



REQUEST FOR CEO ENDORSEMENT/APPROVAL
PROJECT TYPE: Full-sized Project
THE GEF TRUST FUND

Submission Date: 31 March 2008
Re-submission Date: 4 December 2008

PART I: PROJECT INFORMATION

GEFSEC PROJECT ID: 3305

GEF AGENCY PROJECT ID: 3849

COUNTRY(IES): Angola, Namibia, South Africa

PROJECT TITLE: Implementation of the Benguela Current LME Strategic Action Program for Restoring Depleted Fisheries and Reducing Coastal Resources Degradation

GEF AGENCY(IES): UNDP

OTHER EXECUTING PARTNER(S): UNOPS

GEF FOCAL AREA(S): International Waters

GEF-4 STRATEGIC PROGRAM(S): SP-1: Restoring and sustaining coastal and marine fish stocks and associated biological diversity

NAME OF PARENT PROGRAM/UMBRELLA PROJECT:

Expected Calendar	
Milestones	Dates
Work Program (for FSP)	15 Nov 2007
GEF Agency Approval	28 Feb 2009
Implementation Start	1 Mar 2009
Mid-term Review (if planned)	1 Feb 2011
Implementation Completion	28 Feb 2013

A. PROJECT FRAMEWORK (Expand table as necessary)

Project Goal: The overall reduction in degradation of the BCLME, with emphasis on the restoration of its depleted fisheries, through effective implementation and long-term sustainability of the BCLME SAP. **Project Objective:** The implementation of the BCLME SAP through the adoption of national policy reforms, the sustainable institutionalisation of a regional Commission, and the endorsement and ratification of a binding international Treaty for the LME.

Project Components	Invest., TA, or STA***	Expected Outcomes	Expected Outputs	GEF Financing*		Co-financing*		Total (\$)
				\$	%	\$	%	
1. A Benguela Current Commission infrastructure and associated Treaty	TA	1.1 Adoption of a Formal Regional Structure for a Benguela Current Commission based on Interim BCC experiences.	1.1.1 An established and permanent Commission with all requisite regional structures in place and responsibilities defined. 1.1.2 Regional strategies for national policy and legislative realignment and harmonisation to reflect a transboundary management approach of the LME and its fisheries 1.1.3 Adoption of a standardised regional monitoring and assessment Program for the LME for distribution to (and adoption by) the countries 1.1.4 Overall monitoring of Project Performance (linked to the regional and national monitoring and assessment Programs) feeding into best practices and lessons learned under 4.1 below. 1.1.5 Identification and work plan for further studies related to understanding of the LME, its fish populations, and associated habitats and key species.	1,195,623	5%	23,274,346	95%	\$24,469,969

		1.2 Negotiation and Formal Signature of a Regional Multilateral Binding Agreement	<p>1.2.1 Review of BCC structure and function under Interim Agreement in order to finalise formal commitments within Treaty</p> <p>1.2.2 Review and ‘Gaps-Analysis’ of original SAP</p> <p>1.2.3 Negotiation and Adoption of a Regional Action Programme (evolved from the SAP) for inclusion in a binding regional LME Treaty</p> <p>1.2.4 Signature and ratification of a binding regional LME Treaty</p> <p>1.2.5 Ratification of selected Protocols relating to specific Codes of Conduct, Guidelines and Agreements (see above)</p>					
2. National Level Policy, Legislative and Management Reforms	TA	2.1 Establishment of National Structures in support of a Benguela Current Commission.	<p>2.1.1 A designated BCLME National Coordinating Ministry with an appropriate NFI and requisite dedicated staff to support the BCLME SAP IMP Project and the BCC at the national level.</p> <p>2.1.2 A National BCLME Stakeholder Group with defined ToRs (following guidelines from the Commission) and with comprehensive and appropriate participation</p> <p>2.1.3 Annual Reports to the Commission from each NFI describing national activities related to effective BCLME management (particularly policy, legislative or management process amendments)</p>	947,800	4%	21,431,914	96 %	\$22,379,714
		2.2 Enactment of National Policy and Legislative Reforms	<p>2.2.1 NAPs for each country that specify requisite national policy and legislative realignment and reforms, and define how and when these will be delivered nationally (capturing linkages to NEAPS, NBSAPS and relevant MEAs).</p> <p>2.2.2 Ratification of appropriate MEAs related to the LME and to transboundary fisheries management</p> <p>2.2.3 Verified policy and management realignment as per BCC directives</p> <p>2.2.4 Adoption of BCC directives on Standardised Ecosystem-Focused Monitoring into a national monitoring Program as part of the NAP contribution to transboundary LME/fisheries management</p>					

3. Sustainable Capacity for LME Management	TA	3.1 Implementation of a Training and Capacity Building Strategy.	<p>3.1.1 Hiring of a Regional Training Coordinator (funded by Iceland)</p> <p>3.1.2 Appointment of National (inter-ministerial) Training Coordinators (by each country)</p> <p>3.1.3 Finalisation and formal adoption by BCC of 3-Year regional work plan for BCLME TCB</p> <p>3.1.4 National adoption of work plan requirements into NAP as appropriate</p> <p>3.1.5 Completion of National TCB work plans</p> <p>3.1.6 Review and assessment of TCB work plans and development of next 3-year phase</p> <p>3.1.6 An Independent Professional Skills audit leading to the development of a Regional Human Resources Strategy (funded by Iceland)</p> <p>3.1.7 Creation of a Regional Professional Association of Marine Experts and Specialists</p> <p>3.1.8 A mechanism for regional skills sharing and deployment allied with strategic institutional partnership agreements and an international 'mentoring' Program</p> <p>3.1.9 A Program delivering specialised in-service short-course training</p>	1,559,190	10 %	13,357,454	90 %	\$14,916,644
		3.2 Generation of Financial Mechanisms at the National and Regional Level to support the LME Management Approach.	<p>3.2.1 A formally adopted 5-year sustainable funding Program for the regional BCC structure in support of an EAF restoration and sustainability</p> <p>3.2.2 A nationally-approved 5-year sustainable funding Program to support all requisite national structures and NAP delivery</p> <p>3.2.3 These agreements to be annexed to the formally ratified Treaty and to the nationally-approved NAPs respectively as 'committed' agreements</p>					

<p>3.3 Evolution of Partnership Agreements for the LME Management Approach.</p>	<p>3.3.1 A 5-year BCLME Regional Partnership Matrix with associated ToRs defining roles and relationships</p> <p>3.3.2 Bilateral/ multilateral MoUs/ LoAs annexed to this Partnership Matrix and providing full endorsement to appropriate partnerships, actions, funding, etc.</p> <p>3.3.3 National Partnership Agreements defined within NAPs and with annexed MoUs/ LoAs (as above)</p> <p>3.3.4 Clear public involvement defined within the Partnership Matrix and National Agreements, particularly in reference to Community contribution and inputs</p>
<p>3.4 Coordination and Management of Stakeholder Participation</p>	<p>3.4.1 Established procedures for email, fax and mail communications with stakeholders</p> <p>3.4.2 Initial Symposium for new stakeholders</p> <p>3.4.3 Sectoral working groups and ‘lessons-learned’ meetings for major resources users and managers established and meeting regularly</p> <p>3.4.4 Establishment of a Fund to facilitate stakeholder participation</p> <p>3.4.5 Partnerships established between different stakeholders for TCB (linked to the overall BCC TCB Strategy)</p>

4. Capture and Networking of Knowledge and Best Practices	TA	4.1 Establishment of Procedures for the Capture, Transfer and Replication of Knowledge, Lessons and Best Practices.	<p>4.1.1 Information critical to management and policy issues within the BCC suitably packaged and targeted at appropriate sectors and levels.</p> <p>4.1.2 Examples and case studies of best practices and lessons defined annually by MACs and distributed as appropriate</p> <p>4.1.3 A web-based information sharing tools and mechanisms established</p> <p>4.1.4 Examples and case studies from external LMEs and other sustainable fisheries initiatives captured by the BCC Secretariat and distributed as appropriate, primarily as part of the proposed Management Guidelines that will be distributed to the national institutes</p> <p>4.1.5 Capture of these best practices and lessons within TCB Review and work plan</p> <p>4.1.6 Assessment of use of best practices and lessons by BCC Secretariat for presentation to Management Board (annually)</p>	946,007	20 %	3,819,621	80 %	\$4,765,628
		4.2 Development of Networking Partnerships with other LMEs	<p>4.2.1 A formal LME networking process developed and implemented between the African LMEs to include at least biennial meetings for information sharing and discussion</p> <p>4.2.2 Global networking sites created on-line and linked through IW:LEARN</p> <p>4.2.3 Formal linkages and agreements between BCLME (to include other African LMEs where possible and appropriate) and GOOS</p>					
Project Management				489,840	6%	7,063,000	94 %	\$7,552,840
PROJECT TOTAL BUDGET				5,138,460	7%	68,946,335	93 %	\$74,084,795

* List the \$ by project components. The percentage is the share of GEF and Co-financing respectively to the total amount for the component.

** TA = Technical Assistance; STA = Scientific & technical analysis.

B. FINANCING PLAN SUMMARY FOR THE PROJECT (\$)

	<i>Project Preparation*</i>	<i>Project</i>	<i>Agency Fee</i>	<i>Total at CEO Endorsement</i>	<i>For the record: Total at PIF</i>
GEF	310,450	5,138,460	544,891	5,993,801	5,993,801
Co-financing	122,800	68,946,335		68,946,335	69,069,135
Total	433,250	74,084,795	544,891	74,940,136	75,062,936

* Please include the previously approved PDFs and PPG, if any. Indicate the amount already approved as footnote here and if the GEF funding is from GEF-3. Provide the status of implementation and use of fund for the project preparation grant in Annex D.

PPG has been approved (USD310,450) from GEF-4 and it is 100% committed by the time of the submission of the CEO endorsement request. The details of the status and the use of PPG are shown in the Annex D.

C. SOURCES OF CONFIRMED CO-FINANCING, including co-financing for project preparation for both the PDFs and PPG. (expand the table line items as necessary)

Confirmed co-financing for the PPG

<i>Name of co-financier (source)</i>	<i>Classification</i>	<i>Type</i>	<i>Amount (\$)</i>	<i>%</i>
Angola	Nat'l Gov't	Grant	\$4,000	3%
Angola	Nat'l Gov't	In-kind	\$11,000	9%
Namibia	Nat'l Gov't	Grant	\$7,500	6%
Namibia	Nat'l Gov't	In-kind	\$11,800	10%
South Africa	Nat'l Gov't	Grant	\$2,000	2%
South Africa	Nat'l Gov't	In-kind	\$8,500	7%
UNDP	Impl. Agency	Grant	\$51,500	42%
UNDP	Impl. Agency	In-kind	\$6,000	5%
IKM for DLIST	NGO	Grant	\$6,000	5%
Fishing Industry	Public Sector	In-kind	\$2,500	2%
NORAD	Bilat. Agency	In-kind	\$4,000	3%
BENEFIT	Multilat. Agency	In-kind	\$8,000	7%
Total Co-financing			122,800	100%

Confirmed co-financing for the Project

Name of co-financier	Classification	Type	Amount	%
Angola	Nat'l Govt	In-kind	\$707,867	1.03%
Angola	Nat'l Govt	Grant	\$8,307,740	12.05%
Namibia	Nat'l Govt	In-kind	\$707,867	1.03%
Namibia	Nat'l Govt	Grant	\$32,189,458	46.69%
South Africa	Nat'l Govt	In-kind	\$707,867	1.03%
South Africa	Nat'l Govt	Grant	\$16,674,185	24.18%
Bilateral funding - Norway and Iceland (cash)	Bilat Agency	Grant	\$9,300,000	13.49%
IKM - includes DLIST, EcoAfrica, etc. (cash)	NGO	Grant	\$351,352	0.51%
TOTAL Co-financing			\$68,946,335	100.00%

* Percentage of each co-financier's contribution at CEO endorsement to total co-financing.

In addition to the confirmed co-financing shown above, an associated financing will be available from UNDP to the project from the Third Regional Program for Africa (2008-2011). The Third Regional Program for Africa (2008-2011) has a budget allocation of USD 21million for its 4th Focal Area: Energy, Environment and Sustainable Development. Under the Focal Area, "Regional mechanisms for managing shared environmental resources" is listed as one of the three Program outputs. This project is listed as one of the two interventions¹ supported by the Third Regional Program for Africa that promote the effective regional water governance for the maximization of the benefits of public regional goods through regional and sub-regional interventions in

¹ The other intervention is the sustainable management of the Orange-Senqu River transboundary basin.

Southern Africa. The funding will be used to create knowledge networks and policy guidance at regional level in Africa for transboundary water governance. This associated financing is expected to come on stream in 2009.

Furthermore, UNDP is currently engaging in discussions with the Government of Angola on the following potential areas of interventions in the next Country Program cycle (2009-2012):

- Coastal zone management for the sustainable management of the natural resources both on shore and off shore, especially where freshwater meets the ocean (Cuanza River, Kunene River).
- Sustainable coastal tourism development, leading to poverty alleviation and sustainable utilization of natural resources in the coastal area.
- Sustainable management/operation of off shore operations (mainly oil production), including policy and institutional support to establish and operationalize Strategic Environmental Assessment framework.

Once accepted by the Government of Angola, funds allocated from UNDP to support any of the intervention proposed above will be considered as UNDP co-financing as such intervention(s) will contribute to the achievement of the objective of this project.

D. GEF RESOURCES REQUESTED BY FOCAL AREA(S), AGENCY(IES) OR COUNTRY(IES)

<i>GEF Agency</i>	<i>Focal Area</i>	<i>Country Name/ Global</i>	<i>(in \$)</i>			
			<i>Project Preparation</i>	<i>Project</i>	<i>Agency Fee</i>	<i>Total</i>
UNDP	International Waters	Regional (Angola, Namibia, South Africa)	310,450	5,138,460	544,891	5,993,801
Total GEF Resources			310,450	5,138,460	544,891	5,993,801

* No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

E. PROJECT MANAGEMENT BUDGET/COST

<i>Project Management</i>	<i>Total Estimated person weeks</i>	<i>GEF (\$)</i>	<i>Other sources (\$)</i>	<i>Project total (\$)</i>
Personnel (in-kind)	2,000	0	2,800,000	2,800,000
National Consultants*	560	56,250	502,000	558,250
International Consultants*	278	52,800	780,000	832,800
Office facilities, equipment, vehicles and communication**		0	1,700,000	1,700,000
Travel**		0	537,000	537,000
Executing Agency Support Costs		380,790	0	380,790
UNDP F&A Fee (8% of co-financing administered by UNDP. Not applicable to GEF funding)		0	744,000	744,000
Total	2,838	489,840	7,063,000	7,552,840

* Provide detailed information regarding the consultants in Annex C.

** Provide detailed information and justification for these line items.

F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

<i>Technical Assistance</i>	<i>Total Estimated person weeks</i>	<i>GEF (\$)</i>	<i>Other sources (\$)</i>	<i>Project total (\$)</i>
National Consultants	3,500	1,168,400	3,002,100	4,170,500
International Consultants	510	658,800	863,000	1,521,800
Total	4,010	1,827,200	3,865,100	5,692,300

* Provide detailed information regarding the consultants in Annex C.

G. DESCRIBE THE BUDGETED M&E PLAN:

Project Inception Phase

A Project Inception Meeting will be conducted with the full project team, relevant government counterparts and National Focal Points, any co-financing partners, and representation from UNDP and GEF as appropriate.

A fundamental objective of this Inception Meeting will be to assist the Project team to understand and take ownership of the Project's goals and objectives, as well as to provide guidance on the preparation and content of the Project's first Annual Work Plan² (AWP) on the basis of the Project's logframe matrix. This will include reviewing the logframe (performance indicators, means of verification, assumptions) and on the basis of this exercise finalize the AWP with precise and measurable performance indicators and in a manner consistent with the expected outcomes for the Project.

Additionally, the purpose and objective of the Inception Meeting will be to: (i) introduce the various stakeholders to the Project team which will support the project during its implementation and to the NFI's staff; (ii) detail the roles, support services and complementary responsibilities of UNDP and the PMU staff *vis-à-vis* the project team; (iii) provide a detailed overview of UNDP/GEF reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the annual Project Implementation Reviews (PIRs) and related documentation, Tripartite Review (TPR) Meetings, as well as mid-term and final evaluations. Equally, the Inception Meeting will provide an opportunity to inform the project team on UNDP project-related budgetary planning, budget reviews, and mandatory budget re-phasing.

The Inception Meeting will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the Project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference (ToR) for Project staff and decision-making structures will be discussed again, as needed, in order to clarify for all, each party's responsibilities during the project's implementation phase. Of particular importance will be the need to clarify the relationship between the PMU (and its UNDP/ GEF-funded Project staff) and the BCC/ Secretariat.

Furthermore, the Inception Meeting will clarify the requirement for developing International Waters (IW) Environmental and Socio-economic Status indicators as an early stakeholder activity to complement the existing Process indicators and Stress Reduction indicators included in this M&E Framework (see Annex III). The stakeholders have specifically identified the need to undertake this task with particular consideration being given to ensuring an adaptive management approach that focuses on indicators that are flexible enough to take account of the high level of environmental variability within the BCLME. The stakeholders have also identified the need to ensure that the indicators are selected with due consideration being given to the monitoring and data capture capacity of the 3 countries.

Monitoring Responsibility and Events

The Inception Meeting will present a Schedule of M&E-related meetings and reports. This will have been developed by the Project Manager/ Advisor in consultation with UNDP. Such a schedule will include: (i) tentative time frames for Tripartite Reviews, Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related M&E activities. *Day to day monitoring of implementation progress* will be the responsibility of the Project Manager/ Advisor based on the Project's AWP and its indicators. The Project team will inform UNDP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

The Project Manager/ Advisor will fine-tune the progress and performance/ impact indicators of the Project in consultation with the full Project team at the Inception Meeting with support from UNDP. Specific targets for the first year's implementation performance indicators together with their means of verification will be developed at this Meeting. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the AWP. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the Project team, and agreed with the EA and IA.

Periodic monitoring of implementation progress will be undertaken by UNDP through the provision of quarterly reports from the PMU. Furthermore, specific meetings can be scheduled between the Project team, the UNDP and other pertinent stakeholders as deemed appropriate and relevant (e.g. Steering Committee members, Focal Points, Co-funding partners, etc). Such meetings will allow parties to take stock and to troubleshoot any problems pertaining to the Project in a timely fashion to ensure smooth implementation of project activities. A Report from any such meetings will be prepared by the Project team in coordination with UNDP, and circulated (no later than 14 days after the meeting) to the appropriate recipients.

² The AWP will be developed in accordance and close reference of the TBWP included in the Prodoc.

Annual Monitoring will occur through the **Tripartite Review³ (TPR)**. This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The Project will be subject to Tripartite Review (TPR) at least once every year. The first such meeting will be held within the first twelve months following the Inception Meeting. The project proponent will prepare an Annual Progress Report⁴ (APR), which includes the IW Results Template (see below), and submit it to UNDP at least two weeks prior to the TPR for review and comments.

The APR will be used as one of the basic documents for discussions in the TPR meeting. The Project Manager/ Advisor and team will present the APR to the TPR, highlighting policy issues and recommendations for the decision of the TPR participants. The Project Manager/ Advisor and team will also inform the participants of any agreement reached by stakeholders during the APR preparation on how to resolve operational issues. Separate reviews of each project component may also be conducted if necessary. The IW Results Template should provide clear definition of which IW Indicator requirements have been met along with verification.

Terminal Tripartite Review (TTR)

The TTR is held in the last month of project operations. The Project Manager/ Advisor is responsible for preparing the Terminal Report (see below) to be submitted to UNDP as per UN regulations. It shall be prepared in draft at least two months in advance of the TTR in order to allow review, and will serve as the basis for discussions in the TTR. The TTR considers the implementation of the Project as a whole, paying particular attention to whether the Project has achieved its stated objectives and contributed to the broader environmental objective. It decides whether any actions are still necessary, particularly in relation to sustainability of Project results, and acts as a vehicle through which best practices and lessons learned can be captured to feed into other projects under implementation or formulation. The TTR should refer to the independent Final Evaluation (FE) report, conclusions and recommendations as appropriate.

Project Monitoring and Reporting

The Project Manager/ Advisor in conjunction with the Project extended team (PMU staff, UNDP Task Manager, National UNDP representatives) will be responsible for the preparation and submission of the following reports that form part of the monitoring process. Items (a) through (e) are mandatory and strictly related to monitoring, while (f) and (g) have a broader function and the frequency and nature is project specific to be defined throughout implementation.

(a) Inception Report (IR)

A Project Inception Report will be prepared immediately following the Inception Meeting. It will include a detailed First Year Work Plan divided in quarterly timeframes detailing the activities and progress indicators that will guide implementation during the first year of the Project. This Work Plan will include the proposed dates for any visits and/ or support missions from UNDP or consultants, as well as timeframes for meetings of the Project's decision making structures. The Report will also include the detailed Project Budget for the first full year of implementation, prepared on the basis of the first AWP, and including any M&E requirements to effectively measure project performance during the targeted 12 months time-frame.

The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation, including any unforeseen or newly arisen constraints. When finalized, the report will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. UNDP will review the document prior to its wider circulation to ensure it conforms to UN Rules and Regulations as per UNDP's responsibility to GEF.

(b) Quarterly Progress Report (QPR) and (c) Project Implementation Review (PIR)

The QPR is a self-assessment report by project management to the UNDP Office and provides them with input to the reporting process as well as forming a key input to the TPR. The APR/PIR⁵ is an annual monitoring process mandated by the GEF, to be

³ One Steering Committee meeting per year will perform the function of TPR. The TPR will be conducted in line with the annual joint UNDAF Review process of the lead UNDP CO, and in accordance with the UN harmonisation procedures.

⁴ An Annual Progress Report (APR), a key annual monitoring tool required by UNDP, and a Project Implementation Review (PIR), a key annual monitoring tool required by GEF, have been merged into one reporting system (and format) for all UNDP/GEF projects. The IW Results Template is an integral part of the PIR for all GEF IW projects.

⁵ As indicated in the footnote 20, the format and the reporting system of the APR (UNDP requirement) and PIR (GEF requirement) have merged and streamlined into one process. Thus, this key annual reporting tool will be referred to an APR/PIR.

overseen by the UNDP Task Manager and to be undertaken by the PMU; it has become an essential monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects.

An APR/PIR is prepared on an annual basis following the first 12 months of project implementation and prior to the TPR. The purpose of the APR/PIR is to reflect progress achieved in meeting the project's AWP and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The APR/PIR is discussed in the TPR so that the resultant report represents a document that has been agreed upon by all of the primary stakeholders.

The items in the APR/PIR to be provided by UNDP/ GEF include the following:

- An analysis of project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome
- In particular, a completed IW Results Template defining project achievements or shortfalls in meeting IW indicator targets
- The constraints experienced in the progress towards results and the reasons for these
- The three (at most) major constraints to achievement of results
- AWP and related expenditure reports
- Updates of Co-financing figures realized
- Lessons learned
- Clear recommendations for future orientation in addressing key problems in lack of progress

UNDP analyzes the individual APR/PIRs by focal area, theme and region for common issues/results and lessons. The Report is also valuable for the Independent Evaluators who can utilise them to identify any changes in project structure, indicators, etc. and view a past history of delivery and assessment.

(d) Periodic Thematic Reports

As and when called for by UNDP or other stakeholders, and when deemed appropriate, the project team will prepare Thematic Reports, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the project team in written form, will be cleared through UNDP, and will clearly state the issue or activities that need to be reported on. Thematic Reports can be used as a form of lessons learned exercise, specific oversight in key areas, or as trouble-shooting exercises to evaluate and overcome obstacles and difficulties encountered. Stakeholders are requested to minimize their requests for Thematic Reports and when such are necessary will allow reasonable timeframes for their preparation by the project team.

(e) Project Terminal Report

During the last three months of the project the project team will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learned, objectives met, or not achieved, structure and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project's activities.

(f) Technical Reports

Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent reports. Technical Reports may also be prepared by external consultants and should be comprehensive, specialized analyses of clearly defined areas of research within the framework of the project and its sites. These technical reports will represent, as appropriate, the project's substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national and international levels.

(g) Project Publications

Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific, technical or informational texts on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. These publications can be based on Technical Reports, depending upon the relevance, scientific worth, etc. of these Reports, or may be summaries or compilations of a series of Technical Reports and other research. The project team will determine if any of the Technical Reports merit formal publication, and will also, in consultation with UNDP, the governments and other relevant stakeholder groups, plan and produce these publications in a consistent and recognizable format. Any publications need prior clearance from UNDP. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

In order to accord proper acknowledgement to GEF for providing funding, a GEF should appear on all relevant GEF project publications, including among others, project hardware and vehicles purchased with GEF funds. Any citation on publications regarding projects funded by GEF should also accord proper acknowledgment to GEF. The UNDP logo should be more prominent - and separated from the GEF logo if possible, as UN visibility is important for security purposes.

Independent Evaluation

The project will be subjected to at least two independent external evaluations as follows:

(i) Mid-term Evaluation (MTE)

An independent Mid-Term Evaluation will be undertaken at the end of the second year of implementation. The MTE will determine progress being made towards the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, ToR and timing of the MTE will be decided after consultation between the parties to the project document. The ToR for this MTE will be prepared by UNDP.

(ii) Final Evaluation

An Independent Final Evaluation will take place three months prior to the terminal TPR meeting, and will focus on the same issues as the MTE. The final evaluation will also look at impact and sustainability of results, including the contributor capacity development and the achievement of global environmental goals. The Final Evaluation should also provide recommendations for follow-up activities. The ToR for the Final Evaluation will be prepared by UNDP in line with the GEF evaluation requirements.

Learning and Knowledge Sharing

Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums (with specific consideration being given to DLIST as a Project internal mechanism and IW:LEARN as a more global mechanism). In addition:

- ◆ The project will participate, as relevant and appropriate, in UNDP/ GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics. UNDP/ GEF shall establish a number of networks, such as integrated ecosystem management, eco-tourism, co-management, etc, that will largely function on the basis of an electronic platform.
- ◆ The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/ or any other networks, which may be of benefit to project implementation through lessons learned.

The project will identify, analyse, and share lessons learned that might be beneficial for project under implementation or in the design and implementation of similar future projects. Identifying and analysing lessons learned is an on-going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UNDP/ GEF shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. To this end a percentage of project resources will need to be allocated for these activities.

Type of M&E activity	Responsible Parties	Budget (US\$) <i>Excluding project team Staff time</i>	Time frame
Inception Meeting	<ul style="list-style-type: none"> ▪ Project Manager/ Advisor ▪ UNDP CO ▪ UNDP/ GEF 	\$50,000 (under Travel/ DSA)	Within first two months of project start up
Inception Report	<ul style="list-style-type: none"> ▪ Project Team ▪ UNDP CO 	None	Immediately following Inception Meeting
Measurement & Verification	<ul style="list-style-type: none"> ▪ Oversight by Project 	\$100,000 Included as part of	Start, mid and end of

for IW Indicators and Project Progress performance Indicators	<ul style="list-style-type: none"> ▪ GEF Technical Advisor and Project Manager/ Advisor ▪ Measurements by regional field officers and local IAs 	Output 1.1 and 2.1 activity funding (Under Sub-contracts 2.1)	project
PIR	<ul style="list-style-type: none"> ▪ Project Team ▪ UNDP CO ▪ UNDP/ GEF 	None	Annually
TPR and TPR report	<ul style="list-style-type: none"> ▪ Government Counterparts ▪ UNDP CO ▪ Project team ▪ UNDP/ GEF Regional Coordinating Unit (RCU) 	None	Every year, upon receipt of APR
Steering Committee Meetings	<ul style="list-style-type: none"> ▪ Project Manager/ Advisor ▪ UNDP CO 	None	Following Inception and subsequently at least once a year
Periodic status reports	<ul style="list-style-type: none"> ▪ Project team 	\$5,000 (under Miscellaneous)	To be determined by Project team and UNDP CO
Technical reports	<ul style="list-style-type: none"> ▪ Project team ▪ Hired consultants as needed 	\$10,000 (under Miscellaneous)	To be determined by Project Team and UNDP CO
Mid-term (External) Evaluation (MTE)	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP CO ▪ UNDP/ GEF RCU ▪ External (i.e. evaluation team) 	\$39,400 (under Personnel and Travel/ DSA)	At the mid-point of project implementation.
Final External Evaluation	<ul style="list-style-type: none"> ▪ Project team, ▪ UNDP CO ▪ UNDP/ GEF RCU ▪ External (i.e. evaluation team) 	\$39,400 (under Personnel and Travel/ DSA)	At the end of project implementation
Terminal Report	<ul style="list-style-type: none"> ▪ Project team ▪ UNDP CO ▪ External Consultant 	None	At least one month before the end of the project
Lessons learned	<ul style="list-style-type: none"> ▪ Project team ▪ Consultancies ▪ UNDP/ GEF RCU (suggested formats for documenting best practices, etc) ▪ BCC Management Board and MACs 	\$100,000 (under Output 4.1)	Yearly
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project team 	4,000 - average \$1000 per year. (under Travel/ DSA)	Yearly
Visits to field sites (UNDP staff travel costs to be charged to IA fees)	<ul style="list-style-type: none"> ▪ UNDP Country Offices ▪ UNDP/ GEF RCU (as appropriate) ▪ Government representatives 	15,000 - (excluding UNDP staff travel costs, which will be charged to IA fees)	Yearly (average one visit per year.)
TOTAL INDICATIVE COST			
<ul style="list-style-type: none"> ▪ <i>Excluding project team staff time and UNDP staff and travel expenses</i> 		US\$ 362,800	

PART II: PROJECT JUSTIFICATION

A. DESCRIBE THE PROJECT RATIONALE AND THE EXPECTED MEASURABLE GLOBAL ENVIRONMENTAL BENEFITS:

GEF 4's Strategic Program 1 identifies the now-serious problem of depletion of fish stocks through over-fishing and non-selective and/or destructive fishing practices. Under the GEF 4 Interim Strategy and Priorities for International Waters (IW), Strategic Objective (SO) 2 aims to play a catalytic role in addressing transboundary water concerns by assisting countries to utilize the full range of technical assistance, economic, financial, regulatory and institutional reforms that are needed, including active leveraging of co-financing.

This represents a serious transboundary problem for Angola, Namibia and South Africa, as well as a global concern requiring multilateral action and assistance. GEF 4 has recognised that the global impact of the decline in fish stocks and associated destructive fishing practices is having long-term and chronic implications in terms of depletion of species and biodiversity alongside an overall loss of ecosystem integrity, stability and function. The BCLME represents one of the most productive LMEs in the world, yet it is also one that is experiencing increasing pressure on its fisheries and on the transboundary ecosystem as a whole.

However, the BCLME Program is approaching a critical juncture wherein the successful first stage of partnership development and the advancements in knowledge and understanding of the LME and its components need to be translated into both national and regional transboundary ecosystem management procedures and mechanisms. This needs to be achieved essentially through implementation of the Strategic Action Program (SAP) (particularly in term of policy, legislative and management reforms) as part of the adoption of the Interim BCLME Agreement, the creation of the BCC, and evolution and development of a full multilateral Treaty. This strategy of using foundational processes to support and stimulate political commitment and collective action which can then deliver policy, legislative and institutional reforms is in line with the aims of the GEF 4 Strategic Programs (SPs). This next stage is critical if the overall intent of adopting a sustainable and effective LME management strategy is to be realised. There is a genuine risk that this momentum could be lost and that the existing partnerships could unravel if the successes and achievements made so far are not consolidated and stabilised through permanent mechanisms, structures and agreements. There is a strong political willingness and commitment to identify and adopt such a permanent strategy with its associated infrastructure and formal agreements, but politicians and their advisors are understandably cautious and need to feel assured that any such long-term commitments and binding arrangements are workable and practicable. This is particularly important to the three participating countries in view of the fact that such an innovative LME management approach has not been tried before and that the BCLME Program will be very much a testing-ground for such a strategy. Consequently, there is a positive intent to move forward but there is also a strong determination that this should be undertaken in a flexible and transparent manner that serves to build the valuable and essential trust and partnerships that are the mark of success of the earlier stages of the BCLME Program, and which will provide the strong foundation for a Commission and associated Treaty, while easing the passage for requisite national reforms and national political understanding and support for the entire LME process. In this context, the countries have demonstrated and continue to demonstrate growing commitment and determination to adopt an LME management approach, yet there are still outstanding issues and concerns that need the guidance and support of outside agencies such as GEF and other donors.

The BCLME SAP IMP Project will aim to restore depleted fisheries and reduce coastal resource degradation within one of the world's most commercially important and strategic LMEs, demonstrating global benefits to conservancy and resources management. The Project will be primarily addressing the LME module on Fish and Fisheries, as living marine resources are the principle area of concern to the countries. However the sustainable management of these living marine resources cannot be addressed in isolation from the importance of related productivity, the effects of pollution, associated biological habitat, and the need to maintain the overall welfare and quality of the ecosystem as a whole within a highly variable environment. Closely linked to these by way of cause and effect are the socio-economic implications of coastal communities and industries. Therefore, all 5 LME modules are essentially embraced within this project. **Globally, the project will address over-exploitation of fish stocks (now a serious issue at the international level) within a major international fishery.**

B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL PRIORITIES/ PLANS:

The three countries are increasingly aware of the need to take urgent action to mitigate the effects of fish-stock reductions that are occurring in the region. The precise and quantified reasons for these reductions may not be conclusively identified as yet and could well be due to a combination of cyclical events, climate change related variability and/or a range of unsustainable fishing and management practices. However, a number of clear threats have been identified and it is this uncertain synergy of potential factors that represents a very serious and urgent cause for concern.

The following specific threats to the BCLME have been identified and agreed by the countries through the original and comprehensive Transboundary Diagnostic Analysis (TDA):

- A decline in commercial fish stocks and non-optimal harvesting of living resources:
- Uncertainty regarding ecosystem status/yield in a highly variable but commercial important environment
- Chronic and potentially catastrophic deterioration in water quality which is threatening the stability of the ecosystem and its living resources
- Habitat destruction and alteration resulting in decline of commercial or food-chain species and reduction in inshore nursery areas
- Loss of biotic integrity and threats to biodiversity (including endangered and vulnerable species) that constitute vital components of the LME
- Inadequate human and infrastructure capacity to assess the health of the ecosystem and its components
- HABs and low-oxygen events that directly impact on the welfare of living marine resources.

Furthermore, the principal generic root causes of these threats have been identified and agreed by the countries as:

- The complexity of the ecosystem, the high degree of variability, and the need for greater understanding
- Inadequate capacity development and training
- Poor legal framework at both the regional and national levels
- Inadequate planning at all levels
- Insufficient public involvement
- Inadequate financial mechanisms and support

In recognition of the growing long-term threat to the Ecosystem and thus to the socio-economic and political well-being of the three countries identified by the TDA, the governments agreed to work together to coordinate and harmonise the surveying, assessment and management of shared stocks as well as to improve the predictability of environmental events within the LME. In 2000, seven Ministers from the three participating countries signed a SAP that committed their countries to the establishment of the BCLME Program and to a series of principles, policies and actions thereby. These can be summarised as:

- the need to adopt a concept of sustainable development within the LME using appropriate economic and policy instruments;
- the application of the precautionary principle to all matters appertaining to the LME;
- the adoption of anticipatory and cooperative actions and agreements (e.g. strategic environmental assessments, EIAs, contingency planning, etc.);
- the use of clean technologies and phasing out of high waste-generating processes;
- the integration of ecosystem approaches and environmental/ human welfare into all relevant policy and sectoral planning and implementation;
- transboundary cooperation between states and with the private sector;
- the encouragement of full participation and transparency with and between all LME stakeholders;
- compliance with the FAO Code of Conduct for Responsible Fisheries.

C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH [GEF STRATEGIES](#) AND STRATEGIC PROGRAMS:

The SAP IMP Project is in directly consistent with GEF's Strategic Program (SP) 1 of GEF 4 which focuses on

restoring and sustaining coastal and marine fish stocks and associated biological diversity. The table below demonstrates this consistency with GEF 4 Strategic Objectives (SOs) and with GEF's Strategic Program (SP) 1.

GEF 4 STRATEGIC OBJECTIVES	AREA OF PROJECT CONFORMITY
Use of foundational processes to stimulate political commitment to collective action and then scaling up with innovative policy, legal and institutional reforms and demonstrations	The GEF has already worked closely and very successfully with the three participating states to build strong partnerships, foster cooperation and construct foundational capacities for a more comprehensive ecosystem-based approach to management of the BCLME. The participating states have demonstrated the commitment to translate this foundational work into political action through their signature of the Interim Benguela Current Agreement and their formal adoption of a BCC. The partnership is now ready, through this proposed SAP IMP Project, to take the next critical step in adopting regulatory and institutional reforms at the national level that will reflect agreed regional policy, and to consolidate effective ecosystem-based fisheries management practices through identification and agreement of realistic economic and financial measures. Technical support and input will continue as an essential foundation to management and decision-making processes, with the countries taking responsibility (assisted by donors) for these critical areas of MCS in relation to both scientific and legislative requirements.
Need to move from testing and demonstration mode to the scaling up of full operations in support of agreed incremental cost of reforms, investments and management Programs needed to reduce stress on transboundary freshwater and marine systems	This BCLME SAP Implementation project is fully focused on scaling up previous initiatives and activities that have tested and demonstrated technical approaches to transboundary ecosystem management (including collaborative research, assessment and monitoring as well as enforcement and compliance) and built long-term partnerships for cooperation at both the regional and national levels. The SAP Implementation project aims to provide the incremental costs to secure reforms at the management legislative and policy level, and to finalise agreements on appropriate investment partnerships (especially with the private sector) with the long-term sustainable objectives of reducing stress on a transboundary marine ecosystem that is of major importance to national, regional and global fisheries and associated socio-economic welfare.
GEF 4 to stress the GEF Council-approved mandate of utilising integrated, ecosystem-based approaches to management of transboundary water systems, placing human activities at the centre of transboundary systems and basing interventions on modifying those human activities to sustain multiple benefits	The BCLME Program is in the vanguard of the various LME initiatives as far as translating knowledge and understanding of the ecosystem and its functions into transboundary policies and management approaches. In concentrating specifically on living marine resources and the need to restore and sustain fish stocks, this project is directly focusing its interventions on the modification of human activities at the transboundary level for the benefit of all stakeholders to the BCLME. Output 3.4 will ensure the appropriate engagement of stakeholders.
Collaborative partnerships contributing to increased development effectiveness and synergies essential to the mobilisation of funding necessary to scale-up GEF work	The initial BCLME foundation project has already seen the development of strong partnerships at the technical and managerial level, and these have further begun to manifest themselves at the policy level. In this context GEF 4 clearly recognises and endorses the value that GEF projects can provide in building trust and confidence for sovereign states working together on shared water-related concerns in order to pursue joint benefits and build sustainable regional institutions for collective action. The BCLME Program is a model of such collaborative development for long-term regional management coupled with national institutional capacity building and reforms as is evidenced by adoption of the Commission and its Interim Agreement and the intention, through this SAP

Targeted learning projects will be undertaken for the IW portfolio to enhance South-to-South experience sharing and learning, knowledge management, and capacity building to replicate good practices

STRATEGIC PROGRAM 1

Ministerial agreed collective Programs of action that should benefit from the use of Marine Protected Areas (MPAs)

GEF Projects encouraged to utilise the International Code of Conduct for Responsible Fisheries (as adopted by the FAO Conference in 1995) in their work toward the Johannesburg Plan of Implementation (JPOI)

Policy, Legal and institutional reforms and multi-agency partnerships that contribute to World Summit on Sustainable Development (WSSD) Targets for Sustaining Fish Stocks, including regional and national level reforms in governance, access rights, and enforcement, mostly in LMEs in

Implementation Project, to endorse a binding international Treaty in support of managing the BCLME as well as delivering an operational regional and national transboundary management mechanism. **Output 3.3** will focus on the negotiation and adoption of partnership agreements and linkages for improved management of the BCLME. **Output 3.4** will aim to coordinate and orchestrate stakeholder participation at all levels and across all intended Outcomes.

Outcome 4 of the Project focuses on the capture of knowledge products, best practices and information networking. The entire BCLME Program is, however, effectively a case study in best practices for LME project activities from the development of a TDA, through the negotiation process required to arrive at a formally adopted SAP and then to the design and implementation of appropriate regional and national mechanisms and institutional measures to deliver effective transboundary management of living marine resources in accordance with the need to restore depleted fisheries and protect and conserve associated biodiversity. The BCLME SAP Implementation project will ensure that best practices and appropriate lessons are shared and replicated throughout each of the participating countries (**Output 4.1 - Capture of Lessons and Best Practices for Transfer and Replication within the BCLME**) also develop the appropriate mechanisms for sharing and replicating these best practices throughout similar ecosystems through **Output 4.2 - Development of Networking Partnerships with other LMEs**

AREA OF PROJECT CONFORMITY

The project takes into account the need to support the restoration of fish stocks through the promotion of appropriate managed areas and no-take zones. Support will be given to the designation and capacity strengthening of appropriate trans-frontier MPAs (such as the Iona-Skeleton Coast Transboundary Park initiative) where they enhance the ecosystem approach to fisheries management through the provision of additional levels of protection and conservation of fish stocks, associated prey species, or important nursery and/or breeding areas, etc. **Output 1.1** supports the **Management Advisory Committees** one of which will focus on **Biodiversity Conservation and Management** and will be charged with the identification of priority Marine Protected Areas (especially any appropriate transboundary MPAs) along with the development and implementation of a ‘roadmap’ for designation and management of these MPAs

The BCLME project will capture the requirements of the Code of Conduct for Responsible Fisheries through the Harmonised Management of Harvested Living Marine Resources through **Outcome 1** addressing **Regional Level Implementation of the SAP**. This is one of the responsibilities defined for the appropriate Management Advisory Committee under **Output 1.1 – Adoption of a Formal Regional Structure for a BCC**, as well as an intended protocol or section to the International Treaty as defined under **Output 1.2 – Negotiation and Formal Signature of a Regional BCLME Treaty**.

Regional Level: The Project will consolidate the agreement on a regional Commission through the adoption of an effective regional structure (**Output 1.1**) and would finalise negotiations on a formal intergovernmental Treaty (**Output 1.2**) which will contain guidelines and codes of practices that address many if not all of the WSSD requirements for sustainable fisheries. The Commission will

<p>order to utilise ecosystem-based approaches to assessment and management of fish stocks</p>	<p>include various policy and management level decision-making and advisory bodies which will guide and direct these reforms at the national level.</p> <p>National Level: The Project would identify the requisite national structures (institutional and individual) to support the Commission and Treaty (Output 2.2) as well as appropriate national operational and management strategies associated with these structures (including MCS procedures, and collection and interpretation of IW indicators, further baseline studies). National level reforms will also be supported by appropriate TCB (Output 3.1), adoption of financial mechanisms (Output 3.2) and negotiation of formal partnerships to support the LME approach (Output 3.2) in conjunction with appropriate stakeholder participatory mechanisms (Output 3.4)</p>
<p>Investments in sustainable alternative livelihoods (such as aquaculture), habitat restoration, fish refugia and ‘limited use’ designations (including MPAs) technical assistance, less destructive fishing gear to reduce stress on wild stocks and biological diversity</p>	<p>As an LME Project, this will address the Ecosystem Approach not only through EAF but also through the restoration and maintenance of all ecosystem related habitats (both Protected and Non-Protected). At the level of the Commission, the Management Advisory Committee (MAC) on Biodiversity and Conservation (Output 1.1) will aim to define guidelines and codes of conduct directly related to habitat conservation and restoration for implementation through management and operational practices at the national level. In particular, the MACs would look at the sectoral linkages and need for integrating management and operational policies and practices, and would coordinate closely with other MACs dealing with related issues such as Environmental Variability and Climate Change Prediction and the Maintenance of Environmental Quality and Pollution Control. Each MAC would be supported by its EWG. This work would be translated at the national level through the appropriately identified national structures (Output 2.1) and adopted national policies reflecting regional agreements by the Commission (Output 2.2).</p> <p>The Project will actively identify and pursue partnerships for investments in these issues through Output 3.2 – Assessment, Identification and Adoption of Fiscal and Financial Mechanism at the National and Regional Level to support the LME Management Approach</p>
<p>Solutions to concerns on the high seas will be pursued as will be engagement of the business community and fishing industry to develop and implement solutions working with GEF IW Projects.</p>	<p>It is intended that the business communities will be engaged and actively involved in identifying and assisting with solutions to non-sustainable ecosystem management in the BCLME. This would be pursued through the negotiation and adoption of formal partnership agreements with these stakeholders (Output 3.3) and orchestrated through the stakeholder coordination process (Output 3.4). Such partnerships would extend to joint management arrangements as well as mutual cooperation in TCB, and sharing the financial burden of the ecosystem management approach at both the regional and national level. Negotiation and adoption of partnership agreements will include initial negotiations with major global commercial organisations that have linkages to DWF and an interest in their catches. The Code of Conduct for Responsible Fishing which will be incorporated into the BCC Treaty (Output 1.2) will assist in capturing this process within the three countries which have already shown a strong political will toward controlling and managing these DWF.</p>
<p>Sustainability of livelihoods, food security and</p>	<p>One major issue associated with the BCLME that has been identified</p>

<p>coastal habitats as a contribution to marine-related JPOI targets (that) can assist communities and states to adapt to fluctuating fish stocks and coastal climatic regimes.</p>	<p>during the foundation process of TDA and SAP development has been that of Environmental Variability. This can be both natural and anthropogenic in nature. Either way Environmental Variability has a major effect on the sustainability of living marine resources within the LME. The BCLME SAP IMP Project recognises the importance of such effects on the LME through Output 1.1 – Adoption of a Formal Regional Structure for a BCC, where a specific MAC will be allocated and supported under the Commission to address environmental Variability and Climate Change Prediction, and the EAC will further support a specific Working Group on this topic. Furthermore, Output 1.2 – Negotiation and Formal Signature of a Regional BCLME Treaty, recognises the need for a specific section and/or protocol attached to the main Treaty that calls for Adoption of an Early Warning System for Prediction and Response to Environmental Variations.</p>
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D. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:

The SAP IMP Project will build on established structures and mechanisms from the BCLME Program. Such structures will include the transformation of the BENEFIT Program into the Ecosystem Advisor Committee (EAC) which will be the Benguela Current Commission's (BCC) technical and scientific advisory organ. The EAC will coordinate the regional Ecosystem Working Groups (EWGs) in providing the analyses of data and information for the Commission for use at the management level as well as advising the national level technical focal points on national scientific requirements. Furthermore the Project Manager/ Advisor will interact directly with the BCC to provide technical and management advice in the establishment of the BCC Structures and its operationalisation. The Project will provide direct financial, technical and coordination assistance to the BCC for its establishment through a legally binding Treaty and implementation and coordination of activities at national level.

The Project will continue to network at regional and international level for the capture and sharing of knowledge and best practices with other LMEs and related organisations for the further testing and mainstreaming of successful transboundary LME management approaches. The Project will support DLIST as a stakeholder engagement and information sharing platform in the region to ensure meaningful participation of stakeholders, especially industries relevant to the BCLME.

The development and adoption/ ratification of Codes of Conduct, guidelines and agreements will be carried out through close collaboration with FAO and related organisations (MARPOL 73/78) to ensure consistency with international obligations and best practices and, to draw on lessons learned. International industry umbrella organisations dealing with marine and coastal mining, offshore oil and gas exploration and production and, tourism and mariculture development will be liaised with in relation to the above. The need for the three countries to ratify multilateral environmental agreements (MEAs) and Treaties which are in accordance with the BCLME aims for overall ecosystem sustainability and fisheries restoration will be addressed directly with the appropriate organisations.

Interaction with WIOMSA will be strengthened through the exploration of the feasibility to establish a regional association of professionals as a long-term sustainable and cost effective means for ongoing human resources development. Strategic relationships with academic and research institutions and government departments will be explored for the development and execution of joint research Programs and capacity building. The formation of partnerships with other LMEs and related initiatives cuts across all areas of a LME management approach and these will be solidified through the establishment of a 5-year regional partnership matrix with associated terms of references defining roles and responsibilities including details of proposed joint actions, funding mechanisms, timetables, management/ steering and review process.

The Project would specifically aim to deliver pertinent Knowledge Products to the IW:LEARN website as guidance to other evolving LME and fisheries-related projects.

The Project will also continue to cooperate closely with other Pan-African LMEs in their partnership with Global Ocean Observing System (GOOS) to develop a viable and affordable ocean observing system to service the needs of African countries. The LME network as possible vehicle for implementation of GOOS in Africa will be explored

and supported.

Close coordination with the Norwegian and Icelandic Governments will be maintained as essential to ensure that donor requirements are met and to seek advice in a timely manner to derive the best value for money from funds available for technical and scientific work (Norway) and training and capacity building (Iceland). As the two areas of cooperation are interlinked it will be essential to ensure that capacity gaps are addressed in a timely manner, however inline with the BCC Science Plan and Strategy for TCB for Ecosystem Management.

E. DESCRIBE THE INCREMENTAL REASONING OF THE PROJECT:

Initiating and strengthening the institutional capacity and effectiveness of a regional BCC and negotiating an agreed international Treaty in support of this Commission. The countries have already discussed and agreed on an initial structure along with the requisite management and technical support bodies. Furthermore, they have signed an Interim Agreement setting up the Commission and defining its mandate and working practices. The GEF-funded BCLME SAP IMP Project will provide the funding to implement the Commission in its early stages with initial support to staff levels on the formal understanding that the countries have committed to taking over this responsibility during the life of the Project (as is reflected in their endorsements of their cash and in-kind co-funding contributions). The Project will also help to facilitate the formal and detailed negotiation process to arrive at a binding regional multilateral Treaty that defines urgent policy actions and agreements on such critically important sustainability issues as the adoption of a BCLME Code of Conduct for the Responsible Management and Harvesting of Living Marine Resources and similar Codes and Agreements relating to Mineral Exploitation; the Maintenance of LME Environmental Quality; Pollution Contingency Planning and Response; Adoption of an Early Warning Systems for Environmental Variability; and formal Guidelines for Biodiversity Conservation and Management Planning for Living Marine Resources. The incremental cost for achieving this aim has been calculated at \$28,469,969 of which GEF would provide \$1,195,623 (4 %).

Ensuring national level implementation of the SAP through appropriate policy, legislative and management reforms which also capture cross-sectoral and community level integration into the management process. The GEF-funded BCLME SAP IMP Project will assist the countries in translating the policy, legislative and management requirements from the BCC into national activities and reforms. This will include support to the initial establishment of national BCC coordination facilities within appropriate national institutions which the countries will then take responsibility for through negotiated sustainability mechanisms. The Project will also assist in establishing national stakeholder groups which will be integrated into the overall management process. The incremental cost for achieving this aim has been calculated at \$24,791,714 of which GEF would provide \$947,800 (4 %).

Securing long-term sustainable financial, human resource and partnership capacity for maintenance of the LME management components. GEF will provide funding to support a more effective TCB structure within the three countries that more directly addresses management approaches at the LME level and creates a constituency of cooperative assistance and training within the participating countries and between their BCLME stakeholders. Substantial co-funding will support TCB staffing and expertise as well as training and skills development mechanisms, distance-learning courses and workshops. The Project will provide further support to the development of a sustainable funding Program for the BCC structure at the regional and national levels which would become part of the formal Treaty agreement to help to ensure the sustainability of the EAF. The Project will also support the development and encouragement of more effective partnership agreements for the LME management approach, creating linkages between private and public sector and also extending these into the communities. Furthermore, the Project will promote more effective stakeholder participation across all sectors not only at policy, management and technical level but also at the community level. The project development stage has elaborated a detailed SPP (see Annex VIII) and this will be driven by the project through GEF funding but also with substantial in-kind support from the NGO community. The incremental cost for achieving this aim has been calculated at \$14,916,644 of which GEF would provide \$1,559,190 (10%).

The overall capture and transfer of knowledge products and best practices along with an effective information networking mechanism. The GEF-funded BCLME SAP IMP Project will support the establishment of procedures and mechanism for capturing, and replicating best practices and lessons learned as well as knowledge vital to the EAF. In particularly GEF funding will be used to process and package best practices, lessons and knowledge into₁₉

policy level briefings that will directly drive policy decisions within the BCC and at the national level. The capture and sharing of best lessons and practices will not be limited to the BCLME region however, and networking mechanisms will be developed with other African LMEs and extended out to all global LMEs. The incremental cost for achieving this aim has been calculated at \$4,765,628 of which GEF would provide \$946,007 (20%).

F. INDICATE RISKS, INCLUDING CLIMATE CHANGE RISKS, THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED AND OUTLINE RISK MANAGEMENT MEASURES:

The identification of risks was carried out during the Project Identification Facility (PIF) stage that was approved by the GEF Council during last quarter of 2007 (Reference to GEF C.31/8). Results from the BCLME Program and the establishment of an interim agreement for the BCC played key roles for identifying and clarifying these risks.

Risk	Risk rating	Risk mitigation strategy
1. Potential conflicts between participating countries over shared resources and their exploitation/management could feasible cause sufficient friction to derail the Treaty negotiation process.	Low	Considered low in light of the excellent cooperation between the three countries to date within the BCLME Program despite fairly recent historical political differences. One of the primary functions of the newly created Commission would be to defuse any such conflicts at the higher policy level and to instruct and guide management and operational level personnel in finding mechanisms for resolution and cooperation.
2. Disagreement over the actual functioning of the Commission and the content of the Treaty.	Medium (in medium term) Low (in long term)	Inevitably there will need to be much negotiation of the final legally binding Treaty and there may also need to be some discussion on the actual mechanisms for running the Commission. However, most of the foundation for this has already been formally adopted by signature through the SAP as well as through the Interim Agreement so the negotiations would be over the details rather than the principles
3. Changes in political regime within any one country may result in withdrawal from Commission and Treaty	Low	The advantages of transboundary cooperation are becoming evident and one function of the SAP Implementation phase will be to ensure that all stakeholders are sensitised to this regional management need. Furthermore, the Treaty will be drafted in such a manner as to make withdrawal politically undesirable and the Commission will have sufficient stakeholder input and participation to also ensure full engagement from all three countries in the long-term, regardless of political changes
4. Environmental variability (both natural and anthropogenic in nature) may be sufficient to cause a collapse in the LME making a regional management mechanism redundant	Low	Some level of variability is inevitable. It is unlikely that it would collapse the ecosystem to the point of non-functionality, although it may cause significant changes. This is more of a justification for the Project inasmuch as being able to respond/adapt to variability in order to continue to manage the ecosystem is one of the main focuses of the Commission and the evolving transboundary management mechanisms

The BCLME plays a significant role in global climate generation and regulation, although the exact functions and manifestations are still only partially understood. The BCLME Program, through the SAP IMP Project and support to the BCC, will continue to focus on greater understanding, knowledge capture and associated adaptive ecosystem management in relation to climate change-induced variability within the LME. The ecosystem approach to management will aim to maintain and conserve the various ecosystem functions at the local and regional level thereby providing some level of stability in relation to regional and global climate cycles and seasonality. This overall ecosystem stability will in turn provide feedback to the maintenance and conservation of renewable living marine resources within the LME. Hence, although not identified as a risk during the PIF, climate change is

recognised by the BCLME Program, the BCC and the SAP IMP Project. The SAP IMP Project will support the BCC to strengthen and improve existing national and regional monitoring frameworks to provide reliable data for prediction and early warning so that adaptive management serves as a responsive mechanism to improve the resilience of the system through the control and mitigation of human-induced impacts that can exacerbate climate change effects. During year 1 of the project International Waters indicators will be developed which will be reflective of climate change considerations in the region.

G. EXPLAIN HOW COST-EFFECTIVENESS IS REFLECTED IN THE PROJECT DESIGN:

The proposed Incremental interventions by GEF are specifically designed to build on existing baseline activities related to fisheries and marine resource exploitation and to convert and reform them into a transboundary EAF. This represents a substituting alternative which is altering existing baseline approaches as well as building on them to improve policy, governance and management practices.

The total Alternative cost attributable to the Project proposal is \$350.4 million of which 79% represent the existing baseline and 21% represents the joint GEF/ Co-funded Increment.

This incremental 21% reflects the cost of realigning existing practices away from national management and governance to an ecosystem approach that will aim to reduce the degradation of this ecosystem and to restore and maintain its depleted fisheries.

In the longer term a detailed economic study undertaken by the BCLME Program has assessed the cost-effectiveness of this project. This has identified that there are two potential benefits for regional cooperation of an EAF. First, the minimisation of the wasteful use of shared stocks (mitigating the economic risk on non-cooperation). Second, the increase of opportunity by managing the harvesting by all countries so that shared stocks are allowed to grow to their fullest economic potential. This Project will minimise the economic risks of non-cooperation by establishing a framework within which the countries can effectively manage these resources. The maximum value of this risk of non-cooperation is the current economic rent derived by all the countries from shared stocks which equates to approximately US\$110 million per annum. The long-term costs for the protection of this resource are calculated to be in the order of \$8 million per annum. The study identifies that an estimated potential increase in economic rent derived from cooperative management could be a further \$150 million (studies have shown that the effective cooperative ecosystem-approach to management of the hake stocks alone could increase available income by 40%). The implementation costs for this further layer of management have been calculated to be a further \$16 million per annum. Therefore, a 7% increase in investment will provide insurance against loss of \$110 million in economic rent and a further investment of \$8 million could release benefits of another \$150 million (nearly a twenty-fold return on investment). The initial capital outlay by GEF to establish this structure would be \$1.3 million per annum over 4 years with a further input from the countries of \$14.8 million per annum. The actual global benefits to sustaining fisheries and maintaining ecosystem diversity would be the subject of work undertaken by the Commission as part of the proposed monitoring of indicators that is built into the project.

PART III: INSTITUTIONAL COORDINATION AND SUPPORT

A. PROJECT IMPLEMENTATION ARRANGEMENT:

Implementation

UNDP will act as the Implementing Agency (IA) for this Project with the UNDP Namibia CO acting as the lead IA. UNDP has considerable experience in the implementation and management of LME projects globally and has been working with the BCLME Program for some 10 years to date. Each of the three countries has an active UNDP Country Office, which can (and have) provided considerable in-kind support to project development and implementation, and all of these Offices are familiar with the BCLME Program and the GEF assistance process.

Execution

Execution of the BCLME SAP IMP Project will take place through the United Nations Office for Project Services (UNOPS), as the Executing Agency (EA), through its Global and Inter-Regional Division in accordance with standard₂₁

operational, financial guidelines and procedures. UNOPS has been managing the BCLME Project since it first started in 2002 and therefore has a detailed corporate memory of events and historic processes. UNOPS will remain accountable to UNDP for the delivery of agreed outputs as per agreed project work plans, and for financial management and reporting as well as ensuring cost-effectiveness.

For the execution of activities under Outcome 4: Capture and Networking of Knowledge and Best Practices, DLIST has been pre-selected as the implementation partner at the External Project Appraisal Committee held in November 2007 (see attached minutes). Accordingly, a subcontract will be issued to IKM, an NGO managing the DLIST initiative.

Project Coordination and Administration

As the objective of this Project is to develop and build capacity for a Commission and its regional and national structures it is considered to be inappropriate to duplicate BCLME administrative mechanisms through a physically independent PCU as was the approach during the initial BCLME Program. The intention now is to funnel and focus resources through the Commission. However, it is still necessary to have a small and independent PMU for the BCLME SAP IMP Project in order to administer funding and resources, coordinate project implementation and to provide technical advice to the Secretariat of the Commission. In this context, the day-to-day management and administration of the Project will be carried out by a PMU which would be based within the BCC or its hosting organisation, to be based in Namibia. The staff for this PMU would consist of a Project Manager/Advisor, an Administrative Officer, and a Secretary. These people would sit within the BCC or an appropriate hosting organisation and their primary function would be the day-to-day management and administration of the UNDP/ GEF-funded BCLME SAP IMP Project, including supervision of activities and deliverables, hiring and contracting of GEF-funded staff, procurement and disbursement, budget management, reporting, evaluation and monitoring. In addition to these functions, the Project Manager/ Advisor would also act as a technical advisor to the Commission's Secretariat and, as such, would work closely alongside the Executive Secretary, particularly in matters where the BCLME SAP IMP Project is directly supporting the Commission at the regional and/or national level.

Other GEF-funded or part-funded staff would sit within the Commission Secretariat Offices or within the National Focal Institutes (NFIs) so as to more effectively provide capacity to the Commission at either the regional or national level.

The Project would have a Steering Committee consisting of A. the representatives from the three countries that sit on the Commission's Management Board (see below) plus representation from the IA (UNDP) and the EA (UNOPS) as well as B. any other appropriate representatives and observers (e.g. other co-funders directly supporting the Project) whose status on the Steering Committee would be agreed by the core membership as defined above.

The actual management process will require a careful integration between what will be the management process for the UNDP GEF assisted project (i.e. the PMU) and the regional structure for the Commission. The following sections and Part IV (below) defines the Commission structure and the linkages to the PMU. The actual Commission organs and their relationship to the UNDP/ GEF-funded BCLME SAP IMP Project are as follows:

Ministerial Conference: This represents the most senior policy level within the Commission and would consist of pertinent Ministers from the three countries that are signatory to the Interim Agreement (and later the formal Treaty) or their delegated representatives. The Ministerial Conference would set formal policy for the Commission in relation to transboundary ecosystem fisheries issue and any other issues relating to the BCLME, and would thereby advise and direct the rest of the Commission in its actions.

BCC Management Board: Effectively having evolved from the existing BCLME Program Steering Committee (PSC), this would be the senior management body consisting of representatives from Government at the Senior Civil Servant level (e.g. Permanent Secretaries and/ or Directors-General) as well as appropriate representatives from the private sector and other donor/ funding agencies. In this context the Management Board would be at the equivalent level to the earlier BCLME PSC and would, in fact, fulfil this function also for the BCLME SAP IMP Project. However, these would effectively be two discrete functions although logistical arrangements would be adopted to allow the members to carry out these separate functions in a more cost-effective manner. Therefore, meetings of the BCC Management Board and of the BCLME SAP IMP Steering Committee would be dove-tailed so that other Steering Committee partners not on the Management Board (e.g. UNDP, UNOPS, GEF) could attend the latter immediately after the former meeting was completed. For the purposes of communication and information the Project Manager/ Advisor for the BCLME SAP IMP

Project would sit as a non-voting member on the BCC Management Board. The functions of the Management Board are defined in greater detail within the Interim Agreement

Management Advisory Committees (MACs): These would be the primary advisory bodies that would address the specific areas of concern highlighted in the SAP and the Interim Agreement in order to provide advice at the regional level and to define guidelines and directives for national level reform and harmonisation that would be endorsed by the Management Board and adopted into policy by the Ministerial Conference. These Committees are primarily bodies of the Commission.

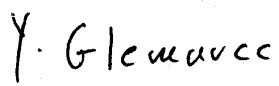
BCC Secretariat: This is the functional day-to-day management office of the Commission and its various regional/national organs and will have evolved from many of the existing BCLME management and administrative functions and roles currently carried out by the PCU. This would be overseen by an Executive Secretary who would be the senior officer within the Commission answerable to the Ministerial Conference through the Management Board. The Executive Secretary would sit on the Management Board as a non-voting member. In essence the Secretariat takes over the functions of the PCU that was created under the BCLME Program and the Executive Secretary therefore takes over what were the functions of the Chief Technical Advisor (CTA) for the BCLME PCU. The BCLME SAP IMP PMU is thus down-graded to a simple Management Unit within the BCC and its Manager/ Advisor works alongside the Executive Secretary to ensure harmony between the GEF-funded activities and the overall work of the Commission. This is in accordance with the aims of both the original BCLME Program and this new BCLME SAP IMP Project i.e. capacity building of the Commission to take over the role of the BCLME Program PCU. The functions of the Secretariat and its Executive Secretary are defined in greater detail within the Interim Agreement.

Ecosystem Advisory Committee (EAC): This will be the technical and scientific advisory organ to the Commission and to this extent inherits what were the previous functions of BENEFIT. The EAC will ensure a strong foundation of scientific advice and guidance for the Commission to allow appropriate, timely and up-to-date policy and management decisions to be taken. In this context the EAC (along with its Ecosystem Working Groups (EWGs) which have evolved from the current BCLME/BENEFIT Technical Advisory Groups of specialists and technical experts) fulfils the aims of the GEF assistance to the BCLME in that it provides an independently-funded platform of scientific and technical support which is essential to the overall BCLME transboundary EAF management. The roles of the EAC are defined in greater detail within the Interim Agreement.

PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF:

There have been no major changes to the project design as compared to the Project Identification Form (PIF) that was approved by the GEF Council, as per letter of GEF CEO of 15/11/07

PART V: AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for CEO Endorsement.	
 Yannick Glemarec UNDP-GEF Executive Coordinator	Project Contact Person: Akiko Yamamoto, Regional Portfolio Manager for IW UNDP/GEF – Eastern and Southern Africa
Date: 4 December 2008	Tel. and Email:+27 12 354 8125 akiko.yamamoto@undp.org

ANNEX A: PROJECT RESULTS FRAMEWORK

RESULTS	INDICATOR	BASELINE	RISKS AND ASSUMPTIONS
GOAL: To halt the marked depletion of fisheries within one of the most productive yet highly environmentally variable oceanic areas in the world. This will be achieved through adoption of a more appropriate ecosystem approach to fisheries management that includes transboundary cooperation in order to mitigate the overall degradation of the LME and its living marine resources and to build in adaptive buffers to variability (both natural and anthropogenic in nature)			
Objective of the Project: the implementation of a Strategic Action Programme that builds on a foundation of scientific and technical studies and evolving partnerships, and uses these to inform policy, legislative and management decisions at the regional and national level.	An effective regional and national capacity established and sustainable that will manage the LME in a cooperative, transboundary manner		<p>Risk that senior national political figures may not grasp the long-term importance of the need to manage and conserve fisheries and other associated living marine resources within the LME.</p> <p>Especially in relation to other competing social and economic issues.</p> <p>Assumes that political support fostered under the original BCLME Program will continue and expand under BCLME SAP Implementation Project</p> <p>Overall assumption that the regional and national structures can be made politically and economically sustainable.</p>
Outcome 1: A Benguela Current Commission Infrastructure and Associated Treaty			
Outputs			
1.1 Commission formally adopted, to include all its requisite regional structures and responsibilities	BCC operational base and staff in place	No Commission established as yet although Interim Agreement in place	Risk that countries may not initially agree on the structure and mandate/responsibilities of the BCC.
1.2 Signature and ratification of a binding international LME Treaty to formally support the Commission	BCC Treaty in place	SAP and Interim Agreement in place but currently non-binding and in need of further negotiation	Assumption that countries willing to negotiate and adopt a binding Treaty which commits them beyond the existing non-binding Agreement.
1.3 Regional guidelines for national policy and legislative reforms agreed and circulated	Agreed guidelines, approved by the BCC, in place	TDA & SAP completed. SAP formally adopted. These identify needed reforms.	Assumption that countries will adopt and implement these guidelines and reforms (see below under Outcome 2).

RESULTS	INDICATOR	BASELINE	RISKS AND ASSUMPTIONS
1.4 Standardized regional monitoring and assessment program adopted for national distribution	Monitoring and assessment program under implementation at national level	Some shared assessments and surveys but no real standardization of monitoring and assessment methods	Assumption that countries are prepared to cooperate on Monitoring and Assessment and to share skills, expertise, facilities, resources and information. Risk that there is inadequate funding to cover effective transboundary monitoring and assessment exercises.
1.5 Regional work plan adopted for further science and technical studies necessary for LME	Science and technical studies work plan in place	Considerable work already undertaken that has raised knowledge and awareness of the status of the BCLME. This is an on-going and vital requirement in order to effectively advise and inform policy and management decisions	Assumes that there is sufficient funding to support necessary scientific and technical studies nationally and regionally.
Outcome 2: National Level Policy and Management Reforms			
Outputs			
2.1 National coordinating ministries and coordinating institutes adopted and functioning	National Coordinators appointed and operating from national institutions	Focal Ministries for BCLME Program already established. Activity Centres established in each country. These currently fulfill a partial function as national coordination mechanisms	Assumes countries will nominate appropriate Ministry and Institute that can most effectively deliver BCC requirements at the national level and can also facilitate cross-sectoral cooperation.
2.2 National Action Plans (NAPs) adopted capturing regional guidelines and requirements	National Action Plans in place	No existing NAPS appropriate to BCLME	Assumes that all appropriate government and sectoral bodies willing to cooperate on developing and implementing NAPs. Risk that there is insufficient financing or political support to ensure that NAPs are effectively implemented.
2.3 Regional guidelines for policy, legislative and management reforms adopted and implemented at national level	Guidelines implemented in all three countries (80% of objectives achieved by year 5)	SAP identifies necessary reforms. Some existing guidelines have been established	Assumes continued political commitment to undertake reforms and realignments as defined in the original SAP and re-confirmed through interim agreement and final Treaty. Risk that political commitment may change as a result of changes in political balance of power both nationally and regionally.

RESULTS	INDICATOR	BASELINE	RISKS AND ASSUMPTIONS
2.4 National Monitoring Programs established and implemented and incorporating appropriate IW indicators	1. IW indicators under implementation through National Monitoring Programs. 2. IW indicator data incorporated into BCC State of the Ecosystem Information System (SEIS)	Current national monitoring activities do not address IW indicators <i>per se</i> . Nor do they aim to address LME issues	Assumes willingness between countries to adopt similar standards in order to effectively monitor at the LME level rather than just the national level. Assumes willingness for countries to share their data at the regional level in order to support the LME approach. Assumes a certain baseline of capacity and available resources/ equipment. Risk that nationally responsible bodies will not have access to sufficient funding to be able to contribute effectively and equally.
2.5 National Stakeholder Groups (NSGs) established	National Stakeholder Groups in place and participating in the SAP IMP Project	Current national stakeholder groups limited to technical and scientific level, not management, policy, cross-sectoral or incorporating private sector and community interests	Assumes that various stakeholders at all sectoral levels have the time, interest and resources to engage effectively in the BCLME process. Assumes that BCC is prepared to accept stakeholder input to the overall regional policy and management process. Risk that relations between government, NGO, private sector, community grass-root organisations, etc. may not always be conducive to effective cooperation.
2.6 LME related Multilateral Environmental Agreement (MEAs) ratified by each country	LME-related MEAs in place	Some MEAs signed and/or ratified to date	Assumes commitments involved in ratifying certain MEAs are acceptable to specific governments.
Outcome 3: Sustainable Capacity for LME Management			
Outputs			

RESULTS	INDICATOR	BASELINE	RISKS AND ASSUMPTIONS
3.1 Regional Training and Capacity Building (TCB) Strategy and work plan adopted by the BCC	BCC Regional TCB Strategy in place	No existing regional T&CB strategy addressing main issues relating to BCLME	Assumes that BCC can agree on priorities and funding at the regional level. Risk of conflict between countries within BCC relating to major gaps in capacity levels and training needs between countries.
3.2 TCB adopted and implemented through NAPs	TCB under implementation at national level (80% of TCB activities satisfactorily completed by year 5)	No current National Action Plans or other strategies dealing with National T&CB needs	Assumes availability of appropriate individuals to train and appropriate institutions for building of capacity. Risk of disagreements and contention between institutions on national priority needs for TCB Risk that institutes may not nominate suitable candidates for training. Significant risk of loss of trained capacity due to more attractive opportunities in other sectors.
3.3 Three-yearly review and update of TCB at regional and national level	Regional TCB Strategy updated (end of 2011)	No current T&CB for review	Assumes sufficient funding available to support a further 3-year cycle of training and capacity building at both the regional and national level
3.4 Effective implementation of the Stakeholder Participation Plan (SPP)	80% of objectives in the SPP achieved by end of Project	Stakeholder Participation limited to scientific and technical level. No effective involvement at managerial or policy level	Assumes sufficient interest from necessary stakeholders (particularly in the private sector). Also assumes that BCC will allow effective and truly participatory involvement of all stakeholders at all appropriate levels of the BCC (regional and national). Always a risk of conflict between stakeholders that may frequently have opposing views that could threaten the stakeholder participation process.

RESULTS	INDICATOR	BASELINE	RISKS AND ASSUMPTIONS
3.5 Regional sustainable funding program adopted and implemented	1. BCC Sustainability Strategy in place. 2. Initial Government commitments (US\$ vs. number of years) to finance the BCC in place	Inadequate funding arrangements defined at present to support BCC or overall BCLME approach	Assumes that stakeholders are willing to confirm sufficient funding for long-term support of the BCC at the regional level. Risk that BCC evolves into too large and expensive a body that cannot be supported by regional funding commitments. Risk of overall loss of interest by funding sources after initial 5-10 years leaving the BCC and the overall BCLME process unsustainable.
3.6 National sustainable funding programs annexed as part of the BCLME NAPs	National Sustainability Strategies in place (outlining financial commitments to the BCC)	No effective national funding arrangements in place to support national commitments to BCC or BCLME	Assumes that national stakeholders (particularly government) are willing to confirm sufficient funding for long-term support of the BCC at the national level. Risk that national commitments to BCC are seen to be too large and expensive cannot be supported by national funding commitments. Risk of overall loss of interest by national funding sources after initial 5-10 years leaving the national BCC coordinating and stakeholder agencies unsustainable.
3.7 Regional partnership agreements and work plans formally adopted and implemented	1. Number of regional partnerships (with associated outputs, outcomes and impacts). 2. 80% of annual partnership activities satisfactorily completed.	Limited regional partnership arrangements in place to support BCC and BCLME	Assumes an interest in the BCLME from potential regional partners at the level of the private sector, NGOs or communities. Risk that regional partners may lose interest after initial agreement period if they cannot see any personal benefits.

RESULTS	INDICATOR	BASELINE	RISKS AND ASSUMPTIONS
3.8 National partnership agreements annexed as part of the BCLME NAPs	National Partnership Agreements in place	Limited national partnerships arrangements in place to support BCC and BCLME	<p>Assumes an interest in the BCLME from potential national partners at the level of the private sector, NGOS or communities.</p> <p>Assumes the possibility for a comfortable relationship between potential national partners and government agencies directly responsible for the implementation of the overall LME approach.</p> <p>Risk that national partners may lose interest after initial agreement period if they cannot see any personal benefits.</p>
Outcome 4: Capture and Networking of Knowledge and Best Practices			
Outputs			
4.1 Information critical to policy and management decisions identified, packaged and distributed to appropriate targets	Number of information packages developed and distributed annually (information on topics, distribution list, etc. captured as part of monitoring)	Limited awareness and sensitivity to LME and BCC-related issues at senior management and policy levels	<p>Assumes that senior management and policy-makers will read and act on these briefing documents.</p> <p>Risk that information delivered may not be specific or sufficiently compressed to be absorbed by busy politicians and senior managers.</p>
4.2 Lessons and best practices reviewed, documented and distributed for transfer and replication	Number of lessons and best practice documents produced and distributed annually (information on themes/ topics covered, distribution list, replication, etc. captured as part of monitoring)	No effective long-term mechanism within the BCLME Program for capture of Lessons and Best Practices. 1 Symposium held in 2005 very popular and successful	<p>Assumes that lessons and best practices are transferable and can be realistically replicated.</p> <p>Risk that countries may not be willing to fully share their experiences with other countries.</p>

RESULTS	INDICATOR	BASELINE	RISKS AND ASSUMPTIONS
4.3 African LME networking process and mechanism defined and implemented	<ol style="list-style-type: none"> 1. Concept Paper (outlining objectives, approach, participation, etc.) on African LME Network in place. 2. Agreed work plan and budget for African LME Network establishment. 3. First African LME Network approved work plan and budget in place. 4. 60% of year 1 work plan activities satisfactorily completed. 	No current mechanism exists for networking and sharing of African LME experiences	<p>Assumes sufficient commitment within the African continent and associated regional bodies to support a long-term African LME network both politically and financially.</p> <p>Risk that lessons and best practices could be transferred and replication attempted without taking into account local, national or regional differences and requirements that might entirely alter their effectiveness and appropriate nature.</p>
4.4 Global networking mechanism established including linkages with other regional initiatives such as GOOS and NEPAD	Number of international networking and partnership agreements (with detailed terms of references for partnerships) in place.	No effective mechanism exists for networking and sharing of LME experiences at global level	<p>Assumes sufficient global commitment within the appropriate bodies to support a long-term global LME network both politically and financially.</p> <p>Risk of discord between global agencies over responsibilities for such a global LME networking facility and its funding.</p> <p>Risk that lessons and best practices could be transferred and replication attempted without taking into account local, national or regional differences and requirements that might entirely alter their effectiveness and appropriate nature.</p>
Project Management			
Total financing from UNDP/ GEF (\$)			5,138,460

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF)

COUNCIL (Reference to GEF C.31/8)

Comment French Council member	Response
The Project aims at preserving the fisheries of the Benguela Current in a coordinated way between South Africa, Namibia and Angola.	The signing of the Interim Agreement for the establishment of the Benguela Current Commission (BCC) demonstrates commitment at higher policy and decision making level for coordinated EAF and transboundary management of the LME. The project will, under Outcome 1, directly support the BCC Secretariat with the drafting of a legally binding Treaty, its adoption and ratification by all three member states. In addition, the development, adoption and ratification of MEAs, codes of conduct and guidelines further demonstrates commitment by Angola, Namibia and South Africa to manage the ecosystem holistically, i.e. EAF, by considering the impacts of other coastal and marine based industries such as oil and gas exploration and production, mining and tourism.
As indicated in the PIF, it is crucial for this project to link with the project in preparation with the Orange River Commission (ORASECOM) to articulate the works of the two projects around the management of the Orange River mouth which is a strategic point along the coast in terms of fish stocks preservation.	A partnership and cooperation will be established with ORASECOM, although not a LME, during the first year of the project as part of the overall establishment of partnerships and networks under Outcome 3 (<i>See Annex C below</i>). Cooperation will look at sharing monitoring information and data that can be use in assessing the state of fish stocks in this transboundary region between Namibia and South Africa and the incorporation of relevant data into the State of the Ecosystem Information System (SEIS) established under the BCLME Program. The BCLME Program also assessed the affects of onshore and near-shore diamond mining on the BCLME near the Orange River mouth which compared the effects of mining-induced plumes and sedimentation to that of river runoff. As a multilateral Commission, the BCC can also draw on best practices and lessons learned of ORASECOM with its own institutional and organisational setup.

Comment American Council member	Response
This project appears well placed to build on the previous Benguela project to improve governance over transboundary resources, and this is to be applauded.	The signing of the Interim Agreement for the establishment of the Benguela Current Commission (BCC) demonstrates commitment at higher policy and decision making level for improved regional governance of the LME.
The project, however does not seem to have a mechanism to monitor and report on benefits that should flow from improved governance, including with regard to fish stocks and reduced degradation of coastal resources. How will benefits be measured and reported on.	The BCLME Program undertook a study which assessed the cost effectiveness of the SAP Implementation project as an intervention to maximise economic gains from the joint management and sustainable harvesting. This Project will minimise the economic risks of non-cooperation by establishing a framework within which the countries can effectively manage these resources. The maximum value of this risk of non-cooperation is the current economic rent derived by all the countries from shared stocks which equates to approximately US\$110 million per annum. The long-term costs for the protection of this resource are calculated to be in the order of US\$8 million per annum. The study identifies that an estimated potential increase in economic rent derived from cooperative management could be a further US\$150 million (studies have shown that the effective cooperative ecosystem-approach to management of the hake stocks alone could increase available income by 40%). The implementation costs for this further layer of management have been calculated to be a further US\$16 million per annum. Therefore, a 7% increase in investment will provide insurance against loss of US\$110 million in economic rent and a further investment of US\$8 million could release benefits of another US\$150 million (nearly a twenty-fold return on investment). The initial capital outlay by GEF to establish this structure would be US\$1.3 million per annum over 4 years with a further input from the countries of US\$14.8 million per annum. The project should replicate the study undertaken by the BCLME Program in year 4 to provide a comparison for the ‘baseline’ presented above, although it might be soon to measure real economic gains.

ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT WITH GEF FUNDING

<i>Position Titles</i>	<i>\$/ person week</i>	<i>Estimate d person weeks</i>	<i>Tasks to be performed</i>
For Project Management			
Local			
Administrative Assistant	625	90	Administrative and logistical assistance to the Project Manager/ Advisor and the BCC Secretariat to meet project objectives
International			
Project Manager/ Advisor (12% effort)	2,400	22	Daily management and coordination of project implementation and activities. Ensuring that procedures are followed for procurement, accounting, etc.
For Technical Assistance			
Local			
Technical Assistance and Facilitation Consultant: Establishment of Management Advisory Committees (MACs)	1,800	12	TA and facilitation support to the BCC for the establishment of Management Advisory Committees. Drafting of ToRs, solicitation of nominations, etc. [Output 1.1]
IW Indicator Development Consultant	1,800	15	Developing process, stress reduction, and environmental status IW indicators inline with GEF's M&E framework and policy. Establish baselines, data sources, frequency and cost of data collection and method of reporting for each indicator. Ensure linkages to the Science Plan, RAP and local NAPs [Output 1.1]
Monitoring and Evaluation technical assistance to the BCC and its National Focal Points	1,800	15	TA to the BCC and each National Focal Point during year 1 with the implementation and reporting of the IW and SAP IMP indicators (ProDoc logframe). Verification of baselines (data and sources), compilation of data for Y1 reporting. Annual limited TA for each NFP for M&E and reporting. [Output 1.1]
Technical Assistance and facilitation support to NFPs to incorporate Science Plan activities into NAPs	1,800	12	TA to each NFP with incorporation of Science Plan activities into the NAPs for the initial 3-year period. TA in Y4 for incorporation of Science Plan activities into next 3-year NAPs. [Output 1.1]
TA for identification and establishment of transboundary MPAs/ Management Zones	1,800	24	Technical assistance, facilitation and coordination support to the BCC for the identification and establishment of transboundary MPAs/ Management Zone for the rebuilding of fish stocks and protection of habitats. [Output 1.2]
Technical Assistance for the ratification and implementation of the Abidjan Convention	1,800	6	TA to Namibia and Angola with the preparation of necessary documents and consultations with stakeholders to ratify the Abidjan Convention. This is inline with the BCCs commitment to international obligations through its member states in the context of transboundary LME management and EAF. Limited TA to South Africa for the implementation of the Convention. [Output 1.2]
Local consultant for the development of Multilateral Management Instruments (protocols, guidelines, codes of conduct)	1,800	20	Local consultant working with an international consultant for the development of thematic codes of conduct, guidelines and/ or protocols for improved management of the BCLME. Following the adoption of instruments, the local consultant will provide initial capacity building and implementation support to NFPs and implementing authorities. [Output 1.2]

Local consultant: Facilitation and coordination support for the development of the Regional Action Programme (RAP)	1,800	10	Support from a local consultant to collate information, liaise with stakeholders, arrange consultations and provide support to the international consultant on the ground for the review of the SAP and development of a RAP. [Output 1.2]
NAP and RAP implementation support consultant	1,800	24	Guidance and technical assistance support to the BCC, PMU and the three NFPs with the implementation of the NAPs and the RAP. This will entail consultations to ensure synchrony between NAPs and the RAP, developing implementation guidelines and a related work Program. Review of implementation success after 1 year and technical backstopping. [Output 1.2]
Early Warning System review consultant	1,800	10	Inline with the development of the multilateral management instruments and harmonisation of the policy/ legal frameworks for EAF and transboundary LME management, a local consultant will be contracted to review the EWS in the context of the above and in relation to the SEIS. Recommendations will be made for policy and technical improvements of the EWS. [Output 1.2]
Fisheries Fees and Levies Consultant	1,800	10	Consultations with stakeholders for the development and approval of a fee and levy structure for shared stocks. The fee and levy structure will make recommendations for the use of such revenue for transboundary LME management. Support to each country for the adoption and address in the harmonisation of relevant policies/ laws. [Output 1.2]
Artisanal Fisheries Legal Consultant	1,800	8	TA to the BCC for the development of a Regional Regulatory Framework for Artisanal Fisheries. Develop implementation guidelines for the framework. [Output 1.2]
Artisanal Fisheries Monitoring Consultant	1,800	8	Develop monitoring Programs at national level for artisanal fisheries as part of the BCC's LME management strategy. Ensure the capture of data in SEIS. [Output 1.2]
SEAFO-BCC Alignment technical assistance	1,800	6	Based on the roles and mandates of each organisation, develop a cost-effective strategy for closer alignment of the two organisation. The strategy should address EAF and broader LME management with emphasis on data sharing, monitoring, etc. [Output 1.2]
Technical Assistance and Facilitation Consultant: Formation of National Stakeholder Groups	1,800	25	TA and facilitation support to the BCC and the project for the formation of National Stakeholder Groups to support the BCC and project activities. Support for operationalisation of each stakeholder group. [Output 2.1]
TA for development and implementation of regional MCS procedures	1,800	16	Review of current monitoring, control and surveillance (MCS) in each country and developing procedures for regional MCS. Providing limited implementation support to each country and the BCC. [Output 2.1]
National Action Plan (NAP) Development Consultant	1,800	18	TA support to each country for the development of NAPs for EAF and transboundary management of the LME. [Output 2.2]
Legal and Policy TA consultant: Implementation of guidelines	1,800	18	TA at national level for the implementation of policy and legislative reform guidelines. [Output 2.2]
National Focal Point (1 in each country. Figures indicative of one NFP)	865	560	National level implementation and coordination of BCC and related activities supported by the project. Support for the development of National Action Plans, guidelines for policy/ legal reforms, implementation and monitoring of IW indicators. [Outcomes 1-4]

Institutional Development Consultant	1,800	11	TA to the BCC to explore the creation of a Regional Professional Association of Marine Experts/ Specialists. [Output 3.1]
Mentoring and Partnership Consultant (for training and capacity building)	1,800	12	TA to the BCC for the development of international mentoring Programs and the establishment of strategic institutional partnerships for long-term sustainable skill transfer and capacity building. [Output 3.1]
Human Resource Consultant	1,800	16	Conduct an Independent Professional Skills Audit for EAF and transboundary LME management and develop a Regional Human Resource Development Strategy for the BCC related to the TCB Strategy for Ecosystem Management (prepared during project development). [Output 3.1]
Financial Sustainability Planning Consultant	1,800	16	TA to the BCC for the development of 5-year regional and national sustainable funding Programs for the BCC. [Output 3.2]
International LME Partnership Development Consultant	1,800	12	Development of partnerships with other LMEs (building on the Pan-African LME Network) guided by detailed ToRs for roles/ responsibilities, joint Programs, funding and timelines to mainstream and strengthen the LME management approach. [Output 3.3]
Local Partnership Development Consultant	1,800	16	Development of national level partnerships (through LoAs, MoUs) with line ministries, NGOs and the private sector for improved national effort for EAF and transboundary LME management. Consolidating a partnership portfolio for the BCC based on international LME and national partnerships. Develop partnership implementation guidelines for the BCC. [Output 3.3]
Stakeholder Participation Strategy Consultant	1,800	16	Building on the Stakeholder Participation Plan (SPP) developed during project preparation, develop a strategy for long-term cost effective, yet meaningful stakeholder participation in the BCC. This should also entail the development of a stakeholder participation fund. [Output 3.4]
Consultant for the Assessment of the use of Case Studies by the BCC for improved management	1,800	24	Annually assess the use by the BCC of best practice and lessons learned case studies. Developing recommendations to improve the case studies, based on BCC feedback, for use in decision making and management. [Output 4.1]
International			
Project Manager/ Advisor (88% effort)	2,400	167	Ensuring that all outcomes are achieved through technical input and advice to project stakeholders and the BCC. Lead and technically oversee work programming, activity implementation, management and coordination of consultancies and subcontracts, quality assurance of outputs, monitoring and evaluation, reporting and, timely disbursement of funds. [Outcomes 1-4]
Legal and Policy Advisor: Guidelines for policy and legislative reforms	3,000	6	Development of national and regional guidelines for policy and legal reforms necessary to operationalise the BCC. [Output 1.1]
EAF Work Programming Consultant	3,000	4	Development of regional EAF work Programs with specific associated technical studies related to transboundary management approach. [Output 1.1]
Treaty Development Consultant	3,000	6	Drafting of a legally binding Treaty for adoption and endorsement by the BCC Ministerial Conference. [Output 1.2]

Regional Action Programme (RAP) Development Consultant	3,000	8	Review of the Strategic Action Program (SAP) and development of a RAP. The project will support the BCC with RAP implementation for the 4-year period. [Output 1.2]
Consultant for the development of Multilateral Management Instruments (protocols, guidelines, codes of conduct)	3,000	14	Development of thematic codes of conduct, guidelines and/ or protocols for improved management of the BCLME. [Output 1.2]
Monitoring Development Consultant	3,000	6	TA to the BCC for the development of directives on Standard Ecosystem-Focused Monitoring for integration into NAPs to support transboundary LME/ fisheries management. [Output 1.2]
MEA Development Consultant	3,000	12	Development MEAs related to the LME and to transboundary management and support for their ratification. [Output 2.2]
Case Study Development Consultant	3,000	8	Developing a format for presenting best practices and lessons learned as case studies; TA support to the MACs for identification of themes and, developing a work plan with costs and timelines for case study development. Case studies will be shared with other LMEs, especially within the Pan-African LME Network and globally via IW:LEARN. [Output 4.1]
Science Communication Consultant	3,000	16	Developing a format for presenting critical policy and management information to the BCC. This will include four weeks per year for TA to the BCC for the extraction of scientific and technical information and data and the translation thereof into policy and management recommendations for decision making. [Output 4.1]
LME Network Development Consultant	3,000	6	TA to the BCC for the development of formal LME networking LME process with African LMEs to include at least biennial meetings for information sharing and discussion. [Output 4.2]

**ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS
EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.**

The main Objective of the PDF-B was: “*To prepare a Project Proposal and full Project Document for funding by GEF, the governments of Angola, Namibia and South Africa and, other cooperating partners to implement the Benguela Current LME Strategic Action Program for the restoration of depleted fisheries and the reduction of coastal resources degradation*”.

The following Stages for PDF-B implementation were identified:

Stage 1 “Technical Feasibility and Needs Assessment”

Stage 2 “Project Scoping and Definition”

Stage 3: “Stakeholder Engagement and Ownership/Endorsement”

Stage 4: “PPG Management”

All stages have been completed and the Objective has been achieved. Following the submission and approval of PIF by the GEF Council as part of the GEF Work Program in November 2007, the Project Document on “*Implementation of the Benguela Current LME Strategic Action Program for Restoring Depleted Fisheries and Reducing Coastal Resources Degradation*” has been prepared for submission to GEF Secretariat to request CEO endorsement.

A. DESCRIBE, IF ANY, FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION.

No further findings that may affect Project Design or concerns on project implementation.

B. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF Amount (\$)</i>				<i>Co-financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To-date</i>	<i>Amount Committed</i>	<i>Uncommitted Amount*</i>	
Technical Feasibility and Needs Assessment	Completed	125,900	126,000	0	0	28,600
Project Scoping and Definition	Completed	124,450	117,000	0	0	27,200
Stakeholder Engagement and Ownership/ Endorsement	Completed	29,500	36,450	0	0	38,000
PPG Management	Completed	30,600	31,000	0	0	29,000
Total		310,450	310,450	0	0	122,800

* Uncommitted amount should be returned to the GEF Trust Fund. Please indicate expected date of refund transaction to Trustee.