



## SOUTH WEST INDIAN OCEAN FISHERIES PROJECT (SWIOFP)



Regional Management Unit, c/o Kenya Marine and Fisheries  
Research Institute, P.O. Box 81651-80100, Mombasa, Kenya.

**Telephone:** +254-208023924 **Fax:** + 254 (0) 41 2001133, **E-mail:** rmu@swiofp.net

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### TERMS OF REFERENCE CONSULTANT SERVICES

Grant No. TF056039

The Government of Kenya has received funding (on behalf of the Union of Comoros, Republic of Madagascar, Republic of Mauritius, Republic of Mozambique, United Republic of Tanzania, Republic of Seychelles and Republic of South Africa) from the International Bank for Reconstruction and Development (IBRD) acting as an Implementing Agency for the Global Environmental Facility (GEF) (hereinafter called "Grant") toward the cost of *South West Indian Ocean Fisheries Project (SWIOFP)*, and intends to apply part of the proceeds for consultancy services as follows:

- a) **Revise and update the SWIOFP Project Implementation Manual**
- b) **Prepare a SWIOFP Financial, Disbursement and Procurement Management Manual**

The SWIOFP now invites eligible individual consultants to apply to provide the above-mentioned services. Interested consultants must provide information indicating that they are qualified to perform the services (brochures, description of similar assignments, experience in similar conditions, availability of appropriate skills among staff, etc.).

A consultant will be selected in accordance with the procedures set out in the World Bank's [Guidelines: Selection and Employment of Consultants by World Bank Borrowers](#) (current edition).

#### **1. Introduction**

The Southwest Indian Ocean Fisheries Project (SWIOFP) is one of several projects that together form the basis for a programmatic approach to the Somali and Agulhas Large Marine Ecosystems and financed by the Global Environment Facility (GEF). While the World Bank would supervise SWIOFP, the United Nations Development Programme and the United Nations Environment Programme, in close cooperation with the World Bank, would execute two other GEF projects. This multi-donor initiative to build a long-term vision for sustainable management of the Agulhas and Somali Currents LMEs is expected to have multiple phases that build on each other, and that will reflect the shared commitment of several agencies in the Southwest Indian Ocean countries mandated to manage the offshore resource. The participation of these agencies in the Somali/Agulhas LME Programme will also facilitate management of coastal resources by identify physical/chemical/biological environmental linkages between coastal waters and the complex ocean currents defining these LMEs.



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## 2 Terms of Reference

### 2.1 PART 1: Revise and update the SWIOFP Project Implementation Manual (PIM)

As part of the preparation process, a Project Implementation Manual (PIM) and an accompanying M&E Manual was prepared to serve as a guide for stakeholders with respect to the rules, plans, and institutional structures that would govern the implementation of the project. Preparation of the PIM was required next step in the project preparation process after completion of the project appraisal document. The project is its second year of implementation and a lot has evolved over that period that requires the PIM to be revised and updated.

#### 2.1.1 Description of Services

The objective is to provide targeted input into the revision of the project implementation manual to reflect the changes in the project, in particular in the institutional arrangements and implementation procedures, and provide technical backstopping for the team revising the final PIM. The revised PIM would be expected to provide guidance on the following key areas, but not exclusively:

- i. Update the annual planning and work plan approval process: Description of how detailed component budgets are presented, defended, and finalized at the annual work plan meeting. Procedures and timing for how the combined annual budget is compiled by the Regional Management Unit (RMU) and presented to the Regional Policy and Steering Committee.
- ii. Propose a template for the preparation of the annual work plan and budget (c.f. 2.2.2).
- iii. Funds flow: Detailed description of the “funds flow” process: Development of procedures for how quarterly disbursements are requested by the individual countries and disbursed by the RMU (c.f. 2.2.2)
- iv. Update Component management, coordination and reporting: How countries in components work under the coordination of the Regional and National Component Coordinators, the procedures governing implementation, approval for disbursement of funds, and reporting, and the specific roles of the regional and the national component coordinators. This would include: (i) describing the process whereby component activities planning would be finalized among participating countries; (ii) how the Component Coordinator compiles the annual component budget at national and regional level; (iii) identifying the specific roles and responsibility of national and



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regional component coordinators and implementing country focal points during implementation and supervision; (iv) developing report formats for national component coordinators and national focal points to use in reporting on component activities or requesting disbursements.

- v. Propose a template for Component and National Management Unit quarterly report of activities.
- vi. Revise the detailed description of component activities and timetable: An elaboration of each project component or subcomponent and provision of a detailed list of the intermediate steps required to implement each component and subcomponent. This would also include updating the timetable for implementation of the activity and assignment of responsibility within the various implementing institutions.
- vii. Monitoring and evaluation: review the Monitoring and Evaluation (M&E) arrangements that address the dual function of M&E in SWIOFP, which is: (i) to monitor progress on achieving the outputs established for SWIOFP and described in project documents; and (ii) to develop a long-term M&E framework for the region that can be used to monitor ecosystem health and fisheries exploitation. The PIM will describe in detail the system for the former (including a description of the indicators to be monitored, data collection methods, timetables for reporting and report formats) and provide guidance on how progress will be achieved on implementing the latter. Suggestion for a summarized M&E table and indicators should be produced.
- viii. Review and update the Institutional roles and responsibilities: Description of the roles and functions of the Steering Committee, RMU, NMU, national focal points, national component coordinators, regional component coordinators etc., and the communications channels between the various stakeholders groups and provisions made to revised/update any TORs where necessary.
- ix. Update the procurement procedures as per World Bank Rules and illustrate through flow diagrams as much as possible.

### 2.1.2 Specific Expected Outputs

The main output of the work would be a PIM acceptable to SWIOFP participating countries and the World Bank. Please note Part 1 should be carried out in conjunction with Part 2 of this consultancy.

### 2.1.3 Duration and Timing



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The estimated time required for the work would be a period of 15 working days. As part of the work described above, a field visit to the SWIOFP Regional Management Unit in conjunction with the consultant updating the PIM may be necessary. The SWIOFP RMU will coordinate arrangements in the field.

### 2.2 Part 2 – Prepare the SWIOFP Financial, Disbursement and Procurement Management Manual (FDPFMM)

#### 2.2.1. Objectives

The objective of this consulting assignment is to prepare a project financial, procurement, and disbursement management manual to ensure that:

- a) funds for the Project are used efficiently and for their intended purposes and,
- b) all financial requirements and obligations of the SWIOFP Countries and World Bank are complied with (in particular, the Governments' regulations, rules and guidelines, the GEF Grant Agreement, the Project Appraisal Document, and the World Bank Financial Management and Disbursement Guidelines).

It is a requirement under the project to prepare the manual but so far it has not been developed.

#### 2.2.2 Description of Services

The consultant shall prepare a financial management and disbursement and procurement manual including flow diagrams to illustrate the processes, which at a minimum, should include the following:

- i) Financial management responsibilities of the different project actors
- ii) Organizational structure and staffing pattern for financial management and disbursement
- iii) Presentation of the annual work plan and budgets (templates and process for consolidating the budgets)
- iv) Procurement Plan template
- v) Financial policies and standards
- vi) Fund flow and disbursement arrangements
- vii) Internal controls
- viii) Financial accounting policies, systems and procedures
- ix) Chart of accounts and books of accounts
- x) Handling of project expenditures and advances
- xi) Financial management reporting and monitoring processes



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xii) Internal and external audit systems.

In preparing the manual the consultant should also assess the general features of the overall project management systems; such assessment may, *inter alia*, cover the following areas:

- i) Existing payment procedures for goods and services purchased
- ii) Accounting system, including chart of accounts, books of accounts and forms used
- iii) Financial management and disbursement unit organization and staffing
- iv) Internal controls, review and approval systems
- v) Internal and external audit support systems
- vi) Financial reporting and monitoring system
- vii) Procurement and disbursement
- viii) Flow of funds from the RMU to the Countries and documentation to accompany request for funds
- ix) Internal and external Procurement processes
- x) General risk assessment.

### 2.2.3 Specific Expected Outputs

The main output of the work would be a Financial, Disbursement and Procurement (to summarize: Administrative Management Manual) Management Manual acceptable to SWIOFP participating countries and the World Bank. Please note Part 2 should be carried out in conjunction with Part 1 of this consultancy.

### 2.2.4 Duration and Timing

The estimated time required for the work would be a period of 15 working days. As part of the work described above, a field visit to the SWIOFP Regional Management Unit MU may be necessary. The SWIOFP RMU will coordinate the arrangements.

## 3. Deliverables

Although the consultancy is divided into two specific tasks, the consultant should integrate the two reports to ensure consistence and ease of use as all the processes are interrelated.

A report should also be submitted which should contain a summary of the work carried out and recommendations to improve the management system of the project

The draft document should be submitted in both English and French and the consultant will be required to make a presentation of the PIM/FDPMM and recommendations at project's Annual Meeting (1 day), which is slated in September 2010. The SWIOFP RMU will



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coordinate the arrangements. The consultant shall prepare the final document after receiving feedback from the meeting.

#### **4. Remuneration**

Remuneration will be based on the successful candidate or service provider's experience and training.

Applications must be delivered to the address below by post or E-mail within 14 working days from the date of the first appearance of the advertisement and should be clearly marked "Consultant Services for SWIOFP PIM and FDPMM".

The Regional Executive Secretary,  
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