study for Technology Transfer to Developing Regions
9	Development of a Decision Support System for selection of ballast water management methods
10	Development of Risk Assessment System for exemption of Ships between Specific Ports
11	Industry-wide awareness generation tools

## Partnership Agreements

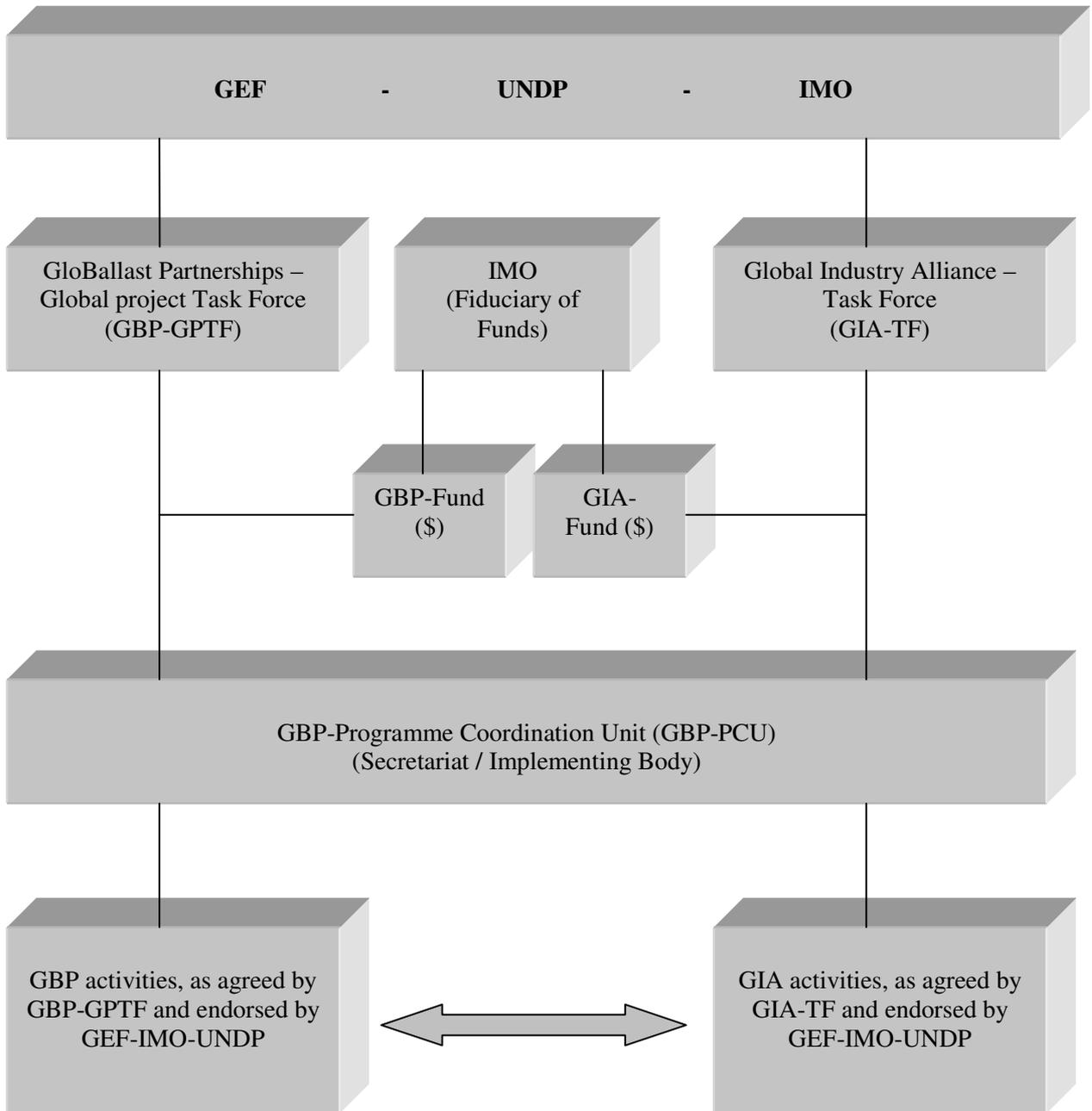
---

It is expected that, subject to successful negotiations with the industry Partners, the Partners will provide IMO with a letter of support, indicating the intent to participate / support the GloBallast Partnership Project and indicating the type and level of partnerships/input. A partnership agreement should be negotiated and concluded between *GloBallast Partnerships* and Industry partners, subsequently. The following pre-requisite will be met before entering into any specific partnership agreements with the GIA founding partners:

1. GloBallast Partnership will inform the founding partners who the other founding partners would be, in advance of entering into formal partnership agreements and will seek the agreement from founding partners before extending the partnership to other members.
2. There will be adequate controls to ensure that any funds contributed would be used for the specific reason allocated
3. There will be a contractual relationship between IMO and the Industry Partners and this will specifically provide for audit rights for the funds and right of withdrawal upon notice.
4. The partners' participation would be well represented by the IMO-GloBallast Partnership in all the promotional materials and through media as appropriate.

**5. Annex II:**

**Global Industry Alliance for Marine Biosafety – Structure**



# **Agenda Item 13: National Taskforce Guidelines and Terms of Reference**

## **Introduction**

---

Guidelines for National Task Forces (NTF) were developed by the PCU, for consideration at the 1<sup>st</sup> Global Project Task Force (GPTF) meeting with an aim to disseminate the approved guidelines by the PCU, providing each country with a standardized framework for the roles and functions, membership and structure of NTF's. The proposed guidelines are given in Annex 1.

## **Action by GPTF**

---

GPTF is invited to comment on the guidelines as appropriate and advise on further improvements.

ANNEX 1

---

# **Ballast Water Management: Guidelines for National Task Forces**

---

## 1. Introduction and background

---

The introduction of invasive marine species into new environments by ships' ballast water, attached to ships' hulls and via other vectors has been identified by the Global Environment Facility (GEF) as one of the four greatest threats to the World's oceans. The other three are land-based sources of marine pollution, overexploitation of living marine resources and physical alteration and destruction of marine habitat.

In response to this threat, the International Maritime Organisation (IMO) has taken a number of initiatives. As a specialised agency of the United Nations responsible for the international regulation of ship safety and the prevention of ship-sourced marine pollution, IMO is the most appropriate forum through which to address this issue. The member countries of IMO have developed voluntary guidelines for the control and management of ships' ballast water, to minimize the transfer of harmful aquatic organisms and pathogens and, in February 2004, adopted the International Convention for the Control and Management of Ships' Ballast Water and Sediments.

## 2. Lead Agencies, Contact Points and National Task Forces

---

Previous experience suggested that information about the dangers of ballast water transfers was poor to non-existent in many countries, and constituted a major barrier to action. Furthermore, it was found that where information did exist, no country's single agency had been given or had assumed lead responsibility for work related to the ballast water issue. This combination of poor information and no delegation or assumption of leadership on the part of any specific agency makes it impossible to address the issue effectively or at all, and is seen as the single most important, early priority to address ballast-water related issues.

A first step in this national endeavour is the designation of a Lead Agency. Since the ballast water issue is clearly associated with maritime transport, the Lead Agency should ideally be the national maritime administration, although some countries may elect to designate a different agency. The Lead Agency will have overall responsibility for development of the port-specific and country-specific strategies that are the principal objective of any attempt to address ballast water management related issues.

**The Lead Agency, through a designated Contact Point (CP), is responsible for the creation and convening of the necessary National Task Force (NTF) and the development and implementation of the necessary country-level information, education and participation activities that are key to success.**

## 3. Purpose of these guidelines

---

The purpose of these Guidelines is to provide assistance, advice and guidance to the Contact Points of the Lead Agencies in each country on the establishment and running of a NTF, as an inter-ministerial and cross-sectoral forum for the effective implementation of ballast-water related activities at the country level.

The Guidelines provide simple advice on:

- how to set up a NTF;
- what the NTF membership should comprise;
- what the roles, responsibilities and tasks of the NTF should be;
- how to run NTF meetings; and
- how to develop and implement National Work Plans to address the ballast water related issues.

## **4. Roles, responsibilities and tasks of the Lead Agency and NTF**

---

It is not possible for the Lead Agency and CP alone to effectively address the ballast water issue in each country. Each Lead Agency must be supported by an inter-ministerial and cross-sectoral NTF.

The roles, responsibilities and tasks of the LA/CP, supported by the NTF, are as follows:

- develop the National Work Plan for the implementation of a ballast water management strategy at the port and country level;
- provide free access to information required for the implementation of the ballast water management strategy;
- authorize, facilitate and assist, subject to adequate prior notification and formal clearance, site visits by technical experts to support the implementation of the strategy;
- provide for the in-country application of IMO Convention and associated guidelines by shipping companies and port authorities;
- provide in-country co-ordination between different government agencies, industry sectors and other groups with interest in the ballast water issue (environment, transport, fisheries, etc.);
- provide a forum for inter-ministerial and cross-sectoral communication and consultation on the ballast water issue;
- provide financial, logistical and other support to the activities of the programme; and
- communicate the strategy at regional level in an effort to find synergies, opportunities for regional co-operation and harmonization of national strategies and regulatory framework.

## **5. NTF membership**

---

It is recommended that NTF membership should comprise the following:

- The CP from the Lead Agency (Task Force Chairman).
- The CP Assistant (Task Force Secretary).
- Representatives from the equivalent of the:
  - National maritime administration (if not the Lead Agency).

- Port administration.
- Environmental administration.
- Fisheries/marine resources administration.
- Health/quarantine administration.
- Local government.
- Marine science community/academia.
- Shipping industry.
- Port users.
- Non-government environmental organization(s), as appropriate.
- National maritime training organizations.

Each country may elect to invite additional groups to be represented on their NTF.

## **6. NTF meetings**

---

Appendix 1 contains a suggested agenda for holding the 1st NTF meeting.

A current status report, in accordance with appendix 2, will need to be developed by the Lead Agency, for presentation at the 1st NTF meeting.

Thereafter, NTF meetings should be held as frequently as deemed necessary by the Lead Agency.

These meetings should be chaired by the CP, and the CP Assistant should act as Secretary.

All documents relating to NTF meetings, including agendas and minutes, should be filed and progress records maintained for information and programme co-ordination purposes.

Each NTF should develop its own Rules of Procedure for the conduct of its business, in accordance with the general guidelines above and relevant national legislation.

## **7. National Work Plans**

---

One of the main tasks of the NTF will be to develop, as a co-operative group, the National Work Plan for the implementation of a ballast water management strategy at the port and country level.

The National Work Plan should outline the different components of the strategy that need to be implemented. How these tasks are approached may differ from country to country, and it is up to the NTF to develop this. Technical support and assistance would be available from IMO on request.

## Appendix 1

### **SUGGESTED AGENDA OUTLINE FOR 1<sup>ST</sup> NTF MEETING**

1. Open meeting.
2. Adoption of Agenda.
3. Introduction of Chairman (LA-CP).
4. Introduction of Secretary (LA-CP Assistant).
5. Introduction of each NTF member.
6. Overview of roles, responsibilities and tasks of the NTF (refer to section 4 of Ballast Water Management: Guidelines for National Task Forces).
7. Overview of components to be developed for National Work Plan.
8. Allocation of National Work Plan development tasks to NTF members.
9. Other business.
10. Close meeting.

#### **Notes:**

Any documents required for each agenda item should be prepared and circulated in advance to all participants by the Secretary.

Should the meeting require the expenditure of programme funds, the estimated budget with a breakdown of costs for specific activities shall be prepared before the meeting and necessary funds identified in advance.

The minutes of the NTF meeting shall be prepared by the Secretary and circulated to all participants and to the CEP.

Appendix 2

**TEMPLATE FOR COUNTRY STATUS REPORT TO BE PRESENTED  
AT 1<sup>ST</sup> NTF MEETING**

Country/Port: \_\_\_\_\_ Date: \_\_\_\_\_

Completed by: \_\_\_\_\_ Contact: \_\_\_\_\_

---

*Ballast Water Management – Country Status Report*

---

1. Lead Agency designated? Yes  No

Details: \_\_\_\_\_  
\_\_\_\_\_

2. Contact Point designated? Yes  No

Details: \_\_\_\_\_  
\_\_\_\_\_

2. CP Assistant appointed? Yes  No

Details: \_\_\_\_\_  
\_\_\_\_\_

4. Any known aquatic invasive species introductions? Yes  No

Summary: \_\_\_\_\_  
\_\_\_\_\_

5. Volume of ballast discharged per year: \_\_\_\_\_

6. Number ship movements (>200GRT) per year? \_\_\_\_\_

7. Are IMO recommended measures currently applied? \_\_\_\_\_

Details: \_\_\_\_\_  
\_\_\_\_\_

8. Any relevant domestic legislation/regulations? \_\_\_\_\_  
Act and Year: \_\_\_\_\_  
\_\_\_\_\_

9. Please attach contact details for all NTF members as follows:

Name / Position / Organization / Phone / Fax / E-mail / Post address / Street address / Website:

10. National Work Plan – Please attach two-page summary of current status.



# Agenda Item 14: National Work Plan Template

## Background

---

1. In order to facilitate the implementation of project activities at the national level, a National Work Plan is required for each LPC country.
2. One of the main tasks of the National Task Force (NTF) will be to develop, as a cooperative group, these National Work Plans.
3. In order to ensure standardisation and a consistent approach across each LPCs, and to reduce the effort required by each NTF, the Programme Coordination Unit (PCU) has prepared a general National Work Plan template (Attachment One). The National Work Plans should follow this template, which outlines the different components of the project that are expected to be implemented at each LPC. How these tasks are approached may differ from country to country, and it is up to the NTFs to develop this.
4. However, it should be noted that detailed guidelines, templates and protocols are being developed by the project to assist each country with specific tasks, for example guidelines for rapid assessment, guidelines for economic impact assessment, templates and guidelines for national ballast water management strategy, development of model legislations, CME models, port base line survey protocols, and country profile database templates. These standardized approaches will be developed in consultation with the world's foremost ballast water and marine bio-invasion experts, and made available by the PCU for use by each country, along with technical assistance and support for their implementation.
5. National Work Plans will be drafted by each National Focal Point (NFP) with the support of the NTF and will form the basis upon which each NTF will implement project activities within its jurisdiction.

Global Ballast Water Management Programme – (add Country Name) National Workplan Summary Table. (Note: Programme activities that are not the responsibility of NTF's are not shown – only national activities are shown).

WorkPlan Component	Tasks to be Undertaken	Responsible Party	2008				2009				2010				2011				2012				
			Q1	Q2	Q3	Q4																	
Project Coordination Structure	• Identification of Lead Agency																						
	• Designation of NFP and NPC																						
	• Formation of National Task Force																						
	• <b>Development of National Work Plan</b>																						
Institutional Capacity	• Identification of National Institutes for Providing Training																						
	• Development of National Roaster of Experts																						
	• Participation in Regional Introductory Training Programme																						
	• Translation of Training Package into National Language																						
	• National Training deliveries using GloBallast Training Package																						
Rapid Assessments	• Identify and map most sensitive environmental resources and values.																						
	• Collect maritime port and traffic mix related information																						
	• Collect BW information using IMO BWR Forms																						
	• Review of existing national policies and related regulations including obligations under other related international conventions																						
	• Review of implications of BWM Convention Ratification																						
• Any other activities that forms part of the rapid assessment																							
Economic Assessments	• Develop (national level) economic impact and response cost assessment																						
	• Identify mechanisms for long-term financial sustainability																						
	• Contribution to Global Report on Economic Impact Assessment																						
Development of National Ballast Water Management Strategy	• National Stakeholder meeting to discuss the NBWM Strategy guidelines																						
	• Develop Draft National Ballast Water Management Strategy																						
	• National Stakeholder Meetings to discuss the draft strategy																						
	• Participation in Regional Harmonization Workshop																						
	• Approval and adoption of NBWMS																						
National Legal Reforms	• Participation in Legal Training Workshops																						
	• Develop National Legislation																						
Specialist Capacity Building	• Capacitate training institutes to deliver IMO Model Course on BWM																						
CME Systems	• Participation in Regional CME Training workshops																						
	• Development and implementation of CME system on a pilot-basis																						
	• Assist with global review of CME systems																						
Biological Baseline Information	• Participation in Regional Training on Port Biological Baseline Survey																						
	• Develop roster of taxonomy experts																						
	• Training for local taxonomists in generic tools and methodologies for marine invasive species detection and analysis																						
	• Conduct Port survey in selected ports																						
	• Compile Port Baseline information and input to Globallast Marine Electronic Information System																						
Marine Electronic Information System	• Participation in Country Profile Database Training																						
	• Develop Country Profile Database																						
	• Launch National BWM website and link to Globallast Website																						
public awareness	• Development of awareness generation posters and other tools																						
	• Broadcasting of IMO-BBC documentary at National Channels																						

# Agenda Item 15: Terms of Reference for Regional Task Forces

## Background

---

A key objective of the Project is to develop cooperative relationships in the field of ballast water management among the countries in a Region and to facilitate replication of LPC activities in other Partnering Countries in the Region. A regional component, providing regional coordination and harmonization, information sharing, training, and capacity building in the application of ballast water management tools and guidelines was therefore included in the Project as a key activity.

The regional component is first and foremost a mechanism to ensure that all countries in the Partner regions have an opportunity to participate and learn from the activities undertaken by the LPCs. To that end, the regions will play a coordinating role for developing national level strategies, policies and programs. In addition, it is expected that the regional component brings significant value-added to the long term sustainability efforts by bringing the ballast water agenda to the regional convention discussions. The Regional Coordinating Organization (RCO) identified within the existing regional structure has a close access to the key policy makers of the countries and offer significant advantage in terms of achieving the most cost-effective coordination among the regional countries to achieve the objectives of the project.

The objective will be facilitated by the creation of Regional Task Forces (RTFs), the holding of RTF meetings and by inviting personnel from neighbouring countries to the Regional Activities hosted by the LPCs.

The RCOs will each establish a Regional Task Force (RTF) comprised of each of the Lead Partner / Partner Country representatives. It is planned that the RTFs will meet three times during the project, and the timing could ideally be linked to the three GPTF meetings. The RTFs will be open to all Partnering Countries in the regions, who have officially endorsed the Project and have shown keen interest in benefiting from and participating in the Project.

The Terms of Reference for the RTFs are as follows:

## Role

---

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

## Formation

---

Formation of RTF's will be at the instigation and invitation of the RCO. During the programme the RCOs will be encouraged to initiate contact and the development of cooperative arrangements directly with Partnering Countries, with a view to forming an RTF. Maximum use should be made of existing regional mechanisms in establishing each RTF (e.g. other GEF IW projects in the region, UNEP Regional Seas Programme secretariats where relevant). Opportunities for back-to-back meetings with other relevant regional meetings (such as RCO Focal Point Meetings) should be explored.

## Membership

---

RTF membership will comprise the National Focal Points nominated by the Lead Partnering and Partnering Countries, regional shipping and port industry representatives, NGOs, RCO, and a representative from any existing regional programmes or projects (as above). The Chairperson of RTF may be selected during the 1<sup>st</sup> RTF Meeting and RCO will act as Secretariat.

## Tasks

---

Each RTF will undertake the following tasks:

- Develop regional strategies and action plans to implement IMO Convention and requirements at the regional level.
- Develop recommendations for regional coordination on ballast water management issues (for instance to agree on intra-regional ballast management requirements).
- Bringing the ballast water related discussion to the agenda of Regional Convention Meetings with a view to identify mechanisms for national and regional sustainability on ballast water management issues after the conclusion of GloBallast Partnerships.
- Share information from the Partnering Countries and lessons learned from the Lead Partnering Countries
- Serve as a mechanism to expand Partner Country interest and involvement in GloBallast Partnerships.
- Raise issues and concerns, and generate regional status reports, for consideration at the GPTF meetings.

PCU will distribute the outcomes of the GloBallast Pilot Phase Regional task Force Meetings and the Regional Strategic Action Plans resulted from this activity.

The GPTF is invited to comment on the Terms of Reference for the RTF and provide advice on further development of the regional components.

# **Agenda Item 16:**

## **Forthcoming National Seminars, Awareness Generation Activities and NTF meetings**

Please refer to the Minutes of the Meeting.



# Agenda Item 17: GloBallast Training Package- Introductory Course on Ballast Water Management

The need for training and capacity building was identified as one of the barriers to the effective implementation of ballast water control and management measures from the very early stages of the GloBallast programme. It was also revealed that there are vast differences in the levels of skills of the target populations (administrators, port personnel, seafarers, etc.), which corresponds to an equally large difference in their education backgrounds.

Training and education was also identified in the IMO Ballast Water Management Convention as one of the most effective ways to address the issue of introduction of harmful aquatic organisms and pathogens through ballast water. The Convention also requires that officers and crew engaged in ballast water management and control be properly trained in this respect.

Consistent with IMO's principles and anticipating the challenges in capacity building, GloBallast during the pilot phase, joined forces with the United Nations' Train-Sea-Coast Programme (TSC) to develop a specific training package suitable to train large numbers of port, shipping personnel and other relevant stakeholders. The rationale behind this partnership lied in the advantages provided by the expertise and training methodology used by the TSC Programme, which were highly suitable for the GloBallast Programme requirements.

The GloBallast training package was therefore developed according to the TSC's Train-X methodology. The module structure responds to a detailed analytical process by which the existing or new tasks (or jobs) required for effective ballast water management were thoroughly reviewed by subject-matter experts and pedagogic specialists. These tasks were translated into training objectives and these, in turn, into a sequence of modules. Each of the modules of the course is self-contained. However, each module is closely interrelated with the rest of the modules.

In designing the GloBallast Introductory Training Package, the following factors were considered:

- Achieving the same standard (reliable level of competency) at the end of formal training;
- A very large number of trainees will use the training material;
- The subject-matter content is relatively stable;
- Training has to be implemented in various locations; and
- A limited number of qualified instructors are initially available.

TRAIN-X methodology has proved highly suitable to respond to the above-mentioned factors and the main advantages included:

- The Training Package is developed just once and then it is ready to be delivered as many times as needed, being highly cost-effective.
- The course is material-dependent, that is, training is based on pre-prepared material, which has been tested and shown to be effective. Therefore teams of national instructors can deliver the course. This has a triple benefit: 1) it reduces costs at each delivery; 2) a country's cultural individuality is

respected; and 3) a global levelling of human capacity is attained as participants receive the same concepts, regardless the region where the course is delivered.

- Using national instructors becomes part of the capacity building process and significantly increases the knowledge and technology transfer.
- Periodically the training package can be revised to incorporate lessons learned after a number of deliveries and include the latest technologies related to ballast water treatment.

The Training Package is composed of the Trainee Manual and the Instructor Manual. Each participant receives a Trainee Manual that is intended to be used as a source for consultation and reference during the delivery and after the course. Ensuring that the highest pedagogical and technical standards were attained during the course development process was of the utmost importance. This has been done through extensive communication among IMO, GloBallast PCU, course developers and subject matter experts during the preparation of individual modules. In addition, an independent international subject matter expert provided final review once the training package was drafted in its entirety.

The introductory GloBallast training course was delivered for the first time in May 2003 in Rio de Janeiro, Brazil. As a result of this delivery, a series of adjustments and fine-tuning were made. A second validation was carried out in Tehran, I.R Iran, in December 2003 at the training facilities of the Ports and Shipping Organization, using the revised package. The first regional delivery of the course took place in Cape Town, South Africa, from 8 to 10 March 2004. After the delivery in Dalian, North of China, the Chinese authorities decided to finance a second session in Shanghai and an international delivery in Beijing for two participants from each ASEAN country. This was a perfect show-case for how well-invested seed GEF/UNDP money can generate long-term Government commitments and policy reforms at national level. The Training courses were subsequently delivered in India and Ukraine. Regional level deliveries were carried out in ROPME Sea Region and MERCOSUR Region during 2006 and 2007. All these training deliveries assisted significantly the capacity building efforts in pilot regions, provided significant learning opportunities as well as opportunities to continuously improve the course content.

## **Updating of GloBallast Training Package**

---

During the final GPTF Meeting GloBallast Pilot Phase, general consensus was reached on the need for a comprehensive review and updating of GloBallast Training package, especially since the BWM Convention was adopted in 2004 and several related guidelines were developed since then. The training deliveries in the pilot phase had also helped identifying certain gaps in the training package.

Activity 2.1 of the GloBallast Partnerships Project Implementation Plan, therefore, provided for the updating of the training package prior and further deliveries in GBP regions.

The GBP PCU, in October 2007, with the assistance of the Marine Biosafety Section of IMO, embarked on a major revision and updating of the “Introductory Course on Ballast Water Management” taking into consideration the new International BWM Convention, the associated guidelines as well as the latest developments in ballast water treatment technologies. This activity was undertaken through an international consultancy involving three international subject matter experts (Marine Biology Consultants and Shipping Expert) who have been at the forefront of addressing the marine bioinvasion issues. The revised Ballast Water Training Package (BWTP) covers the main aspects of ballast water management through 9 training modules which provide an introduction to ballast water management, development of a national strategy, regional cooperation, compliance monitoring and enforcement, measures to be taken on board ships as well as development of port

ballast water management plans and post-invasion (incursion) management. A list of modules contained in the revised training package is given in Annex 1.

## **Training Delivery and Reporting Guidelines**

---

The global delivery of GloBallast BWTP requires that several activities be accomplished by all involved prior, during and after the delivery. The PCU therefore facilitated the refinement of delivery guidelines for the implementation of these activities.

Two types of guidelines were developed as follows:

- Guidelines for Course Delivery, including all necessary logistical arrangements, material and personnel for the effective delivery of a GloBallast course; and
- The GloBallast Reporting System for Course Deliveries, which provides guidelines for monitoring deliveries at different locations worldwide and ultimately, ensuring that the highest standards of training are maintained in each and every delivery.

These guidelines are part of a much wider training strategy having the aim of:

- Maintaining the integrity of each training package, including its future adaptation to different regions;
- Ensuring high standards in each delivery;
- Ensuring effective monitoring of deliveries of each training package; and
- Securing the collection of necessary data for post-training evaluation.

## **Regional Training in Wider-Caribbean Region**

---

The first delivery of the revised BWTP was undertaken in the Wider-Caribbean region under the coordination of the Wider-Caribbean RCO for GloBallast partnerships i.e., RAC-REMPEITC. Jamaica, one of the LPCs in the region, took the lead in hosting the regional training that was attended by representatives from seven other Partnering Countries in the region. Overall, around 28 participants were trained during this training held in Kingston, on 18-22 February 2008.

The training was considered as highly successful, due to the high degree of participation and the strong interest shown by the participating countries to replicate the training at national levels as soon as possible. The training also served the purpose of “training-the-trainer”.

In addition to the training objective, the training-workshop also resulted in some useful recommendations on the way forward, both in terms of further building capacity in the region and also addressing ballast water issues in the region. These recommendations are given in Annex 2. A major recommendation addressed to PCU was to provide an electronic version of the package to all the LPCs and PCs and to encourage translation of the package into national languages.

## Further Actions Required

---

The following action is required for the further implementation of the Education and Training Activity:

- RCOs, through discussions with the NFPs identify the host LPCs to conduct Regional Training Course identified within GloBallast framework and agree on support arrangements.
- NFPs, through their NTFs, to identify the appropriate training institutions and experts for the adaptation and delivery of the training course at national level. LPCs and PCs are encouraged to deliver the training at national levels using the capacity developed and experience gained from the regional training delivery.
- PCU to facilitate the translation of the revised training package into other languages and to seek assistance from volunteering LPCs or PCs in such translations.
- LPC and PC Governments to be encouraged to ensure that their marine training and education organizations include ballast water management and control procedures in their syllabus.
- LPC and PC Governments to be encouraged to include knowledge of duties regarding the management of ballast water in their training requirements for certificates.

The GPTF is invited to comment on the capacity building activity and to provide advice as appropriate.

**ANNEX 1**

**GLOBALLAST INTRODUCTORY COURSE ON BALLAST WATER MANAGEMENT**

**Contents**

<b>PREFACE</b>	<b>:</b>	<b>Background to the course</b>
		<b>PART I</b>
<b>Module 1</b>	<b>:</b>	<b>Background to Ballast Water Management</b>
<b>Module 2</b>	<b>:</b>	<b>Ballast Water Management on Board Ships</b>
<b>Module 3</b>	<b>:</b>	<b>Standards for Ballast Water Management</b>
<b>Module 4</b>	<b>:</b>	<b>Operational Aspects of Ship-board Ballast Water Management</b>
<b>Module 5</b>	<b>:</b>	<b>Ballast Water Management by the Port/Coastal State</b>
<b>Module 6</b>	<b>:</b>	<b>Compliance Monitoring and Enforcement</b>
<b>Module 7</b>	<b>:</b>	<b>Incursion Management</b>
<b>Module 8</b>	<b>:</b>	<b>Development of a National Strategic Framework for BWM</b>
<b>Module 9</b>	<b>:</b>	<b>Technical Assistance &amp; Regional Co-operation</b>
		<b>PART II</b>
<b>Convention</b>		<b>The International Convention for the Control and Management of Ship’s Ballast Water and Sediments</b>
<b>Guidelines</b>		<b>Guidelines developed under the Convention.</b>

ANNEX 2

**Wider-Caribbean Regional Training Workshop Recommendations (22 February 2008)**

The workshop participants recommend that:

The Caribbean Countries

1. Give priority to the timely ratification of the BWM Convention
2. Increase the level of awareness of ballast water related marine invasions at the national level by broadcasting / distributing the BBC documentary “invaders from the sea”. Develop short case studies/film to highlight local invasion issues.
3. Establish National and Regional Task Forces to guide the process leading to the ratification and implementation of the obligations under the BWM. IMO-GloBallast guidelines may be used for this purpose.
4. Review and update the current regional database of invasive aquatic species in the wider Caribbean with relevant agencies and organizations.
5. Facilitate the conduct of further training with national level deliveries and communicate such needs and request assistance of the IMO, GloBallast, RAC REMPEITC and other international agencies.
6. Identify in-country capacity to implement the BWM Convention
7. Immediately collect ballast water data through methods such as ships’ ballast water report forms (BWRF) to develop risk assessment programmes. Request from IMO-GloBallast the relevant tools and methodologies.
8. It is also recommended that:
  - The training material be made available in both English and Spanish
  - The BBC documentary “invaders from the sea” be made available in the Spanish language
9. The Participants of the workshop request the host country to bring to the attention of IMO-MEPC the recommendations of the workshop.

# Agenda Item 18: Proposed Project Implementation MoUs

## Background

---

As GBP is a complex project involving the three UN organisations, 13 Lead Partnering Countries (LPC) and 6 Regional Coordinating Organizations (RCO), the international transfer of funds and an expectation that each 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 among the project partners. This is most effectively and efficiently achieved through a simple Memorandum of Understanding (MoU) between IMO and RCO, and RCO and LPC, if current MoU are not sufficient to include GloBallast cooperation.

## 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.

## Articles of MoU

---

The following Articles are expected to be included in the MoU.

Preamble	
Article 1:	Objectives
Article 2:	Undertaking by [IMO] / [RCO]
Article 3:	Undertaking by [LPC] / [RCO]
Article 4:	Implementation
Article 5:	Funds Transfer, Financial Reporting and Monitoring
Article 6:	Amendments
Article 7:	Come into effect and expiry of the Memorandum of Understanding
Article 8:	Settlement of disputes
Article 9:	Termination

## **Action Required**

---

The GPTF is requested to discuss the development and agreement of such MOUs with a view that the PCU can draft the MoUs after the GPTF meeting and send to RCOs and LPCs for comments prior to signing the MoUs

# **Appendix 1: List of Participants**



## Argentina

---

### **Alejandro Annichini**

Analyst, Scientific Research Division Department of  
Environmental Protection.  
Prefectura Naval Argentina  
Avenida Eduardo Madero No. 235, Buenos Aires  
Argentina

Tel: +54-11-43187673  
Fax: +54-11-43187666  
dpamkdic@prefecturanaval.gov.ar  
aannichini@argentina.com

## Chile

---

### **Otto Mrugalski Meiser**

Alternate Permanent Representative to IMO  
Embassy of Chile  
33 Regent Street  
Clydesdale Bank House  
London SW1 Y4NB  
United Kingdom

Tel: +44 20-7292 1533  
Fax: +44 20-7434 0793  
omrugalski@yahoo.co.uk

## Croatia

---

### **Maja Markovic**

Head of Legal and International Department  
Ministry of the Sea, Transport and Infrastructure  
Prisavlje 14, HR-10000 Zagreb  
Croatia

Tel: +38 51 6169 025  
Fax: +38 5 1 6195956  
maja.markovic@pomorstvo.hr

## Ghana

---

### **Peter Azuma**

Director General,  
Ghana Maritime Authority  
Ministries Post Office, P.M.B. M34  
Ministries, Accra  
Ghana

Tel: +233-21-662122  
Cell: +233-244-477575  
Fax: +233-21-677702  
lpzumah@ghanamaritime.org

### **Kofi Micah**

Dep. Director (Environment and Safety Standards)  
Ghana Maritime Authority  
Ministries Post Office, P.M.B. M34,  
Ministries, Accra  
Ghana

Tel: +233 244 264 596  
Fax: +233 21 677702  
kofimicah@yahoo.co.uk  
kofi.i.micah@ghanamaritime.org

**E. K. Tawiah**  
Ghana High Commission  
London  
United Kingdom

Tel: +44 (0) 7960757393  
ektawia@yahoo.com

## Jamaica

---

**George Lovemore**  
Director of Safety, Environment & Certification  
Maritime Authority of Jamaica  
4<sup>th</sup> Floor, 40 Knutsford Boulevard  
Kingston 5  
Jamaica

Tel: (876) 929-2201  
Fax: (876)754-7256  
glovemore@jamaicaships.com

## Jordan

---

**Salim Al-Moghrabi**  
Head of the Permitting & Environmental Impact  
Assessment (EIA) Section  
Aqaba Special Economic Zone Authority (ASEZA)  
P.O. Box 2565  
Aqaba, 77110  
Jordan

Tel. + 962 3 2091000 Ext. 3523  
Fax + 962 3 2091021  
+ 962 79 999 7212  
SMoghrabi@aseza.jo

## Turkey

---

**Turgay Buyuran**  
Maritime Expert Assistant  
Maritime Environment Division  
General Directorate for Marine Transport  
Undersecretariat for Maritime Affairs  
Prime Ministry  
Republic of Turkey

turgay.buyuran@uma.gov.tr

**Selda ÖZTÜRK**  
Maritime Expert  
Maritime Environment Division  
General Directorate for Marine Transport  
Undersecretariat for Maritime Affairs  
Prime Ministry  
Republic of Turkey

Tel: +90 312 232 38 50 (2174)  
Email: [selda.ozturk@denizcilik.gov.tr](mailto:selda.ozturk@denizcilik.gov.tr)

## Venezuela

---

**Yoana D. Ugarte O.**

Environmental Specialist  
Instituto Nacional de los Espacios Acuáticos  
Gerencia Seguridad Integral  
Avenida Orinoco, Edif. INEA  
Las Mercedes, Caracas, Estado Miranda  
Venezuela 1060

Tel: +58 2129091550  
Fax: +582129091552  
yugarte@inea.gob.ve,  
ugarteyoana@yahoo.com

## Yemen

---

**Nabil Abdo Al-Shwafi**

Director General, Environmental Protection  
Maritime Affairs Authority of Yemen  
Head Office  
P.O.Box:19395 Sana'a  
Republic of Yemen

Tel: +9671 414412 / 419914 / 423005  
Fax: (+9671)414645

## India

---

**Ajoy Chatterjee**

Chief Surveyor with the Government of India  
– cum Additional Director General  
Ministry of Shipping, Road Transport and Highways  
Directorate General of Shipping  
Jahaz Bhavan , W. H. Marg  
Mumbai - 400 001  
India

Tel: +91 22 2261 1788  
Fax: +91 22 2269 4353  
cs@dgshipping.com  
ajoycs@gmail.com

## Islamic Republic of Iran

---

**Ahmed Parhizi**

Head, Search & Rescue and Maritime Environmental  
Protection Department  
Ports and Shipping Organizations  
PSO Building, South Didar  
Vanak Square, Tehran  
Iran

Tel: +982184932172  
Fax: +98 21 8493 2190  
aparhizi@gmail.com  
parhizi@PSO.IR

## REMPEITC

---

**Herbert Silonero**

IMO Consultant  
RAC/REMPEITC-Carib  
Aviation & Meteorology Building  
Seru Mahuma z/n  
Curaçao  
Netherlands Antilles

Tel: +5999 868 4612  
Fax: +5999 869 4996  
hsilon@attglobal.net  
herbertsilonero@gmail.com

## REMPEC

---

**Lilia Khodjet El Khil**

Programme Officer (Marine Environment Protection)  
Regional Marine Pollution Emergency Response Centre  
for the Mediterranean Sea  
“Maritime House”  
Floriana Flr, Lascaris Wharf  
Valetta VLT 1921  
Malta

Tel: +356 21 337 296  
Fax: +356 21 339 951  
lilia.khodjet@rempec.org

## RAC-SPA

---

**Souha El Asmi**

Programme Officer  
UNEP, RAC/SPA  
Mediterranean Action Plan  
Regional Activity Centre for Specially Protected Areas  
Boulevard du Leader Yasser Arafat,  
B.P. 337 – 1080  
Tunis Cedex  
Tunisia

Tel: +216 71206 649/ 485  
Fax: +216 71 206 490  
souha.asmi@rac-spa.org

## SPREP

---

**Anthony Talouli**

Marine Pollution Adviser  
SPREP  
P.O. Box 240, Apia  
Western Samoa

Tel: +685 21929 ext 221;  
Fax: +685 20231  
anthonyt@sprep.org

## CPPS

---

### **Fernando Félix**

Coordinador Técnico Regional  
Plan de Acción para la Protección del Medio Marino  
y Áreas Costeras del Pacífico Sudeste  
Av. Carlos J. Arosemena, Km 3  
Ed. Classic 2do Piso, Guayaquil  
Ecuador

Tel. +593-4-2221200,  
Fax +593-4-221201  
cpps\_pse@cpps-int.org

## EBRD

---

### **Denes Bulkai**

Senior Environmental Advisor  
European Bank for Reconstruction and Development  
One Exchange Square  
London EC2A 2JN  
United Kingdom

Tel: +44 20 7338 6887  
Fax: +44 20 7338 6848  
bulkaid@ebrd.com

## ICS

---

### **David Tongue**

Marine Manager,  
International Chamber of Shipping.  
12 Carthusian Street  
London EC1M 6EZ  
United Kingdom

Fax: +44 20 7417 8877  
Tel: +44 20 7417 8844  
David.Tongue@marisec.org

## IUCN

---

### **Cato C. ten Hallers-Tjabbes**

CaTO Marine Ecosystems & Royal Netherlands  
Institute for Sea Research (NIOZ)  
P. O.Box 59, 1790 AB den Burg,  
The Netherlands

Tel: +31 (0) 22 369574 &  
+31 595 551772  
Fax: +31 (0) 222 319674  
cato@nioz.nl

## WWF

---

### **Anne-Beth Skrede**

Senior Marine Conservation Officer  
WWF-Norway  
Kristian Augusts gt 7A  
Postboks 6784, St. Olavs plass  
NO-0130 Oslo  
Norway

Tel + 47 90 74 76 98  
Fax + 47 22 20 06 66  
abskrede@wwf.no

## GEF-UNDP

---

### **Andrew Hudson**

Principal Technical Advisor, International Waters  
United Nations Development Programme /  
Global Environment Facility (UNDP-GEF)  
FF-914  
1 United Nations Plaza  
New York, NY 10017  
USA

Tel: + 1 212 906 6228  
andrew.hudson@undp.org

## IMO-MED

---

### **Miguel Palomares**

Director, Marine Environment Division  
International Maritime Organization (IMO)  
4 Albert Embankment  
London SE1 7SR  
United Kingdom

Tel: 0044 207 587 3218  
[mpalomar@imo.org](mailto:mpalomar@imo.org)

### **Stefan Micallef**

Deputy Director  
Marine Environment Division  
International Maritime Organization (IMO)  
4 Albert Embankment  
London SE1 7SR  
United Kingdom

Tel: 0044 207 587 3142  
[smicallef@imo.org](mailto:smicallef@imo.org)

### **Dandu Pughic**

Head, Marine Biosafety Section  
International Maritime Organization (IMO)  
4 Albert Embankment  
London SE1 7SR  
United Kingdom

Tel: 0044 207 587 3247  
dpughic@imo.org

**Mr. Malamine Thiam**

TC Co-ordination and Major Projects  
Marine Environment Division  
International Maritime Organization (IMO)  
4 Albert Embankment  
London SE1 7SR  
United Kingdom

Tel: 0044 207 587 3188  
mthiam@imo.org

## GloBallast PCU

---

### **Jose Matheickal**

Chief Technical Adviser  
GloBallast Partnerships  
International Maritime Organization  
4 Albert Embankment  
London SE1 7SR  
United Kingdom

Tel: +44 20 75873279  
Fax: +44 20 7587 3210 /  
+44-20 7587 3261  
Cell: +44-7876688329  
jmatheic@imo.org,  
joematjo@gmail.com

### **Alexandra Puhl**

Administrative Assistant  
GloBallast Partnerships  
Marine Environment Division  
International Maritime Organization  
4 Albert Embankment  
London SE1 7SR  
United Kingdom

Fax: +44 20 7587 3210 /  
+44-20 7587 3261  
apuhl@imo.org

### **Jessy Whitehead**

Administrative Assistant  
Marine Biosafety Section  
Marine Environment Division  
International Maritime Organization  
4 Albert Embankment  
London SE1 7SR  
United Kingdom

Tel: +44 20 7 587 3124  
jwhitehead@imo.org

# **Appendix 2: Minutes of the Meeting**



## **Minutes of the First GPTF Meeting**

The meeting was attended by 28 delegates (the list of participants is given in Annex 1)

The opening session was addressed by:

- Mr. Miguel Palomares, Director, Marine Environment Division, International Maritime Organisation
- Mr Andrew Hudson, Principal Technical Advisor, International Waters, United Nations Development Programme, Global Environment Facility.
- Mr. Stefan Micallef, Deputy Director, Marine Environment Division, International Maritime Organisation
- Mr. Dandu Pughiuc, Head, Marine Biosafety Division, International Maritime Organisation
- Mr. Jose Matheickal, Chief Technical Advisor, GloBallast Partnerships, International Maritime Organization

### **Opening remarks and welcome messages**

The Director of IMO Marine Environment Division and Co-Chair of this GPTF Meeting, Mr. Palomares, opened the meeting and welcomed the delegates. He also stated that the meeting would be co-chaired by various IMO Secretariat representatives and GEF-UNDP representative and that Mr Jose Matheickal, the Chief Technical Adviser (CTA) for the Project would act as the Secretary to the meeting. GEF-UNDP representative, Mr. Andrew Hudson also welcomed the participants. Mr. S. Micallef, Deputy Director, IMO marine Environment Division continued to c-chair the meeting, outlined housekeeping arrangements and introduced the programme. This was followed by self-introduction of the GPTF participants.

### **Agenda Item 1: Adoption of the Agenda**

The Chairman invited the meeting to adopt the Agenda as in document GPTF 1/1. In the absence of any comments, the Chairman concluded that the Agenda has been adopted.

### **Agenda Item 2: GPTF Terms of reference**

The Chairman emphasised the importance of the GPTF as the highest advisory body of the project and invited the Secretariat to introduce the document GPTF 1/2.

Following the introduction of the document GPTF 1 / 2 the following comments were received:

- change the use of word “shall” to “should” in the ToR – to reflect some flexibility
- include a list of Acronyms used in the documents
- include a list participating countries in the ToR, as well as a list of RCOs
- Editorial changes to confirm that GPTF meeting will take place bi-annually and not annually and the next two meetings will take place in 2010 and 2012.
- India highlighted the importance of including representatives from Pilot Phase participants in the GPTF, who can bring their pilot phase experience to such a meeting. PCU clarified this as an omission in the document and agreed to include this. Also, the UNDP-ProDoc has included two representatives of Pilot Phase in the GPTF on a rotational basis.
- Request was made to translate the GPTF meeting report to various UN languages for circulation to the Project participants. It was agreed that this is simply a matter of resources

and that, subject to availability of resources, an executive summary of the meeting report would be circulated in various UN languages.

The Chairman invited the GEF-UNDP representative to inform the meeting on the previous experience in participating at GPTF meetings, the lessons learned and what is expected from the first GPTF.

Further to comments made by GEF-UNDP on GPTF meetings, the Chairman highlighted the need of a Rules of Procedures (RoP) to provide a uniform basis for the GPTF, to conduct the GPTF work in an efficient and effective manner, having regard to the available resources of the Project.

The Chairman invited the secretariat to introduce the document GPTF 1 / 2 / 1 that described the draft Rules of Procedures (RoP) for GPTF Meeting. In the absence of comments, except for some editorial changes, the RoP was approved and adopted by the GPTF. The Chairman also mentioned that the RoP will be kept under review and updated if necessary in the next GPTF Meeting.

### **Agenda Item 3: Project Implementation Plan (PIP)**

The Chairman referred to the PIP as a transcript of the UNDP Project Document (ProDoc) in practical language and stated that the overall framework remained the same. A budget revision was undertaken in light of the PIP although the total figures are maintained for the duration of the Project.

The PIP, as given GPTF 1/3 was presented by the CTA, using a power point presentation (provided in Appendix 4 to this report).

ICS suggested that considering the increased interest by the global community on hull fouling and the increasing evidence that hull fouling might be an equally important vector in the translocation of invasive species, the project and GPTF should keep this aspect under radar and whenever possible link the project to global initiatives on hull fouling. This was supported by India and WWF. It was agreed that hull fouling should be kept on the radar of the PIP plan although PIP should keep its focus on the issue of Ballast Water. The next GPTF may review this in the next meeting.

GEF-UNDP also suggested that one should keep an eye on this issue although no GEF funding may be currently available to support such activities within the current project framework. GEF is currently focussing on depleted fisheries and ecosystem based management approaches. However, as the international discussion progresses, one could bring this to GEF attention.

In the absence of any further comments, the Chairman concluded that the PIP was approved by the GPTF and could be disseminated.

### **Agenda Item 4: Overall Work Plan and Budget**

The Work Plan and Budget for the next five years was presented by CTA. Document GPTF 1 / 4 was introduced and the details of the work plan and budget was discussed using a power-point presentation (given in Appendix 4 to this report). The following comments were made:

- The representative from India voiced his concern that the work plan did not include an important aspect of the issue – i.e, port biological baseline survey. India is currently undertaking such surveys in other ports following the port baseline surveys conducted in the demonstration site. India highlighted the importance of such information collection to help develop national policies and strategies.
- CTA explained that the importance of PBS is not diluted in this project and hoped that the participating countries would mobilize resources to do actual surveys. The project will bring in assistance by organizing hands-on training on port biological baseline surveys at regional

level. Financing PBS surveys from GEF project budget will exhaust almost all the available budget and hence this approach was taken, with an expectation that lead countries will utilize such capacities built in order to carry out actual surveys.

The representative from Jordan noted that it is very difficult for developing countries to determine which species are alien species and which are native. It would be more appropriate to establish a black-list of harmful species and to keep monitoring for those species. The CTA pointed out that this aspect is still debatable as any species could be a potential invader and harmful species. The representative from ICS then pointed out that our aim should be focused on prevention of such transfers and the Project should aim for implementation of the Convention that has a focus on prevention aspect.

Jordan also mentioned that new developments in molecular taxonomy could be encouraged to quickly identify invasive species and this was supported by CPPS.

Representative from India noted that a baseline survey needs to be done and a database needs to be created for these findings. In addition, India highlighted that collection of relevant information on transfer of ballast water by the ships is another important aspect in the management of ballast water. He further added that electronic ballast water reporting is easy and cost effective and encouraged the GloBallast countries to use such tools available. India also offered the assistance in sharing the experience and tools developed in collecting such information from ships including the self-correcting e-reporting form developed by India.

Clarifications were sought on the allocation of resources for the Technical Advisory Services for the project. The PCU clarified that these will be the services and technical support provided by the Programme Coordination Unit and includes the salary of the PCU team at IMO. The PCU is still extremely lean for a project of this scope and duration. In addition to the project management and global coordination responsibilities, the PCU will consist of technical experts to assist the countries in implementing the Project. However, expertise, not available within PCU will be procured on a need basis.

CTA explained the allocation of resources at global, regional and national level in accordance with the objectives of the project and project design. The main GEF intervention will be in the capacity building activities at regional level and the resources will be used to support the participation of partnering countries in the capacity building / training activities hosted by the LPCs. While it is expected that the LPCs will take the major responsibility for their own national level activities, certain limited GEF seed allocations are made in the project budget for procuring specific expertise / services to help with some of the national level activities. However, this will be based on a discussion between the LPC, RCO and PCU and on a need assessment and performance of the LPCs in terms of progressing the National Action Plan.

In the absence of any major comments on the overall work plan and budget, the Chairman concluded that the PCU, with the necessary guidance from IMO and UNDP will duly observe the comments made and take the appropriate action to implement the work plan with the direct help and assistance of the Regional Coordinating Organizations and National Focal Points.

Following the adoption of the overall work plan, the Chairman invited the PCU to introduce GPTF 1/4/3 regarding the immediate work plan and budget for year 2008-2009. The CTA introduced the paper and explained the contents with the help of a power-point presentation.

The CTA highlighted that the immediate priorities are activity 1.1 i.e., *Project management and Coordination Structure to be in place at global, regional and national level* and activity 2.1 i.e., *Institutional capacities are enhanced through a comprehensive training program on ballast water management*. Additionally, it is expected that the LPCs would initiate a rapid assessment of their national situation including economic assessments to assist with the development of a national policy.

PCU is expected to coordinate the global level effort to develop a template and guideline for such rapid assessments and economic impact assessments and make these available to the LPCs for their follow ups. Additionally it was expected that a Regional Task Force (RTF) Meeting will be held during 2008 in all the regions to initiate the development of a regional strategy for ballast water management and to ensure that the national policy development will be in harmony with such a regional approach. On this issue, Croatia expressed their willingness to host the first Regional Task Force Meeting for the Mediterranean Region.

As part of activity 1.1, the PCU stated that most of the LPCs have nominated their National Focal Point (NFP) and National Project Coordinator (NPC). However, such nominations are still expected from remaining LPCs. The LPCs who have not nominated their NFPs and NPCs were therefore requested to give their urgent attention to this matter. Reference was also made to the need for initiating National Task Force Formation and agreeing on a national work plan which was again discussed under agenda item 14.

The Chairman invited the expert from Financial Services Section of IMO to explain the Financial Regulations for the execution of the budget emphasising the importance of proper management of the accounts and the financial reporting to IMO through the Regional Coordinating Organizations.

IMO Financial Services gave an overview of the financial reporting for the implementation of the Project. Project funds disbursement will be done on an activity to activity basis, based on an agreed budget for specific activities at the regional level. The existing MOUs with RCOs will be used as much as possible for such fund transfer. RCOs will be requested to submit a financial report to IMO for the expenses incurred, along with supporting documents. If an agreement is reached to access the funds for procurement of expertise or services to support any pre-agreed national level activities, the administration of such procurements will be the responsibility of the RCOs, although such services/expertise can be identified by the NFP who will advise the RCO accordingly. RCOs will include, in their financial report to IMO, any such procurement to support specific national activities within their region.

IMO FS will advise the RCOs the details needed for financial reporting. It is expected that there would not be a change in the way such financial reporting had been done in the past between RCOs and IMO, and IMO FS will work out a way how such reporting will be incorporated into the IMO-UNDP financial reporting mechanism.

Some delegates requested clarifications on the co-financing aspect and the need to report country co-financing. It was explained that it is important to capture all the country co-financing, as this is one of the requirement of GEF. However, the level of such reporting and the details needed will be totally different compared to the financial reporting for the expenses under GEF cash allocations. The co-financing report by LPCs and RCOs will be a rough estimate based on certain assumptions to give an idea about the actual commitment of the countries and RCOs compared to their original pledge during the project proposal and will also be an indication of the country's drivenness. PCU will develop a template for such co-financing reporting so that some standardization can be achieved among the participating countries.

#### **Agenda Item 5: PCU Progress Report**

The Chairman referred to the fact that the CTA was recruited by IMO at beginning of October 2007, and soon after that the efforts to recruit the Technical Adviser and Administrative Assistant for the project were initiated. The Technical Adviser is expected to join the PCU by first week of June 2008 and the Administrative Assistant by middle April. The CTA in the meantime has initiated the planning and implementation of certain preparatory activities in January 2008 and therefore suggest that the project may be considered officially launched on 1<sup>st</sup> January 2008.

The Chairman invited the Secretariat to introduce document GPTF 1/5. The CTA gave an overview of the main tasks carried out since the project was approved by GEF until the GPTF meeting.

The GPTF agreed that raising awareness of the issue is still an important aspect of the project and encouraged the PCU to distribute the IMO-BBC film “Invaders from the Sea” to all the LPCs and to translate the film into different languages. Some countries volunteered to translate the documentary into their national languages. The PCU expressed its appreciation to the initiatives and offer by several countries in translating the documentary. PCU mentioned that the copy-right of the movie is with IMO and that IMO has the free distribution / broadcasting rights for the movie in developing countries. If any GloBallast country wishes to broadcast the documentary, the PCU can transfer the broadcasting rights to the national TV Channels, provided a written request is made either by the Government or the National TV Channel to IMO (addressed to GloBallast PCU). PCU also requested that the English script of the movie can also be sent to the requesting organization for sub-titling / translation purpose, however, this should include some vetting process of the draft translation either by IMO (if translated into UN languages) or by the National Administration (if translated into other languages).

Suggestions were made by the participants that PCU could send a pre-authorisation to the countries through the RCOs for broadcasting of the documentary, thus avoiding the need for the request to be initiated by the countries. PCU suggested that it will check with IMO legal office if this is possible and if yes, such a procedure can be adopted. However, the process of vetting the translation still needs to be followed.

The Chairman stated that ensuring continuity between GloBallast Phase-1 and the GloBallast Partnerships was crucial to the success of the Project and to sustain momentum precipitated by pilot phase. The PDF-B phase of this project to prepare the Project Proposal and Project Document provided the bridge between the two phases, although there was some delay in the Project approval by the GEF Council due to postponement of Council meetings.

The Chairman stated that UNDP and IMO gave considerable attention to ensure the continuity between the two phases. While it usually takes a long time for such global projects to fully establish the PCU, the GloBallast PCU was able to initiate a number of activities identified in the Project Plan and even concluded certain global level activities such as the updating of Training Document and certain regional activities such as the Regional Training in Wider Caribbean Region. The financial and back-stopping support from IMO significantly helped the PCU in giving a jump-start to the Project without much delay.

The GPTF congratulated the PCU for the progress achieved. GEF-UNDP expressed its appreciation of the efforts carried out by a one-member PCU and hoped that the recruitment of the Technical Adviser in the PCU will be completed by June 2008.

### **Agenda Item 6: Regional Coordinating Organizations (RCO) status reports**

The Chairman invited the six RCOs to present an overview of their region, the status of ballast water management issues and a brief description of the RCO structure and functions.

The following RCOs presented the Status Report using power point presentations (provided in Appendix 4 to this report).

- REMPEC and RAC/SPA
  - RAC-REMPEITC
  - SPREP
  - CPPS
  - PERSGA
- RCO for Mediterranean Region
  - RCO for Wider Caribbean Region
  - RCO for South Pacific Region
  - RCO for South East Pacific Region
  - RCO for Red Sea and Gulf of Aden Region  
(presented by Dr. Salim Moghrabi of Jordan on behalf of PERSGA, upon request made by PCU)

RCO for West and Central Africa Region - GCLME could not attend the meeting and hence no presentations were made for this region.

Certain presentations also highlighted the regional level efforts to link the ballast water / invasive species issues to the Convention on Biodiversity (CBD). Suggestions were also made that the Project should also encourage countries having a large registry such as Bahamas and Panama to participate in the Project more actively. A brief discussion took place on whether any additional protocols are required to be developed under the Regional Conventions, in order to address ballast water issues. The general consensus was that in most cases the existing protocols would suffice. It was agreed that the efforts at the regional level should be to support the uniform implementation of the IMO BWM Convention.

Presentations by SPREP highlighted the GEF initiatives such as the Pacific Invasive Species Management Project and the related workshops conducted in all SPREP countries. Such workshops were used to screen the IMO BBC Documentary as well. The need for bringing New Zealand and Australia as active supporters of GloBallast activities in the SPREP region was also highlighted.

It was noted by PCU that the RCOs play a central role to the implementation and success of the Project and thanked the RCOs for the continuous support throughout the preparations for the Project and for taking various initiatives. Clarifications were also made that pilot regions of the GloBallast Phase-1 would be called upon as providers of expertise and for sharing experience and that all efforts, wherever possible, will be made to sustain the momentum precipitated in the first phase.

### **Agenda Item 7: Lead Partnering Countries (LPC) status report**

All LPCs who participated in the GPTF presented a report on the national perspectives of the ballast water issues, a short statistics of maritime traffic and marine resources, status of the ballast water discussions at national level as well as any initiatives / projects undertaken so far.

An additional presentation was made by Turkey on the status of a National Project on Ballast Water Management executed by TUBITAK and funded (~US\$1 million) by the Under Secretariat of Maritime Affairs, Turkey.

The Country Status Reports as delivered in the GPTF meeting are given in Appendix 4 to this report.

**Agenda Item 8: Pilot Country Presentations regarding Pilot Project Experiences / lessons and post pilot-phase activities**

The Chairman invited the two representatives of the GloBallast Phase-1 pilot countries (India and I.R. Iran) to share their experience learned and to provide their suggestions for the implementation of second phase and also to give a brief overview of the post-pilot phase activities.

India presented an overview of the activities and focussed on the post-project activities including the self-correcting electronic ballast water reporting form being used for data collection on ballast water transfer. India also gave a brief demonstration of a software model developed to undertake modelling for designation of ballast discharge zones as a contingency measure. India is currently expanding the port baseline surveys to two major other ports. India also gave an update on the first International Conference on Ballast Water and Biofouling organized by National Institute of Oceanography (NIO), Goa.

I.R. Iran focussed on the lessons learned from the pilot phase and emphasised that the focus of the second phase should be more on implementation of the Convention and especially on developing and implementing compliance monitoring and enforcement.

The Chairman encouraged the pilot country representatives to share their experience and lessons learned with new GloBallast Countries throughout the duration of the Project, which is central to the strategy adopted in the Project.

Power point Presentations of both Pilot Countries are given in Appendix 4.

**Agenda Item 9: NGO / Strategic Partners Information Papers on their involvement in ballast water issues**

WWF gave a power point presentation on the organization and current efforts focussed on invasive species and ballast water management. The power point presentation is provided in Appendix 4.

Both, International Chamber of Shipping (ICS) and World Conservation Union (IUCN) gave an oral report of their activities and perspectives on ballast water issues.

The presentation by IUCN highlighted the high priority given by IUCN on invasive species issues and briefly described IUCN activities within Invasive Species Specialist Groups, Global Marine Programme and the several projects aimed at awareness raising and empowerment of Governments to address the issues. Several projects in Chile and Ecuador are in relation to the aquaculture activities. IUCN also plays a key role in the area of Marine Protected Areas. IUCN considers that several of the GloBallast activities are complementary to its own objectives and many opportunities exist for exchange of expertise, experience and information. IUCN has the global network and the information sources that can bring significant value to the project implementation and in reaching the objectives.

ICS gave an overview of the objectives of the organization and the facts that it represents national ship owner associations. Together, over 75% of world shipping is represented through such national associations.

PCU also stated that ICS could add significant value to the project by encouraging their national ship owners association to participate in the national stakeholder meetings to bring the industry perspectives and support. In addition, ICS could also contribute to the Global Industry Alliance (GIA) being established under the GloBallast project Framework. Answering to a question on the Model Ballast Water Management Plan being developed jointly by ICS and INTERTANKO, ICS replied that the revised version is well under progress and one could expect such a revised model available soon. ICS repeatedly requested the countries present in GPTF to inform ICS of any ballast water

management requirements in their countries so that they could inform their members of such requirements.

#### **Agenda Item 10: Progressing BWM Convention Implementation through existing Regional Mechanism and Frameworks – Working Group Discussion**

The Chairman stated that the Project envisages a key objective of achieving regional cooperation and harmonization of policies with a view to support the uniform implementation of the BWM Convention. A global forum such as the GPTF could significantly assist in discussing the major hurdles in achieving these objectives in their own regions and discuss opportunities within the Project framework to overcome such barriers. The delegates were therefore requested to form a discussion group to discuss the regional approaches, appropriate regional mechanisms that could be utilized, steps towards achieving regional cooperation, and measures to accelerate the implementation of the Convention through regional approaches.

To facilitate the discussions the PCU introduced the paper GPTF 1/10 and opened the floor for discussions. The group felt that all the five aspects of the regional cooperation and approaches given in the paper are important, however, there was a general feeling that the details would vary from region to region. The group therefore recommended that such a discussion should be part of the regional task force meeting and such a document could form the basis of regional discussions.

#### **Agenda Item 11: Key Components of Rapid Status Assessment at National Level – Working Group Discussion**

The Chairman stated that one of the first national level initiatives within the PIP is the undertaking of a rapid status assessment by the LPCs. Since the PCU will be expected to develop and distribute guidelines for such rapid assessments, it would be beneficial to get a consensus on the preliminary scope of such a rapid assessment and what is practical within the country resources and expertise available.

The Chairman therefore invited the delegates to review the document GPTF 1/11 and to discuss the key areas for baseline information collection that will assist the national policy development and to identify the key data collection components to be included in such a rapid assessment. The PCU led the discussion on this agenda item. Several suggestions were made to include in such an exercise and these include:

11. General Information on coastal marine ecology and local / current species.
12. Specific information on Marine Protected Areas if any.
13. Number and location of international maritime ports and their traffic mix (e.g. oil, minerals, containers, tourists, etc.)
14. Information on quantity and source of ballast water received by the country and discharge patterns
15. Incidences, known locations and impacts of past marine bio-invasions including consequences of invasions and response capability
16. Policies and legislation governing ballast water management
17. Review of the implications of BWMC ratification
18. Review of related marine policies and legislation (including UNCLOS and the CBD)

19. Analysis of current port state control practices and the compliance monitoring and enforcement regime in place
20. A review of key stakeholders
21. Identification and listing of country-based ballast water, maritime and marine biology experts and consultants, as well as technical and training institutes.

### **Agenda Item 12: Global Industry Alliance (GIA) Establishment and GIA Fund**

The Chairman emphasised that the Project includes a major private sector partnership component to facilitate increased industry participation during the implementation of the Project. The Chairman invited the Secretariat to introduce document GPTF 1/12, that explains a model to establish such an industry partnership through the establishment of Global Industry Alliance (GIA) and GIA Fund.

The CTA introduced the paper and also gave an update that draft MOUs were developed to support the formation of GIA. Currently three major shipping organizations have officially notified of their intention to join the GIA and discussions with several other companies are on-going. The CTA explained that the aim is to complete the establishment of GIA by August 2008 and to officially launch GIA either during the next MEPC58 or during the fourth International Conference on ballast water management to be held in Singapore in October 2008.

The GPTF took note of this information.

### **Agenda Item 13: National Taskforce Guidelines and Terms of Reference**

The Chairman referred to the Project Activity – “*Establishment of National Task Forces*”- and suggested that no single entity would be able to address all the issues associated with ballast water and this would require partnerships and sharing of responsibilities by a number of agencies and organizations at national level. Also, combination of poor information and no delegation or assumption of leadership on the part of any specific agency makes it impossible to address the issue effectively or at all. Establishment of a National Task Force and designation of Lead Agency are seen as the most important, early priorities to address ballast-water related issues.

Establishment of National Task Forces significantly assisted the Project Implementation and development of National Policies and Strategies in the pilot countries and it is a very high expectation that the GloBallast LPCs would establish such National Task Forces as early as possible. In order to assist the LPCs in establishing the NTF, the PCU, with the experience learned from the pilot phase, developed a set of guidelines that the LPC may wish to use in such a process. The purpose of these Guidelines is to provide assistance, advice and guidance to the Contact Points of the Lead Agencies in each country on the establishment and running of a NTF, as an inter-ministerial and cross-sectoral forum for the effective implementation of ballast-water related activities at the country level.

The Chairman invited the Secretariat to introduce document GPTF 1/13. The CTA explained that this document is meant to be a guideline only to assist the National task Force development and NTF meetings. The CTA brought to the attention of the group that certain LPCs have already started the process- for example Jamaica. The CTA once again highlighted the importance and the usefulness of such NTFs and hoped that the LPCs would initiate this as a matter of priority and inform PCU of the progress at national level.

It was also agreed that training institutes be included in the NTF. Certain delegates suggested that relevant national media organizations be invited to such meetings as observers. However, there were concerns that this might not allow open discussions in such meetings. In any case, this will be left to the decision of the countries.

#### **Agenda Item 14: National Work Plan Template**

The Chairman stated that in order to ensure standardisation and a consistent approach across each LPCs, and to reduce the effort required by each NTF, it will be beneficial to agree on a template for national work plan that identifies the national level activities and tentative timeline for each LPC. The Chairman invited the Secretariat to introduce document GPTF 1/14, explaining the concept behind such a template. This template is given in Annex 1 of GPTF 1/14, and is included as Appendix 3 to this report.

The CTA explained that there is an expectation that the LPCs would discuss the national work plan in their first meeting and will use the template to inform RCOs and PCU of their national plans. The CTA highlighted that it is of utmost important that the LPCs complete this work plan as early as possible and share this with RCOs and PCU.

#### **Agenda Item 15: Terms of Reference for Regional Task Forces**

The Chairman referred to the importance of the regional dimension and emphasised that this project is expected to set the stage for broader regional co-operation on the issue of ballast water transfer. He also stated that lack of action on the regional level could become a serious barrier to progress if single country actions were to lead to other nations using the lack of adequate ballast water management provisions to attract greater interest in their ports. The Chairman further stated that the regional task forces are expected to advise, learn from and hopefully co-operate with work undertaken in each of the participating countries.

The Chairman invited the Secretariat to introduce document GPTF 1/15 explaining the draft ToR for the RTF. It was agreed that the National Task Force Meeting will be held before the Regional Task Force, and both will be held prior to the GPTF meetings.

#### **Agenda item 16: Forthcoming National Seminars, awareness generation activities and NTF meetings**

The Chairman stated that without information on the actual and potential seriousness of impacts, action to remediate the problem will not be taken and further emphasised the importance of communication, education, public participation and community consultation.

A discussion was followed to identify opportunities for national seminars, awareness generation activities and NTF meetings that the LPCs can organize in the near future.

The CTA requested the LPCs of informing the RCOs and PCU of any such opportunities although no specific activities were identified during this discussion. The group was informed of the forthcoming Regional Training in Mediterranean Region.

#### **Agenda Item 17: Updated GloBallast Training Package and Regional Training Activities for 2008-2009**

Introducing the document GPTF 1/17, the PCU provided an update on the training package development undertaken by GloBallast and the major revision that was carried out in 2007. The GPTF was also informed of the training activity organized by RAC-REMPEITC for the wider Caribbean Region and hosted by LPC Jamaica. Representative of Jamaica mentioned that this was a very useful activity and especially for the host country who could send maximum number of participants to such a training. The Training also resulted in a set of recommendations as well as it gave an opportunity to initiate discussions on National Task Force as most of the organizations were represented in the meeting. Jamaica also mentioned that all countries in the region could have been invited for such a training and many countries would be willing to attend such training using their own resources.

The PCU mentioned that regional training deliveries in Mediterranean, Red Sea and Gulf of Aden, South East Pacific, South Pacific, GCLME regions are expected to be delivered in 2008. It is expected that one of the LPCs would host such trainings and the advantages of hosting such training would include maximum participation of host country trainees. Major objectives of the training would also include the “Train-the-Trainer” objective and it is hoped that the training participants will facilitate further national deliveries of the training. PCU will make available the training package including the trainees manual, trainers manual and the power-point presentations.

Suggestions were also made that one of the training deliveries could be filmed and such a film could be used for further trainings. Request was also made to develop a data base of instructors that the countries could use for such training. PCU informed that at global level a database of instructors is being developed and will be shared with the countries.

The GPTF emphasised that the training package be translated into various languages and encouraged PCU to identify resources and opportunities for this. In addition strong support was expressed to the idea of developing e-learning format of the GloBallast training package.

### **Agenda Item 18: Proposed Project Implementation MoUS**

This aspect was partially discussed under agenda item 4. PCU informed that there might be a need for a development of a project specific MOUs with the RCOs to facilitate the fund transfer. However, existing MOUs with RCOs will be reviewed and bilateral discussions with RCOs could decide the need for any amendments or creation of new MOUs.

The meeting was closed at 5 pm on Friday, 28 March 2008.

### **ACTION LIST**

<b>Action</b>	<b>By</b>	<b>Comments</b>
Translate the executive summary of First GPTF Report into other UN languages	PCU	PCU will explore the resources available and implement this action accordingly
Include a discussion on Hull Fouling in the forthcoming GPTF meetings	PCU	
Explore opportunities to include molecular tools for invasive species taxonomy purpose – in future port baseline survey training	PCU	In discussion with Jordan and CPPS
Develop guidelines for a) Rapid Assessment and b) Economic Impact Assessments (first two national level activities within the Project Framework)	PCU	Partnership opportunities with IUCN will be explored. Guidelines to be disseminated to the LPCs and PCs
LPCs to designate Lead Agency (LA) for implementation of Project and to nominate National Focal Point (NFP) and National Project Coordinator (NPC) for the Project	LPC	

Organize the first National Task Force (NTF) Meeting before the Regional Task Force Meeting	LPC – Lead Agency / NFP	
Regional Task Force Meeting to be held in 2008	RCO	RCO needs to communicate this to the countries in the regions, identify a host country and request for nominations to the RTF meeting, preferably the NFPs for ballast water issues.
Guidelines and details for RCO Financial Reporting	IMO-FS / PCU	
IMO-RCO MoU	PCU / IMO	Review the current MOUs and if needed amend / develop a new MoU
Circulate a template how to report Co-financing by LPCs and RCOs	PCU	
Transfer Broadcasting rights of Invaders from Sea documentary to LPCs and PCs	PCU	PCU will check the legal issues involved and advise LPCs and RCOs accordingly
National Broadcasting of Invaders from Sea	LPCs and PCs	Upon official request PCU can send the English Script of the documentary for translation Purpose. UN language translation needs to be vetted by IMO and other National Language Translations to be vetted by the Administration
Sharing of E-Reporting Software developed in India with LPCs and PCs	India	LPCs are requested to send their official expression of interest to India Focal Point if they would like to use the software developed by India
To formalize Global Industry Alliance (GIA) within the Project framework	PCU	PCU to finalize the MoUs with partnering private sector and to launch the GIA in Sept/Oct 2008
Complete National Work Plan and to communicate this to RCO and IMO/PCU	LPCs	To be finalized at the first National Task Force Meeting and based on the template agreed at the GPTF.
Finalise the 2008-2009 Project Regional Activities, venue and tentative time-frame.	PCU and RCO	Need to identify host countries and agree on resources needed.
Develop E-learning package for GloBallast Training	PCU	
Distribute the Project Implementation Plan (PIP) to all LPCs and PCs	RCO	RCO to amend the Global PIP to include region specific details and to circulate this widely.

# **Appendix 3: National Work Plan Template**





---

**NATIONAL WORKPLAN**  
**for**  
**(add Country Name)**

---







# **Appendix 4: GPTF PowerPoint Presentations**

Published as a separate document due to document size considerations.