

**UNITED NATIONS ENVIRONMENT PROGRAMME**

**GLOBAL ENVIRONMENT FACILITY**

**PROJECT DOCUMENT**

**SECTION 1 – PROJECT IDENTIFICATION**

- 1.1 **Title of Sub-Programme:** International Waters – 8: Waterbody-based Operational Programme
- 1.2 **Project Title:** Protection of the Canary Current Large Marine Ecosystem (LME)
- 1.3 **Project Number:** PMS: GF/6030-04-10  
IMIS: GFL/2328-2730-4760
- 1.4 **Geographical Scope:** Regional: West Africa - Multi-country (7): Cape Verde, Guinea, Guinea-Bissau, Mauritania, Morocco, Senegal and The Gambia
- 1.5 **Execution:** Food and Agriculture Organization of the United Nations (FAO) in collaboration with Secretariats of: the Commission Sous-Régionale des Pêches; the Ministerial Conference on Fisheries Co-operation among African States Bordering the Atlantic Ocean; Abidjan Convention Secretariat IUCN; UNIDO; and NOAA
- 1.6 **Duration of the Project:** 18 months  
Commencing: April 2004  
Completion: September 2005
- 1.7 **Cost of the Project:**

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			<b>(in US dollars)</b>
<b><u>Cost to GEF:</u></b>	PDF-B	:	340,000
	<b>Sub-total GEF</b>	:	<b>340,000</b>
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<b><u>Co-financing:</u></b>	UNEP (in kind)	:	20,000
	UNEP/GPA (in kind)	:	20,000
	Governments (in kind)	:	74,000
	CSRP (in kind)	:	21,000
	FAO (in kind)	:	60,000
	UNIDO (in kind)	:	30,000
	NOAA (in kind)	:	60,000
	<b>Sub-total co-financing (in-kind)</b>	:	<b>285,000</b>
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<b>Total Project Cost</b>		:	<b>625,000</b>

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## 1.8 Summary:

The primary objective of this PDF Activity is the preparation of a Transboundary Diagnostic Analysis (TDA) to identify the principal shared problems and their root causes, as well as national, regional and, particularly, transboundary priorities in the region. This will provide the basis for the subsequent development of an agreed regional Strategic Action Programme (SAP) for the solution of the identified problems, and the development of the Full Project. The project will maintain close linkages with mechanisms developed to address land and water-related environmental issues in the major river basins draining to the LME (Senegal, Volta) and the neighbouring GEF International Waters projects (Guinea Current LME, Benguela Current LME). It is closely related to the regional implementation of the Global Programme of Action for Protection of the Marine Environment from Land-Based Activities, relevant components and protocols of the Abidjan Convention and those of the Accra Ministerial Declaration.

## Signatures:

For the Executing Agency: Food and  
Agriculture Organization of the United  
Nations (FAO):

For the UNEP Environment Fund:

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Name: Mr. H. Carsalade  
Title: Assistant Director-General  
Technical Cooperation Department

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Mr. Sergey Kurdjukov  
Officer-in-Charge  
Budget and Financial Management Service

Date:

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Date:

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## LIST OF ACRONYMS/ABBREVIATIONS

<u>Acronym</u>		<u>Full Name</u>
BCLME	-	Benguela Current Large Marine Ecosystem
CECAF	-	Fishery Committee for the Eastern Central Atlantic
CSRP	-	Commission Sous-Régionale des Pêches
EEZ	-	Exclusive Economic Zone
FAO	-	Food and Agriculture Organization of the United Nations
FIGIS	-	Fisheries Geographical Information Systems
GCLME	-	Guinea Current LME
GEF	-	Global Environment Facility
GPA	-	Global Programme of Action for Protection of the Marine Environment from Land-based Activities
IA	-	Implementing Agency
ICARM	-	Integrated River Basin Management and Integrated Coastal Zone Management
ICCAT	-	International Commission for the Conservation of Atlantic Tunas/ Coastal Zone Management
IOC	-	Intergovernmental Oceanographic Commission
IUCN	-	World Conservation Union
LFID	-	Low-Income Food-Deficient
LME	-	Large Marine Ecosystem
M&E	-	Monitoring and Evaluation
MPA	-	Marine Protected Areas
NAP	-	National Action Plan
NEPAD	-	New Partnership for Africa's Development
NGO	-	Non Governmental Organization
NOAA	-	National Oceanic and Atmospheric Administration
OP	-	Operational Programme
PDF	-	Project Development Facility
RPA-LBA	-	Regional Programme of Action on Land Based Activities
SAP	-	Strategic Action Plan
SSC	-	Scientific Sub-Committee
TDA	-	Transboundary Diagnostic Analysis
TF	-	Trust Fund
UNCLOS	-	United Nations Convention on the Law of the Sea

## **LIST OF ACRONYMS/ABBREVIATIONS**

<b><u>Acronym</u></b>		<b><u>Full Name</u></b>
UNDP	-	United Nations Development Programme
UNEP	-	United Nations Environment Programme
UNESCO	-	United Nations Educational, Scientific and Cultural Organization
UNIDO	-	United Nations Industrial Development Organization
WACAF	-	West and Central African
WSSD	-	World Summit on Sustainable Development

## **SECTION 2 - BACKGROUND AND PROJECT CONTRIBUTION TO THE OVERALL SUB-PROGRAMME IMPLEMENTATION**

### **2.1 Project Objective:**

1. The objective of the overall project is to secure global environmental benefits by reversing the depletion of fisheries and conserving nursery and reproductive habitat of the Canary Current Large Marine Ecosystem (LME) caused by overfishing and pollution. This can only be achieved through regional collaboration in effective management leading to the sustainable use of its fisheries in an ecosystem approach, and to the control/reduction of pollution in many critical coastal areas. An ecosystem management extends the aim to the need of maintaining biodiversity, of managing for dependent and associated species as well as target species, maintenance and rehabilitation of habitats, and taking into account environmental considerations. The overall project will assist the participating countries to meet the sustainable fisheries target from WSSD.

2. The primary objective of this PDF Activity is the preparation of a Transboundary Diagnostic Analysis (TDA) to identify the principal shared problems and their root causes, as well as national, regional and, particularly, transboundary priorities in the region. This will provide the basis for the subsequent development of an agreed regional Strategic Action Programme (SAP) for the solution of the identified problems, and the development of the Full Project.

### **2.2 Global Significance:**

3. The global significance of the Canary Current LME is that it is a unique ecosystem inhabited by a large number of endemic species, and several other species which, although not endemic, have found temporary refuge there and might be at risk of severe depletion and even extinction due to overfishing and/or degradation of the coastal marine environment.

4. The fisheries in the Canary Current LME are of major economic and social importance in that they provide sustainable livelihoods, fish-protein supplies and revenue for the seven coastal States of the region, which are all classified as Low-Income Food-Deficient (LIFD) countries.

5. Increasing pressure on the shared fish stocks, as well as increasing habitat degradation in many vital coastal zones (resulting from inadequate waste-disposal facilities from the growing industries and human populations sited there), justifies urgent additional collaborative action on a regional basis to protect this major sector of the global marine environment.

### **2.3 Background:**

6. The Canary Current LME is characterized by a major upwelling of deep, cold oceanic waters off the Canary Islands in the eastern Central Atlantic. This upwelling flows near the surface in an easterly and southerly direction, gradually dispersing over the continental shelf in front of Morocco, Mauritania, Senegal, Gambia, Guinea Bissau, Guinea, as well as around the Cape Verde islands, and sometimes even influencing also the relatively wide shelf-area off Sierra Leone (see map in Annex I).

7. In this sub-tropical zone the massive nutrient-rich upwelling stimulates, although with fluctuating intensity, seasonal bursts of primary marine biological productivity, initially of phytoplankton, then progressively of zooplankton and small pelagic fishes, and of other opportunistic feeders and predators, including mackerel, tuna, dolphins, whales in the pelagic zones. A rich and diverse benthic fauna (including cephalopods, crustaceans and demersal fishes) can be found on the

continental shelf and inshore areas. Such richness and diversity is well illustrated in the Baie de Lévrier and the Banc d'Arguin off Mauritania.

8. The enhanced marine biological productivity in the Canary Current LME is vital to the local human populations. Fishermen, either from the region or from substantial foreign fleets licensed by the coastal countries, are able to exploit the populations of pelagic and demersal fishes, cephalopods and crustaceans. The landings (which may be in countries far beyond the region itself) in 1997 for instance included: 1,815,658 tonnes of small pelagic fishes; 57,000 t of tuna; 200,530 t of demersal fishes together with 174,930 t of other marine fishes, plus 140,242 t of cephalopods; 7,953 t of non-cephalopod molluscs and 34,345 t of crustaceans. These represent a total landed value of between US\$ 1,361-2,171 million<sup>1</sup>. The total value of fisheries in the area is even greater when the revenue from licence fees for fishing, as well as the economic and social value of land-based fleet-support and fish-processing services, is added to this amount.

9. A large part of these major fish resources undertake transboundary migrations: the smaller pelagic fishes (typically sardines, sardinellas, mackerels and horse-mackerels) remain relatively close to shore but migrate, or are carried by prevailing marine currents, across the borders of a number of Exclusive Economic Zones (EEZs, which extend to 200 nautical miles offshore from the coast). The tunas (predominantly yellowfin, skipjack and bigeye) make long-distance movements both in and out of this LME, as well as through international waters, and the EEZs of the six countries stretching from Morocco in the north to Guinea in the south, as well as around the archipelagos of Cape Verde and the Canaries.

10. Although there is typically much less mobility among the demersal fishes, there are still often seasonal movements of these stocks both along the coastline as well as inshore/offshore, again across the boundaries of individual national EEZs.

11. Management of the fisheries to ensure sustainability is therefore of prime concern to all these States.

12. The major environmental problems facing the marine and brackish water coastal segments of the Canary Current LME include: pollution and eutrophication possibly causing losses in the major fishery resources and marine biodiversity; declining water quality, particularly inshore, leading to degradation of the coastal habitats and ecosystems; public health risks, through contaminated drinking water and bathing beaches. Related to these primary problems are other socio-economic and cultural issues, notably reduced incomes arising from reduced fish-harvests amongst artisanal (small-scale) fishermen who rely upon the inshore fisheries; reduced harvests/incomes from the off-shore (industrial scale) fisheries; loss of tourism and recreational amenities.

13. In general the densities of the human populations in the coastal areas are relatively low, thus the risk of degradation of the marine and brackish water environment in the Canary Current LME as a result of discharges of contaminants and pollutants from land-based activities would not normally be a major cause for concern, but this is not the case because, without exception, towns in the coastal zones of these countries have been the major points for industrial development.

14. The result has been a continuous and uncontrolled migration of prospective workers from inland rural areas to the coastal industrial centres. This has led to increasing threats of degradation to the coastal zone because of the limited capacities of the governments to provide appropriate infrastructure and services. The need for sanitary infrastructure in many coastal urban centres in the region is enormous due to high population growth. Many facilities have fallen below acceptable

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<sup>1</sup> within the FAO-CECAF Major Fishing Area 34, Divisions 1.1, 1.2, 1.3, 1.9, 2.0, 3.1, 3.2, and 4.2 (see Map in Annex 1).

standards due to inadequate financial investment, irregular maintenance, and a lack of control and enforcement measures. A large majority of the residents live in unsanitary conditions with limited access to basic services. Inadequate facilities for sanitation and waste-disposal are crucial issues and constitute major health hazards.

15. Even where cities are served by sewage systems, raw sewage is most often directly discharged into the coastal waters. The risk of pollution and contamination extends not only to surface waters, but also to ground waters, where the water-table is close to the surface in the coastal zone.

16. The worst deficiencies occur in the densely populated areas where the lowest-income groups live. Here, diseases such as diarrhoea and malaria, that are associated with contaminated drinking-water or with stagnant surface-waters, are common. Poverty itself is a contributory factor to the present state of degradation, as it is a strong impediment to the adoption of new practices or behaviour which are less damaging to the environment.

17. Several regional and sub-regional institutions and initiatives are operating in the area of the Canary Current, including the Commission Sous-Régionale des Pêches (CSRP), the Ministerial Conference on Fisheries Cooperation among African States Bordering the Atlantic Ocean (Ministerial Conference), the Fishery Committee for the Eastern Central Atlantic (CECAF), and the West and Central African (WACAF) countries, which are contracting parties to the Abidjan Convention for Co-operation in the Protection and Development of the Marine and Coastal Environment. A description of each of these institutions can be found in Annex II.

18. The Global Environment Facility is in a unique position to build on and strengthen existing partnerships and programmes in the region and to provide the transboundary perspective which is not sufficiently covered by existing initiatives. The present proposal will build on past experience and ongoing activities in the region<sup>2</sup>, as well as the data and information collected by national governments, FAO, and WACAF, among others. A list of relevant fisheries-related activities which could provide inputs to the GEF initiative are listed in Annex III. The proposed activity will also benefit from outputs already produced through the UNEP/WACAF Action Plan Project "Monitoring and Control of Land-based Sources of Pollution Affecting the Marine and Coastal Environment" (WACAF/2 Phases 1 and 2), implemented by FAO in collaboration with IOC of UNESCO, WHO and IAEA (1989-1995), the "Integrated Management of Catchment and Coastal Areas of the WACAF Region" (WACAF/11-ICAM) also implemented by FAO (1995-1997), the WACAF Large Marine Ecosystem assessment completed by IOC/UNESCO (UNESCO/IOC/INF-942, 1993), and the report prepared by IUCN on the West African upwelling area. The present project will also build on the outcomes of the African Process supported through the GEF Medium Size Project implemented by UNEP.

19. The proposed project will strongly contribute to the implementation of the coastal, marine and freshwater component of the Environment Action plan for NEPAD with respect to development of coastal areas while protecting the coastal and marine environment. It will also contribute to the revitalization of the Abidjan Convention.

20. The proposed PDF-B project is a direct response to the new GEF International Waters strategic priority II-foundational work of a cross-cutting nature in a new LME. The Project will also contribute to filling the key portfolio gaps on fisheries depletion in LMEs of Sub-Saharan Africa as a contribution to the WSSD POI sustainable fisheries target.

21. The project will maintain close linkages with mechanisms developed to address land and water-related environmental issues in the major river basins draining to the LME (Senegal, Volta) and the

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<sup>2</sup> Comprehensive list to be compiled during the PDF activities.

neighbouring GEF International Waters projects (Guinea Current LME, Benguela Current LME). It is closely related to the regional implementation of the Global Programme of Action for Protection of the Marine Environment from Land-Based Activities, relevant components and protocols of the Abidjan Convention and those of the Accra Ministerial Declaration.

22. There are many benefits to be gained from addressing the problems described above through coordinated action on a regional level. Those constraints of a transboundary nature, in which actions taken by one country may have a negative impact on another, are best tackled through a concerted, harmonized collaborative approach. The countries along the Canary Current LME face a commonality of problems and benefit from sharing experiences and expertise, and developing or enhancing regional and/or local solutions. There are also economies of scale and cost advantages from addressing certain problems in a collaborative fashion.

23. The haphazard development of the zone and the uncontrolled exploitation of its marine resources make it mandatory to implement effective policies and strategies to avoid degradation of this international waterbody by introducing and promoting ecosystem management measures and promote sustainable development in the region. Non-action or postponement of intervention would significantly increase the risk of irreversible damage to the environment and living resources of the region, vital for the socio-economic well-being of its populations.

## **SECTION 3 - NEEDS AND RESULTS**

### **3.1 Full Project Description:**

24. The participating countries have demonstrated their desire to address the environmental problems of the marine and coastal areas of the region within the framework of concerted and co-ordinated programmes of action arranged through several different regional institutions (see Annex II). These collaborative mechanisms, however, are not yet fully operational mechanisms to achieve this goal.

25. It is envisaged that a subsequent main phase should focus on finalizing and preparing a full Transboundary Diagnostic Analysis which would form the basis for the development of a Strategic Action Programme for conserving the Canary Current LME.

26. Although the exact nature and components of the Full Project can only be determined on the basis of the results of this project development activity, the primary components of the Full Project are likely to comprise:

27. **Component 1: Development of a Strategic Action Programme** for conserving the Canary Current LME. The SAP will develop policy/legal and institutional reforms and investments regionally and nationally to address the priority transboundary concerns of the CCLME. The SAP would, inter alia, address the utilization and conservation of the stocks of pelagic and demersal fish, of cephalopods, and of crustaceans, which straddle the borders between national EEZs and/or international waters. This is particularly critical where the recruitment/spawning grounds are not within the EEZs of those coastal states which themselves exploit (or licence vessels from other states to exploit) these shared resources. It is also a major concern in the coastal zones where the impacts of pollution on water quality are being increasingly evident and adversely affecting the flora and fauna (especially fish stocks) and the people dependent upon on these living resources. As an integral part of the SAP a Regional Programme of Action on Land Based Activities (RPA-LBA) would be developed in conjunction with the UNEP GPA Office. The programme of Action will be based on National Plans of Actions that will assist the countries to implement the LBA protocol to the Abidjan Convention.

28. **Outcomes:**

- Finalized TDA including geographically-specific data on priority transboundary concerns
- Hot spots analysis using the African Process methodology
- Regionally agreed and country endorsed Strategic Action Programme for the protection of the CCLME.
- A Regional Programme of Action on Land Based Activities (RPA-LBA) based on National Action Plans in conformity with the new LBA protocol for the Abidjan Convention (to be developed under the GCLME GEF Project)
- Completion and pre-implementation of the National Programmes of Action to address sustainable use and management of fisheries, habitat and land based activities in an integrated manner, consistent with the Strategic Action Programme.

29. The SAP would provide a comprehensive framework and identify specific actions required to address the priority transboundary problems in the region.

30. The Transboundary Diagnostic Analysis will provide the basis for the development of the SAP would involve:

- (i) a systematic, scientific analysis of the major environmental issues and transboundary problems of the Canary Current LME;
- (ii) Identification and quantification of existing damage and potential threats to the marine environment of the region, its resources and amenities, including adverse effects of land-based activities on living marine resources;
- (iii) in-depth studies, as required, to fill data and information gaps which may have been identified during the implementation of the Block B grant or early in the TDA;
- (iv) identification of the root causes, through Casual Chain Analysis of the problems and potential opportunities for their resolution (policy, institutional, technological, economic and legal options); and
- (v) preliminary indication of priority actions which could form part of the SAP.

31. The main root causes might include, inter alia, an inadequate legal framework, lack of enforcement capabilities, institutional deficiencies, inadequate resource management practices, and policy distortions. The final TDA would be refined and the SAP elaborated as new information and data become available, experiences are gained, areas for further collaboration identified, institutional mechanisms for collaboration in the implementation of the SAP defined, and financing arrangements agreed (including countries' commitments to funding baseline activities). The SAP would outline the actions required to resolve the priority transboundary problems identified in the TDA, identify responsible actors, set realistic targets and interventions, and provide an analysis of costs and benefits. A description of the baseline actions would be included to the extent possible, clearly distinguishing between those from which solely national benefits would be derived and those from which regional and global benefits would accrue. The incremental costs of such actions would be calculated where applicable. A financing plan will be developed.

32. **Component 2: Development of pilot demonstration activities to initiate SAP implementation.** Demonstration interventions of replicable on-the-ground preventative and remedial actions addressing the sources of priority damage and threats to the marine environment, including those stemming from land-based activities as well as demos related to the priority transboundary issues – overfishing, coastal habitat protection and MPA's. It is essential that pilot demonstration activities address one or more of the priority transboundary or globally significant biodiversity issues identified in the TDA and work towards the goals defined by the short and long term environmental quality objectives. However, there are important additional criteria as the projects must be sustainable, replicable (in the case of sub-regional or national initiatives), cost effective and supported by counterpart funding (through cost-sharing or co-financing). The first step in the development of a project portfolio will therefore be the documentation of a clear agreement on the criteria for prioritising demonstration activities within the CCLME. For the design of site-specific demos a supplementary PDF-B may be required.

33. **Outcomes:**

- A set of demonstration projects addressing major transboundary environmental problems identified in the TDA to initiate the SAP implementation.

34. **Component 3: Build capacity for the effective management of the CCLME.** This component will represent the Stakeholder and institutions strengthening, focusing on training, education, public-private sector partnerships, and small-grants program. Simultaneously, it

will coordinate project activities with all relevant stakeholders in the region, including the private sector, international and multilateral institutions, national and local governments and civil society. This component will also develop regional capacity and strengthen institutions to ensure efficiency in environmental management and requisite national institutions, and the mechanisms and equipment to sustain marine environmental protection policies and measures apt to the implementation of fishery resources ecosystem management approach. Additionally, the objectives provides for the establishment of a Regional Co-ordination Unit to co-ordinate the activities of the full project, support the Abidjan Convention Secretariat, and strengthens the existing regional institutions, partly as an institutional strengthening operation.

35. **Outcomes:**

- Identify, strengthen, and involve Stakeholders in the Region, including Monitoring and Evaluation, development of performance indicators,
- Established Project Steering Committee, including National Focal Points, and Inter-Ministerial Coordination Committees;
- Develop Regional/ Governmental/ Private Sector/ Public Sector partnerships;
- Implement small-grants programme for broader stakeholder participation,
- Regional Co-ordination Unit established; and
- Support to the Abidjan Convention Secretariat.

36. **Component 4: Develop regional policy, legal and regulatory frameworks** will focus on improving the policy and legislative basis to allow for sustained protection of the marine environment and its fishery resources from existing and foreseen fisheries and land-based activities within the region, taking full account of obligations under international and regional agreements; It includes improvement of national policy and legislation, assisting countries in developing and implementing their National Plans of Action for Land-Based Activities, and promoting ICARM principles. This component will also assist to negotiate the regional fisheries framework under UNCLOS and the 1995 UN treaty. A component goal is to build capacity of Canary Current countries to work jointly to define and address transboundary priority environmental issues within the framework of their existing responsibilities under the Abidjan Convention and its Protocol.

37. **Outcomes:**

- Review gaps in national legislation/ regulatory/ institutional frameworks,
- Review status of ratification of appropriate international conventions by countries, and assist countries in developing plans for ratifying those not yet ratified,
- Promote and enhance the integrated management of river basin and coastal zone through application of the ICARM principles;
- Development and implementation of a new Protocol on LBA for the Abidjan Convention (jointly with the GCLEM GEF project) before the end of the project;
- Concrete national policy/legal/institutional gaps identified and process established for correcting these gaps;
- NAP's prepared and endorsed by all countries, including both legal and regulatory reform, as well as concrete investments;
- Management plans for addressing priority transboundary fisheries concerns developed; and
- SAP endorsed by countries with National and donor commitment to funding SAP and Workplan elements.

38. **Component 5: Pre-investment Studies.** This component will undertake a pre-investment studies regarding major sources of damage or threat that will provide the means to solicit international or bilateral support for undertaking major interventions.
39. **Outcomes:**
- pre-feasibility studies;
  - priority investment portfolio; and
  - donors conference.
40. **Component 6: Establish Regional Inter-agencies Co-ordination mechanisms.** Active collaboration arrangements will be established with other projects and organizations, and especially with associated GEF International Waters projects in the region, in order to enhance regional mechanisms for comprehensive and durable ecosystem-wide management and to share best practices. The projects identified so far include the UNDP/UNEP – facilitated GCLME, UNDP – BCLME and the UNDP/WB facilitated Senegal River Basin Project. This coordination will help eliminate overlap between projects, such as in the demonstrations.
41. **Outcomes:**
- Co-ordination mechanisms taking place with other projects in the region (BCLME, GCLME Senegal River, Senegal- Mauritania biodiversity/land degradation project, and other complementary projects in the region;
  - Coordination of three LME projects in the region (BCLME, GCLME and CCLME) under the auspices of the Abidjan Convention; and
  - At least one regional meeting with IAs of other GEF projects held.

## **SECTION 4 - ACTIVITIES, OUTPUTS, WORKPLAN AND TIMETABLE, BUDGET, FOLLOW-UP**

### **4.1 Overview of proposed activities:**

42. PDF resources will be utilised to:

- (i) design the full project with clear objectives, outputs and outcomes, identifying major players, work plan of costed activities, fully identified and agreed demonstration projects and TOR's;
- (ii) strengthen established regional collaborative mechanisms for managing on a sustainable basis the marine and coastal resources;
- (iii) explore with the countries the feasibility to adopt the sustainable fisheries target from WSSD;
- (iv) establish an Inter-ministerial co-ordination committee in each of the participating countries;
- (v) hold a series of national and regional workshops in order to encourage broad-based participation in the process and undertake consultations with coastal stakeholders to ensure input and feedback on national reports;
- (vi) prepare regional papers on critical issues (transboundary fisheries-related issues, community dependence on and management of the coastal and marine resources of the Canary Current);
- (vii) identify and quantify existing damage and potential threats to the marine environment of the region, its resources and amenities, including adverse effects of land-based activities on living marine resources and coastal habitats;
- (viii) outline a Transboundary Diagnostic Analysis to identify, through casual chain analysis, the root causes of identified damage and threats to the marine environment of the region;
- (ix) identify and define priority activities for sustainable use and management of the fisheries and for the protection of the marine environment and coastal habitats, including land-based activities, to provide a sound basis for subsequent development of a Strategic Action Programme and implementation of priority interventions during the course of the Full Project;
- (x) under the responsibility of UNEP, initiate the preparation, as sub-sets of the SAP, of regionally integrated National Programmes of Action for the Protection of the marine Environment, including Land-based Activities;
- (xi) through IUCN, prepare a regional review and an assessment of socio-economic issues;
- (xii) outline replicable demonstration activities addressing fisheries issues, habitat degradation and land based activities;
- (xiii) formulate a Project Brief for the Full GEF Project for financing, outlining the processes for completing the Transboundary Diagnostic Analysis and subsequent preparation of a Strategic Action Programme and its implementation;
- (xiv) develop a stakeholder/public involvement plan; and
- (xv) mobilize co-financing for the Full Project implementation.

43. The PDF activities will be carried out taking into account:
- the outcomes of the African process and its programme of intervention, supported by the GEF MSP on protection of coastal and marine resources in Africa;
  - the outcomes of the WSSD POI;
  - the use of the existing institutional frameworks for regional collaboration in fisheries management and environmental initiatives;
  - close and active collaboration of the seven participating countries;
  - co-ordination with national and regional initiatives, including, amongst others: the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities; the Code of Conduct for Responsible Fisheries; the Convention for Co-operation in the Protection and Development of the Marine and Coastal Environment of the West and Central African Region (Abidjan Convention);
  - ongoing and past experience gained through programmes and projects in the management of the marine and coastal resources; and
  - close collaboration with international and bilateral donors, the UN system (UNDP, UNIDO, UNESCO), international financing institutions (World Bank, African Development Bank), NGOs, and local stakeholders.

44. All the proposed PDF activities are designed as preparatory actions required for the design and eventual implementation of a regionally co-ordinated Strategic Action Programme.

45. The PDF-B Grant will be used to design full project activities and interventions to achieve the greatest net benefits to international waters that include the preservation of marine and coastal resources and amenities of regional and global importance. Under baseline conditions, the scope and effectiveness of individual and collective intervention measures would be more modest and the implementation of action would be considerably delayed. A PDF-B Grant will enable the countries to accelerate their activities and improve the mechanisms of multilateral consultation and co-operation in the process.

#### **4.2 Description of activities carried out by PDF-B:**

46. The PDF funds will be used for twelve specific activities:

##### **Activity 1: Designation of National Co-ordinators**

47. At the commencement of this PDF-B activity, each participating Country will be invited to nominate a National Co-ordinator for the implementation of the PDF-B activities. Their role will include mobilization of national resources for regular inter-ministerial consultative meetings, and for holding regular consultations with other groups in-country, including grass-root stakeholders, the public sector, NGOs, and the private sector to be called upon to participate in the implementations of all project activities detailed below.

##### **Activity 2: Establishment of a Project Steering Group**

48. At the commencement of the project planning, a Project Steering Group will be formed comprising:

- one representative from each participating country
- the Secretariat of the Ministerial Conference (Dakar Convention);
- the Secretariat of CSRP;
- the Secretariat of CECAF;

- the Secretariat of WACAF (Abidjan Convention);
- the UNEP/GEF Co-ordination Unit;
- FAO;
- IUCN;
- UNIDO;
- the African Development Bank (observer status);
- the World Bank (observer status); and
- UNDP (observer status).

49. Additional members can be added at the discretion of the Steering Committee, including representatives from the Private Sector and NGO communities.

50. The Steering Group will be playing an important role for the project overall strategic policy and management, its coordination and overview of the project implementation. It will represent the interests of the proponent states, of the GEF, and the co-financing agencies in project orientation. FAO will provide the Secretariat for the Steering Group that will meet initially at the inception of the activity and again at the following the completion of the preliminary TDA. The TDA and the ensuing draft full Project Brief will be given final approval at an intergovernmental meeting to be organized back-to-back with the final Steering Group Meeting. During inter-sessional periods, the Steering Group will work through correspondence and periodic conference calls as required. Each meeting of the Steering Group will be of three working days duration.

51. The purpose of the First Steering Group Meeting will be to:

- a) confirm and document the scope of the PDF-B and prepare and adopt detailed terms of reference for: the National Coordinators and of the National Inter-ministerial Committees;
- b) undertake a participatory review of the available data and information, prepare and agree on draft guidelines for the Country Reports, determine the modus operandi for the preparation of national reports;
- c) agree on identification of very priority issues and problems to be taken into consideration for the preparation of the outline Transboundary Diagnostic Analysis; prepare a logical framework for an initial identification of transboundary problems for the TDA and use of international consultants; and
- d) prepare a preliminary work plan, complete of timetable and inputs, for the PDF-project duration.

### **Activity 3: Establishment of seven National Inter-ministerial Committees**

52. Each National Co-ordinator shall be responsible for convening and chairing regular meetings of a National Inter-ministerial Committee (NITC) charged with responsibility for ensuring adequate cross-sectoral inputs to the Country Reports, draft TDA and Project Brief. The composition of these NITCs shall be broad-based, including not only representatives of all government Ministries concerned, but also of interested NGOs, fishermen's associations, potential bilateral assistance agencies, etc..

### **Activity 4: Review of existing data and information; establishment of guidelines for the preparation of Country Reports.**

53. The Regional Co-ordinator will take the lead in organizing these initial review activities which will then be expanded upon by each National Co-ordinator working with members of the National Inter-ministerial Committees. The Regional Co-ordinator will in this exercise, liaise with

members of the Project Steering Group, National Co-ordinators and other appropriate regional and inter-regional institutions. This will foresee a consultative process with other ongoing GEF activities in the region, for obtaining appropriate relevant information and in order to achieve complementarity and avoid duplication, besides exploring the possibility of sharing resources.

#### **Activity 5: Preparation of seven Country Reports**

54. Subsequent to the 1st Steering Committee consultations, and building upon the existing information in the region, the National Co-ordinators with their National Inter-ministerial Committees will organize the preparation of Country Reports, that will include, but not be limited to: the state of, and problems of the fisheries plus the marine and coastal environment; socio-economic aspects; institutional arrangements; existing initiatives and programmes of relevance; priority issues and aspects of transboundary importance. The country reports will also include information on ongoing and planned activities, including costings, which could be utilized to establish the baseline and as background for the incremental cost analysis.

55. The reports will be based on available information and would include the identification of key issues, data gaps and major constraints; new primary data gathering, in-depth studies or pilot activities would be carried out at this stage only if confirmed as deserving particular urgency or priority. Relevant information and data would include: fisheries statistics and other fisheries resource surveys (including regionally important nursery and feeding grounds, highly migratory and shared stocks, etc.); data on currents, littoral transport systems and other oceanographic parameters; climate data; biogeographic information; living marine resources; biodiversity issues related to habitat degradation; pollution discharge into the coastal areas; development plans, legislation, etc. Data and information gaps requiring further study, particularly those with respect to transboundary issues, would be identified.

56. A bibliography of relevant programmes, projects and studies will be included in the country reports.

#### **Activity 6: Assessment of transboundary fisheries-related issues**

57. FAO will provide support to the National Task Forces by preparing an analytical report on the fisheries-related issues.

#### **Activity 7: Regional review and assessment of socio-economic issues**

58. IUCN will prepare a regional review and assessment of the socio-economic aspects of communities' dependence on, the management and use of, the marine and brackish water resources in the Canary Current LME (including a stakeholder analysis and involvement plan, and rapid social survey to outline key participatory issues related to coastal villages).

#### **Activity 8: Land-Based Activities**

59. UNEP/GPA will initiate the preparation, as sub-sets of the SAP, of regionally integrated national Programmes of Action for the Protection of the Marine Environment from Land-based Activities.

60. National Country Reports will be reviewed in consultation with members of the second Steering Group Meeting to enable resolution of any outstanding deficiencies in information and/or any inconsistencies so that these can be rectified prior to substantive work on the TDA.

### **Activity 9: Preparation of a framework Transboundary Diagnostic Analysis**

61. Based on these regional analyses and the Country Reports, the Regional Co-ordinator will coordinate the subsequent consolidation of information available in the preparation of a draft framework TDA which will identify: the environmental issues and problems; the sources and sites of impact; the proximate and ultimate causes, the constraints to action at national and regional levels; and the potential alternative remedial actions. In addition the TDA will identify, as a guide to identifying priority areas for intervention, "hot spots", "critical habitats" and "sensitive areas" within the Canary Current LME.
62. The outline of 6-10 replicable demonstration projects will be developed.
63. The project will, if required, organize a training workshop on the development of the TDA/SAP directed to selected national experts. The training course is under development by the Train-SEA Coast Project.
64. Appropriate consultations will be held to:
  - a) prepare detailed scoping of the elements of the TDA;
  - b) identify data and information packages relevant to specific TDA components;
  - c) assign responsibilities for the assembly of information and the preparation of TDA components and sub-components (national level components);
  - d) design progress monitoring and information exchange procedures to be used for the preparation of national contributions (national reports) to the TDA and the means of communication among experts in the countries; and
  - e) formulate a provisional outline for the TDA with all of the planned components and the procedures to be used for causal chain analysis.

### **Activity 10: Agreement on Environmental Quality Objectives**

65. Having compiled the priority problems and their intermediate and root causes, as well as the uncertainties that require further study (or precautionary action), clear intermediate and long-term environmental and living marine resource quality objectives (EQO) would be developed for the CCLME by regional technical specialists/ experts on the basis of wide consultations that would provide suggestions and alternatives. The environmental quality objectives will also provide the starting point for a Strategic Action Programme of legal, policy and institutional reforms and priority investments to be developed in the full-sized project. The short-term objectives will form the first step in an adaptive management approach (an essential aspect of the SAP) designed to meet the longer-term objectives within a defined time frame.

### **Activity 11: Preparation of a draft Project Brief**

66. In consultation with UNEP and all involved and interested agencies and other members of the Steering Group, the project will, during the final months of the PDF-B, undertake the preparation of a first draft of the GEF Project Brief with the assistance of consultants. This draft Project Brief will take into account the content of the TDA. It will specify the component national activities that are required to implement the SAP for ecosystem-wide marine environmental and natural resources protection and management concerns and measures. The draft Project Brief will outline the modalities for operation and management of the main phase, and including components such as the requirements for pre-feasibility studies of projects within a priority investment portfolio, and identified priority short-term actions of a demonstration or pilot nature. In the context of land-based

activities, will constitute the basis for National Programmes of Action under the Global Programme of Action for the Protection of the Marine Environment from Land-Based Activities.

67. Following completion of Activity 9 described above, a Preparatory Workshop on the formulation of the Project Brief will be convened for three days. The Workshop will be attended by policy-level representatives of the participating countries, FAO, UNEP, GEF, and resource experts as appropriate. A preliminary outline of the Full Project Brief will be presented to this Workshop for review, comment and amendment. The Workshop will make decisions regarding the final form and content of the Project Brief.

68. Final review and adoption of the Full Project Brief will take place initially at the final Steering Group Meeting and then during an intergovernmental meeting at the conclusion of the PDF-B activities.

#### **Activity 12: Regional Consultation**

69. The Secrétaire Permanent of the CSRP will convene, in co-operation with FAO and the UNEP/GEF Coordination Unit, a Regional Consultation, the purpose of which will be to agree upon and the framework for the preparation of the TDA, and the draft Project Brief for GEF financing. The Regional Co-ordinator is expected to organize the preparation of a Summary Report on this Consultation. The Steering Group will again meet in association with this Consultation. The Intergovernmental Meeting to endorse Project Brief will be convene in the end of the PDF-B.

#### **4.3 Outputs of the PDFB:**

70. The outputs of the PDF-B will be the following:

- Seven Country Reports taking stock of the status and development potential of each EEZ (covering marine and coastal environments), including: threats to the fisheries resources; an associated bibliography (also indicating the location of each publication referenced); the identification of knowledge-gaps which will require further study; the indication of major problems and priority issues as viewed at the national level and at the sub-regional (transboundary) level; national institutional arrangements; and opportunities for follow-up action;
- Promotion of active grassroots participation in discussions and identification of priorities for interventions in environmental and resources management;
- Building of capacity of the participating governments to integrate environmental considerations into national development planning;
- Building of capacity of the countries to work jointly, and with adjacent countries and GEF projects in the region to define and address transboundary priority environmental issues;
- Regional Review and Assessment Report on Socio-Economic issues;
- Assessment Report on Transboundary Fisheries Related Issues;
- Regional LBA Report and preliminary National Programmes of Action for the Protection of the Marine Environment, from Land-based Activities;
- Stakeholders Involvement plan;
- A Transboundary Diagnostic Analysis for the CCLME with identification of intermediate and root causes for damage and threat to the marine environment, including international waters;
- Outline of 6-10 replicable demonstration projects;
- Complete scoping of the full project with guidelines and procedures for the development and implementation of a Strategic Action Programme (in this case equivalent to a Regional Programme of Action);
- GEF International Waters M&E Indicators established and M&E plan prepared;
- Reports on each of the Steering Group Meetings, and other project meetings and major events; and
- A GEF Project Brief for the Full project under which the TDA will be finalised and subsequently the Strategic Action Programme for the Canary Current LME will be developed and implemented, as well as priority pilot demonstration activities to be undertaken. Co-financing arrangements would be specified in the Project Brief.

#### **4.4 Stakeholders Participation and Implementation:**

71. The Food and Agriculture Organization of the United Nations (FAO) will co-ordinate and facilitate the process in close consultation with the Project Steering Group and in close collaboration with the Secretariats of the Commission Sous-Régionale des Pêches (CSRP) and the Ministerial Conference on Fisheries Co-operation among African States Bordering the Atlantic Ocean, as well as with the National Co-ordinators who will be nominated by each participating country. FAO Headquarters, in close collaboration with Regional Offices and FAO Representations as appropriate, will also be responsible for technical backstopping in its sphere of competence and will promote cooperation with other inter-governmental bodies concerned, such as: the WACAF Secretariat; the Economic Community of West African States (ECOWAS); the African Development Bank; the World Bank; UNDP; UNEP; IUCN, UNIDO and NOAA. In addition, FAO through its Secretariat to

the Fishery Committee for the Eastern Central Atlantic (CECAF), will consult not only with the seven participating countries (all members of CECAF), but also with the many other CECAF Member States which have interests and/or knowledge of the marine resources in the Canary Current LME. The FAO will closely work with the GPA office on the implementation of this PDF-B.

72. The Secretariat of the CSRP in Dakar will host this GEF activity (see Annex VI).

73. A Project Regional Co-ordinator will be appointed and based at CSRP in Dakar. Each country will designate a National Co-ordinator, promote the establishment of an Inter-ministerial Task Force, and of appropriate consultative groups at all stakeholders' levels for their regular and active participation in all project activities, and prepare the basis for the generation of a stakeholders involvement plan; national consultants and regional experts will be recruited to prepare the national reports under the guidance of the National Co-ordinator and the Regional Co-ordinator and in consultation with the NITC.

74. FAO will prepare an assessment on transboundary fisheries related issues in cooperation with the countries and other parties involved. IUCN, under a Letter of Agreement with FAO, will carry out an socio-economic assessment of the coastal communities dependent on the resources of the Canary Current LME and, in cooperation with national NGOs, coordinate and carry out the community consultations. UNEP/GPA will carry out the GPA related activities under this project through direct administration of funds allocated for the task.

75. The present project will also closely liaise and establish links with the other existing GEF projects in the region, including the Senegal River UNDP/WB GEF Project, the Guinea Current LME PDF-B under co-implementation by UNDP and UNEP and the BCLME GEF project. The present project will also build on the outcomes of the UNEP/DHI demonstration project for the Senegal River Basin and its associated coastal areas with special focus on the Senegal Delta in Senegal (left bank).

#### **4.5 Eligibility:**

76. Although there is no one specific umbrella Convention related to GEF's International Waters Focal Area, there are several treaties, conventions and codes of conduct that relate to the marine zones.

77. A summary of the status of such conventions and agreements with respect to the participating Governments concerned with the Canary Current LME is given in Annex IV.

78. This project would assist the participating Governments in meeting their obligations as stipulated under the above-mentioned agreements and related action-plans, particularly those concerning the strengthening of regional collaboration and coordination.

79. All the countries are eligible under paragraph 9b of the Instrument for the Restructured GEF.

#### **4.6 National Level Support:**

80. The participating countries have already indicated their general support for regional cooperation in the marine fisheries sector through their membership of regional institutions such as the Commission Sous-Régionale des Pêches, the Ministerial Conference, the Fishery Committee for the Eastern Central Atlantic, as well as in the pollution sector through the Abidjan Convention, or through the Barcelona Convention (Mediterranean Sea).

81. Letters of endorsement from the GEF Operational Focal Points in each of the seven countries endorsing this PDF-B proposal have been submitted to the GEFSEC.

#### **4.7 Justification for the PDF:**

82. The planned activities and goals of the present project are therefore consistent with GEF's Operational Strategy, Policies and Priorities, and will specifically contribute to GEF Waterbody-Based Operational Program #8. The long-term objective of the program is to undertake a series of projects that involve helping groups of countries to work collaboratively with the support of implementing agencies in achieving changes in sectoral policies and activities so that transboundary environmental concerns degrading specific waterbodies can be resolved. The project will indirectly contribute to the conservation of Biodiversity, under Operational Program #2 - Coastal, Marine and Freshwater Ecosystems.

#### **4.8 Risks and Sustainability:**

83. Governments will support the project with inputs deriving from the existing staff and recurrent budgets of the involved ministries and government departments. It is anticipated that project activities will strengthen the influence of these ministries at a national level, and hence encourage substantial increases in the recurrent budgets of the departments concerned in the futures. The countries already contribute financially to regionally coordinated actions and such contributions might increase as a consequence of this project.

84. Regarding the sustainability of activities beyond the life of this project, it should be noted that the proposed assistance is of a preparatory nature. In the elaboration of the TAD, and of the SAP in a follow-up phase, mechanisms will be put in place that require minimal recurrent inputs at the national level to ensure their continued operation beyond the life of the project.

85. Of greater importance from the perspective of future sustainability is the consideration of the demonstration activities the project is anticipated to implement in a follow-up phase and their anticipated impacts region wide.

#### 4.9 Budget:

86. The requested PDF Block B grant of US\$ 340,000 from GEF, plus inputs from other sources would be used to produce the outputs through the activities as summarised below.

	Activity	GEF Input Cash US\$	UNEP Input In kind	Govts. Inputs In kind	CSR P Inputs In kind	FAO Inputs In kind	UNIDO Inputs In kind	NOA A Inputs In kind	Lead Agency	Total Inputs US\$
5.0	Formulation of this proposal for PDF-B grant	0	0	0	0	55,000	0	0	FAO	<b>55,000</b>
5.1	Designation of National Co-ordinators	1,000	0	4,000	0	0	0	0	Govts	5,000
5.2	Establishment of a Project Steering Group	1,000	0	0	0	0	0	0	FAO	1,000
5.2a	First meeting of the Project Steering Committee	18,000	5,000	10,000	8,000	0	10,000	15,000	CSR P with FAO	<b>66,000</b>
5.3	Establishment of seven National Inter-Ministerial Task Forces	7,000	5,000	5,000	0	0	0	0	Govts	17,000
5.4	Review of existing data	30,000	5,000	10,000	0	5,000	10,000	10,000	FAO	<b>70,000</b>
5.5	Preparation of Guidelines for Country Reports and framework TDA	40,000	5,000	0	0	0	0	0	FAO	45,000
5.5a	Preparation of 7 Country Reports	28,000	5,000	28,000	3,000	0	0	0	Govts	64,000
5.5b	Community Consultations for inputs and feedback on National Reports	7,000	0	15,000	0	0	0	10,000	Govts	<b>32,000</b>
5.6	Assessment Report – FAO	20,000	0	0	0	0	0	0	FAO	20,000
5.7	Assessment Report – IUCN	20,000	0	0	0	0	0	0	IUCN	20,000
5.7a	Stakeholders Involvement Plan	5,000	0	2,000	0	0	0	0	IUCN	<b>7,000</b>
5.8	LBA Assessment Report UNEP	20,000 <sup>3</sup>	0	0	0	0	0	10,000	UNEP	30,000
5.9	Preparation draft framework TDA	36,000	5,000	0	0	0	0	0	FAO	41,000
5.9a	Outline replicable	7,000	0	0	0	0	0	0	FAO/	<b>7,000</b>

<sup>3</sup> These funds will be administered directly by UNEP

	demonstration activities								UNEP	
5.10	Agreement on Environmental Quality Objectives	15,000	0	0	0	0	0	0	FAO/UNEP	15,000
5.11	Preparation of draft Project Brief	38,000	5,000	0	1,000	0	0	0	FAO	44,000
5.12	Regional Consultation	15,000	5,000		8,000	0	0	0	CSR & FAO	28,000
5.12a	Second meeting of the Project Steering Group	18,000	0	0	1,000	0	10,000	15,000	FAO	44,000
5.12b	Intergovernmental Meeting to endorse Project Brief	14,000	0	0	0	0	0	0		14,000
	<b>TOTAL</b>	<b>340,000</b>	<b>40,000</b>	<b>74,000</b>	<b>21,000</b>	<b>60,000</b>	<b>30,000</b>	<b>60,000</b>		<b>625,000</b>

87. The detailed budget is provided in the UNEP formatted budget provided in Annex VII.

#### **4.10 Work-Plan and Timetable:**

88. Time table and the work plan are presented in Annex V.

## **SECTION 5 - WORKPLAN AND TIMETABLE, BUDGET AND FOLLOW-UP**

### **5.1 Workplan and Timetable**

A detailed operational Workplan and Timetable can be found in **ANNEX V**.

### **5.2 Budget**

The grant will be used to finance the activities mentioned in Section 2, including administrative and operational support. A detailed budget following UNEP format can be found in **ANNEX VII** of this document.

### **5.3 Follow-up**

Subsequent to execution of the PDF-B grant, a full-size project proposal will be presented to the GEF for approval.

## **SECTION 6 - INSTITUTIONAL FRAMEWORK AND EVALUATION**

### **6.1 Institutional Framework**

FAO, as the Executing Agency, will be responsible for the implementation of the project in accordance with the objectives and activities outlined in Section 2 of this document. UNEP, as the GEF Implementing Agency, will be responsible for overall project supervision to ensure consistency with GEF and UNEP policies and procedures, and will provide guidance on linkages with related UNEP and GEF-funded activities. The UNEP/DGEF Co-ordination will monitor implementation of the activities undertaken during the execution of the project. The UNEP/DGEF Co-ordination will be responsible for clearance and transmission of financial and progress reports to the Global Environment Facility.

FAO, as executing agency, will cooperate with UNEP so as to allow the organisation to fulfil its responsibility as Implementing Agency accountable to the GEF. To this end, free access to all relevant information will be provided by FAO.

UNEP/GPA will be directly responsible for the execution of Activity budget item 5.8 : “production of the LBA Assessment Report”.

All correspondence regarding substantive and technical matters should be addressed to:

**At FAO:**

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**With a copy to:**

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All correspondence regarding administrative and financial matters should be addressed to:

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Email: immaculate.njeru@unep.org

## **6.2 Evaluation**

Every year, UNEP Division of GEF Coordination will undertake a desk evaluation using the format given in **ANNEX VIII**, to measure the degree to which the objectives of the project have been achieved.

## **SECTION 7 - MONITORING AND REPORTING**

### **7.1 Management Reports**

#### **7.1.1 Progress Reports**

Within 30 days of the end of the reporting period, FAO will submit to UNEP, with a copy to Division of GEF Coordination, using the format given in **ANNEX IX**, half-yearly progress reports as at 30 June and 31 December.

The Inventory of Outputs/Services should be submitted with all Progress Reports and the Terminal Report. The report is due within 30 days of the end of each half-yearly period when submitted with a Progress Report or within 60 days of the completion of a project when submitted with a Terminal Report. The format of the report is given in **ANNEX XI**.

#### **7.1.2 Terminal Reports**

Within 60 days of the completion of the project, FAO will submit to UNEP, with a copy to UNEP/DGEF Coordination, a Terminal Report detailing the activities taken under the project, lessons learned and any recommendations to improve the efficiency of similar activities in the future, using the format provided in **ANNEX XI**.

#### **7.1.3 Substantive Reports**

- (i) At the appropriate time, FAO will submit to UNEP in draft any manuscript for publications and, at the same time, inform UNEP of plans for its publication. UNEP will give FAO substantive clearance of the manuscript, indicating any suggestions for change and such wording (recognition, disclaimer, etc.) as it would wish to see figure in the preliminary pages or in the introductory texts.
- (ii) It will equally consider the publishing proposal of FAO and will make comments thereon as advisable. It may request FAO to consider publication on a joint imprint basis. Should FAO be solely responsible for publishing arrangements, UNEP will, nevertheless, receive 10 free copies of the published work in each of the agreed languages, for its own purposes.

### **7.2 Financial Reports**

FAO shall submit to UNEP quarterly project expenditure accounts and final accounts for each project, showing amount budgeted for the year, amount expended since the beginning of the year, and, separately, the unliquidated obligations as follows:

- (i) Details of project expenditures on an activity-by-activity basis, reported in line with project budget codes as set out in the project document, as at 31 March, 30 June, 30 September and 31 December each year, providing details of unliquidated obligations separately (see formats in **ANNEX XII** and **ANNEX XIII**). The expenditure accounts will be dispatched to UNEP within 30 days after the end of the quarter to which they refer.
- (ii) The expenditure account as at 31 December is to be received by UNEP by 31 March each year.
- (iii) A final statement of account, in line with UNEP project budget codes, reflecting actual final expenditures under the project, when all obligations have been liquidated.
- (iv) Within 60 days of the reporting period, FAO shall submit to UNEP GEF Coordination Office, a yearly cofinancing report for the project using the format provided in **ANNEX XVI** showing information FAO has received on:
  - (a) Amount of cofinancing realized compared to the amount of cofinancing committed to at the time of project approval, and
  - (b) Cofinancing reporting by source and by type.

- ◆ Sources include the agency's own cofinancing, government cofinance (counterpart commitments), and contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector, and beneficiaries.
- ◆ Types of cofinance. Cash includes grants, loans, credits and equity investments. In-kind resources are required to be:
  - dedicated uniquely to the GEF project,
  - valued as the lesser of the cost and the market value of the required inputs they provide for the project, and
  - monitored with documentation available for any evaluation or project audit undertaken by FAO.

With regard to reporting on in kind co-financing provided by government and other institutions, FAO will encourage the partners to provide the information in a timely manner and will transmit such information to UNEP as received and without certification

### **7.3 Terms and Conditions**

#### **7.3.1 Non expendable equipment**

FAO will maintain records of non-expendable equipment (items costing US\$1,500 or more as well as attractive items such as pocket calculators, cameras, computers, printers, etc.) purchased with UNEP funds (or with trust funds or counterpart funds administered by UNEP). FAO will submit an inventory of such equipment to UNEP, indicating description, serial no. (where applicable), date of purchase, original cost, condition, location of each item attached to the half yearly progress reports, including all the information shown in **ANNEX XV**.

Within 60 days of completion of the project, FAO will submit to UNEP a final inventory of all non-expendable equipment purchased under the project indicating description, serial number (where applicable), original cost, condition, location and a proposal for the disposal of the said equipment. Non-expendable equipment purchased with funds administered by UNEP remains the property of UNEP until its disposal is authorized by UNEP, in consultation with FAO. The proceeds from the sale of equipment (duly authorized by UNEP) shall be credited to the accounts of UNEP, or to the appropriate trust fund or counterpart fund.

#### **7.3.2 Responsibility for Cost Overruns**

FAO is authorized to enter into commitments or incur expenditures up to a maximum of 20 percent over and above the annual amount foreseen in the project budget under any budget sub-line, provided the total cost of the UNEP annual contribution is not exceeded. This may be done without prior authorization, but once the need for these additional funds becomes apparent, a revised budget request should be submitted to UNEP immediately. Cost overruns are the responsibility of FAO unless a revised budget has been agreed with UNEP.

Any cost overrun (expenditure in excess of the budgeted amount) on a specific budget sub-line over and above the 20 per cent flexibility mentioned above should be met by FAO, which originally assumed responsibility for authorizing the expenditure, unless a revision has been agreed to by UNEP prior to the authorization to cover it. Savings in one budget sub-line may not be applied to overruns of 20 percent in other sub-lines, even if the total cost to UNEP remains unchanged, unless this is specifically authorized by UNEP upon presentation of the request. In such a case, a revision to the project document amending the budget will be issued by UNEP.

### **7.3.3 Claims by Third Parties against UNEP**

UNEP does not accept any responsibility for the handling of claims which may be brought by third parties against UNEP and its staff. UNEP and its staff shall not be liable in case of any claims or liabilities resulting from operations carried out by FAO under this project document.

### **7.3.4 Cash Advance Requirements**

An initial cash advance of US\$200,000 will be made upon signature of the project document by both parties and will cover expenditures expected to be incurred by FAO during the first three months of the project implementation. Subsequent advances are to be made quarterly, subject to:

- (i) Confirmation by FAO at least two weeks before the payment is due, that the expected rate of expenditure and actual cash position necessitate the payment, including a reasonable amount to cover "lead time" for the next remittance; (see format of request in **ANNEX XIV**) and
- (ii) The presentation of:
  - a satisfactory financial report showing expenditures incurred for the past quarter, (see format in **ANNEX XII**) under each project activity and
  - timely and satisfactory progress reports on project implementation.

### **7.3.5 Publications**

For publications issued with FAO, both the cover and the title page of the publication will carry the logo of UNEP and the title United Nations Environment Programme together with that of FAO. FAO will submit three copies of any manuscript prepared under the project for clearance prior to their publication in final form. UNEP's views on the publication and any suggestions for amendments of wording will be conveyed expeditiously to the agency, with an indication of any disclaimer or recognition which UNEP might wish to see appear in the publication.

### **7.3.6 Amendments**

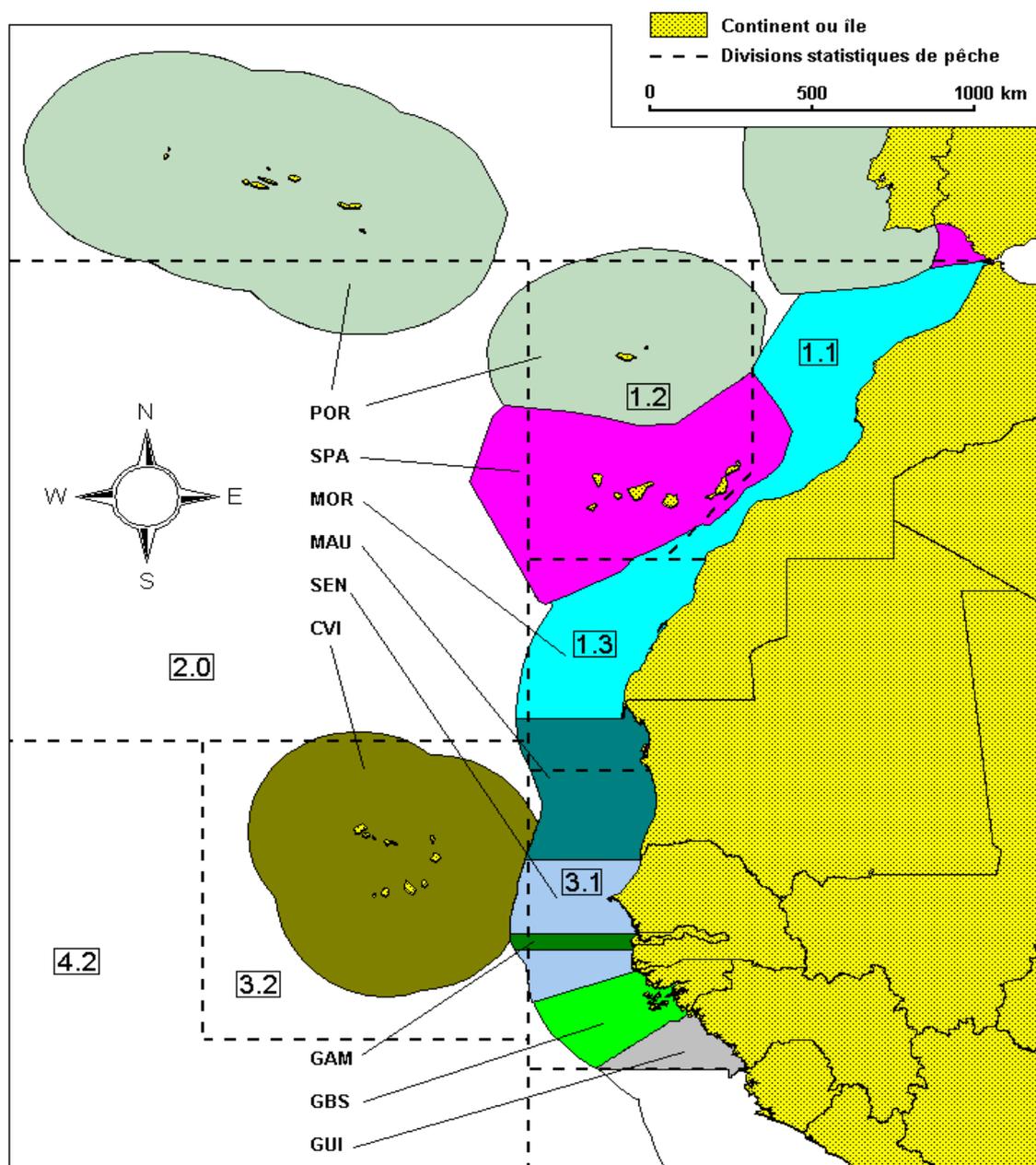
The Parties to this project document shall approve any modification or change to this project document in writing.

## List of Annexes

<u>Annex No.</u>	<u>Description</u>
<u>ANNEX I</u>	<u>MAP OF THE CANARY CURRENT LME AREA</u>
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### MAP OF THE CANARY CURRENT LME AREA AND THE RELATED CECAF FISHING DIVISIONS

Zone de l'écosystème marin principal du Courant des îles Canaries  
- ZEE et Divisions statistiques de pêche COPACE -



Les désignations utilisées et la présentation des données qui figurent sur la carte n'impliquent, de la part de l'Organisation des Nations Unies pour l'Alimentation et l'Agriculture, aucune prise de position quant au statut juridique ou constitutionnel de l'un quelconque des pays, territoires ou zones maritimes y figurant, ni quant au tracé des frontières.

## Annex II

### REGIONAL INSTITUTIONS

#### CECAF

The Fishery Committee for the Eastern Central Atlantic (CECAF) was established in 1967 under the authority of the Director-General of FAO in order to promote the optimum utilization of the living aquatic resources of the area ... by proper management and development of the fisheries and fishing operations ... in conformity with the objectives of its Members. One of its several activities is to promote the collection, interchange, dissemination, and analysis or study of statistical, socio-economic, biological, and environmental data, and other marine fishery information.

Its geographical scope ranges from Cap Spartel (Morocco) to the mouth of the Congo River, and from the shoreline of the Atlantic, although coastal lagoons and similar habitats may also be considered because of their importance to many fish and fishermen. In order to avoid duplication of effort, specific consideration of the Atlantic tuna fisheries is only undertaken after consultation with the International Commission for the Conservation of Atlantic Tunas (ICCAT).

Membership is open to any FAO Member State (including Associate Members and Member Organizations) fishing or conducting research in the sea area concerned or having some other interest in the fisheries thereof. It therefore encompasses not only those States whose physical borders reach the eastern Atlantic (including Morocco, Mauritania, Senegal, Cape Verde, the Gambia, Guinea-Bissau, Guinea), but also 13 States from Sierra Leone to the Democratic Republic of the Congo, plus 12 other States (including members of the European Community) whose vessels may be exploiting these waters. Nevertheless, not all the “flag-States” of fishing vessels working these waters have applied for membership.

The institutional structure comprises a permanent FAO Secretariat, which organizes the biennial meetings of the Committee (comprising all Members, and attended by a number of observers from non-Member States, intergovernmental bodies, NGOs, other UN Agencies, etc).

Until September 1998 there were two Sub-Committees (on the Management of Resources within the Limits of National Jurisdiction, and on Fishery Development) together with two Working Parties (on Resources Evaluation, and on Fishery Statistics), and a number of shorter-term ad hoc Working Groups. The first four statutory bodies have now been reconstituted into a single Scientific Sub-Committee (SSC) with a mandate which includes:

- to recommend policies and procedures for the collection, processing, dissemination and analysis of fishery data;
- to facilitate the exchange and critical review among scientists of information on research and operation of fisheries of relevance to the Committee;
- to develop and coordinate cooperative research programmes involving Members of the Committee in support of fisheries management;

The functions of the Secretariat (with the Secretary of CECAF now based in the FAO Regional Office, Accra) are provided through FAO's own Regular Programme budget, and any staff member may be called on to assist or participate in the various meetings, but the travel of representatives of member States, or of observers, is always at their own expense. Nevertheless FAO does seek and negotiate additional sources of “extra-budgetary” funding (through associated projects and programmes) to support the participation of members from developing countries in the Scientific Sub-Committee, as well as in their technical work, and indeed a number of UNDP- and TF-assisted projects have been implemented by FAO in this region.

## **CSRP**

Five West African States (Cape-Verde, The Gambia, Guinea-Bissau, Mauritania, Senegal) agreed in Dakar on 29 March 1985 the Convention for the Establishment of a Commission Sous-Régionale des Pêches (Sub-Regional Commission on Fisheries). It is open to other States and indeed Guinea became a member in 1987. It is also understood that Sierra Leone may be interested in joining, although no formal request has yet been made.

The main objective is “to undertake a long-term harmonization of the Member States’ policies as regards the preservation, conservation and exploitation of their fisheries resources, and to strengthen their cooperation for the benefit of their respective populations”.

The institutional structure comprises a periodic Conference of the Ministers responsible for Fisheries (and chaired by each in turn), a Coordinating Committee composed of the Directors of Fisheries meeting at least annually, and a Permanent Secretariat based in Dakar. The Secrétaire Permanent, selected from one of the Member States, is appointed for 2 years at a time, with all his costs as well as those of the Secretariat itself being contributed by his country of origin.

A Sub-Regional Coastal Zone Management Network (SRCZMN) has been set up recently, and several regional projects are implemented under the jurisdiction of the CSRP, such as “Soutien aux Initiatives de Gestion des Ressources Halieutiques” (SIGREH), “Dynamiques d’exploitation, politiques publiques et marchés des petits pélagiques en Afrique de l’Ouest”, and “Système d’Information et d’Analyse des Pêches” (SIAP) (see Annex III).

### **Ministerial Conference**

The Regional Convention on Fisheries Cooperation among African States Bordering the Atlantic Ocean was initiated in Dakar on 5 July 1991 with 22 potential Member States ranging from Morocco to Namibia, including the island States of Cape Verde, Equatorial Guinea, Sao Tome and Principe.

The objectives are to:

- promote an active and organized cooperation in the area of fisheries management and development in the Region;
- take up the challenge of food self-sufficiency through the rational utilization of fishery resources, within the context of an integrated approach that would embrace all the components of the fishing sector;
- stimulate the national economic sectors through the direct and secondary effects resulting from fishery resources exploitation, bearing in mind the importance of the fisheries sector in the economic, social and nutritional development of the people of the Region;
- enhance, coordinate and harmonize their efforts and capabilities for the purpose of conserving, exploiting, upgrading and marketing fishery resources, considering in particular fish stocks occurring within the waters under the sovereignty or jurisdiction of more than one Party;
- reinforce solidarity with African land-locked States and geographically disadvantaged States of the Region.

Specific Articles deal with:

- 3 - Conservation and Management of Fishery Resources;
- 4 - Assessment and Conservation of Highly Migratory Species;
- 8 - Fisheries Planning and Financing;
- 11- Development of Marine Scientific Research;
- 12- Protection and Preservation of the Marine Environment;
- 13- Harmonization of Policies.

The institutional structure comprises a biennial Conference of Ministers; a Bureau, and an executive Secretariat. A Regional Fisheries Development Fund (managed by the Secretariat, but whose establishment and operation is determined by the Conference of Ministers) is used to cover the operating expenses of the Secretariat based in Rabat, and to finance project and programme activities under the Convention.

The Convention came into force in August 1995 after ratification by the seventh participating State. Currently Morocco, Mauritania, Senegal, Cape Verde, The Gambia, Guinea-Bissau, and Guinea are all participating States, together with ten others.

## **WACAF**

Eleven West and Central African (WACAF) countries (including Mauritania, Senegal, The Gambia, Guinea-Bissau, Guinea, plus Sierra Leone, Côte d'Ivoire, Ghana, Togo, Benin, and Nigeria – but not Morocco or Cape-Verde) are Contracting Parties to the Convention for Co-operation in the Protection and Development of the Marine and Coastal Environment of the West and Central African Region (the Abidjan Convention: adopted in 1981, and which entered into force in 1984).

The Convention contains specific Articles concerned with:

- 5       Pollution from ships;
- 6       Pollution caused by dumping from ships and aircraft;
- 7       Pollution from land-based sources;
- 11      Specially protected areas;
- 13      Environmental Impact Assessment.

In addition 21 countries in the region participate in the associated Action Plan (also adopted in 1981, and then restructured in 1993 by the Third Meeting of the Contracting Parties).

UNEP has acted as the Secretariat of the Convention and of the Action Plan since their adoption in 1981, and a small WACAF Secretariat has now been established in Abidjan, with support from the African Development Bank and Government of Cote d'Ivoire. Recent and ongoing projects are listed in Annex 3.

## **ICCAT**

An International Convention for the Conservation of Atlantic Tunas entered into force in 1969, establishing a Commission (ICCAT) which meets biennially, a Council, an Executive Secretariat based in Madrid, plus a number of [working] Panels with the objective of cooperating in maintaining the population [of tunas] at levels which will permit the maximum sustainable catch for food and other purposes.

The geographical scope is the Atlantic Ocean including the adjacent Seas. Amongst the countries participating in the present project Cape Verde, Guinea, Morocco and Senegal are members of ICCAT and have mostly also formally agreed the subsequent Protocols of 1992 and 1997.

The Commission is responsible for the study of tuna and tuna-like fishes and such other species of fishes exploited in tuna-fishing in the Convention area [which] are not under investigation by any other international fishery organization.

### Annex III

## **SOME RELEVANT FAO-ASSISTED PROJECTS IN THE REGION**

### **Prior implementation for UNEP:**

- "Monitoring and Control of Land-based Sources of Pollution Affecting the Marine and Coastal Environment" (WACAF/2, Phases 1 and 2) implemented by FAO in collaboration with IOC of UNESCO, WHO and IAEA (1989-95);
- Assessment and Control of Pollution in the Coastal and Marine Environment of the West and Central African Region (WACAF/2 phase II) (FP/WA-5101-89-01) FAO implementation 1989- same as above {FAO symbol EP/INT/053/UEP}.
- "Integrated Catchment and Coastal Areas Management Planning and Development in Countries of the WACAF Region" (WACAF/11) (WA-1106-96-15) FAO implementation 1995-97 {FAO Symbol EP/INT/068/UEP}
- Institutional Support for Coastal and Marine Environment Resources Database Development (Ghana, Gambia, Guinea) (FP/1400-96-37) FAO implementation 1996-97 {FAO symbol EP/RAF/009/UEP}
- Integrated Coastal Area Management: Training and Development of National Capabilities for Planning and Management of Coastal Areas of Countries of the West and Central African Region (WACAF/11) (FP/WA-0401-95-04) Component implemented by FAO 1995-95 phase I {FAO symbol EP/INT/066/UEP}

### **Ongoing direct execution:**

- Preparations for a "World Conference on Responsible Fisheries in the Ecosystem" (probably in October 2001);
- International Conservation and Management of Fisheries Resources: ("FIGIS" component - Fisheries Geographical Information Systems, GCP/INT/715/JPN);
- Assistance to Developing Countries for the Implementation of the Code of Conduct for Responsible Fisheries: "FISHCODE" components - Monitoring, Control and Surveillance, & Scientific Advice for Fisheries Management, GCP/INT/648/NOR);
- International Cooperation with the Nansen Programme: Fisheries Management and Marine Environment ("Nansen" GCP/INT/730/NOR);
- Sustainable Fisheries Livelihoods Programme for West Africa (GCP/INT/735/UK);
- Suivi, Contrôle et Surveillance de la Pêche industrielle dans les pays membres de la CSRP (GCP/RAF/722/LUX);
- Système d'Information et d'Analyse des Pêches (SIAP) pour les pays membres de la Commission Sous-Régionale des Pêches (GCP/RAF/363/EC);
- Reduction of the Impact of Shrimp Fisheries (PDF phase) GF/FP/1100-98-15 {FAO symbol EP/INT/724/GEF};

- Fisheries Development (GCP/CVI/033/NET);
- Modernisation et Développement du Secteur de Pêche Maritime (UTF/MOR/017/MOR).

**Other important projects (not FAO executed):**

- Identification, Establishment and Management of Specially Protected Areas in the WACAF Region (WACAF/8): national and regional conservation priorities in terms of coastal and marine biodiversity (executed for UNEP by ICUN).
- Combating coastal area degradation and living resources depletion in the Guinea Current LME through regional actions (UNIDO/UNDP/UNEP/NOAA/IOC/UNESCO)
- Addressing Transboundary Concerns in the Volta River Basin and its Downstream Coastal Area (UNEP)
- Senegal River Basin Project, UNDP/WB
- Benguela Current LME Project, UNDP

## Annex IV

### CONVENTIONS RATIFIED BY THE PARTICIPATING STATES

State	Abidjan Convention (1)	Bio-diversity Convention (2)	Law of the Sea Convention (3)	Dakar Convention
Cape Verde	-	C.P.29/03/94	10/08/87	30/09/92
Gambia	C.P.06/12/84	C.P.10/06/94	C.P.22/05/84	4/12/92
Guinea	C.P.04/03/82	C.P.07/05/93	C.P.06/09/85	4/12/92
Guinea-Bissau	-	C.P.27/10/95	C.P.25/08/86	12/07/95
Mauritania	-	C.P.16/08/96	-	9/10/92
Morocco (*)	-	C.P.21/08/95	-	5/07/91
Senegal	C.P.10/05/83	C.P.17/10/94	C.P.25/10/84	5/07/91

(1) as at 02/03/95    (2) as at 28/08/96    (3) as at 15/05/96

(\*) Morocco is not part of WACAF region as per Article 1 of the Abidjan Convention, however, Morocco is Contracting Party to the Barcelona Convention for the Mediterranean Sea.

C.P. = Contracting Party

#### **Other international agreements relating to the marine environment:**

- the Rio Declaration on Environment and Development (UNCED)
- the Global Plan of Action for the Protection of the Marine Environment from Land-based Activities (GPA);
- the UN Agreement on Straddling Fish Stocks and Highly Migratory Fish Stocks;
- the Code of Conduct for Responsible Fisheries;
- the International Convention for the Prevention of Pollution from Ships;
- the Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas (Approved by the FAO Conference in 1993 but so far only 15 formal acceptances received out of the 25 required before it enters into force. None of the 7 countries participating in the Canary Current LME project have yet formally agreed to it.)

Annex V

**PRELIMINARY DRAFT TIMETABLE AND WORK-PLAN**

Month	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Designation of National Coordinators	■																	
Establishment of Project Steering Group	■	■																
Establishment of 7 National Inter-ministerial Committees	■	■																
Review existing data; Travel to participating countries to consult on Guidelines & Contents for Country Reports and framework TDA	■	■			■	■	■		■	■								
First Meeting Project Steering Group			■															
Preparation of Seven Country Reports			■	■	■	■	■	■										
Community Consultations for inputs and feedback on National Reports						■	■	■	■									
Preparation Assessment Report – FAO					■	■	■	■										
Preparation Assessment Report- ICUN					■	■	■	■										
Stakeholders Involvement Plan					■	■	■	■										
LBA Assessment Report UNEP					■	■	■	■										
Preparation of draft framework TDA								■	■	■	■	■	■	■				
Outline replicable demonstration activities											■	■	■	■	■	■	■	
Agreement on Environmental Quality Objectives												■	■	■				
Regional Consultation and 2 <sup>nd</sup> Steering Group, Intergovernmental Meeting to endorse Project Brief															■	■		
Finalization: Meeting Reports, framework TDA and Final Project Brief																	■	■

## Annex VI

### **ROLE AND INPUTS BY THE CSRP**

The CSRP will act as the principal counterpart agency to FAO in the implementation of the project, in that it will provide a central focal point for the activities of the PDF phase, and a physical base for the two Regional Consultations, as well as for the Regional Co-ordinator and other visiting FAO staff and consultants.

The Secrétaire Permanent of the CSRP is expected to provide technical and logistic support in:

- contributing the CRSP's own knowledge and data on the marine fisheries and marine pollution aspects within its region;
- serving as a repository for all other reference materials collected and compiled during the PDF phase.
- facilitating communications with the Fisheries Departments and National Coordinators of all the participating governments;
- organizing and conducting (with support from FAO and other agencies) the two Regional Consultations.

The Secrétaire Permanent of the CSRP will be expected to organize the provision free of charge (being its in-kind contributions to the project) of the following:

- one meeting room for each Regional Consultation (comprising up to 25 participants), plus adjacent rooms for the support staff, and for the Project Steering Group.
- one furnished office for the Regional Coordinator, and similar appropriate accommodation for the visiting FAO staff and consultants as required from time to time;
- one desk-top PC for the Regional Co-ordinator;
- secretarial and other personnel support services (messenger/plantain, photocopying, etc) as required;
- communications facilities: telephone, telefax and e-mail connections.

FAO, through the office of the FAO Representative in Dakar, Senegal, will provide pouch and e-mail connections with FAO HQ, other FAO offices and other agencies as required. FAO will also provide through the PDF project budget the local transport required for participants during the two Regional Consultations, as well as reimbursement of the costs of travel by the Regional Coordinator, FAO staff and consultants whilst on official duty, either within Dakar, or elsewhere as required.

**ANNEX VII Budget in UNEP Format**

<b>Project No:</b>		<b>Budget in UNEP Format</b>		
<b>PMS:</b>		<b>2004</b>	<b>2005</b>	<b>Total</b>
UNEP BUDGET LINE		US\$	US\$	US \$
<b>10</b>	<b>PROJECT PERSONNEL COMPONENT</b>			
<b>1100</b>	<b>Project Personnel w/m</b>			
1101	P-5 (Project Coordinator) 12 months	110,000	35,000	145,000
1199	Total	110,000	35,000	145,000
<b>1200</b>	<b>Consultants</b>			
1201	International	31,600	0	31,600
1202	National	8,000	2,000	10,000
1299	Total	39,600	2,000	41,600
<b>1300</b>	<b>Administrative support</b>			
1301	Temporary Assistance	500	0	500
1302	Support services	14,498	3,615	18,113
1399	Total	14,998	3,615	18,613
<b>1600</b>	<b>Travel on official business</b>			
1601	Project Coordinator	10,500	4,000	14,500
1602	Consultants Tickets + DSA	10,000	2,000	12,000
1603	1 <sup>st</sup> steering Comm group	7,000	0	7,000
1604	TDA Introductory Workshop	6,000	0	6,000
1605	Internal travel within countries	2,000	1,500	3,500
1606	Prep workshop project brief	0	5,000	5,000
1607	Final steering group meeting	0	7,000	7,000
1608	InterGov workshop	6,000	0	6,000
1699	Total	41,500	19,500	61,000
<b>1999</b>	<b>Component Total</b>	<b>206,098</b>	<b>60,115</b>	<b>266,213</b>
<b>20</b>	<b>SUBCONTRACT</b>			
2101	Authors Contracts 7 country reports	7,000	0	7,000
2102	IUCN Assessment report	20,000	0	20,000
2103	Community consultations	7,000	0	7,000
2199	Total	34,000	0	34,000
<b>2999</b>	<b>Component Total</b>	<b>34,000</b>	<b>0</b>	<b>34,000</b>
<b>40</b>	<b>EQUIPMENT &amp; PREMISES COMPONENT</b>			
4101	Expandable equipment	3,500	500	4,000
4199	Total	3,500	500	4,000
4220	Non-expandable (PC)	6,000	0	6,000
4299	Total	9,500	500	10,000
<b>4999</b>	<b>Component Total</b>	<b>9,500</b>	<b>500</b>	<b>10,000</b>
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>			
<b>5281</b>	<b>LBA Assessment Report(UNEP)</b>	<b>20,000</b>	<b>0</b>	<b>20,000</b>
5300	Sundry	6,287	3,000	9,287
5400	Hospitality	250	250	500
5x99	Total	6,537	3,250	9,787

	5999	Component Total		6,537	3,250	9,787
99	GRAND TOTAL			276,135	63,865	340,000

## **Annex VIII**

### **SELF-EVALUATION FACT SHEET FORMAT**

(To be completed by UNEP Task Manager and approved by Executing Agency)

- 1. Project Title:**
- 2. Project Number:** (include number of latest revision)
- 3. UNEP Programme of Work Component Number: (3 digits), or Relevant UNEP Programme of Work (2002-2003) Subprogramme Number and Specific Objective Number**  
Include a statement of how effective the project has been in attaining this component/objective and its contribution to overall Subprogramme implementation.
- 4. Performance Indicators:**  
UNEP Programme of Work: {State the relevant Performance Indicators (with the Quantity figure) from the Programme of Work, and compare against actual results}
- 5. Scope:**
- 6. Implementation:**
- 7. Duration:**
  - (a) Initial {(as indicated in the original project document). List day/month/year of start and end of project. List project duration in terms of total months}.
  - (b) Actual {(as indicated in the latest project revision). List day/month/year of start and end of the project. List project duration in terms of total months}.
  - (c) Reasons for the variance {When there is a difference between the initial and actual duration, list the consecutive project revisions (number and date of approval), and summarize justification for each revision}.
  - (d) List day/month/year of start of current year Workplan.
  - (e) List day/month/year end of current Workplan.
- 8. Cost:**
  - (a) Initial {(as indicated in the project document). List the total project cost (UNEP and "Others") and give breakdown by funding source. Give actual figures and contribution in terms of percentages}.
  - (b) Actual {(as indicated in the latest project revision). List the total project cost (UNEP and "Others" and give breakdown by funding source. Give actual figures and contribution in terms of percentages}.
  - (c) Reasons for the variance {(When there is a difference between the initial and actual cost, list the consecutive project revisions (number and date of approval) involved in amending the project costs. List any other reasons for discrepancy}.
  - (d) Relate expenditure to achievement of outputs (e.g. 100% expenditure and 82% output completion).
  - (e) Relate expenditure to achievement of outputs to date against overall project Workplan.
- 9. Project status at the time of evaluation:**
- 10. Needs:**
  - (a) Identified needs (as indicated in the original project document).
  - (b) Satisfied/realized needs (List needs fulfilled due to implementation of the project).

**11. Results:**

- (a) Expected Results (as indicated in the original project document).
- (b) Actual Results (indicate actual results achieved/attained from project implementation) during current year.
- (c) Actual results to date against overall project work plan.
- (d) Reasons for the variance (state the reasons for the difference between expected and actual results).
- (e) State corrective action(s) to be taken.

**12. Outputs:**

- (a) Expected Outputs (as indicated in the original project document).
- (b) Actual Outputs (List actual outputs resulting from project implementation emphasizing activities undertaken during current year)
- (c) Reasons for the variance (state reasons for the difference between expected and actual outputs) during current year.
- (d) Actual outputs to date against overall project work plan.
- (e) State corrective action(s) to be taken.

**13. What are UNEP's substantive inputs to the project?**

(Do not repeat UNEP's financial contribution).

**14. What are the catalytic effects of the project on other agencies or governments?**

- (a) Intellectual:
- (b) Financial

**15. On Gender - describe**

- (a) Project's contribution to the advancement of women with regard to their participation in ecosystem related provisions of Agenda 21, Chapter 24.
- (b) Sensitive activities carried out by the project, for example: level of participation in decision making process in the planning and development and implementation of the project and women's participation in capacity-building and awareness activities.

**16. On Sustainability**

Describe sustainability of the project in terms of: enabling environment (e.g. national or regional legislation and policies); institutional capacity (human resource and planning and management systems); and financial sustainability (reliability of funding sources).

**17. Describe the problems encountered during project implementation:**

<u>Problems:</u>	<u>Causes:</u>	<u>Consequences:</u>
(a) Substantial/Programmatic		
(b) Institutional		
(c) Financial		

**18. Lessons learned from the achievement and/or weaknesses of the project:**

**19. Further follow-up action required:**

- (a) Action Required:
- (b) Responsible unit(s):
- (c) Schedule:

**20. Evaluated by:**

Name and position of Evaluator:

\_\_\_\_\_

Date: \_\_\_\_\_

**Noted by:**

Cooperating Agency/Supporting Representative:

\_\_\_\_\_

Date: \_\_\_\_\_

**21. Approved by:**

Name of Programme Manager/Regional Director

\_\_\_\_\_

Date: \_\_\_\_\_

## Annex IX

### Format for UNEP Half-yearly Progress Report

As at 30 June and 31 December

(Please attach a current inventory of outputs/Services when submitting this report)

#### **1. Background Information**

**1.1 Project Number:**

**1.2 Project Title:**

**1.3 Division/Unit:**

**1.4 Coordinating Agency or Supporting Organization (if relevant):**

**1.5 Reporting Period (the six months covered by this report):**

**1.6 Relevant UNEP Programme of Work (2002-2003) Subprogramme No:**

**1.7 Staffing Details of Cooperating Agency/ Supporting Organization (Applies to personnel / experts/ consultants paid by the project budget):**

Functional Title	Nationality	Object of Expenditure (1101, 1102, 1201, 1301 etc..)

**Sub-Contracts (if relevant):**

Name and Address of the Sub-Contractee	Object of expenditure (2101, 2201, 2301 etc..)

#### **2. Project Status**

##### **2.1 Information on the delivery of outputs/services**

	Output/Service (as listed in the approved project document)	Status (Complete /Ongoing)	Description of work undertaken during the reporting period	Description of problems encountered; Issues that need to be addressed; Decisions/Actions to be taken
1.				
2.				
3.				

**2.2 If the project is not on track, provide reasons and details of remedial action to be taken:**

**3. Discussion acknowledgment (To be completed by UNEP)**

Project Coordinator's General Comments/Observations	First Supervising Officer's General Comments
<p><b><u>Name:</u></b></p> <hr/> <p><b><u>Date:</u></b></p> <hr/> <p><b><u>Signature:</u></b></p> <hr/>	<p><b><u>Name:</u></b></p> <hr/> <p><b><u>Date:</u></b></p> <hr/> <p><b><u>Signature:</u></b></p> <hr/>

Annex X

**Inventory of Outputs/Services**

**a) Meetings (UNEP-convened meetings only)**

No	Meeting Type (note 4)	Title	Venue	Dates	Convened by	Organized by	# of Participants	List attached Yes/No	Report issued as doc no	Language	Dated
1.											
2.											
3.											

List of Meeting Participants

No.		

**b) Printed Materials**

No	Type (note 5)	Title	Author(s)/Editor(s)	Publisher	Symbol	Publication Date	Distribution List Attached Yes/No
1.							
2.							
3.							

**c) Technical Information / Public Information**

No	Description	Date
1.		
2.		
3.		

**d) Technical Cooperation**

No	Type (note 6)	Purpose	Venue	Duration	For Grants and Fellowships		
					Beneficiaries	Countries/Nationalities	Cost (in US\$)
1.							
2.							

**e) Other Outputs/Services (e.g. Networking, Query-response, Participation in meetings etc.)**

No	Description	Date
1.		
2.		
3.		

**Note 1:** Meeting types (Inter-governmental Meeting, Expert Group Meeting, Training Workshop/Seminar, Other);

**Note 2:** Material types (Report to Inter-governmental Meeting, Technical Publication, Technical Report, Other); and

**Note 3:** **Technical Cooperation type (grants and fellowships, advisor services, staff mission, others).**

**Annex XI - TERMINAL REPORT FORMAT**

**TERMINAL REPORT**

**Implementing Organization** \_\_\_\_\_

**Project No.:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

**1. Project Needs and Results**

Re-state the needs and results of the project.

**2. Project activities**

Describe the activities actually undertaken under the project, giving reasons **why some activities were not undertaken, if any.**

**3. Project outputs**

Compare the outputs generated with the ones listed in the project document.

List the actual outputs **produced but not included in previous Progress Reports** under the following headings

(Please tick appropriate box)

**(a) MEETINGS** (UNEP-convened meetings only)

Inter-governmental (IG) Mtg.    Expert Group Mtg.    Training Seminar/Workshop    Others

Title: \_\_\_\_\_

Venue and  
dates \_\_\_\_\_

Convened by \_\_\_\_\_ Organized by \_\_\_\_\_

Report issued as doc. No/Symbol \_\_\_\_\_ Languages \_\_\_\_\_ Dated \_\_\_\_\_

For Training Seminar/Workshop, please indicate: No. of participants \_\_\_\_\_ and attach **annex** giving names and nationalities of participants.

**(b) PRINTED MATERIALS**

Report to IG Mtg.    Technical Publication    Technical Report    Others

Title: \_\_\_\_\_

Author(s)/Editor(s) \_\_\_\_\_

Publisher \_\_\_\_\_

Symbol(UN/UNEP/ISBN/ISSN) \_\_\_\_\_

Date of publication \_\_\_\_\_

(When technical reports/publications have been distributed, attach **distribution list**)

**(c) TECHNICAL INFORMATION**

**PUBLIC INFORMATION**

Description \_\_\_\_\_

Dates \_\_\_\_\_

(d) **TECHNICAL COOPERATION**

Grants and Fellowships

Advisory Services

Staff Missions

Others (describe)

Purpose \_\_\_\_\_

Place and duration \_\_\_\_\_

For Grants/Fellowships, please indicate:

Beneficiaries

Countries/Nationalities

Cost(in US\$)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(e) **OTHER OUTPUTS/SERVICES**

For example, Networking, Query-response, Participation in meetings etc.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. **Use of outputs**

State the use made of the outputs.

5. **Degree of achievement of the objectives/results**

On the basis of facts obtained during the follow-up phase, describe how the project document outputs and their use were or were not instrumental in realizing the objectives/results of the project.

6. **Conclusions**

Enumerate the lessons learned during the project execution. Concentrate on the management of the project, indicating the principal factors which determined success or failure in meeting the objectives set down in the project document.

7. **Recommendations**

Make recommendations to:

(a) Improve effect and impact of similar projects in the future;

(b) Indicate what further action might be needed to meet the project objectives/results.

8. **Non-expendable equipment (value over US\$1,500)**

Please attach to the terminal report a **final** inventory of all non-expendable equipment (if any) purchased under this project, indicating the following:

Date of purchase, description, serial number, quantity, cost, location and present condition, together with your **proposal** for the disposal of the said equipment.

**Annex XII**

**FORMAT OF QUARTERLY PROJECT EXPENDITURE ACCOUNTS FOR COOPERATING AGENCIES**

Quarterly project statement of allocation (budget), expenditure and balance (Expressed in US\$) covering the period.....to. ....

**Project No.** ..... **Agency Name** .....

**Project title:** .....

**Project commencing:** .....(date) **Project ending:** .....(date)

Object of expenditure by UNEP budget Code	Project budget allocation for year.....		Total expenditure for quarter .....	Total unliquidated obligations* .....	Cumulative expenditure for year .....	Unspent balance of budget allocation for year. ....		
	m/m (1)	Amount (2)				(3)	(4)	m/m (5)
1100 Project Personnel								
1200 Consultants								
1300 Administrative support								
1400 Volunteers								
1600 Travel								
2100,2200,2300 Sub-contracts								
3100 Fellowships								
3200 Group Training								
3300 Meetings/conferences								
4100 Expendable equipment								
4200 Non-expendable equipment								
4300 Premises(rent)								
5100 Operation and maintenance of Equipment								
5200 Reporting cost								
5300 Sundry								
5400 Hospitality and entertainment								
<b>99 GRAND TOTAL</b>								

Signed: \_\_\_\_\_

\_\_\_\_\_ Duly authorized official

**NB: The expenditure should be reported in line with the specific object of expenditures as per project budget**



**Annex XIV - FORMAT FOR CASH ADVANCE STATEMENT**

**Cash advance statement**

Statement of cash advance as at .....  
And cash requirements for the quarter of .....

Name of cooperating agency/  
Supporting organization \_\_\_\_\_  
Project No. \_\_\_\_\_  
Project title \_\_\_\_\_

**I. Cash statement**

1. Opening cash balance as at ..... US\$ \_\_\_\_\_  
2. Add: cash advances received:

<b>Date</b>	<b>Amount</b>
.....	.....
.....	.....
.....	.....
.....	.....

3. Total cash advanced to date US\$ \_\_\_\_\_  
4. Less: total cumulative expenditures incurred US\$ ( \_\_\_\_\_ )  
5. Closing cash balance as at ..... US\$ \_\_\_\_\_

**II. Cash requirements forecast**

6. Estimated disbursements for quarter  
ending ..... US\$ \_\_\_\_\_  
7. Less: closing cash balance (see item 5, above) US\$ ( \_\_\_\_\_ )  
8. Total cash requirements for the .....  
quarter ..... US\$ \_\_\_\_\_

Prepared by: \_\_\_\_\_ Request approved by \_\_\_\_\_

Duly authorized official of cooperating agency / supporting  
organization

**Annex XV - UNEP INVENTORY OF NON-EXPENDABLE EQUIPMENT PURCHASED AGAINST UNEP PROJECTS**

**UNIT VALUE US\$ 1500 AND ABOVE AND ITEMS OF ATTRACTION**

**As at \_\_\_\_\_**

Project No. \_\_\_\_\_

Project Title: \_\_\_\_\_

Executing Agency: \_\_\_\_\_

Internal/SO/CA (UNEP use only) \_\_\_\_\_

FPMO (UNEP) use only) \_\_\_\_\_

Description	Serial No.	Date of Purchase	Original Price (US\$)	Present Condition	Location	Remarks/recommendation for disposal

The physical verification of the items was done by:

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

### Annex XVI Format for Report on Co-Financing

<b>Title of Project:</b>							
<b>Project Number:</b>							
<b>Name of Executing Agency:</b>	FAO						
<b>Project Duration:</b>	<b>From:</b>	Jan 2004			<b>To:</b>	Jun 2005	
<b>Reporting Period</b> <i>(to be done annually):</i>							
Source of Cofinance	Cash Contributions			In-kind Contributions			Comments
	Budget original (at time of approval by GEF)	Budget latest revision	Received to date	Budget original (at time of approval by GEF)	Budget latest revision	Received to date	
FAO				60,000			
UNEP				20,000			
UNEP/GPA				20,000			
Governments				74,000			
CSRP				21,000			
UNIDO				30,000			
NOAA				60,000			
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>285,000</b>	<b>0</b>	<b>0</b>	

Name: \_\_\_\_\_  
 Position: \_\_\_\_\_  
 Date: \_\_\_\_\_

***All amounts in US dollars***