

# Evaluation of the European Maritime Safety Agency

Final Report

April 2008



COWI

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### Final Report

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## List of abbreviations

ABAC	Accrual Based Accounting
ABC	Activity Based Costing
BIMCO	Baltic and International Maritime Council
CDR	Career Development Review
COSS	the Committee on Safe Seas and the Prevention of Pollution from Ships
EEZ	Exclusive Economic Zone
EMCIP	European Marine Casualty Information Platform
EMSA	European Maritime Safety Agency
EU	European Union
HNS Convention	Convention on Liability and Compensation for Damage in Connection with the Carriage of Hazardous and Noxious Substances by Sea
ILO	International Labour Organization
IMO	International Maritime Organization
ITF	International Transport Workers Federation
LRIT	Long Range Identification and Tracking of Ships
MARPOL	International Convention for the Prevention of Pollution from Ships
MS	Member State
Paris MOU	The Paris Memorandum of Understanding on Port State Control
PSC	Port State Control
RDP	Research and Development Programme

RO	Recognised Organisation
SOLAS	International Convention on the Safety of Life at Sea
STCW	International Convention on Standards of Training, Certification and Watchkeeping
SSN	SafeSeaNet
UNCLOS	United Nations Convention on the Law of the Sea
VTMS	Vessel traffic monitoring system

## Executive Summary

This report presents the results of the evaluation of the European Maritime Safety Agency - EMSA. The evaluation was commissioned by the Administrative Board as required by Regulation EC 1406/2002 as amended. The evaluation was undertaken by COWI A/S.

### Overall evaluation objective

The overall objective of the evaluation is *to assess the relevance of the Regulation and the effectiveness and efficiency of EMSA in fulfilling its objectives and tasks. Impact and sustainability cannot yet be fully assessed. Tentative conclusions on utility and sustainability will be made to the extent that the data collected allows.*

The Terms of Reference and COWI's technical proposal constitute the basis for the evaluation. The Administrative Board of the Agency set up a Steering Group to monitor and supervise the work and the progress of the evaluation.

### Products of the evaluation process

As a result of the evaluation process, the evaluator has submitted the following documents to the Steering Group and the Administrative Board:

- (i) an Inception report specifying the evaluation methodology (approved by the Steering Group on 17 September 2007)
- (ii) a Report on Preliminary Conclusions approved by the Steering Group on 28 November, 2007
- (iii) a draft Final Report submitted to the Steering Group on January 11, 2008
- (iv) on receiving comments to the draft version, the present Final Report was submitted on 6 February, 2008.

### Evaluation data

The basis for evaluation findings, conclusions and recommendations are the following data:

- Material from EMSA's web site and other documents provided by EMSA
- Documents from DGTREN's website
- Qualitative data from interviews with the Executive Director, Heads of Units and staff members during the first mission to EMSA in September and the second mission to EMSA in November
- Quantitative data from a questionnaire sent to all 27 Member States. 24 Member States have responded (89%) (see Questionnaire in App. 2)

- Qualitative data from person-to-person interviews with representatives from the maritime administrations of 18 Member States (incl. Iceland and Norway) (all Member States invited - all Member States who indicated their interest were interviewed at MSC Conference in Copenhagen); 12 representatives of the Commission (DG TREN and DG ENV based on selection by the Steering Group and the Consultant); 4 Members of the European Parliament (based on relevance in relation to the transport/maritime sector); Two members of EMSA's Administrative Board appointed by the Commission to represent the sector; representatives of BIMCO and IMO (see List of Interviewees in App. 3).

Overall conclusion	<p>It is the overall conclusion from the evaluation that the establishment of EMSA has filled a gap in the maritime safety area in the European Union. The Agency has quickly grown in terms of its tasks and importance to become a significant actor in the maritime safety area. The Agency has added value to the sector in general, and, in particular, to its two main stakeholders, the Member States and the Commission.</p> <p>Established, from scratch, in 2002, the Agency has been quick - not only in building its own organisation - but also in delivering useful outputs to its stakeholders. In general, EMSA's stakeholders are therefore also satisfied with its performance.</p>
Relevance	<p>The EMSA Regulation, and hence EMSA itself, is highly relevant. The data collected supports the conclusion that the Regulation fulfilled a need felt among Member States and the Commission at the time of its adoption in 2002.</p> <p>The maritime sector in general, as well as the Member States and the European Union, particularly with its enlargement, have changed since 2002. Today, in 2007, the Regulation and the Agency remain highly relevant - perhaps even more so than when it was initially perceived and initiated.</p>
Effectiveness	<p>EMSA's effectiveness is above average - and in many areas it is high. The Agency has contributed significantly to improving the effectiveness of Community-level maritime safety activities in general. The tasks performed by the Agency are thus carried out more effectively today than was the case when the same tasks were dealt with by individual Member States and/or the Commission - if at all - prior to its establishment.</p> <p>Naturally, effectiveness varies among the different areas that the Agency is involved with. Hence, in some areas effectiveness is very high, while in others it is average - and in some cases below average. The evaluation has thus identified a number of areas where effectiveness can be enhanced.</p>
Efficiency	<p>EMSA's efficiency performance is above average. This conclusion takes into consideration the fact that the Agency was established from scratch, that it was relocated from Brussels to Lisbon, and that it has had a very high and rapid growth rate from 1 staff member in 2003 to a staff of more than 150 in 2007.</p>



Not surprisingly, there are a number of areas where efficiency can be improved. This notably concerns the question of activity based costing (ABC) - establishing a transparent relationship between budgets, activities and accounts. When implemented, ABC will facilitate a more thorough analysis of efficiency and become a management instrument for the Agency to further improve its effectiveness and efficiency.

#### Sustainability and utility<sup>1</sup>

It is found that EMSA's main activities provide added value to the Member States and to the work of the Commission, hence indicating a satisfactory utility and sustainability of the activities. Other indications of satisfactory performance measured on these criteria are: Most Member States have experienced administrative savings or expect, in the future, to be able to save administrative resources as a consequence of EMSA's work in certain areas, e.g. those that relate to CleanSeaNet and inspections in connection with the STCW Convention in third countries. Member States also indicate that EMSA has contributed to making legislative proposals technically feasible and acceptable.

#### Recommendations

It is recommended that EMSA:

- Develop a strategy plan covering a 3-5 year perspective
- Develop the annual work programmes to function as operational action plans for the given year
- Develop the annual report to reflect actual achievements made against the targets - and prepare it in a way that it distinguishes between target groups (i.e. the general public and the Administrative Board)
- Develop a direct link between project work plans and unit work plans
- Introduce activity based costing and budgeting
- Improve the action plan for oil pollution preparedness and response with inclusion of strategic elements
- Streamline inspections to Member States
- Apply a strategic and needs-oriented approach to training activities
- Develop the project management capacity through staff training
- Improve the use of IT, specifically in relation to payments and recruitment
- Improve communication planning and activities

The recommendations to the Member States and the Commission include:

- Comprehensive alterations to the current tasks allocated to EMSA are not recommended. There is a need for clarification in some areas and this should mainly be addressed by the development of a strategy plan for the Agency. The Member States and the Commission should support the development of a strategy plan for the Agency and the inclusion of strategic elements in the action plan for oil pollution preparedness and response.

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<sup>1</sup> Findings related to utility and sustainability is indicative. The assessment of utility and sustainability focuses on the longer term impacts (as presented in "Evaluating EU Activities - a practical guide for the Commission Service" (DG BUDG, 2004)). Since EMSA is a young organisation, it is not possible to fully assess these impacts as yet. Albeit these limitations some indications can be given.

They should engage in dialogue with EMSA on future needs and challenges and their expectations to EMSA.

- It is suggested to consider some minor amendments in relation to the EMSA Regulation. Article 22 could be amended to provide for regular evaluations of the implementation of the EMSA Regulation (every 5 years). It could also be considered to include a formal requirement for the Agency (the Executive Director) to produce a strategy plan for the Agency to be updated at least every 3 years.
- The Member States and the Commission - as key end-users - should also support the process of introducing activity-based costing and budgeting in the Agency. Feed-back to EMSA from the Administrative Board will be needed on the level of satisfaction with the reporting and suggestions for further improvement.
- It is recommended that reports from STCW inspections in third countries are made available to the Member States. During the evaluation exercise the first steps have been taken to that effect. It is recommended to assign high priority to developing the secure web-site.
- It is suggested that the Commission considers including wider impact assessments in relation to future EU-wide studies on implementation of Community legislation. The 'terms of reference' for cross-country studies conducted by EMSA could thus be complemented with a requirement to analyse the EU-wide impact on the level of maritime safety. Such assessments could contribute to an improved understanding of the links between the implementation of Community law and the level of maritime safety in Europe.
- When assigning comprehensive new tasks to the Agency, the potential for achieving "value added" should be analysed. It should be transparent (i) in which areas EMSA is supplementing what Member States are already doing - and hence increasing the overall quality for the entire EU, (ii) in which areas EMSA is taking over activities and implementation from Member States allowing them to make savings on their national budgets - and where EMSA is hence adding synergy and economy of scale. Such studies would be in concurrence with recent Commission practice when establishing new agencies.
- Considering that an impact assessment of the EMSA Regulation is currently on-going, it is suggested that the Administrative Board makes this evaluation report available to the responsible contractor.

## 1 Introduction

The Regulation (EC 1406/2002 as amended) under which the European Maritime Safety Agency was established stipulates that the Administrative Board shall commission an independent external evaluation on the implementation of the Regulation within five years from the date of the Agency having taken up its responsibilities. After the completion of an EU tender process, COWI A/S was awarded the contract to undertake the evaluation.

Basis for the evaluation	The Terms of Reference and COWI's technical proposal constitute the basis for the evaluation. The Administrative Board of the Agency has set up a Steering Group to monitor and supervise the work and the progress of the evaluation. The inception report <sup>2</sup> , which further specified the evaluation methodology, was approved by the Steering Group at a meeting in Paris on 17 September 2007.
Accelerated time schedule	During the initial phase of the evaluation, we were informed that the time schedule adopted by the Steering Group had been accelerated compared to the one given in the original Terms of Reference and our proposal. It was agreed to accelerate the project accordingly. During the initial meeting at EMSA on 7 August 2007, a revised time schedule was agreed upon. This time schedule was confirmed and approved at the inception meeting with the Steering Group in Paris.
Preliminary report	As part of the revised time schedule, it was agreed that the evaluation team would submit a report on preliminary conclusions in time for discussion at the Administrative Board meeting on 28 November 2007. This report was submitted on 12 November 2007 and contained overall conclusions but did not present details on data, analyses, etc.
Final report	A draft final report representing the full evaluation report was submitted to the Administrative Board in February 2008 and evaluation results were presented at the Administrative Board meeting on 6 March 2008. The present Final Report constitutes the final and approved output of the evaluation.

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<sup>2</sup> Referred to in the Terms of Reference as "Report on results of the familiarisation phase and proposed approach to write the report".

## 1.1 Purpose of the evaluation

Overall objective

The overall objective of the evaluation is indicated in the textbox below.

### *Box 1.1 Overall objective of the evaluation*

The overall objective of the evaluation is to assess the relevance of the Regulation and the effectiveness and efficiency of EMSA in fulfilling its objectives and tasks. Impact and sustainability cannot yet be fully assessed. Tentative conclusions about utility and sustainability will be made to the extent that data collected allows for such conclusions

The overall objective was reformulated during the inception phase as part of the adjustment of the methodology to reflect standard EU evaluation requirements and terminology<sup>3</sup>.

## 1.2 Methodology

During the inception phase, the methodology was revisited, taking into account what had been learnt during the familiarisation phase, and the fact that the evaluation team was asked to structure the evaluation themes in accordance with the standard EU evaluation terminology. This chapter presents the revised methodology.

### 1.2.1 Five evaluation criteria

The evaluation design is structured in accordance with Commission standards as per the Commission's evaluation guide. The five standard evaluation criteria include:

- 1 Relevance
- 2 Effectiveness
- 3 Efficiency
- 4 Utility
- 5 Sustainability

The evaluation guide stipulates that for *interim evaluations*, *sustainability* does not need to be covered, and that *utility* only needs to be covered in some cases. The EMSA evaluation is an interim evaluation - and for the particular purposes of this evaluation, the following approach to the five evaluation criteria will be followed:

- 1 Relevance - the extent to which the Regulation matches the relevant needs of the sector.
- 2 Effectiveness - the extent to which EMSA is effective in achieving its objectives and tasks, i.e. the degree of objective fulfilment. Since EMSA is

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<sup>3</sup> As presented in "Evaluating EU Activities - a practical guide for the Commission Service" (DG BUDG, 2004)

already scrutinised by the EU Court of Auditors when it comes to verification of accounts and internal procedures, this evaluation will not look into these matters in detail. The evaluation will examine the issue of organisational effectiveness on a broader level, and draw on data and conclusions provided in the Court of Auditors reports.

- 3 Efficiency - the extent to which EMSA performs its designated tasks at reasonable cost in terms of financial and human resources deployed.
- 4 Utility - the extent to which the results and impacts of EMSA's activities correspond to needs and challenges of the sector. The assessment of utility as per the evaluation guide focuses on the longer term impacts. Since EMSA is a young organisation, it is not possible to fully assess these impacts as yet.
- 5 Sustainability - the extent to which outputs and results are sustainable in the medium to long-term. As pointed out above it is too early to assess impact and, much less so, sustainability. It will therefore not be possible to cover these criteria fully.

### 1.2.2 Main evaluation questions

The evaluation has been guided by 18 evaluation questions, which are listed below according to the three relevant criteria (the questions, success criteria and indicators applied are listed in Appendix 1<sup>4</sup>). The majority of the questions refer to effectiveness and efficiency, reflecting the focus of the evaluation.

#### Relevance

- R1: To which extent does the founding regulation and the objectives and tasks formulated for EMSA in the regulation respond to the challenges and needs of the sector?
- R2: To which extent do the priorities reflected in the work programmes and budgets of EMSA reflect the objectives and tasks stated in the regulation?

#### Effectiveness

- ES1: To which extent has results from EMSA's activities led to the fulfilment of the work programmes?
  - ES1.1: To which extent has the implementation of the relevant directives become more effective as a result of EMSA's work?
  - ES1.2: To which extent are the Commission and the Member States in a better position to monitor the implementation of the relevant directives as a result of EMSA's work?

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<sup>4</sup> This appendix is developed on the basis of Appendix 1, Part C of the technical proposal with a view to taking into consideration the application of the EC evaluation guide and focusing the evaluation methodology and making it operational. Some revisions and fine-tuning has taken place during the evaluation process.

- ES1.3: To which extent is the Commission in a better position to prepare new legislation as a result of EMSA's work?
- ES1.4: To which extent has EMSA contributed to reducing the effects of oil spill accidents by providing operational support to MS response actions?
- ES1.5: To which extent has EMSA succeeded in setting up effective working relations with e.g. the Commission, Member States, third countries and classification societies, and what have been the contributions of these towards the attainment of the work programmes?
- ES2: To which extent does the management of EMSA contribute to the effectiveness of its operations?
  - ES2.1: To which extent do EMSA's organisational set-up and decision-making processes contribute to the effectiveness of operations?
  - ES2.2: To which extent do EMSA's procedures for planning and budgeting contribute to the effectiveness of operations?
  - ES2.3: To which extent does EMSA's staff development contribute to the effectiveness of operations?

### **Efficiency**

- EC1: To which extent has EMSA performed its tasks at a reasonable cost in terms of financial and human resources deployed?
  - EC1.1: To which extent has EMSA conducted inspection activities related to port state control, classification societies and seafarer's education systems at a reasonable cost in terms of financial and human resources deployed?
  - EC1.2: To which extent has EMSA procured oil pollution response vessels at a reasonable cost in terms of financial and human resources deployed?
  - EC1.3: To which extent has EMSA developed and procured vessel traffic monitoring system (SafeSeaNet) at a reasonable cost in terms of financial and human resources deployed?

### **1.2.3 Sources of data**

The data collected include:

- Material from EMSA's web site and other documents provided by EMSA
- Documents from website of DGTREN
- Qualitative data from interviews with the Executive Director, Heads of Units and staff members during the first mission to EMSA in September and the second mission to EMSA in November
- Quantitative data from a questionnaire sent to all 27 Member States. 24 Member States have responded (89%) (see Questionnaire in App. 2)
- Qualitative data from person-to-person interviews with representatives from the maritime administrations of 18 Member States (incl. Iceland and Norway) (all Member States invited - all Member States who indicated interest were interviewed at MSC Conference in Copenhagen); 12 representatives of the Commission (DG TREN and DG ENV based on selection by the Steering Group and the Consultant); 4 Members of the European Par-

liament (based on relevance in relation to the transport/maritime sector); Two members of EMSA's Administrative Board appointed by the Commission to represent the sector; representatives of BIMCO and IMO (see List of Interviewees in App. 3).

#### **1.2.4 The structure of the report**

The report includes, in addition to the Executive summary and Introduction, the following chapters:

- Chapter 2 includes background information for understanding EMSA's setup and role. It provides a description of EMSA and an overview of the EU legal and policy framework for the maritime sector.
- In Chapter 3 we present the findings. They are structured under headings which refer to EMSA's main tasks.
- Chapter 4 contains the conclusions in relation to relevance, effectiveness, efficiency and utility/sustainability, respectively.
- Finally, in Chapter 5 we present the recommendations.

## 2 EMSA's role in the EU maritime sector

This chapter provides background information for the understanding of EMSA's work. EMSA operates in global maritime setting where international maritime law plays an important role. This chapter, however, focuses on the immediate setting of EMSA providing an overview of EU policies and legal framework in section 2.1 combined with a brief description of EMSA in Section 2.2.

### 2.1 EU policies and legal framework for the maritime sector

The Commission's maritime safety policy has since its first policy paper in 1993<sup>5</sup> resulted in close to 20 regulations or directives. This section outlines the EU legal and policy framework of particular relevance to EMSA.

The Erika (1999) and Prestige (2002) accidents resulted in a significant strengthening of safety rules at European level through the so-called Erika-I and Erika-II packages. The packages strengthened legislation on port state control in particular, but also contained new measures concerning, e.g. the accelerated phasing-out of single-hull vessels, traffic monitoring, etc.

The enactment of the Erika-I and Erika-II packages required Member States to implement the rules effectively and uniformly, notably by approximating the procedures and practices applying to inspection in ports and technical checks on the conditions of ships. The number of ships to be checked thus rose from 700 in 1999 to 6000 in 2003<sup>6</sup>.

Against this background, EMSA was established by Regulation EC No 1406/2002 (hereinafter called the EMSA Regulation) to provide the Commission and Member States with support in applying and monitoring compliance with Community law and in assessing the effectiveness of the measures in place.

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<sup>5</sup> Cf. Communication from the Commission of 24 February 1993: A common policy on safe seas COM (93) 66 final

<sup>6</sup> Cf. Communication from the Commission to the European Parliament and the Council on a second set of Community measures on maritime safety following the sinking of the oil tanker Erika, COM (2000) 802 final p. 4.



Following the Prestige accident in December 2002, the timetable for launching EMSA was brought forward, allowing the Agency to start six months earlier than planned (see Regulation 1644/2003 amending the EMSA Regulation).

#### Port state control

Although maritime safety is traditionally the responsibility of flag states, the European Community has considered it appropriate to complete the flag state approach by the port state approach, where inspections by the states in which ports are located are seen by many as the most effective tool to reduce substandard shipping in their waters. The result of this is Directive 95/21/EC which establishes common criteria for control of ships calling at Member States' ports and which harmonises procedures on inspections and detentions. The Directive takes into account IMO Resolutions and the work by the Paris MOU (EU Members plus Canada, Iceland, Norway, Russian Federation) on port state control. The directive has been amended several times in order to step up control and extend the areas covered by inspections.

#### - proposed amendments

The directive is being amended as part of the maritime third safety package. It will require an inspection of all ships making a stopover in European ports. These inspections would vary in frequency depending on the risk they pose: the most dangerous ships will thus be inspected every 6 months, while quality ships will be subject to less frequent inspections. Strengthening the banning arrangements, by extending them to all categories of ships, inserting a minimum time limit for a ban and introducing a permanent ban for those ships, which continue to flout the rules, are also proposed.

#### Classification Societies

Directive 94/57/EC introduced a system of Community wide mutual recognition of Classification Societies. Only highly reliable and professionally competent bodies are classified by the EU as "Recognised Organisations" entitled to carry out statutory surveys and certification on behalf of EU Member States.

#### - proposed amendments

The directive is being amended as part of the third maritime safety package, proposing to introduce a new independent system for the Quality Management System certification for those classification societies recognised by the Commission. There are also proposals to further harmonise and strengthen the existing structure, put in place by the ten largest recognised organisations. In addition, the proposal will reinforce the obligations for technical transparency and cooperation between the recognised organisations. Lastly, a reform of the current system of sanctions is envisaged introducing financial sanctions instead of suspension of approval.

#### Traffic monitoring and information system

A Community vessel traffic monitoring and information system was established by Directive 2002/59/EC. It requires that all ship monitoring tools presently available are to be properly organised and coordinated and sets up a system of deployment of resources and coordination between national authorities, in order to enable Member States to take better preventive action or respond more effectively to dangerous situations.

#### - proposed amendments

Amendments have been proposed which include establishing a clear and precise framework for places of refuge and further development of SafeSeaNet

(the data exchange platform between maritime administrations of the Member States).

#### Safety legislation

Furthermore, existing EU legislation contains a number of measures aimed at ensuring maritime safety and pollution prevention. Examples of such measures are those Directives which deal with the safety of passengers aboard ships and training and certification standards for seafarers.

- 98/18/EC on safety rules and standards for passenger ships as amended
- 99/35/EC on mandatory surveys of regular ro-ro ferry and high-speed passenger craft services
- 2003/25/EC on specific stability requirements for Ro-Ro passenger ships
- 2001/25/EC on the minimum level of training of Seafarers.

#### Additional measures proposed under the third maritime safety package

A third set of Community legislative measures (seven proposals) are currently under consideration. The third maritime safety package is expected to be adopted during the second part of 2008. EMSA has assisted the Commission with the preparation of several of these measures. Implementation of the measures contained in the package will to a large extent involve EMSA. Some of the measures are provided for in the EMSA Regulation. Others will be subject to a proposal to amend the EMSA Regulation (see also Text box 3.1).

#### *Box 2.1 Policy framework, the Blue Book*

The European Commission announced in October 2007 a comprehensive maritime policy (An Integrated Maritime Policy for the EU). It brings together for the first time all policy sectors that affect the oceans. In Commission communication (COM (2007) 575 final), the so-called blue book, the Commission puts forward the main elements of a new European integrated maritime policy, including its founding principles and main objectives, the required governance framework and appropriate tools for integrated policy-making.

The European Council welcomed, at its meeting in December 2007, the Commission Communication, and invited the Commission to come forward with the initiatives and proposals contained in the Action Plan and called on the future Presidencies to work on the establishment of an integrated maritime policy for the EU.

The Policy provide the framework for enhancing Europe's capacity to face the challenges of globalisation and competitiveness, climate change, degradation of the marine environment, maritime safety and security, and energy security and sustainability. To this end the Commission will launch a number of initiatives - including in areas of EMSA's current tasks. The initiatives include steps towards a more interoperable surveillance system to bring together existing monitoring and tracking systems used for maritime safety and security, protection of the marine environment, fisheries control, control of external borders and other law enforcement activities;

In addition to the proposed amendments to existing Directives, outlined above, the third maritime safety package contains:

- a proposal for a **Directive on the responsibility of the flag states** requiring that all Member States verify the application of the international rules on the ships sailing under their flag. The background for the proposed directive is inter alia, that with the enlargement of the EU to 27 Member States the EU became a major maritime power: EU-15's share of the world fleet rose from 16% to 25% after enlargement (28% for the European Economic Area). If flags are disregarded, EU operators' interests account for an even greater share of world tonnage, namely 37% for EU-25 (43% for the European Economic Area). It is therefore felt to be essential that strict rules should be imposed in order to ensure the quality of European flags<sup>7</sup>;
- a proposal for a **Directive on accident investigations** setting out common principles for carrying out maritime investigations in accordance with the recommendations of the IMO and a system for pooling the results of these investigations. The Directive will provide a platform for effective technical cooperation to improve cooperation between the national administrations through the expertise of EMSA. Investigations of accidents involving two or more Member States should be conducted in a joint manner;
- a proposal for a **Directive on civil liability** of ship owners establishing stringent liability rules applicable to all ships
- a proposal for a **Regulation on compensation to passengers in the event of maritime accidents** incorporating the international provisions of the Athens Convention of 2002 into a European regulation on the responsibility and compensation for damages suffered by passengers in the event of an accident. This involves providing a guarantee to all passengers travelling on ships - whatever their journey, and to the carriers, that in the event of accident they can take advantage of a harmonised legal framework determining their rights and obligations.

## 2.2 Description of EMSA

This section provides an overview of the development of EMSA as an organisation from its start in 2002 to today. It looks at organisational characteristics such as staff, organisational structure, annual budgets and governance.

### 2.2.1 Main tasks

Against the background described above, EMSA was established in 2002 in accordance with Regulation EC 1406/2002.

The first meeting of the Administrative Board took place on 4 December 2002 in Brussels following an invitation by the Commission. The Agency's Executive Director was appointed in January 2003, as a result of a selection process

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<sup>7</sup> Communication from the Commission on the third package of legislative measures on maritime safety in the European Union, COM (2005) 585 final of 23.11.2005. Since then EU has of course been further enlarged to EU-27.

launched in August 2002, and following a proposal by the Commission. He officially took up his duties as Executive Director on 16 March 2003.

Original tasks  
(2002)

Pursuant to the EMSA Regulation, as amended (Article 2), EMSA is assigned the following tasks:

- to provide technical assistance to the Commission in its preparatory work for **updating and developing Community legislation** in the fields of maritime safety and maritime security, the prevention of pollution and response to pollution caused by ships, particularly in light of changes in international rules;
- to monitor the overall functioning of the Community **port state control** regime, including on-the-spot inspections of the conditions under which port state control is carried out by Member States and suggest to the Commission any possible improvements in that field;
- to provide the Commission with technical assistance necessary to take part in the work of the technical bodies of the Paris Memorandum of Understanding on port state control;
- to assist the Commission in general in **facilitating effective implementation of the maritime safety legislation, including** certification and watch-keeping of ships' crews and verification of compliance of third countries with the requirements of the 1978 International Convention on Standards of Training, Certification and Watch-keeping (STCW);
- assessment and inspection of **classification societies**;
- to organise appropriate **training** activities;
- to develop **technical solutions and provide technical assistance** relating to the implementation of Community legislation;
- to develop and implement various **maritime IT applications** for use throughout the Community, most notably **SafeSeaNet**.;
- to coordinate investigations following an accident at sea;
- to provide **assistance to the EU candidate countries**, regarding the implementation of Community legislation in the fields of maritime safety, maritime security and pollution prevention..

EMSA was given  
new tasks in 2004

New tasks were added by amendment to the EMSA Regulation in 2004. The Erika and Prestige accidents demonstrated the need for additional Community action, not only in the field of pollution prevention, but also in the pollution response field. It was assessed that there was insufficient appropriate response capacity available for a prompt and effective response to major spills at individual Member State level. Against this background EMSA was assigned new operational tasks for pollution response by Regulation (EC) No 724/2004 amending the EMSA Regulation. EMSA was thus tasked to provide the Member States and the Commission with technical and scientific assistance in the field of accidental or deliberate pollution caused by ships and, in particular, to support, on request, in a cost-effective way, the pollution response mechanisms of the Member States.

- and more tasks may  
come

EMSA's tasks continue to evolve. Implementation of the third package of legislative measures on maritime safety, expected to be adopted by the Council dur-

ing second half of 2008, is likely to involve EMSA. Amendments to the EMSA Regulation assigning new tasks to EMSA may be expected<sup>8</sup>.

## 2.2.2 Location

EMSA was initially located in Brussels. During a summit meeting held in Brussels on 13 December 2003, the representatives of the EU Member States decided that the permanent location of the Agency should be in Lisbon. In 2006, EMSA moved to temporary offices in Lisbon. The move to the permanent premises in Lisbon is planned to take place in early 2008.

## 2.2.3 Staff

EMSA started with one staff member - the Executive Director - in 2003. The table below indicates the development in staffing showing figures for September of each year. As can be seen from Table 2.1, the Agency has grown rapidly over its 3-4 years of existence - and now has a total of 144 staff members.

Table 2.1 EMSA staffing 2003-2007

	2003	2004	2005	2006	2007
Total staff	5	51	84	120	144

Note: Figures from the month of September in each year

## Nationality

Table 2.2 provides an overview of the nationality of staff and staff types as per end 2007.

Table 2.2 EMSA staff according to staff type and nationality

Nationality	Staff types				Total
	AD	AST	CA	SNE	
BE	2	10			12
BU	3				3
CZ		1			1
DE	10	1	1		12
DK	1	1			2
EE	1				1
ES	13	3	1	2	19
FI	4	1			5
FR	10	1	2	2	15
GB	5	7		3	15

<sup>8</sup> Cf. Communication from the Commission of 23 November 2005: Third package of legislative measures on maritime safety in the European Union COM (2005) 585 final

Nationality	Staff types				Total
	AD	AST	CA	SNE	
GR	5		1		6
IE	2	1			3
IT	4	5	1	1	11
LT		1			1
MT	1				1
NL	6	1		1	8
NO				1	1
PL	6	1		1	8
PT	9	14	5		28
RO	1	1			2
SE	4			1	5
SK		1			1
<b>Grand Total</b>	87	50	11	12	160

The table reflects the fact that, of the 27 Member States, the majority are represented amongst EMSA staff with a natural concentration among those countries with coastlines. The countries who draw the largest share are Portugal, Spain, Great Britain and France.

#### Gender distribution

Gender distribution was 60 per cent male/40 per cent female in 2007, a change from a 66/33 distribution in 2005. The average age of staff was 40.3 years in 2007.

#### 2.2.4 Organisational structure

In concurrence with its rapid growth in terms of staff members, the Agency has gone through a number of organisational changes to accommodate changes in tasks and the accompanying staff increase.

In the organisational charts, attached in Appendix 4, the organisations' development from 2004 to 2007 is illustrated. The organisational charts show how the Agency has been assigned new tasks and how, consequently, Units have been established.

In the beginning of 2004, the Agency had three units:

- General affairs
- Implementation and inspection
- Technical cooperation and development

Today, the Agency has a total of eight units, of which the top three are administrative while the rest are operational:

- Unit A: Human resources and external communication
- Unit B: Legal and financial affairs
- Unit C: Operations support
- Unit D: Safety Assessments and inspections
- Unit E: Implementation of EU maritime legislation
- Unit F: Technical cooperation and development
- Unit G: Pollution response
- Unit H: Pollution preparedness and detection

### 2.2.5 Overall budget

The Agency's rapid growth is also notable in the annual budget which has increased considerably since its establishment.

Table 2.3 Annual budget, 2004-07 (EUR)

	2004	2005	2006	2007
Budget	12.600.000	35.300.000	44.670.000	48.231.560

Source: Annual work programmes

EMSA is financed from a Community subsidy set aside for this purpose in the European Union's general budget. The annual budget numbers, over the period 2004 to 2007, reflect EMSA's general development through continuously taking on new tasks and responsibilities.

A large part of the budget is devoted to the operation of pollution response vessels whose primary objective is to assist Member States in the response to an oil pollution incident. EMSA took on this task in late 2004 and it is the main reason for the budget increase from 2004 to 2005.

Regulation EC 1891/2006 established a multi-annual framework for the budget for pollution response activities of the Agency. The Regulation established that the budget should be made available through the Community mechanism in the field of civil protection, assistance interventions, including accidental marine pollution, established by Council Decision 2001/792/EC. The financial envelope for the period 2007-2013 was established at EUR 154 million. Annual appropriations are established by the budgetary authority within the limits of this financial framework.

### 2.2.6 Governance

EMSA is governed according to the rules and practices of a Community agency. EMSA functions under the authority of an Administrative Board which lays down general guidelines and adopts/determines the agency's annual work

programme, according to its mission, available resources and political priorities.

#### The Administrative Board

The Administrative Board is composed of one representative of each Member State, 4 representatives of the Commission and 4 professionals from the sectors most concerned. Norway and Iceland have reached an agreement with the European Union which allows them to participate in the work of EMSA's Administrative Board. However Iceland and Norway as Non EU-members are not entitled to vote. Since May 2004, 12 new Member States have taken their seat on the Administrative Board. The Administrative Board elects a Chairperson and Deputy-chairperson. The terms of office for both are three years and the terms are renewable once. Finally, the Administrative Board appoints the Executive Director and establishes the rules for his/her decision-making process and - when required - exercise disciplinary authority over the Executive Director and Heads of Units in the Agency.

#### The Executive Director

The Executive Director is the Agency's legal representative; nominated by the Administrative Board he/she is responsible for all Agency activities including proper implementation of its work programmes. The distribution of powers between the Administrative Board and the Executive Director is laid down by the Founding Regulation. The Executive Director's responsibility is to report to the Administrative Board, and he/she is also responsible for the setting up, running and development of the Agency.



### 3 Presentation of data and findings

This chapter presents data and findings. Firstly (section 3.1), overall findings related to the three evaluation criteria: Relevance, effectiveness and efficiency are presented. This is followed by a presentation of detailed findings related to main tasks of EMSA in respective sections 3.2 - 3.6:

3.2 Assistance with updating and developing legislation

3.3 Assistance with implementation of legislation

3.4 Training and technical assistance to Member States and Candidate Countries

3.5 Oil pollution preparedness and response

3.6 Vessel traffic monitoring and information system

Finally, findings concerning management and organisational issues (section 3.7) and on utility and sustainability are presented (section 3.8).

#### 3.1 Overall findings on relevance, effectiveness and efficiency

This chapter presents, in section 3.1.1, overall assessments made by key stakeholders and, in section 3.1.2, data extracted from EMSA's annual working programmes and reports.

##### 3.1.1 Overall assessments by key stakeholders

During the data collection process, we asked representatives of the Member States, the Commission, and EMSA itself, to score EMSA's relevance, effectiveness and efficiency by answering the following questions:

- *"How would you score the relevance of the founding Regulation of EMSA compared to the challenges and needs of the maritime sector in the EU?"*
- *How would you score (1 through 5) EMSA's overall effectiveness (=achievement of objectives) in terms of implementation of tasks?*
- *"How would you score (1 through 5) EMSA's overall efficiency in terms of achieving results at a reasonable cost (resource use, time, manpower, money)?"*

The average scores are illustrated in Table 3.1

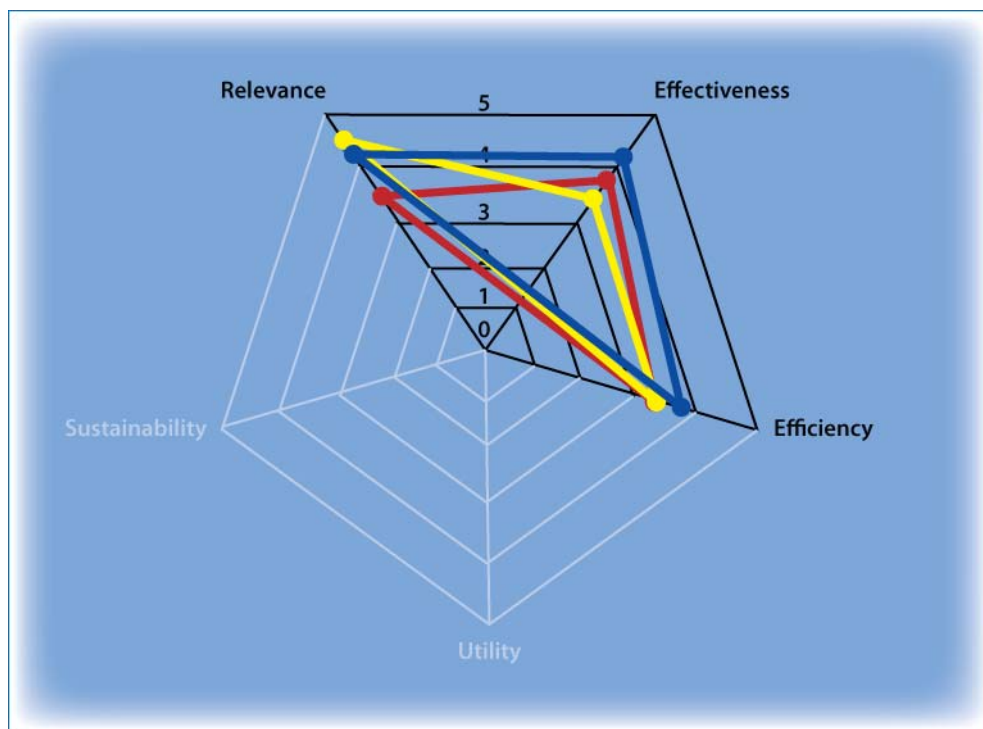
Table 3.1 Average scores on relevance, effectiveness and efficiency by the Member States, the Commission and EMSA

	Member States	The Commission	EMSA
Relevance	3.6	4.5	4.1
Effectiveness	3.8	3.5	4.1
Efficiency	3.5	3.5	3.9

Notes: 1 = Very low, 2 = Low, 3 = Average, 4 = High, 5 = Very high. The Member State score is the average derived from the responses to the questionnaire (n=24), the Commission score is the average derived from the interviews (n=11), the EMSA score is the average derived from interviews (n=20).

Figure 3.1 shows how the scores are depicted using a spider web illustration. It should be noted that stakeholders have not been asked consistently to score utility and sustainability as these two criteria are only assessed tentatively in this evaluation. For this reason, scores on these criteria are not illustrated. Reference is made to section 3.8 where indicative findings on utility and sustainability are presented.

Figure 3.1 Spider web illustration of average scores by key stakeholders



Note: yellow = The Commission; red = Member States; blue = EMSA

Positive assessment by main stakeholders

The table and the web diagram reflect that all three groups give a positive assessment of the relevance, effectiveness and efficiency of EMSA.

**On relevance**, the Commission scores between high and very high. The Member States score, on average, somewhat lower, between "average" and "high". The average score from EMSA's staff lies in between that of the Commission and that of the Member States.

**On effectiveness**, the Member States' average score is just below "high effectiveness", whereas the Commission's average score is a bit lower, between "average effectiveness" and "high effectiveness".

**On efficiency**, the Member States and the Commission have scored efficiency at 3.5 (average to high). EMSA staff scores efficiency slightly higher at 3.9.

The overall positive assessments have been confirmed and qualified by responses to the questionnaire and by interviewees as presented below.

Member States find EMSA to be relevant

The main viewpoint among the Member States is that it was relevant to establish EMSA and that the rationale for having EMSA is still strong today. Several Member States refer to the enlargement of the EU, to what is now 27 Member States, as adding to/boosting EMSA's relevance as there is an increased need for co-ordination and assistance to the new Member States.

but more diversified

Compared to the Commission and the Parliament, Member States offer more diversified assessments, which has been evident from responses to the questionnaire as well as interviews. The views of the Member States range from very enthusiastic and supportive of EMSA to very sceptical. During interviews, a few representatives of the Member States have questioned the relevance of the Agency altogether. The supportive Member States find that EMSA provides a greatly improved service and that EMSA should continue to carry out all its activities. The sceptical Member States indicate that many of EMSA's activities are seen merely as a duplication of national activities.

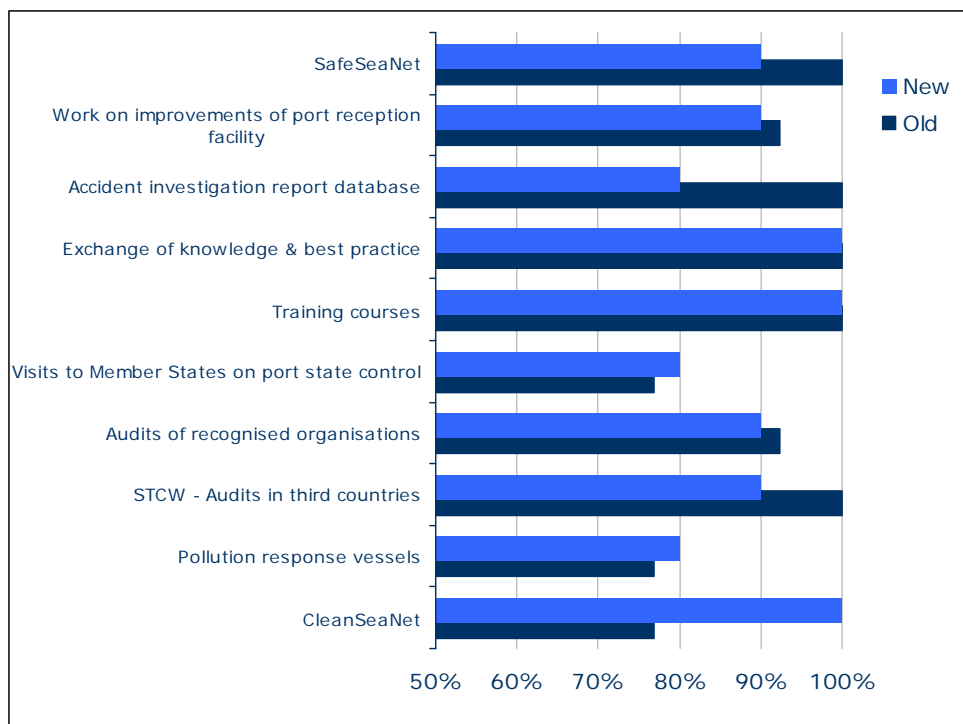
Figure 3.2 below indicates how Member States, divided into "new" and "old", have responded to the following question in the questionnaire<sup>9</sup>:

*"Please indicate whether EMSA, from your point of view, should continue the activity in the future (yes, no, do not know)?"*

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<sup>9</sup> For a definition of how we have grouped "new" and "old", please be referred to Appendix 5.

Figure 3.2 Share of Member States that are positive towards continuation of EMSA activities (divided in "new" and "old"), in per cent



Source: COWI's questionnaire survey. Total Member States=27. N=24. Response rate=89%.

Figure 3.2 shows that:

- EMSA's activities are generally assessed as relevant, and ones to be continued, by all Member States
- Two areas of activity are uniformly assessed as having less relevance compared to other activities, namely pollution response vessels and port state control inspections in Member States. Interviews with Member States have clearly confirmed this assessment regarding pollution response vessels but the same is not the case for port state control inspections.
- "New" and "old" Member States' assessments of EMSA are similar. However, concerning the activity of CleanSeaNet, there is a much stronger support from the new Member States, whereas the opposite is the case concerning the accident investigation report database. During interviews it was conveyed that the limited resources of national administrations in the "new" Member States was a big problem and that all EMSA activities directed towards reducing resource allocation on national level was welcomed. Also, the training and knowledge sharing activities are assessed as highly relevant in assisting the New Member States to 'catch up' with the old Member States.

Lower relevance of oil pollution response vessels

Regarding pollution response vessels, both the questionnaire and interviews show that Member States find this task to be of less relevance than EMSA's other tasks. It should be noted, however that all countries across the Board consider oil pollution response a very important issue for Europe as a whole, however differences of opinion exist as to whether an EU funded operational capacity is relevant or not. This is dealt with in greater detail in the section on the oil pollution response task (section 3.5).

Commission and Parliament point to new areas

The Commission finds that the tasks allocated to EMSA, as per the founding Regulation, are generally highly relevant. It is emphasised that the Regulation has been amended in accordance with the needs of the sector over the past five years. Interviews with Members of the European Parliament have also pointed towards a positive assessment on the relevance of EMSA and the Regulation.

From both new and old Member States, possible new areas of activity have been suggested, which also underlines the fact that EMSA is regarded as a well-functioning agency (see text box).

*Box 3.1 Possible new tasks for EMSA - amendments to the EMSA Regulation*

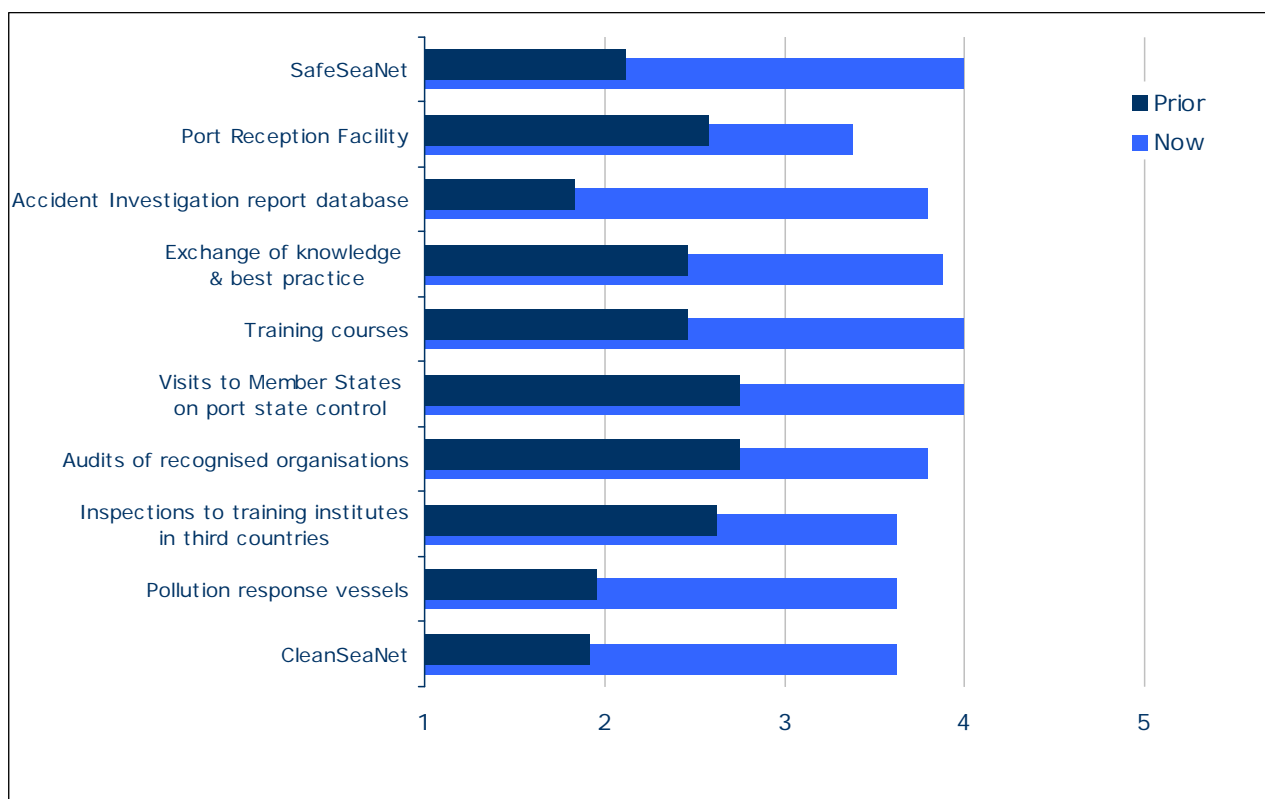
**Areas for possible new EMSA tasks :**

- Environmental monitoring.
- Anti pollution surveillance by satellite
- Complex technical assistance to the Commission in cooperation with research and development programmes (RDP).
- Scientific research and climate change (in particular mitigating the effects of climate change on coastal regions)

Member States consider effectiveness high in all areas

The results from the questionnaire show that Member States score the effectiveness of main EMSA activities higher today than they would have prior to EMSA's establishment. This is illustrated by the manner in which Member States have responded when posed the following question: *The following list includes a number of the significant activities of EMSA. Please compare the overall EU effectiveness of these activities 5 years ago prior to EMSA's establishment with the effectiveness today after the establishment of EMSA.*

Figure 3.3 Member States' assessment of overall EU effectiveness prior to and after EMSA



Source: COWI's questionnaire survey. Total Member States=27. N=24. Response rate=89%.

Note: 1= Very low effectiveness, 2 = Low effectiveness, 3 = Average effectiveness, 4 = High effectiveness, 5 = Very high effectiveness

Figure 3.3 shows how overall effectiveness in all the above mentioned activities is considered higher today than prior to EMSA's establishment. Previously effectiveness was considered to be low or below average. Today, effectiveness is found to be "above average" to "high" in all areas.

Interviews confirm positive Commission assessment

During interviews with representatives of the Commission, an overall positive assessment on the effectiveness of EMSA was confirmed, however, the Commission also pointed to areas with room for improvement.

### 3.1.2 Review of annual work programmes and reports

For the purpose of assessing aspects of relevance, effectiveness and efficiency, the annual work programmes and reports have been thoroughly reviewed with a view to establishing an overview of:

- the consistency between mandated tasks, as described in the Founding regulation, and planned activities (relates to analysis of relevance)
- the consistency between planned activities and achieved outputs (relates to analysis of effectiveness)
- the planned budgets and actual costs and manpower involved in producing the outputs (relates to analysis of efficiency)

Two types of tables have been produced summarising the review of the reports. The tables represent a restructuring of the information in the reports.

- One table, structuring the activities and budgets according to the tasks as described in the Founding Regulation. This table is based on the annual work programme and annual report for 2006 and the annual work programme for 2007. The purpose of this table is to analyse the consistency between mandated tasks and planned activities. This table is included in Appendix 6.
- Three tables, on the years 2004, 2005 and 2006, respectively showing the planned activities, the realised outputs, the planned budget and the actual costs insofar as this information has been available in the annual work programme and annual report for the given year. The information is categorised according to main areas of activity. The purpose of these tables is to provide a basis for analysis of effectiveness and efficiency. These tables are included in Appendix 7.

The following overall findings emerge from the analysis of the tables:

- For 2004 there was a relatively clear link between the work programme and the report on actual activities, results and expenditure. The annual report includes information on resources spent on each task.
- For 2005 and 2006 there is little transparency in the linkage between realised activities and actual costs. The information on actual costs is simply not specified according to activities.
- The linkage between planned activities and realised outputs are described to some extent. However, it is not always possible to benchmark these items directly because the activities are often described in very broad and qualitative terms in both the work programmes and in the annual reports. The annual reports rarely refer to what was planned for the year.
- The tables confirm that there is a high level of consistency between EMSA's tasks as described in the Founding Regulation and planned tasks.

In the following sections, detailed findings on key EMSA tasks are presented.

### **3.2 Assistance to updating and developing legislation**

Pursuant to Article 2 (a), EMSA shall assist the Commission in the preparatory work for updating and developing Community legislation. The activities undertaken by EMSA in this field include technical assistance to the Commission drawing on the technical expertise within EMSA and drawing on external expertise from the Member States, research institutions and other relevant bodies. The nature of the activities include organisation of workshops with participation from relevant experts, participation in technical meetings at international level (in IMO and other bodies) and technical analysis and preparation of reports and papers to the Commission.

Since its establishment, EMSA has provided input to the Commission in connection with the amendment numerous directives and the development of new

	<p>directives, mostly in connection with the third maritime package. EMSA also deals with technical annexes to certain directives, including the Marine Equipment Directive providing advice to the Commission regarding the updating of these annexes.</p>
The Commission generally satisfied	<p>Interviews with representatives of the Commission show that there is in general a high level of satisfaction with the input received from EMSA. In the context of the third maritime safety package, EMSA's input on impact assessment and answers to specific technical questions are regarded as particularly facilitative.</p> <p>The assistance received in amending the port state control and classification societies directives is regarded as being of very high quality. In relation to port state control, the view is that the new approach developed, requiring an inspection of all ships making a stopover in European ports, "would never have been possible without EMSA".</p>
but scope for improvement in some areas	<p>The Commission has, however, also pointed to areas with scope for further improvement of EMSA's technical assistance services. The level of technical assistance has been less effective in complex areas, which have required multi-disciplinary work and in connection with tasks which are new and (highly) specialised within the EMSA context. A number of examples have been mentioned by the Commission and by certain Member States.</p>
- delivery of reports	<p>Several representatives from the Commission indicated that input and reports (working and /or advance copies) from EMSA experts are delivered on time but it is felt that the approval of final documents by EMSA is often very slow and on occasion final submission is delayed. This in turn delays the Commission's submission to COSS meetings and other fora. It has also been pointed out that some staff lack experience in drafting reports for policy makers.</p>
Member States acknowledge valuable technical input	<p>The Member States have expressed a general appreciation of the technical assistance provided by EMSA to the Commission within the field of updating and developing Community legislation. This is evident from Table 3.2 below, which shows how the Member States have responded to the following question: <i>"To which extent is the Commission in a better position to prepare new legislation as a result of EMSA's work?"</i></p>



Table 3.2 *Member States assessment of EMSA's technical assistance to the Commission*

Answer	Percent of Member States
Not at all	5%
To a low degree	0%
To some extent	36%
To a high degree	50%
To a very high degree	9%
Total	100%

N=24

Table 3.2 illustrates that a clear majority of Member States find that the Commission is to some extent or to a high degree in a better position to prepare new legislation as a result of EMSA's work.

Member States have generally confirmed this position in interviews, and recognize that, from a technical, maritime and nautical point of view, the Commission obtains better input from EMSA than previously. EMSA has, through its understanding of the technical issues, "brought in the element of reality" in the legislative process, as one Member State representative puts it.

Most Member States also point out that EMSA's supporting function to the Commission could be further improved on. It has been emphasized that some technical problems remain in the legislation and it is still very difficult to understand.

A number of Member States have indicated that EMSA does not making sufficient use of knowledge and resources available in the Member States, and that this can create problems, when outputs are not sufficiently tailored to meet the practical and operational reality of the Member States.

EMSA's mandate as technical body

A number of Member States express concern that there is insufficient focus on EMSA as a technical body and the Commission as a policy body. It was felt that EMSA should go more into technical discussions.

During interviews with both Member States and the Commission, concerns have been expressed that the distinction between EMSA and the Committee on Safe Seas and the Prevention of Pollution from Ships (COSS) is not sufficiently clear. Both the Commission and some Member States point to instances where EMSA, in their view, has taken up issues of a policy-oriented nature, which should have been dealt with in the COSS or in another policy-making forum. On the other hand, some Member States express concerns that EMSA workshops, held at the request of the Commission, are sometimes not of a purely technical nature. Both sides reiterated the view that EMSA is - and should be - a technical and operational agency, not a policy making entity.

### 3.3 Assistance for the implementation of legislation

Pursuant to Article 2 (b) of the Founding Regulation, EMSA shall assist the Commission in the effective implementation of Community legislation. EMSA's activities in this area are comprehensive and include inspection visits in Member States, inspections of recognised organisations, technical assistance and various cross-country activities. In relation to third countries, EMSA inspects facilities and procedures regarding the implementation of the 1978 International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, as amended (STCW Convention)<sup>10</sup>.

Inspections/audits in Member States	<p>EMSA's activities in this area include, most notably, inspections in individual Member States investigating the status of implementation of various directives. EMSA was originally given this inspection task relating to the implementation of the Port State Control Directive. From 2007, EMSA is also responsible for inspections concerning implementation of port reception facilities and STCW. EMSA also provides technical assistance to the Commission in their security inspections in relation to ships, maritime security administrations, and Recognised Security Organisations. In addition, EMSA carries out conformity checks regarding safety rules and standards in Member States, which are of a technical nature.</p>
Assessments of classification societies	<p>Since its establishment, EMSA has been responsible for carrying out assessments of the 13 EU recognised classification societies in accordance with the requirements in Directive 94/57/EC. According to the Directive, each Society must be assessed every two years.</p> <p>Common for the inspection visits in Member States and the inspections of classification societies is that EMSA prepares and conducts the mission and presents findings in a report to the relevant Member State/Classification Society and to the Commission. The Commission assesses the findings and takes action if required (e.g. infringement procedure).</p> <p>Table 3.3 illustrates the information available from annual work programmes and report on planned and implemented inspections to Member States and recognised organisations.</p>

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<sup>10</sup> A direct reference to the role of EMSA in this respect is also given in Directives 2003/103 and 2005/45, which amend Directive 2001/25 on the minimum level of training of seafarers.

Table 3.3 *Inspections in Member States and Recognised Organisations, planned and implemented, 2004-2007*

	2004	2005	2006	2007
<b>Inspections in Member States</b>				
<b>PSC</b>	Methodology developed P: n.a. O: 2 inspections	P: n.a. O: 7 inspections	P: n.a. O: 6 inspections	P: completion of cycle. All Member States have been inspected by end 2007. O: Cycle completed*
<b>PRF</b>			Methodology developed	P: n.a. O:
<b>Security</b>			P: n.a. O: Supported the Commission in 19 inspections	P: n.a. O:
<b>STCW<sup>11</sup></b>				P: 2 visits O:
<b>Assessments of recognised societies</b>				
<b>RO</b>	P: 6 inspections O: 10 inspections	P: n.a. O: 18 inspections covering 9 ROs	P: At least 6 ROs O: 20 inspections covering 9 ROs	P: At least 6 ROs O: 16 inspections covering 8 ROs*

Note: P= planned, O=output. RO= recognised organisation

Based on information in work programmes (P) and annual reports (O), and \*information from EMSA

Table 3.3 shows that EMSA has been highly effective in carrying out the inspections of recognised organisations in its context of providing assistance to the Commission in complying with the requirement to perform an assessment of each recognised organisation every two years. It should also be noted that EMSA's inspections have increased in quality as they have developed from focusing on headquarters to also including regional and local offices as well as individual ships.

Table 3.3 also illustrates that the annual work programmes have generally not been specific as to the number of inspections planned in Member States. Therefore, it is not possible to assess whether or not EMSA has performed according to plan.

Commission: EMSA highly facilitative

It is clear from interviews with the Commission that EMSA has, to a high degree, facilitated the Commission's monitoring of the implementation of Community legislation, particularly within the field of Port State Control and Recognised Organisations. It is generally felt that EMSA has played a catalytic role with regard to increased effectiveness in implementation of community legislation in these areas.

<sup>11</sup> Covers only the visits in Member States. Visits to third countries are covered below.

The Commission has indicated that EMSA has, *to some degree*, facilitated the Commission's monitoring of Community legislation in the area of marine equipment and bulk carriers regulation, whereas it is felt that the area of safety rules and standards for passenger ships should be given higher prioritisation.

Member States positive

The Member States share the overall positive assessment of EMSA's work as can be seen in Table 3.4 below, which shows how Member States have responded when posed the following question: *To which extent are the Commission and the Member States in a better position to monitor implementation of relevant directives as a result of EMSA's work?*

Table 3.4 *Member States assessment of results of EMSA's work in assisting implementation of Community legislation*

Response	Percent of Member States
Not at all	0%
To a low degree	5%
To some extent	41%
To a high degree	45%
To a very high degree	9%
Total	100%

N=24

Table 3.4 shows that almost all Member States find that EMSA's work has facilitated implementation of Community legislation to "some extent" or "to a high or very high degree". This positive assessment has been confirmed during interviews. Member States generally express that *"in areas audited, we are more effective in monitoring and implementing community law. The audits have played an important role in implementing Community legislation"*<sup>12</sup>.

There are some Member States, especially among the Northern countries, which find that EMSA has not made a difference and that they are fully capable of ensuring implementation of Community legislation without EMSA's inspection activities. A number of Member States have indicated that the process of receiving reports on inspections via the Commission is considered too slow.

Technical assistance

Of great importance is the fact that, EMSA's inspection activities are supplemented by more general technical assistance activities, such as workshops and meetings dealing with specific aspects related to implementation of Community Law, lessons learned from inspections, exchanging best practises among Member States, etc. These activities are highly valued by Member States and the Commission (see also section 3.4 on training and technical assistance).

EMSA also conducts technical assistance visits to individual Member States. This activity seems to have a low exposure among the Member States. During

<sup>12</sup> Source: Interview with Member State representative

interviews, such visits were never brought up autonomously by representatives of Member States. When asked directly, only a few Member States brought forward examples. The few examples mentioned gave a positive account of EMSA's technical assistance, but are considered not sufficient to provide a conclusive assessment. The findings suggest that Member States do not often make use of the possibility to call on the assistance of EMSA.

#### Cross-country activities

EMSA carries out a number of "cross-country" activities. These include continuous activities such as updating and maintaining the EU list of banned ships and maintaining various databases, including the database on ro-ro ferries, the GIS-database on traffic monitoring, etc. Also, EMSA has produced cross-country studies on the implementation of various aspects of Community legislation such as the studies on port waste reception facilities and related fee systems in Member States, the study on evaluation of national plans for places of refuge, etc.

Both the Commission and Member States are satisfied with EMSA's performance in this area and the reports delivered by EMSA are generally found to be of high quality.

#### Duality of role

With the dual focus on inspections, on the one hand, and more general technical assistance, on the other, the duality of EMSA's role is very clear in this area of activity. In general, Member States and the Commission find that EMSA handles these roles well.

Most Member States see EMSA mainly as the "technical arm" of the Commission, and see no reason why it should be otherwise. However, Member States generally find that EMSA is a constructive "partner" during inspection visits. Member States recognise EMSA as pragmatic and solution-oriented. One Member State representative expressed it this way "*EMSA has contributed in a practical way to increase the effectiveness in implementation of Community legislation - not just theoretical*"<sup>13</sup>.

The Commission has pointed to a potential conflict of interest with regard to the role of the Administrative Board and the fact that it has a certain amount of influence in deciding visit policies and programmes while at the same time representing Member States under inspection.

#### **Inspections to third countries concerning implementation of STCW Convention**

EMSA started work on this task in 2004. The first step was to develop a methodology and plan for the inspections. For this purpose, two external studies were launched. One was to identify methodologies used by Member States during their assessments of third countries in accordance with Directive 2001/25 in order to provide a common methodology. The other was to analyse the employment of seafarers from third countries in the EU in order to identify the main suppliers and to define a selection criteria for EMSA's assessment. The

<sup>13</sup> Source: Interview with Member State representative

methodology was finalised in 2005 and a workshop was held for the Member States.

In the annual work programme for 2004, it is specified that EMSA would aim to carry out 8-12 inspections per year starting with "*some first assessments in 2004*". This is further specified to 10 inspections per year in the annual work programme for 2005. Table 3.5 below shows the actual number of inspections carried out.

Table 3.5 *STCW inspections to third countries, 2004-2006*

	2004	2005	2006
<b>Inspections/ output</b>	None	Methodology and assessment plan presented 2 inspections	9 inspections

Source: Annual reports. Note: An inspection to a third country may involve a number of inspections as it includes visits to different agencies of the maritime administration and to different maritime education and training establishments.

Table 3.5 illustrates that the number of inspections has been lower than the 10 annual inspections planned in 2005 and slightly lower in 2006. Progress was thus slower than originally foreseen.

#### Database

The annual work programme for 2006 stipulated that a database covering a wide range of STCW related issues was to be developed in 2006. By 2007, this database was still in the planning phase. Progress in this area has thus also been slower than planned.

#### Better quality and more efficient

Both Member States and the Commission indicate that the standard of the inspections and the reports are higher now than when this was done by the individual Member States. Member States and the Commission generally find it much more efficient that EMSA undertake this task compared to the individual Member State approach.

#### Lacking dissemination

The lack of disseminating results from inspections by the Commission to Member States is an issue raised by almost all Member States, and this is considered a serious constraint to effectiveness and efficiency. In connection with this evaluation, the Commission has informed us that a decision to establish a secure web-site where Member States can access the reports has been taken at a COSS meeting in late 2007.

#### **Efficiency of EMSA's inspection activities**

It is not possible to make detailed assessments on the efficiency of inspection activities due to the lack of activity-based budgeting and accounting in EMSA. It has not been possible to generate an overview of budget and expenditure for the various types of inspection. The total Title III budget and commitment for missions (budget line 3600) is shown in Table 3.6. This budget includes all missions - not only those related to inspections.

Table 3.6 *Budget and commitment, missions (budget line 3600), 2003-2006, EUR*

	2003	2004	2005	2006
<b>Commitment appropriation/budget</b>	55,000	370,000	738,000	700,000
<b>Executed commitment/Outturn</b>	30,000	176,160	235,873	459,905

Source: Annual accounts.

The executed commitment has increased considerably. This corresponds well with the increase in the number of inspections undertaken. In 2006, a total of 54 inspections were carried out. If the above budget had comprised only missions in relation to inspections, the average cost of an inspection would have been in the area of EUR 8,500 (executed commitment/number of missions). There are large differences in geographical locations and the number of sites visited, the duration, and the number of staff participating in the missions. This makes it difficult to assess efficiency.

The Commission has indicated that inspection visits to Member States could be made more efficient by improving data collection. Also, it has been pointed out that EMSA should have a methodology for identifying "risk ships".

Some Member States have mentioned that the use of different forms and formats for data collection prior to visits offers potential for standardisation and increased use of IT-based tools.

### 3.4 Training and technical assistance to Member States and Candidate Countries

Article 2 (c) (i) and (ii) of the Founding Regulation requires EMSA to organise relevant training activities and to develop technical solutions and provide technical assistance related to the implementation of Community legislation. Article 2 (g) allows the Agency to assist States applying for accession by providing technical assistance with the implementation of Community legislation.

Since 2004, EMSA has had a sub-unit consisting of two staff dedicated to organising training and technical assistance activities. This sub-unit has organised a number of activities which amounted to the training of a total of 225 officials by 2006 (as illustrated in Table 3.7 below). Training areas have included:

- Training on EU and international maritime legislation, either in general or with focus on specific directives (training for newcomers, implementing HNS Convention, Places of Refuge, etc.)
- Training on specific technical competences related to areas that are the responsibility of the flag state and the port state
- Promoting best practises on application of certain European or international requirements

Table 3.7 Training and technical assistance activities 2004-2006

Events	2004	2005		2006	
		Planned(2)	Implemented(1)	Planned(2)	Implemented(1)
Workshops		"...three training sessions were organised in 2004 and this number will gradually increase in 2005"	3	"approximately 15 training actions will be provided"	3
Training actions			9		9
Expert visits			5		4
Other			2		4
Total	3		19		20
<b>No. of officials trained</b>	<b>48</b>	n/a	<b>195</b>	n/a	<b>225</b>

Notes: (1) Information based on internal activity report from relevant unit. (2) quote from annual working programme. n/a - not available.

In addition to training activities, the sub-unit has also set up a network of focal points in beneficiary countries. This network now has a status of a consultative network with the purpose to coordinate requests for training. The first meeting was held in June 2006 after which the focal points sent EMSA their inputs for cooperation during 2006. A second meeting was held in May 2007.

An increasing number of additional training activities are organised by other units in the organisation. These include among others:

- In 2007, a programme for training of Port State Control Officers was initiated and seminars training around 150 officers were held in 2007. A distance learning package will also be launched.
- A number of training sessions focusing on specific applications (SafeSeaNet, CleanSeaNet, EMCIP, HNS dispersant tool, etc.) have been held
- Training and workshops in the area of pollution preparedness as described in the Action Plan for Oil Pollution Preparedness and Response

#### Budget and expenditure

The budget for the training activities consists of the Title III budget under budget line 3700 on cooperation with new Member States (see Table 3.8). In addition, training activities targeted at all Member States and Candidate Countries are carried out using the Title III budget line 3300 (organisation of experts' meetings), however, this budget line also covers other activities. For candidate countries funding is also provided through other EU instruments: TAIEX (DG ENLARG) and PHARE projects.



Table 3.8 *Budget and commitments for training activities in New Member States (budget line 3700), 2005-2006*

	2005	2006
Budget / Commitment appropriations	200,000	200,000
Commitment execution	79,589	189,830

Source: Annual accounts

EMSA has provided information that the training budget for 2007 from budget line 3300 is EUR 322,000.

Member States very positive

Member States are generally very positive towards the workshops and training activities conducted by EMSA. EMSA's training course for newcomers is mentioned specifically. Some Member States would like to see increased training capacity as current capacity is not sufficient to meet their needs.

Some Member States have pointed out that the occasional late arrival of EMSA documents for meetings is causing problems when preparing to participate in courses. Also, several Member States find that as the number of training activities and workshops is increasing, it would be beneficial if EMSA kept a "rolling calendar" of events on the web-site so that Member States can plan their participation well in advance.

On this basis, the overall finding is that EMSA has achieved a substantial output in terms of quantity and quality considering the fairly limited budgetary resources available and with a reasonable use of staff resources.

Challenges for the future

During interviews in EMSA, the following aspects were mentioned as future challenges:

- The number of countries requesting training is growing
- Different units in the organisation are carrying out training with the specialised sub-unit acting in a pivotal role. There is a need to ensure that the organisation is geared to
  - perform consistent and cost-benefit planning of actions and budgetary needs
  - benefit from economies of scale and options to share knowledge and further increase quality of training

### 3.5 Pollution preparedness and response

According to the Founding Regulation (Art. 2, c, iii), EMSA shall support the pollution response actions of the Member States. This task was added to EMSA's tasks in connection with amendment of the Regulation in 2004. The implementation of this task is guided by an Action Plan agreed upon by the Administrative Board and in accordance with consultations with the Commission.

### 3.5.1 Action Plan for Oil Pollution Preparedness and Response

EMSA prepared the Action Plan for Oil Pollution Preparedness and Response as required. It was approved by the Administrative Board in October 2004. The action plan has subsequently been updated with a section in the annual work programme (2006 and 2007). In connection with the preparation of the action plan, EMSA prepared an Inventory of the Member States' Oil Pollution Capacity.

A review of the action plan as well as interviews with the main stakeholders lead to the following findings:

- The action plan contains a **thorough analysis of the existing situation** with respect to existing structures, risk, lessons learnt, and operational capacities in Member States.
- The action plan clearly states that EMSA's capacity should be based on a **"top up" philosophy** (i) focusing on spills beyond the national response capacity, (ii) not replacing existing capacities of coastal states. This philosophy can be seen as part of a "tiered response system", which is also advocated by the International Convention on Oil Pollution Preparedness, Response and Co-operation (OPRC), 1990<sup>14</sup>. In this view, EMSA's capacity can be seen as a European tier "on top of" the national tier, the national tier being the first line of response. Another perspective on the top up philosophy expressed by stakeholders is "gap filling", i.e. that EMSA should fill a gap in terms of the existing national and private capabilities compared to some benchmark for when the overall capacity can be considered "complete". The action plan is **not very specific with regard to benchmarks and the operational implications of the "top up" philosophy**.
- The action plan concludes that given a limited budget frame, and given the requirement for a cost-efficient solution, EMSA should opt for **stand-by contracts** with the private sector. Behind this, lies an analysis of the balance between buying vessels to be on permanent stand-by versus chartering commercial vessels. The conclusion was that chartering vessels was the most cost-efficient solution considering the significant capital investment required for vessel ownership. Given the budget frame, it is assessed that chartering of vessels was also the **only viable solution** of the two to achieve a capacity of a certain magnitude. EMSA developed a contractual framework consisting of a vessel availability contract and an incident response contract, which is considered a **pragmatic and well devised scheme**.
- The section on EMSA's activities in the action plan contains information on areas of priority, general criteria and regional requirements. However, the action plan is **not clear regarding the longer term priorities and targets** and how they may be implemented over time. Rather, the action

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<sup>14</sup> This Convention is the basis for co-operation between the affected parties, but not all Member States have ratified it.

plan, updated annually in the work programmes, has provided the implementation plan for the following year, which has then been approved by the Administrative Board. This is in line with the applicable planning and budgeting procedures. However, the combination of uncertainty about the operational implications of the "top-up" philosophy and the lack of long term priorities provides a weak basis for assessing annual plans and activities of EMSA as an actor in this complex environment. Long-term planning would serve to clarify roles and expectations and would be well in line with the multi-annual budgeting framework, which was established in 2006<sup>15</sup>.

- The practise of updating the action plan in connection with annual work programmes means that it is necessary to consult a number of documents in order to obtain a full overview. Due to the uncertainties involved, the need for continuous updating is understandable, but nevertheless, spreading this key information in various documents compromises transparency.

Member States less positive

Compared to other tasks, Member States are generally less positive regarding the relevance and the effectiveness of EMSA concerning pollution preparedness and response. The table below shows how Member States responded to the following question in the questionnaire: *"To which extent has EMSA contributed to reducing the effects of potential oil spill accidents?"*

Table 3.9 *Member States assessment of EMSA's contribution to the reducing effects of oil spill accidents*

Response	Percent of Member States
Not at all	14%
To a low degree	9%
To some extent	41%
To a high degree	32%
To a very high degree	5%
Total	100%

Table 3.9 shows that almost one quarter of Member States regard EMSA's contribution to be low or non-existing. On the other hand, more than one third assess EMSA's contribution to be high or very high. It is fair to say that Member States are divided on this issue. This was confirmed during interviews, from which the main findings are:

- The Member States are generally in favour of EMSA taking on a coordinating and advisory role at the EU level.

<sup>15</sup> Ref. Regulation 1891/2006. See also Chapter 2.2.5.

- The Member States are generally very positive towards EMSA conducting the task of providing satellite imagery through CleanSeaNet. Most Member States have indicated that EMSA has been very effective in performing this task and that this has led to cost-savings in national administration - and, in some cases, also to better quality of satellite images procured.
- The scepticism expressed by some Member States relates primarily to the operational task of providing an oil response capacity. The Northern countries are generally more sceptical than the Southern countries. Especially, the countries surrounding the Baltic Sea Basin express concerns about the relevance of carrying out this task at EU level. Their main concerns are:
  - Following international conventions, protection of the national shorelines is a national responsibility and not a task for EMSA.
  - There are no agreed standards at the EU level on how much an individual Member State is required to have in terms of own capacity, which makes it difficult to establish a benchmark from which EMSA can "top up" the efforts. The current system invites countries to take a "free ride" relying on EMSA to fill the gap.
- It is primarily **relevance** that is questioned. Most Member States find that, given the task, EMSA has dealt with it in an effective way. As can also be seen from Figure 3.3 in chapter 3.1 above, the oil pollution response vessels is one of the EMSA activities, which are rated highest by Member States in terms of overall effectiveness gains at EU level. However, a few Member States question the way that EMSA operational measures have been implemented, i.e. the contracting of stand-by vessels, and think it is not the best operational solution.
- Those in favour of having an EU-financed oil spill response capacity organised by EMSA argue that no Member State has the sufficient means to combat a major oil spill and additional capacity is necessary to avoid major disasters.
- Many Member States, both in the sceptical group and among those in favour, argue that since the setting up of EMSA's pollution response capacity, no major accidents have occurred in EU waters, which would allow to assess in practice the relevance and effectiveness of EMSA's pollution response activities.

EMSA's oil pollution response activities include two major operational tasks: Oil pollution response vessels and providing satellite imagery through CleanSeaNet. The findings related to these two tasks are presented below.

### 3.5.2 Oil pollution response vessels

Priority areas

The original Action Plan identified four priority regions (see Table 3.10). Later, the Black Sea/Aegean Sea was added as a fifth priority region.

Table 3.10 Oil pollution response vessels, summary of targets and outcomes of tender rounds

	Baltic	Atlantic (Western approaches to Channel)	Atlantic (Bay of Biscay)	Mediterranean	Black Sea/Aegean Sea
<b>Targets 2005 tender</b>					
Action plan 2004	Equipment within the range of 1500 to 3000 m3	At least 1 medium capacity vessel, 1000-1500 m3	1 vessel, 3000 M3 or more	Focus on East. Storage capacity 1500-3000 m3	
Tender documents	Total cap: 1500-3000 m3. Min cap/vessel: 700 m3	Total cap: min 1000 m3. Min cap/vessel: 1000 m3	Total cap: min 3000 m3. Min cap/vessel: 1500 m3	Total cap: 1500-3000 m3. Min cap/vessel: 700 m3	
<b>Output 2005</b>					
Contracts entered 2005	Pool of f5 vessels. 2 can be mobilised concurrently. Average tank cap 11,000 m3	1 vessel. Total tank cap: 4000		1 vessel. Total tank cap: 1805 m3	
<b>Targets 2006 tender</b>					
Action plan 2006 (as updated in annual work progr.)			2 additional arrangements.	2 Lots: East and West	Identified as area to be targeted in 2007
Tender documents 2006			Total cap: 3000-6000 m3. Min cap per vessel: 700	Total cap: 3000-6000 m3. Min cap /per vessel: 700 <sup>16</sup>	
<b>Outputs 2006</b>					
Contracts entered			1 vessel. Total tank cap: 3023 m3	1 vessel. Total tank cap: 2421 m3 (East).	
<b>Targets 2007 tender</b>					
Action plan 2007 (as updated in annual work progr.)			Two arrangements for the Atlantic Coast area	One arrangement for Western Basin	Two arrangements for the Black Sea/Aegean Sea
Tender documents 2007			Total cap 3500-6000. Min cap per vessel: 700 m3	Total cap: 1500-3000 m3. Min cap per vessel: 700 m3	Total cap 3500-6000. Min cap per vessel: 700 m3
<b>Outputs 2007</b>					
Contracts entered 2007			1 big contract of 3 vessels. 2 vessels can be mobilised concurrently. Average tank cap: 4,800 m3	2 vessels. Total tank cap: 10,365 m3	1 vessel. Total tank cap: 3000 m3 (Aegean Sea). None for Black Sea.

<sup>16</sup> Divided in two pools: East/West

Number and capacity of vessels Appendix 8 contains a table summarising the information on the targets and expectations as indicated in the Action Plan and in tender documents, compared to the actual outcomes of the three tenders. A summary of this table is provided in Table 3.10.

The following findings emerge from Table 3.10 and additional information and interviews in EMSA:

- As there is no documented long-term plan for how the network of pollution response vessels is to develop and no ultimate target, it is not possible to assess in overall terms when the network can be regarded as "complete" and EMSA, hence, as having fulfilled its obligations.
- With the 2007 tender process completed, EMSA now has contracts with a total of 16 vessels placed in all the priority regions with the exception of the Black Sea. The 7 vessels contracted in 2007 will be operational in 2008. Progress in setting up stand-by contracts with the private sector has been slower than foreseen. In all tender rounds, not all intended contracts for all intended areas have been concluded, which is reflected in payments lower than budgeted<sup>17</sup>. The procurements for "missing" contracts have been relaunched in the following years and contracts have then been concluded. At least for the first tender round, the lack of results may be explained by uncertainties regarding the cost of stand-by availability contracts and resulting budgets that were too low for some areas. EMSA is dependant on the private sector/shipping market offers and hence another important factor is the dialogue with the industry, which has improved. However, the favourable market evolution since 2006 and resulting high commercial hire rates, have decreased the interest of the industry in back-up activities.
- The targets set with regard to equipment and oil storage capacities of the vessels have been met judging from the information available on the vessels.

Response times The action plan states that the vessels should have "Sufficient speed and power to arrive "on-site" as rapidly as possible". The tender documents do not specify response times, but mention a minimum speed of 12 knots. The vessels contracted generally live up to this requirement. The question may be asked whether "as rapidly as possible" is adequately precise as a benchmark.

Other factors influence the ability to arrive rapidly at the scene, e.g. weather conditions, the position of the vessel at the time of the notification from EMSA, the distance to the mobilisation port, and the distance from the port to the scene of the incident. The stand-by contracts specify maximum mobilisation times. The only situation where an EMSA stand-by vessel has been activated was the "New Flame incident" off Gibraltar in August 2007. According to information provided to the evaluation team, only one of the vessels situated in the Mediter-

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<sup>17</sup> Appendix 9 contains an overview of budget and expenditure for oil pollution response supplied by EMSA.

anean was able to comply with the contract conditions concerning mobilisation. This indicates that such problems may arise on other occasions in the future.

The course of events in connection with the "New Flame" incident showed that the organisation and procedures set up by EMSA to handle requests from Member States seem to have worked well, both internally and externally.

### 3.5.3 Satellite imagery through CleanSeaNet

Directive 2005/35/EC on ship-sourced pollution, which entered into force in September 2005, elaborated the Agency's task with respect to supporting Member States activities in the field of monitoring marine oil spills. Specifically, the Directive requires the Agency to *"work with the Member States in developing technical solutions and providing technical assistance in relation to the implementation of this Directive, in actions such as tracing discharges by satellite monitoring and surveillance"*.

The 2006 work programme mentions this as a new activity and states that *"pre-analysed satellite imagery will probably have to be purchased"*.

During 2006, terms of reference were developed based on a discussion paper, a meeting with Member States and dialogue with the industry. On this basis, a public procurement procedure was carried out leading to price contract signature in November 2006. The final legal aspects of the contracts were concluded as per February 2007.

The 2007 work programme specified that *"2007 will see the Agency set-up, at the operational level, of a high-performance monitoring system for marine oil spill detection and surveillance in European waters. The system will be delivered (free of charge) to the national authorities in coastal Member States in support of their activities to locate illegal discharges and accidental spills"*.

The system has become operational during 2007 and is now delivering images as required. Member States are generally very positive towards EMSA conducting the task of providing satellite imagery through CleanSeaNet. Most Member States have indicated that EMSA has been very effective in performing this task and that this has led to cost-savings in national administration - and, in some cases, also to better quality of satellite images procured.

On this basis, it is found that EMSA has been highly effective in setting up a system, which is considered very relevant by the Member States.

## 3.6 Vessel traffic monitoring and information system

Article 2(d) of the Founding Regulation requires EMSA to facilitate co-operation between the Member States and the Commission. In particular, it requires EMSA to promote co-operation between riparian States in the areas con-

cerned in the fields covered by Directive 2002/59<sup>18</sup>, and to develop and operate any information system necessary for attaining the objectives of the Directive.

#### SafeSeaNet project

In 2001, the European Commission launched the development of a European IT platform for maritime data exchange, the so-called SafeSeaNet (SSN). SSN aims to facilitate the identification of vessels and action to be undertaken by authorities after an incident or accident. EMSA took over the responsibility for technical and operational implementation of SSN in October 2004. Table 3.11 provides an overview of planned and actual outputs in 2005, 2006 and 2007.

Table 3.11 SafeSeaNet, planned and actual outputs, 2005-2007

	2005	2006	2007
Planned outputs, ref. work programme	<i>"It is expected that the majority of countries participating in the SSN system (20 EU Coastal States plus Norway and Iceland will have completed the required tests by the end of 2005"</i>	<i>"By 2006, all EU States plus Norway, Iceland and Bulgaria and Romania, will have received enough information and training to successfully complete the required tests and to connect their national systems to SafeSeaNet."</i>	<i>"By end 2007, all 20 EU coastal States plus Norway and Iceland, will have been connected to SafeSeaNet... and benefit from a more robust and reliable system deployed at the beginning of the year ...the development of an updated version should be launched, integrating other applications and functionalities into the system"</i>
Achievements/outputs			
No. of countries connected to the system (end of year)	5	14	19
No. of notifications made by countries	~ 10.000 / month	~ 1.5 million / month	~ 2 million / month
Version of the system in operation	V. 1.8 released October 2005	V. 1.83 released October 2006	V 1.9 foreseen release December 2007
No. of training sessions held	2 (one of which in December 2004)	2	3 (1 for Bulgaria, 1 for Romania and 1 for all Member States)
No. of workshops held	2	2	2
No. of intercessional and ad-hoc meetings held	1	2	3

Sources: Annual work programmes, SafeSeaNet Bulletins and other material supplied by EMSA

Table 3.11 shows that the SSN project has progressed slower than expected. From interviews with Member States and in EMSA, we understand that this may partly be explained by a number of technical difficulties encountered,

<sup>18</sup> The purpose of Directive 2002/59 is to establish in the Community a vessel traffic monitoring and information system.



which - among other things - relates to the establishment of the interface management between the national systems and the central system.

Both the Commission and Member States indicate that EMSA should have been more effective in dealing with these issues. A lack of professional experience and capability in EMSA in the area of IT applications has been mentioned as one possible explanation. This has been voiced as a general concern given that EMSA is increasingly involved in developing complex IT applications.

On the other hand, it is also recognised that some of the difficulties relate to the way in which the system was originally designed and that the requirements to the system's flexibility are quite high, e.g. it should be possible for existing national systems to connect to SSN without forcing them to be identical to SSN.

Despite slower progress than expected, it must still be concluded that today, with millions of notifications and more than 50,000 requests for information monthly, the comprehensiveness and completeness of the data exchange have substantially improved. Also, the system has reached a technical maturity, which allows for substantial information exchange at reasonable response times. Both the Commission and Member States generally agree that this development would not have taken place without EMSA taking charge.

## Expenditure

It is not possible from the annual accounts to identify the budget and expenditure on the SafeSeaNet project as many different budget lines are involved - budget lines, which also include other activities. EMSA has provided an overview of expenditure on the project, which is reproduced in Table 3.12.

Table 3.12 Expenditure, SafeSeaNet project, 2004-2007, EUR

	2004	2005	2006	2007
IT related	244,701	439,546	50,000	430,000
Meetings and workshops	n.a.	n.a.	103,000	78,000
Total	244,701	439,546	153,000	508,000

Source: Data supplied by EMSA. Does not include cost of EMSA staff.

Considering the substantial development to the system in terms of functionalities and technical requirements, the expenditure is assessed as being at a reasonable level.

## 3.7 Management and organisation

This sub-chapter presents the findings from the review of internal organisational issues in EMSA, including planning and reporting systems, organisational structure, administrative systems and staff, human resource management and communication.

### 3.7.1 Planning and reporting systems

Annual planning and reporting EMSA operates with a one-year rolling planning system, which fulfils requirements in the Founding Regulation. The annual work programme, the annual budget, the annual report, and the annual financial report together provide a general overview of what is planned and what has been done.

The Agency follows the regular budgeting, planning and accounting procedures of the Commission. Provisional work programme and budgets are prepared for 2008 around the same time (i.e. March/April 2007) as the final annual report and accounts for the previous year (2006) is finalised.

For the budgeting and reporting related to pollution preparedness and response activities, EMSA is bound by the procedures laid down in Regulation EC 1891/2006, which provides for multi-annual funding and which amended the EMSA Regulation. The Executive Director must submit an annual report to the Commission on the financial execution of the detailed plan for pollution preparedness and response activities (Article 7).

Detailed project and activity planning The detailed planning of projects and activities is the responsibility of the Heads of Units. The units typically prepare a work programme for the year. Each unit has a number of projects described in a project fiche, which contains information on the goals, actions planned, deliverables and the budget impact. The Unit's annual work programme for the year leads to an update of existing project fiches and preparation of new fiches if new projects are decided upon. Any project/activity arising during the year is also described in a project fiche.

Budgets and accounts EMSA's budget and accounting system follows the EU accounting system and is based on ABAC (Accrual Based Accounting)<sup>19</sup>. There are standard budget lines, which do not reflect the tasks and activities of EMSA.

Figure 3.4 shows an ideal planning and reporting system. The overall strategy plan forms the basis for annual planning and budgeting. On this background, detailed projects and activities are planned and implemented, the progress is monitored and reported in annual reports and accounts and a new planning cycle is initiated taking into account results and achievements of the past period.

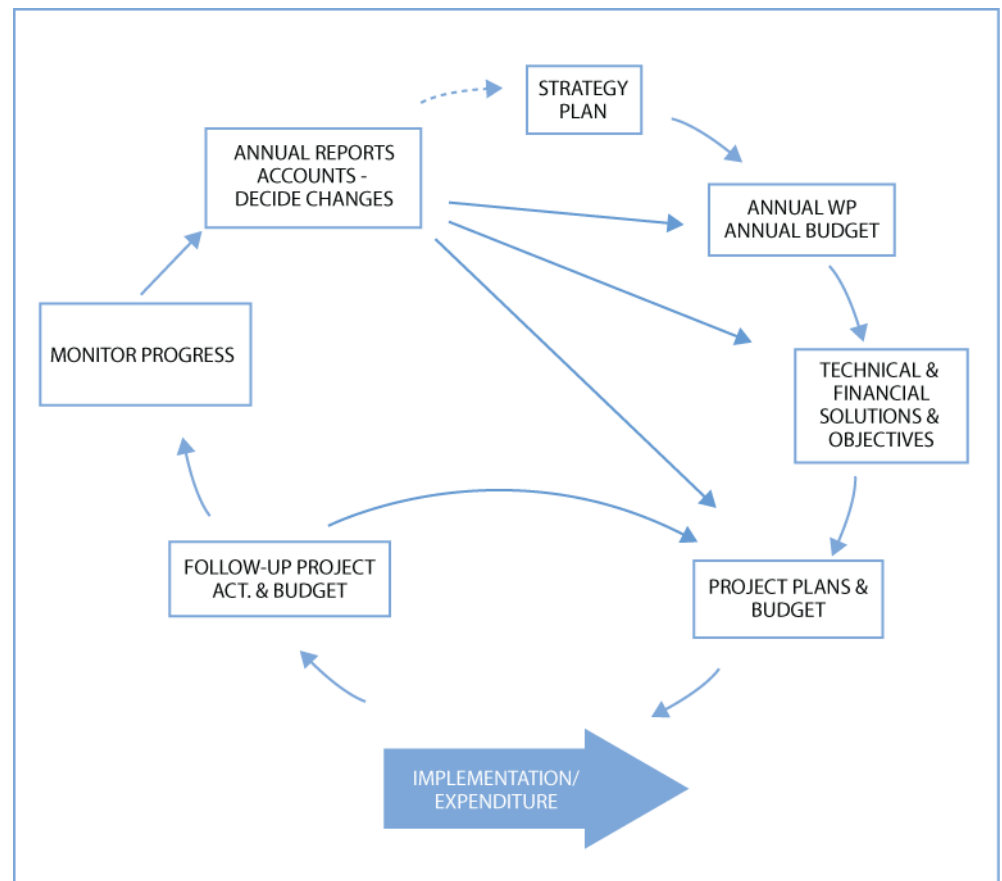
We have compared the current planning and reporting system in EMSA with the ideal model. Our findings are:

- There is **no transparent link between planned activities and budgets on the one hand, and achieved outputs and accounts**, on the other hand. In other words, the budget is not activity based and neither are the accounts. The organisation has a system for staff to register time used/task. It is not

<sup>19</sup> Based on ABC. A tool for measuring performance, Activity-Based Costing (ABC) is used to identify, describe, assign costs to, and report on agency operations. A more accurate cost management system than traditional cost accounting, ABC identifies opportunities to improve business process effectiveness and efficiency by determining the "true" cost of a product or service.

systematically used, however. It is therefore not possible to see the amount budgeted/spent for a given activity in the work programme. The Administrative Board has pointed this out during meetings according to the minutes. During the interviews, a number of Member States expressed concerns over a lack of overview and transparent information to the Administrative Board on costing of operational and project activities.

Figure 3.4 *Ideal planning and reporting system*



- There is **no direct system link between the one-year rolling system and the day-to-day management** of activities and projects. The annual work programmes serve as the overall planning framework. However, it is not possible from the management system to establish an overview of progress and status on projects and activities like information on achieved results versus planned and expenditures versus budget.
- The Agency has yet to establish a comprehensive and uniform planning and monitoring system across the different units which enables a total overview of progress made, expenditure held against specific activities and results achieved as per expenditure. This despite the fact that the Regulation requires the Agency to establish formal evaluation procedures.
- From the minutes of meetings of the Administrative Board it is apparent that there has been little discussion of strategic subjects like the Agency's

visions, missions and role vis-à-vis the Member States and the Commission. The Agency has no formal strategic planning system setting out priorities in a 3 - 5 years time span and defining its role in the maritime sector in general and its role vis-à-vis the major stakeholders in particular. For several of EMSA's key tasks we have found that strategic planning is in fact carried out and also, to some extent, documented in internal documents. This is the case, for example, concerning the SafeSeaNet project, where an action plan for 2008-2009 was developed in 2007. Also, the annual work programmes often refer to a planning horizon, which is longer than the actual year for which the programme is applicable.

The Agency has, during 2007, implemented a pilot system with a number of posting criteria in the existing accounting system. Each expenditure posted on a Title III budget line is marked with a posting criteria allowing the sorting of the postings according to these criteria. In this way, an overview of expenditures according posting criteria can be achieved. The pilot system has not yet been evaluated. In the work programme for 2008, the budget is presented according to the posting criteria. This is a step in the direction of achieving activity based budgeting and accounting.

### **3.7.2 Organisational structure and administrative procedures and staff**

EMSA has organised itself as a function-based organisation with units dedicated to specific tasks. This is a classical type of organisation suitable for producing standardised outputs based on specialised units with little need for cross-unit cooperation in a stable, predictable environment. Hence, it is well suited for the many standardised tasks that EMSA is carrying out.

It is not well suited, however, for the more cross-cutting operations which involve professionals with different backgrounds and training. Some of EMSA's cross-cutting tasks would be better served with a matrix type of organisational structure. These tasks - and presumably those to come - are characterised by a fast changing environment requiring flexibility and innovation. The resulting lack of flexibility and multi-disciplinary approach means that internal resources are not used to their full potential within the framework of the current organisational structure.

It should also be noted that a matrix organisation has advantages in relation to the cross-cutting tasks, while having weaknesses in relation to the standardised procedures required for the majority of EMSA's tasks.

The Agency's administrative procedures naturally originate from the European Community. The Agency needs to follow the Financial Regulation with regard to procedures relating to planning, reporting, finance, procurement and staff. Agency staff and managers find some procedures too excessive and time consuming for an Agency of EMSA's size whereas the procedures might be appropriate for the larger Directorates in Brussels.

On the day-to-day management level a set of internal administrative procedures are described in the so-called EMSA Manual. This also includes procedures for document handling, archiving, etc. Procedures concerning archiving, etc. are not always - according to interviewees - fully adhered to. In addition, an appropriate quality management system has not been fully established.

There are a number of manual operations in procedures for payments, recruitment and provision of management information which would benefit the administrative process if computerised.

Hence, it is found that the procedures - and their implementation methods - are not contributing to the Agency's efficiency.

#### Administrative staff

Table 3.13 below shows the share of staff for administrative tasks in EMSA<sup>20</sup> and in other agencies according to Court of Auditors' reports. EMSA's share is 31%, which is not the highest, nor the lowest, when compared to other agencies.

*Table 3.13 Share of administrative staff in EMSA and other agencies, 2006*

	Total staff 2006	Share of staff for administrative tasks	Share of staff for operational tasks	Share of staff for mixed tasks
EMSA	131	31%	63%	5%
European Aviation Agency	227	18%	73%	8%
European Environment Agency	115	37%	63%	1%
European Food Safety Authority	230	35%	65%	0%
European GNSS Supervisory Authority	23	39%	39%	22%
European Agency for Safety and Health at Work	59	15%	71%	14%

Source: Court of auditors reports

The tasks of the agencies vary considerably and therefore, this direct comparison can only be used as a rough indicator in order to show that EMSA's share of administrative staff seems not to be out of line when compared to other agencies. It should be possible to reduce the share of administrative staff by introducing more efficient IT based procedures in the future.

<sup>20</sup> Furthermore, we have also noted that the Administrative Board has not established guidelines for the Executive Directors decision making process as required according to the Founding Regulation.

### 3.7.3 Human resources

Staff issues are regulated by the EU Staff Regulation and the EMSA manual with supplementary documents for e.g. training.

As a supplement to the annual establishment plan, a multi annual staff plan for 2008 - 2010 is underway. This is seen as a first step towards a long term plan in human resources, however, as there is no documented strategy plan for the Agency and it is not possible to establish the link between the Agency's strategy and its human resource management plan.

The Agency has so far given a lot of attention to the recruitment of staff with the right competences. Amongst the EMSA managers there is a concern as to whether or not it will be possible, in the future, to recruit highly specialised staff with a maritime or IT background.

Training has over the past years gained importance in relation to staff development. The need for staff training is expected to increase in the coming years as EMSA has begun recruiting young graduates who need additional training.

In 2006, the "Career Development Review" (CDR) was introduced. The CDR has, in 2007, been subject to a final review. The main emphasis of CDR is the assessment of a jobholder's efficiency, competency and service conduct. The effects of CDR remain to be seen as it is still in the early implementation phase.

Based on interviews in EMSA, it was found that the working environment is generally regarded as positive and there is a high degree of job satisfaction. However, EMSA does not carry out job satisfaction surveys among the staff, so there is no evidence to support such a conclusion.

### 3.7.4 Communication

#### Communication and information plan

EMSA has a communication and information plan, which has been updated each year. The plan contains information on objectives, stakeholders, tools and activities. It is found to form a good basis for the Agency's communication and information activities. However, as there is no documented strategy plan for the Agency it is not possible to establish a link between the Agency strategy and the Agency's communication and information plan.

The Agency communicates and provides information to numerous different stakeholders in 1) Member States on central, regional and local level 2) The European institutions, including civil servants and politicians 3) Press and media and 4) other interested parties including the maritime industry.

This is done in various ways such as by issuing publications, operating a web site, conducting meeting/seminars, establishing and maintaining, formal and informal networks and contacts, providing information to the press and media, answering questions and, most recently, attending exhibitions with an EMSA stand.

**Annual work programmes and reports** Currently, EMSA produces one version of the annual work programme and the annual report, which is in fact targeted to different audiences. First of all, the documents function as management tools reporting to the Administrative Board. Secondly, the reports also target a more general audience explaining the rationale behind the tasks, expected results and benefits in more general terms.

The evaluation findings show that the Administrative Board needs more detail in terms of planned and implemented activities and associated costs and expenditure in order for the report to serve their purpose as a management tool.

**Web-site** The web-site of EMSA provides a wealth of information. Generally, it is found that the introductory pages contain too much text. It would benefit from editing.

Different types of stakeholders can be expected to use the web-site and it is therefore necessary to comply with their needs in different ways. At present, the web-site seems mainly to be oriented towards specialists and the content does not fully match the more "practical" needs of the Member States such as, , a rolling calendar of events which would enable them to arrange their participation in training sessions, workshops and meetings. It is also difficult to find documents on the site. A documents library type of function would add value to the web-site.

**Newsletter** EMSA publishes a monthly newsletter. The information in the newsletter expresses "the EMSA perspective". It would be relevant to prioritise a description of why this is interesting to the reader. In addition, the articles almost always lack references to places where additional information can be found and persons who can be contacted for more information.

**Stakeholder views** From interviews with Member States and the Commission the general impression gained is that the information provided by the Agency and means of communication is regarded as reliable, objective and understandable.

On this basis, it was found that the Agency communicates and provides information on its own affairs in accordance with the requirements in the Founding Regulation. There is scope for improvement of both the web-site and the newsletter from an editorial point of view.

### **3.8 Utility and sustainability**

This chapter provides the indicative findings related to utility and sustainability. The assessment of utility and sustainability focuses on the long-term impacts<sup>21</sup>. Since EMSA is a young organisation, it is not possible to fully assess these impacts yet.

Albeit there are problems in assessing utility and sustainability, some indications of the impacts and results can be given. In the following paragraphs, we have not clearly distinguished between utility and sustainability but instead fo-

<sup>21</sup> As presented in "Evaluating EU Activities - a practical guide for the Commission Service" (DG BUDG, 2004)

cused on providing an indication on how the long-term impacts and results could develop.

Member States' understanding of "added value"

From interviews with Member States, we have understood that the question as to whether EMSA provides an added value is regarded as extremely important and forms the backbone of the rationale for establishing the Agency. "Added value", from the Member States perspective, is seen in connection with EMSA's ability to accomplish tasks more effectively and/or efficiently than the Member States themselves, thus leading to savings through economies of scale and/or better quality in the implementation of the task through synergy effects.

EMSA's contribution to "added value" and its ability to continue to provide "added value" is thus a suitable indicator for an assessment on the extent to which the results and impacts of EMSA's activities relate to the needs and challenges of the maritime sector in the EU.

The Commission perspective

In order to complete an assessment on the "added value" of EMSA, the Commission perspective must also be considered. This necessitates evaluating whether or not EMSA's activities have led to a savings and/or improved quality in the implementation of the Commission's tasks. During interviews with the Commission, it was understood that the Commission mainly assesses "value added" when seen in relation to quality improvement in their core function of preparing legislation and implementing legislation, notably inspections.

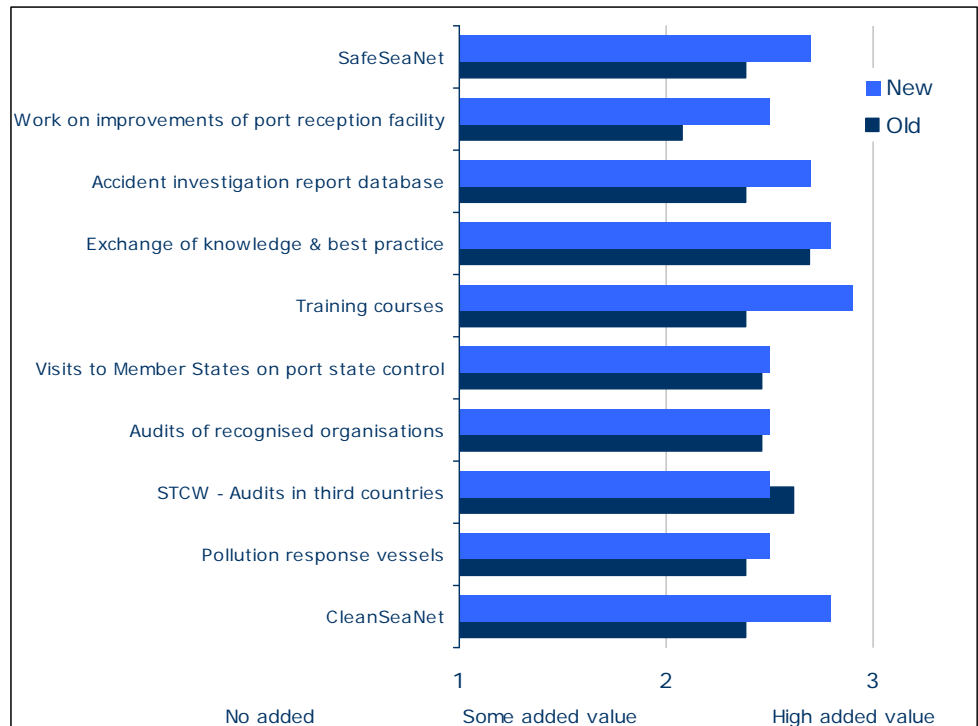
Figure 3.5 shows how "new" and "old" Member States<sup>22</sup> have responded to the following question in the questionnaire: "*Please indicate whether you consider the activities have contributed to 'added value' at the overall EU level*". The answers are based on the questionnaire.

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<sup>22</sup> The new Member States consist of the countries who became Member States May 1st 2004. For an overview of how countries have been grouped, please refer to Appendix 5.



Figure 3.5 New and old Member States' assessment of the level of added value by activity



Positive assessment by Member States

Figure 3.5 shows that, in general, EMSA's main activities are assessed in relation to their ability to provide "value added" services to Member States. All activities range between "some value added" and "high value added".

There is also a pattern showing that "new" Member States score higher value added compared to "old" Member States. It is not surprising that new Member States find that EMSA provides a valuable service. In the interviews, most new Member States stated that they have limited resources and insufficient 'know how' to take on the tasks on a national basis and for this reason welcome EMSA's assistance.

Figure 3.6 below shows how small and large<sup>23</sup> Member States have responded to the same question.

<sup>23</sup> For an overview of how countries have been grouped, please refer to Appendix 5.

Figure 3.6 Small and large Member States' assessment of the level of added value by activity

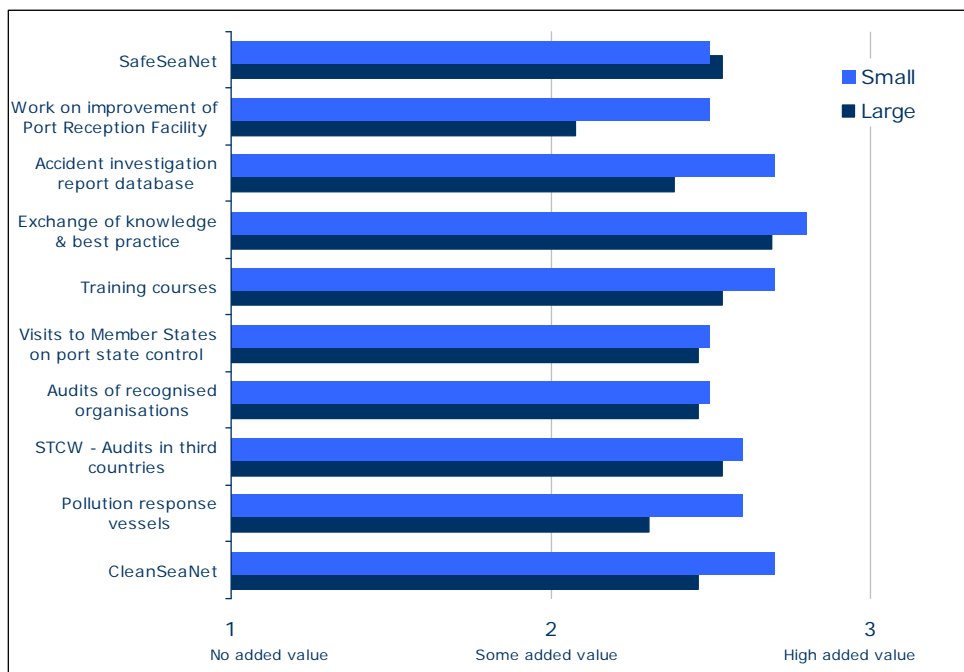


Figure 3.6 shows that small Member States generally score “value added” somewhat higher than the large Member States. This is most notable in relation to the activities of port reception facilities, accident investigation report databases, pollution response vessels and CleanSeaNet. Generally, this corresponds well with the logical assumption that larger Member States are more self-sufficient and already benefit from economies of scale due to their size, whereas smaller Member States have more to gain from having an agency such as EMSA.

Positive score from the Commission

During the interviews, we asked representatives of the Commission to score EMSA's utility and sustainability on a scale from 1 to 5<sup>24</sup>. The average score from all interviews is "4" indicating a very positive score from the Commission on these criteria.

Below, some of the indicative findings from interviews are provided, relating to the Commission perspective as well as the Member State perspective.

EMSA has created some administrative savings nationally

Most Member States have stated that they have already experienced administrative savings or expect to be able to save administrative resources as a consequence of EMSA's work in some areas in the future. CleanSeaNet is mentioned consistently as an area where EMSA through economies of scale have contributed to savings at national level. Another area often mentioned is the inspections related to the STCW Convention in third countries, where savings are expected as reports become available to all Member States.

<sup>24</sup> Where 1=very low, 2=low, 3=average, 4=high, 5=very high

- has also lead to administrative cost

However, Member States also mention areas where EMSA's activities have lead to increased expenditure nationally. This particularly concerns EMSA's inspection activities in Member States, which, at least in the short term, have required Member States to allocate resources in preparing for these inspections (provision of data, etc.) and in providing the required support, personnel, etc. during the inspection. On a similar note, this has also lead to an increased work load in the Commission, which has to deal with the assessment of inspection reports.

- balanced against quality gains?

In totality, the costs associated with the inspections would need to be balanced against the extent to which the inspections have given rise to improved performance in the Member States. As described in Chapter 3, Member States generally consider that inspections, training and technical assistance collectively have led to improved implementation of Community legislation, but opinions differ.

The question as to whether improved implementation of legislation leads to improved performance and - in turn - an improved level of maritime safety remains inconclusive at this stage. However, our findings indicate that there is a positive development in that direction. This particularly concerns the areas relating to Port State Control and Recognised Organisations.

Such questions could be addressed in future EMSA cross-country reports on implementation of Community legislation.

Quality gains in preparation of legislation?

Based on the findings presented in this report, it is evident that EMSA's activities have made an actual contribution to preparing Community legislation in the area of maritime safety. This is especially so for the areas of Port State Control and Recognised Organisations and to some extent also for ship stability legislation through EMSA's advice on IMO submissions.

Member States indicate that EMSA has contributed towards making legislative proposals technically feasible and acceptable to Member States from a technical point of view. Down the line, legislation which is more qualified, from a technical point of view, should ease and improve the process and level of implementation, which in turn should lead to increased maritime safety. As the major part of the legislative proposals to which EMSA has provided technical assistance are either not implemented or only recently implemented, it is not possible as yet to assess this aspect.

Quality gains in information systems and data exchange?

An important part of EMSA's work relates to systems and procedures for EU-wide exchange and distribution of maritime data and information. This concerns, i.e. the EU list of banned ships, VTMS and SafeSeaNet as well as a number of new applications underway, for example, the port state control database and the data system for long range identification and tracking of ships (LRIT).

Many of these systems and procedures are not yet fully operational or have only just reached an operational stage. Therefore, it is too early to assess their effects. There are indications, however, that gains in quality will be achieved,

for example, in relation to the SafeSeaNet project which is expected to improve the level and quality of vessel traffic monitoring across countries in the short term. This should lead to improved maritime safety in the long term.

The area on the development of IT applications was found to be less effective in the overall assessment. This may be explained by a combination of lack of staff with a technical-administrative IT background and lack of exploitation of the potential for cross-disciplinary co-operation between maritime experts and IT experts in EMSA. Overcoming these barriers is likely to be the key to achieving sustainable results.

Quality gains in oil pollution response?

Earlier in this report, it was stated that as there have not been any major oil spills since EMSA was given the task of providing an operational oil spill response capacity, the impact of EMSA's activities cannot be fully assessed.

Should an incident occur, where a Member State requests assistance from EMSA's vessels on stand-by contract, it will most likely to be difficult to assess the impact of EMSA's contribution in isolation from the Member State(s)'s contribution as EMSA's capacity is based on a "top up" philosophy.

During our review of the Action Plan for Oil Pollution Preparedness and Response and information on EMSA's fleet of vessels, we have identified some issues which could become critical in the event of an incident and thus pose a potential threat to the impact and sustainability of EMSA's oil pollution response activities. These include:

#### **Response time and roles of involved parties**

Given the arrangement with the 'stand-by availability contracts', the response time of EMSA's vessels is bound to be longer compared to that of vessels on permanent stand-by. Furthermore, the maximum speed of the vessels in EMSA's fleet is not very high.

We have understood from EMSA's comments that part of the reasoning behind the "top-up" philosophy is that EMSA's vessels do not need to be the first at the scene of the incident. The national authorities should have the capacity to deal with the first phases of an incident and EMSA's capacity may subsequently be used for larger volumes of oil spill. In such a scenario, response time may not be a critical issue. However, in instances where an incident takes place close to the shore, time may still be a critical factor.

Furthermore, the above understanding on the distribution of roles between the national authorities and EMSA's vessels does not appear to be documented<sup>25</sup>, which leads to uncertainty as regards the extent to which it represents a common and shared understanding between stakeholders. A clarification of roles and expectations from the different stakeholders is recommended.

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<sup>25</sup> See also Section 3.5

**The importance of factors other than the oil spill recovery capacity**

Experience from serious oil spill incidents in the past indicate that a lack of oil spill recovery capacity is not the sole factor in explaining the magnitude of the disaster. Other factors, such as national authorities' ability to assess the situation and to make the correct decisions as well as cross-country cooperation (as the incidents often include cross-border issues) have also greatly influenced the course of events.

Seen in this light, the fact that EMSA's activities in the area of oil pollution preparedness and response are not only operational but also focus on technical assistance, information and sharing of experience seems very appropriate. The challenge for the future appears to be the ability to achieve the right balance between operational "hardware" support and the "software" technical assistance.

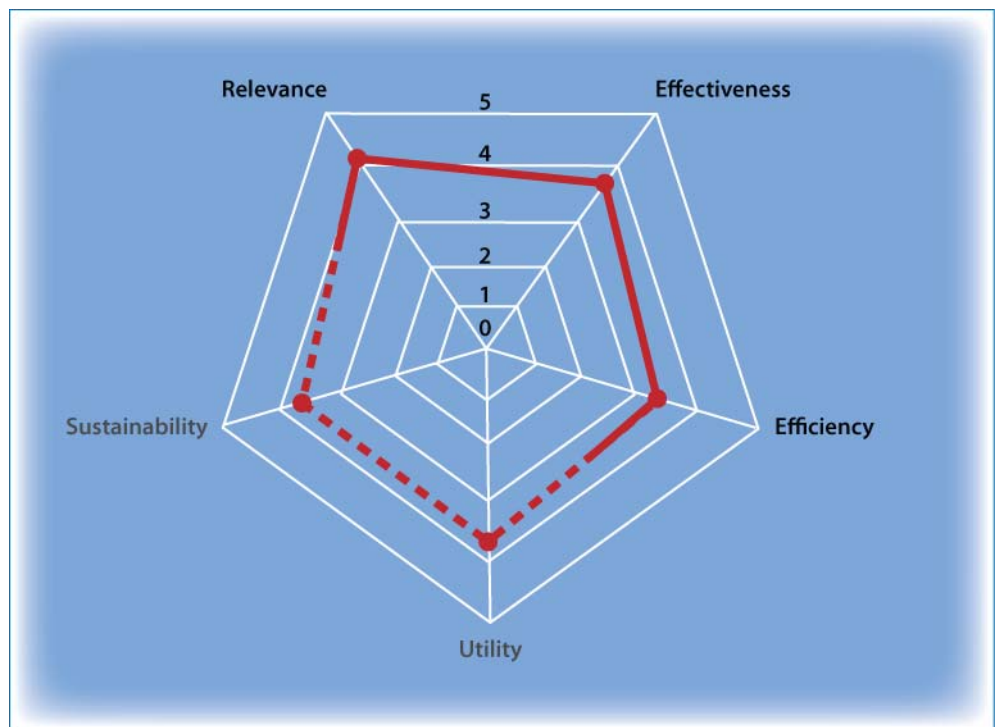
## 4 Conclusions

### Overall conclusion

It is the overall conclusion that the establishment of EMSA has filled a gap in the maritime safety area in the European Union. The Agency has quickly grown in terms of its tasks and importance to become a significant actor in the maritime safety area. The Agency has added value to the sector in general, and to its two main stakeholders, the Member States and the Commission, in particular.

Established in 2002, the Agency has been quick - not only in building its own organisation - but also in delivering useful outputs to its stakeholders. In general, EMSA's stakeholders are therefore also satisfied with its performance.

Figure 4.1 Scores related to EMSA's relevance, effectiveness, efficiency, utility and sustainability



In Figure 4.1 we present the evaluators' assessment of the performance of the Agency on the five evaluation criteria. The score is based on our desk studies,

the questionnaire, the interviews with EMSA, the Commission and Member States representatives and the consultant's own judgment.

On the criteria of relevance, effectiveness, efficiency and utility/sustainability, the evaluation has generated the following conclusions.

## 4.1 Relevance

The EMSA Regulation, and hence EMSA itself, is highly relevant. The data collected support the conclusion that the Regulation fulfilled a need felt by Member States and the Commission at the time of its adoption in 2002.

The maritime sector in general, the Member States and the European Union, particularly with its enlargement, have changed since 2002. Today, in 2007, the Regulation and the Agency still remains very relevant - and perhaps even more relevant than when it was perceived and initiated.

Based on desk studies, the questionnaire, interviews with EMSA, the Commission and representative of the Member States and the consultant's own judgment, the score on relevance has been scored at 4.1 (see Figure 4.1). EMSA's tasks can be divided in two groups, those of high and medium relevance, respectively.

### High relevance

This group includes tasks which are mentioned consistently by a large number of respondents as being very relevant:

- **Inspections of Classification Societies.** By having one agency who deals with this task consistency in approach and implementation throughout the Community is ensured.
- **Inspections of maritime education, training and certification systems in third countries.** There are considerable cost savings in having one agency to perform this task rather than individual Member States performing individual inspections in the same third countries. This also contributes to a consistency in approach and implementation.
- **Inspections in Member States.** There is a need to ensure a harmonised implementation of the Directives. Having a technically specialised agency performing inspections in Member States concerning the implementation of EU maritime directives meets this need.
- **Assistance and technical back-stopping to the Commission in the preparatory work for updating and developing Community legislation.** Considering the increasing number of legislative measures and their technical complexity, there is a growing need for technical support to assist the work of the Commission.
- **Provision of satellite imagery through CleanSeaNet.** As one agency ordering on behalf of all Member States, EMSA can negotiate better and

more economically advantageous terms with providers of satellite imagery. This has led to cost savings at overall EU level.

- **Provide a pan-European network linking together national vessel traffic information systems (SafeSeaNet).** A pan-European network will enable faster information exchange and an improved basis for decision-making at Community level.
- **Co-ordinating among and providing advice to Member States.** There is a need for exchanging knowledge and best practises, as well as enhancing the understanding of EU maritime law across Member States. EMSA meets this need through arranging workshops, seminars and training courses.

Medium relevance

The task of providing pollution response capacity to top up the capacity of the Member States is assessed as being of medium relevance. This is the only task where a significant number of Member States question whether this is a relevant task for EMSA<sup>26</sup>. The main reservations of the opponents include:

- Following international conventions, protection of national shorelines is a national responsibility.
- There are no agreed standards on how much an individual Member State is required to have in terms of own capacity, which makes it difficult to establish a benchmark from which EMSA can "top up" the efforts.

## 4.2 Effectiveness

EMSA's effectiveness is above average - and in many areas it is high. The Agency has contributed significantly to improving the effectiveness of Community-level maritime safety activities in general. The tasks performed by the Agency are thus carried out more effectively today than was the case when the same tasks were dealt with by individual Member States and/or the Commission - if at all - prior to the establishment of the Agency.

Naturally, effectiveness varies among the different areas in which the Agency is involved. Hence, in some areas effectiveness is very high, while in others it is average - or even below average. The evaluation has thus identified a number of areas where effectiveness can be enhanced. On average, the Agency comes out with a score of 3.7 for effectiveness (see Figure 4.1). There are three levels of effectiveness: highly effective, effective and less effective.

Tasks considered highly effective

EMSA's inspections of Classification Societies and of Member States' implementation of Port State Control are consistently met with high satisfaction from stakeholders. It is concluded that EMSA's work provides an important input to

<sup>26</sup> Some Member States point out that no major accident involving serious pollution has occurred in EU waters since EMSA took up the task, which makes it difficult for Member States to judge the added value of EMSA in this field.



the Commission in monitoring the implementation of EU maritime legislation. It contributes to harmonisation of the implementation of the directives and thus provides overall added value at Community level.

Within this "core business area" there is also high satisfaction with EMSA's contribution to new legislation. EMSA plays an important role in ensuring that legislative proposals are technically feasible and acceptable to Member States from a technical point of view.

EMSA's activities related to visits, training, provision of tools and exchanging of best practises has lead to a greater degree of harmonisation in the implementation of the PSC regime.

Effectiveness is also considered to be high when it comes to training programmes and seminars<sup>27</sup>. It is concluded that training programmes and seminars have contributed significantly to the exchange of knowledge and best practises among Member States. They have led to a better understanding of EU Maritime Law, and have been an important aid, especially to new Member States.

Within these core areas, it is recognised that EMSA has a high level of technical capacity and a strong knowledge base and the outputs produced are considered to be of high quality.

A new activity also considered to be highly effective is the establishment of CleanSeaNet. This was a well-defined and delimited task where EMSA delivered a highly useful output within a short span of time.

Tasks considered effective

EMSA is effectively undertaking the following tasks.

- **Inspection of maritime education, training and certification systems in third countries.** The quality of the inspections is recognised as being better than when this was carried out by individual Member States. The number of inspections has, however, been fewer than planned. As for inspection reports, the lack of dissemination of results from the Commission to Member States is an issue raised by almost all Member States, and this is considered to be a serious constraint towards effectiveness. It is important to recognise that during the evaluation process, it was decided to make such reports available to Member States.
- **Assistance and technical back-stopping to the Commission** in its preparatory work for updating and developing Community Legislation<sup>28</sup>. In the context of the third maritime safety package, EMSA's input to impact assessments and answers to specific technical questions have been facilitative. However, there is scope for improving EMSA's ability to submit pa-

<sup>27</sup> Some Member States find that the current training capacity is not sufficient to meet their needs.

<sup>28</sup> Other than PSC and classification societies, where EMSA is considered highly effective, and new, specialised and multidisciplinary areas where EMSA is considered less effective

pers and reports in a form specifically adapted to the needs of the Commission.

- **Oil pollution response stand-by vessels.** EMSA has produced an Action Plan for Oil Pollution Preparedness and Response as required. However, as there is no documented long-term strategic plan for how the network of pollution response vessels is to develop and no final target, it is not possible to assess, in overall terms, when the network can be regarded as "complete" and EMSA, hence, as having fulfilled its obligations. The fulfilment of the task can only be assessed partly - on a year-by-year basis.

With the 2007 tender process completed, EMSA now has contracts with a total of 16 vessels placed in all priority regions with the exception of the Black Sea. The 7 vessels contracted in 2007 will become operational in 2008. EMSA has thus been effective in identifying a solution to provide operational capacity within a limited budget frame. However, the number of contracts has been fewer than planned, which is reflected in payments lower than budgeted in 2005 and 2006. Hence, EMSA has not been fully effective in realising the contract potential within the given budget frame.

The action plan states that the vessels should have "Sufficient speed and power to arrive "on-site" as rapidly as possible". As this is a rather imprecise requirement, it is difficult to benchmark the data of the tendered vessels against it.

The organisation and procedures set up by EMSA to handle requests from Member States seem to work well both internally and externally.

EMSA is also considered effective in relation to the **management of its mandate**. Referring to the founding Regulation, EMSA has several roles. EMSA has a dual mandate in 1) providing assistance to the Commission (ref. Article 2, a and b); and 2) working with the Member States (ref. Art 2, c).

In consequence, EMSA has to manage several roles vis-à-vis the Member States. On the one hand, EMSA must work with the Member States, e.g. providing training and assistance, and on the other hand, it conducts inspections of the Member States' implementation of certain EU directives (as part of its assistance to the Commission).

It is concluded that there is - and will continue to be - different interpretations of what is meant by the term: "...working with the Member States...". The term originates from the Founding Regulation, and Member States, the Commission and EMSA have somewhat different interpretations of its meaning regarding EMSA's role. We conclude that EMSA handles the different roles well - and is prepared to engage in dialogue with stakeholders on the meaning of the phrase. A dialogue which is considered natural and healthy given the fact that the Agency has only recently been established.

Interviewees from Member States and the Commission express concerns that the role of EMSA in relation to the EU policy-making entities is not always

sufficiently clear. Both sides reiterated that EMSA is - and should be - a technical and operational agency, not a policy making entity.

Finally, EMSA is considered effective in relation to its communication to external stakeholders. From interviews with Member States and the Commission there is a general impression that communication and the information provided by the Agency is reliable, objective and understandable. There is a need to re-think the communication strategy for the annual work programmes and reports, which are currently not suited to the Administrative Board's purposes. In addition, upgrading the web-site and the newsletter will further improve effectiveness in this area.

Tasks considered less effective

EMSA is considered less effective when it comes to dealing with complex, multi-disciplinary tasks and new, specialised tasks. Both the Member States and the Commission have provided examples to support this conclusion.

An example of complex, multi-disciplinary tasks is the area related to IT applications. EMSA is in charge of developing and implementing various maritime IT applications for use throughout the Community, most notably SafeSeaNet. While it is recognised that external factors also influence the effectiveness of implementation, it is concluded that EMSA should have been able to achieve a higher degree of effectiveness in this area.

The Commission has also pointed out that technical assistance in preparing new legislation involving IT-issues, issues requiring a multi-disciplinary approach, as well as new, specialised issues is considered less effective.

The following underlying factors may explain why EMSA is less effective in dealing with multi-disciplinary- and new, specialised tasks:

- EMSA is a function-based organisation with units dedicated to specific tasks. This is a classical type of organisation suitable for producing standardised outputs based on specialised units with little need for cross-unit cooperation in a stable, predictable environment. This type of organisation is not geared towards an environment with fast changing tasks requiring flexibility and innovation such as that of EMSA. The resulting lack of flexibility and multi-disciplinary approach means that internal resources are not used to their fullest potential.
- Slow progress in some areas is also explained by an insufficient number of suitably skilled staff. This is especially true for the IT development projects, where staff with combined project management and IT system development skills is needed.
- While EMSA has developed links to international organisations, the research community and other experts, it seems that there is scope for further expansion and more active use should be made of this network. This would allow EMSA, to a larger extent, to draw on external expertise and existing knowledge in Member States in new and/or complicated areas and combine it with the knowledge available internally.

### 4.3 Efficiency

EMSA's performance is above average regarding efficiency. This conclusion takes into consideration the fact that the Agency was established from scratch, that it was relocated from Brussels to Lisbon, and that it has had a very high and rapid growth rate from 1 staff in 2003 to more than 140 staff in 2007.

The assigned score of the Agency on efficiency is consequently slightly lower than for effectiveness and stands at 3.5 (see Figure 4.1).

One of the reasons why efficiency is considered lower than effectiveness has to do with the Agency's organisational effectiveness. There are a number of areas related to the management and governance of EMSA, where there is scope for improvement, which would influence both effectiveness and efficiency.

Management of EMSA - and its effectiveness and efficiency

Today, EMSA operates with a one-year rolling planning system, which fulfils the requirements of the Founding Regulation. The annual work programme, the annual budget, the annual general report, and the annual financial report together provide a general overview of what is planned and what has been done during a given year. These reports satisfy the most important needs of the key stakeholders (the Member States, the Commission, and the European Parliament). However, there are a number of weaknesses in the current management systems, including:

- There is no transparent link between planned activities, budgets, achieved outputs and accounts. In other words, the budget is not activity based and neither are the accounts. It is therefore not possible to see the amount budgeted/spent for a given activity in the work programme<sup>29</sup>. This absence of activity-based costing (ABC) makes it difficult to monitor the effectiveness and efficiency of the organisation. Furthermore, the lack of this management information hampers the Board in exercising an effective supervision of the agency.
- There is no direct link between the one-year rolling system and the day-to-day management of activities and projects. The annual work programmes serve as the overall planning framework. However, it is not possible from the management system to establish an overview of progress and status on projects and activities like information on achieved results versus planned and expenditures versus budget. Day-to-day management would gain from better and more transparent and coherent planning and monitoring procedures including project management - and this would in turn improve effectiveness and efficiency.
- The Agency has no formal strategic planning system setting out priorities over a 3 - 5 year time span which defines its role in the maritime sector, in general, and/or its role vis-à-vis the major stakeholders, in particular. Such a system would be an instrument allowing the Agency and its stakeholders

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<sup>29</sup> EMSA is moving to activity-based budgeting, however, the initiative is in an early pilot-project stage.

to provide overall direction and a framework for the annual plans and budgets.

- The Agency has established a number of manual procedures e.g. within payments, recruitment and provision of management information. Using information technology would improve efficiency in these areas.

Governance of EMSA and effectiveness and efficiency

Pursuant to the Founding Regulation, the Agency is governed by the Administrative Board (ref. Article 10) and managed by the Executive Director (ref. Article 15). The Board can influence the process of developing the work programme and the budget - and approves the annual work programme and the budget. The final decision-making power concerning the budget and the associated work programme is with the EU Budgetary Authority.

The absence of activity based costing and accounting makes the process of developing and following up on the work plan and the budget less transparent to members of the Board. This does not increase the effectiveness and efficiency of the *relationship* between the Agency and its Board - and consequently does not increase effectiveness and efficiency of the Agency itself.

#### 4.4 Utility and sustainability

Since EMSA is a young organisation, it is not possible to fully assess the long-term impacts as yet and hence it is only possible to give tentative conclusions on utility and sustainability.

The indicative findings tentatively suggest an overall positive score. The utility and sustainability score is assessed to be in the range of 3.5-3.9 with the average of 3.7 based on the following reasons:

- All Member States and the Commission score the particular activities of EMSA as either 'some value added' or 'high value added' in the field of maritime safety.
- Member States and the Commission believe that EMSA has created overall 'value added' impact and that EMSA has had a positive EU wide impact within the area of maritime safety whether it be through improving the quality of new Community legislation, the implementation of existing Community legislation or cost savings in the EU.
- The additional value provided by EMSA has filled a gap in the sense that the Commission is provided with a level of technical expertise which it did not have prior to EMSA's establishment. In relation to the Member States, a gap has been filled through EMSA's performance of tasks that were previously not performed by (all) Member States or tasks in which EMSA has achieved a higher quality or lower cost than the Member States individually.

- EMSA has the potential to further improve quality gains and cost-effectiveness at the EU-level through economies of scale by implementing tasks that were previously implemented individually in the Member States. This can be observed in relation to some of the activities carried out today and should become more visible in years to come.

## 5 Recommendations

This chapter presents the recommendations. The majority are addressed to EMSA and presented in section 5.1. Additional recommendations addressed to the Commission and the Member States are provided in section 5.2.

### 5.1 Recommendations to EMSA

It is recommended that EMSA:

- 1 Develop a **strategy plan** covering a 3-5 year perspective
- 2 Develop the **annual work programmes** to function as operational action plans for the given year
- 3 Develop the **annual report** to reflect actual achievements made against the targets - and prepare it in a way that it distinguishes between target groups (i.e. the general public and the Administrative Board)
- 4 Develop a direct **link between project work plans and unit work plans**
- 5 Introduce **activity based costing** and budgeting
- 6 Improve the **action plan for oil pollution preparedness and response** with inclusion of strategic elements
- 7 Streamline **inspections to Member States**
- 8 Apply a **strategic and needs-oriented approach to training** activities
- 9 Develop the **project management capacity** through staff training
- 10 Improve the use of **IT**, specifically in relation to payments and recruitment
- 11 Improve **communication planning and activities**

The recommendations are presented in more detail below.

**Recommendation 1: Develop a strategy plan covering a 3 to 5 year perspective**

This evaluation has pointed to some uncertainties in regard to EMSA's role and how it is perceived by different stakeholders in different situations. A strategy plan, to be approved by the Administrative Board, will be a useful tool for fostering further dialogue among stakeholders and increasing common understanding of EMSA's role. The strategy plan will also respond to a need for multi-annual planning, which is evident concerning a majority of EMSA's tasks.

The strategy plan should set out strategic direction taking into account the mandate as given by the EMSA Regulation. It should include:

- A description of where the Agency wants to be in a 3 - 5 years time span, how it expects to get there and how it defines its own role in the maritime sector in general and its role vis-à-vis the major stakeholders in particular.
- Considerations concerning the division of responsibilities and roles of the Agency, the Member States and the Commission, respectively - and thereby increase the stakeholders' common understanding of EMSA's role
- A list of prioritised areas of operation for the Agency
- Considerations and tentative prioritisations concerning what share of Agency resources should be allocated in the future towards EMSA's key roles, i.e. providing training and assistance to Member States, conducting of inspections in the Member States, support to the Commission, development tasks, operational tasks, knowledge sharing tasks, etc
- Considerations concerning staff composition in the light of priorities made

**Recommendation 2: Develop the annual work programmes to function as operational action plans for the given year**

Today, EMSA's annual work programmes often describe activities in broad terms without clearly stating benchmarks against which the performance can be measured. While it is recognised that it is not possible to establish clear benchmarks in all areas of activity of EMSA's, there is a need to make the work programmes more operational to function as a tool for monitoring of the Agency's performance.

The annual work programmes should function as operational action plans for the given year, focusing on the planned activities and the associated budget for the year (activity based budgeting/costing). The work programmes should be a management tool for the Executive Director and the Heads of Units giving a benchmark against which the activities and budgets can be implemented and progress can be monitored. In this way, the work programmes will also be a tool for overall progress monitoring for the Administrative Board.

It is recommended that the work programmes should be considerably shorter than today and consist of mainly tables with overviews of activities and budget supplemented by explanatory notes where necessary. The link between activities and budgets should be clarified.

Part of EMSA's *modus operandi* is that the Agency is required to respond to requests from the Commission and the Member States. For this reason, the an-



nual work programmes must set aside an un-allocated budget for such activities and it must be acknowledged that reallocation between activities may be needed in order to respond to highly prioritised requests. Having a consistent, flexible and transparent allocation system will help to make decisions concerning reallocations and to communicate these decisions to external stakeholders.

**Recommendation 3: Develop the annual reports to reflect actual achievements against targets**

At present, the annual reports seem to be targeting several audiences and do not provide a sufficient level of detail in order for the Administrative Board to monitor progress and performance of the Agency. There is a need to develop the annual reports as a management tool for the Agency and its Board.

The annual reports should refer directly to the annual work programmes and provide information on the actual activities carried out and the actual expenditure compared to planned activities and budgets. In case of deviations (positive or negative) these should be explained.

The annual reports should be a tool for the management and the Administrative Board in monitoring progress against plan. This management tool can be supplemented by annual reports for a wider audience (see further under Communication).

The production of annual work programmes and reports is a strategic task for the management of EMSA and should be firmly anchored in the Bureau of the Executive Director. In order to ensure consistency between planning and reporting, it is recommended that the tasks are strongly coordinated and under clear common responsibility within the organisation.

**Recommendation 4: Develop a direct link between project, unit and annual work programmes**

At present, the individual units develop annual plans and related project fiches for individual activities. It is recommended that this practise is continued, but it needs to be linked to the annual work programmes so that the work programme is reflected directly in the plan for the individual unit and so that the individual projects are linked to specified activities - and vice versa.

**Recommendation 5: Introduce activity based costing and budgeting**

At present, there is no direct link between the accounting system with the daily management of expenses and the overall annual planning and reporting system. At a given point in time, it is thus not possible to draw from the system an overview of the progress in implementing certain activities/projects and their associated budget.

In order to ensure this in the future, EMSA needs to implement an activity-based budgeting and accounting system. Such a system will allow EMSA to assign budget to activities and relate this to actual expenditure thereby enabling monitoring of progress. In EMSA, this need is recognised and the first steps to implement a system have been taken by implementing a pilot system with posting criteria in the accounting system.

It is recommended that EMSA assigns high priority to fully developing activity based budgeting and accounting. This should be introduced not merely as an accounting and control system, but as a management tool facilitating day-to-day, goal-oriented management - and monitoring of achievements. The system should link activities, budget and expenditure at the level of individual projects or activities and link projects and individual activities with overall themes or activities enabling accumulated overviews for annual planning and reporting purposes. The system should encompass a time registration system providing information on staff resources spent per activity.

Such a system will allow the Agency to improve effectiveness and efficiency by determining the costs of individual activities and projects. At the same time, the system will allow the Agency to report accurately on the activities planned and budgeted for, activities undertaken, outputs produced and actual expenditure related to the given tasks.

EMSA is faced with several options for system development. The Agency can either implement a new system or attempt to work with the existing system and develop necessary "add-on's" if needed. Implementation of a new system would most likely require considerable resources and time for development as no ready-to-use system exists. EMSA's experiences with using posting criteria in the existing system suggest that it is possible to build on the existing system to create a system living up to the requirements.

It is suggested that the system is implemented incrementally with one or two units in a pilot test during 2008 and in all units by 2009.

#### **Recommendation 6: Improve the action plan for oil pollution preparedness and response with inclusion of strategic elements**

It is a key element emphasised in the action plan that EMSA should "top-up" the efforts of coastal states and should not replace existing capacities. There is a need to develop a common understanding of the implications of this strategy in terms of the roles and responsibilities of the involved stakeholders and to clarify and make explicit the longer term priorities guiding EMSA's work.

It is recommended that the action plan is revised and transformed into a Strategic Action Plan. The action plan should present the longer term strategic considerations, consider the strategic implications of the "top-up" philosophy in the light of the lessons learned and provide the background against which strategic choices are made.

It should also be explicitly stated in the amended action plan under which conditions and for how long Member States can contract the services of EMSA's pollution response vessels. The Action Plan in its current form contains some vaguely formulated intentions. There is a need for clearer guidelines in this area.

#### **Recommendation 7: Streamline inspections in Member States**

EMSA is carrying out inspections in Member States to monitor the implementation of Community Law in a number of areas. The number of inspections has

increased considerably in the past year and is likely to increase further. It is recommended that EMSA, in a dialogue with Member States, explore options for achieving synergy effects and economies of scale in the process of carrying out inspections.

These options could include further coordination of data collection prior to missions, utilising IT-based forms of data collection and creation of data banks to store collected data in a structured way so that it may be used by other mission teams.

**Recommendation 8: Apply a strategic and needs-oriented approach to training activities**

The Member States are highly satisfied with the training offered by EMSA and the data collected for this evaluation suggests that the demand for training exceeds what is currently offered by EMSA. At the same time, there is general consensus that EMSA should not compete with the commercial training market.

It is recommended that EMSA considers and makes explicit its strategy for the training activities with a view to further optimising the training in view of the needs of the Member States. In this connection, it is suggested that EMSA carries out a training needs assessment among the Member States.

It is suggested that EMSA develops a rolling calendar of events, including training, workshops and seminars, and makes it available on the web-site.

**Recommendation 9: Develop project management capacity through staff training**

This evaluation has pointed to new, complex tasks requiring multidisciplinary work as an area with a scope for improving EMSA's effectiveness. There is a need to increase the flexibility of the organisation and to further encourage cross-unit and cross-disciplinary cooperation. It is recommended to focus on further development of the project management capacity as a tool in this regard.

The Agency should develop its project management capacity and ensure that projects are an integral part of the planning and monitoring system. The Commission has good project cycle management guidelines available which should be adopted by the Agency - and staff should be trained in planning and managing projects following such guidelines.

**Recommendation 10: Improve the use of IT**

At present, some administrative procedures are handled manually by the Agency. There is scope to make the administration more efficient by introducing IT-based procedures. It is recommended that the Agency increase its use of IT, specifically in relation to for instance payments and recruitment.

**Recommendation 11: Improve the communication plan**

Members of the Administrative Board need more detail than the current annual work plans and annual reports provide. On the other hand, this level of detail will not be relevant for the general public. It is recommended that the Agency modifies its communication policy and practise to reflect this.

The Agency can choose to present two different reports, one for each of the respective audiences. Another option is to provide one report where overall information for the general public is published complete with all the detailed information for the Administrative Board on budgets, activities, achievements and accounts in annexes. Either way, it is suggested that the publication targeted at the wider public include a broad description of the key issues in the sector and the main outcomes and achievements as a result of actions taken by EMSA.

It is also recommended that EMSA reconsiders the set-up and editorial aspects of the web-site. Among other things, the web-site would benefit from a searchable database on publications.

## 5.2 Recommendations to the Commission and Member States

- This evaluation has concluded that EMSA is a highly relevant agency and the tasks assigned to the Agency are all considered relevant by the key stakeholders. Hence, comprehensive alterations to the current tasks allocated to EMSA are not recommended. There is a need for clarification in some areas and this should mainly be addressed by the development of a strategy plan for the Agency.
- The Member States and the Commission should support the development of a strategy plan for the Agency and the inclusion of strategic elements in the action plan for oil pollution preparedness and response. They should engage in dialogue with EMSA on future needs and challenges and their expectations to EMSA.
- It is suggested to consider some minor amendments in relation to the EMSA Regulation. Article 22 could be amended to provide for regular evaluations of the implementation of the EMSA Regulation (every 5 years). It could also be considered to include a formal requirement for the Agency (the Executive Director) to produce a strategy plan for the Agency to be updated at least every 3 years.
- The Member States and the Commission - as key end-users - should also support the process of introducing activity-based costing and budgeting in the Agency. Feed-back to EMSA from the Administrative Board will be needed on the level of satisfaction with the reporting and suggestions for further improvement.
- It is recommended that reports from STCW inspections in third countries are made available to the Member States. During the evaluation exercise the first steps have been taken to that effect. It is recommended to assign high priority to developing the secure web-site.
- It is suggested that the Commission considers including wider impact assessments in relation to future EU-wide studies on implementation of

Community legislation. The 'terms of reference' for cross-country studies conducted by EMSA could thus be complemented with a requirement to analyse the EU-wide impact on the level of maritime safety. Such assessments could contribute to an improved understanding of the links between the implementation of Community law and the level of maritime safety in Europe.

- When assigning comprehensive new tasks to the Agency, the potential for achieving "value added" should be analysed. It should be transparent (i) in which areas EMSA is supplementing what Member States are already doing - and hence increasing the overall quality for the entire EU, (ii) in which areas EMSA is taking over activities and implementation from Member States allowing them to make savings on their national budgets - and where EMSA is hence adding synergy and economy of scale. Such studies would be in concurrence with recent Commission practice when establishing new agencies.
- Considering that an impact assessment of the EMSA Regulation is currently on-going, it is suggested that the Administrative Board makes this evaluation report available to the responsible contractor.

# **Appendix 1 Evaluation Questions, success criteria and indicators**

Level 2 - specific evaluation questions	Level 3 - success criteria	Level 4 - indicators	Data / source
<p>R1: To which extent does the founding Regulation and the objectives and tasks formulated for EMSA in the Regulation respond to the challenges and needs of the sector?</p>	<p>A high level of consistency between objectives and the needs</p> <p>The main target groups, i.e. Member States and Commission find the tasks of EMSA useful and highly prioritised</p>	<p>Commission's, Member States' and EMSA staff's assessment of level of consistency</p> <p>Commission assessment of relevance</p> <p>Member States assessment of relevance</p> <p>EMSA staff's assessment of relevance</p>	<p>Personal/telephone interviews</p> <p>Questionnaire and interviews</p>
<p>R2: To which extent do the priorities reflected in the work programmes and budgets of EMSA reflect the objectives and tasks stated in the regulation?</p>	<p>Priorities reflect objectives and tasks</p>	<p>Comparative analysis of objectives and work programmes / activities / budgets</p>	<p>EMSA's work programmes and budgets</p>
<p>ES1: To which extent has EMSA achieved the objectives set out in its work programmes?</p>	<p>Actual outputs correspond to planned outputs</p>	<p>Comparative analysis of planned outputs and outputs achieved by EMSA</p>	<p>EMSA work programmes, annual reports and information supplied on outputs delivered</p>
<p>ES1.1: To which extent has the implementation of the directives become more effective as a result of EMSA's work?</p>	<p>Effectiveness has increased as a result of EMSA's work (training activities, inspections).</p> <p>EMSA has contributed to improved understanding and implementation of relevant directives in candidate countries in the process of enlargement</p>	<p>Commission's assessment of effectiveness</p> <p>Member States' (including former candidate countries') assessment of effectiveness</p> <p>EMSA's assessment of effectiveness</p>	<p>Key informant interviews</p>

Level 2 - specific evaluation questions	Level 3 - success criteria	Level 4 - indicators	Data / source
<p>ES1.2: To which extent are the Commission and the Member States in a better position to monitor the implementation of the relevant directives as a result of EMSA's work?</p>	<p>Data and information supplied by EMSA provides a better basis than previously for the Commission and Member States to monitor the implementation of the relevant Directives and to improve their actions</p> <p>EMSA provides objective, reliable and comparable information and data to the Commission and Member States</p>	<p>Member States' assessment of their ability to monitor before and after EMSA and EMSA's contribution</p> <p>Member States' and Commission's assessment of data quality in terms of objectivity, reliability and comparability</p>	<p>Questionnaire</p> <p>Key informant interviews</p>
<p>ES1.3: To which extent is the commission in a better position to prepare new legislation as a result of EMSA's work?</p>	<p>Commission is satisfied with the level of assistance received from EMSA on updating and developing Community legislation.</p> <p>Quality of Community legislation has improved.</p>	<p>Commission's, EMSA's and Member States' assessment of quality of assistance and quality of Community legislation before and after EMSA</p>	<p>Key informant interviews</p>
<p>ES1.4: To which extent has EMSA contributed to reducing the effects of oil spill accidents?</p>	<p>EMSA has contributed to reducing the effects by assisting the Member States with expertise and coordination</p> <p>EMSA has contributed to reducing the effects by providing operational support to MS response actions</p> <p>EMSA's activities interact Community, regional and national measures and the distribution of tasks between various stakeholders contributes to overall effectiveness of measures</p>	<p>Stakeholder's assessment of EMSA's activities and effects thereof</p> <p>Comparison of planned outputs and outputs achieved</p>	<p>Desk research, interviews</p>
<p>ES1.5: To which extent has EMSA succeeded in setting up effective working relations with the Commission, Member States, third countries, classification societies and what has been the contribution of these towards the attainment of the objectives?</p>	<p>Effective working relations with all stakeholders, including the Commission, the Member States, third countries, and classification societies established</p>	<p>EMSA's and stakeholders' assessment of working relations</p>	<p>Key informant interviews</p>



Level 2 - specific evaluation questions	Level 3 - success criteria	Level 4 - indicators	Data / source
ES2: To which extent does the management of EMSA contribute to the effectiveness of its operations?			
ES2.1: To which extent do EMSA's organisational set-up and decision-making processes contribute to the effectiveness of operations?	The Board provides clear strategic direction and sets priorities	The Board members' and EMSA Management's assessment of the quality of the Board's strategic direction  Board meetings are focused on strategic issues	Key informant interviews  Minutes from Board meetings  Decisions by the Board and the Executive Director
ES2.2: To which extent do EMSA's procedures for planning and budgeting contribute to the effectiveness of operations?	Specific, realistic and operational objectives as well as indicators for outputs, results and impacts contained in work programmes  Monitoring/evaluation system allows EMSA to collect relevant data on inputs, outputs, results and impacts  Monitoring/evaluation data feed back into decision-making	Consultants assessment of correspondence between aims and priorities in EMSA work programmes and budgets/staff allocation  Benchmarks for input, output, results and impacts	Work programmes  Material concerning monitoring/evaluation system  Interviews with EMSA personnel
ES2.3: To which extent does EMSA's staff development contribute to the effectiveness of operations?	The technical capacity of EMSA staff is sufficient to implement the required tasks  EMSA is viewed as an attractive workplace and is able to attract staff with sufficiently high technical qualifications  Development and training of staff maintains the sufficient technical capacity of staff	Assessment of technical capacity of EMSA staff, Commission, Member States assessment of EMSA personnel  Assessment of EMSA's educational activities	Interviews with commission, EMSA personnel and Member States

Level 2 - specific evaluation questions	Level 3 - success criteria	Level 4 - indicators	Data / source
<p>EC1: To which extent has EMSA performed its tasks at a reasonable cost in terms of financial and human resources deployed?</p>	<p>Activities which can be performed more efficiently by an external party are outsourced on a competitive basis</p> <p>There is a reasonable ratio between professional and administrative staff, i.e. similar compared to similar agencies</p>	<p>Ratio of budget used for administrative staff compared to similar EU agencies</p>	<p>Accounts</p> <p>Court of Auditors reports</p> <p>Information supplied from similar EU agencies</p>
<p>EC1.1: To which extent has EMSA conducted inspection activities related to port state control, classification societies and seafarer's education systems at a reasonable cost in terms of financial and human resources deployed?</p>	<p>Costs are reasonable compared to equivalent systems in Member States</p> <p>Costs are reasonable considering possible alternative way of arranging inspection visits</p>	<p>Assessment of working procedures and reports</p>	<p>Accounts</p> <p>Data from a few selected Member States on costs of inspections</p>
<p>EC1.2: To which extent has EMSA procured oil pollution response vessels at a reasonable cost in terms of financial and human resources deployed?</p>	<p>Competitive procurement process</p> <p>Costs reasonable compared to costs of similar services in Member States and/or third countries</p>	<p>Consultant's assessment of expenditure in relation to achieved outputs</p>	<p>Procurement documents, contracts</p> <p>Interviews with relevant staff</p> <p>Expert</p>
<p>EC1.3: To which extent has EMSA developed and procured vessel traffic monitoring system (safeseanet) at a reasonable cost in terms of financial and human resources deployed?</p>	<p>Competitive procurement process</p> <p>Costs reasonable compared to costs of similar services in Member States and/or third countries</p>	<p>Consultant's assessment in relation to achieved outputs</p>	<p>Information regarding expenditure related to SafeSeaNet</p> <p>Interviews with relevant staff</p> <p>Expert</p>

Level 2 - specific evaluation questions	Level 3 - success criteria	Level 4 - indicators	Data / source
<p>U1: To which extent do the results and impacts of EMSA's activities correspond to the needs and challenges of the Commission and Member States?</p>	<p>Member States have been able to reduce administrative and/or operational costs in areas that EMSA is dealing with as a result of EMSA's work</p> <p>Member States achieve a higher effectiveness of their own administration as a result of EMSA's work</p> <p>The Commission achieves a higher degree of effectiveness in its administration</p>	<p>Assessment of the potential for reductions on administrative costs</p> <p>Member States assessment of added value of EMSA's activities</p>	<p>Interviews with Member States, EMSA personnel and Commission</p> <p>Questionnaire data</p>
<p>SU1: The extent to which outputs and results are sustainable in the medium to long run?</p>	<p>In the long term, the level of maritime safety, maritime security and prevention and response to pollution by ships within the Community will improve as a result of EMSA's work</p>	<p>Assessment of the potential for improved services in the maritime sector as a result of EMSA's work</p>	<p>Consultants assessment</p>

## **Appendix 2 Questionnaire**

The questionnaire sent to Member States was internet-based. Hence, it is not possible to provide an exact copy of how it presented itself to the respondent. The text format of the questionnaire is presented overleaf.

## Welcome to the internet-based questionnaire for Member States on the evaluation of EMSA

As a part of the 'Evaluation of EMSA' we will kindly ask of you to fill out the questionnaire below.

The questionnaire constitutes 5 screens with questions and will take about 10 minutes to complete.

You will have to answer all questions in a screen in order to be able to continue to the next screen. You press the symbol ">>" to continue to the next screen. If you wish to leave the questionnaire and resume your answers on another occasion, you should press the symbol "X" to stop and save your answers till next time you go to the link.

**Please indicate who is responsible for answering the questionnaire so that we will be able to follow-up if needed.**

Name of title and employed organisation	
Name of contact person	
E-mail address	
Phone	

If you have any questions relating the questionnaire, please contact Birgitte Martens (phone: +45 4597 2304 or mail: bim@cowi.dk) or Carsten Ellegaard (phone: +45 4597 2419 or mail: cell@cowi.dk) and we will be happy to assist you.

*The following list includes a number of the significant activities of EMSA. Please indicate whether you consider the activities have contributed to 'added value' at the overall EU level.*

	No added value	Some added value	High added value
Making satellite images - CleanSeaNet - available to member states of potential pollutants			
Pollution response vessels - a fleet of vessels that is actively available in case of pollution			
STCW - inspections to training institutes in third countries			
Audits of recognised organisations and audits of member states with regard to recognised organisations			
Audits of member states on port state control issues			
Training courses for member states officials in aspects of maritime safety, security, traffic monitoring, etc.			
Facilitate the, exchange of knowledge & best practice between member states			
Assisting commission in evaluating relevant international standards			
Creation of an EU wide 'Accident Investigation report database'			
Work on improvement of 'Port Reception Facility'			
Marine equipment directive assessments			
SafeSeaNet - Vessel traffic monitoring & information system			

*TEXT BOX - Please justify your statements*

The following list includes a number of the significant activities of EMSA. Please compare the overall EU effectiveness of these activities 5 years ago **prior to EMSA's establishment** with the effectiveness **today after the establishment of EMSA**

	How would you assess the overall EU effectiveness prior to the establishment of EMSA? 1.= Very low effectiveness 2. = Low effectiveness 3. = Average effectiveness 4. = High effectiveness 5. = Very high effectiveness	How would you assess the overall EU effectiveness today? 1.= Very low effectiveness 2. = Low effectiveness 3. = Average effectiveness 4. = High effectiveness 5. = Very high effectiveness
CleanSeaNet - making satellite images available to member states of potential pollutants		
Pollution response vessels - a fleet of vessels that is actively available in case of pollution		
STCW - Training of Seafarers inspections to training institutes in third countries		
Inspections of classification societies worldwide		
Port State Control inspections to all relevant member states		
Training courses for member states officials in aspects of maritime safety, security, traffic monitoring, etc.		
Workshops for coordination, exchange of knowledge & best practice btw. member states so that they may visit and learn from each other		
Assisting commission in evaluating international ship safety standards		
Creation of a EU wide 'Accident Investigation database'		
Work on improvement of 'Port Reception Facility'		
Marine equipment directive assessments		
SafeSeaNet - Vessel traffic monitoring & information system		

*TEXT BOX - Please justify your statements*

*Please indicate whether the activity from your point of view should be continued in the future?*

	Please indicate whether EMSA, from your point of view, should continue the activity in the future 1 = No, 2 =Yes 3 =Do not know
CleanSeaNet - making satellite images available to member states of potential pollutants	
Pollution response vessels - a fleet of vessels that is actively available in case of pollution	
STCW - Training of Seafarers inspections to training institutes in third countries	
Inspections of classification societies worldwide	
Port State Control inspections to all relevant member states	
Training courses for member states officials in aspects of maritime safety, security, traffic monitoring, etc.	
Workshops for coordination, exchange of knowledge & best practice btw. member states so that they may visit and learn from each other	
Assisting commission in evaluating international ship safety standards	
Creation of a EU wide 'Accident Investigation database'	
Work on improvement of 'Port Reception Facility'	
Marine equipment directive assessments	
SafeSeaNet - Vessel traffic monitoring & information system	



How would you score the overall performance of EMSA?

**Relevance:** How would you score (1 through 5) the relevance of the founding regulation of EMSA compared to the challenges and needs of the maritime sector in the EU?

*1 = Very low relevance, 2 = Low relevance, 3 = Average relevance, 4 = High relevance, 5 = Very high relevance*

	Score (1-5)	Example/justification
Assessment of relevance		

**Effectiveness prior to EMSA:** How would you score (1 through 5) the overall effectiveness (=achievement of objectives) in terms of member states implementation of tasks?

*1 = Very low effectiveness, 2 = Low effectiveness, 3 = Average effectiveness, 4 = High effectiveness, 5 = Very high effectiveness*

	Score (1-5)	Example/justification
Assessment of effectiveness		

**Effectiveness of EMSA:** How would you score (1 through 5) EMSA overall effectiveness (=achievement of objectives) in terms of implementation of tasks?

*1 = Very low effectiveness, 2 = Low effectiveness, 3 = Average effectiveness, 4 = High effectiveness, 5 = Very high effectiveness*

	Score (1-5)	Example/justification
Assessment of effectiveness		

To which extent are the Commission and the member States in a better position to monitor the implementation of the relevant directives as a result of EMSA's work?

*1 = Very low effectiveness, 2 = Low effectiveness, 3 = Average effectiveness, 4 = High effectiveness, 5 = Very high effectiveness*

	Score (1-5)	Example/justification
Assessment of effectiveness		

**Efficiency:** How would you score (1 through 5) EMSA overall efficiency in terms of achieving results at a reasonable cost (resource use, time, manpower, money)?

1 = Very low efficiency, 2 = Low efficiency, 3 = Average efficiency, 4 = High efficiency, 5 = Very high efficiency

	Score (1-5)	Example/justification
Assessment of efficiency		

## Appendix 3 List of Interviewees

### List of interviewees from Member States

Name	Country	Institution/position	Interview
Jørgen Hammer Hansen	Denmark	Director General, Danish Maritime Authority. Member of Administrative Board.	Personal
Paavo Wihuri	Finland	Director of maritime safety and security, Finnish Maritime Administration.	MSC
Berder, Eric Legroux, André-Yves	France	Deputy Director of Maritime Security Permanent Representative of France in IMO and maritime attaché to the French Embassy in London.	MSC (group)
Grensemann, Klaus	Germany	Head of unit 'Traffic regulations in maritime shipping; navigation; technical and operational ship safety'. Alternate member of Administrative Board.	MSC
Fearon, John	Ireland	Director General of Maritime Safety Directorate, Department of Transport, Member of Administrative Board.	MSC
Zacharevicius, Evaldas	Lithuania	Director, Lithuanian Maritime Safety Administration. Member of Administrative Board	MSC
Vassallo, Lino	Malta	Executive Director Merchant Shipping, Malta Maritime Authority. Member of Administrative Board.	MSC
Chrisostomou, Andreas	Cyprus	Counsellor, Merchant Shipping Department, Ministry of Communications and Works. Alternate Member of Administrative Board.	MSC

<b>Name</b>	<b>Country</b>	<b>Institution/position</b>	<b>Interview</b>
Teisrud, Rune	Norway	Director General of Shipping and Navigation, Maritime Directorate. Member of Administrative Board.	MSC
Królikowski, Andrzej	Poland	Director, Maritime Office Gdynia. Member of Administrative Board.	MSC
Parracho, Paulo	Portugal	Head of the department of marine safety.	MSC
Berescu, Serban	Romania	Romanian Naval Authority Director, Naval Operation Department. Alternate Member of Administrative Board.	MSC
Franson, Johan	Sweden	Director and Head of Maritime Safety Inspection. Member of Administrative Board.	MSC
Angsell, Marina	Sweden	Counsellor, Swedish Maritime Safety Inspectorate	MSC
Gudjonsson, Hermann	Iceland	Director General, Icelandic Maritime Administration and Member of Administrative Board.	MSC
Huysen, Rob	Netherlands	Deputy Director, Ministry of Transport and Water Management.	MSC
Sirol, Rene	Estonia	Deputy Director General, Estonian Maritime Administration. Alternate Member of Administrative Board.	MSC
Krastins, Aigars  Cernovs, Hermanis	Latvia	Director, Maritime Department, Ministry of Transport. Member of Administrative Board.  Head of Latvian Coast Guard	MSC (group)
Abril, Julian	Spain	Maritime Attache to the Spanish Embassy in London and Permanent Representative of Spain to IMO	MSC

<b>Name</b>	<b>Country</b>	<b>Institution/position</b>	<b>Interview</b>
Lt. Commander ANASTASAKOS Agisilaos	Greece	Head of unit in the Directorate for Shipping Policy & Development, and  Alternate Member of Administrative Board	Telephone

### List of interviewees from the Commission

Name	DG/Unit	Position
Mr. Matthias Ruete	DG TREN	Director General,
Mr. Zoltan Kazatsay	DG TREN	Deputy Director General
Mr. Fotis Karamitsos	DG TREN G	Director
Mr. Philippe Burghelle-Vernet	DG TREN G1	Head of Unit
Mr. Jesus Bonet	DG TREN G1	Desk Officer
Mr. Richard Mason	DG TREN G1	Desk Officer
Mr. David Seite	DG TREN G1	Desk Officer
Ms. Cecile Begule	DG TREN G1	Desk Officer
Mr. Dimitrios Theologitis	DG TREN J1	Head of Unit
Mr. Francois Danis	DG TREN J1	Desk Officer
Mr. Thomas de Lannoy	DG ENV A3	Acting on behalf of Head of Unit
Mr. Peter Gammeltoft	DG ENV D2	Head of Unit

### List of interviewees from the European Parliament

Name
MEP - Mr. Georg Jarzembowski
MEP - Mr. Brian Simpson
MEP - Ms. Anne Jensen,
MEP - Mr. Willi Piecyk

### List of interviewees - other

Name	Organisation
Kenny Reinhold	Seafarer's branch of the Swedish Union for Service and Communication (SEKO)
Bernd Kröger	Member of Administrative Board since EMSA was established. Industry representative appointed by the Commission. General Manager of German Shipowners Association.
Niels Bjørn Mortensen	Head of Marine Department, BIMCO
Ashok Mahapatra	Head of Maritime Training and Human Element Section, IMO

**List of interviewees in EMSA**

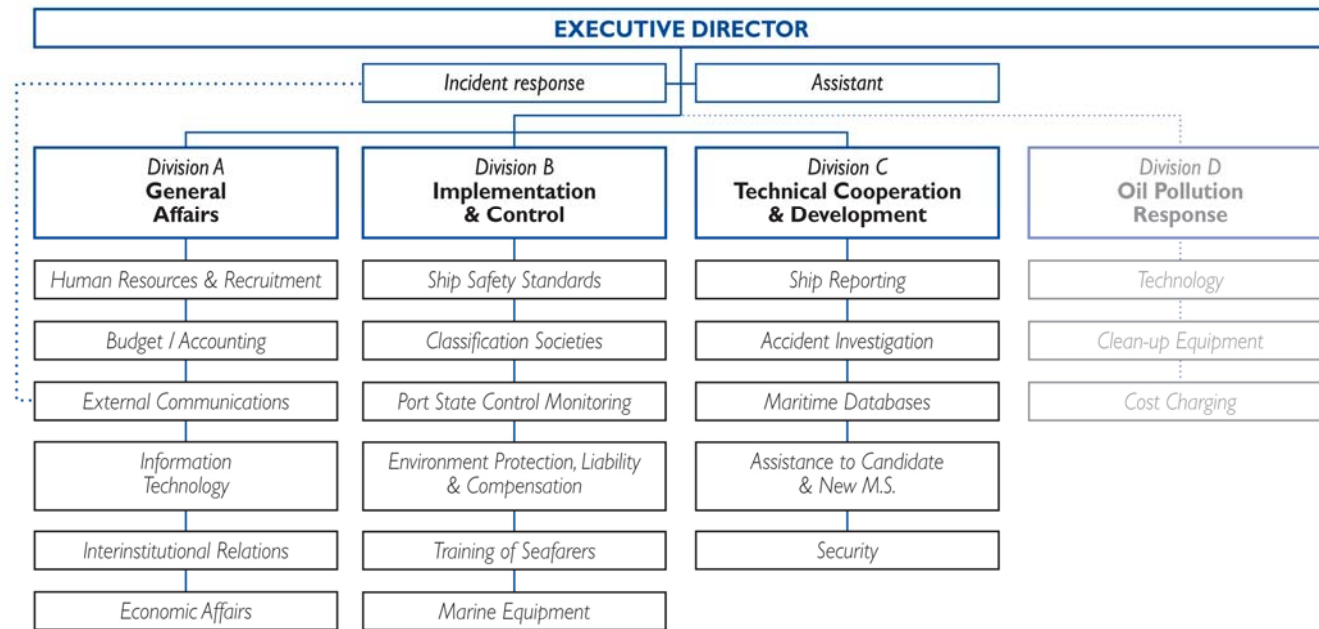
<b>Name</b>	<b>Position in EMSA</b>
Willem de Ruiter	Executive Director
James Wood	Assistant to the Executive Director
Tom van Hees	Head of Unit A
Joachim Menze	Head of Unit B
Massimo Capra	Acting Head of Unit C
Ib Mathiesen	Head of Unit D
Panagiotis Petrepoulos	Head of Unit E
Emilio Martin Bauza	Head of Unit F
Bernd Bluhm	Head of Unit G
Leandert Bal	Head of Unit H
Luísa Matias	Chairman of Staff Committee
Walter Nordhausen	Senior Project Officer on Research, Development & Innovation, Unit G2
Antonio Hevia Rodriguez	Senior Project Officer for Training Certification of Seafarers, Unit D2
Paul Owen	Project Officer, Port State Control, Unit E2
Paul Wilkins	Policy Officer for Safety of Navigation, Unit F1
Beatrice Comby	Project Officer for the Development and Production of Maritime Statistical Information, Unit D
Helena Ramon Jarraud	Project Co-ordinator, Unit F
Jacob Terling	Senior project Officer, Assessor of Classification Societies, Unit D1
Michel Percier	Project Officer, Unit D
Lazaros Aichmalotidis	Senior Project Officer on Ship Reporting, Unit F1
Paolo Correia	Senior Project Officer of Accident Investigation, Unit F2
Andrea Tassoni	Project Officer for Cooperation with Meber States, Unit F3
Freank Rohling	Unit E2
Lito Xirotyri	Project Officer, Research, Evaluation and Innovation, Unit G2
Olaf Trieschmann	Senior Project Officer, Development of Satellite Monitoring Services, Unit H2
Louis Baumard	Communication Officer

<b>Name</b>	<b>Position in EMSA</b>
Cristina Romay Lopez	Seniors Human Resources Officer, Unit A1
Michel Metzger	Accountant
Rui Silva Dias	Maritime Security Officer, Unit D3
Fionn Molloy	Senior Policy Officer Contract management, Unit G1
Minna Levanen	Career Guidance Officer, Unit A1

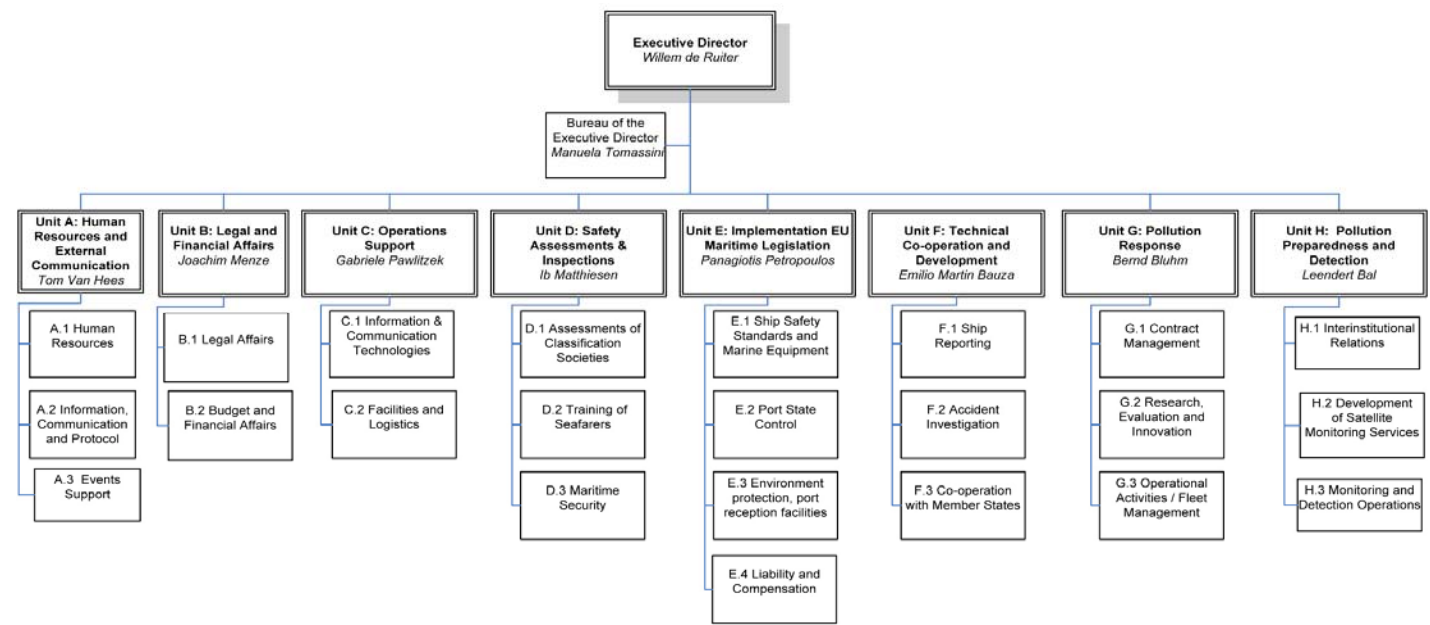


# Appendix 4 Organisational charts

Organisational chart for 2004:



Organisational chart for 2007:



## Appendix 5 Grouping of Member States

### Analysis and grouping of Member States

The tables below illustrate how the distinction and the groupings of Member States are made in the analysis of data. Iceland and Norway are not included as the questionnaire was sent to EU Member States only.

New / Old Member States dimension

	<b>Member States</b>
New (after 2004)	Latvia, Poland, Slovenia, Slovakia, Cyprus, Hungary, Bulgaria, Romania, Estonia, Lithuania, Czech republic
Old (before 2004)	France, Netherland, Luxembourg, Denmark, Finland, Greece, United Kingdom, Spain, Germany, Sweden, Ireland, Italy, Portugal

Large / Small Member States dimension

	<b>Member States</b>
Small > 8 million inhabitants	Latvia, Slovenia, Slovakia, Cyprus, Denmark, Luxembourg, Finland, Bulgaria, Estonia, Lithuania, Ireland
Large < 8 million inhabitants	Poland, France, Netherlands, Hungary, Greece, United Kingdom, Spain, Germany, Romania, Sweden, Italy, Czech Republic, Portugal

# Appendix 6 Mandated tasks and planned activities

Regulation task	Sub-tasks	Work programme 2006 - activities	Annual report 2006	Work plan 2007
<b>Art 2 (a) assist the Commission in preparatory work for updating and developing Community legislation</b>	General	Continued support - no specific activities mentioned		
	Marine equipment	Preparatory study to examine need for amendment of Dir 96/98/EC. Two workshops with Member States. Study on EU/USA MRA. Feasibility of extending product range	Update of annexes	Assist in preparatory work on future amendment of Directive. Impact assessment and consultations/-workshops with stakeholders.
	Liability and compensation			Continue to assist in negotiations regarding the proposals for a Regulation on liability of carriers of passengers and for a Directive on civil liability of ship owners
	PSC		Extensive technical input to the recasting of PSC Dir	
	Vessel traffic monitoring and information system		Assisted in amendment of Dir 2002/59	
	Accident investigation		Assistance to new Dir on accident inv by report on pros and cons of current practises in MS	
<b>Art 2 (b) Assist the Commission in the effective implementation of Community legislation</b>			48 inspections carried out	Activities will continue and a EU wide picture of implementation should emerge
<b>(i) Monitor functioning of PSC regime</b>		Expected number of assessments not mentioned, only that extension to new Member States is anticipated Assist Commission with preparation of summary report to Paris MoU Contribute to development of new inspection regime Involvement in the design of a new info-network	PSC systems in UK, Sweden, Greece, Denmark, Spain and Slovenia carried out. Interim report on overall findings from the 14 first visits carried out prepared for Commission. Summary report on first ten visits submitted to Paris MoU. Took over project management for new information system Second report on the application of the banning procedure produced	Completion of the first cycle of visits to MS
<b>(ii) provide the Commission with TA to take part in Paris MoU</b>		Continued assistance related to IMO, regional org., other bodies and neighbouring states. No specific activities mentioned	Participation on behalf of the Commission in Paris MoU bodies. Leadership of task force on developing new inspection regime and contributions to seven other TFs. Submitting a number of papers, including an impact study to Paris MoU and the Commission.	Continued assistance related to IMO, regional org., other bodies and neighbouring states. No specific activities mentioned
<b>(iii) Assist the Commission in the performance of any task..</b>	Assessment of classification societies	Assessment of at least six ROs with emphasis on regional offices, plan approval offices and local survey stations including ships Evaluate procedure for visits to ships with class related deficiencies Possible ad-hoc assessments upon request	All planned inspections carried out. Total of 20 assessments carried out covering 9 ROs All assessors underwent refresher training for ISO Lead Auditor Workshop on ship visits Further fine tuning of on-going monitoring of ROs Recommendations on future practises by ROs Support Commission in COSS and IMO on class related issues	At least 6 ROs - emphasis on findings and follow up from first cycle. Further development of methodology with emphasis on input from PSC inspections and risk analysis Workshop with MS Quarterly meetings with MS Initiate project for creation of comprehensive reporting and data system Possible ad-hoc assessments upon request

Regulation task	Sub-tasks	Work programme 2006 - activities	Annual report 2006	Work plan 2007
	STCW inspections	High priority. Approximately 10 re-assessments of third countries. Possible ad-hoc requests for recognition. Assist the Commission in a series of visits to EU Member States Set up a database	Assessments carried out in nine countries, including more than 30 establishments. Final reports for two of these assessments. Start develop information system Concluded study on fraudulent practises with seafarer's certificates	Expect 8-10 third countries to be inspected. Extend verification to MS. Develop methodology and conduct 2 visits. Possible ad-hoc requests for recognition. Database to become operational
	Port reception facilities	Launch systematic programme of visits. Expected number of visits not mentioned. Assist Commission in assessment of MS reports on implementation of Dir. Inventory on green fee systems and catalogue of recognised/certified equipment Define and possibly begin development of information and monitoring system. Assess potential for using satellite imagery Participation in industry forum and contribution to consultation process Assist commission in monitoring initiatives before IMO	Methodology for visits to MS developed. Workshop on implementation of the Dir Report on MS implementation of Dir and analysing waste reception and handling plans finalised	Study of several aspects: exemption regime, common interpretation of the relevant criteria, possible development of voluntary common criteria for clean ships. Analysis of situation in MS identifying problems encountered
	Marine Equipment	Common methodology for auditing notified bodies Technical input to Commission in facilitating arbitration process related to complaints Develop alert system allowing EU/USA to exchange information according mutual recognition agreement	Four versions of Annex A prepared, comments by experts collected. Study on regulatory equivalence for EU-USA MRA Development of common auditing methodology approved by AB. Preparation of operational guidelines for alert system Technical reports provided to the Commission on IMO areas	Further develop common methodology for inspecting notified bodies in context of reference group according to TOR Put in place a system for continuous monitoring so Commission can update technical annexes once a year Coordinating body for further development of alert system Conformity checks regarding safety rules and standards
	Ship safety standards - passenger ships and ro-ro ferries	First step to monitor implementation by MS of the safety requirements for persons with reduced mobility on board passenger vessels Monitoring of the implementation of existing Community safety legislation for passenger vessels and ro-ro ferries. No details.	Monitored work in IMO. Technical analyses for COSS at request of MS Set up working group to assess technical solutions implemented on ro-ro passenger ships equipped with long lower holds and study interrelationship between SOLAS 2009, SOLAS 90 and the Stockholm Agreement	Regular analysis of information in ro-ro ferry database Conformity checks regarding safety rules and standards
	Ship safety standards - double hull tankers	Co-ordinate correspondence group with MS and Commission Contribute to technical submissions of the EU to the IMO	Pilot project on monitoring of compliance with MARPOL Annex 1 on banning of single hull tankers	
	Ship safety standards - fishing vessels	Address issue of fishing vessels safety		Conformity checks regarding safety rules and standards
	Liability and compensation	Technical assistance where needed. Analyse current status of the HNS Convention and Bunkers Convention and propose actions regarding their implementation, if needed  Complete study to enable the Commission to draft report on civil liability provisions	3 workshops on Conventions Designed tutoring project on implementation of HNS Convention. Conducted first visit to Latvia. Two technical reports for the Commission Support to Comm and MS related to IMO works Study on civil liability submitted to Commission. Commission issued working document.	Technical advise to MS in the process of ratification of HNS Convention and Bunkers Convention

Regulation task	Sub-tasks	Work programme 2006 - activities	Annual report 2006	Work plan 2007
	Monitoring of MS implementation of monitoring of Classification Societies			Start project
	Vessel traffic information systems	(not mentioned but according to WP07 activities related to visits to verify places of refuge)	Finalised report outlining different practises observed in EU coastal states on places of refuge	First step in assessing overall impact of Directive: Preparation of methodology of visit to MS
	Environmental issues - other	Monitoring/TA related to international conventions/developments: AFS Convention, reducing discharges of invasive species in ballast water, ship scrapping, exhaust gases from ships	Developments at IMO monitored Study on use of organotin compounds launched Input to Green Paper on ship dismantling Organised workshop on ship recycling Support to Comm relating to IMO MEPC and BLG meetings Investigation with the Commission on monitoring and compliance with Dir 2005/33/EC Preliminary research for a study on marine fuels	Monitoring of implementation of Dir 2005/33/EC on sulphur content in fuel. Explore possibilities for monitoring of ship emissions. Monitoring implementation of Dir 2005/35/EC on ship sources pollution and assistance to Comm and MS in developing "accompanying measures". Monitoring/TA related to international conventions/developments: AFS Convention, reducing discharges of invasive species in ballast water, ship scrapping, exhaust gases from ships, New convention on recycling of ships, including written contributions on technical issues and study on the impacts of regulation on ship recycling on the EU maritime industry
	Other	Assistance to Commission in implementing requirements for loading and unloading of bulk carriers Evaluation of Member States approaches to minimum manning levels		Assistance to Commission in implementing requirements for loading and unloading of bulk carriers Assistance to evaluating different national approaches to minimum manning levels
<b>(iv) Assist the Commission in inspection tasks on enhancing ship and port facility security</b>		No. of visits expected to increase. Actual number is not provided. Regular meetings with Commission and MARSEC	Supported Commission in 19 inspections, including 13 national maritime adm, 4 ships, 1 RO, 1 company. Comprehensive reports from inspections of national adm. Final version of methodology for ship inspections submitted to Commission. Participation in MARSEC	Further refinement and completion of tools for carrying out inspections: methodology, check lists.
<b>Art 2 (c) Work with the Member States</b>				
<b>(i) training activities</b>			First meeting of consultative network on technical assistance Input from MS on cooperation for training compiled and used for 2007 plan 3 workshops, 9 training sessions, 4 expert visits, 4 other events (most focusing on candidate/accession countries) Total number of officials trained in EMSA reached 225 (from 190 in 2005)	Up to 20 training meetings envisaged - some targeted at candidate/accession countries.
	Port State Control	Developing harmonised community scheme for training of PSC officers. Pilot project developed, designed and funded. Set up permanent consultative network of Maritime Administrations' representatives	Two seminars for entrant inspectors Tender for second round of training completed Contract for database "rulecheck" launched	Co-operate with Comm and MS in developing and promoting training scheme and supporting software
	Pollution response			
<b>(ii) technical solutions and technical assistance</b>				

Regulation task	Sub-tasks	Work programme 2006 - activities	Annual report 2006	Work plan 2007
(iii) additional means for pollution response	Network of stand-by availability contracts	Two additional arrangements for Atlantic Coast One arrangement for Mediterranean Sea West One arrangement for Mediterranean Sea East Further optimisation of Baltic Sea arrangement	8 vessels from 2005 procurement procedure "came online": - pool of vessels in Baltic - vessel in Brest - Atlantic - vessel in Valetta - Med Took part in 3 exercises Network strengthened with additional vessels as result of second tender round: Atlantic - 1 vessel (Sines Portugal) Mediterranean - 1 vessel (Valletta Malta) No contract for West Med as no bids of suitable quality were offered	Completion of the network of stand-by availability contracts. Having the arrangements fully operational, including setting up a system for at-sea oil discharge support Maintain arrangements contracted in 2005 (inspections, supervision and coordination of vessel drills and crew training including exercises) Implement the service arrangements contracted in 2006 (tests, etc.) New contracts: - Two arrangements for the Atlantic Coast - Two arrangements for the Black Sea/Aegean Sea - One arrangement for Western Basin of the Mediterranean Sea - at least two arrangements on transshipment and equipment to facilitate the discharge of recovered oil cargo - Atlantic and Mediterranean Sea Periodic review of resources available
	Satellite monitoring and surveillance (CleanSeaNet)	Supporting, as operational pilot projects, trans-national surveillance activities Monitor randomly specific sea areas	A series of consultation meetings held with relevant organisations Workshop to gather feedback from MS Completed procurement procedure to set up CleanSeaNet (tender total value 6 million EUR over 3 years) Series of visits to coastal states Signed Memorandum of Understanding with European Union Satellite Centre	Service will start delivering results free of charge to MS in second quarter 2007 Establishment of EMSA database and archive Planning of service coverage Service training to operational users from the MS Conclude agreements with European Space Agency and Joint Research Centre of the European Commission Establish image interpretation capabilities / drift models Develop strategy for linking detected oil spills to drift models and SafeSeaNet
	Broadening the scope to other pollutants	Preparatory work, gathering information	Collection of information on existing projects, etc. workshop on ship sources pollution at sea with MS experts Developed framework document - draft HNS action plan	Develop HNS Action Plan
	Other	Review of best practises for exercises Co-operation with regional agreements Continued build-up of centre of knowledge	Participation in a number of meetings and programmes Gathering information. Updated studies on EU funded R&D projects in the field of marine pollution and inventory of EU member states oil pollution response capacity Provided pollution response expert to Lebanon in connection with oil spill disaster in June 2006 (request from Commission) Developed decision-support operational manual on the applicability on oil dispersants	Continue cooperation with regional agreements Continued development of preparedness activities. Establish consultative technical group on preparedness Continue development of decision support tools on applicability of chemical dispersants and manual on classification of pollution response equipment Finalise inventory on all available waste reception facilities in Europe for recovered oil



Regulation task	Sub-tasks	Work programme 2006 - activities	Annual report 2006	Work plan 2007
<b>Art 2 (d) facilitate cooperation between the Commission and the MS on Community vessel traffic monitoring and information system (Dir 2002/59/EEC)</b>		Examine implications of LRIT on Dir 2002/59 and SafeSeaNet  Examine possible synergies between AIS on fishing vessels and the VMS used for control of fishing fleet  Analyse context and practises related to ship-to-ship transfer operations	Cooperation with Frontex	Explore implications of LRIT for the implementation of Dir 2002/59 and the scope of the SafeSeaNet
<b>(i) promote cooperation between riparian States</b>		Monitor MS' setting up of shore-based installations. Collect information on coastal stations, equipment and procedures with a view to developing a GIS-based database.  Follow-up to a study on Real Time Data Exchange	Centralised database on traffic monitoring infrastructures supported by GIS and nautical charts in place  Initial conclusions on a study on the possibilities for the development of an EU wide system for short range tracking allowing real time data exchange	Promote and pursue further development of traffic monitoring systems and networks. Disseminate information, regular workshops.  Encourage projects and other initiatives for sharing and exchanging real-time traffic data
<b>(ii) develop and operate any information system necessary</b>	SafeSeaNet	Training and information to MS+Iceland, Norway, Bulgaria and Romania to successfully complete all tests  Regular technical meetings  Develop upgraded version  Examine possibilities for integrating other applications and functionalities	System went from test status to operational. Not fully implemented. 13 countries connected and using at least partially the SSN.  Monthly notifications >900.000 (260.000 in 2005)  Additional support for helpdesk training session for national administrators  Issuing of regular bulletins  Test and certification processes  Major corrections and upgrades to the system	More robust and reliable system to be deployed by beginning of 2007  Launching of the development of updated version integrating other applications and functionalities  Current helpdesk reinforced and be available on a 24 hours 7/7 basis  By end 2007 all 20 coastal states plus Norway and Ireland connected  Consider development of an information and monitoring system based on SafeSeaNet to identify ships that have not delivered their ship generated waste and cargo residues
	LRIT		Submitted preliminary study to the Commission on costs of setting up EU data centre.  Carried out cost-benefit assessment of European LRIT data centre	Expected request for feasibility study and start setting up data centre for LRIT from Commission (not part of 2007 budget - only accommodated if resources can be found)
<b>Art 2 (e) facilitate cooperation between the Member States and the Commission - common methodology for investigating maritime accidents</b>  <b>- support to Member States</b>  <b>- analysis of existing accident investigation reports</b>		Promote participation in EMCIP (European Marine Casualty Information Platform)  Training and tools for EMCIP to participating countries  Regular meetings to: Work with MS on accident data reporting mechanism and facilitate cooperation on common methodology	Set up Consultative Technical Group. 2 meetings in 2006. Developed VDR black box project.  Elements for common methodology proposed and discussed with experts  Two analyses of investigation reports and factual assessments of current practises in MS provided to Commission  Updated inventory on regulations, structures and contacts in MS  Collected information on investigator training standards and draft compendium of training provisions produced	See to full operability of EMCIP  Further development of voluntary working arrangements  Explore common standards and solutions for investigator training in connection with developing guidelines for common methodology  Launch training project on Voyage Data Recorders
<b>Art 2 (f) objective, reliable and comparable data to Commission and Member States. Exploit existing databases and development of additional databases. Publication on banned ships. Assist in activities to improve identification and pursuit of ships making unlawful discharges.</b>		Increase in number of database application systems hosted in EMSA's data centre  Set up centralised database for GIS	Preparation of statistics on shipping in project "promoting quality in shipping". First publication issued.	New information system for PSC - inspection database. Prepare tender

Regulation task	Sub-tasks	Work programme 2006 - activities	Annual report 2006	Work plan 2007
	Publication on banned ships	Keep up to date list on web-site and issue periodic report which considers the effect of banning orders	Up-to-date list provided and Equasis updated.	Keep up to date list on web-site and issue periodic report which considers the effect of banning orders. Make list available through SafeSeaNet.
	Database on ro-ro ferry inspections	Continue to host and administer Finalise specifications for production of regular statistical products Transfer data to EQUASIS system	Database hosted and administered Held workshop and established correspondence group Exercise carried out Information on stability standards collected	Link database to PSC inspection database as part of new PSC information system. Work with MS to upgrade the database
<b>Art 2 (g) TA to candidate countries</b>	TA to new MS and candidate countries	Approximately 15 training actions Assist Commission in performing peer reviews for candidate countries	3 workshops, 9 training sessions, 4 expert visits, 4 other events (most focusing on candidate/accession countries) Total number of officials trained in EMSA reached 225 (from 190 in 2005) Training actions on places of refuge to accession and candidate countries	Up to 20 training meetings envisaged - some targeted at candidate/accession countries.

## **Appendix 7 Overview of planned and realised activities, budget and cost, 2004-2006**

Below, three tables are presented - one for each year 2004-2006. The tables are based on the information available in annual work programmes and annual reports.

2004

Area of activity	Planned Output as per work programme 2004	Budget as per work programme 2004	Realised output as per annual report 2004	Actual Costs as per annual report 2004 (Note 1)	
<b>Assessment of Classification Societies</b>	6 audits. Possible special audits as per Member State request. Possible technical input concerning Flag State Implementation	Total for all activities - not specified per activity:  A staff of 55 of which 40 technical and 15 administrative.  Enlargement with 10 new Member States require additional 25 staff  No budget figure	10 assessments covering 6 recognised organisations. 1 assessment for limited recognition. Further fine-tuning of methodology. Input and technical reports to the Commission in respect of updating and developing new legislation. Participation in the work of the IMO.	5 staff, 952 man days, 73,000 Euro	
<b>Port State Control</b>	Complete ShipCheck and make available to all Member States. TA to Commission, incl. w amendment of Dir 95/21. Assist Commission in analysing statistics on ships visiting EU ports - and possible visits to Member States. Assist with implementation of banning of ships flying a black listed flag and list of banned ships.			Co-operation with the Commission regarding consultation paper on amendment of EU PSC legislation. Work with Paris MoU. Develop on-going monitoring system on MS performance. Develop PSC methodology with MSs. 2 assessment visits. Develop database on ship movements. Maintaining list of banned vessels. Study on application of banning provision. Technical assistance to the Commission on procedures for inspection of voyage data recorders.	3 staff 673 man days 40,000 Euro
<b>Ship reporting (incl. place of refuge)</b>	Take over SafeSeaNet from Commission and organise follow-up with Member States Follow-up activities on place of refuge, provide Commission with material Technical input to amendment of Dir. 2002/59 Follow closely development of long range IAS			Took over responsibility to run SSN in Oct 2004. Assist in continued development of the application. Technical assistance and helpdesk support to MSs. Evaluated EU 15 MS national plans on place of refuge.  Technical assistance to the Commission on current vessel traffic monitoring infrastructure in the EU. Survey among MS and analysis. Study on liability and compensation legal issues in relation to places of refuge.	4 staff 658 man days 570,000 Euro
<b>Marine Equipment</b>	Prepare updated technical annexes, monitor development of performance and testing standards, monitor work of notified bodies (MarED), manage database on approved equipment, technical preparatory work to amend Dir. 96/98, assist Commission with MRA+ agreement			2 workshops for MSs, Prepare updated technical annexes, monitor development of performance and testing standards, monitor work of notified bodies (MarED), manage database on approved equipment, assist Commission with MRA+ agreement. Set up procedure to deal with issues under the scope of Art. 13 (Dir 96/98/EC) and examination of test case.	1 staff 109 man days 210,000 Euro
<b>Accident investigation</b>	Technical assistance to the Commission regarding legislative initiative. Begin creation of European database for maritime accidents.			Began inventory of existing legislation and procedures in EU/EEA MS. Collection of statistics, establishment of additional databases and organisation of stakeholder meetings and events in connection with legislative proposal. Development of a draft EMSA methodology for marine casualty investigation. Support to the Commission in preparation of legislative initiative on marine casualty investigation. Collection of MS reports on marine casualty investigation, definition of database and IT design for EU database on marine casualty investigation.	3 staff 564 man days 520,000 Euro
<b>Port reception facilities</b>	Work with Member States to analyse the problems that have occurred when implementing the Directive, find solutions based on best practice. Give special attention to the following issues: (i) a common information system to keep track of waste deliveries by ships visiting a series of EU ports; (ii) fee systems applied in Member States			Collect information from the Member States to assess implementation of Dir 2000/59. Assessing waste handling plans. The assistance in assessing the current fee systems has started and is due to be completed by November 2005.	1 staff 189 man days 290,000 Euro
<b>Ship safety standards</b>	Take over the Commission's project relating to a database of ferry surveys, ensure the responsibility of managing it, analyse the content of some 600 survey reports, assist the Commission in its assessment of the application of the Directive on the basis of the survey reports. Provide technical advice to the Commission in case of modifications to the technical annexes in the Community instruments. Assist the Commission in monitoring and assessing the effectiveness of the above mentioned instruments.  Provide technical advice to the Commission in case of modifications or updates to international instruments, which will imply modifications to the technical annexes  Analyzing the effectiveness of the measures aiming at improving of bulk carrier safety with a view to advising the Commission on possible measures to be taken at EU level  Monitor the correct implementation of the double hull requirements. Facilitate the co-operation between Member States experts primarily on the issue of developing of a Condition Assessment Scheme for ageing double hull tankers. Facilitate development of a common position between Member States' experts on IMO initiative for improved construction standards.			Management of ro-ro ferry database. Training on implementation of the Directive and use of the database. Initiated analysis of implementation of the Directive.  Production of reports, briefings and ad hoc advice on receipt of requests from the Commission, participation in IMO meetings and workshops with industry, series of meetings concerning safety standards of double hulled tankers. Technical advice on ship construction standards in support of the Commission for the third maritime safety regulatory package - 3 reports drafted.  Preparation of a paper for the Commission that covered all the issues surrounding the debate at IMO between Greece and UK on the proposed amendments to SOLAS which mandate double hulls for bulk carriers.  Study for the Commission on oil tanker movements in EU waters.	2 staff 305 man days 22,500 Euro
<b>Training</b>	Further discussion with Member States to make detailed inventory of common training needs			Established network of focal points. Started procedure for obtaining funds from PHARE.	1 staff 194 man days 4,700 EUR

Area of activity	Planned Output as per work programme 2004	Budget as per work programme 2004	Realised output as per annual report 2004	Actual Costs as per annual report 2004 (Note 1)
<b>Compliance with STCW Convention</b>	Provide technical assistance to the Commission, build up a team having the specific expertise required for the task, carry out some first assessments in close cooperation with Member States.		2 external studies were launched to define methodology and priority criteria.	1 staff 30 man days 310,000 Euro
<b>Accident response</b>	Set up an early alert system for maritime accidents in the European area and other important accidents in other parts of the world. Manage a network of contact points in Member States, develop cross-fertilisation of relevant databases. Work on development of new data bases in the fields of maritime safety and pollution caused by ships.		An alert system was developed to supply information to range of EU decision-makers. The monitoring system was formally deployed	No information available
<b>Liability and compensation</b>	Provide technical input to allow the Commission to make informed decisions relating to the coverage of the liability requirements for ships in domestic trade		Participation in the key meetings of IMO, IOPC, begun to create a knowledge centre with regards to liability and compensation, supported the work of the Commission for the consultation on the third maritime package with regards to the Athens protocol	1 staff 64 man days 43,000 Euro
<b>Oil pollution response</b>	(mentioned as possible new task in work programme 2004) A detailed study to analyse strengths, weaknesses and shortcomings in the systems presently available in Member States. Develop a strategic plan designed to remedy in the existing oil pollution response system, create an expert team, develop a detailed action plan, draw up the specifications for oil pollution response equipment	15 additional people and 20 MEURO	2 studies have been launched; one to allow the classification of antipollution equipment, another to examine the modalities of existing contractual arrangements for the time chartering of anti-pollution response vessels  1 workshop was organized to help prepare the action plan, meetings with Member States experts were organised to collect input for the technical requirements  The final Action Plan for Oil Pollution Preparedness and Response was drafted	3 staff 531 man days 170,000 Euro
<b>Security</b>	(mentioned as possible new task in work programme 2004) Assist the Commission in the tasks assigned to it by proposed Regulation	Size of workload not known	No information available	No information available
<b>Ship sourced pollution / environmental monitoring</b>	(mentioned as possible new task in work programme 2004) Develop following tasks in close co-operation with the Commission: develop information systems, establish common practices and guidelines for the monitoring and identification of ships discharging polluting substances	No information provided	Involved in preparations concerning forthcoming Directive on sulphur emissions.	No information available

Note: Costs are exclusive of staff costs. Includes costs for database development, workshops, missions, studies.

## 2005

Area of activity	Planned output as per annual work programme 2005	Budget	Realised output as per Annual report 2005	Actual Costs
<b>Assessment of Classification Societies</b>	Continue pilot project for the continuous monitoring of all ROs Cooperate and arrange meetings with recognising and authorising Member States at regular intervals Possibly, special initial assessments in addition to regular assessments	Total budget 35.3 million EUR not specified on activities. No information on staff numbers required per activity.	18 assessments covering 9 ROs. 14 substantial reports System for continuous monitoring in place and working. 1 workshop with all EU Member States 1 workshop with the recognised organisations Pilot project on visits to ships implemented. A tender for study on the implementation of the civil liability provisions was initiated Technical assistance to the Commission in connection with legislative package	No information on budget execution in annual report
<b>Port State Control</b>	Updating of the list of ships banned flying a black listed flag Participating in meetings of the Paris MOU bodies (10 task forces), annual committee meetings, reporting to the Commission services on progress, technical and scientific input Monitoring the effectiveness of the implementation of the PSC system, develop an assessment methodology and a detailed preparation for visits. Visits to PSC HQ and regional offices in at least 20% of MS Technical support to the Commission regarding amendment of Dir.(3rd package)		Updating a list of banned vessels, analysis of implementation of the measure Participating in meetings of the Paris MOU bodies, annual committee meetings, 10 task forces An assessment methodology and a detailed preparation for visits were developed, 7 visits to Member States were performed, including 15 local offices and witnessing 15 inspections on board ships. Reports from visits. Technical assistance to the Commission in connection with legislative package	
<b>Ship reporting / VTMS</b>	Review and continue the development of SafeSeaNet, regular technical meetings, special assistance to new Member States, possibly, visits to Member States to verify the implementation, examining the possibility of integrating other applications and functionalities into SafeSeaNet Monitor the set-up of shore- based traffic monitoring and information infrastructure by Member States Provide technical input to discussions within IMO and to the development of GALILEO		6 countries using SSN by end 2005. Held regular meetings with the Member States, special assistance to the new Member States 3 workshops. 1 training action for operators of SafeSeaNet. Cooperation with national authorities on development of traffic monitoring shore based infrastructure. 1 workshop. Signed contract for the development of database including GIS to record traffic monitoring infrastructures. 1 workshop on promoting interconnectivity. Pilot project launched on detection of single hull tankers carrying heavy grades of oil. Technical assistance to the Commission in connection with legislative package	
<b>Marine Equipment</b>	Monitoring of the activities of the notified bodies, attendance at the bi-annual meetings of MarED Prepare updated technical annexes, monitor development of performance and testing standards, monitoring the development of the international standards underpinning marine equipment certification, assistance to the Commission in preparation of amendment to the Directive and in resolution of disputes through the technical assessment of a dossier		Prepared updated technical annexes, monitored development of performance and testing standards, monitored work of notified bodies, attendance at the bi- annual meetings of MarED, provided it with a technical secretariat, monitored the implementation of MRA+ agreement. Provided support to the Commission concerning Art 13 of Dir 96/98/EC and concerning collection of Member States' audit reports of their respective Notified bodies.	
<b>Accident investigation</b>	Launch the process of building a European Marine Casualty Information Platform, develop the formats and procedures to populate the database Continue to work on draft guidelines for a common methodology, which will include consultation with Member States' experts Analysing casualty investigation reports and other casualty-related data. Dissemination of statistics on casualties.		Began process of building EMCIP platform. Conducted inventory and analysis of existing principles and practices in marine casualty investigation. Develop draft guidelines for common methodology. Held two workshops. Regular technical meetings with MS experts. Technical assistance to the Commission in connection with legislative package	
<b>Port reception facilities</b>	Complete the study on PRFs in Community ports , work on the development of common criteria for "clean-ships", assist the Commission in coordinating associated technical discussions with Member States, assist the Commission and the Member States to ensure the harmonized application of exemptions Conduct a programme of visits to European ports and central administrations		Visited 10 ports and drafted report on cost recovery and waste flow patterns Provided technical assistance to the Commission by drafting questionnaire for Member States to fill the national evaluation reports Started an assessment of the 160 waste management plans A 2nd study on the difficulties faced by Member States in offering reduced fee for "clean- ships"	

Area of activity	Planned output as per annual work programme 2005	Budget	Realised output as per Annual report 2005	Actual Costs
<b>Ship safety standards</b>	Monitoring of developments, follow-up. Managing the database on ferry surveys, continue evaluation the information in the database Monitoring and assessment of developments at the IMO, reporting to the Commission on issues relating to MSC Participate in IMO meetings, provide technical advice to the Commission Technical analysis work on the safety of double hull tankers		Monitoring of developments and follow up for the Directives:98/18, 99/35, 2003/25 Managed the database on ferry surveys Continued to monitor developments at IMO. Carried out all necessary preparatory work on issue of bow doors for ro-ro ferries. Discussed matters related to the safety of double hull tanker designs	
<b>Training</b>	Number of training sessions will increase in 2005 Further explore which training activities could best be provided		Organised meetings and workshops responding to requests for training. Eleven training sessions organised. 200 officers benefited. Started work on new PSC training regime. Induction training for VTS operators. VDR training in Black Sea area.	
<b>Compliance with STCW Convention</b>	10 audits of training and certification systems in 3d countries to be carried out each year A meeting will be organised with experts from the Member States and the Commission to present the assessment plan and methodology Begin work on database of approved training institutions and no. of certificates		2 studies were commissioned 1 workshop presenting methodology Assessment of two countries' training systems. Comprehensive reports on the findings of the assessments submitted to the Commission. Began populating database on training institutions	
<b>Accident response</b>	Assist the Commission in the evaluation of accident investigation data			
<b>Liability and compensation</b>	Assistance to the Commission in the definition and development of its policies on liability, insurance and compensation, assist the Commission in relation to the legislative initiative, follow up in implementing the Athens Convention 2002, monitor developments at international level		Technical assistance to the Commission, followed the development of liability rules relating to places of refuge, monitored the developments at international level with regard to liability and compensation related to maritime claims	
<b>Oil pollution response</b>	Provide Member States and the Commission with technical and scientific assistance, support with additional means pollution- response mechanisms of Member States, establish a framework for implementation of the activities related to oil pollution response, develop technical and scientific assistance to Member States, build up a centre of knowledge, set up and monitor EMSA's operational tasks, cooperate with the Commission and Member States in the development of information systems to trace ship-sourced pollution, increase the number of workshops and seminars		Implemented the key elements of its activities as identified in the Action Plan, undertook a "two-step" procurement process to establish 3-year contracts for at-sea oil recovery services, drafted a service contract for the time chartering of anti-pollution vessels Began preparatory actions in respect of monitoring of marine oil spill detection and surveillance in European waters, participated in meetings including EGEMP and the REMPEC seminar HNS: Compiled inventories regarding pollution response equipment and strategies. Provided information and software tools for the use of chemical dispersants, began monitoring the ongoing R&D projects. Compiled and published inventory of national policies regarding the use of oil spill dispersants in the EU Member States. Contracted the development of a decision-support operational manual on the applicability of oil spill dispersants. Workshop "Oil spills, Reflection on the Response Chain" Took part in 5 national exercises involving 13 coastal states, attended the Regional Agreement meetings , attended a number of workshops - the Community framework for Co-operation in the field of marine pollution	
<b>Security</b>	Provide the Commission with technical assistance , establish the security framework , assist the Commission's inspection services in developing a methodology , develop an inspection plan and the rules of procedure for inspection		Assisted the Commission's inspection services in developing a methodology for inspections and for the analysis of data collected on RO's shipping companies and ships, an inspection plan and the rules for procedure for inspection were prepared 3 inspections were carried out	
<b>Ship sourced pollution / environmental monitoring</b>	Investigate how PSC inspections have monitored the implementation of Regulation 782/2003/EC Investigate the necessity for launching a research study on the possible prohibition of TBT coatings		Perceived with investigation on how PSC inspections have monitored the implementation of Regulation 782/2003/EC. Investigated the necessity for launching a research study on the possible prohibition of TBT coatings Preparatory work began in support of the Commission regarding amendments to Dir. 199/32/EC Began identifying areas where technical support could be provided to the Commission in the area of ship dismantling- IMO Convention	

2006

Area of activity	Planned output as per work programme 2006	Budget (Note 1)	Realised output as per draft annual report 2006 (Note2)	Actual Costs
<b>Assessment of Classification Societies</b>	Assessment of at least 6 ROs, continue to arrange meetings with Member States to share experience on working with ROs Evaluate how the system of ship visiting functions May be asked to carry out initial and ad hoc assessments Complete a study concerning the implementation of civil liability provisions of the Directive	Available staff of 1/1/2006: 6 Maximum staff available at the end of 2006: 9 Budget- 200,000 EUR	20 inspections covering 9 ROs were carried out and reported to the Commission. Visits to ships and to new building sites and projects in the course of inspections of regional offices. Preparatory meetings with Member States A more transparent reporting procedure was introduced 1 workshop on visits to ships Prepared recommendations on future practises for all ROs Continued to support the commission at meetings in IMO and COSS A report n study regarding the liability provisions was submitted to the Commission	No information on budget execution in annual report
<b>Port State Control</b>	Complete the assessment cycle on how the Directive has been implemented by the Member States Contribute to the development of the new inspection regime of the Paris MOU Monitoring the enforcement of the banning provision for multiple detentions Enhancing the quality of the information exchange network Develop a harmonized Community scheme for the qualification and continued training of PSC officers Represent the Commission for its participation at the meetings of the Paris MOU	Available staff of 1/1/2006: 6 Maximum staff available at the end of 2006: 8 Budget- 170,000 EUR Note) includes ro-ro ferry database and assistance in connection with Dir 2001/96/EC mentioned under safety standards below	Visits to 6 Member States, an interim report was prepared for the Commission The project management of the New Information System was assigned to EMSA Updating of the list of the banned vessels, EQUASIS was updated. Produced second report on banning measure. Close monitoring of the banning provisions, a second report on the application of the banning measure was produced Extensive technical input to the recasting of the Directive Participation in the Paris MOU bodies, presentations were made to the Paris MOU Seminar for Surveyors and the SIRENAC Users Workshop	
<b>Ship reporting/VTMS</b>	Monitor the setting-up my Member States of offshore installations for traffic monitoring and information, collecting of information regarding coastal stations, equipment and procedures, develop database associated to GIS Follow up to a study of the possibilities to the development of RTDEIS Examine implications of LRIT Examine the possible synergies between the proposed carriage of AIS on board fishing vessels, vessel monitoring systems used for the control of fishing fleet Analyse the contest and practises related to STS, initiate cooperation with Member States	Available staff of 1/1/2006- 5 Maximum staff available at the end of 2006- 6 Budget- 740.000	SSN went from test status to operational. 13 countries connected. Training session held. Major corrections and upgrades to the system. Detailed information from Member States on shore based installations were gathered. A Shore Based traffic Monitoring Infrastructure Database was developed Continued being involved in the follow-up of the work taking place in the framework of HELCOM, North Sea and Atlantic cooperation agreements Presented the initial conclusions of the study on the possibilities for the development of an EU wide SRIT system Finalised the evaluation of the operational implementation of the Directive, provided training actions to accession countries and candidate countries Submitted to Commission initial study on cost of setting up EU data centre for LRIT Assisted Commission on preparatory works for amendment of Dir 2002/59	
<b>Marine Equipment</b>	Develop a common audit methodology to assist the Member States when carrying out their periodic audits of Notified Bodies Technical assistance to the Commission. A preparatory study for the update of the Directive. Two workshops with Member States. Develop an alert system	Available staff of 1/1/2006- 2 Maximum staff available at the end of 2006- 3 Budget- 325,000	4 versions of the update of Annex A were prepared Comments by experts from the EU Member States were collected, provisions for amending references to over 300 pieces of marine equipment were made A study on regulatory equivalence was made in relation to EU-USA MRA+. Produced preliminary report on current MRA. Monitored the work of the group of notified bodies (MARED) Prepared operational guidelines for the set up of an alert system Prepared technical reports in cases of arbitration Technical reports to the Commission	



Area of activity	Planned output as per work programme 2006	Budget (Note 1)	Realised output as per draft annual report 2006 (Note2)	Actual Costs
<b>Accident investigation</b>	<p>Promote participation of Member States in EMCIP, the casualty information platform database</p> <p>Delivery of training and tools to Member States on EMCIP</p> <p>Work with Member States to develop a common methodology for the investigation of maritime accidents</p>	<p>Available staff of 1/1/2006- 3</p> <p>Maximum staff available at the end of 2006- 3</p> <p>Budget- 200,000</p>	<p>Elements for a common EU methodology on Marine Accident Investigation were proposed</p> <p>Participated in meetings on behalf of the Commission</p> <p>CTG CMAI held 2 meetings, developed the VRD "black box" project</p> <p>Continued the development of a Common Methodology on Marine Accident Investigation and EMCIP</p> <p>Inventory on marine accident investigation regulations, structures and contacts in the Member States was updated</p> <p>Collected information for a report on common investigator training standards- a draft compendium was produced</p> <p>Assistance to the Commission relating to new Directive</p>	
<b>Port reception facilities</b>	<p>Carry out visits to monitor the implementation of the Directive. Launch systematic programme of visits.</p> <p>Assist the Commission in assessment of Member States reports on implementation of Dir 2000/59/EC</p> <p>Inventory of green fee systems and catalogue of marine equipment to reduce ship generated waste</p> <p>Set up preparatory actions to enable an information exchange and monitoring system to be made available to EU Member States</p> <p>Participate in industry forum and monitor IMO initiatives</p>	<p>Available staff of 1/1/2006- 2</p> <p>Maximum staff available at the end of 2006- 4</p> <p>Budget- 50,000</p>	<p>129 plans were analysed, the report was finalised , was engaged in the preparation phase for the inspection visits to Member States,</p> <p>Developed a methodology based on the visits policy to Member States</p> <p>1 workshop on implementation of the Directive</p> <p>Launched a study on defining common criteria which could facilitate the identification of the "ships producing reduced quantities of waste"</p>	
<b>Ship safety standards</b>	<p>Continue provide technical assistance to the Commission , provide comments and reports for the Commission on issues of Community interest , technical appraisal on envisaged submissions to the IMO committees on request</p> <p>Continue monitor the progress and development of the passenger ship safety initiative, monitor the implementation of Member States of the safety requirements for persons with reduced mobility, monitor the implementation of existing Community safety legislation for passenger vessels and ro-ro ferries</p> <p>Technical submissions of the EU to the IMO on the issue of safety of double hull tankers, assess the need for the carriage of vegetable oil by double hulled vessels</p> <p>The issue of fishing vessel safety will be considered</p>	<p>Available staff of 1/1/2006- 1</p> <p>Maximum staff available at the end of 2006- 3</p> <p>Budget- 150,000</p>	<p>Hosted and maintained ro-ro ferry database. Established correspondence group.</p> <p>Monitored and assessed the work in IMO, provided responses to requests for technical analyses from Member States</p> <p>A working group was set up to assess the technical solutions implemented on ro-ro passenger ships equipped with Long Lower Holds, the tasks of the group were expanded in order to study the interrelationship between SOLAS 2009, SOLAS 90 and the Stockholm Agreement</p> <p>Follow-up of the high level double hull tanker panel, preparations of the related contributions for the IMO</p> <p>Monitored the work in the IMO on the question of Goal Based Standards</p>	
<b>Training</b>	<p>Approximately 15 training actions for new EU Member States and Candidate Countries</p> <p>Pilot project for harmonised Community scheme for training of PSC officers</p>	<p><u>New MS and CC training</u></p> <p>Available staff of 1/1/2006: 2</p> <p>Maximum staff available at the end of 2006: 2</p> <p>Budget- 200,000</p> <p><u>PSC training</u></p> <p>Available staff of 1/1/2006: 1</p> <p>Maximum staff available at the end of 2006: 1</p> <p>Budget- 400,000</p>	<p>New MS and CC:</p> <p>First meeting of consultative network held.</p> <p>3 workshops</p> <p>9 training actions</p> <p>4 expert visits</p> <p>4 other events</p> <p>No. officers benefiting 225</p> <p>PSC: Two PSC seminars held</p>	

Area of activity	Planned output as per work programme 2006	Budget (Note 1)	Realised output as per draft annual report 2006 (Note2)	Actual Costs
<b>Compliance with STCW Convention</b>	<p>10 assessments of third country maritime training systems, develop a pilot project designed to deliver training modules</p> <p>Prepare assessment methodology of EU Member States' implementation of Directive 2005/45, support the Commission in detecting and tracing fraudulent practices concerning certification of seafarers</p> <p>Set up a database concerning certification systems of all concerned countries in accordance with the STCW Convention</p> <p>Possible activities in relation to Commission initiative on minimum manning</p>	<p>Available staff of 1/1/2006: 5</p> <p>Maximum staff available at the end of 2006: 9</p> <p>Budget- 700,000</p>	<p>Inspections to the maritime education, training and certification systems of third countries were undertaken, the systems of third countries which had not yet been recognised were made, 9 assessments</p> <p>Presented the new reporting procedure to all EU Member States</p> <p>Started developing the STCW information system</p> <p>Concluded the study concerning fraudulent practices concerning seafarers' certificates, delivered the final report</p> <p>Started assisting the Commission in the process of review of the STCW Convention</p>	
<b>Development and cross-fertilisation of databases</b>	Development and cross-fertilisation of databases	<p>Available staff of 1/1/2006- 2</p> <p>Maximum staff available at the end of 2006- 3</p> <p>Budget- 40,000</p>	Project on statistics on "promoting quality in shipping" resulting in a publication.	
<b>Liability and compensation</b>	<p>Continue to assist the Commission in following up or developing of new initiatives</p> <p>Provide technical assistance, represent the Commission in relation to the proceedings of the IMO Legal Committee and the IOPC Fund</p> <p>Follow the developments related to the liability and compensation aspects of the new Directive on "ship- source pollution"</p> <p>Analyse the current status of the HNS Convention and the Bunkers Convention within the EU and, if needed, propose concrete actions regarding their implementation</p>	<p>Available staff of 1/1/2006- 1</p> <p>Maximum staff available at the end of 2006- 1</p> <p>Budget- 100,000</p>	<p>Analysed various aspects of the impact of the HNS Convention and the Bunkers Convention within the EU, when into force, 1 workshop to promote ratification , 1 workshop dealing with the HNS Convention</p> <p>A tutoring project on the implementation of the HNS Convention was designed, 1 visit to Latvia, several visits were prepared</p> <p>2 technical reports relating to the HNS Convention were prepared</p> <p>Monitored the work of the IOPC</p>	
<b>Oil pollution response</b>	<p>Technical assistance to the Commission. Active involvement in regional agreements.</p> <p>Offer affected Member States support to their pollution response actions in case of significant oil spills:</p> <p>Strengthening the network of stand-by availability contracts. Implement arrangements in Atlantic Coast (2), Mediterranean Sea (2).</p> <p>Providing satellite imagery - set up structure</p> <p>Preparatory work to broaden the scope of EMSA's operational assistance to Member States to respond to other pollutants.</p> <p>Review of best practises for exercises. Participate in exercises.</p> <p>Build up knowledge centre - collect and disseminate best practises</p>	<p><u>Stand-by vessels:</u></p> <p>Available staff: 1</p> <p>Maximum staff available at the end of 2006-: 3</p> <p>Budget: 17.5 Million EUR</p> <p><u>Satellite monitoring</u></p> <p>Available staff: 3</p> <p>Maximum staff available at the end of 2006-: 4</p> <p>Budget: 6.0 Million EUR</p> <p><u>Other pollutants</u></p> <p>Available staff: 0</p> <p>Maximum staff available at the end of 2006-: 1</p> <p>Budget: 0 EUR</p> <p><u>Other</u></p> <p>Available staff: 3</p> <p>Maximum staff available at the end of 2006-: 5</p> <p>Budget: 0.3 million EUR</p>	<p><u>Stand-by vessels</u></p> <p>All vessels contracted in 2005 equipped and crews trained. Conducted exercises. EMSA participated in 3 exercises.</p> <p>Following 2006 open tender, contracts with 2 vessels.</p> <p><u>Satellite monitoring</u></p> <p>Procurement procedure for CleanSeaNet completed.</p> <p>Consultation meetings held. Development of in-house database.</p> <p><u>Other</u></p> <p>Developed decision-support operational manual on oil dispersants</p> <p>Collection of information on HNS marine preparedness and response</p> <p>Workshop on ship sources chemical pollution at sea</p> <p>Publication of overview of EU funded R&amp;D projects in the field of marine pollution</p> <p>Update of Inventory of Member States Oil Pollution Response Capacity</p>	

Area of activity	Planned output as per work programme 2006	Budget (Note 1)	Realised output as per draft annual report 2006 (Note2)	Actual Costs
<b>Security</b>	<p>Assist the Commission in assessing the compliance by Member States with the ISPS code and EU maritime security legislation</p> <p>Regular meetings with the Commission, participation in the work of the MARSEC Committee</p> <p>Security inspections in Member States, visits to RSOs and shipping companies</p> <p>Assist the Commission in collecting, recording and evaluating technical data, in particular, relating to RSOs</p>	<p>Available staff of 1/1/2006- 2</p> <p>Maximum staff available at the end of 2006- 4</p> <p>Budget- 35.000 EUR</p>	<p>Supported the Commission in 19 inspections. Completed a report following each inspection</p> <p>Submitted to the Commission the final version of the ship inspection methodology</p> <p>Participated in the MARSEC Committee and the stakeholders meetings</p>	
<b>Ship sourced pollution / environmental monitoring</b>	<p>Assist Commission in relation to IMO development on AFS Convention and developing measures to enable non-EU flagged ships to prove compliance with Regulation 782/2003/EC</p>	<p>Available staff of 1/1/2006- 0</p> <p>Maximum staff available at the end of 2006- 1</p> <p>Budget- 40.000 EUR</p>	<p>Development at IMO monitored. Launched study on organotin compounds. Carried out investigation on future methods to monitor compliance with Dir 2005/33/EC.</p> <p>Input to the Commission on ship recycling. Workshop on ship recycling.</p>	

Note 1: Budget is Title III only, i.e. exclusive of staff costs. Note 2: The annual report was only available in a draft version during the evaluation process.

## Appendix 8 Oil pollution response vessels, overview of targets and outcomes

	Baltic	Atlantic (Western approaches to Channel)	Atlantic (Bay of Biscay)	Mediterranean	Black Sea/Aegean Sea
AP 2004(Note 1)	Equipment within the range of 1500 to 3000 m3	At least 1 medium capacity vessel, 1000-1500 m3	1 vessel, 3000 M3 or more	Focus on East Med with storage capacity within the 1500-3000 m3 range	
Tender 2005	Total cap: 1500-3000 m3 Min capacity per vessel: 700 m3 Budget: EUR 4,500,000	Total cap: min 1000 m3 Min cap per vessel: 1000 m3 Budget: EUR 2,500,00	Total cap: min 3000 m3 Min cap per vessel: 1500 m3 Budget: EUR 6,000,000	Total cap: 1500-3000 m3 Min cap per vessel: 700 m3 Budget: EUR 4,500,000	
Contracts entered 2005 (3 year contracts)	Eol: 5 Bids: 3 Contracts: 1  Pool of five vessels. Total tank cap 31,105 m3	Eol: 7 Bids: 2 Contracts: 1 (also covering Bay of Biscay)  1 vessel. Total tank cap: 4000	Eol: 3 Bids: 1 Contracts: 0	Eol: 6 Bids: 3 Contracts: 1  1 vessel. Total tank cap: 1805 m3	
AP 2006 (as updated in annual work programme)			2 additional arrangements containing the areas between Cadiz, Spain and the Strait of Dover.	2 Lots: East and West	Identified as area to be targeted in 2007
Tender 2006			Total cap: 1500-3000 or 3000-6000 m3 Min cap per vessel: 700 Budget: EUR 4.375 million or EUR 8.750 million	<u>West:</u> Total cap: 1500-3000 m3 Min cap per vessel: 700 Budget: EUR 4.375 million <u>East:</u> Total cap: 1500-3000 m3 Min cap per vessel: 700 Budget: EUR 4.375 million	
Contracts entered			Bids: 2 Contracts: 1	Bids: West: 3, East: 5	

	Baltic	Atlantic (Western approaches to Channel)	Atlantic (Bay of Biscay)	Mediterranean	Black Sea/Aegean Sea
(3 year contracts)			1 vessel. Total tank cap: 3023 m3	Contracts: 1 (East). (Decision to retender West) 1 vessel. Total tank cap: 2421 m3	
AP 2007 (as updated in annual work programme)			Two arrangements for the Atlantic Coast area	One arrangement for Western Basin	Two arrangements for the Black Sea/Aegean Sea
Tender 2007			1 big contract. Total cap 3500-6000. Or 2 small contracts. Total cap 1500-3000. Min cap per vessel: 700 Budget EUR 7.5 million	Total cap: 1500-3000 m3 Min cap per vessel: 700 m3 Budget: EUR 3.75 million	1 big contract. Total cap 3500-6000. Or 2 small contracts. Total cap 1500-3000. Min cap per vessel: 700 Budget EUR 7.5 million
Contracts entered 2007			1 contract. 3 vessels. Total tank cap: 14,536 m3	2 contracts. 3 vessels. Total tank cap: 14,013 m3	1 contract covering Aegean Sea. 1 vessel. Total tank cap: 3000 m3 No contract for Black Sea.

Note1: General requirements for vessels in all regions: Sufficient speed and power to arrive "on-site" as rapidly as possible, large storage capacity (1500-3000), necessary means for mechanical oil recovery at sea, be available within a short period of time (mobilisation time), comply with relevant international and EU legislation.

## Appendix 9 Budget and expenditure on oil pollution preparedness and response

### Budget and expenditure 2004 and 2005

Type of expenditure	Budget 2004		Execution 2004		Comments
	Commitment Appropriations	Payment Appropriations	Committed	Paid	
<b>TOTAL</b>	<b>700.000,00</b>	<b>0,00</b>	<b>200.000,00</b>	<b>0,00</b>	

Type of expenditure	Budget 2005		Execution 2005		Comments
	Commitment Appropriations	Payment Appropriations	Committed	Paid	
LAMOR/05-812-RES/09/2005-lot1 (Baltic sea)			4.050.000,00	2.297.038,50	
LDA/05-809-RES/09/2005-lot 2&3 (Atlantic and Channel)			8.500.000,00	1.249.026,83	
TANKSHIP/05-810-RES/09/2005-lot 4 (Mediterranean Sea)			3.850.594,00	1.760.655,60	
Operational fund 2005			2.288.741,00	0,00	
Kegels & Co. Advocaten			50.000,00	32.900,00	
Manual and IT tool for dispersants			48.923,00	0,00	
Workshop on response chain			30.819,22	30.819,22	
Workshop on dispersants			49.027,39	49.027,39	
Technical clarification meetings - CEI - anti-pollution vessels			10.052,20	7.104,40	
Meeting with Member States - discussion on IRC			25.029,84	25.029,84	
Internal meetings - refreshments			2.000,00	2.000,00	
Meeting with regional agreements			8.400,00	8.400,00	
Financial verification of bids received in reaction to EMSA/CEI/001/2005			2.856,83	2.856,83	
High level experts to the Evaluation Committee for EMSA/RES/09/2005			3.050,00	3.050,00	
High level experts to the Evaluation Committee for EMSA/RES/09/2006			2.500,00	0,00	
2355 - Title of project: Protection clothes for UNIT F officers on mission			6.937,54	0,00	
<b>TOTAL</b>	<b>17.800.000,00</b>	<b>17.800.000,00</b>	<b>18.928.931,02</b>	<b>5.467.908,61</b>	A transfer of 1.189.3356 of commit appr. was realised to reach 18.989.335

**Budget and expenditure 2006**

Type of expenditure	Budget 2006		Execution 2006		Comments
	Commitment Appropriations	Payment Appropriations	Committed	Paid	
LAMOR/05-812-RES/09/2005-lot1 (Baltic sea)			0,00	621.617,60	
LDA/05-809-RES/09/2005-lot 2&3 (Atlantic and Channel)			0,00	2.892.548,25	
TANKSHIP/05-810-RES/09/2005-lot4 (Mediterranean Sea)			0,00	551.877,30	
LAMOR/EMSA 06-NEG/08/2006-lot 1 (Atlantic Coast)			3.431.080,00	1.873.995,00	
FALZON/EMSA 06-OP/01/2006-lot 3 (Mediterranean East)			3.697.204,00	2.724.000,00	
Operational fund 2005			0,00	473.768,95	
Operational fund 2006			994.105,00	0,00	
Manual and IT tool for dispersants			0,00	48.923,00	
Workshop on response chain			0,00	0,00	
Workshop on dispersants			0,00	8.549,59	
Internal meetings - refreshments			0,00	338,62	
High level experts to the Evaluation Committee for EMSA/RES/09/2006			0,00	1.327,65	
Eurimage 06/OP/05/2006 Lot 1			630.000,00	0,00	
MDA 06/NEG/05/2006 Lot 2			954.000,00	0,00	
EMSA/72/2006; PURCHASE OF NAVIGATIONAL CHARTS AND NAUTICAL EQUIPMENT			1.978,96	1.655,66	
EMSA ORDER FORM 49/2006 - PURCHASING THE GAS MAP OF EUROPE - 2006 EDITION			720,00	720,00	
ADVISOR TO ACC EMSA/OP/01/2006-MR. KROGER - TRAVEL AND SUBSISTANCE COSTS			3.900,00	0,00	
RATING SERVICE TENDER; ORDER FORM N.64; DUN AND BRADSTREET BELGIUM			2.000,00	1.220,00	
ADVISOR TO ACC EMSA OP/01/2006-MR ECONOMOU - TRAVEL AND HOTEL			2.160,00	270,37	
ACCOMODATION COSTS					
2 ADVISORS TO EAC EMSA OP/05/2006; TRAVEL AND DAILY ALLOWANCE			4.800,00	1.794,50	
RATING SERVICE TENDER (FOR SATELLITE)- ORDER FORM 98 DUN AND BRADSTREET BELGIUM			1.300,00	1.300,00	
KSAT; FRAMEWORK CONTRACT N. EMSA 06-OP/05/2006 LOT 5 (OIL SPILL MONITORING)			2.379.610,00	0,00	
SERVICE CONTRACT EMSA 06-679-NEG/01/2006 FURTHER DEVELOPMENT OF THE EMSA SOFTW			24.350,00	24.350,00	
SATELLITE IMAGERY/AERIAL SURVEILLANCE WORKSHOP31-01/02/06-EXPERT			15.098,72	8.386,12	
REIMBURSEMENT					
HNS WORKSHOP 22-23/02/06-EXPERT+SPEAKER			38.200,00	11.080,18	
REIMBURSEMENT					
SINTEF TRAINING 19/10/06-REIMBURSEMENT			18.700,00	5.397,07	
EXPERTS+SPEAKERS					
<b>TOTAL</b>	<b>23.800.000,00</b>	<b>23.800.000,00</b>	<b>12.199.206,68</b>	<b>9.253.119,86</b>	

**Budget and expenditure 2007**

Type of expenditure	Budget 2007		Execution 2007		Comments		
	Commitment Appropriations	Payment Appropriations	Committed	Paid			
LAMOR/05-812-RES/09/2005-lot1 (Baltic sea)	22.800.000,00	8.900.000,00	0,00	333.399,82			
LDA/05-809-RES/09/2005-lot 2&3 (Atlantic and Channel)			0,00	1.764.235,17			
TANKSHIP/05-810-RES/09/2005-lot4 (Mediterranean Sea)			0,00	546.174,50			
LAMOR/EMSA 06-NEG/08/2006-lot 1 (Atlantic Coast)			0,00	38.500,00	Pre-fitting costs 20% still to be paid		
FALZON/EMSA 06-OP/01/2006-lot 3 (Mediterranean East)			0,00	245.036,53	Pre-fitting costs 20% still to be paid		
Operational fund 2005			0,00	382.124,32	Balex Delta Lamor (commit 200.000) to be paid		
Operational fund 2006			0,00	129.148,75	Porto Torres Falzon (commit 45.000) + Setubal Lamor (commit 58.000)		
ADVISOR TO ACC EMSA/OP/01/2006-MR. KROGER - TRAVEL AND SUBSISTANCE COSTS					0,00	2.250,96	
ADVISOR TO ACC EMSA OP/01/2006-MR ECONOMOU - TRAVEL AND HOTEL ACCOMODATION COSTS					0,00	316,19	
Clarifications meetings					15.000,00	10.965,38	
D&B ORDER FORM EMSA/70/2007 PROVISION OF RATING REPORTS FOR VESSELS TENDER					9.800,00	2.592,80	
FENDERCARE-EMSA/NEG/05/2007 - TANKER FOR LIGHTERING PROJECT					60.000,00	47.500,00	
FENDERCARE-EMSA/NEG/06/2007-SERVICE FOR THE CONTINGENCY LIGHTERING					60.000,00	60.000,00	
Improvements					2.267.945,50	461.659,50	Still to be committed/paid
Eurimage 06/OP/05/2006 Lot 1					0,00	15.510,00	
MDA 06/NEG/05/2006 Lot 2					0,00	168.630,00	
KSAT 06/OP/05/2006 Lot 5					0,00	188.805,00	
Vessel tender 2007 Lot 1				14.800.000,00	7.265.252,00	3.058.363,80	Still to be committed/paid
Vessel tender 2007 Lot 2					3.740.000,00	2.169.220,00	Still to be committed
Vessel tender 2007 Lot 2					3.733.407,00	2.439.509,80	Still to be committed/paid
Vessel tender 2007 Lot 3					3.695.840,00	1.786.080,00	Still to be committed/paid
Operational fund 2007					2.280.454,00	0,00	Still to be committed/paid
IT Equipment			108.119,11	74.767,57	Three contractors:		
Emergency acquisition of satellite images	700.000,00	300.000,00	12.000,00	0,00	Systemat, PC Ware, Comlin		
Service Level Agreement with JRC			350.000,00	0,00			
Training, Meetings, user group, etc			212.961,00	56.506,14			
APM - Co-operation & Co-ordination and Information	1.500.000,00	1.000.000,00	263.065,00	42.218,00	Still to be committed = 47.000		
<b>TOTAL</b>	<b>25.000.000,00</b>	<b>25.000.000,00</b>	<b>24.073.843,61</b>	<b>14.023.514,23</b>			