



GEF SECRETARIAT REVIEW FOR FULL/MEDIUM-SIZED PROJECTS* THE GEF/LDCF/SCCF/NPIF TRUST FUNDS

GEF ID:	5674		
Country/Region:	Regional (Uganda, Congo DR)		
Project Title:	Lakes Edward and Albert Integrated Fisheries and Water Resources Management Project		
GEF Agency:	AfDB	GEF Agency Project ID:	
Type of Trust Fund:	GEF Trust Fund	GEF Focal Area (s):	International Waters
GEF-5 Focal Area/ LDCF/SCCF Objective (s):	IW-1; IW-3;		
Anticipated Financing PPG:	\$0	Project Grant:	\$8,100,000
Co-financing:	\$23,425,000	Total Project Cost:	\$31,525,000
PIF Approval:	February 05, 2014	Council Approval/Expected:	March 21, 2014
CEO Endorsement/Approval		Expected Project Start Date:	
Program Manager:	Astrid Hillers	Agency Contact Person:	Oladapo Olagoke

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion ¹	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
Eligibility	1. Is the participating country eligible ?	Yes, DRC and Uganda are eligible.	See above.
	2. Has the operational focal point endorsed the project?	Yes, both OFPs from DRC and Uganda have endorsed the project.	See above.
Resource Availability	3. Is the proposed Grant (including the Agency fee) within the resources available from (mark all that apply):		
	• the STAR allocation?	N/A	
	• the focal area allocation?	Yes, the requested funds are available with the IW focal area.	Yes, the requested funds were set aside at PIF stage from the IW focal area.
	• the LDCF under the principle of equitable access	N/A	N/A
	• the SCCF (Adaptation or Technology Transfer)?	N/A	N/A

*Some questions here are to be answered only at PIF or CEO endorsement. No need to provide response in gray cells.

¹ Work Program Inclusion (WPI) applies to FSPs only. Submission of FSP PIFs will simultaneously be considered for WPI.
FSP/MSP review template: updated January 2013

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	<ul style="list-style-type: none"> the Nagoya Protocol Investment Fund focal area set-aside? 	N/A	N/A
Strategic Alignment	<p>4. Is the project aligned with the focal area/multifocal areas/ LDCF/SCCF/NPIF results framework and strategic objectives?</p> <p><i>For BD projects: Has the project explicitly articulated which Aichi Target(s) the project will help achieve and are SMART indicators identified, that will be used to track progress toward achieving the Aichi target(s).</i></p>	Yes, - the project represents a combination of activities and achievements to further develop subsidiary institutional arrangements and actions in the Lake Edward and Albert basin which are consistent with IW-3 and IW-1.	Yes, the endorsement package is in line with the PIF request and aligns with IW - 3 and IW-1. It supports both the creating of bi-national and strengthening of national governance mechanisms as well as on the ground actions.
	<p>5. Is the project consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions, including NPFE, NAPA, NCSA, NBSAP or NAP?</p>	Yes, consistency with PRSP, Nile Basin Strategic plan (endorsed by NEL-COM), EAC as well as the AfDB 's own cooperation frameworks is described. The text could benefit from a bit cleared articulation here.	Yes, the consistency of the project interventions with the Uganda and Congo national policies and with regional frameworks under NELSAP and the NEL Strategic Action programs is outlined.
Project Design	<p>6. Is (are) the baseline project(s), including problem(s) that the baseline project(s) seek/s to address, sufficiently described and based on sound data and assumptions?</p>	<p>(1/20/2014): This section requires clarification, rewriting and better outline of baseline situation:</p> <p>- Baseline versus increment/GEF project: Please clarify AfDB funds, yet one would assume that ADB grant would be new regional money co-financing this project. The AfDB funds would then be part of the alternative/increment ("GEF project") and no need to repeat the component descriptions. Please confirm.</p> <p>- Baseline and achievements of LEAF - please clarify the baseline situation/baseline description: e.g, on</p>	Yes, the baseline situation in Lake Edward and Albert baselines is well explained and includes a good overview of the current situation not only with regards to fisheries but also in regard to urbanization, oil exploration, population influxes and baseline in terms of governance aspects.

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		<p>fisheries, pollution, environmental planning in the sub-basin countries; including on regional level.</p> <p>(1/24/2014): The comments above have been addressed and the PIF been rewritten now clearly showing the GEF/AFDB co-finance as increment. Key initiatives in the baseline need to be coordinated with in project design and elaborated on by CEO endorsement.</p>	
	<p>7. Are the components, outcomes and outputs in the project framework (Table B) clear, sound and appropriately detailed?</p>	<p>(1/20/2014): there seems to be confusion on the description of baseline project and increment. AfDB funds described complement and co-finance the increment. Due to this comments that will be provided here cannot be entirely complete or accurate and we would like to alert that we can only fully comment once we receive the revised PIF.</p> <p>Likely due to this confusion, table B and the text do not fully align.</p> <p>Please improve the project component description. at present the GEF components of the alternative are rather vaguely described and do not allow for a clear picture of anticipated project achievements. It is expected that the revision of the PIF to adequately describe the baseline situation versus the proposed project (GEF and Co-finance) will clarify many of these details and we would best comment in more detail on this revision. We are also always available for additional bilateral phone conversation to clarify this in detail.</p>	<p>Yes, the project framework (table B) and the component detail description is well detailed. It should be noted that the project is a blend with the AfDB finance which is essential to have secured this direct/blended co-finance given the ambitious scope of interventions of the project.</p> <p>Please - during project implementation - keep in mind that GEF IW funds should not be used for new hydromet stations. As can be seen from the AFDB budget table these are indeed foreseen to be covered via co-finance. It is also of key importance to secure firm commitment from the two countries to cover O&M costs of the monitoring stations BEFORE starting the activities (during implementation of the project).</p> <p>The project implementation details are very well detailed and key TORs well developed and attached which should enable swift start-up of the project.</p> <p>For specifics of the cage aquaculture</p>

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		<p>Below a few comments - yet please note that there will be new/additional comments likely once we see the revised PIF for reasons described above. The current version does not enable adequate detailed review - below are just a few initial detailed comments :</p> <ul style="list-style-type: none"> - Table B mentions improved fish processing, which would reduce post harvest losses. This is appreciated, yet as the output goes on to mentioned information systems, it is not clear if this also refers to the processing (as in information on). Please provide clarity in this regard. - From description it is not clear what the vision for sustainability of the fund for MCS systems is. This appears as an interesting idea, but what is the innovativeness to make it sustainable? - Component 2 mentions that there is no agreement on lakes management between the two countries. what is the standing of the Integrated Sustainable Lake Management Plans that resulted from LEAF? - If there is nothing in place though - would it make sense to include an equivalent of a focussed TDA/SAP for this sub-basin? - Please include in table B a budget of allocation of at least 1 % of grant to be 	<p>pilot implementation, there is sufficient emphasis that the process will study suitable locations and environmental and financial viability of the operation. Specific emphasis should be made to ensure that the pilots use species that do not cause threats to taking over natural fish populations given that generally there is a threat of fish escaping the cage installations.</p>

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		<p>allocated to participation in IW:Learn activities (e..g incl. regional meetings, bi-annual GEF conferences, establish functional project website, etc) but suggest to budget more than 1 % overall for KM, drawing of lessons and outreach/awareness campaign efforts to underpin sustainable lake management. This may best done within a separate component.</p> <p>(1/24/2014): The PIF has been substantially rewritten taken above comments into consideration. The overall project is well thought through. At the same time it is ambitious and the comments in question 25 may aid in streamlining and focussing project activities during project design.</p>	
	<p>8. (a) Are global environmental/adaptation benefits identified? (b) Is the description of the incremental/additional reasoning sound and appropriate?</p>	<p>(1/20/2014) The section on GEBs is missing.</p> <p>For comment on clarity of increment versus baseline, please see comment 7 above.</p> <p>(1/24/2014): yes, GEBs are described in sufficient detail in the PIF. The additional reasoning in the revised PIF is clear and well articulated.</p>	<p>Yes, the project document describes the additional reasoning and GEBs in detail. The project is well articulated and thought through in this regard and builds its reasoning with consideration and account of ongoing regional and national efforts.</p>
	<p>9. Is there a clear description of: a) the socio-economic benefits, including gender dimensions, to be delivered by the project, and b) how will the delivery of such benefits support the achievement of incremental/ additional benefits?</p>		<p>(1/20/2014): this will be revisited and commented on after resubmission and revision of the PIF.</p> <p>(1/24/2014): Yes, this is well described across various sections of the PIF, including specifically highlighting the role of women.</p>

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			<p>AT ENDORSEMENT:</p> <p>Yes, there is detailed description in each component describing benefits both to men and women and outlining community, CSO and local involvement in the relevant/respective sub-components.</p>
	<p>10. Is the role of public participation, including CSOs, and indigenous peoples where relevant, identified and explicit means for their engagement explained?</p>	<p>(1/20/2014): this will be revisited and commented on after resubmission and revision of the PIF. There is some description of this in the general sections but not clear for the project components and activities.</p> <p>(1/24/2014): The PIF revision provides detail in this regard , including partnership of NEL with the Nile Basin Discourse.</p>	<p>Yes, see above. The project describes community involvement in specific terms with emphasis in the components that support on the ground measures (such as e.. community based watershed management, fisheries pilots etc.).</p> <p>It makes specific provisions and outlines quantifiable targets for women involvement and benefits from the project.</p>
	<p>11. Does the project take into account potential major risks, including the consequences of climate change, and describes sufficient risk mitigation measures? (e.g., measures to enhance climate resilience)</p>	<p>(1/20/2014): The PIF includes a risk section and there are a number of significant risks to project success. Please include acknowledgement of rather fragile security situation on the ground in parts of the sub-region. in addition, the risk for being able to handle water quality related management and monitoring a likely higher than indicated. Please enhance mitigation measures on high risk items.</p> <p>(1/24/2014): Comment has been addressed.</p>	<p>Yes, the project describes the key risks and describes risk mitigation measures. It realistically describes the local situation and risk for conflicts in the sub-basin areas as 'moderate to high'.</p>
	<p>12. Is the project consistent and properly coordinated with other related initiatives in the country or in the region?</p>	<p>(1/20/2014): There is very little mention of ongoing activities on related activities. Please strengthen.</p>	<p>Yes, the project document, component description and implementation structures on regional, national and local level are designed to assure coordination</p>

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		(1/24/2014): Comment has been overall addressed in the PIF revision and further detail to be part of project design.	with ongoing related efforts on regional and national levels.
	<p>13. Comment on the project's innovative aspects, sustainability, and potential for scaling up.</p> <ul style="list-style-type: none"> • Assess whether the project is innovative and if so, how, and if not, why not. • Assess the project's strategy for sustainability, and the likelihood of achieving this based on GEF and Agency experience. • Assess the potential for scaling up the project's intervention. 	<p>(1/20/2014): Overall - yes, as the project builds by solid TA by AFDB on the ground addressing sustainable lake management under the framework of NEL and the NELSAP. The region is not easy to access and work in and fisheries are of key importance to the population around the lake while at the same time water quality in the lake is increasingly threatened by urbaization and extractive industries (incl mining and recent oil concessions that will add to threats). We will expand on this in more detail after review of the revised PIF.</p> <p>(1/24/2014): The revised PIF has includes an extensive section on this and includes the decision suport aspects that the project will provide.</p>	<p>The project is unique in combining efforts to assure long term planning, establishing and adopting on ministerial levels long term institutional structures and lake managements strategies with on the ground measures. The latters will be aligned with and will expand and enhance national and local implementation structures in the localities of intervention and will therefore build a foundation of scaling these up beyond the specific project areas in the future. The project also emphasizes solid participation structures on various levels and assuring benefits on local, national and regional levels. This is ambitious but in this case realistic as the project builds in a variety of achievements and agreements/guidance already adopted within the framework of the Nile Basin Initiative and the Nile Equatorial Lakes subsidiary action program. The project furthermore addressed policy measures and pilots a combination financial/micro-credit schemes tin conjunction with support innovative pilots. This will aid in the long-term sustainability and future scale-up.</p>
	14. Is the project structure/design sufficiently close to what was presented at PIF, with clear justifications for changes?		Yes.

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	15. Has the cost-effectiveness of the project been sufficiently demonstrated, including the cost-effectiveness of the project design as compared to alternative approaches to achieve similar benefits?		Yes, this is well described in the project documentation (see also previous comments).
Project Financing	16. Is the GEF funding and co-financing as indicated in Table B appropriate and adequate to achieve the expected outcomes and outputs?	<p>GEF co-finance needs to be enhanced e.g. please clarify government commitment in form of in-kind or cash co-finance. Please indicate the likely source of the other 10 million co-finance (besides AfDB).</p> <p>(1/24/2014): Co-finance has been enhanced and substantial AfDB co-finance, government co-finance and collaboration with Sida will provide good base for a very ambitious program. The co-finance ratio is somewhat smaller than in other IW projects yet (i) this is a very fragile and remote region with less ongoing investments and (ii) there is good likelihood that for AfDB to mobilize additional bilateral funds.</p>	Yes. The project is a blend with the AfDB finance. It is essential to have secured this direct/blended co-finance given the ambitious scope of interventions of the project.
	17. <u>At PIF</u> : Is the indicated amount and composition of co-financing as indicated in Table C adequate? Is the amount that the Agency bringing to the project in line with its role? <u>At CEO endorsement</u> : Has co-financing been confirmed?	(1/20/2014): The co-finance from AfDB of around 17 million direct co-finance is adequate. There may be additional related parallel co-finance that has not been accounted for. Please also see comment under 16.	Yes. A letter of co-finance is attached.
	18. Is the funding level for project management cost appropriate?	(1/20/2014): yes, slightly above/aorund 5 % of grant sub-total.	Yes, see comment at PIF stage.
	19. <u>At PIF</u> , is PPG requested? If the requested amount deviates from the norm, has the Agency	(1/20/2014): Yes, PPG is requested and within the norm.	Yes. the agency is reporting on the use of PPG funds.

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	provided adequate justification that the level requested is in line with project design needs? <u>At CEO endorsement/ approval</u> , if PPG is completed, did Agency report on the activities using the PPG fund?		
	20. If there is a non-grant instrument in the project, is there a reasonable calendar of reflows included?	N/A	N/A
Project Monitoring and Evaluation	21. Have the appropriate Tracking Tools been included with information for all relevant indicators, as applicable?		The tracking tools are included , but no entries/values appear in the file submitted. Please resubmit the tracking tool.
	22. Does the proposal include a budgeted M&E Plan that monitors and measures results with indicators and targets?		Yes, a budgeted M&E plan is attached.
Agency Responses	23. Has the Agency adequately responded to comments from:		
	• STAP?		Yes, STAP comments have been addressed.
	• Convention Secretariat?		N/A
	• The Council?		N/A
	• Other GEF Agencies?		N/A
Secretariat Recommendation			
Recommendation at PIF Stage	24. Is PIF clearance/approval being recommended?	(1/20/2014): No, the PIF is not recommended for WP inclusion yet. Please resubmit addressing comments raised. (1/27/2014): The PIF is technically cleared and recommended for inclusion in a future workprogram.	
	25. Items to consider at CEO	Please address the following by CEO	

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	endorsement/approval.	<p>endorsement:</p> <ul style="list-style-type: none"> - Component 1- the overall component is ambitious, e.g. please consider if it realistic to invest very substantially in monitoring and surveillance systems, if at the same time the project is still establishing a baseline for sustainable levels of fishing. - Clearly established targets for sustainable fisheries - we assume - are an output of the project (incl. not only catch, but also gear restrictions and closures - as appropriate). It will be important to base this not only on science but also make sure this establishes the impacts on people and is built on consultations and campaigns to build awareness and buy-in. - Output 1.3 discusses control and surveillance, however, there are other aspects of enforcement, including awareness of regulations and the actual legal system. Too often the illegal fishers are identified and caught, but they aren't convicted because the legal system is too weak. This aspect needs to be considered. - Component 1.1. - the scope/nature of the 'financing mechanisms for future investments' to be explored needs clarification. Same pertains to the "sustainable fund for MSC" for operation of MSC. - While there is mention of monitoring and research in Outputs 1.3 and 1.4 the focus is on ecological aspects. For this project to have stakeholder buy-in, compliance and ultimately sustainability, the socioeconomic context of fisheries and water management issues and the 	

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		<p>socioeconomic impacts of proposed management strategies need to be understood. The text reflects a good sense of some of these issues (e.g. they noted barriers of low levels of education and literacy); however, it is essential to examine the socioeconomic impacts of policy decisions. We would urge to incorporate an economist and a social specialist/anthropologist into the project to address this aspect.</p> <p>- Component 1.5 - Intro of technology for food processing: The idea of reducing post catch losses is appropriate and relevant. During project design, please conduct analysis of market for processed fish (i.e. do people consume/are used to dried products). In addition, please take account of possible environment impacts of the introduction of new technologies e.g. these have a potential to lead to over-exploitation of fish by opening broader markets and therefore incentives for overharvesting.</p> <p>- Component 1.6 - Transboundary Learning: Suggest to consider in project design to split out/separate a component that combines KM and learning and related outputs across components 1 and 2 (IW:learn; outreach/public awareness, conflict resolution).</p> <p>- Component 2.2 - in nature of the content of the current ILMP (developed under LEAF) these are equivalent to a combined TDA/SAP. Please in updating, take advantage of the process and content guidance in the TDA/SAP manual on the IW:Learn website. It provides useful</p>	

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		<p>information e.g. on underlying participatory processes, as well as content. Please note that this manual is NOT intended to be prescriptive. The commitment for adoption on ministerial is noted. Very important and good that this is clearly indicated.</p> <ul style="list-style-type: none"> - Also, while the consideration of increased climate variability and change are clearly indicated to be one aspect of updating the ILMPs, please consider throughout the project where those changes and impacts including increasing resilience may already need to be factored in (the recent NEL study may provide one good base for it). - Component 2.4 - realistic targets for enhanced pollution control need to be established. Additionally, government commitment (via co-finance) needs to be formalized in project design to assure that investments in water quality monitoring will be sustained by government (incl. O&M costs) and hence is sustainable after project closure. - Component 2.5 - community watershed management: again, this seems somewhat oddly placed within component 2. In project design you may want to consider to have this is a separate component as both actors and institutional set-up will differ from other in component. In order to not overload one project with too many different actors and challenges, project design may want to explore if a SGP-type set-up could provide a good implementation modality for thesetype of activities. It could build on the 	

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		experiences of the Nile Microgrants.	
Recommendation at CEO Endorsement/ Approval	26. Is CEO endorsement/approval being recommended?		The project is well designed and has taken previous comments into account. Please resubmit with a completed tracking tool attached at your earliest convenience. Pending the submission of the revised tracking tool the project is recommended for CEO endorsement.
	First review*	January 20, 2014	March 19, 2016
Review Date (s)	Additional review (as necessary)	January 27, 2014	
	Additional review (as necessary)		

* **This is the first time the Program Manager provides full comments for the project. Subsequent follow-up reviews should be recorded. For specific comments for each section, please insert a date after comments. Greyed areas in each section do not need comments.**