

APPENDIX A

ASSESSMENT REQUIREMENTS

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1. Introduction

1.1. The Reporting Formalities Directive (RFD)

A longstanding problem in the shipping industry is the complexity and time involved in submitting reports when arriving in and departing from ports. Ship operators, masters, and agents are still burdened with having to fill in paper documents which include similar information and to distribute them to different government authorities, including port, maritime, safety, security, customs, border control, and health authorities. These reporting formalities increase costs and cause delays, reducing the competitiveness of maritime transport.

To facilitate maritime transport by reducing the administrative burdens for shipping companies, the EU Member States agreed to adopt Directive 2010/65/EU of the European Parliament and of the Council of 20 October 2010 on reporting formalities for ships arriving in and/or departing from ports of the Member States and repealing Directive 2002/6/EC. The scope of this Directive is to simplify and harmonise the administrative procedures applied to maritime transport by making the electronic transmission of information standard and by rationalising reporting formalities.

To achieve the RFD's objectives, Member States (MSs) had to develop, by 1 June 2015, a national single window (NSW) which is harmonised at national level. This NSW has to be linked to SafeSeaNet, e-Customs and other electronic systems, where all reporting formalities listed in the Annex to the Directive are reported once and made available to all relevant authorities, including in other Member States.

The Directive is being evaluated by the Commission in view of a possible revision. This Assessment will be used as an input to the formal External Impact Assessment study on the Reporting Formalities Directive.

1.2. The European Maritime Single Window environment (EMSW)

Feedback from industry suggests that the objectives of the RFD have not been achieved since they are still faced with a multitude of unharmonised systems.

The Commission strongly believes that optimal harmonisation and simplification could only be achieved through EU wide initiatives. For this purpose it is assessing the development of a EMSW environment which provides harmonised and simplified reporting for ships calling to EU ports. The Commission has included the objectives and the high-level requirements of the proposed EMSW in a vision paper that was presented to the MS represented in the High Level Steering Group for Governance of the Digital Maritime System and Services (HLSG).

A provisional version of Commission's vision paper regarding the EMSW is provided in appendix D to the tender specifications. The final version of the document will be provided by EMSA to the contractor at the date of signature of the contract (refer to section 5 below).

1.3. The eManifest pilot project

On 8 July 2013 the Commission issued the Communication on Blue Belt (Blue Belt, a Single Transport Area for Shipping, COM(2013) 510 final) in response to the requirements of the Single Market Act II - Together for new growth, published in October 2012. This Communication indicated that an harmonised and electronic cargo manifest (eManifest) with information on the customs status of goods was a practical solution to achieve a "true Single Market for maritime transport by no longer subjecting EU goods transported between EU seaports to administrative and customs formalities that apply to goods arriving from third country ports".

To-date however there is no harmonised fully-fledged cargo manifest that is used EU-wide and Member States are allowed to determine the content of the cargo manifest as well as how and when it is submitted. DG MOVE and DG TAXUD agreed to launch with the assistance of EMSA the eManifest pilot project. This project will demonstrate how different

cargo notifications that are used for maritime and/or customs purposes can be consolidated in an eManifest and reported electronically, together with the other reporting information covered by the RFD, in a harmonised manner via a European Maritime Single Window prototype. The project is ongoing and the objectives, requirements and deliverables of this project are discussed in the eManifest pilot project group which includes representatives of Member States and the shipping industry.

1.4. The EMSW Prototype

To demonstrate how a EMSW could function in practice the Commission has commissioned, with the assistance of EMSA, the development of a EMSW prototype.

The EMSW would also be used as part of the eManifest pilot project. The main objective of the latter pilot project is the development of functional requirements for the collection of a harmonised electronic manifest (the so-called eManifest) together with the formalities to be provided in accordance with the RFD, and elaboration of a system for the transmission of relevant data to national authorities and the sharing of information between MSs.

The system requirements specifications document of the current version of the EMSW Prototype is provided in Appendix H to the tender specifications. Any updated document as well as the technical documentation of the EMSW Prototype will be provided by EMSA to the contractor at the date of signature of the contract (refer to section 5 below).

1.5. The SafeSeaNet (SSN) Ecosystem

SafeSeaNet, which is operated by EMSA, is the Union Maritime Information and Exchange Platform. It supports European Union and Member State activities for the purpose of maritime safety, port and maritime security, marine environment protection and the safety and efficiency of maritime traffic. The RFD requires that some of the reporting formalities are shared among Member States using SSN.

EMSA has also developed and manages other maritime applications related with vessel tracking, monitoring, situation awareness and pollution prevention and response. In 2014 EMSA decided to integrate these maritime applications in a technical framework known as the "SSN Ecosystem".

A summary description of the SSN Ecosystem is provided in appendix F to the tender specifications.

2. Deliverables

2.1. Project Plan

The contractor must describe the methodologies and tools that it will use when conducting this Assessment and include any additional relevant documentation.

A project plan must be created, updated and maintained during the whole duration of the contract. This project plan must, at least, include the following items: project charter, project management approach, scope, Work Breakdown Structure (WBS), scheduling, deliverables milestones, meetings planning and reports, completion percentage to date, reporting on decisions taken and pending.

The project plan should take into consideration the tasks, deliverables, duration and meetings required to complete the Assessment while allowing for the review cycles mentioned in Chapter 3 (Acceptance of Deliverables) of this Appendix.

2.2. First interim report: scope, objectives and system requirements of the EMSW

Taking into consideration the scope, objectives and high-level requirements defined by the the Commission and provided by EMSA (refer to Chapter 5 - Documentation provided to the

contractor, below), the first interim report will elaborate and refine the broad vision, strategy, objectives and scope of the EMSW in terms of the:

- a) User communities involved from the EU, shipping industry and Member State authorities, including for each community the volume of users and their associated needs and expected benefits, concerns, roles and responsibilities with regard to the EMSW,
- b) Scope of formalities to be covered and estimation on reporting data volumes,
- c) Operational services offered, taking into consideration the NSW Guidelines developed for the implementation of the RFD and provided by EMSA (refer to Chapter 5 below),
- d) System context including connections with national and EU ICT systems. A description of the expected system's context will be provided by EMSA at the date of signature of the contract (refer to Chapter 5 below). This document will provide the expected information flows between the EMSA, the MS, and Commission systems. A provisional version of that document is provided in Appendix E to the tender specifications,

The first interim report will also provide a detailed description of the system requirements of the EMSW, in terms of the:

- a) Non-functional requirements: This addresses aspects such as performance, availability, capacity and scalability.
- b) Security requirements: this addresses aspects such as confidentiality and liability of information as well as protection of access to the system and its data.

2.3. Second interim report: implementation options

Several implementation options will be proposed in the second interim report and each described in terms of:

- a) Architectural decisions: description of the key underlying assumption the solution has to be based upon.
- b) Component Model: design of the components that will have to be part of the system.
- c) System Interfaces: description of interfaces between the EMSW and all external systems including reporting parties' systems, national systems, Commission's systems (e.g. e-Customs) and EMSA systems (e.g. SafeSeaNet), including information to be exchanged, technology, volumetric, frequency.
- d) Technical Infrastructure: high-level design of the required technical infrastructure needed to implement the solution.
- e) Hosting environment: description of the hosting hardware and logical infrastructure to meet the non-functional and security requirements, and the impacts on EMSA's horizontal ICT services and hosting infrastructure
- f) Business continuity, back-up and redundancy procedures and facilities.

The implementation options should include re-using the existing EMSW Prototype developed by EMSA as well as developing new solutions. A centralised approach where all software modules of the EMSW would be hosted by EMSA, as well as a distributed approach where some modules will be replicated in each Member State will be assessed.

The proposed implementation options will be elaborated in cooperation with the experts from EMSA's ICT department and from the Commission services. They will take into consideration the ICT infrastructure already in place in EMSA. A description of the EMSA ICT infrastructure is provided in appendix G to the tender specifications.

After having defined the implementation options, the interim report will provide for each option an estimation of:

- a) The timescales needed to design, develop and test the system.
- b) The human and financial resources needed to design, develop and test the system.
- c) The human and financial resources needed to maintain the system.
- d) The financial resources needed to host the system.

- e) Human resources requirements (quantitative and qualitative) for the project development and implementation.
- f) The risks associated with the development project,
- g) Impacts on the existing EMSA and Commission systems,
- h) General impacts on existing systems of the Member States (e.g. NSW, National SSN System): changes in services offered to them and expected from them as well as their service levels,

Taking into account the above estimations, the interim report will provide a cost-benefit comparison of the selected options on the basis of their potential to reach the objectives of the EMSW and address the EMSW requirements as well as the costs, resources and benefits entailed. For that purpose, the report will include for instance a strengths, weakness, opportunities and threats (SWOT) analysis for each option.

2.4. Third interim report: administrative and operational impact

The third interim report will examine the overall organisational aspects of the proposed EMSW and:

- a) Determine the helpdesk requirements based on the expected volume of users and data, including estimates of volume of user requests and the service level requirements,
- b) Determine the organisational set-up and resources for operating and maintaining the system,
- c) Consider privacy and data protection issues associated with the information handled through the EMSW, including the submission of information by ship data providers, the exchange of information between the EMSW and the MS governmental authorities and agencies, to determine the liabilities involved.
- d) Analyse risks associated to the operation and use of the system, including operational liabilities arising for example from the non-availability of the system, the loss of data and the delay in delivering data.
- e) Propose mitigation measures that could be implemented to minimise the identified risks and barriers.
- f) Consider potential barriers (e.g. language, national working procedures, etc) that may arise in connection with the establishment, operation and use of the EMSW.
- g) Potential for a public-private partnership approach to the implementation of the project – in respect of development, hosting or operation.

2.5. Final report

The final report will contain a consolidation of the contents of all interim reports. It will update the interim reports contents taking into account the comments and suggestions made by EMSA and the Commission after the delivery of the interim reports. The final report shall also include a comprehensive executive summary and the proposed recommendations to be presented to EMSA and the Commission. The recommendations shall be made to identify, in a clear way, the:

- a) Most efficient and effective option;
- b) Project management structure both during the development and operation of the EMSW,
- c) Project's stakeholders and groups,
- d) Critical requirements and risks,
- e) Change management strategy,
- f) Transition and migration strategy,
- g) Communication and support services strategy to keep all stakeholders informed and "on-board" throughout the project, that is, both during the development and operation of the EMSW.
- h) The report will clearly refer to sources of information where necessary and present transparently on how any estimations have been calculated.

3. Acceptance of deliverables

In the case of the Project Plan, EMSA will provide comments and/or reservations which will be transmitted to the contractor within 5 EMSA working days following the date of delivery. Based on these comments and/or reservations, EMSA will either accept or reject the Project Plan. In the case of rejection, the contractor will have 5 days to submit a new appropriate revision.

In the case of the interim reports and the final report, EMSA will provide comments and/or reservations which will be transmitted to the contractor within 10 EMSA working days following the date of delivery. Based on these comments and/or reservations, EMSA will either accept or reject the reports. In the case of rejection, the contractor will have 5 days to submit a new appropriate revision.

4. Meetings

4.1. Kick off meeting

The kick off meeting should take place within two weeks from the signature of the contract. It shall take place at EMSA premises in Lisbon, Portugal and should focus on the following points:

- a) Introduction of the project plan (see paragraph 2.1),
- b) Detailed calendar of proposed activities,
- c) Milestones,
- d) Deliverables,
- e) Responsibilities of assigned personnel,
- f) Outline of the expected results
- g) Project assumptions,
- h) Risk analysis,
- i) Key success factors,
- j) Status reporting and other communication plans.

A detailed agenda and additional requests shall be communicated by the contractor to EMSA at least 3 EMSA working days before the meeting.

The project plan described in paragraph 2.1, above, must be delivered, at least, one week before the kick-off meeting.

4.2. Project management meetings

Project management meetings should be held every two weeks (via telephone or video conferences) where the contractor will present a status report of the project to EMSA. The status reports will identify the progress made in the last period, the next tasks, and any obstacles affecting the progress. Any mitigation actions will be agreed with EMSA.

Additional project management meetings will be held at an agreed date and place, in particular, to coincide with the delivery of each deliverable (project plan, interim reports and final report).

The contractor will provide a detailed calendar of the project management meetings and the description of the status reports in the project plan.

4.3. Expert meetings

Expert meetings are meant to collect the EMSA and Commission experts' requirements and other requests from the consultant. The contractor will have to define beforehand the profiles of experts needed to attend this meeting. EMSA/Commission will ensure the best presence of the right experts at this meeting.

In addition, meetings with MS experts may be set-up if required. Such meetings will be coordinated by EMSA.

A detailed agenda and additional requests shall be communicated to EMSA, at least, one week before the expert meeting.

5. Documentation provided to the contractor

In addition to the documentation provided as appendix to the tender specifications, the following documents will be provided to the contractor at the date of signature of the contract:

- a) EMSW operational scope and objectives as elaborated by EMSA and the Commission,
- b) EMSW system requirements as elaborated by EMSA and the Commission,
- c) Expected system context of the EMSW,
- d) Latest version of the EMSW Prototype's technical documentation,
- e) eManifest pilot project's documentation,
- f) NSW Guidelines,
- g) Member States' replies to questionnaires and peer review reports describing the MS national single windows.
- h) External support study for the ex-post evaluations of Reporting Formalities Directive (RFD) and Directive on Vessel Traffic Monitoring and Information Services (VTMIS)

Any update of the documents above produced during the execution of the contract will be made available to the contractor.

Other available technical documentation on the EMSW prototype, on the SSN Ecosystem and on Commission ICT systems deemed necessary for the Assessment will be made available by EMSA to the contractor on request.

6. Abbreviations, acronyms and definitions

e-Customs	The European electronic customs environment
EMSA	European Maritime Safety Agency
EMSW	European Maritime Single Window
EU	European Union
HLSG	High Level Steering Group for Governance of the Digital Maritime System and Services
ICT	Information and Communication Technologies
MS	For the purposes of this tender the expression "Member States" refers to the 27 E.U. Member States plus Norway and Iceland.
NSW	National Single Window
RFD	Reporting Formalities Directive 2010/65/EU
SSN	SafeSeaNet
SWOT	Strengths, Weakness, Opportunities and Threats
WBS	Work Breakdown Structure
VTMIS	Directive 2002/59/EC on Vessel Traffic Monitoring and Information Services