



**The Western Indian Ocean Large Marine Ecosystems Strategic Action Programme Policy Harmonization and Institutional Reforms (WIO LME SAPPHIRE)**  
**QUARTERLY PROGRESS REPORT, Quarter III**  
**01 July – 30 September 2019**

Project Number/ID: 00094555	Total resources required	USD 326,565,994
Atlas Award ID: 00087612	Total Co-Financing	USD 317,799,494
Regional Launching: 16 -17 November 2017	GEF	USD 8,766,500
Duration: 2017-2023	Governments	USD 311,040,044
	In-kind	USD 6,759,450
	Current Year Budget	USD 1,467,599

<b>Project Name</b>	<b>The Western Indian Ocean Large Marine Ecosystems Strategic Action Programme Policy Harmonization and Institutional Reforms (WIO LME SAPPHIRE)</b>
<b>Project Implementing Agency</b>	UNDP
<b>Project Executing Agency</b>	Nairobi Convention Secretariat -UN Environment Programme
<b>Participating Countries</b>	The Governments of Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa and Tanzania
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<b>Reporting Period</b>	01 July to 30 September 2019 – Quarter II

**Section One: SUMMARY**

One of the major highlights of the reporting quarter is the ocean governance strategy, now under development, and the WIO regional ocean governance workshop, held on 04- 05 September 2019. The workshop brought together 65 government representatives, policy makers, Regional Economic Commissions (RECs), practitioners and researchers to a) discuss the state of ocean governance in the region; b) assess the global, regional and national instruments for ocean governance; and c) consider practices aimed at improved marine and coastal ecosystem management and ocean governance. SAPPHIRE supported

the creation of a background document assessing of the state of ocean governance in the WIO region, which was presented and widely discussed. The document provided an overview of the status, trends, gaps, challenges, and opportunities in ocean governance both in the region and beyond, and was designed to support the development of ocean governance strategy for the region. A draft WIO regional ocean governance strategy initiation document, also supported by SAPPHIRE, was presented to the participants and a thorough discussion and dialogue provided a roadmap for the development of the strategy.

The approval of the project outcome indicators at the PSC extraordinary meeting was another main deliverable of the reporting period. At the first PSC meeting in June 2019, the PSC had tasked the PCU to develop these indicators, which it subsequently reviewed and endorsed at its 6 September extraordinary meeting.

Countries are busy organizing consultations and preparing demonstration project proposals to conduct reviews and realignments of policies, legislation and programmes at the national level. As a result, a number of proposals have been submitted to PCU and reviewed. At the Secretariat level, work to harmonize, plan, and implement thematic work amongst different projects is underway, which will enhance the projects' coordination and improve efficiency and cost effectiveness. In the reporting period, a road map to update the MEDAs was developed and preparation work undertaken to commence the process in all participating countries. In addition, TORs have been developed for integrated fisheries management plans and the development of a private sector engagement.

## Section Two. ACTIVITIES AND PROGRESS

Planned Activities for the Reporting Period	Progress on Planned Activities in the Reporting Period (01 July– 30 September 2019)	Outputs and Deliverables	Remarks (Sustainability, Delays, Additional Undertakings, Key Observations)
<b>Component 1: Supporting Policy Harmonization and Management Reforms towards improved ocean governance</b>			
<b>Outcome 1.1. Policy, legislative and institutional reforms and realignment in support of the SAP are implemented at national and regional level as appropriate, with emphasis given to strengthening and supporting existing processes and mechanisms including regional bodies (such as Conventions, Commissions, and Regional Scientific Bodies).</b>	The project organized the PSC extraordinary meeting on 06th September. At the first PSC meeting in June 2019, the PSC had tasked the PCU to develop these indicators, which it subsequently reviewed and endorsed at its 6 September extraordinary meeting. In addition, the PSC was informed on project progress and implementation of recommendations from 1st PSC meeting.	The PSC reviewed, discussed and approved project outcome indicators, which are key to measuring the progress of project implementation and achievement of the targeted results	The PSC is the highest decision-making body of the project and provides oversight to the project implementation; discusses and finds joint solutions to problems that arise during implementation; and coordinates national level interventions
1.1.1. Support PSC meeting			
1.1.2. Review national policy, legislative and institutional reforms	In collaboration with WIOMSA, the project organized a special session on ocean	The workshop participants reviewed and discussed the	Being complex and cross sectoral, ocean governance

<p>and facilitate realignment exercise and TDA and SAP update at national level</p>	<p>governance at the 11th Scientific Symposium of WIOMSA on 05th July in Mauritius. At the session, 42 policy makers, government representatives and partners discussed the national, regional and global perspectives of the ocean governance. Based on requests from the special session, an assessment report on state of ocean governance in the WIO region was prepared (background document) and ocean governance strategy drafted, in collaboration with WIOMSA. The documents were presented at the regional ocean governance workshop held on 4<sup>th</sup>-5<sup>th</sup> September in Mahe, Seychelles. The workshop brought together 65 government representatives, policy makers, RECs, practitioners and researchers to a) discuss the state of ocean governance in the region; b) assess the global, regional and national instruments for ocean governance; and c) consider practices aimed at improved marine and coastal ecosystem management and ocean governance.</p>	<p>background and draft regional ocean governance strategy initiation documents and provided valuable inputs and road map for the development of the strategy. Presentations from RECs, key partners, and researchers -- together with the panel, group and plenary discussions -- enabled the sharing of a vast array of knowledge and experiences. This has laid the foundation for the definition of regional ocean governance strategy's scope and a road map for its development.</p>	<p>requires a feasible mechanism/framework to enhance the coordination and collaboration of a wide range of stakeholders and partners. Thus, the regional ocean governance strategy is expected to highlight the roles and responsibilities of different actors and recommend options to strengthen regional coordination for improved ocean governance.</p>
<p>Outcome 1.2: Technical and institutional capacity developed to deliver Knowledge-Based Governance approaches by delivering scientific results to management and policy makers for adaptive management decision-making 1.2.1. Regional Ecosystem Monitoring indicators and guideline developed,</p>	<p>Technical discussions were conducted with partners, including WIOMSA, on the development of coastal and marine ecosystem monitoring framework for the WIO region. The importance of undertaking an assessment on the current status of ecosystem monitoring at the national and regional levels, including institutions and methodologies used, gaps, opportunities and challenges as a baseline</p>	<p>Using the assessment report as a basis, regional ecosystem monitoring indicators and framework will be developed, followed by capacity building and piloting support to selected sites of the participating countries.</p>	<p>The rich and large marine ecosystem (LME) of the WIO region is facing degradation due to human activities and climate change impacts. It is therefore important to regularly monitor its status and take corrective policy and management action for its sustainable use and environmental benefits.</p>

<p>adopted and implemented in pilot countries</p>	<p>to prepare the monitoring framework, was emphasized. Accordingly, TORs have been developed and the consultant recruitment process commenced.</p>		
<p>Outcome 1.3. Collaborative and cooperative mechanisms agreed and strengthened between national, regional and global partners and stakeholders 1.3.1. Support countries to participate at different appropriate coordination meetings in the interests of SAP implementation</p>	<p>SAPPHIRE supported a meeting of WIO-C members held on 6<sup>th</sup> September, at which a presentation was made on project components and progress made so far. WIO-C members presented their own activities related to SAPPHIRE's components and discussed areas of coordination and collaboration.</p> <p>As part of an awareness raising and national capacity building initiative, focal points and relevant government officials and experts are being supported to participate on relevant workshops and trainings</p>	<p>The meeting helped to clarify who is doing what and increased appreciation of the ongoing initiatives by different partners. The partners emphasized the need for harmonization of interventions, methodologies and tools to avoid duplications and enhance exchange and experience sharing.</p>	<p>Ocean governance in the WIO region requires a strong coordination platform that brings all stakeholders together, and WIO-C is trying to provide such a platform for NGOs working in the sector. Thus, SAPPHIRE will closely work with WIO-C to collaborate in the implementation of joint activities for sustainable management of the LME.</p>
<p>1.3.2. Support countries technical coordination offices with equipment to support implementation of the project and SAP</p>	<p>To support the national level policy and legislation review and realignment exercise, the participating countries were invited to submit a demonstration project proposal. Accordingly, Madagascar's proposal has been completed and approved by the PSC. Mozambique and Tanzania are expected submit their revised and final proposals soon. In addition, a discussion and review of Mauritius, Kenya, and Somalia's proposals was conducted.</p>	<p>Countries are prepared to implement action on the national priorities identified during national consultations, including reviews of existing policies and programmes in support of ocean governance, coastal and marine environment management and protection. The other objective of the project is to build national capacity and enhance ownership; thus, the demonstration projects are intended to achieve this result.</p>	<p>The national focal points are taking leadership in coordinating and facilitating national level intersectoral coordination and dialogue for better synergy and harmonization of interventions for effective and sustainable management of resources and improved ocean governance. The project is playing a vital role in catalyzing the process at both the national and regional levels.</p>

<b>Component 2. Stress Reduction through Community Engagement and Empowerment in Sustainable Resources Management</b>			
<p><b>Outcome 2.1.</b> Integrating the Ecosystem-based Management approach into existing Local Economic Development Plans (LED) at selected communities Pilot level and stress reduction demonstrated and captured for replication</p> <p>2.1.1. Technical support to communities and artisanal fisheries engagement in EBM</p> <p>2.1.2. Communities sensitized about the values of LME goods and Services</p>	<p>Through consultation with the national focal points, the PCU has finalized the preparation of a demonstration project outline. The demonstration projects will be implemented in select sites and focus on the integration of ecosystem-based management approach into the local communities' economic activities, mainly fishing communities and artisanal fisheries. The project will work in collaboration with the SWIOFC and NOCAMO projects to develop community/site selection criteria and harmonize interventions.</p>	<p>Through the demonstration projects, sensitization of fishing communities on the values of LME goods and services will be conducted. In addition, integrated artisanal fisheries management plans will be prepared for selected sites to strengthen the mainstreaming of sustainable management of artisanal and subsistence fisheries into local and national plans.</p>	<p>The demonstration projects will support local communities, mainly fishing communities, to integrate ecosystem-based management in their economic activities to reduce excessive exploitation of fish biodiversity and strengthen alternative means of livelihoods.</p>
<b>Component 3. Stress Reduction through Private Sector/Industry Commitment to transformations in their operations and management practices</b>			
<p><b>Outcome 3.1.</b> Stress reduction within the LME through more effective and 'hands-on' Private Sector engagement and participation in SAP implementation and through risk reduction and contingency response mechanisms using public-private sector partnership agreements along with regional partners</p> <p>3.1.1. Technical support and coordination of Private sector/industry participation in EBM</p> <p>3.1.2. Develop Private sector engagement strategy</p>	<p>Discussion has been conducted internally on how to mobilize the private sector to contribute to the conservation of coastal and marine resources and mainstream ecosystem-based management approaches into their operations. Accordingly, TORs have been prepared and submitted for advertisement to hire an expert to develop a private sector engagement strategy.</p>	<p>The strategy is expected to provide an alternative mechanism to enhance the contribution of the private sector in reducing stress on the LME through the mainstreaming of EBM in their practices and the voluntary adoption of regulatory mechanisms.</p>	<p>Private sector/industry is one of the key actors in the utilization and management of coastal and marine resources. Thus, the private sector engagement strategy will help to establish strong partnerships between industries and the various regional players responsible for SAP implementation and stress reduction.</p>
<b>Component 4. Delivering best practices and lessons through innovative ocean governance demonstration</b>			

<p><b>Outcome 4.1.</b> Identifying innovative management options for High Seas areas within LMEs</p> <p>4.1.1. Strengthening the Science-Policy interface through support to the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services in developing an evidence based decision-making process</p> <p>4.1.2. Support countries in the realignment of the sectoral ocean management process to a coordinated sectoral ocean and coastal ecosystem management approach</p>	<p>To enhance evidence-based decision-making and the policy formulation process for improved national and regional ocean governance, work to enhance the capacity of the Clearing House Mechanism (CHM) work is underway. Accordingly, data collection parameters were developed and shared with national data centers and available data collected. In addition, in partnership with CEDARE, capacity building training for national data managers on data migration/ and visualization is planned to be provided during Q4.</p> <p>Small scale funding agreements (SSFA) have been finalized with KMFRI and IMS to conduct oceanographic data collection and research in the North Kenya bank and Pemba channel of Tanzania, respectively. Both institutions have finalized their preparation for the work and are awaiting the funds to be released.</p>	<p>The capacity building training for the national data center managers will enhance their skills in managing data. The CHM will serve as a data and information hub for the region to support evidence-based policy and programme formulation and decision making.</p> <p>The proposed research by KMFRI and IMS will fill gaps in oceanographic data in the Northern Kenya and Pemba channel of Tanzania, which have great relevance in the development of policies and programmes that support sustainable management of fisheries resources and the larger LME.</p>	<p>Strengthening national data centers and research institutions to collect, analyze, and inform the policy formulation and decision-making process will improve ocean governance and enhance sustainable management of coastal and marine resources.</p>
<p><b>Component 5. Capacity Development to Realize improved ocean governance in the WIO region</b></p>			
<p><b>Outcome 5.1.</b> Capacity for improved Ocean Governance strengthened through training and support</p> <p>5.1.2. Technical support to the CB&amp;T platform and coordination of the CB &amp;T activities in all participating countries</p>	<p>Consultation and discussion have taken place on the development of a regional MSP strategy. Draft TORs have been shared with key partners so that they may provide their input before a consultancy is advertised. In order to build national level capacity, a joint MSP training has been organized for Somalia experts in Q4.</p>	<p>A regional MSP taskforce will be established to support countries in efforts to undertake MSP. The regional MSP strategy will help guide this national process through complementary capacity building training for national and regional level experts.</p>	<p>The regional MSP taskforce will support countries to undertake the MSP process. Through the taskforce, a pool of experts will be created at the national and regional levels to inform training and facilitate experience sharing.</p>

<b>Project Management/Staffing</b>	The project is sharing staff with the WIOSAP project, namely Finance, Communication, and Policy Officers. In addition, the project receives support from all Secretariat team members. The PCU understands that hiring a national coordinator in each participating country will be required once the demonstration projects commence.	Collaboration and project coordination will be enhanced through harmonization of the implementation of joint thematic areas with the WIOSAP and other supporting projects	Coordination and support are key elements for smooth and successful implementation of the project.
<b>Recruitment of additional technical staff</b>	TORs have been prepared to hire a National Consultant for all participating countries to lead the MEDA and TDA updating process, as well as to support countries to revamp their data centers. Additional TORs have been created for a consultant to develop the private sector engagement strategy.	It is expected that the recruitment process will be finalized in quarter four and the work commenced at the end of the year.	The national consultant will coordinate the available scientific inputs and outputs and establish and lead the national level experts' group for the MEDA updating process.

### **Section Three: Institutional Context & Project Partnership Issues**

The project prioritizes working with focal points, key partners and stakeholders to ensure collaboration and support for the effective implementation of planned activities under different components. The meeting with WIO-C members helped to map who is doing what, which will help establish strong, coordinated partnerships for multiple benefits. Some ongoing initiatives need to be scaled up and replicated in other sites/countries, such as MSP, MPA management, coastal ecosystem conservation, etc. The project will work in close collaboration with identified partners on such initiatives. In addition, at the Secretariat level, the harmonization of crosscutting activities under different projects is being given due emphasis. In line with this focus, cross-project activities are planned and executed jointly to enhance cost effectiveness and deliver bigger results. Moreover, SAPPHIRE will benefit from the partnerships established with a) IMO on oil spill control and emergency response activities; b) IUCN and WIOMSA on monitoring and addressing the impacts of ocean acidification; and the Swedish Agency for Marine and Water Management (SwAM) on MSP.

### **Section Four: Outcomes and Lessons Learned**

The WIO regional ocean governance workshop brought together policy makers, RECs, scientists, practitioners and partners to discuss the current status of ocean governance in the WIO region. Presentations on country and regional experiences, research findings and global and regional policy instruments by these participants highlighted the need for urgent action in addressing the critical impacts of human activities and the climate change on the coastal and

marine ecosystem. The increasing trend in the degradation of the coastal and marine habitats calls for coordinated and strong interventions to protect and sustainably manage the ocean. Thus, the ocean governance strategy will be designed to provide a framework that links national, regional and global instruments and actions for improved ocean governance in the WIO region.

### **Section Five: Monitoring and Evaluation**

NICC meetings are supported in some of the participating countries to review national level initiatives and coordination among key sectors for the implementation of the project. Additionally, project monitoring and evaluation activities will be conducted regularly. As planned, there will be regular country-level project progress monitoring. Quarterly, annual and PIR reporting—as well as midterm and terminal evaluations—will continue to be conducted to measure project progress and results. The PSC will meet biannually to review project progress, provide recommendations, and find joint solutions as problems arise during the project implementation.

### **Section Six: Communication, Dissemination and Advocacy**

In the reporting quarter, wider communication work has been undertaken, including newsletters, project fact sheets, brochures, translation, and regular progress updates on the Secretariat webpage.. In addition, various visibility materials such as banners, posters and notebooks were prepared and displayed at workshops and meetings to raise awareness among participants about different components and progresses of the project. Moreover, wider coverage on social media, such as Twitter and Facebook, provided an opportunity to reach the larger public. An article on SAPPHIRE project progress was published at the IW-LEARN website and a number of national medias covered the national level project inceptions workshops.

Knowledge Managements (KM) practices, as encouraged by IWLearn for SAPPHIRE, have been incorporated into SAPPHIRE's operating procedures. This includes a) mapping exercises to ensure synergies between SAPPHIRE, other projects, and global processes and initiatives; and b) the creation and completion of "KM templates" after major events or milestones in the project. This allows the team to keep track of key opportunities and sensitivities of which it should be aware. Mapping exercises, meanwhile, maximize synergies between SAPPHIRE and other projects while minimizing duplication.

### **Section Seven: Risks, Issues and Challenges**

Limited national level capacity and coordination, as well as priorities competing for the time of the focal points, is a major challenge. Countries took a longer time than expected to submit their demonstration projects proposals, delays which can significantly hinder project progress. Given the multisectoral nature of the project, a strong national level intersectoral coordination mechanism is required for the integrated and harmonized implementation of different project components. This is expected to be a challenging coordination task for the national focal points. Allocation of limited funds for demonstration projects at the community level is another challenge, as all participating counties have shown a high interest in having more on-the-ground activities in multiple sites.

### **Section Eight: Collaboration and Support**

National focal points and institutions are playing a key role in supporting and coordinating the implementation of planned activities at the national level. The Secretariat is coordinating the implementation of SAPPHIRE, WIOSAP and other supporting projects. Similarly, as recommended at the joint Steering



Committee meeting in June, jointly planning and implementing activities under mutual thematic areas enhances efficiency of the team, cost effectiveness and helps register multiple results. Moreover, it accelerates project activity implementation.

## **Section Nine: Next Steps and Key Planned activities for subsequent quarter**

**In the fourth quarter the major focus will be:**

**Component 1.** Support will be given to countries to participate in SAP-related meetings and workshops. Regional ecosystem monitoring indicators and guidelines, as well as a regional Marine Spatial Planning (MSP) Strategy for the WIO region will be developed.

**Component 2.** Technical support will be provided to communities and artisanal fisheries to engage in EBM and community sensitization conducted on the values of LME goods and services. Spatial, local, social, political, and economic complexities will be assessed, as will the context of different types of fishing communities in the region. Support will be given for the development of Artisanal Fisheries Management Plans, which will be adopted at four small-scale fishing community sites to demonstrate best practices in stress reduction in the small-scale fisheries sector.

**Component 3.** A private sector engagement strategy will be developed to support the coordination of private sector/industry participation in EBM

**Component 4.** Countries will be supported in the realignment from a sectoral ocean management process to a coordinated sectoral ocean and coastal ecosystem management approach. Assistance will be given in the development of knowledge products, adaptive management guidelines, and policy briefings related to changes in ecosystem balance and climatic variability.

**Component 5.** Technical support will be provided to the CB & T platform and capacity building activities supported to enhance the leadership skills of policymakers and government experts. In addition, Marine Spatial Planning training will be provided to national experts to support capacity building at the national level to undertake MSP.