



# PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: FULL-SIZED PROJECT

TYPE OF TRUST FUND: GEF TRUST FUND

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## PART I: PROJECT INFORMATION

Project Title:	Western Indian Ocean LMEs - Strategic Action Programme Policy Harmonization and Institutional Reforms (SAPPHIRE) Project		
Country(ies): Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania	Supporting (non-eligible) Countries: France	GEF Project ID: <sup>1</sup>	
GEF Agency(ies):	UNDP	GEF Agency Project ID:	PIMS 5262
Other Executing Partner(s):		Submission Date:	
GEF Focal Area (s):	International Waters	Project Duration (Months)	60
Name of parent program (if applicable): <ul style="list-style-type: none"> <li>• For SFM/REDD+ <input type="checkbox"/></li> <li>• For SGP <input type="checkbox"/></li> <li>• For PPP <input type="checkbox"/></li> </ul>		Project Agency Fee (\$):	987,920

### A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK<sup>2</sup>:

Focal Area Objectives	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-financing (\$)
IW-2	GEFTF	10,976,891	68,802,000
Total Project Cost		10,976,891	68,802,000

### B. INDICATIVE PROJECT DESCRIPTION SUMMARY:

Project Objective: To achieve effective long-term ecosystem management in the Western Indian Ocean LMEs in line with the Strategic Action Programme as endorsed by the participating countries.						
Project Component	Grant Type <sup>3</sup>	Expected Outcomes	Expected Outputs	Trust Fund	Indicative Grant Amount (\$)	Indicative Cofinancing (\$)
Executing Management and Policy Reforms through a Knowledge-Based Governance Mechanism	TA	Policy and Institutional Reforms adopted and coordination and management mechanism established at both national and regional levels to realize LME based management as identified in SAP	Use of ecosystem valuation in national economic development analyses and to advise policy and legal reforms Standard practice by year 3  Negotiation of appropriate high seas pelagic and benthic/seamount MPA/VME by end of project (at least two pilots in region)	GEFTF	3,138,928	35,327,000

<sup>1</sup> Project ID number will be assigned by GEFSEC.

<sup>2</sup> Refer to the reference attached on the [Focal Area Results Framework and LDCF/SCCF Framework](#) when completing Table A.

<sup>3</sup> TA includes capacity building, and research and development.

			<p>National demonstrations/pilots of intersectoral ecosystem-based management approaches feeding into the regional SAP management approach (1 mainland/continental country; 1 island country)</p> <p>Sustainable SAP regional and national institutional management mechanisms established with clear M&amp;E processes (as defined in SAP) by end of year 3.</p> <p>Partnerships for Capacity building in Sustainable Management adopted through formal agreements by year 2</p> <p>Knowledge-Based Management and Governance Mechanisms in place (and anchored through regional and national institutional establishment) by end of year two</p> <p>National Action Programmes derived from national MEDAs with clear policy reforms identified and initiated at the national level in support of regional SAP (60% of countries by year 3)</p> <p>Effective Coordination of related GEF interventions in the WIO, through overall coordination and facilitation of partnerships</p>			
		<p>Knowledge-based Governance mechanisms adopted (based on sustainable monitoring and data capture and analysis) to drive adaptive management and policy reforms</p>	<p>A Sustainable Regional Ecosystem Indicator Monitoring Programme (including indicators of ecosystem variability, climate change, socioeconomic status, community livelihoods, etc.) in place within first 18 months [<i>primarily through Western Indian Ocean Sustainable Ecosystem Alliance – WIOSEA co-financing</i>]</p> <p>Demonstration and replication of local and national level ecosystem monitoring programmes throughout region within first 30 months [<i>primarily through WIOSEA co-financing</i>]</p> <p>6-12 monthly ecosystem monitoring reports (including trend analysis and cross-sectoral inputs) submitted to governance structures to drive adaptive management and</p>			

			<p>policy realignment</p> <p>Harmonised regional data and information management and distribution/dissemination structure operating by year 2-3</p> <p>Finalisation and adoption of an active Peer Review process for Trend Assessment of knowledge and data driving adaptive management and policy realignment and reform by end of year 2</p> <p>Active dissemination of Adaptive Management Guidelines and Policy Reform Advisory Briefings (with feedback to monitoring and data analysis process) in first 12 months and continuously thereafter</p> <p>Regular revision process for the MEDAs and TDAs to update the Strategic Action Programme on a 5-year basis, and to develop or update National Action Plans (first revision completed within 2 years) <i>[based on data collected from on-going monitoring supported by WIOSEA co-financing]</i></p> <p>Regular revisions of cost-benefit and valuation assessments of ecosystem goods and services for incorporation into management processes (as part of TDA revision process)</p>			
<p><b>Stress Reduction through Community-Level Stakeholder Engagement and Empowerment in SAP Implementation</b></p>	TA	<p>Pilot level community-based management approaches to stress reduction demonstrated and captured for replication (including community stakeholder engagement and awareness of LME Goods and Services)</p>	<p>Priorities for stress reduction and effective marine ecosystem management addressed through demonstrations at 2-3 pilot sites by mid-project and ready for replication</p> <p>Local Economic Development plans reviewed (to identify/steer elements compatible with stress reduction to coastal and marine environment). Appropriate LED plans implemented and active within at least 3 community demos by year 4 and promoting poverty reduction and gender balance (as per MDGs and WSSD PoI) as part of an improved management processes</p>	GEFTF	1,756,111	4,185,000

			<p>Community engagement at pilot sites results in reduced coastal nutrient levels. (improved by 40%); restoration of degraded coastal and nearshore habitats (30%); improved alternative livelihoods (leading to 20% reduction in fishing effort); adoption or expansion of refugia/MPA (by 30%); development or realignment of existing tourism to ecosystem based tourism (by 30%)</p> <p>Best Lessons and Practices captured and delivered into overall SAP management process (demonstrated through a BL&amp;P workshop by year 3)</p> <p><a href="#">Regional and national marine ecosystem cost-benefit analysis and goods-and-services assessments revised/updated and delivered at community level</a></p> <p>Community management strategies defined for each country based on pilot Demonstrations and previous reports (from ASCLME Project) by mid-year 3</p> <p>National Community Advisory Committees adopted (every country by year 2). Community stakeholder representation effectively shown on appropriate local/municipal committees National Intersectoral Committees (as defined in SAP)</p> <p>National practices adopted at community level for ecosystem stress reduction related to monitoring and enforcement mechanisms for coastal and marine zoning (including refugia and MPAs) (within 10% of regional refugia/MPAs)</p> <p>Promote enhanced “environmental literacy” and ongoing ability of citizens to engage in participatory management actions</p>			
<b>Stress Reduction through Private</b>	TA	Private Sector participation in SAP implementation and through risk reduction	PPP Management Level Advisory Body established under the SAP Management Process by end of	GEFTF	590,741	20,285,000

<p><b>Sector/Industry Commitment to transformations in their operations and management practices</b></p>		<p>and contingency response mechanisms using public-private sector partnership agreements</p>	<p>year 1</p> <p>PPP Scientific Level Advisory Body established by end of year 1</p> <p>Private sector direct engagement in the oil and gas impact monitoring and mitigation process within first 20 months</p> <p>A pilot delivered within the WIO LME region demonstrating and securing long-term engagement of industry into the data capture and analysis process (successfully operational by end of year 3)</p> <p>A self-regulatory process developed and adopted at pilot scale by the private sector by end of year 2 in support of stress reduction as part of the SAP Implementation</p> <p>Development of stronger partnerships between industry and regional/global conventions to ensure full commitment to appropriate guidelines and activities</p> <p>At least 3 national and 1 regional body trained for oil and gas contingency planning and response through training exercises by year 4 (demonstrated through an original pilot and replicated)</p> <p>Regional Emergency Response Centre and equipment stockpile established and regional oil and gas contingency planning and emergency response plans in place by end of year 2</p> <p>Oil spill contingency and response plan for WIO LME region adopted through PPP and in place by end of year 2</p> <p>Review contingency planning for hazardous wastes (in relation to appropriate conventions) and identify further stress reduction mechanisms (including more effective monitoring and possible clean-up measures) that industry can adopt</p>			
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		PPP Trust Fund established to support Private Sector engagement in SAP	Trust Fund established and managed by private sector partners (through a private sector Management Board) for their direct input to SAP management issues (within first 18 months) [full co-funding from private sector]			
<b>Innovative Management Mechanisms for Extended Continental Shelf and High Seas areas within LMEs</b>	TA	<p>New management approaches developed and tested for Areas Beyond National Jurisdiction which fall within the LME Management Boundary, including improved area/marine spatial planning</p> <hr/> <p>Demonstrating a Specific Management Approach for an Extended Continental Shelf Area (Jointly Managed through an International Agreement by Seychelles and Mauritius)</p>	<p>New management initiatives negotiated and adopted (through a process of partnership and alliance) for governance of ABNJ which fall within the LME SAP management area (and formally published as Guidelines by end of year 4)</p> <p>Specific management and regulatory approaches developed (using a partnership/alliance approach) for VMEs under threat of impact, and adopted for at least 3 areas</p> <p>Marine spatial planning capacity developed and techniques enhanced to drive the designation, adoption and management of MPAs and VMEs (MPA and VME adoption/ declaration within region expanded by 30% by year 4)</p> <p>Marine spatial planning demonstrated at at least 3 pilot sites at community level by year 3 and focused on zoning of marine and coastal areas and development of community management framework for these zones (to link in with LED Plans where feasible)</p> <hr/> <p>Ecosystem-related knowledge of the proposed management area captured (and gaps filled where feasible) to provide an effective management baseline by end of year 2</p> <p>A joint management strategy developed and adopted by countries based on best available knowledge of the area – by end of year 3</p> <p>Institutional capacity strengthened to implement the joint management plan</p> <p>Lessons learned &amp; knowledge</p>	GEFTF	4,081,481	2,385,000

			products produced for the ECS management plan development process for dissemination (Formally published by end of year 4)			
<b>Capacity Building and Training for Effective SAP Implementation and Long-term Ecosystem Monitoring</b>	TA	Technical and Institutional Capacity strengthened for effective SAP implementation at both national and regional level (Please note that this component will be closely linked and aligned with IW:LEARN and at least 1% of the GEF grant will be allocated to supporting IW:LEARN activities)	An African Centre for Capacity Building in Ocean Science and Governance (AfriCOG) adopted and supported within the region (and beyond) with appropriate capacity transfer/building and coordination at a pan-African level [substantial co-funding provided by WIOSEA and AfriCOG partners and other funding agencies supporting CB&T]  AfriCOG self-sufficient and sustainable beyond project by end of year 3 (All financing from outside of GEF at this stage)  Delivery of Capacity Building and Training needs of the region as identified in MEDAS and SAPs (top 4 regional priorities actively addressed)  Identification and adoption of specific CB&T elements by WIOSEA and AfriCOG partners (including, where possible, allocation of bursaries and support funds by partners)  Effective gender balance achieved in capacity building and training (25% minimum by end of year 4)	GEFTF	429,630	720,000
Subtotal					9,996,891	62,902,000
Project Management Cost (PMC) <sup>4</sup>				GEFTF	980,000	5,900,000
Total Project Cost					10,976,891	68,802,000

### C. INDICATIVE CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, (\$)

Sources of Cofinancing	Name of Cofinancier	Type of Cofinancing	Amount (\$)
National Government	National and Municipal Governments of Comoros, France, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania	In-Kind	14,944,000
Private Sector	World Ocean Council members, oil and gas industry, etc.	In-Kind	17,190,000
Private Sector	World Ocean Council members, oil and gas industry, etc.	Cash	3,280,000

<sup>4</sup> To be calculated as percent of subtotal.

Other Multilateral Agency(ies)	IUCN, CORDIO, ODINAfrica. IOC-UNESCO,	In-Kind	19,413,000
Other Multilateral Agency(ies)	IUCN, CORDIO, ODINAfrica. IOC-UNESCO,	Cash	3,280,000
GEF Agency	UNDP	In-Kind	250,000
Others	Government of France (including Institut de Recherche pour le Developpement, University of Reunion, )	In-Kind	6,450,000
Others	Academic Institutes e.g. Rhodes Univ., NMMU, UCT, Univ of Southampton, Univ of Wales, Oxford Univ. and other WIOSEA Partners	In-Kind	715,000
Others	NOAA, NIOZ, Other WIOSEA Partners	Cash	3,280,000
<b>Total Co-financing</b>			<b>68,802,000</b>

**D. INDICATIVE TRUST FUND RESOURCES (\$) REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY<sup>1</sup>**

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Grant Amount (\$) (a)	Agency Fee (\$) (b) <sup>2</sup>	Total (\$) c=a+b
UNDP	GEFTF	International Waters	Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania	10,976,891	987,920	11,964,811
<b>Total Grant Resources</b>				10,976,891	987,920	11,964,811

<sup>1</sup> In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table.

<sup>2</sup> Indicate fees related to this project.

**E. PROJECT PREPARATION GRANT (PPG)<sup>5</sup>**

Please check on the appropriate box for PPG as needed for the project according to the GEF Project Grant:

(up to) \$300k for projects above \$10 million

<u>Amount</u> Requested (\$)	<u>Agency Fee</u> for PPG (\$) <sup>6</sup>
300,000	27,000

**PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES) FOR MFA AND/OR MTF PROJECT ONLY**

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
<b>Total PPG Amount</b>				<b>300,000</b>	<b>27,000</b>	<b>327,000</b>

**PART II: PROJECT JUSTIFICATION<sup>7</sup>**

<sup>5</sup> On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

<sup>6</sup> PPG fee percentage follows the percentage of the GEF Project Grant amount requested.



## **A. PROJECT OVERVIEW**

**A.1. Project Description. Briefly describe the project, including ; 1) the global environmental problems, root causes and barriers that need to be addressed; 2) the baseline scenario and any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental cost reasoning and expected contributions from the baseline , the GEFTF, LDCF/SCCF and co-financing; 5) global environmental benefits (GEFTF, NPIF) and adaptation benefits (LDCF/SCCF); 6) innovativeness, sustainability and potential for scaling up**

### **1) Global Environmental Problems:**

The ASCLME region is made up of three LMEs: the Agulhas Current LME, the Somali Current LME and the Mascarene Plateau region. The 9 (10) countries bordering the ASCLME region are: Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa and Tanzania; France has several territories and EEZ areas within the region. Including Areas Beyond National Jurisdiction, the total LME area comprises over 22.3 million km<sup>2</sup> of ocean, with over 15,000km of coastline; the combined EEZ (excluding France) is some 6.79 million km<sup>2</sup>. GDPs of the countries is approximately US\$761.60bn (PPP), ranging from \$554.6bn in South Africa to \$0.816bn in Comoros; per capita GDP ranges from US\$600 to US\$24,700; where available, the 'percentage below the poverty line' figures range from 8-60%. Literacy rates are estimated at between 37.8-91.8% depending on country. The total population is between 160-193 million whilst the coastal population is between 55-65 million people. Small Island Developing States comprise a significant portion of the countries. Given the interconnectedness of the ecosystems and the countries and peoples of the region, managing the area as a single "Mega-LME" ("the ASCLME region" or the "western Indian Ocean") is justified.

The climate of the region varies, ranging from arid in the northern regions (notably Somalia) to tropical straddling the equator; the southern most limits are increasingly sub-tropical; the countries themselves have regionally varied climates depending on factors such as elevation, topography and distance from the ocean; biomes match this diversity. A wide variety of coastal habitats is found, including rocky shores, sandy beaches, coral reefs, mangrove systems seagrass beds and estuaries. Some 700 seamounts represent "hotspots" of pelagic ecosystems, with large areas of the region being open ocean, typically with water depths over 2,000m away from continental shelf regions and features such as islands and seamounts. The southernmost boundary (the southerly edge of the Agulhas Current Retroflexion) reaches the sub-Antarctic.

The current regime is driven by the south equatorial current and its branches to the north and south long the coastline of Madagascar; the Somali Current LME is dominated by the seasonally reversing Somali/East African Coastal Current; while Agulhas Current LME is dominated within the Mozambique Channel by eddies, which ultimately feed into the Agulhas Current, a southward flowing western boundary current. The Agulhas Current occasionally sheds "rings" which travel across the south Atlantic and are considered to have major impacts on the climate of the countries bordering the North Atlantic; the Agulhas retroflexion returns across the south Indian ocean along the subtropical convergence.

Conclusions of a detailed assessment of the LME cost benefits and goods and services by the ASCLME Project has demonstrated that currently, US\$22.4 billion a year is derived from the coastal and marine resources of the ASCLME. Coastal tourism was found to make the largest contribution to overall GDP at over USD 11 billion a year, equivalent to nearly half of the total from marine and coastal resources. The fisheries of the ASCLME region contribute about 11% of the total, approximately \$2.5 billion. Given its large extent, productivity and fish yields vary considerably throughout the region. The Agulhas and Somali Current LMEs are both considered to be "moderately productive" ecosystems, estimated to produce 150-300gCm<sup>-2</sup>year<sup>-1</sup>. Fisheries landings are estimated to be approximately 4 million tons per year, directly supporting the livelihoods of some 2.7 million people.

The joint ASCLME-SWIOFP Transboundary Diagnostic Analysis (TDA) identified four main areas of transboundary concern to the countries and people of the Western Indian Ocean (WIO) as well as the specific issues that need addressing within these overarching areas of concern:

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<sup>7</sup> Part II should not be longer than 5 pages.

**Water Quality Degradation:** (Alteration of natural river flow and changes in freshwater input and sediment load; degradation of ground and surface water quality; microbiological contamination from land-based and marine sources: solid wastes / marine debris from shipping and land-based-sources; Oil spills (drilling, exploitation, transport, processing, storage, shipping).

**Habitat and Community Modification:** (Shoreline change, due to modification, land reclamation and coastal erosion; disturbance, damage and loss of upland / watershed habitats as well as loss of coastal vegetation and flood plain habitats, mangrove habitats, coral reef habitats; sea-grass habitats and pelagic habitats; introduction of exotic non-native species, invasives and nuisance species)

**Declines in Living Marine Resources:** (Changes in species ranges, distributions and population balance of sharks and rays, large and small pelagics, reef and demersal fish, sea cucumbers and crustaceans. Also impacts from fisheries on non-target species, such as cetaceans, other marine mammals, marine turtles and seabirds)

**Environmental Variability and Extreme Events:** (Climate hazards and extreme weather events; sea level change; ocean acidification; changes in seawater temperatures; changes to hydrodynamics and ocean circulation; changes in productivity including shifts in primary and secondary production; geo-hazards such as tsunamis, volcanic eruptions, earthquakes)

The Countries of the WIO LMEs region agreed on these 4 main areas of concern and they were adopted in the WIO LME SAP, which was formally approved by the Policy Advisory Committee in February 2013 for Ministerial endorsement

In particular, climate change is a major issue for the Western Indian Ocean Large Marine Ecosystems (WIO LME), since it is a region where not only are the impacts expected to be high as well as rapid, but it is also an area where early warning of global impacts may be observed more easily. The recognised climate change impacts captured within the TDA process include:

- a. Range shifts, with species moving both polewards and to deeper waters
- b. Changes in water column stratification and significant de-oxygenation
- c. Increased frequency of harmful algal blooms
- d. Shifts in species composition in phyto/zooplankton communities (mainly large to small individuals) and changes in diversity and species richness of fishes
- e. Species acting as ‘invasives’ creating negative ecosystem impacts
- f. Regions with naturally high environmental variability appear to be equally vulnerable to change and are not necessarily pre-adapted
- g. Changes in fisheries distribution and associated fleet structure and operations
- h. Management implications for harvesting of ‘shifting biomass’, especially across jurisdictional boundaries
- i. Synergistic effects such as increased frequency of extreme events and temperature changes may prevent biomass rebuilding after a reduction in fishing effort

The rapid expansion of oil and gas exploration and extraction within these waters also represents a prominent and increasing concern for the countries. Impacts from these new economic developments can be expected to be more prevalent and frequent and will need to be addressed with a clear and active focus on mitigation.

These problems are aimed to be addressed by the ASCLME Programme SAP implementation projects proposed through UNEP, World Bank, and this one, through UNDP.

Within the four main areas of concern highlighted through the TDA-SAP Process, nine “cross-cutting” common Root Causes (across all Main Areas of Concern) were identified;

1. Inappropriate governance arising from problems such as inappropriate and outdated legislation, deficiencies in enforcement and compliance, and lack of management and institutional capacity;
2. Economic drivers including high international and local market demand for resources, inappropriate subsidies

and incentives, and lack of alternative opportunities;

3. Inadequate financial resources resulting from the low GDPs of most countries in the region as well as inadequate mechanisms for leveraging additional finances;
4. Inadequate knowledge and awareness arising from factors such as lack of or inadequate regulations, lack of legal expertise, limited or lack of education, and others;
5. Cultural traditions that can stem from a legacy of decades of poor environmental management in some countries, as well as traditional practices that may no longer be sustainable;
6. Population pressure and demographics as a result of population growth over the last century exacerbated by large scale migration to the coast driven by a number of pressures;
7. Poverty and inequality, which can lead to an increased dependency on the exploitation of natural resources and subsistence living;
8. Climate change and natural processes;
9. Personal attitudes such as a culture of entitlement in some fisher communities and a tendency to shift blame to other stakeholders. Bribery, greed and corruption were also identified as problems.

*N.B. Chapter 10 of the TDA examines these regional concerns in more detail, along with suggested interventions to address them; Chapter 9 examines each of the Main Areas of Concern (MACs) as identified by the countries, and the 50 priority transboundary issues falling under them, in considerable detail.*

The SAP aims to address these root causes at a variety of levels by removing key barriers; clearly, a suite of measures is required to effect real change. The most significant barriers to be removed will likely include *inter alia*:

- **Information Barriers** (e.g.; inadequate information resources; inadequate access to information; poor understanding/awareness of transboundary international water issues by public, private sector and policy makers; inadequate information flow between research and management/policy sectors; inadequate inter-sectoral communication; low literacy rates & language barriers)
- **Regulatory Barriers** (e.g. lack of, or poor implementation of, appropriate legal/policy instruments; lack of enforcement)
- **Technology Barriers** (e.g. infrastructural capacity deficiencies including lack of research infrastructure/technology; need for alternative technologies/practices/methods to replace harmful ones)
- **Institutional Barriers** (e.g. human capacity deficiencies such as lack of knowledge/training; lack of appropriate institutions in all countries; sectoral fragmentation of institutions & mandates; ephemeral civil service and government departments leading to loss of personnel)
- **Financial Barriers** (e.g. lack of access to sustained financial resources; poverty)

One cross-cutting “barrier” is *resistance to change* (personal/political/legal).

In line with the catalytic role suggested for GEF projects<sup>8</sup>, the SAPHIRE project must ensure that the activities carried out during SAP Implementation show real progress toward sustainably addressing the MACs by systematically dismantling the barriers to effectively remediating the 50 priority issues identified in the TDA. The five Components detailed in the Alternative Scenario below will address these challenges and barriers.

**2) Baseline Scenario:** The Governments of the participating countries have successfully completed a highly detailed Transboundary Diagnostic Analysis with support from the UNDP-GEF Agulhas and Somali Current Large Marine Ecosystems Project and the World Bank-GEF Southern Western Indian Ocean Fisheries Project. They have

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[http://www.thegef.org/gef/sites/thegef.org/files/publication/Catalysing%20Ocean%20Finance%20Vol%20I%20Final%20Oct1\\_1.pdf](http://www.thegef.org/gef/sites/thegef.org/files/publication/Catalysing%20Ocean%20Finance%20Vol%20I%20Final%20Oct1_1.pdf)

also completed individual Marine Ecosystem Diagnostic Analyses (MEDA) for each country which will serve to direct and construct National Action Plans in line with the ecosystem approach. Finally, they have drafted and agreed on a Strategic Action Programme (SAP) which defines the institutional and governance reforms (at the national and transboundary level) which they will pursue in order to achieve sustainable management of the goods and services of these LMEs. This SAP was reviewed and adopted by the Policy Advisory Committee Meeting (constituted at the Permanent Secretary level with multi-sectoral representation) in Johannesburg, South Africa, in February 2013, and is currently undergoing each country's required processes for ministerial endorsement.

All of the countries have expressed a strong and urgent desire to now implement this SAP and to embrace the necessary realignments in management practices and undertake the policy reforms necessary for an effective ecosystem-based management approach. However, the countries and the many partners that have aligned themselves with the TDA and SAP process recognise that sustainability of actions will require more than just national political will and action. It will require commitments regionally and even globally to support this important process.

The countries have committed to producing National Action Plans based on the high priority items identified in the Strategic Action Programme. They will be able to address these national actions on a national level. However, what would be missing would be the LME scale coordination (to ensure that national actions are coordinated and focused on achieving LME-scale benefits and not simply national benefits), a more comprehensive stakeholder engagement in management and associated processes (notably with local communities and with the private sector), and assistance with the development of urgent new governance mechanisms that can deliver effective management to high seas and the ABNJ that also fall within the LME management boundary. (see Annex 1 a description of the WIO LME Management Boundary as agreed by the countries in the SAP document).

**3) The Alternative Scenario:** The alternative scenario, including the GEF Increment of this Strategic Action Programme Implementation Project, will provide the vehicle for coordinating and executing reforms at the institutional level and in management practices as well as improving and strengthening skill-sets and understanding of ocean-climate interactions and predicted changes.

GEF has focused its investment in the ASCLME Project on foundational data capture to underpin a TDA and a SAP (on the principle that you cannot manage what you don't understand). During the ASCLME Project, GEF investment catalyzed the partnership building among not only the participating countries but also with major actors active in the region, including research institutes from developed countries. The intended method of delivering the necessary cooperative actions to implement the proposed Strategic Action Programme would be through such an "Alliance" of partners, as described below.

The ASCLME Project has forged a number of strategic partnerships (which are collectively estimated to be worth at least US\$12.8 million in co-funding so far). Many of these partnerships have been captured in 'Aides-Memoire'; which have been signed with, among others, the NOAA, the World Ocean Council and IOC-UNESCO. Formal partnerships have developed with the International Union for Conservation of Nature (IUCN) and Memoranda of Understanding have been signed with the WWF and the French research institute IRD. Equally strong partnerships have developed with the FAO's EAF-Nansen project and with the Royal Netherlands Marine Research Institute (NIOZ). Along with the MoU with NOAA, and close cooperation with the South African Department of Environmental Affairs (DEA), these latter partnerships have facilitated the establishment and extension of a sophisticated offshore oceanographic monitoring network which promises to form the basis of a long term monitoring and early warning network as well as providing vital *in situ* long term oceanographic data. It is intended that these partnerships will be sustained and further strengthened through a Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA) which will support the countries in conducting vital long-term monitoring and translating the results into adaptive management guidelines and effective governance processes, thereby ultimately informing and driving national and regional policies concerning the management of the region's Large Marine Ecosystems.

At the heart of the WIOSEA concept is the provision of credible science-based management and policy information, supported by regional and international earth observation. This 'Alliance' approach was initially proposed at a high-level policy meeting of the Western Indian Ocean countries participating in ASCLME, SWIOFP and WIO-LaB along with a number of active regional and global agencies and funders. The countries and their partner agencies

endorsed “the need for developing and implementing a Western Indian Ocean Sustainable Ecosystem Alliance based on the principles of ecosystem-based management, which will ensure the efforts and inputs of all stakeholders are captured and evolved into an effective regional management and governance system for the WIO LMEs”. Since then, the Alliance has been discussed and supported at a number of regional scientific and policy level meetings, and at a number of international level platforms particularly in relation to the need to capture high seas management issues within the LME governance mechanisms.

The Western Indian Ocean Sustainable Ecosystem Alliance has a current membership of over 100 regional and global academic, scientific and Intergovernmental institutions and NGOs, as well as private sector representation. The various partners of the Alliance have agreed to allocate funding and capacity to support the Strategic Action Programme for the Western Indian Ocean, particularly in the areas of Ecosystem Monitoring; Capacity Building and Training; and the development of Science-Based Governance as well as Community Engagement. The intention now is to consolidate these partnership agreements through the Strategic Action Programme under one single agreement for cooperation. Finalisation of a single WIOSEA Agreement along with funding and responsibility will be one of the objectives of the Project Document preparation (PPG) prior to inception of SAPPHERE. In this context, WIOSEA is recognized as a regionally agreed mechanism.

GEF is requested to take advantage of this successful investment process and to focus on supporting the proposed new policy reforms and management practices such as the Knowledge-Based Management mechanisms, building the WIOSEA partnerships and developing innovative new management practices and governance reforms related to ABNJ. It is further requested to support a few selected priority transboundary demos to improve ocean governance leading to stress reduction to the WIO LME.

The large-scale monitoring processes must continue for any of this to be effective and it is necessary to complement the GEF incremental investment in SAP implementation with a significant co-funding investment for long-term sustainability (you cannot adapt to or prepare for change if you cannot identify and measure that change). It will also consolidate work already done on engaging other stakeholders (especially the communities and the marine industry and private sector) into the management process through real actions and transformation of practices. This incremental step forward provided by GEF will therefore be supported by other partners through a much larger foundation of data capture, monitoring and research essential to guide and drive such management processes and to identify changes and react to them through adaptive management decisions. A brief description of the project components and proposed outcomes are presented below with brief incremental reasoning:

### **Component 1: Executing Management and Policy Reforms through a Knowledge-Based Governance Mechanism**

The TDA-SAP process has adopted and endorsed a suite of policy reforms and management realignments that need to be address as a part of SAP Implementation. The priority transformations that would be executed through this proposed SAP Implementation process include:

- Revise existing and/or establish new management ‘best practices’ for main sectors impacting on and benefiting from LME goods and services (e.g. tourism, mining, energy and shipping, community welfare)
- Realign national legal and policy frameworks to ensure sustainability of deepwater habitat biodiversity and living marine resources within EEZs (including designated EIA requirements related to all forms of exploitation and extraction along with more effective monitoring and surveillance).
- Develop and adopt frameworks for management of ABNJ, particularly in relation to all forms of extraction and exploitation with an end-objective of protecting ecologically and biologically significant areas and vulnerable marine ecosystems as well as sustainably managing living marine resources in high seas areas (consistent with MDG 7A/B)
- Revise national legislation to encourage ratification and to ensure compliance with all international maritime laws (e.g. IMO, FAO, UNCLOS, etc.) including the transformation and strengthening of bio-security measures within all countries (including reporting and port state control measures) to address impacts from Ballast water and hull fouling. Assist with capacity building and training to ensure such compliance.
- Cooperate with regional conventions (such as the Nairobi Convention) and nationally mandated bodies to execute reforms in policy and legislative frameworks related to shoreline management and ICZM (e.g. EIA

requirements, strengthening setback laws; mitigation of erosion; avoidance of habitat degradation) so as to ensure the protection and sustainability of ecosystem goods and services and define predicted losses related to any proposed development process. These reforms are to include and incorporate community empowerment and engagement.

However, one of the challenges related to a number of LME support activities being undertaken around the world is that an excellent baseline of scientific data and other knowledge (traditional, cultural, etc) is often created and extrapolated into appropriate recommendations for management realignment and governance reforms, but this frequently has little impact on actual day-to-day management and policy decisions.

The ASCLME Project has, through a series of think-tanks and round-tables, developed a Knowledge-Based Governance (KBG) strategy which is embedded in the SAP and its implementation process. This KBM strategy aims to capture information and data from scientific research and cultural/ traditional sources and feed this more effectively into the management process through a cross-sectoral peer-review group. This will aim to fast-track priority trends and issues through a 'weight-of-evidence' approach and deliver timely management guidelines and policy reform proposals to the countries and their mandated IGOs. This will help to drive a more efficient and timely adaptive management process without being stalled by long, drawn-out scientific/technical studies based on either limited work or restricted by exceptionally high 'confidence-limit' requirements.

Underpinning this process is the need to revisit and update both the MEDAs and the TDAs and to ensure a basic level of monitoring for change. National Action Plans (NAPs) will build on the MEDAs and SAP, to help accelerate SAP implementation at national level and to develop country-specific measures to respond to the environmental threats identified in the TDA and addressed through the SAP.

Incremental support to this is required to roll out the Knowledge-Based Governance (KBG) approach at the national level and to set up the appropriate institutional interactions and dialogue at the regional level which would provide the peer-review and peer-support processes necessary for a weight-of-evidence approach to function reliably. The countries also need assistance through regular management guidelines and policy briefings as well as an evaluation process that can measure the effectiveness of the KBG approach and how this is really driving management processes.

Although the WIOSEA (in its assistance to the SAP implementation process) will provide much of the support to in-field data capture and analysis, there is a need to build a skill-set within the participating countries to be able to interpret the conclusions and understand their implications in terms of adaptive management. There is also a need for a strong level of knowledge within the region in terms of predictive modelling (for ocean-climate interactions and the effects on living marine resources, etc). All of this needs to be viewed in the context of socioeconomic conclusions and long-term predictions at the level of communities, livelihoods and GDPs.

Much of the long-term ecosystem monitoring process will be covered by co-financing and partner support through the Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA) with limited GEF resources being focused on capturing strategic transboundary benefits and to monitor the effectiveness of SAP implementation and ensure that an efficient feedback exists between science/knowledge capture, management and policy. The SAP defines the national and regional level institutional reforms and realignments necessary to implement a management programme.

The primary regional body for SAP management and implementation would be a High-Level Regional Steering Committee. This body could also act as the Steering Committee for the SAPPHERE project. Achieving these new institutional linkages and partnership arrangements will require guidance and coordination at the incremental level, despite government commitments to deliver such mechanisms. Furthermore, the urgent need for new management strategies has been identified through the TDA process and within the SAP. This Component will therefore also demonstrate and adopt the institutional arrangements (as identified and endorsed in the SAP) to ensure sustainability of these processes (e.g. a SAP Regional Steering Committee, Scientific and Technical Panels, national IMCs and Public-Private Partnership working groups and advisory boards).

Management models developed by such initiatives as PEMSEA (Partnerships in Environmental Management for the Seas of East Asia) will be explored for suitability in advising this process. PEMSEA is a partnership arrangement involving various stakeholders of the Seas of East Asia, including national and local governments, civil society, the

private sector, research and education institutions, communities, international agencies, regional programmes, financial institutions and donors. It is also the regional coordinating mechanism for the implementation of the Sustainable Development Strategy for the Seas of East Asia, equivalent to the WIO Strategic Action Programme. PEMSEA gathers the stakeholders to work together and act dynamically and in a coordinated manner. The PEMSEA Resource Facility (PRF) is a component of the PEMSEA Regional mechanism. It provides secretarial and technical services to the participating partners. One important element of this component will be effective coordination between the various related initiatives (both GEF and non-GEF) within the region using the best possible coordinating/convening powers of the Implementing Agency, especially in relation to its network of country offices.

Close coordination will take place both during project preparation and project implementation with other related activities and associated institutions/initiatives in the region to ensure complementary use of resources and cooperative delivery of objectives. One clear example of the need for this coordination would be with those other GEF initiatives and regional IGOs that are already closely involved in developing marine spatial planning tools and defining MPAs in the region.

### **Component 2: Stress Reduction within the LMEs through Community-Level Stakeholder Engagement and Empowerment in SAP Implementation**

This Component recognises the essential requirement in any SAP implementation process to engage with and fully integrate the involvement of the communities that both depend on and support the goods and services arising from healthy and sustainable LMEs. The ASCLME Project had an important component that started this interaction process and many useful lessons were learned during this. Effective implementation of the SAP will require building on these lessons and replicating them throughout target communities.

In particular, the incremental focus of this component will be on demonstrating co-management of community-scale management zones (such as MPAs, critical habitat preservation, and marine refugia) and a more effective implementation of ICZM practices. In order to make this engagement meaningful, the incremental support will also need to focus on spatial planning and zoning practices and demonstrate how these can be undertaken as an interactive initiative within communities. Selected demonstration projects will prove this process and develop mechanisms that can be replicated as reform practices in management approaches.

The expected outcomes from this Component will be informed communities fully engaged as active stakeholders in the sustainable LME management processes, for the better protection of LME and its good and services and for the welfare of the communities themselves, which in turn leads to national and regional socioeconomic wellbeing. This would lead to reduction of stress at localised levels for the overall benefit of the LMEs as a whole (e.g. monitoring and reduction of coastal and offshore nutrient levels; community level ‘ecosystem-based’ economic development plans; mitigation and restoration of degraded habitats linked to tourism, restoration of “blue forests” and fisheries refugia; more effective community level enforcement related to ICZM; promotion of alternative income generating activities easing pressure on LME goods and services).

Close coordination will take place both during project preparation and project implementation with other related activities and associated institutions/initiatives in the region to ensure complementary use of resources and cooperative delivery of objectives.

### **Component 3: Stress Reduction in Marine Pollution within the WIO LMEs through Private Sector/Industry Commitment to transformations in their operations and management practices**

The ASCLME Project initiated a dialogue with the private sector, identified areas of mutual cooperation and resulted in an early agreement with many marine industry giants through the World Ocean Council. Marine industry involvement in the global LME management process has, however, been minimal up until now. There is an urgent need (supported by a clear willingness from all parties) to rectify this within the WIO LMEs.

Industry has expressed a willingness to act as a ‘platform’ for data collection related to long-term monitoring of ecosystem indicators and ocean-climate changes. Furthermore they have expressed a definite wish to be involved in the management process and to adopt self-regulatory instruments to reflect management needs.

Within the WIO, oil and gas exploration is moving fast and substantial reserves have already been located ready for

extraction. This ‘boom-town’ situation has its inevitable concerns and potential impacts. It is essential to engage with the oil and gas industry now within the context of SAP implementation. Yet the countries of this region have little or no experience or track-record of dealing with such potentially aggressive multinationals. There is a real opportunity here for incremental support and assistance to the countries to allow them to drive and control such interaction.

Extractive industries and their activities present both huge economic development potential and devastating negative impacts on surrounding ecosystem. With better interaction and management/negotiation, the countries can aim to maximise potential economic benefits to their people, especially those dependent on the ecosystem that will be negatively affected and to reduce potential risks and hazards to humans and the ecosystem.

One very basic need is a forum for interaction between country and regional LME management interests and the industry. Outputs from this component would see the development of more effective oil and gas impact response and contingency planning (including for other hazardous substances, particularly heavy metal and toxic waste dumping), comprehensive responsibility taken by the industry for their impacts on the region (not just in terms of natural resources management but also in terms of the socioeconomic impacts which are already affecting local communities).

Stress reduction objectives would include better control and enforcement of discharges from shipping and platforms; harmonised operational guidelines for exploration and extraction processes; zoning agreements related to VMEs, seamounts and other sensitive marine areas as well as fishing grounds; more effective self-regulation of solid waste disposal at sea; harmonised regional regulations for coastal tourism in line with an ecosystem-based management approach; working closely with IMO and industry to ensure early conformity to ballast water and hull-fouling regulations, etc.).

The maritime industry (oil, gas, shipping, tourism, etc) will accrue financial benefits from the EEZs and LMEs and therefore it is appropriate that they should finance aspects of LME monitoring, management and sustainability, especially those directly related to potential impacts from the industry. Therefore, a primary goal would be to encourage the maritime industries to set up a Trust Fund for the region under their direct management but with an advisory input from the countries and other stakeholders. This could be set up under the auspices of the World Ocean Council’s ‘Smart Ocean – Smart Industry’ initiative. SO-SI aims to facilitate ocean industries collaboration with the scientific community in data collection and its integration into national and international observing and science programmes. The Industry would oversee decisions on where the funding would be allocated and would manage and audit these funds, not as direct contributions to the project but as parallel support funding for elements of the SAP process that the Trust Fund Management Board agree are of a high priority to the industry itself. Important areas for funding consideration could include instrumentation (especially on industry-owned ships and platforms), interactive technical workshops bringing industry and science together, etc.

Close coordination will take place both during project preparation and project implementation with other related activities and associated institutions/initiatives in the region to ensure complementary use of resources and cooperative delivery of objectives. One particularly important initiative that has been the subject of dialogue and coordination during the ASCLME project and which will continue to be embraced and reflected in this component and through close cooperation with other initiatives and regional mandated bodies would be the achievements and legacy of the WB/GEF Electronic Highways Project in this region

#### **Component 4: Evolving Improved and Innovative Management Mechanisms for Extended Continental Shelf and High Seas areas within LMEs**

An LME approach, by definition, requires management beyond national jurisdiction. The LME itself inevitably extends out into the high seas by virtue of its biogeographic vs. political designation. Also, there will be transboundary impacts across the national jurisdictions and the high seas.

Marine spatial planning is now recognised to be a vital tool for improving ocean governance and for defining effective management measures. This will be more and more necessary now in Areas Beyond National Jurisdiction. One of the objectives of the WIOSEA partnership is to provide a vehicle for more effective partnerships and agreements for management of areas beyond national jurisdiction with some degree of recognition being given to the countries that border such ABNJ. Through such an Alliance of partners, this component will undertake a pilot to



demonstrate the role and function of effective marine spatial planning in driving the adoption and underpinning the management of MPAs and VMEs, particularly in the high seas and ABNJ that are within or have transboundary links with the LMEs. At the community level, marine spatial planning will be piloted to link in with Local Economic Development Plans where feasible and to include investment opportunities.

A number of countries are now making their submissions for Extended Continental Shelf (ECS) jurisdiction and this will bring many management challenges in an ocean where the seabed will then fall under sovereign control but the overlying water column remains a high-seas Area Beyond National Jurisdiction. However, the WIO region is taking a strong lead in this process in terms of developing management approaches. Already two countries (Seychelles and Mauritius) have agreed to jointly manage their continental shelf extensions and to attempt to address the ABNJ issue between them. The incremental support required here is in the development of effective management strategies for these various geopolitical and ecosystem scenarios.

Countries have indicated their strong commitments to realize improved ocean governance through the spatial planning and other tools within their jurisdictions. GEF support will ensure to realize transboundary benefits through those demonstrations. Significant co-financing support from other global bodies have been indicated and will be quantified in detail during the project preparatory phase. Activities related to this will focus on strengthening the management capabilities and institutional capacity of the newly established Joint Management Commission. A partnership/alliance approach to management and regulatory approaches for VMEs under threat of impact (especially high biodiversity seamounts) will be explored and developed where feasible, following on from the achievements of the UNDP-IUCN joint project 'Applying an ecosystem-based approach to fisheries management'.

#### **Component 5: Capacity Building and Training for Effective Strategic Action Programme Implementation and Long-Term Ecosystem Monitoring**

This component will focus on strengthening institutional capacity at national and regional levels for effective SAP implementation. The priority capacity building and training needs related to effective SAP implementation have already been identified through the MEDA-TDA process. WIOSEA partners are expected to adopt certain elements of these training and capacity building needs but this will need careful coordination.

Centres of Specialisation would be identified for support and/or strengthened with an emphasis on south-south cooperation (but with support from institutions in developed countries in terms of training and mentoring). Already some Centres/Hubs of Specialisation have arisen through the evolution of the WIOSEA. One such Centre (most accurately, a Hub for coordination and networking) is the African Centre for Capacity Building in Ocean Science and Governance based in South Africa, which has evolved through a series of partnerships between training and research institutes and various individual scientists (initially in South Africa but now spreading throughout sub-Saharan Africa) and global bodies such as the International Ocean Institute, the World Maritime University and IOC-UNESCO. Furthermore, the Benguela Current Commission has formally affiliated itself with AfriCOG as well, and recognises it as a primary vehicle for capacity building and training related to LME monitoring and management.

AfriCOG now has strong 'buy-in' from the African LME Caucus which can see such a body as providing training for ocean and LME governance and management at a number of levels (management, scientific, policy, etc). This Centre has already been established by the ASCLME project through Rhodes University (as the host) and through contributions from WIOSEA partners. The GEF increment to this would be to use the Centre for training and capacity strengthening related to SAP implementation and for other LME Capacity Building and Training activities within Sub-Saharan Africa. AfriCOG would further act as an 'anchoring' point for the WIOSEA that has evolved through the ASCLME project, with partnerships being formally agreed through this recognised and legally established national/regional coordination centre. This component would also deliver appropriate inputs to school curricula and other learning support materials (including teacher training programmes).

This component would also interact closely with the GEF UNDP IW:LEARN programme which is already a partner in the WIOSEA. [At least 1% of the GEF grant would be allocated to supporting IW:LEARN activities.](#)

**4) Incremental Cost Reasoning and Expected Contributions from the Baseline:** The incremental cost value-added for this project would drive the development and adoption of a number of reform processes in both national and regional management including:

a) the transformation of management practices in the region into ecosystem-based partnership approaches based on

national and regional cross-sectoral management processes and reforms;

b) the adoption of a more dynamic management approach regionally that identifies ‘trends’ ahead of firm ‘confidence-limits’ and adopts this ‘weight-of-evidence’ through a peer review process into adaptive management strategies and actions;

c) effective two-way interaction at the community level into an ecosystem based management approach which emphasises sustainability of livelihoods and local economic development in line with the overall SAP and its ecosystem-based approach;

d) direct involvement of (and interaction with) the maritime industry, particularly in data collection, analysis and its translation into management approaches and regulatory reforms;

e) supporting the development and adoption of innovative management practices (currently unavailable or untested) for ABNJ, extended continental shelf management, etc.;

f) a regional and ultimately pan-African approach to capacity building and strengthening through regional, continental and global partnerships driven by national and regional needs in support of management realignment and policy reforms for effective LME management.

The Baseline contributions to this process would be:

i) through the existing mandated IGOs (Nairobi Convention, South West Indian Ocean Fisheries Commission, Indian Ocean Tuna Commission, etc). Furthermore, their inputs to the SAP as well as their willingness to implement SAP requirements through their Conventions and formal bodies would represent substantial incremental contributions and co-financing (this is particularly true with the SWIOFC which will implement specific LME-related reforms by way of moving from a purely Advisory Body to a full Management Body);

ii) the supportive activities from the existing ministries (and other stakeholders) in the countries that would form part of the management processes;

iii) translating the national MEDAs into National Action Plans/Programmes and updating those regularly;

iv) the existing commitments to management strategies for ABNJs (e.g. Joint Management Agreements between Seychelles and Mauritius);

v) on-going monitoring processes (both within EEZ and beyond in ABNJ) which are ex-GEF project.

##### **5) Global Environmental Benefits:**

Through the evolution of the TDA and consequent SAP development process, the countries of the region have expressed the intent of reforming the South West Indian Ocean Fisheries Commission from an Advisory body (FAO Article VI) to a full Management body (under FAO Article XIV), including the identification of appropriate financial mechanisms. This will represent a major reform with consequent benefits to fisheries and to biodiversity (the latter in the context of a more ecosystem approach to fisheries management).

SAPPHIRE will also build on the growing involvement and interest demonstrated by the private sector and marine industry in cooperating with the countries and with the partners to develop a sustainable approach to management of the goods and services associated with the Western Indian Ocean Large Marine ecosystems. This will include direct involvement of the maritime industry in the actual management process and in the reduction of impacts from shipping and pollution (particularly through the Smart Oceans – Smart Industries (SO-SI) programme promoted by the World Ocean Council, a WIOSEA partner representing over 70 major global maritime private sector bodies including major leaders in the oil and gas industry, shipping and freight, and recreational cruise lines).

SAPPHIRE will also build long-term partnerships (through WIOSEA) to carefully monitor any changes in the status of the region’s marine ecosystems, the effects and impacts of those changes on the socioeconomic welfare of the countries, and develop mechanisms for mitigating or adapting to those effects and impacts through adaptive management and policy realignment.

SAPPHIRE will further demonstrate and replicate best practices in strengthening the human and institutional capacities of the countries to respond to the requirements and priorities for monitoring and management and to encourage the support for further training of urgent and necessary skills in the region. This will be driven through the African Centre for Capacity Building and Training in Ocean Science and Governance (AfriCOG) which will aim to address the priority needs of the region and the individual countries. These best practices and lessons will be made

available to the LME community and to ICZM processes globally.

These benefits will extend to all three LMEs in the western Indian Ocean (a management area covering some 27% of the entire Indian Ocean). Thus there will be direct (long-term) benefits to many of the world's more threatened marine habitat types found in this area of the world. The development of new management strategies for ABNJ, including seamounts and deepwater habitats, will address an outstanding need to provide a measure of oversight and monitoring of those areas that have, until now, been a relative free-for-all in terms of access and uncontrolled exploitation, with potentially dire consequences to these unique and globally significant deep sea habitats which tend to support very slow growing organisms, many of them new to science.

Many of the deliverables and reforms that would arise from this project would also support a number of global environmental commitments and objectives including:

**Rio + 20 Resolution:** This recognises :

- i) the need to give more attention to Africa and the lag in commitments made previously at major UN summits and conferences (particularly those contained in the Millennium Declaration, the UN Declaration on NEPAD, The Monterrey Consensus and the Johannesburg PoI and the outcomes of the 2005 World Summit on Sustainable Development);
- ii) the importance of promoting the science-policy interface;
- iii) strengthening the participation of countries in international sustainable development processes through capacity building and assistance to conducting their own monitoring and assessments;
- iv) recognising the importance of also building capacity in developing countries to benefit from conservation and sustainable use of the oceans and seas and their resources and emphasising, in this regard, the need for cooperation and partnership in marine scientific research, particularly in the implementation of UNCLOS;
- v) commit to urgently address the issue of conservation and sustainable use of marine biological diversity in ABNJ;
- vi) commit to take action to reduce the incidents and impacts of pollution on marine ecosystems, including through effective implementation of relevant conventions and adoption of coordinated strategies to this end (including measures to control introduction of alien invasive species);
- vii) supporting international cooperation toward realising the social, economic and environmental benefits from the conservation and effective management of coral and mangrove ecosystems;
- viii) recognise the importance of area- based planning and conservation measures;
- ix) encourage the Global Environment Facility to take additional steps to make resources more accessible to meet country needs for the national implementation on international commitments, in particular in Africa;
- x) recognise that a dynamic, inclusive and well-functioning and socially environmentally responsible private sector is a valuable instrument that can offer a crucial contribution to economic growth and reducing poverty and promoting sustainable development.

**Aichi Biodiversity Targets:** The project would realise all of the Strategic Goals (and their targets) , namely:

- A – Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society;
- B – Reduce the direct pressures on biodiversity and promote sustainable use;
- C – Improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity;
- D – Enhance the benefits to all from biodiversity and ecosystem services;
- E – Enhance implementation through participatory planning, knowledge management and capacity building.

**6) Innovativeness, Sustainability and Potential for Scaling Up:** The project will deliver a number of innovative approaches and mechanisms including:

- A) an active Knowledge-Based Governance (KBG) approach using a comprehensive and cross-sectoral peer-review mechanism reviewing 'trends' that can be acted on in terms of adaptive management and with a feedback mechanism to assess the effectiveness of this KBG.

- B) partnering with industry in this KBG process so that industry is involved in data collection and analysis, quality assurance, and actual consideration and adoption of management and regulatory agreements;
- C) Engaging communities directly into the management process and demonstrating the value of the ecosystem approach through local economic development processes;
- D) innovative new management processes for areas with insufficient or absent management mechanisms (particularly ABNJ and ECS and Deepwater VMEs);
- E) a comprehensive CB&T approach focusing on a pan-African delivery and using a suite of partners from the region and internationally.

The formal partnership arrangements being adopted both through the WIOSEA and through the African Centre for Ocean Governance (including long-term funding from and for both) will provide significant sustainability to all components and to the SAP objectives and activities in the long-term. Country endorsement and agreement for review and revision of both the TDA and SAP processes also demonstrates commitment and political sustainability.

There is significant potential for scaling up the following activities that would be undertaken by the project:

- 1) Demonstration of national level intersectoral management mechanisms for an ecosystem-based approach that links into the regional strategy;
- 2) Demonstrations to pilot the engagement of communities into the LME management process;
- 3) Adoption of national Community Advisory Committees;
- 4) PPP to pilot the involvement of the maritime industry in the entire management process;
- 5) innovative management processes piloted, especially for ABNJ, ECS and vulnerable deepwater ecosystem components;
- 6) the adoption of a pan-African partnership for ocean governance based in the WIO region but with global networking.

**A.2. Stakeholders.** Identify key stakeholders (including civil society organizations, indigenous people, gender groups, and others as relevant) and describe how they will be engaged in project preparation:

Stakeholder analysis was performed by each country as part of their MEDA activities in the ASCLME project. This analysis was carried over to the WIO LME TDA, where the key stakeholders were identified.

Some key stakeholders include: Coastal subsistence communities, academia, school children, fishermen (the largest fisheries sector here is the artisanal fisheries, rather than commercial fisheries), small scale industry, large-scale industry (such as oil and gas), conservation NGOs (national, regional and international, such as WWF) and associations of NGOs, IGOs, national governments, etc.

Private sector is a particularly important stakeholder, as, for instance, the oil and gas sector is rapidly expanding its exploration and exploitation in Madagascar, Mozambique, and Tanzania, with other parts of the WIO to follow soon. The oil and gas sector can assist in monitoring, training, capacity building, and infrastructure to support ecosystem based management.

Through community engagement demos, piloted during the ASCLME project using the DLIST approach, inputs from communities were incorporated into the MEDA development process of each country, informing TDA and SAP.

Another key output derived from the ASCLME project to strengthen stakeholder engagement is the WIOSEA partnership. WIOSEA already includes many of the above stakeholders, and its participation is expansive and multisectoral. WIOSEA will be a key stakeholder engagement platform for the WIO LME SAP implementation.

The proposed project will take advantage of the strong stakeholder base established by the ASCLME project and its stakeholder analysis. The proposed project has already benefited from inputs from key stakeholders to develop a set of proposed components and indicative sets of outcomes and outputs, which will be refined further during the preparatory phase with broader stakeholder participation.

As part of the project preparation activities (PIF and Project Document), the stakeholders have attended a series of meetings on the project, including a Final ASCLME Project Steering Committee Meeting, a Final WIO LME SAP Policy Advisory Committee Meeting, and three back-to-back meetings in Tanzania in February 2013 where a broad stakeholder constituency was briefed on the proposed project supporting the SAP implementation, and inter-agency meetings took place to help assure coordination. Once the PIF is approved, at least two regional workshops will be held during the project preparatory phase with broad stakeholder participation to review the Project elements and activities to assure national ownership of the Project.

**A.3 Risk.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

Risk	Rating	Risk Mitigation Measures
Piracy	Low	The piracy may not pose much risk on the activities directly financed by the project but may pose some risk to the performance of the largely co-financed long-term monitoring system, which will contribute to the KBG mechanism. To minimize potential risks, a number of risk mitigation measures tried and tested during the ASCLME project will be deployed, including: establish a no-go area around piracy area to protect valuable project and partner resources; rely on national resources including armed ships to protect LME assessment activities; rely more heavily on moored and remote sensing systems for measurements rather than ship-board activities, etc.
Lack of national ownership	Low	At present, the ten countries involved in the WIO LMEs (9 participating countries plus France) have expressed strong support for the SAP implementation and for ecosystem based management of the WIO LMEs in general. The project's effort to strengthen regional cohesion in realizing the EBM in WIO LME, supported by IGOs and some relevant global alliance, will further minimise the risk. Awareness raising and sensitization of the value and contribution of LME and its goods and services to national and regional economic development promoted by the project should also maintain or raise the high level of national ownership and commitment.
Countries are reticent to implement policy/regulatory reforms to create enabling environment for LME (or ecosystem)-based management	Moderate	<p>Project is designed to produce a series of clearly understandable knowledge products to sensitize high-level policy makers on the importance of the three LMEs and their goods and services for the WIO countries to realize their economic development potential both at national and regional scale in the mid- to long-term horizon. It will highlight the potential costs and economic losses associated with degraded ecosystems. The project will also assist the countries to learn from experiences from other parts of the world on how an enabling policy environment could catalyse significant financial resources to address national and transboundary issues, using both GEF and their public finance as leverage. Those measures should create incentives among high-level policy makers to help realize and enact necessary reforms.</p> <p>Further, adequate and appropriate political pressures from regional and international platforms can be brought to bear on the reticent countries, demonstrating the necessity of transboundary resource management and especially the necessity of ecosystem based management for marine resources, if necessary,.</p> <p>Policy changes takes time. To minimize the risk of the project running out</p>

		of time before necessary policy changes are realized, the project will start engaging high-level policy makers both nationally and regionally from the very early stages of project implementation and even during project development.
Private sector chooses not to cooperate with the project	Moderate	Through various stakeholder fora and bilateral discussions, the project will make efforts to present mutual benefits for public and private sectors which will be realized through the private sector's engagement and participation in the WIO LME SAP implementation, based on socioeconomic analysis and ecosystem valuation the project will conduct. The argument for cooperation should go beyond the private sector's engagement through their CSR to reduce this risk.
Pressing national needs such as poverty or conflict takes resources away from their efforts to establish ecosystem based management.	Moderate	The project will assist the participating countries to communicate domestically the important role LME and its goods and services play for their poverty reduction and economic growth efforts, much beyond the obvious (e.g. fisheries and tourism sectors) and potential contribution of SAP and NAP implementation towards the countries' socioeconomic development. Potential costs and economic losses to the national economy caused by degraded ecosystems will be also clearly communicated.  This SAP implementation project is designed to ensure that ecosystem-based management will be mainstreamed into the national development priorities because of its economic importance. Information on domestic benefits, benefits accrued by transboundary/regional actions, and costs caused by inaction will be established in order to build political support throughout the project implementation process.
Important local level stakeholders (e.g. artisanal fishers, coastal communities and others) will see ecosystem based management efforts as being detrimental to their interests, jeopardizing their application at local scale.	Moderate	A significant part of this project focuses on community engagement, sensitization, and community-led demos. The community engagement will help focus on the economic and social benefits to participation by communities in an ecosystem based approach. The economic analyses will assist in making this point. Also, community-led demos will be designed to yield short- to mid-term local gains as well as long-term positive transboundary impacts on the ecosystem.

**A.4. Coordination.** Outline the coordination with other relevant GEF financed and other initiatives:

Two other GEF-financed projects are anticipated to relate directly to the Western Indian Ocean: WIO-LaB SAP implementation project, implemented by UNEP, addressing stresses caused by land-based activities on the WIO ecosystem (PIF approved Spring 2013 work program, full project under preparation) and a future WIO LME SAP implementation project more focused on fisheries issues, to be implemented by the World Bank, in close collaboration with South West Indian Ocean Fisheries Commission (the latter is anticipated to start once the SWIOFC is upgraded to the FAO Article XIV management body). All three of these GEF co-financed projects are expected to budget for activities targeted specifically at close coordination between the projects in order to derive maximum benefit and cost effectiveness of GEF resources.

The UNEP WIO-LaB project was completed over two years ago and has just recently (April 2013) received GEF Council approval for its SAP implementation phase. In parallel, the ASCLME project is in its final stages and will be operationally complete in September, 2013; the World Bank project was completed in March 2013. This creates an opportunity to significantly strengthen linkages and coordination between the UNDP, World Bank and UNEP

initiatives and specifically between the WIO-LaB SAP and the ASCLMEs SAP implementation processes going forward. UNDP and UNEP will work together during their parallel PPG phases to realize this coordination and synergy opportunity with an aim towards near concurrent start-up of the respective SAP implementation projects in 2014. The World Bank implemented project will follow in a later GEF work program after institutional arrangements for this project are finalized (transition of the Southwest Indian Ocean Fisheries Commission from an Article VI Advisory Body to a full Article XIV Management body). In addition to the three GEF-financed projects, there are other projects in the area. Nearly all of these are tied to the SAPPHIRE Project through the WIOSEA network of partners coordinated originally through the ASCLME. As additional partners come in to the WIOSEA, coordination will be even more effective.

Lastly, the SAPPHIRE project will also coordinate with other national and regional projects (financed by GEF or others) addressing MPAs in the region, especially once MPA demos are clearly identified. During the project preparatory stage, when we have better idea about the implementation timing of this project, a set of MPA related initiatives in WIO with which the project will collaborate will be identified.

## **B. Description of the consistency of the project with:**

B.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NCSAs, NIPs, PRSPs, NPFE, Biennial Update Reports, etc.

Primarily, the project is very consistent with the national Marine Ecosystem Diagnostic Analyses (developed during the ASCLME project) for each country which define capacity building and training needs, management gaps, policy shortfalls and requirements, etc.

This Project will build on these MEDAs by translating each of them into National Action Plans/Programmes consistent with the LME Management approach. In undertaking the detailed MEDA assessments and reports, all of the existing NAPAS, NAPs and NBSAP activities and commitments were taken into account. In this context, the MEDAs (and therefore the NAPs that will arise from them during this project) are a conglomerate of all of these commitments that relate to a national and regional ecosystem management strategy. In endorsing this PIF, the countries have confirmed in writing that it is consistent with each one's national strategies and plans.

## **B.2. GEF focal area and/or fund(s) strategies, eligibility criteria and priorities:**

This project is consistent with GEF's International Waters strategy as described in the Final GEF-5 Programming Document (GEF/R.5/25/CRP.1). Objective 2 aims to catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and LMEs while considering climatic variability and change. The proposed project is well-aligned with the outcomes and targets of Objective 2, in particular:

Outcome 2.1: Implementation of agreed Strategic Action Programmes incorporates ecosystem-based approaches to management of LMEs. ICM principles and policy-legal/institutional reforms adopted into national/local plans. The project focuses on the implementation of the WIO LME SAP that has been endorsed by all the WIO countries. The SAP is anchored on ecosystem-based approaches to the management of the WIO LME

Outcomes 2.2: Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability. The proposed management structure of the WIOSEA will address the needs for multi-lateral institutions and programmes of action to enhance fish stocks, encourage the implementation of the Code of Conduct for Responsible Fisheries, engage the fishing and mariculture industries in sustainable management solutions that provide profit to these stakeholders, while avoiding negative impacts on the ASCLME marine ecosystem. Similarly, the application of ecosystem-based management will apply to the Private Sector, in particular the oil and gas sector, which is expanding activities in the WIO LME region rapidly.

Outcome 2.3: Innovative solutions implemented for reduced pollution, rebuilding or protecting coastal fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measurable results. IW-Objective 2 is closely linked to protection of critical habitats through improving and/or establishing management plans and marine protected areas. Community scale demonstration projects will create replicable approaches to spatial zoning that deliver effective, sustainable ecosystem-based management. With the proposed Regional Monitoring Network, regular monitoring of the impacts of pollutants on habitats, surrounding

areas, and assessment of affected stakeholders will be covered and the project will utilize ecosystem-based approaches and adaptive management schemes to manage these transboundary water problems. The potential impacts of, and adaptation to, climate change will be embedded in the management actions directed towards ecosystem carrying capacity as the central theme of the project.

The project will also deliver additional outcomes such as enhanced community engagement, public awareness, strengthened stakeholder capacity to carry out actions, and institutional sustainability that ensures the SAP implementation and regional ecosystem monitoring will be self-sufficient in the long-term. The involvement of all coastal countries in the WIO will contribute to not only regional environment management but also regional food security, peace and stability.

### B.3 The GEF Agency's comparative advantage for implementing this project:

UNDP's Strategic Plan for 2008-2013 approved by the UNDP Executive Board includes Managing Energy and the Environment for Sustainable Development (Goal 4), and includes the outcome Strengthened national capacities to mainstream environment and energy concerns into national development plans and implementation systems. UNDP has taken further internal steps to operationalise the mainstreaming elements of the Strategic Plan at a subsidiary level through its Water Governance Strategy endorsed by the UNDP Management Group in 2007. The Water Governance Strategy includes as one of its three Strategic Priorities Regional and Global Cooperation and the associated Outcome, Enhanced regional and global cooperation, peace, security and socio-economic development through adaptive governance of shared water and marine resources, and the principal Output, Assist countries to develop and implement cooperation on transboundary waters through multi-country agreements on priority concerns, governance reforms, investments, legal frameworks, institutions and strategic action programmes.

Notably, UNDP's work on improving governance of shared water and ocean resources incorporates both freshwater and marine water bodies and has for some time applied a "ridge-to-reef" approach recognizing the freshwater-marine continuum and important linkages between upstream water and land management and the health and integrity of downstream coastal and marine ecosystems. The WIO LMEs, consisting of not one but three LMEs, represent an ideal setting for piloting and refining such basin-wide approaches to marine ecosystem restoration. Underscoring this approach is UNDP's poverty reduction mandate and commitment to preserving and enhancing food security and livelihoods of the nearly 100 million people who depend on healthy, functioning marine ecosystems like the WIO LMEs.

In managing its LME and transboundary fisheries programmes, UNDP's Ocean Governance Programme ([www.undp.org/water/ocean-coastal-governance.shtml](http://www.undp.org/water/ocean-coastal-governance.shtml)) draws on a wide range of staff expertise in marine ecosystems, fisheries and marine/coastal resources management at HQ, in its Regional Centres, and through its network of Country Offices. Senior advisors at HQ and in regional centres all have relevant Ph.D.'s (fisheries economics, marine biology, environmental management/policy, marine resource economics, etc.). UNDP's cumulative LME portfolio, working in 11 different LMEs in all 5 UNDP regions covering over 100 countries, represents \$528 m. in total financing from GEF, UNDP, governments, donor partners and others. This represents the largest investment of any kind in advancing the sustainable, integrated, ecosystem-based management of LMEs, from which over 85% of the world's fisheries are harvested, which contribute \$12.6 trillion/year in goods and services to the global economy, and which provide livelihoods for nearly half a billion people, many in the world's poorest countries.

In terms of implementing GEF IW projects, UNDP has consistently delivered results through a broad range of international transboundary water interventions including the high-level adoption of 17 SAPs (8 in LMEs), eight of which are currently being implemented. In addition to providing vital technical, financial and capacity building support for the establishment of the world's first post UN Fish Stocks conservation and management organization for highly migratory fish stocks, the Western and Central Pacific Fisheries Commission (WCPFC), UNDP has strengthened or established 20 multi-country marine/coastal, river and lake basin management agencies or commissions.

For SAP implementation, especially, UNDP's results on market transformation and assistance to countries to catalyze significant resources to implement priority activities using limited public funds as leverage have been codified in the recent publication, *Catalyzing Ocean Finance*. UNDP aims to replicate these experiences in Africa



through the WIO LME SAP implementation project.

In Africa, UNDP has been providing implementation services to a number of GEF-financed projects, working on four out of five African LMEs, and assisted the participating countries to build both institutional and technical capacity necessary for the sustainable LME management. Most notably, the Benguela Current Convention was signed in March 2013, creating a world first LME-based commission, after almost two decades of assistance provided by UNDP to the three countries to realize transboundary resources management with financial support from GEF.

UNDP also has a Strategy for Supporting Sustainable and Equitable Management of the Extractive Sector for Human Development (December 2012) and its Regional Bureau of Africa is initiating a regional project which aims to harness extracting industries for human development in Africa (2013-2014) to achieve inclusive, sustainable growth of the continent. These strategy and regional project provide potential entry points to bring oil & gas industries into national development strategies discussions and further into LME management at each participating countries. The project may also contribute to the countries' efforts to include off-shore extractive activities in future policy discussions related to extractive industries.

The UNDP is well positioned to continue to serve the role of coordination of the three proposed GEF projects for the WIO region, as requested by the countries. UNDP also has comparative advantage in supporting national policy reform process, on-ground implementation of coastal development planning and science-based governance of marine ecosystems.

### **PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**


#### **A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE**

**GOVERNMENT(S):** (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this template. For SGP, use this [OFP endorsement letter](#)).

<b>NAME</b>	<b>POSITION</b>	<b>MINISTRY</b>	<b>DATE (MM/dd/yyyy)</b>
Comoros	PENDING		
Ali D. Mohamed, CBS. Kenya	Permanent Secretary and GEF OFP	Ministry of Environment, Water & Natural Resources	21 <sup>st</sup> May 2013
Christine Ralalaharisoa - Madagascar	Director-General and GEF OFP	Ministry of Environment and Forests	16 <sup>th</sup> May 2013
Mr Ali Mansour - Mauritius	Financial Secretary and GEF OFP	Ministry of Finance and Economic Development	8 <sup>th</sup> July 2013
Ms Marilia Telma Antonio Manjate - Mozambique	GEF OFP	Ministry of the Coordination of Environmental Affairs	14 <sup>th</sup> June 2013
Didier Dogley - Seychelles	GEF OFP	Ministry of Environment and Energy	6 <sup>th</sup> May 2013
Ahmed Mohamed Iman - Somalia	Director General – Fisheries & Environment. GEF OFP	Ministry of Natural Resources	8 <sup>th</sup> May 2013
Zaheer Fakir - South Africa	Chief Policy Advisor, International Relations and Relations and GEF OFP	Ministry of Water and Environmental Affairs	19 <sup>th</sup> June 2013
Dr. Julius Ningu - Tanzania	pp. Permanent Secretary	Vice-President's Office	21 <sup>st</sup> May 2013

**B. GEF AGENCY(IES) CERTIFICATION**

**This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for project identification and preparation.**

<b>Agency Coordinator, Agency name</b>	<b>Signature</b>	<b>DATE</b> <i>(MM/dd/yyyy)</i>	<b>Project Contact Person</b>	<b>Telephone</b>	<b>Email Address</b>
Adriana Dinu, UNDP-GEF Deputy Executive Coordinator and OIC		2 August 2013	Akiko Yamamoto	251-115- 170707	Akiko.yamamoto@undp.org

## **Annex 1: The Strategic Action Programme Management Boundary Description (taken from the SAP Document)**

### **Landward (western) boundary**

Discharges from major rivers do have an impact on the ASCLME region, and particularly on the quality of its inshore waters. Major cities in mainland Africa have a significant polluting effect in the coastal zone. With this in mind, land based influences have been considered in this TDA and in the SAP in order to ensure a comprehensive ecosystem approach to problem analysis, but it is acknowledged that land-based issues are being addressed by the WIO-LaB TDA and SAP, so information provided in this document will be used to validate / complement the WIO-LaB products and the Land-Based Sources and Activities Protocol.

### **Eastern boundary**

Approximately 67 degrees East to include the EEZs of all the major western Indian Ocean island states, the South Equatorial Current and the Central Indian Ocean Ridge.

### **Southern boundary**

Approximately 42 degrees South and approximately 20 degrees East to include the Agulhas Current region, as well as the Agulhas Return Current. The important seamounts of the SWIO are included, but not the EEZs of South Africa and France in the Southern Ocean.

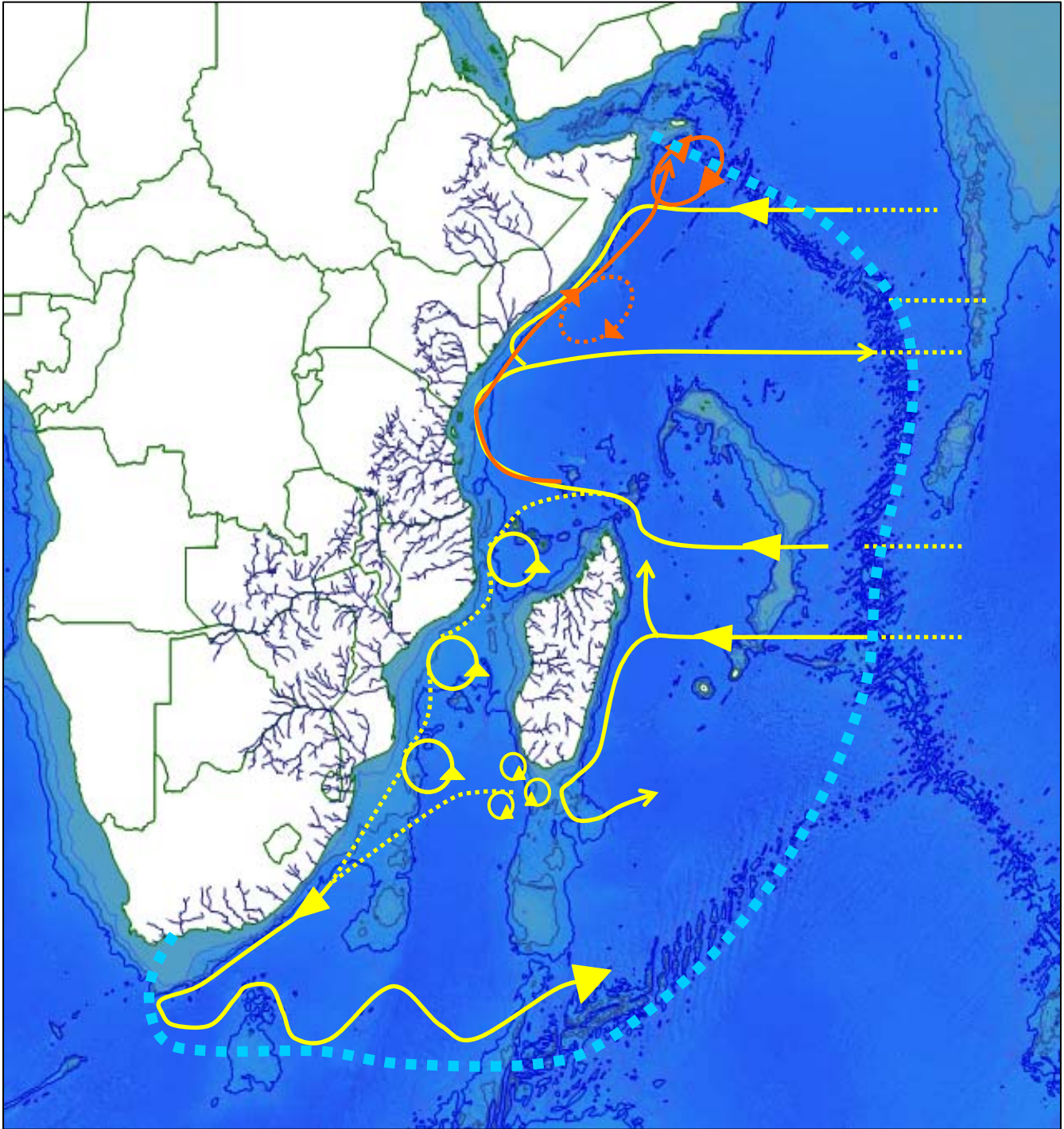
### **Northern Boundary**

10 degrees north, to include the Somali current, offshore upwelling and great whirl, but excludes the EEZ of Yemen.

The southern boundary is dynamic, changing with the Agulhas retroflexion and leakage of Indian Ocean water into the South Atlantic. 27 degrees East was taken as the BCLME boundary, and although there is an overlap with the stated ASCLME boundary here, this is to be expected given the exchange of water and biota between the systems.

Although these boundaries are chosen to facilitate a pragmatic ecosystem approach to management in the region, connections in surface and deep ocean circulation exist to the East, with the eastern Indian Ocean, to the southwest with the Atlantic Ocean (BCLME), to the North with the Arabian Sea and to the north-east with the Bay of Bengal (BOBLME).

It should be noted that this boundary does not represent any LME boundary but, in fact, defines the management area for several LMEs within the Western Indian Ocean that will be managed under a single Strategic Action Programme approach which relates more appropriately to existing and working geopolitical agreements and partnerships.



**Figure 1:** The provisional management boundary for the LMEs of the WIO region. A detailed discussion of ocean currents is presented in the Transboundary Diagnostic Analysis