# UNITED NATIONS ENVIRONMENT PROGRAMME
# PROJECT INCEPTION REPORT

## Implementation of the Strategic Action Programme for the protection of the Western Indian Ocean from land-based sources and activities (WIO-SAP)

## PLAN OF IMPLEMENTATION

**April 2017**

# Implementation of the Strategic Action Programme for the protection of the Western Indian Ocean from land-based sources and activities (WIO-SAP)

## EXECUTIVE SUMMARY

To be completed

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# LIST OF ACRONYMS AND ABBREVIATIONS

To be completed

# 1 INTRODUCTION

This Inception Report has been developed in preparation for the WIo-SAP Inception Meeting to be held on the 10th and 11th April, 2017. The contents will form the basis of discussions at that meeting, and the report therefore includes information that is of relevance for discussion by project stakeholders prior to initiation of the project Workplan over the next five years. The Report first places the Project within the current context of the western Indian Ocean (WIO) region by: describing the elements of the WIO-SAP; links with SAPPHIRE, the other major coastal and marine project that will be initiated in the WIO; how WIO-SAP will contribute to country efforts to address the SDGs, particularly SDG14; the relevance of the Project in addressing the WIO Climate Change Strategy (UNEP, 2015) and Programme (UNEP, 2016b); and finally, the importance of ensuring that activities within WIO-SAP are institutionalised within the region for long term sustainability.

The Report then goes on to review aspects that are critical for the overall successful implementation of the Project. These aspects include the Project Strategy, Oversight and Coordination Mechanisms, Selection of Pilot Sites and Implementing Partners, Monitoring and Evaluation Frameworks, and Risk Management. Details of the overall and shorter-term Project Workplans and Budgets are then presented.

## 1.1 Overview of the WIO-SAP Project

The Project entitled '*Implementation of the Strategic Action Programme for the protection of the Western Indian Ocean from land-based sources and activities*' (WIO-SAP) is intended '*to reduce impacts from land-based sources and activities and sustainably manage critical coastal and marine ecosystems through the implementation of the agreed WIO-SAP priorities with the support of partnerships at national and regional levels'*. The WIO-SAP project is largely based on the WIO-LaB Strategic Action Programme (SAP) for the protection of the WIO Region from land-based sources and activities that was developed as part of the UNEP-GEF WIO-LaB Project that was implemented in the WIO Region in the period 2004 - 2010. The WIO-SAP project is thus a response to a request made by the Contracting Parties to the Nairobi Convention and it presents an opportunity to the governments in the region and their conservation partners to jointly implement strategies of protecting the coastal and marine ecosystems from land-based sources and activities to provide essential goods and services on a sustainable basis. Without such an intervention, degradation of the region's valuable coastal and marine resources will continue unabated with a likelihood of reversing gains made by governments and conservation organisations in the region.

The project recognises that concerted management effort will contribute substantially to poverty alleviation and gender equality, through sustainable livelihoods and economic development. The project will build on the national and regional conservation initiatives being undertaken by all participating country governments and conservation organisations involved in the project at the local, national and regional levels. The project addresses main threats to the critical coastal and marine ecosystems of the WIO Region as identified in the TDA developed under the WIO-LaB Project. These include physical alteration and destruction of habitats; water and sediment quality deterioration due to pollution; and the alteration of river freshwater flows and sediment loads. The project addresses cross-cutting issues of governance and awareness which are important in the sustainable management of the coastal and marine ecosystems in the region. To address these main threats, the project has four main components:

- Component A: *Sustainable management of critical habitats* focuses on the protection, restoration and management of critical coastal habitats and ecosystems recognizing the enormous value of healthy critical coastal and marine habitats for the future well-being of people in the WIO region.

- Component B: *Improved water quality* focuses on the need for the WIO Region's water quality to attain international standards by the year 2035.

- Component C: *Sustainable management of river flows* aims at promoting wise management of river basins in the region through implementation of a suite of activities aimed at building the capacity for environmental flow assessment and application in river basins of the region.

- Component D: *Governance and regional collaboration* focuses on strengthening governance and awareness in the WIO region with a view to facilitating sustainable management of critical coastal ecosystems and habitats.

The project responds to the GEF Corporate Goals 1 and 4: '*Global natural resources'* and '*Building national and regional capacities and enabling conditions for addressing transboundary systems*' respectively, and more specifically, to the GEF Strategic Programme objectives for international waters '*catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems*'.

The project contributes to Sub-programme 3 of the UNEP Programme of Work on "Ecosystem management" and in particular expected accomplishments 3(a), (b), and (c) with the aim to contribute to countries increasingly being able to practice integrated management of terrestrial and freshwater ecosystems and mainstreaming cross-sectoral and integrated ecosystem management principles in their development and planning processes [expected outcome (a) and expected accomplishment (b)]. Services and benefits derived from ecosystems will be increasingly integrated into national development planning and accounting [expected accomplishment (c)].

The project contributes to the WIO region's priorities for addressing the impacts of climate change and also supports core human and institutional capacity building in line with other GEF-IW strategic objectives. The project will be implemented and executed through a "Partnerships Approach" with the Nairobi Convention Secretariat being the executing agency. The participating countries include Comoros, Madagascar, Mauritius, Seychelles, Mozambique, Kenya, Tanzania, Somalia and South Africa (UNEP, 2016a).

## 1.2 Project Inception

As indicated in the Project Document (UNEP, 2016a) a project inception workshop will be held at the beginning of project implementation, preferably within the first 3 months. It should be noted that some activities related to project inception have been ongoing since August 2016, and finalisation of preparatory activities such as recruitment of project staff have been delayed to some extent. The Inception Meeting has consequently also been delayed by several months.

The participants in the inception workshop will include partners and agencies that are assigned roles in the project organisational structure including also the representatives of the participating countries, UNEP/DEPI GEF IW and Nairobi Convention Secretariat. The inception workshop will consolidate regional ownership of the project and allow final inputs to be made by stakeholders before key elements of project implementation are finalised for approval by the Project Steering Committee (PSC). The inception workshop report, which will be finalised after inputs are received from the Inception Meeting, will be a key reference document serving to formalise various project mechanisms.

The objectives of the inception workshop include but are not limited to the following:

- Create awareness among the project partners on the various components and activities of the project including modalities of implementing them.
- Discuss and agree on the mechanisms for the selection of project pilot sites.
- Discuss and agree on the mechanisms of recruiting various project partners including agencies that will provide support services.
- Discuss and agree on the project's decision-making structures.
- Discuss roles and responsibilities for monitoring and evaluation of project progress including baseline data needs.
- Discuss and agree on the overall and Year 1 project workplans.
- Create awareness on the financial reporting procedures and obligations, and arrangements for annual audit as set out in the project document.

## 1.3 Links with the SAPPHIRE Project

Similar to the WIOSAP Project, the Western Indian Ocean Large Marine Ecosystems Strategic Action Programme for Policy Harmonisation and Reforms (SAPPHIRE) Project is intended to implement the SAP developed as part of a previous project (ASCLME Project), and is also funded by the GEF. The Project is scheduled to run concurrently with the WIOSAP project from 2017 to 2022, although it is anticipated that Inception of SAPPHIRE is only expected in September 2017. While the Implementing Agency is UNDP, UNEP will execute the project through the Nairobi Convention Secretariat. It is stated in the Project Document (UNDP, 2016) that "For a truly comprehensive LME management approach (watershed to outer offshore boundaries) these two SAPs (the previous WIO-LaB SAP and the current joint ASCLME/SWIOFP SAP) ultimately need to be implemented in collaboration through a cooperative understanding, whilst recognising and respecting the mandates of the various management bodies and institutions".

The design of both projects takes this into account and while the UNEP WIOSAP project is expected to address largely "land-based activities, and the UNDP SAPPHIRE project is expected to focus on policy harmonisation and institutional reforms with a particular emphasis on the offshore waters, there would be close collaboration between the two projects. Specifically in the implementation of a number of activities focused on the development of regional standards for marine water quality parameters and contaminants/pollutants, marine spatial planning, ecosystem valuation, selection and monitoring of critical coastal ecosystem indicators and stress reduction related to critical habitats in the LMEs, and implementation of pilot level community-based management approaches to stress reduction" (UNDP, 2016).

The Nairobi Convention Secretariat is in a unique position to ensure effective coordination due to its role in the execution of both projects. Several tangible mechanisms of collaboration have already been agreed during the preparation of the Project Documents of both projects (UNDP, 2016).

The Project Document details five components for SAPPHIRE:

- Component 1: *Supporting Policy Harmonization and Management Reforms towards improved ocean governance* focuses on support of management and policy reforms for SAP implementation

- Component 2: *Stress Reduction through Community Engagement and Empowerment in Sustainable Resources Management* focuses on the need for more effective community engagement in the overall management process, with an emphasis on demonstrating such engagement and involvement at the localised level, and particularly in relation to small-scale, artisanal fisheries and associated small-area management approaches.

- Component 3: *Stress Reduction through Private Sector/Industry Commitment to transformations in their operations and management practices* aims to develop effective mechanisms for interaction between the maritime industrial sector and governance bodies in the development of joint management approaches within the LMEs.

- Component 4: *Delivering best practices and lessons through innovative ocean governance demonstration* will demonstrate best lessons and practices in strengthening partnerships for management of areas beyond national jurisdiction (ABNJs) that nevertheless still fall within the LMEs and therefore have transboundary influence and implications. It will also demonstrate the integrated use of Marine Spatial Planning and the Blue Economy framework into the development of Ocean Governance and Policy, in close partnership and collaboration with the WIOSAP project which is also addressing marine spatial planning with an emphasis on coastal and nearshore planning.

- Component 5: *Capacity Development to Realise improved ocean governance in the WIO region* addresses the on-going needs for capacity development and the coordination of training and capacity strengthening within the region in relation to effective SAP management and implementation.

Detailed proposals of specific activities that could be implemented jointly by WIO-SAP and SAPPHIRE will be prepared for consideration at the SAPPHIRE Inception meeting WIO-SAP will be strongly represented. However, it is apparent that both projects have activities addressing common elements, although these are not always of a nature where they could be jointly implemented. Common elements include an emphasis on marine spatial planning, ecosystem monitoring and the development of regional indicators for water quality, the evaluation of ecosystem goods and services, support to scientific platforms and the science to policy interface, and improved regional governance in the marine and coastal sector.

In order to ensure coordination and collaboration between WIO-SAP and SAPPHIRE at a practical level, it is proposed that joint Steering Committee meetings are held from Year 2 (2018). Further, it is proposed that the 1st WIO-SAP Steering Committee meeting be held back-to-back with the SAPPHIRE Inception Meeting later in 2017. This will ensure that communication between the projects will be initiated early, and allow agreement to be reached on potential joint activities and synergies.

## 1.4 Assisting countries to address the SDGs

The SDGs were under development at the time of preparing the Project Document for WIO-SAP. As a result, the way that the SDGs link and can be integrated into the WIO-SAP, and how the WIO-SAP project can contribute to government efforts to address the SDGs, has not been clearly articulated.

The adoption of United Nations General Assembly resolution A/RES/70/1, “Transforming our world: the 2030 Agenda for Sustainable Development” and its 17 Sustainable Development Goals during 2015, provides an updated set of guidelines and targets (169 targets) for sustainable development for the next 15 years. A list of global indicators that should be used to determine if these targets are being met has also been developed.

While Goal 14 focuses specifically on achieving the sustainable use of the oceans and coasts, it is clear that all the Goals are linked to an extent; all geared towards achieving sustainable development within a specified timeframe. Figure 1 illustrates the linkages between SDG 14 and the other Goals.

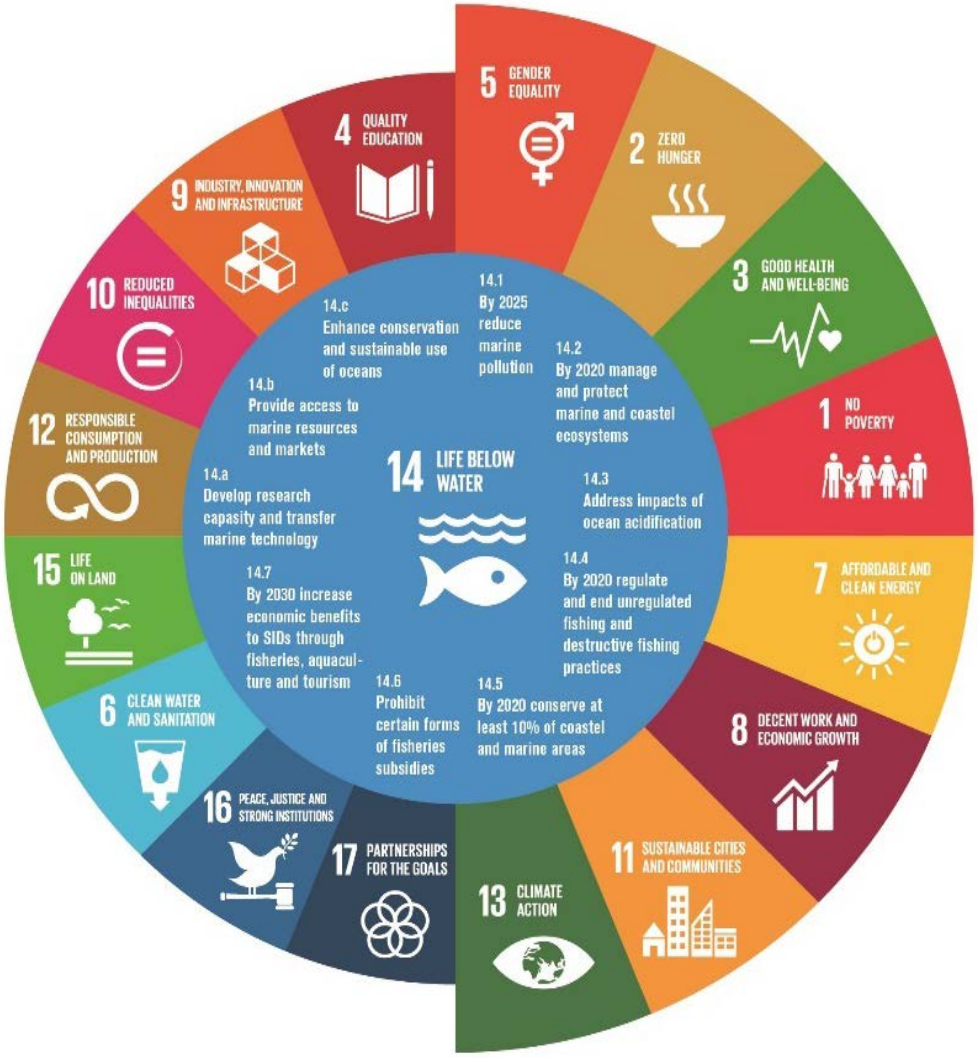



Figure 1. The interlinkages of SDG 14 with other goals.

The WIO region has taken an active role in progressing a regionally coordinated approach to the implementation of the SDGs. The Contracting Parties to the Nairobi Convention agreed to develop a new work programme for 2018-2022 that incorporates SDGs during the 8th Conference of Parties (COP8) in 2015. Through this, the contracting parties to the Nairobi Convention and other key partners will initiate activities aimed at mainstreaming the SDGs into the regional agenda (Francis, 2016).

The WIO-SAP Project, working with regional partners and national institutions, could assist the countries of the region in setting up a baseline for some of the SDG 14 targets, and develop mechanisms to track progress over time, both at a national and regional level. In addition the project, through its activities, will play a key role in mainstreaming the SDGs into national agendas, and project activities will also serve to generate in-country information that will feed into national reporting on progress towards achieving the SDG 14. The Project could also play a role in ensuring that national efforts are consistent with regional agreements and processes.

## 1.5 Contributing to the Nairobi Convention Climate Change Programme

Although all the components of the WIO-SAP Project have aspects that are relevant to addressing climate change, Component A and D contain Outcomes and associated Outputs

and Activities which are highly relevant to the achievement of the Nairobi Convention Climate Change Strategy (UNEP, 2015). These are as follows:

Component A directly addresses the identification of critical habitats and areas in the region through participatory spatial planning that may be focussed upon to increase resilience. It includes the development of tools to be used in vulnerability assessments in these areas, the development of management plans, furthering ICZM efforts, restoration of degraded habitats, and the development of indicators to track change. All of these activities feed directly into the achievement of the Climate Change Strategy.

Component B focusses on water quality and includes some activities that are relevant to adaptation in that they increase the health and consequent resilience of coastal and marine ecosystems. Importantly, it includes pilot studies on waste water management that can be used as best practice examples in other parts of the region.

Component C focusses on improving the management of river flows which is indirectly linked to adaptation efforts.

Component D is important to support adaptation activities as outlined in the Climate Change Strategy in that it contributes to an improved policy and institutional framework to support adaptation. It also addresses knowledge management and the sharing of information which is highly relevant to regional efforts to address climate change. The proposed Science to Policy Platform will be particularly important in this regard, as will a strengthened Clearing House Mechanism that will serve to house and share regional climate change information (UNEP, 2016b).

## 1.6 Domestication and Institutionalising WIO-SAP Project Initiatives

A recurring challenge with regional projects that have a limited lifespan, is sustainability of initiatives put in place during the project. In the past this has led to a watered-down regional impact of projects in the long term. For this reason, it is considered critical that the initiatives put in place during WIO-SAP are embedded in existing regional institutional frameworks, and that the capacity (technical, organizational, financial) is developed to allow this to happen. In the case of WIO-SAP (and its sister project SAPPHIRE), sustainability issues beyond the project timeframes have been seriously considered in project design. It is for this reason that the projects are embedded in the framework of the Nairobi Convention.

It is anticipated that many of the existing structures associated with the Nairobi Convention that have been developed over several years will be utilized and strengthened during WIO-SAP implementation. The approach of building on and improving these existing structures should be central to the approach taken in all aspect of the project, with the view that these structures will remain in place after the end of the project, and continue to function effectively to serve the region. In this regard, it is also key that mechanisms to sustain these structures are put in place during the project. This would include resource mobilization and the development of long-term partnerships that will be able to support future activities.

# 2 PROJECT FACT SHEET

| | |
|---|---|
| **Project title:** | Implementation of the Strategic Action Programme for the protection of the Western Indian Ocean from land-based sources and activities (**WIO-SAP)** |
| **Project number:** | 4940(GEF) |
| **Trust Fund:** | |
| **Strategic objectives:** | IW1, IW2 |
| **Project type:** | FSP |
| **Geographical scope:** | Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania [and France (not project beneficiary)] |
| **Mode of execution:** | Internal |
| **Project executing organization** | Nairobi Convention Secretariat |
| **Duration of project (as per Project Document):** | 60 months<br>Commencing: June 2015<br>Completion: June 2020 |

Table 1. Cost of project [and financing modalities]:

| **Funding Source** | **Value (million US$)** | **%** |
|---|---|---|
| GEF IW | 10,867,000 | 12.1 |
| **National co-financing (cash and in-kind)** | **67,248,741** | 75.2 |
| Comoros | 5,900,000 | |
| France Reunion | | |
| Kenya | 12,000,000 | |
| Madagascar | 1,200,000 | |
| Mauritius | 4,500,000 | |
| Mozambique | 19,000,000 | |
| Seychelles | 4,600,000 | |
| Somalia | 168,400 | |
| South Africa | 5,280,341 | |
| Tanzania | 14,600,000 | |
| **Co-financing (NGOs and others)** | **7,122,000** | 7.9 |
| WIO-C | 7,122,000 | |
| **UNEP** | **4,250,000** | 4.8 |
| Nairobi Convention Trust Fund | 1,750,000 | |
| UNEP's Marine and Coastal Programme under the Division of Environmental Policy Implementation (DEPI) | 2,500,000 | |
| **Total** | **89,487,741** | 100 |

# 3 REVIEW OF PROJECT STRATEGY

## 3.1 Review of Project Results Framework and Indicators

The Project Results Framework will be reviewed here where any changes will be explained and highlighted. Indicators will be assessed for their applicability and adapted accordingly. The adapted Results Framework will be inserted as Appendix 1.

To be completed

## 3.2 Review of Project Outputs and Activities

The outputs and activities of the different project components will be reviewed and clarified here as necessary.

To be completed

## 3.3 Review of Stakeholders

The stakeholder analysis carried out in project preparation will be reviewed and confirmed/ adapted according to current information.

To be completed

# 4 PROJECT OVERSIGHT AND COORDINATION MECHANISMS

## 4.1 Institutional Framework

The Implementing Agency for the WIO-SAP Project is UNEP DEPI, while the Executing Agency is the Nairobi Convention Secretariat. The Nairobi Convention Secretariat will establish the Project Management Unit (PMU) to cater for the day-to-day running of the project. The WIO-SAP Project Steering Committee (PSC) whose members will include National Focal Points, representatives of UNEP/DEPI, GEF IW, Nairobi Convention, donor organizations, and others, will be established to provide strategic guidance on the implementation of the project. The PSC will meet regularly to review annual work plans and budgets, and facilitate coordination between the various implementing partners and stakeholders. Representatives of the private sector and civil society will be invited to participate in the WIOSAP PSC as observers.

The work of the project will be carried out by national and regional consultants and national and regional organizations, including educational, research, governmental and non-governmental organizations (NGOs), and community-based organizations, among others. This network will work closely through the Project National Focal Points to ensure that the governments of participating countries will endorse their work products.

UNEP/DEPI, as the Implementing Agency, will be responsible for overall project supervision to ensure consistency with GEF and UNEP policies and procedures, will provide guidance on linkages with related UNEP and GEF-funded activities, monitor implementation of the project activities, and will clear and transmit the financial and progress reports to GEF. Project financial and administrative support will be provided by UNEP and UNON.

## 4.2 Management and Administrative Structure

The management and administrative structure for the project shall consist of the following elements: Executing Agency, PSC, and PMU based at the Nairobi Convention Secretariat in Nairobi, Kenya.

### 4.2.1 Executing Agency

The Project will be executed by the Nairobi Convention Secretariat. The Secretariat will execute the project and provide technical support including hiring and administration of international and local personnel, procurement of goods and services, travel arrangements and other miscellaneous support as required by the PMU in consultation with UNEP.

### 4.2.2 Steering Committee

The WIOSAP PSC membership shall consists of the representatives of the participating countries (National Focal Points), UNEP/DEPI, donors, and others. The PSC will be responsible for providing guidance to the project and also making management decisions for the project. In view of its project executing role, the Nairobi Convention Secretariat shall serve as the secretariat of the PSC. The WIO-C, COI and other economic commissions such as SADC will also be invited as observers. Chairs of Task Forces and Working groups will also be observers in the Committees meetings. The PSU will also play a critical role in monitoring and evaluation of the project and make sure that the results of evaluations are used for performance improvement, accountability and learning. The PSC will also be responsible for approving strategic decisions and annual work plans, setting project direction, reviewing progress of the project, and identifying additional funding for the implementation of the project. PSC meetings will normally be open to recognized stakeholders on an observer basis, except where personnel or other sensitive matters are under discussion.

The PSC will also provide policy-level liaison to national governments, through Inter-Ministerial Coordination Committees, in connection with the implementation of the project at country level. The PSC will be chaired by a senior government official for a term not exceeding one year who will be elected by the participating countries. The Project Manager will serve as the Secretary to the PSC. The decisions of the PSC will be reached by consensus by the members.

### 4.2.3 National Coordination

At the national level, the participating countries will appoint WIO-SAP National Project Coordinators who will, working with Nairobi Convention National Focal Points, oversee the implementation of various project activities at national level, and facilitate linkages with the established national processes that would be instrumental in the delivery of the project at national level. Each of the participating countries will build on an existing, or establish, an Inter-Ministerial Coordination Committee or similar national inter-agency mechanism (possibly as a National Implementing Committee), facilitated by the Nairobi Convention National Focal Points, to help assure effective coordination and communication amongst all ministries during the implementation of the project at country level. Specific in-country project activities would be undertaken by the national technical working groups or task forces and the inter-ministerial committees that would be established in participating countries, particularly those that are already operating under the auspices of the Nairobi Convention.

### 4.2.4 Project Management Unit

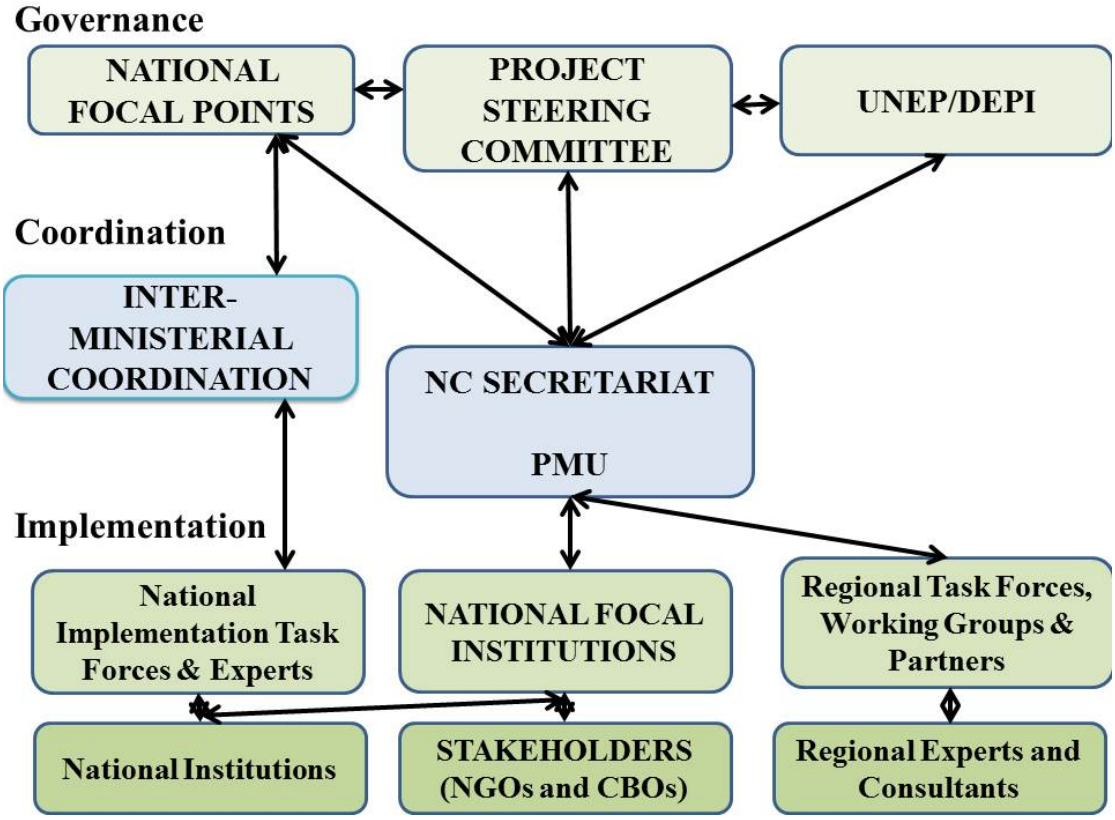
The WIOSAP PMU will be established within the Nairobi Convention Secretariat. The key staff of the WIOSAP PMU will include the Project Manager, Scientific/Technical Officer, Policy/Governance Officer and an Administrative/Financial Assistant. While the procurement process (preparation of announcements, TORs and selection of service providers, etc) will be under the PMU, the contracting of service providers will be responsibility of the Executing Agency. The PMU will work in partnership with a number of key organizations, including but

not limited to the WIO-C. Project supervision and other implementing agency roles will be fulfilled by the UNEP/ DEPI GEF IW unit.
The PMU will be integrated into the Nairobi Convention Secretariat to ensure long-term sustainability of project activities and outcomes. The PMU will report to the Nairobi Convention Secretariat and ultimately to the UNEP/DEPI GEF IW unit. All activities under the project will be carried out in cooperation with Governments, international organizations, the National Focal Points for the Nairobi Convention, other GEF IW Projects, NGO's, and national and international consultants.

The Project Manager will have the authority to run the project on a day-to-day basis with guidance provided by the PSC. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the WIO-SAP project document, to the required standard of quality and within the specified constraints of time and cost.

#### 4.2.5 Organisational Structure

The following organisational structure was presented in the Project Document.




In general, this structure represents the envisaged structure for the governance of the WIO-SAP Project. However, it should be noted that national implementation could be consolidated into structures termed 'National Implementation Committees'.

In addition, clarity with regard to the relationship and contribution of Regional Task Forces and Working Groups to the proposed Regional Technical Committee/s, whose function would include selection of WIO-SAP pilot sites and implementing partners, among others, needs to be obtained through further discussion with stakeholders.

# 5 SELECTION OF PILOT SITES AND IMPLEMENTING PARTNERS

## 5.1 Selection of Pilot Sites

The Transboundary Diagnostic Analysis (TDA) produced by WIO-LaB identified **priority issues** and **potential areas of intervention** related to land-based sources and activities that impact on the marine and coastal environment. The priority issues targeted for implementation are: Physical alteration and destruction of habitats; Water and sediment quality deterioration due to pollution; Alteration in freshwater flows and sediment loads from rivers; and inadequate governance systems and awareness. The four components of the WIO-SAP Project correspond to these priorities.

Further, the TDA identified several sites as the **main hotspots** of Physical Alteration and Destruction of Habitats (PADH), pollution and river-coast interaction in the region. The TDA broadly defined hotspots as coastal and marine areas threatened by human activities. PADH hotspots are located at sites with important human activities, such as estuaries, islands, harbours, bays and lagoons. These sites are threatened predominantly by pollution, over-exploitation of coastal-marine resources (e.g. mangroves and fisheries) and habitat modification. Sites related to the river-coast interaction include those with measurable impacts on the immediate marine ecology associated with them. These include rivers such as the Pangani, Athi-Sabaki, Incomati, Zambezi, and Betsiboka.

Implementation of on-the-ground interventions is considered to be the most effective mechanism for achieving the short-term (within five years) stress reduction targets set in the SAP. It is for this reason that the selected on-the-ground interventions will be based on the priority list of hotspots identified during the TDA process. Specific attention will be given to socio-economic aspects, and especially gender considerations.

Parties to the Nairobi Convention and WIO-SAP implementing partners met in Nairobi in November 2014 to both update and validate baseline information as well as discuss the process by which on the ground activities would be prioritized to ensure stress reduction impact, replication potential and sustainability (among other criteria). Partners proposed to set up a clear prioritisation process for the selection of on the ground activities to be implemented during the WIO-SAP project in line with the SAP intervention logic, clear selection criteria and reflecting the current realities in countries.

The fundamental logic is to assist countries in implementing their agreed regional strategy with particular emphasis on country-led execution of activities which will have timely measurable outcomes, generate local solutions to the environmental challenges and provide a basis for replication and lessons. The national work programmes will favour generation of local impacts rather than developing new national strategies or plans but will support these initiatives if already programmed. The project will be driven by and be responsive to country demand, demonstrated though co-financing and community support (the term ‘community’ is used in both the narrow sense of a village or district, and in the broad sense of sector stakeholders). Essentially the project will be country led, regionally coordinated and demand driven, requiring substantial country responsibility and accountability for project operations, including private sector engagement in structuring incentives for sustainable use. The project rationale builds off the threat and response assessments set out in the TDA and SAP by maintaining all the PIF physical targets (habitats, water, rivers and governance); by allowing countries to select specific targets within each component and by responding to the recommendations made in the PIF STAP review to generate synergies across project components.

A detailed procedure for the selection of pilot projects was included in the WIO-SAP Project Document. This has been reviewed, adapted, and added to, taking into consideration actual project implementation timeframes and modalities, which are now more firm. The adapted procedure for selection of pilot sites is presented in Appendix 2.

## 5.2 Selection of Implementing Partners

The Project document states that '"During the implementation of the WIOSAP project, the Nairobi Convention Secretariat will take the lead in ensuring linkages with key partners in the WIO Region such as the various organisations that are members of the Consortium for Conservation of Coastal and Marine Ecosystems in the Western Indian Ocean (WIO-C), namely BirdLife International, the International Union for the Conservation of Nature (IUCN), the Western Indian Ocean Marine Sciences Association (WIOMSA), and the World Wide Fund for Nature (WWF), among others. Other partners will be brought on board on the basis of their core competencies and comparative advantages".

It is therefore anticipated that the WIO-SAP will involve regional non-governmental partners working with the relevant institutions in the beneficiary countries to coordinate and deliver various work packages. These partners will be subcontracted by the project for their input. Partners will be drawn from the pool of regional organisations that have skills in the various disciplines that would be covered by the four project components. In this regard, members the WIO-C have been identified as strong candidates for implementation of various activities, based on their history of providing technical support to the Nairobi Convention in the required fields. It should be noted that agreements for services will be entered into with individual legal entities which may form part of the WIO-C, rather than with the WIO-C itself, which at this stage is not a legally constituted entity. Further, if the requisite skills are not present in the pool of organisation that form the WIO-C, other organisations will be invited to submit proposals for implementation. Although potential regional partners have been identified in the preparation of the Project Document, it should be stressed that award of sub-contracts for particular work packages will depend on a competitive process where proposals are assessed, and an agreed upon process is followed. This will ensure that the best possible service providers are selected and that the selection process is fair and transparent to all stakeholders.

It is proposed that the project structures that will be established soon after inception, are utilised in the process of selection. These would include the PMU, Regional Technical Committee/s (RTC/s), and the PSC.

The details of the proposed process is presented in Appendix 3.

# 6 MONITORING AND EVALUATION FRAMEWORK

The system of project review presented in the Project Document adequately takes into consideration monitoring and evaluation (M&E) requirements both at the internal and external level. These requirements have been reviewed, updated where necessary, and presented below.

The M&E of progress in the implementation of the WIOSAP will be guided by the specific results-based indicators (included in the Project Results Framework, see Section 3.1 above). These indicators along with the key deliverables and benchmarks will be the main tools for assessing progress with WIO-SAP project implementation. The means of verification are summarized in the Results Framework. M&E costs are integrated in the overall budget of the project.

## 6.1 Project Monitoring and Evaluation Activities

M&E includes a series of linked activities, including this Inception Report, the complete WIOSAP Project Document, annual project reports, mid-term and terminal evaluation. Baseline data gaps for M&E will be addressed during the first year of project implementation. A plan for collecting the necessary baseline data will be developed by the PMU early on in project implantation. In parallel, at the national level, the ecosystem vulnerability assessments, environmental flow assessments, and monitoring of water quality will contribute to a baseline against which progress can be measured.

Among the important actions of the PSC is to discuss and approve the roles and responsibilities of all project organisational structures and Annual Work Plans and Budgets. The PSC will receive periodic reports on progress made by the project and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan.

Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the Task Manager in UNEP/DEPI GEF IW. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs. Project supervision will take an adaptive management approach. The Task Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners before implementation commences. The project supervision plan will focus on outcome monitoring and financial management. Project risks and assumptions will be regularly monitored both by project partners and UNEP/DEPI GEF IW, since risk assessment will be an integral part of the Project Implementation Review (PIR). The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.

**Half-Yearly Progress Reports:** These will be prepared by the PMU and will be assessed based on the projects Results Based Framework. The detailed half-yearly reports will be prepared by the Project Manager and submitted to the PSC and to UNEP/ GEF Coordination Office covering the periods 30$^{th}$June and 31$^{st}$December of each year of implementation. The reports will include a summary of progress made since the previous biannual report and provide details of any unforeseen impediments to project implementation. The report will also include up-to-date financial information on the expenditure of project funds. These reports will be reviewed, amended as required and approved by the PSC as part of the record of their meetings.

**Project Implementation Review (PIR):** The WIOSAP project will need to participate in the GEF Project Implementation Review (PIR) process. The PIR is mandatory for all GEF projects that have been under implementation for at least a year at the time that the exercise is conducted. The PIR will be carried out between June and September of each year of implementation. It will contain sections on basic project data, financial status, procurement data, impact achievement and progress in project implementation. The basic outline will follow the structure of the Project results framework with indicators assigned to objectives, means of verification, and assumptions. The PIR questionnaire is sent to the Project Manager, usually around the beginning of June of each year. The Project Manager will have on average 1.5- 2 months to collect the necessary information, and submit the PIR to UNEP/ GEF Coordination Office.

**Annual Project Report (APR):** This report will be prepared by the Project Manager in consultation with the relevant Stakeholders and will be submitted to UNEP/DEPI and the Nairobi Convention Secretariat. The report will enable the partners of the project to obtain

information on the performance of the project with regard to the implementation of agreed activities. The APR will also provide details on the project achievements, initial evidence of success, including constraints in the implementation of agreed activities and how those constraints/shortcomings will be addressed in subsequent years. The report will also include a compilation of lessons learned and financial expenditure statement. The review of the APR will be based on the logical framework matrix and the agreed performance indicators.

**Mid-Term Evaluation (MTE):** The project will undergo an independent Mid-Term Evaluation at the mid-point of project implementation. The mid-term project evaluation will focus on relevance, performance (effectiveness, efficiency and timeliness), issues requiring decisions and actions, and initial lessons learned on the project design, implementation and management. The evaluation will also include all parameters recommended by the GEF Evaluation Office for mid-term evaluations and will verify information gathered through the GEF tracking tools, as relevant. The evaluation will be carried out using a participatory approach - parties that benefit or are affected by the project will be consulted, as well as the PSC and Nairobi Convention Focal Points. The Project Manager will prepare a management response to the mid-term evaluation recommendations along with a plan for effecting the required changes in project implementation. The UNEP/DEPI Task Manager will have the responsibility of monitoring the implementation of agreed recommendations. The Terms of Reference for the Mid-term review will be prepared by the UNEP/DEPI Task Manager in consultation with the Nairobi Convention Secretariat and the PMU. The recruitment of a consultant to carry out mid-term evaluation will be undertaken by UNEP Evaluation and Oversight Unit (EOU).

**Terminal Evaluation (TE):** An independent final evaluation will take place at least six (6) months prior to the final Project Steering Committee meeting. This terminal evaluation will be undertaken in accordance with UNEP and GEF procedures and will focus on the same issues as the mid-term evaluation but in addition it will also examine the early evidence of project impact and sustainability of results, including the contribution to capacity building and the achievement of global environmental benefits. GEF Tracking Tools will also be compiled before the Terminal Evaluation and entries verified by the consultant. The terminal evaluation will focus on the delivery of the project's outputs and outcomes detailed in the project document and as amended following the mid-term evaluation. The final evaluation will assess the impact and sustainability of results, including contribution to capacity building in the WIO region including also the achievement of global environmental benefits. The Terms of Reference for this evaluation will be prepared by the UNEP/ GEF Coordination Office based on guidance from the PMU and the Nairobi Convention Secretariat. The Terminal Evaluation will also provide recommendations for follow-up activities. The management response to issues raised in the terminal evaluation will be prepared by the Project Manager in consultation with the Nairobi Convention Secretariat and National Focal Points. The Evaluation and Oversight Unit (EOU) of UNEP will manage the terminal evaluation process. The review of the quality of the evaluation report will be done by UNEP's EOU who will subsequently submit the report to the GEF Evaluation Office not later than 6 months after the completion of the terminal evaluation.

**Project Terminal Report (PTR):** This report will be prepared by the PMU during the last three months of the project. This report will provide details on the achieved results (outcomes and outputs), lessons learnt, problems/constraints experienced and specific areas where results may not have been achieved. It will also provide recommendations on measures that should be put in place to ensure sustainability and replication of the project's results. The follow-up will be the responsibility of the Nairobi Convention Secretariat to ensure long-term sustainability of project results.

**Periodic Site Visits (PSV):** UNEP/DEPI, the Nairobi Convention Secretariat and WIOSAP PMU staff will conduct periodic visits to project sites in participating countries based on the schedule that will be agreed at PSC meetings. These periods will be factored into the annual

Work Plans and budgets of the project. The purpose of site visits will be to assess the progress in the implementation of specific project activities in the field, such as the in-country interventions. Members of the PSC may be invited to join these visits as may be appropriate. A field visit report will be prepared by the Project Manager within the period of one month after the visit to the field. The Audit Service may also undertake ad hoc site visits. Due to challenges faced during implementation of several of the pilot projects carried out as part of the WIO-LaB Project (UNEP, 2012), these regular field visits are deemed essential to ensure that projects are carried out in time and within budget.

**Table X. Monitoring and evaluation activities, timeframes and responsibilities.**

| Activity | Responsibilities | Timeframes |
|---|---|---|
| Half Yearly Progress Report (HYPR) | Project Manager in consultation with Project stakeholders | every six month (by 30th June and 31st December of each year) |
| Annual Project Report (APR) | Project Manager in consultation with Project stakeholders | Annually |
| Project Implementation Review (PIR) | Project Manager, Nairobi Convention Secretariat, UNEP/DEPI, Project Team, UNEPGEF Coordination Office | Annually, between June and September of each year |
| Mid-Term Evaluation (MTE) | Project Manager, Nairobi Convention Secretariat, UNEP/DEPI, UNEP's Evaluation and Oversight Unit (EOU) | Mid-point of the project implementation period |
| Terminal Evaluation (TE) | Project Manager, Nairobi Convention Secretariat, UNEP/DEPI, UNEP's Evaluation and Oversight Unit (EOU) | At least six months before the end of project |
| Financial Reporting | Project Manager and UNEP Financial Management Officer | 31st March, 30th June, 30th September, 31st December of each year |
| Periodic Site Visits (PSV) | Project Manager, Nairobi Convention Secretariat, UNEP/DEPI, PSC members and National Focal Points, as may be necessary. | Annually |

# 7 REVIEW OF RISK MANAGEMENT

## 7.1 Review of Risks

The Risk Matrix developed for the ProDoc is reviewed and risk confirmed or updated accordingly. Mitigation of risks identifies will also be described.

To be completed

# 8 WORK PLAN AND BUDGET

## 8.1 Overall Project Workplan

The overall 5-year workplan that was presented in the Project Document has been extensively reviewed during this Inception Phase. While no substantial changes have been made to the contents of the work programme, it has been necessary to adapt timeframes for implementation of the various activities to coincide with the anticipated start date. The Gantt chart showing this proposed new timeframe is shown in Table X below.

While some preparatory activities have been ongoing since August 2016, coordinated by the Nairobi Convention Secretariat, the majority of activities will now commence in the fourth quarter of 2017. By this time the PCU will be in place and project implementation can proceed at full pace. Activities that can be initiated earlier before the PCU is in place, will be started under the direction of the Secretariat.

It is proposed that from Year 2, annual Joint Steering Committee meetings between the WIO-SAP PSC and the PSC of its sister project, SAPPHIRE, occur to ensure close cooperation and coordination of these related projects.

In order to account for the later than anticipated start of most activities, and to ensure that enough time is provided for the completion of the overall project, it is proposed that the Project period is extended to June 2022. This will in effect provide a full five years for implementation after the PCU is in place. Under this scenario most activities will be completed by the end of 2021, with six months provided to wrap-up the project.

## Table X. Overall project workplan

| ACTIVITY/DELIVERABLE | 2017 | | | 2018 | | | | 2019 | | | | 2020 | | | | 2021 | | | | 2022 | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | A-J | J-S | O-D | J-M | A-J | J-S | O-D | J-M | A-J | J-S | O-D | J-M | A-J | J-S | O-D | J-M | A-J | J-S | O-D | J-M | A-J |
| **COMPONENT A - SUSTAINABLE MANAGEMENT OF CRITICAL HABITATS** | | | | | | | | | | | | | | | | | | | | | |
| **Outcome A.1 Management of critical habitats to enhance ecosystem resilience and conservation** | | | | | | | | | | | | | | | | | | | | | |
| A.1.1.1 Development of marine spatial plans for 5 sites | | | | | | | | | | | | | | | | | | | | | |
| A.1.2.1 Development of Management plans in 3 sites | | | | | | | | | | | | | | | | | | | | | |
| A.1.3.1 Restoration of degraded critical habitats (1 site) | | | | | | | | | | | | | | | | | | | | | |
| A.1.4.1 Pilot actions to build capacity in ICM (3 sites) | | | | | | | | | | | | | | | | | | | | | |
| **Outcome A.2 Development of tools and methods to support coastal planning and management** | | | | | | | | | | | | | | | | | | | | | |
| A.2.1.1 Application of Economic valuation methodologies (2 sites) | | | | | | | | | | | | | | | | | | | | | |
| A.2.2.1 Adaptation of Tools and guidelines for vulnerability assessment and spatial planning | | | | | | | | | | | | | | | | | | | | | |
| A.2.3.1 Development of sustainable extractive use strategies | | | | | | | | | | | | | | | | | | | | | |
| A.2.4.1 Development of key indicators for habitat monitoring and management. | | | | | | | | | | | | | | | | | | | | | |
| A.2.4.2 Establishment of national modalities for monitoring | | | | | | | | | | | | | | | | | | | | | |
| **COMPONENT B - IMPROVED WATER QUALITY** | | | | | | | | | | | | | | | | | | | | | |
| **Outcome B.1 Improvement of quality of coastal receiving waters** | | | | | | | | | | | | | | | | | | | | | |
| B.1.1.1 Identification and implementation of wastewater treatment (3 sites) | | | | | | | | | | | | | | | | | | | | | |
| B.1.2.1 Implementation of effluent reduction measures (1 site) | | | | | | | | | | | | | | | | | | | | | |
| B.1.3.1 Programmes and actions for empowering communities (4 countries) | | | | | | | | | | | | | | | | | | | | | |
| **Outcome B.2 Adoption of regulatory Framework for monitoring and management of pollution** | | | | | | | | | | | | | | | | | | | | | |
| B.2.1.1 Review and development of regional standards | | | | | | | | | | | | | | | | | | | | | |
| B.2.2.1 Development and implementation of water quality monitoring framework (3 countries) | | | | | | | | | | | | | | | | | | | | | |
| B.2.3.1 Capacity building for implementation of regional standards | | | | | | | | | | | | | | | | | | | | | |
| **COMPONENT C - SUSTAINABLE MANAGEMENT OF RIVER FLOWS** | | | | | | | | | | | | | | | | | | | | | |
| **Outcome C.1 Building capacity for Environmental Flow Assessments (EFAs)** | | | | | | | | | | | | | | | | | | | | | |
| C.1.1.1 Identification and supporting conducting EFA in 2 river basins | | | | | | | | | | | | | | | | | | | | | |
| C.1.2.1 Development and implementation of environmental flow management plans (2 sub-basins) | | | | | | | | | | | | | | | | | | | | | |
| **Outcome C.2 Strengthening of capacity for conjunctive management of river flows** | | | | | | | | | | | | | | | | | | | | | |
| C.2.1.1 Preparation of regional guidelines on EFA | | | | | | | | | | | | | | | | | | | | | |

| ACTIVITY/DELIVERABLE | 2017 | | | 2018 | | | | 2019 | | | | 2020 | | | | 2021 | | | | 2022 | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | A-J | J-S | O-D | J-M | A-J | J-S | O-D | J-M | A-J | J-S | O-D | J-M | A-J | J-S | O-D | J-M | A-J | J-S | O-D | J-M | A-J |
| **COMPONENT D - GOVERNANCE AND REGIONAL COLLABORATION** | | | | | | | | | | | | | | | | | | | | | |
| **Outcome D.1 Strengthening institutions for WIO-SAP implementation** | | | | | | | | | | | | | | | | | | | | | |
| D.1.1.1 Finalization and implementation of the ICZM protocol | | | | | | | | | | | | | | | | | | | | | |
| D.1.1.2 Capacity building for ICZM protocol implementation | | | | | | | | | | | | | | | | | | | | | |
| D.1.2.1 Support country processes for ratification of the LBSA protocol | | | | | | | | | | | | | | | | | | | | | |
| D.1.2.2 Build capacity for implementation of LBSA protocol | | | | | | | | | | | | | | | | | | | | | |
| D.1.3.1 Support countries to monitor WIOSAP | | | | | | | | | | | | | | | | | | | | | |
| D.1.3.2 Presentation of regular reports on WIOSAP | | | | | | | | | | | | | | | | | | | | | |
| D.1.4.1 Develop capacity of WIOSAP project management | | | | | | | | | | | | | | | | | | | | | |
| D.1.4.2 Strengthening the capacity of national structures | | | | | | | | | | | | | | | | | | | | | |
| D.1.4.3 Support the establishment and operationalisation of the regional structures | | | | | | | | | | | | | | | | | | | | | |
| **Outcome D.2 Improvement of knowledge management systems and exchange mechanism** | | | | | | | | | | | | | | | | | | | | | |
| D.2.1.1 Improvement of Nairobi Convention Clearing House Mechanism (CHM) | | | | | | | | | | | | | | | | | | | | | |
| D.2.1.2 Development of institutional and financial means | | | | | | | | | | | | | | | | | | | | | |
| D.2.2.1 Establishment of NC science-policy exchange platform | | | | | | | | | | | | | | | | | | | | | |
| D.2.2.2 Support regional scientific platforms and networks | | | | | | | | | | | | | | | | | | | | | |
| **Outcome D.3 Project Coordination & Implementation** | | | | | | | | | | | | | | | | | | | | | |
| D.3.1. Recruit, establish and operate PMU | | | | | | | | | | | | | | | | | | | | | |
| D.3.2. Engagement of Executing Partners | | | | | | | | | | | | | | | | | | | | | |
| D.3.3. Project Steering Committee (PSC) | | | | | | | | | | | | | | | | | | | | | |
| Back to back technical meetings | | | | | | | | | | | | | | | | | | | | | |
| Participate in SAPPHIRE Inception Meeting | | | | | | | | | | | | | | | | | | | | | |
| Joint Steering Committee with SAPPHIRE | | | | | | | | | | | | | | | | | | | | | |
| D.3.4. National Project Coordination | | | | | | | | | | | | | | | | | | | | | |
| **Outcome D.4 Monitoring and Evaluation** | | | | | | | | | | | | | | | | | | | | | |
| D.4.1. Mid-Term Evaluation (MTE) | | | | | | | | | | | | | | | | | | | | | |
| D.4.2. Terminal Evaluation (TE) | | | | | | | | | | | | | | | | | | | | | |
| D.4.3. Annual External Audit | | | | | | | | | | | | | | | | | | | | | |

## 8.2 Progress to Date

Progress since August 2016 will be mapped out and all activities that have been carried out will be described and allocated to the various components of the project (eg. MSP and LBSA Protocol). This section will basically provide the backdrop for the detailed workplan for 2017 that will be discussed in the next section.

Information from the Secretariat on activities and expenditures will be included here.

To be completed

## 8.3 Workplan for the Period August 2016 to December 2017

The Workplan for the period August 2016 to December 2017 is shown in Appendix 4. As discussed for the overall 5 year workplan, this workplan for the first year takes into account the adjusted timeframes for the initiation of full scale project implementation. It is more detailed that the overall project workplan, and its development has involved identifying priority activities that need to be initiated early in the project. Many of these activities will be continued into 2018, and will be included in the detailed workplan for that year which will be prepared by the Project Manager once in place.

The workplan in Appendix 4 also includes time frames for the completion of the activities associated with the Inception Phase, which can be considered to run from August 2016 to the date of the Inception Meeting in April 2017. In its final form this workplan will also indicate potential partners who could be involved in the implementation of the various work packages. Considerations on, and details of the process to be followed in the selection of the partners, are provided in Section 4.3 and in Appendix 3, respectively.

It is important to note that it is proposed that the 1st PSC meeting of WIO-SAP takes place in September 2017, and that this could be held back to back with the Inception Meeting of the SAPPHIRE project. While the two projects will run in parallel, and have several joint activities, SAPPHIRE will only begin implementation several months after WIO-SAP. Linking the 1st WIO-SAP PSC meeting with the SAPPHIRE Inception meeting will ensure a level of coordination between the two projects in the first year. From year two, it is recommended that the two projects hold Joint PSC meetings to foster close collaboration.

## 8.4 Budgetary Considerations

Detailed budgets allocated to the various activities of the Project are not provided in this Inception Report. The proposed budget for Year 1, and the overall project, which is based on that provided in the Project Document, will be presented to the Steering Committee at their first meeting (September 2017) for consideration before finalisation.

The overall budget contributions from the GEF, participating countries, and partners, remains unchanged, and can be seen in Section 2 above. The budget prepared in the Project Document assumes the project will run for 5 calendar years, starting in January of Year 1 and concluding in December of Year 5. In reality, the bulk of project activities and associated expenditure will occur in a revised timeframe staring in earnest in the fourth quarter of 2017. This will require annual budgets to be adjusted to take the new timeframes into consideration. The main changes anticipated are less activities and expenditure to December 2017, with some activities and costs rolling over to 2018. In addition, because an extra six months are being proposed for project completion, costs associated with this extension, such as for project personnel, and an additional steering committee meeting, will need to be accounted for. Other costs that had not been included in the original Project Document, such as for the

Inception Meeting, will also need to be budgeted for from the overall project budget. This will mean that the budgets as presented in the Project Document for the various project activities will need to be adjusted in some cases.

During the preparation of the revised 5-year and 1-year workplans, it was necessary to assess the budget as presented in the Project Document in relation to the adapted timeframe of activities. A start on a proposed new budget has therefore been made that can be discussed by the WIO-SAP Steering Committee once in place.

# 9 REFERENCES

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## APPENDIX 1. Updated Project Results Framework

To be completed

# APPENDIX 2. Procedure for the selection of pilot sites

The following is the proposed procedure for development and approval of the on-the-ground interventions. This process will start shortly after project inception and follow the following sequence:

a) Establishment of National Implementation Committees.
b) Adoption of the selection criteria by the National Committees.
c) Adoption of TORs for the Regional Technical Review Committee and the establishment of the Committee.
d) Development of an implementation plan for interventional projects (regional and national level) and a workshop to review the implementation plan including an agreement on the thematic areas for interventions.
e) Call for proposals (eg. Habitat restoration, Waste water management, Effluent reduction, ICZM interventions).
f) Selection of projects.

The process for development and selection of on-the-ground intervention projects will entail three stages:

i) **Submission of project concepts:** All the project concept notes will be submitted to the PMU. However, the initial reviewing and selection of the submitted concept notes will be done at the national level by the National Implementing Committee, or a panel established by the National Implementing Committee. Each country will forward a maximum of three concepts to the WIO-SAP PMU for further reviewing and shortlisting of concepts that will be invited to submit full proposals. The PMU will review national project proposals to ensure the projects concepts are; a) within budgets, b) thematically relevant and are supportive of the SAP implementation, c) have policy relevance at the national level and have a demonstrative value at the regional level; d) innovative.

ii) **Prioritisation of concepts**: The PMU will prioritise and submit all proposals to the Regional Technical Committee (s) (RTC/s), which will request proponents of successful concepts to develop full proposals.

iii) **Submission of full proposals:** The full project proposals will be reviewed by the RTC/s and recommend projects for selection. The recommendations of the RTU/s will be forwarded to the Project Steering Committee for the final decision. Depending on the need, and as recommended by the RTC/s, the Steering Committee may approve the projects as submitted or approve with a provision for further improvement including technical and financial support from the project to address identified weaknesses.

The Steering Committee will base its decisions on the advice of the RTC/s, and can only deviate from this advice when procedures have not been adhered to or if the RTC/s did not take into account other pertinent information about the proposed project, which is available to the Steering Committee.

**Selection Criteria**

Both the national and regional priorities and approaches have been identified and formalised through the TDA and SAP processes. Twenty nine (29) of these activities with associated targets (SAP, pages 33-60), timescales and indicators have been identified in the SAP. Given the limited financing and the human and institutional resource constraints the 29 activities have been consolidated into manageable project components, and priority physical or geographic targets (e.g. ports, watersheds, or coastal areas) identified and prioritised at national and community levels based on the following criteria:

| **Criterion** | **Examples of conditions underlying potential interventions** | | |
|---|---|---|---|
| | **Habitats** | **Waters** | **Rivers** |
| Demonstrated economic importance | Ramsar site, MPA, coastal protection asset, new port development | Health of public beaches, contamination of fish, contamination of drinking water | New dam/ irrigation scheme, mining expansion, level of threat |
| Community engagement and co-financing available | Community conservation plan; Beach litter programme | District council sewage scheme planned, recycling initiatives | Pending transboundary river agreement; IWBM plan in preparation |
| Proven technical solution | Replanting mangroves | Application of MARPOL in port | Existing mechanism to include flow valuations in discussion of trade-offs |
| Discrete and manageable | MPA, major dive site | Major tourist beach with strong tourism association | Minor watershed with limited number of stakeholders. Specific transboundary flow (e.g. mining effluent) |
| Potential for replication | Permanent dive boat anchoring financed by dive boat operators | Financing model for community sewage treatment | Upstream/ downstream district council agreements and potential for PES |
| Realistic sustainable financing options | MPA admission fees, tourist levies | Tourists will pay more for cleaner beaches | Raised awareness of water valuation |
| Synergies across the geographies | New port near MPA requires reef blasting and dredging | New port has mining terminal with potential for spillages | New port, mining and new settlements requires increased water abstraction |

- **Relevance of the proposal:** The proposal should clearly address TDA/SAP priorities; (short and medium term hotspots/ stress reduction potential) and generally demonstrate linkages between its objectives and the WIO-SAP project objectives as well as relevant issues identified in the SAP. The proposals should specifically align with at least two components of the WIO-SAP Project and demonstrate its contribution towards achieving the WIO-SAP project outcomes including national policy relevancy.

The proposal should demonstrate regional importance or transboundary value and be in line with the list of identified hotspots in the TDA and national priorities as specified in the NEAP/NAP and other similar documents.

- **Multi-institutional:** Collaboration between several institutions is encouraged to help maximize efforts as well as foster learning, sharing and replication of project outcomes. Collaboration between institutions will be an essential and a key component of the WIO-SAP-supported projects.

- **Participatory project design:** The proposal should originate from consultations and wide engagement with stakeholders, including the beneficiaries and target group of the project and with particular emphasis on gender considerations (in line with the gender guidelines developed as part of the implementation plan). The proposal should show how the project stakeholders were involved in designing and preparing the proposal.

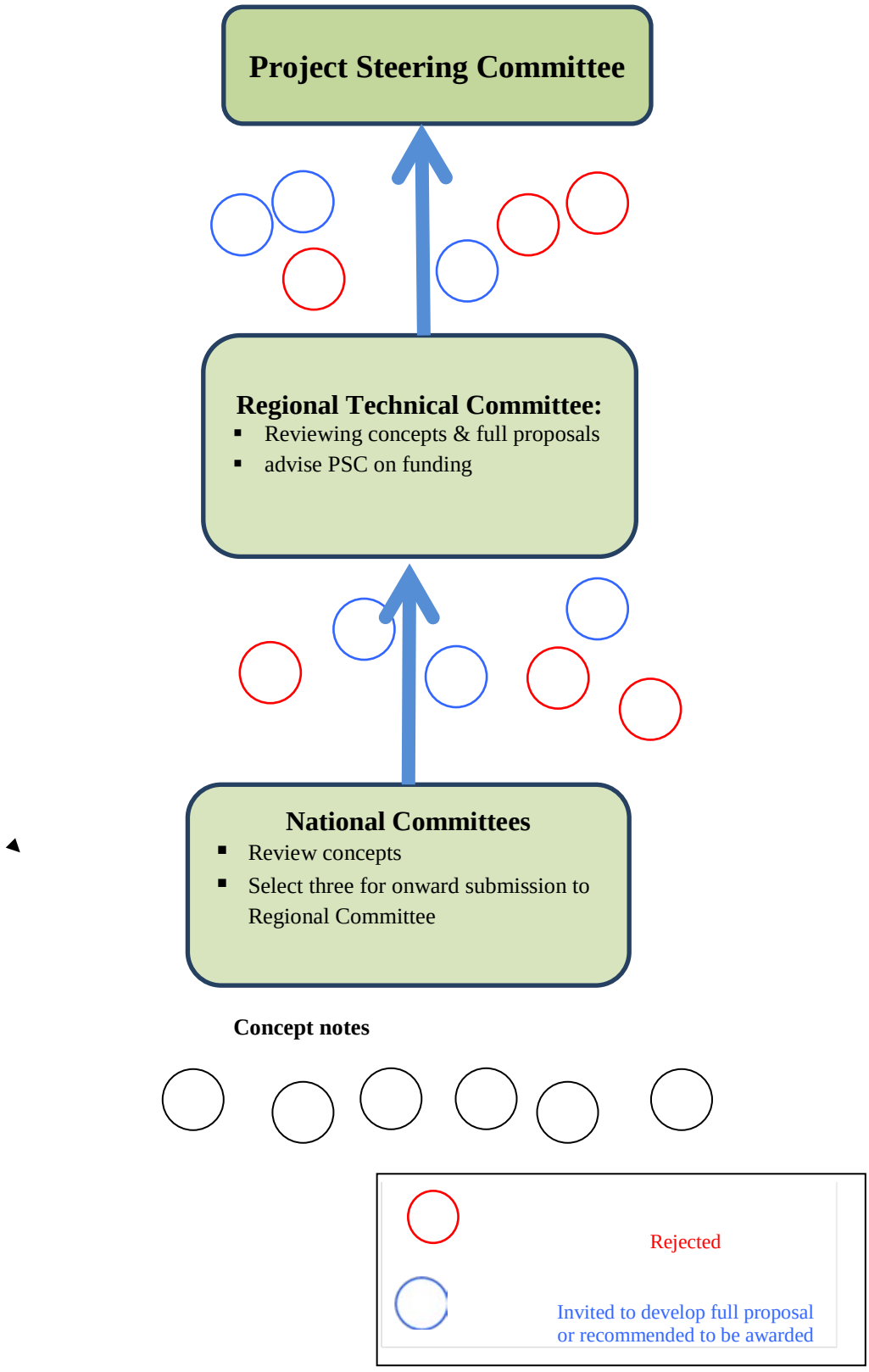
- **Leverage co-funding:** It is expected that the project will leverage co-funding, either in cash or in-kind from sources within and outside their countries. It is possible that at the concept stage, it will be difficult to state the actual co-funding amount. In such cases, applicants should state tentative co-funding amount, source, secured or unsecured and what project activities could potentially be supported by these funds.

- **Capacity to manage the intervention:** The proposal should clearly show how the intervention will be managed in-country and that the implementing structure has the capacity to ensure that all aspects of the project will be effectively addressed.

- **Sustainability of the action:** The proposal should show how sustainability will be secured after completion of the action. This can include aspects of necessary follow-up activities including potential for replication, built-in strategies, ownership etc., if any.

- **Innovative value in terms of proven solution:** Priority will be given to proposals aiming at improving existing and/or developing new and innovative tools, approaches, mechanisms and technologies for effective management of critical habitats and waste water.

- **Proven success as a WIO-LaB demonstration project:** In some cases interventions initiated and supported during the WIO-LaB project have shown potential to be up-scaled. These will also be considered for further support during WIO-SAP. However, proposals will need to demonstrate how building on these previous interventions will be beneficial to the country, and ultimately to the region through duplication.




**Proposed process for selection of on-the-ground interventions**

# APPENDIX 3. Selection of Implementing Partners

**Proposed Process**

The following process is proposed for the selection of implementing partners:

1. The Project will identify work packages and associated budgets that need to be completed to address the objectives of the WIO-SAP.

2. The PCU will develop clear TORs for each work package.

3. Partners, including those that have been pre-identified as having the requisite skills, will be invited to submit proposals to the PCU for undertaking particular work packages. The timeframes for preparation and submission of proposals will fit into the overall WIO-SAP workplan. Proposals should include:

- Motivation to undertake the work
- Organisational capacity to undertake the activities,
- Proven track record of delivery in the chosen field
- Administrative and technical reporting capability
- Ability to manage budgets and provide financial reports to the project
- Approach adopted in undertaking the work. For example, how will the organisation work with the different countries in conducting the work, among other considerations
- Proposed methodology
- A workplan and timeframe of how the activities will be conducted
- A list of partners (if any) that will be worked with to deliver the outputs
- CVs of personnel to be used

4. The Proposals are first submitted to the PCU for consideration

5. The two most acceptable proposals are forwarded to the relevant RTC/s with recommendations from the PCU.

6. The RTC/s assesses the recommended proposals and selects a preferred service provider.

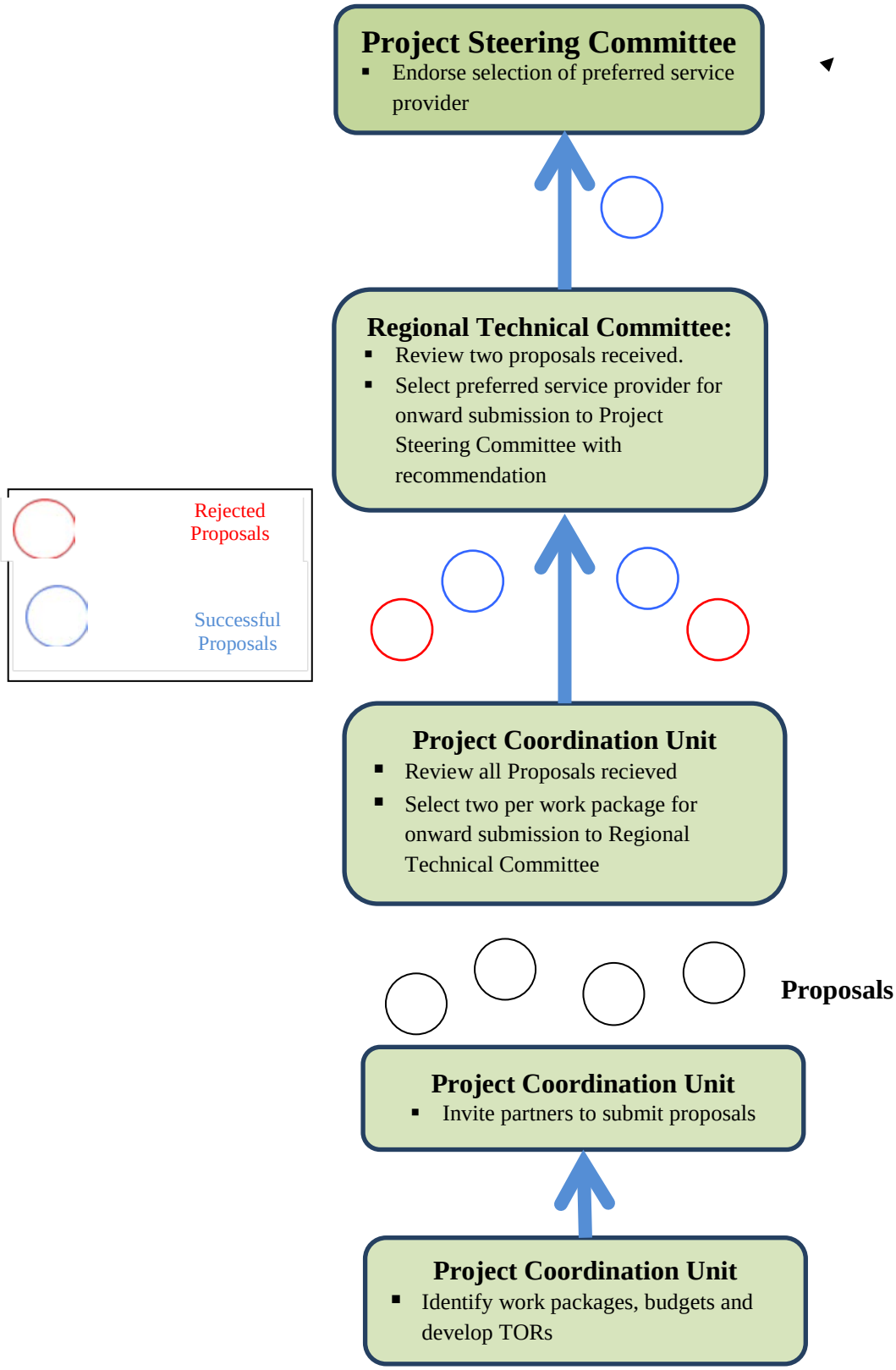
7. The selection is forwarded to the PSC for approval, which is expected to be a formality, unless the PSC has good reasons for querying the selection.

8. The preferred service provider to notified of their selection.

9. The contract between the Executing Agency (Nairobi Convention Secretariat) and the service provider is prepared by the PCU, and concluded.

10. Implementation begins

This process is represented diagrammatically as follows:


Project Steering Committee
Endorse selection of preferred service provider
Regional Technical Committee:
Review two proposals received.
Select preferred service provider for onward submission to Project Steering Committee with recommendation
Rejected Proposals
Successful Proposals
Project Coordination Unit
Review all Proposals recieved
Select two per work package for onward submission to Regional Technical Committee
Proposals
Project Coordination Unit
Invite partners to submit proposals
Project Coordination Unit
Identify work packages, budgets and develop TORs

# APPENDIX 4. Workplan for the period August 2016 to December 2017

| ACTIVITIES/DELIVERABLES | PARTNER/S | Aug-Dec 16 | Jan | | | | Feb | | | | March | | | | April | | | | May | | | | June | | | | July | | | | August | | | | Sept | | | | Oct | | | | Nov | | | | Dec | | | |
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| **INCEPTION PHASE - WIOSAP** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Preparatory Activities | NCS | XXXX | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Contract Consultant for Inception tasks | Consultant | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Review of project documents | Consultant | | | | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Initial discussion of outputs of Inception Phase (Nairobi/Zanzibar) | NCS + Consultant | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Recruitment of Project personnel | NCS | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Preparation of draft harmonised year 1 work plan | Consultant | | | | | | | X | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Prepare draft detailed budgets for year 1 | Consultant | | | | | | | | X | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Harmonisation of Project Results Framework for both projects | Consultant | | | | | | | | X | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Updated Stakeholder Analysis | Consultant | | | | | | | | X | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| WIO-C meeting to discuss engagement with WIOSAP | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Identify potential Steering Committee members, host institutions and project focal points | NCS + Consultant | | | | | | | | | | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Preparation of draft Inception Report | NCS + Consultant | | | | | | | | | | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Finalisation of Inception Report | NCS + Consultant | | | | | | | | | | | | X | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Inception meeting for WIOSAP | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Invite country participation on WIOSAP Steering Committee | NCS | | | | | | | | | | | | | | | | X | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| WIOSAP Project Management Unit (PMU) in place | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| ACTIVITIES/DELIVERABLES | PARTNER/S | Aug-Dec 16 | Jan | | | | Feb | | | | March | | | | April | | | | May | | | | June | | | | July | | | | August | | | | Sept | | | | Oct | | | | Nov | | | | Dec | | | |
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| **COMPONENT A - SUSTAINABLE MANAGEMENT OF CRITICAL HABITATS** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Outcome A.1 Management of critical habitats to enhance ecosystem resilience and conservation** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A.1.1.1 Development of marine spatial plans for 5 sites | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X |
| Provide technical and financial support to the relevant institutions in target countries to engage key stakeholders and develop and implement marine spatial plans for selected priority coastal zones/hotspot areas. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X |
| Selection of pilot sites | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | | | | | | | |
| Organise specific national and regional training workshops on the development of marine and spatial plans. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | | | | | | | | |
| Provide Geographic Information System (GIS) and remote-sensing equipment and software to relevant institutions in target countries. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X |
| A.1.3.1 Restoration of degraded critical habitats (1 site) | | | | | | | | ` | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X |
| Provide support to participating countries to implement pilot ecosystem restoration projects in collaboration with CBOs and NGOs in selected hotspot sites. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X |
| Selection of pilot sites | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | | | | | | | |
| **Outcome A.2 Development of tools and methods to support coastal planning and management** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A.2.2.1 Adaptation of Tools and guidelines for vulnerability assessment and spatial planning | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X |
| Engage an international consultant to work jointly with the regional experts/PADH Task Force and ICM Working Group to develop regional guidelines and methodologies for ecosystems vulnerability assessment and for spatial planning in participating countries | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | | | |
| Provide support to participating countries to establish national technical working groups to review, adapt and integrate into appropriate national strategies, programmes or plans, regional guidelines and methodologies for ecosystems vulnerability assessme | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X |
| Provide support to national institutions to integrate tools and guidelines for vulnerability assessment and spatial planning into national ecosystem monitoring and management programmes. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X |

| ACTIVITIES/DELIVERABLES | PARTNER/S | Aug-Dec 16 | Jan | | | | Feb | | | | March | | | | April | | | | May | | | | June | | | | July | | | | August | | | | Sept | | | | Oct | | | | Nov | | | | Dec | | | |
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| **COMPONENT B - IMPROVED WATER QUALITY** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Outcome B.1 Improvement of quality of coastal receiving waters** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| B.1.1.1 Identification and implementation of wastewater treatment (at least 3 sites) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Request for proposals for priority sites | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | |
| Selection of priority sites | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | | | | | | | | | | | | | |
| Provide financial support to national institutions/local government authorities to work jointly with community-based organisations and other partners, to implement pilot wastewater management demonstration projects in target hotspot sites and compile less | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| B.1.2.1 Implementation of effluent reduction measures (at least 1 site) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Request for proposals for priority sites | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | |
| Selection of sites | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | | | | | | | | | | | | | |
| Provide support to appropriate national institutions/local authorities with appropriate mandate to implement effluent reduction measures that are cost-effective, efficient and sustainable, in selected sites in target countries. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Engage stakeholders in the implementation of strategies for reducing generation of effluents at priority sites | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X |
| Establish and implement national water quality monitoring programmes to determine the effectiveness and sustainability of effluent reduction measures | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X |
| **Outcome B.2 Adoption of regulatory frameworks for monitoring and management of pollution** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| B.2.1.1 Review and development of regional standards | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Engage national experts to work with with national Water and Sediment Quality (WSQ) working groups to review the existing water quality standards, regulations and processes at national level and provide recommendations for their improvement | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X |
| Engage a regional consultant to work with WSQ working group and national experts to develop regional standards and guidelines for effective wastewater and effluent monitoring across the region | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X |
| B.2.3.1 Capacity building for implementation of regional standards | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X |
| Engage international consultant to carry out a capacity building needs assessment for monitoring and controlling wastewater/effluent discharges | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X |

| ACTIVITIES/DELIVERABLES | PARTNER/S | Aug-Dec 16 | Jan | | | | Feb | | | | March | | | | April | | | | May | | | | June | | | | July | | | | August | | | | Sept | | | | Oct | | | | Nov | | | | Dec | | | |
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| **COMPONENT C - SUSTAINABLE MANAGEMENT OF RIVER FLOWS** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Outcome C.1 Building capacity for Environmental Flow Assessments (EFAs)** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C.1.1.1 Identification and supporting EFAs in 2 river basins | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Select river basins | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | | | | | | | | | | | | | | | |
| Engage national experts to conduct EFA studies in selected river basins using standard regional EFA guidelines and or methodologies | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| **Outcome C.2 Strengthening of capacity for conjunctive management of river flows** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C.2.1.1 Preparation of regional guidelines on EFA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Establish a regional EFA working group | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | | | | | | | | | | | | | | | |
| Engage an international consultant to work jointly with national experts and develop regional EFA guidelines and or methodologies | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | | | | | | | | |
| C.2.1.2 Pilot development of an institutional and regulatory framework (1 site) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Selection of site | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | | | | | | | | | | | | | | | |
| International EFA consultant to conduct regional workshops for building multi-stakehoder capacity for a conjunctive management of river basins | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | |

| ACTIVITIES/DELIVERABLES | PARTNER/S | Aug-Dec | Jan | | | | Feb | | | | March | | | | April | | | | May | | | | June | | | | July | | | | August | | | | Sept | | | | Oct | | | | Nov | | | | Dec | | | |
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| **COMPONENT D - GOVERNANCE AND REGIONAL COLLABORATION** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Outcome D.1 Strengthening institutions for WIO-SAP implementation** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.1.1 Finalization and implementation of the ICZM protocol | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Countries to engage national legal and technical task force to review the draft ICZM Protocol and provide recommendations. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| National consultative meetings to consider the draft ICZM Protocol produced by the Legal and Technical Review Task Force upon incorporation of the national recommendations. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.1.2 Capacity building for ICZM protocol implementation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Engage national consultants to work with the national Legal and Technical Review Task Forces to assess national capacity needs for the implementation of ICZM Protocol. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.2.1 Support country processes for ratification of the LBSA protocol | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Engage national experts to develop policy briefs on LBSA issues for LBSA practitioners/policy makers | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.2.2 Build capacity for implementation of LBSA protocol | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| National Focal Points to identify chalenges in the implementation of the LBSA Protocol and create awareness to policy makers through national forums | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.3.1 Support countries to monitor WIOSAP | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| PMU to develop TORS for the national and regional Task Forces and the Inter-Ministerial Committees | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Establish national WIOSAP Project coordination offices and associated structures | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.3.2 Presentation of regular reports on WIOSAP | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Engage a regional communication expert to prepare a regional communication strategy | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Countries to prepare regular briefs on various key coastal and marine issues | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.4.1 Develop capacity of WIOSAP project management | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Hold stakeholder consultative workshops as a means of deciding on partnerships for implementation of SAP actions | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Establish linkages with relevant regional ministerial or senior government officials meetings and relevant meetings of the RECs | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.4.2 Strengthening the capacity of national structures | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Facilitate anD support the establishment of a network of national inter-ministry committees to enhance inter-sectoral dialogues and cooperation. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.1.4.3 Support the establishment and operationalisation of the regional structures | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Establish and operationalise regional coordination and implementation structures for specific project activities (eg. working groups and task forces for PADH, WSQ, MWM, and EFA) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| ACTIVITIES/DELIVERABLES | PARTNER/S | Aug-Dec 16 | Jan | | | | Feb | | | | March | | | | April | | | | May | | | | June | | | | July | | | | August | | | | Sept | | | | Oct | | | | Nov | | | | Dec | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 | 1 | 2 | 3 | 4 |
| **COMPONENT D - GOVERNANCE AND REGIONAL COLLABORATION** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Outcome D.2 Improvement of knowledge management systems and exchange mechanisms** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.2.1.1 Improvement of Nairobi Convention Clearing House Mechanism (CHM) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Engage a consultant to review the existing CHM, and identify gaps and recommend areas that need to be expanded | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | | | | | | | | |
| Support NC to update CHM | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X |
| D.2.1.2 Development of institutional and financial means | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Engage a regional expert to carry out a review of the status of the national nodes of the CHM | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | | | | | | | | |
| D.2.2.1 Establishment of NC science-policy exchange platform | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Engage a regional expert to support the NCS and NFPs in establishing a science-platform for the Nairobi Convention | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Organize a science-policy workshop with an aim of establishing the science-policy platform | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | | | | | |
| D.2.2.2 Support regional scientific platforms and networks | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X |
| Provide support to the biannual WIOMSA Scientific Symposium | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | | | | | |
| **Outcome D.3 Project Coordination & Implementation** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.3.1. Recruit, establish and operate PMU | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| D.3.2. Engagement of Executing Partners | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | | | | | | | | | | | |
| D.3.3. Project Steering Committee (PSC) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | |
| Back to back technical meetings | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | |
| Participate in SAPPHIRE Inception Meeting | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | |
| D.3.4. National Project Coordination | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Recruit Assistant National Project Coordinators | | | | | | | | | | | | | | | | | | | | | | | X | X | X | | | | | | | | | | | | | | | | | | | | | | | | | |
| Establish National Coordinating Committees | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | | | | | | | | | | | | | | | | | | | | | | |
| Identify Lead Institutions | | | | | | | | | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | |
| **Outcome D.4 Monotoring and Evaluation** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D.4.3. Annual External Audit | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X |
| Half Yearly Progress Report (HYPR) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X |
| Annual Project Report (APR) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | X | X | X | X |