

# Scientific and Technical Advisory Panel

The Scientific and Technical Advisory Panel, administered by UNEP, advises the Global Environment Facility  
(Version 5)

## STAP Scientific and Technical screening of the Project Identification Form (PIF)

Date of screening: October 01, 2013

Screener: Douglas Taylor

Panel member validation by: Jakob Granit  
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### I. PIF Information *(Copied from the PIF)*

**FULL SIZE PROJECT    GEF TRUST FUND**

**GEF PROJECT ID:** 5513

**PROJECT DURATION :** 5

**COUNTRIES :** Regional (Kenya, Comoros, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, Tanzania, South Africa)

**PROJECT TITLE:** Western Indian Ocean LMEs Strategic Action Programme Policy Harmonization and Institutional Reforms SAPPHERE Project

**GEF AGENCIES:** UNDP

**OTHER EXECUTING PARTNERS:** Government

**GEF FOCAL AREA:** International Waters

### II. STAP Advisory Response *(see table below for explanation)*

Based on this PIF screening, STAP's advisory response to the GEF Secretariat and GEF Agency(ies): **Major revision required**

### III. Further guidance from STAP

1. STAP supports in general efforts to build investment projects based on the SAP "For Sustainable Management of the Western Indian Ocean Large Marine Ecosystems" that the participating countries are preparing to endorse in this large area (three LMEs in the West Indian Ocean from Somalia in the North, South Africa in the South and including the EEZs of the major western Indian Ocean island states). The SAP builds on a comprehensive TDA (2012) and is focusing on support to policy reform and to catalyze public and private financing. The TDA/SAP has identified four key problems to address collectively: Water Quality Degradation; Habitat and Community Modification; Declines in Living Marine Resources; and Environmental Variability and Extreme Events. Baseline scenarios and natural and social science data is presented in the TDA. An ecosystem approach to governance is proposed based on a Large Marine Ecosystem (LME) boundary definition in the SAP.
2. The TDA/SAP process builds in turn on three key completed projects: "Addressing Land-Based Activities in the Western Indian Ocean" (WIO-LaB), implemented by the United Nations Environment Programme; "The Southwest Indian Ocean Fisheries Project" (SWIOFP), implemented by the World Bank; and "The Agulhas and Somali Current Large Marine Ecosystems Project" (ASCLME), implemented by the United Nations Development Programme. Similar to the proposed SAPPHERE UNDP implemented project, UNEP proposed a PIF that was approved in early 2013 called "Implementation of the Strategic Action Programme for the protection of the Western Indian Ocean from land-based sources and activities". A subsequent investment project building on the SAP is expected by the World Bank. Each of the projects would have a slightly different focus but share many work areas.
3. The proposed very large project is expected to draw upon the regional strengths of the scientific and technical partnerships created during predecessor project activities as well as by other national and regional projects and initiatives operating in the region. This screen, which recommends major revision to the project concept, will therefore focus on the proposed project logic regarding activity selection and upon governance aspects and related activities and outcomes. STAP remains very concerned, however, that if these issues are not adequately addressed that this may cause significant impact in issues of a technical nature in project delivery.
4. The project area includes 10 countries and has a population of about 160 to 193 million people. The region is diverse in both cultures and its political economy. The proposed components cover management and policy reform through a knowledge based governance mechanism; stress reduction through community level (pilot) stakeholder engagement; stress reduction through private (pilot) sector/industry management practices; new management

mechanisms including MSP; and capacity building and training all with multiple and sometimes overlapping outputs. From an ecosystem perspective there is clearly a strong interconnectedness which could justify a single "Mega-LME" approach. However, to invest in addressing key environmental problems in such a large area with in many instances weak governance and management capacities will demand prioritizing actions in key geographic areas considering the limited resources available.

5. STAP recommends that the project design team focuses on some key aspects of SAP implementation and limits the number of activities to achieve results in this vast region. STAP accepts that the SAP represents a clear mandate by the participating countries for an implementation project and understands the need to put in place a comprehensive set of proposals for SAP implementation. Nevertheless STAP advises that the project concept needs major revision to demonstrate that the proposed actions flow from a well-considered analysis of the SAP-agreed actions. STAP's reasoning is that there appears to be a strategic disconnect between the detailed menu of issues and actions within the SAP and the formulation of the present project concept and no clarity on where these activities in this vast region should be implemented. The PIF details a range of specific proposed actions, without presenting the reasoning process (and its ownership) that led to their selection. For example, the capacity building and training programme (SAP, section 4.B.) identifies regional challenges and calls for a 'Capacity Building and Training Coordination Group/Panel' which would address, and presumably prioritize, these challenges. The PIF, however, appears to jump ahead towards a single 'African Centre for Capacity Building in Ocean Science and Governance (AfriCOG)' thus leading to an important question about sustainability, role of other regional training bodies, cultural and language issues.

6. STAP further notes that there is lack of a clear governance strategy in which to place this proposed investment project as well as the other two planned SAP investment projects. GEF and its partners are recommended to take the broader regional political and economic context into account in the design of the suite of SAP investment projects and to remove the barriers that are noted in the SAP. It will be necessary to be more area specific considering the difference in the political economy throughout this large region to ensure lasting impact. This goes beyond coordination between the three implementing agencies (for the three expected projects to support SAP implementation). SADC and the EAC (multipurpose regional development organizations) are mentioned in the SAP as having sophisticated coastal and ocean governance and management frameworks in place. These should be considered in addition to the more specialized organizations focusing on e.g. fisheries or biodiversity issues in the three LMEs through a broad governance analysis.

7. The Policy and Governance Assessment in the SAP notes that the western Indian Ocean Region has a "plethora of regional institutions that have legal competence in relation to various and diverse aspects of marine resource management in the region" but conclude that there is limited appetite for creating new regional bodies. Therefore an approach is proposed to invest in the Western Indian Ocean Sustainable Ecosystem Alliance (WIOSEA) to support an ecosystem based approach to management involving many organizations and institutions. This may be a sound approach to promote capacity building. However, long term sustainability beyond the project may not be resolved through this approach which is primarily based on networking of specialized organisations. Many proposed activities that are science and learning focused would however fit well into a strategy of supporting the WIOSEA. An approach supporting WIOSEA could justify a process of prioritizing project activities to be carried out (see item 5).

<i>STAP advisory response</i>	<i>Brief explanation of advisory response and action proposed</i>
<b>1. Consent</b>	<p>STAP acknowledges that on scientific or technical grounds the concept has merit. However, STAP may state its views on the concept emphasizing any issues where the project could be improved.</p> <p>Follow up: The GEF Agency is invited to approach STAP for advice during the development of the project prior to submission of the final document for CEO endorsement.</p>
<b>2. Minor revision required.</b>	<p>STAP has identified specific scientific or technical challenges, omissions or opportunities that should be addressed by the project proponents during project development.</p> <p>Follow up: One or more options are open to STAP and the GEF Agency:            (i) GEF Agency should discuss the issues with STAP to clarify them and possible solutions.            (ii) In its request for CEO endorsement, the GEF Agency will report on actions taken in response to STAP's recommended actions.</p>
<b>3. Major revision required</b>	<p>STAP has identified significant scientific or technical challenges or omissions in the PIF and recommends significant improvements to project design.</p> <p>Follow-up:            (i) The Agency should request that the project undergo a STAP review prior to CEO endorsement, at a point in time when the particular scientific or technical issue is sufficiently developed to be reviewed, or as agreed between the Agency and STAP.            (ii) In its request for CEO endorsement, the Agency will report on actions taken in response to STAP</p>

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