



# WIO Stocktaking Meeting

Towards an Ecosystem-Based Management Programme  
For the western Indian Ocean Region



29<sup>th</sup> March 2010, Nairobi, Kenya

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## Report of the WIO Regional Stocktaking Meeting

### 1 OPENING:

1. The Regional Stocktaking Meeting was hosted by the Government of Kenya and co organized by the Nairobi Convention and the South West Indian Ocean Fisheries Commission with facilitation from ASCLME, SWIOFP and WIOLaB Projects. The Meeting was held during the Sixth Conference of Parties to the Nairobi Convention on 29<sup>th</sup> March 2010. The Meeting was officiated by **Hon. A. Mohamed Abu Chiaba (MP), Egh**, Assistant Minister, Ministry of Fisheries Development, Government of Kenya during the opening ceremony of COP6 of the Nairobi Convention.

### 2 ORGANIZATIONAL MATTERS:

2. The WIO-LaB Project Manager, Dr. Peter Scheren, called the meeting to order at 10.51 am and welcomed Prof. Micheni J. Ntiba, Permanent Secretary, Ministry of Fisheries Development in Kenya to preside as Chairman. The Chairman begun by outlining the purpose of the Regional Stocktaking Meeting and thanked the organizers and the three main projects ASCLME, SWIOFP and WIO-LaB Projects for having agreed to discuss a common coordination framework, leading among others to the joint development of a comprehensive Transboundary Diagnostic Analysis (TDA) and Strategic Action Programme (SAP) for the western Indian Ocean region. This was followed by self-introductions by the participants to the Regional stocktaking meeting (Annex I). The Chairman led the participants through the agenda and called for any amendments. The agenda was adopted as presented in Annex II.

The Chairman outlined the overall objectives of the Stocktaking Meeting as providing a platform for discussion of the roadmap towards the development and implementation of a synergistic GEF programme for the WIO region based on the principles of ecosystem-based management. In this regard, the meeting addressed a number of key issues:

- a) The benefits of applying an ecosystem-based management approaches to addressing the challenges related to the coastal and marine environment of the Western Indian Ocean, including the management of its resources;
- b) The current status of the GEF-supported projects and other interventions in the WIO region geared at addressing the challenges of the region, and;
- c) The roadmap towards a western Indian Ocean Sustainable Ecosystem Approach Programme for the WIO region.

The Chairman further highlighted the approach for conducting the meeting where keynote presentations were made on each of the topics to be followed by discussion on clarifying points. A summing up discussion was held at the end of all the presentations.

### **3 KEYNOTE PRESENTATIONS ON “TOWARDS AN INTEGRATED MANAGEMENT OF THE WIO ECOSYSTEM BENEFITS AND OPPORTUNITIES OF ECOSYSTEM-BASED MANAGEMENT”**

3. The Chairman invited Prof Ussif Rashid Sumaila, Director of the Fisheries Centre, UBC, Vancouver, Canada to make a presentation on “The benefits of the Ecosystem-Based management (EBM) compared to business-as-usual”. Prof. Rashid highlighted the status of fisheries worldwide noting that the majority of the commercial fish stocks are depleted, but through better management, it is possible to replenish and sustain catches on these stocks.

4. Prof. Rashid further defined an Ecosystem using Odum’s definition as “any entity or natural unit that includes living and nonliving parts interacting to produce a stable system in which the exchange of materials between the living and nonliving parts follows circular paths in an ecological system or ecosystem”.

5. EBM allows us to ask policy relevant questions such as:- are fisheries for small pelagic species impacting fisheries for their predators?; is habitat destruction impacting fisheries, among others. Using the example of Benguela LME project, Prof. Rashid noted the potential benefits of EBM such as a 40% increase in economic rent from the resources, cooperation in the management of environmental pollutants as well as cultivation of political goodwill among the participating countries.

6. The discussion that followed Prof. Rashid’s presentation centered on two issues, what the EBM approach will entail in its application to the western Indian Ocean and the modality of sharing resources. Based on the benefits accrued in other regions which have applied the EBM approach, it is worthwhile that the approach be implemented in the WIO region.

7. The Chairman invited Dr. Rolph Payet, the Vice Chancellor, University of Seychelles and Special Adviser to the President, Government of Seychelles, to make a presentation on “EBM/LME management in the context of the WIO region”. Dr. Payet defined EBM/LME and noted that the approach integrates ecological, social and economic goals and recognizes humans as the key components of the ecosystem. EBM considers both ecological and political-boundaries. The approach is concerned with the ecological integrity of coastal-marine systems and the sustainability of both human use and ecological systems, and incorporates understanding of ecosystem processes and how ecosystems operate.

8. Further, Dr. Payet provided a roadmap for the implementation of EBM approaches noting that it involves nature’s services, scientific evidence, ecological linkages, geographical scales, cumulative impacts, tradeoffs among human activities, adaptive management, and network of people and information.

9. Dr. Payet noted the key issues that would need to be addressed in EBM/LME management which include multilevel co-operations, stakeholder involvement, sharing of information, bridging science and policy and consensus-based decision-making.

10. In conclusion, Dr. Payet proposed a four steps approach to attaining EBM/LME management in the WIO region:

- a. **Step one** is through policy reforms such as a Regional Oceans Policy, maximizing outcomes from 3 GEF IW programmes (& others) in the WIO region and co-operation/networking between regional organizations e.g. through the Integrated Coastal Zone Management Policy Platform.
- b. **Step two**, is through a review mechanism by strengthening the institutional framework requirements for the periodical review of the performance of these platforms (making governance accountable/transparent) and making the Nairobi Convention and other Regional Convention Instruments country-driven.
- c. **Step three** is through capacity development at all levels – pluri-sectoral approach and strengthening tertiary education and research facilities across the WIO region.
- d. **Step four** is through leadership such as the Western Indian Ocean Challenge 2010-2012 and the Global Forum on Oceans, Coastal and Islands 2012 in Africa.

11. The meeting noted and endorsed the suggestions on the steps needed to advance the application of the EBM in the WIO region.

12. The Chairman invited Mr. Ivan Zavadsky, Senior Water Resources Management Specialist, GEF; to make a presentation on “GEF approach to the EBM: TDA/SAP procedure as a tool to operationalize the EBM approach to LME management”. Mr. Zavadsky informed that International Waters Focal Area includes Transboundary Rivers, Lakes and Groundwater Basins, Oceans, Coasts, Large Marine Ecosystems as well as connected river basins.

13. Mr. Zavadsky provided an overview of GEF International Waters (IW) operational strategy and introduced the role and the results of GEF Transboundary Diagnostic Analysis (TDA) and Strategic Action Programme (SAP) approach, successfully tested in GEF IW projects, aimed at building of foundational capacities and at implementation of reforms and stress reduction measures. The TDA/SAP approach proved to be instrumental for EBM in different LMEs and coastal ecosystems based on rigorous scientific analysis, broad stakeholder participation and countries commitments. He also stressed the importance of cross-sectoral, inter-ministry coordination in these processes. He presented several successful examples of TDA/ SAP processes, which paved the way towards national reforms, policies and new investments, combined with establishment or strengthening of regional legal/ institutional management bodies. TDA/SAP processes were implemented at various scales and facilitated adaptive management of the shared resource and application of EBM principles.

14. Lastly, Mr. Zavadsky concluded by outlining the three objectives of the IW focal area for GEF 5 as:

- a. IW-1: Catalyze multi-state cooperation to balance conflicting water uses in transboundary surface and groundwater basins while considering climatic variability and change;
- b. IW-2: Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change;

- c. IW-3: Support foundational capacity building, portfolio learning, and targeted research needs for joint, ecosystem-based management of transboundary water systems.

15. The discussion that followed the presentation centered on the way forward for processing the TDA/SAP for the WIO region so as to access the GEF 5 funds. Mr. Zavadsky stressed the need for filling the gaps that will assist in understanding all threats and challenges to the WIO ecosystem, which the comprehensive TDA/SAP based on the three GEF projects - WIO-LAB, ASCLME, SWIOFP - will address. The impact of climatic variability and change on the coastal and marine ecosystems critical for livelihoods of communities and to the management of fish stock needs to be addressed. There are important decisions on all these issues including the development of a WIO comprehensive SAP, how to manage in a best way the coastal and marine resources of the WIO ecosystem through implementing the EBM principles.

#### **4 CURRENT STATUS IN THE IMPLEMENTATION OF THE GEF WESTERN INDIAN OCEAN ECOSYSTEM-BASED MANAGEMENT PROGRAMME**

16. The Chairman invited Dr. Peter Scheren, Project Manager for the WIO-LaB Project; Mr. Rondolph Payet, Regional Executive Secretary SWIOFP project; and Dr. David Vousden, Regional Director/ /Ms. Lucy Scott, Data and Information Coordinator, ASCLME Project to make presentations on the “Current Status in the Implementation of the GEF western Indian Ocean Ecosystem-based Management Programme”.

##### **WIOLaB:**

17. Dr. Scheren noted that the Western Indian Ocean region falls under the Agulhas and Somali Currents Large Marine Ecosystems, and is being addressed by three GEF projects: - WIO-LaB Project entitled ‘Addressing Land-Based Activities in the Western Indian Ocean’; South West Indian Ocean Fisheries Project (SWIOFP); and Agulhas and Somali Currents Large Marine Ecosystems Project (ASCLME). Further, he acknowledged the presence of other related projects in the WIO region and the need to develop strong partnerships and alliances between these initiatives as part of an effective EBM process. Such initiatives include the “Marine Highway Development and Coastal and Marine Contamination Prevention Project”; “Implementing Integrated Water Resources Management and Wastewater management in the Small Island Developing States”; “Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub-Saharan Africa”, and “Reduction of Environmental Impact from Coastal Tourism”, ReCoMaP, among others.

18. Further, Dr. Scheren noted that the WIO-LAB Project was executed by the Nairobi Convention Secretariat and had 8 participating countries. The objectives of the WIO-LaB project are improving knowledge base, strengthening the capacity, and promoting knowledge exchange in the region. Dr. Scheren informed that WIO-LaB Project had conducted various regional assessments such as Municipal Waste Water Assessment and the assessment of Physical Alteration and Destruction of Habitats (PADH) among others. In addition, he outlined the demonstration projects undertaken by the project, the list of which is presented below:-

- A wetland-lagoon system for wastewater management at Shimo La Tewa Prison, Mombasa – Kenya
- Development of eco-tourism in the Marine Park of Toliara – Madagascar

- ▣ Application of vetiver grass for erosion and leachate control at a landfill site in Dar es Salaam – Tanzania
- ▣ Solid Waste Management in Port Louis Harbors – Mauritius
- ▣ Integrated Algal Ponding System technology for the polishing and beneficiation of effluent from municipal sewage treatment facilities - South Africa
- ▣ Enhancing the ecological function of mangroves – Mozambique
- ▣ Wastewater management on Pemba Island – Tanzania
- ▣ Integrated management and protection of the coastal zone at Itsamia, Mohéli - Comoros
- ▣ Use of native species to control soil erosion within The Black River Gorges National Park - Mauritius

19. Dr. Scheren also noted the achievement of the project’s objective in strengthening the legal framework of the countries in the WIO Region through the amendment of the text of the Nairobi Convention for the Protection, Management and Development of the Marine and Coastal Environment of the Western Indian Ocean (Amended Nairobi Convention available at <http://www.unep.org/NairobiConvention/TheConvention/index.asp>. and development of the Protocol for the Protection of the Marine and Coastal Environment of the Western Indian Ocean from Land-Based Sources and Activities (LBSA Protocol available at <http://www.unep.org/NairobiConvention/TheConvention/index.asp>).

20. In capacity building activities, Dr. Scheren informed that the WIO-LaB Project had conducted a total of 40 training sessions across the WIO region and developed guidelines and toolkit for environmental assessment. He further noted the achievements of WIO-Lab Project on regional coordination, noting that the project had strengthened partnerships for environmental governance of the WIO such as “Forum for Academic Research Institutions (FARI)”, “Consortium for Conservation of Coastal and Marine Ecosystems in Western Indian Ocean (WIO-C)”, and Thematic taskforces such as the Coral Reef Taskforce, PADH task force, and Municipal Wastewater Management Task Force.

21. The WIO-LaB Project has initiated the Nairobi Convention Clearinghouse Mechanism which, is a one stop shop for information in the coastal and marine management in the WIO region. Dr. Scheren concluded his presentation by noting that the milestone of the WIO-LaB project is the development of the new Protocol on LBSA to the Nairobi Convention.

**SWIOFP:**

22. Mr. Payet presented the SWIOFP project which covers an area where marine habitats are very diversified ranging from deep ocean, banks, shelves, coral reef systems, sea grass beds and mangrove fronts, to rocky and sandy coasts, with more than 10,000 species of marine fish and invertebrates and an estimated population of 140 million people living along the coast and depending more or less on fisheries, critical for sustaining livelihoods.

23. He outlined the objectives of SWIOFP which include; a) To identify and study exploitable offshore fish stocks within the South West Indian Ocean, more specifically, to determine existing fishing pressure on these stocks and to investigate the role of environmental influences on the life histories, seasonal variability and health of stocks in order to differentiate between environmental and anthropogenic impacts; b) To develop institutional and human capacity through training and career opportunities; and c) To develop a regional fisheries management structure and associated harmonized legislation in collaboration with the SWIOFC.

24. Mr. Payet informed that the total cost of the SWIOFP project is USD 22.64 Million, where USD 12 Million is from GEF while the rest is funds from partner institutions and in kind contributions from the participating countries.

25. SWIOFP is being implemented through six components and the expected outputs are as elaborated in the table below.

| <b>Project component</b>  | <b>Expected output</b>   |
|---|--|
| Data and information gap analysis, data archiving and information technology      | A database of existing data relevant to SWIOFP and new data; and<br><br>A fisheries data atlas for the South West Indian Ocean   |
| Assessment and sustainable utilization of crustaceans                             | Current status of important crustacean species, threats matrix, regional and sub regional management issues, identification of by-catch most impacted by commercial fishing gear |
| Assessment and sustainable utilization of demersal fishes (excluding crustaceans) | Current status of important demersal species, threats matrix, regional and sub regional management issues, identification of by-catch most impacted by commercial fishing gear   |
| Assessment and sustainable utilization of pelagic fish                            | Current status of important pelagic species, threats matrix, regional and sub regional management issues, identification of by-catch most impacted by commercial fishing gear    |
| Biodiversity  | Biodiversity map with baseline estimate of impacts on non target species;<br><br>Action plan to mitigate impact of fisheries; and<br><br>A monitoring programme                  |
| Fisheries management  | Harmonized resource management plans for specific fisheries;<br><br>TDA and SAP of the ASCLME; and a strong management structure in the region                                   |

26. Mr. Payet informed on the status of implementation of activities of the SWIOFP project noting that they are currently conducting cruises for data collection, followed by data manipulation, interpretation and reporting for the development a joint TDA and SAP with the ASCLME project later in the project.

27. Mr. Payet concluded his presentation by highlighting the main challenges. The project is already 15 months behind schedule due to a late start and other exogenous factors such as piracy. He further noted that as suggested in the Action Plan and Road Map closer collaboration between ASCLME and SWIOFP projects is need, however if SWIOFP is to stick to the proposed Action Plan there may be a risk of reducing the effectiveness of SWIOFP and compromise its input in the final SAP.

### **ASCLME:**

28. Dr. Vousden introduced the Agulhas Current Large Marine Ecosystems Project noting that it's a project, which covers 9 countries (Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa, and Tanzania).

29. Dr. Vousden noted the three main deliverables of the ASCLME project which include; a) a Transboundary Diagnostic Analysis (TDA) which identifies the overall characteristics of the various LMEs in the western Indian Ocean and defines the actual and potential threats to their sustainable functioning; b) A Strategic Action Programme (SAP) specifying the policy, governance and management procedures for formal adoption by the participating countries; and c) Identification of Long-term mechanisms for Governance and Management including continuous monitoring of Indicators that provide early warnings for ocean-atmosphere change and ecosystem variability.

30. The primary scientific activities of the ASCLME project include offshore cruises for meteorological and hydrographical assessment through the deployment of hydrographic instrumentation, plankton sampling, biological fish sampling and bathymetric mapping. The offshore ecosystem assessment cruises are done in close collaboration with SWIOFP and the NANSEN projects.

31. Preliminary findings of the project indicate that forcing of South Equatorial Current through various 'gates' along the Mascarene Ridge lifts sub-surface waters thus forming upwelling areas of higher productivity; Eddies in the Mozambique Channel are also raising productivity and have a significant influence on the entire Agulhas Current ecosystem and, indeed, the global climate; and High Resolution mapping in all areas surveyed indicates detailed information of seabed topography and habitat types.

32. The ASCLME Project is also collecting data for the TDA process relating to: a) Coastal Habitat Types particularly nursery and spawning areas or those supporting rare/threatened species; b) Coastal Livelihoods Assessment especially small-scale, artisanal and subsistence fisheries, mariculture activities and coastal tourism; c) Invasive Species especially from ballast waters and international transport movements; d) Marine Pollution e.g. shipping discharges, oil/chemical spills, exploration/extraction of natural resources; e) Capacity building and training; and f) participatory communications strategy for stakeholder engagement and community involvement (including DLIST- Distance Learning and Information Sharing Technologies) g) policy and governance Assessment.

33. Dr. Vousden concluded by outlining the long-term goals of the ASCLME project as: a) to ensure close coordination with all partners and stakeholders in delivering a single, effective, ecosystem-based management approach for the western Indian Ocean; b) Identify the appropriate management and governance mechanisms based on the conclusions of the TDA and the requirements of the SAP; and c) Implement the Strategic Action Programme and the adopted Governance mechanism for the WIO LMEs.

34. Participants to the Stocktaking Meeting wanted to know the fate of the TDA and SAP developed by the WIOLaB project. In response the meeting was informed that UNEP is developing a Project Identification Form (PIF) for submission to GEF as a first step of implementing the LBA (Land-Based Activities) SAP while awaiting the region-wide LMEs TDA and SAP to be developed by ASCLME and SWIOFP.

35. SWIOFP recognizes the importance of coastal habitats to the productivity of coastal fisheries and embraces the information collected by WIOLaB, which is further being supplemented by ASCLME. The effects of piracy are a major concern especially now that the restricted zone has been extended as far down as 12 degrees south. There is need to undertake an assessment of the cost of piracy in the region.

36. The piracy issue has seriously affected the implementation of the ASCLME cruise plan for Seychelles, Tanzania, Kenya and Somalia, basically the whole of the Somali Current LME. Alternatives are being sought in consultation with the countries, for capturing the oceanographic information in this area. The proposals will be presented to the next ASCLME Steering Committee Meeting for consideration and endorsement.

37. The ASCLME Project is addressing the issues of small scale/ artisanal fisheries (especially at the community level and through an assessment of the transboundary migration of fisher folk and trade between countries in the region) through its Coastal Livelihoods Assessment. It was explained that this CLA is an additional activity, which has been adopted by the ASCLME Project through its last Steering Committee as this was not being addressed effectively otherwise. The analysis and findings will be included in the final; TDA and the recommended actions in the final SAP.

## **5 ROADMAP TOWARDS A WESTERN INDIAN OCEAN SUSTAINABLE ECOSYSTEM APPROACH PROGRAMME**

The Chairman invited Ms. Lucy Scott, Dr. Scheren, Dr. Ngoile and Dr. Julius Francis to make presentations on the “Roadmap towards a western Indian Ocean Sustainable Ecosystem Approach Programme”

38. Ms. Scott presented “An Overview of the TDA/SAP process and the anticipated roadmap towards achieving a western Indian Ocean Sustainable Ecosystem Programme. The Road-Map was presented to the Stock-Taking Meeting as an agreed ‘way-forward’ from which the various GEF projects and their partners could chart their progress and to ensure better complementarity and coordination of their actions towards a common goal. This Road Map is included as Annex III

39. Dr. Scheren presented the just concluded Transboundary Diagnostic Analysis and Strategic Action Programme for the Protection of the Western Indian Ocean Coastal and Marine Environment from Land-based Sources and Activities developed under the WIO-LaB project. The LBA TDA was developed through a series of steps including the establishment of a TDA drafting team; initial review of transboundary problems; data collection and analysis; causal chain and governance analysis; and validation.

40. The main problem areas identified in the WIO-LaB TDA are: Pollution from Land-based sources; Physical Alteration and Destruction of Habitats (PADH); Alteration in the river flow and sediment load; Emerging issues such as climate change; and Cross cutting issues such as Governance and awareness.

41. Dr. Scheren noted the purpose of the LBA SAP is to promote the sustainable development in the Western Indian Ocean Region by strengthening the management of coastal and marine resources, in the various jurisdictions of the WIO Region based on an ecosystem-based management approach. The vision for the LBA SAP is “People of the region prospering from a healthy Western Indian Ocean”.

42. The target for the LBA SAP is that by 2035 “the critical coastal habitats will be protected, restored and managed for sustainable use; Water quality will meet international standards; and River flows will be wisely and sustainably managed”; while by 2015, “there will be an effective collaboration at regional level in addressing transboundary challenges”.

43. Dr. Scheren concluded his presentation by proposing implementation strategies of the LBA SAP which include: a) Mainstreaming the SAP into national development plans; b) Development of partnerships for SAP implementation; c) Development of concrete proposals for donors and partnership support; and d) Monitoring and evaluation of SAP implementation.

44. ASCLME’s Policy and Governance Coordinator, Dr. Ngoile made a presentation on the proposed policy and governance assessment of the WIO region and national coordination for EBM implementation. In his presentation he noted that there are various issues that come to play in addressing policy and governance in the WIO region such as the sheer size of the WIO Region; increasing population; poverty levels; environmental degradation; resource depletion; climate variability/change; governance of areas beyond national jurisdictions (beyond EEZ); political instability; and piracy.

45. Dr. Ngoile noted that the main challenge facing national and regional governances is the lack of mechanism for guiding the integrative governance of the issues highlighted above which are diverse, cross- sectoral multiagency and multi stakeholder. Further, the policy framework for ecosystem-based management is generally insufficient. For instance, while all eight countries have national environmental action plans and most countries have fisheries master plans, the regional coordination of these plans through the participation of all stakeholders in the transboundary diagnostic analysis (TDA) and the strategic action plan (SAP) processes for these adjoining large marine ecosystems has not yet been undertaken. In addition, several countries have instituted near-shore governance mechanisms or institutional structures to manage marine and coastal resources, but these have yet to be harmonized with international agreements through standardization of ecosystems indicators, and the prioritization of agreed upon actions on which success depends.

46. Governance addresses the values, policies, laws and institutions by which a set of issues are decided upon and it probes the fundamental goals and the institutional processes and

structures that are the basis for planning and decision-making. On the other hand management is the process by which human and material resources are harnessed to achieve a known goal within a known institutional structure.

47. The various drivers for policy and governance styles in the WIO Region were highlighted to include: governmental/intergovernmental organizations, processes and priorities; levels of economic development; the degree of scientific capability and the ability to incorporate science into policy process; patterns of social organization, culture and values, as well as the political relations.

48. Dr. Ngoile informed that the ASCLME and SWIOFP are proposing to conduct a policy and governance assessment across the WIO region.

49. **Part one** of the assessment will a) examine the long-term trends in both human well-being and environmental conditions as a means of determining the performance of governance interventions, b) focus on how the governance systems have responded to ecosystem change as reflected by the availability of the resources, such as fluctuations of fish stocks, and will aim to identify inadequacies, c) deal with practice rather than simply content. Particular attention would be given to the influence of, and impact on, policies and governance of the private sector, civil society and coastal communities and vice versa.

50. **Part two** of the assessment will outline a strategic approach to policy, legal and institutional reforms, and design a regional governance mechanism that is necessary to address the issues for the effective application of the ecosystem based/LME approach in the WIO region. The design will encourage long-term perspectives, an appreciation of the roles played by governments, regional agencies, civil society and the private sector (markets). The design will also define appropriate mechanisms for engaging coastal communities in the governance process and particularly into ecosystem management and monitoring as well as appreciation of the variability and impacts of climate change.

51. The assessment will give particular consideration to principles that are necessary for guiding the concept of nested systems of governance across vertical and horizontal scales so that planning and decision making at one scale does not conflict and/or contradict with that of the other. Nesting is essential because environmental and societal issues are transboundary across the scales.

52. The assessment at the regional level will include but not be limited to: a) A historical review of the regional agreements and associated agencies as well as pertinent regional projects (both current and historical); b) Compilation of national ecosystem-based cross-sectoral governance efforts based on national assessments reports; c) A review of the current status of international law and agreements in relation to the management and governance of ABNJ in the context of developing an LME-based regional governance strategy.

53. The expected outputs of the regional level assessment will include: a) One comprehensive regional policy and governance assessment report; b) Regional issue-based policy and governance briefs containing recommendations for regional policy and governance reforms for inclusion in the SAP.

54. At the national level, policy and governance assessment will include a) Compiling and analyzing all governance efforts (i.e. legal and policy changes and actions including institutional reforms) relating to marine and coastal resources management within the territorial

waters and the EEZ; b) Reviewing and documenting the funding provided for the management of marine and coastal resources by government, externally-funded projects and the private sector; c) Assessing the level of participation by stakeholders including coastal communities and private sector; d) Reviewing the participation of the country in international and regional policy processes and legal agreements, including the implementation of its obligations under such agreements relevant to marine and coastal governance.

55. The national level assessment will likewise recommend policy and governance reforms necessary for the implementation of an ecosystem-based approach to managing marine and coastal resources at national level and propose a set of indicators for assessing progress in achieving ecosystem based management of marine and coastal resources, in the light of the above analyses.

56. The expected outputs of the national assessment will include: a) A comprehensive national policy and governance assessments reports; b) Issue-based national policy and governance briefs containing a suite of options on how policies, legislative frameworks, institutional mechanisms and governance structures may be re-aligned, harmonized and enhanced in order to meet the challenges of applying the LME approach to marine and coastal resources and c) A set of proposed indicators to monitor progress towards the achievement of ecosystem based approach to managing marine and coastal resources.

57. Dr. Ngoile concluded his presentation by stressing that the policy and governance assessment will provide for the engagement of policy and decision making level stakeholders in the overall WIO LMEs TDA and SAP development process, noting that this will evoke legitimacy and strengthen 'ownership' of the LME approach prior to the adoption of the SAP.

58. The Executive Secretary for the Western Indian Ocean Marine Science Association, Dr. Francis wrapped up the session with a presentation on building partnerships. He highlighted the existing partnerships across the region such as partnerships among governments, NGOs, international institutions, and industry which have contributed to environmental protection, economic growth, and social development in the WIO region.

59. Dr. Francis noted that these partnerships played and will continue to play a key role in the development/implementation of WIO-LaB Project and preparation of its SAP. In this regard, he defined two forms of partnerships: Formal Partnerships, which is formal in structure, has a level of commitment of members, means of communication and coordination structure; and Informal Partnerships, which are more voluntary and have open membership. Dr. Francis furthermore outlined the possible objectives of partnerships such as: Exchange of information, documentation and production of publications; generation of new knowledge; joint planning and implementation of activities to solve common problems of interest including fund raising, advocacy and lobbying; providing for joint reporting opportunities; and sustaining on-going strategic initiatives.

60. Dr. Francis gave examples of mechanisms of partnerships such as the Forum of Academic and Research Institutions in the WIO region (FARI); the Consortium for Conservation of Coastal and Marine Ecosystems in Western Indian Ocean (WIO-C); the Informal International Waters Forum; Thematic Tasks Forces and Working Groups; Representation in decision-making Committees; Joint funding and implementations of common activities; Formal agreements; and Collaborative arrangements.

61. In conclusion, Dr. Francis proposed some thoughts on the implementation of the SAP, such as developing joint projects; Hosting within and strengthening of existing intergovernmental structures; and Recognizing strengths and opportunities offered by different partners. He also cautioned that for effective partnership, a strong coordinating mechanism and monitoring system should be put in place.

### **General Discussions:**

62. The policy and governance assessment will cover a whole range of issues however the main emphasis will be on practice rather than content. The assessment will consider the assessment done by WIOLaB and more towards the ocean and coastal activities excluding the specifics for land based activities, which have been ably covered by the WIOLaB project. The assessment has to address issues such as compliance, corruption the oversight role of cabinet and parliaments of the participating countries and the involvement of the stakeholders.

63. The Nairobi Convention and SWIOFC will be used as platforms for discussion by the countries and other stakeholders on the proposed governance mechanism. Emphasis will be more on capacity building requisite for the implementation of the EBM approach in the WIO region - institutional strengthening. Consultations will begin at national level as a basis for regional level negotiations.

64. The development of the programmatic TDA and SAP which will include the WIOLaB TDA and SAP will be meticulously carried out; engaging and consulting all stakeholder, taking into consideration all consequences of the merger of the sub TDAs and SAPs as well as the out-phase end dates of the ASCLME Project and SWIOP. Specific challenges for consideration include:

- a. The sharing of financial resources
- b. Allocation of responsibilities
- c. How to ensure commitment
- d. How to support coordination.

65. The implementation of the Programmatic SAP will need to be endorsed by the countries in a manner that is binding (not necessarily by a convention or commission but by instituting measure such as sanctions). However, it is important to note that there is an enabling environment in the region for such measures to work. Further there has to be a clear understanding and commitment to sustainable financing and clear demonstration of the benefits that will be accrued through such cooperation.

## **6 WAY FORWARD**

66. After the discussion on the way forward for the WIO and being guided by the various presentations done by the keynote speakers, the Chairman summarized the results of the various deliberations. The Chair expressed appreciation for the presentations made by the various speakers and concluded that there was general recognition of the benefits of an EBM-based Programmatic Approach to the WIO region. He further concluded that the elements of the roadmap towards an EBM-based Programmatic Approach for the WIO region, as presented

by the various speakers and deliberated upon during the meeting, were acceptable to all participating Government stakeholders.

67. The Chair outlined the following actionable areas as the way forward from the Regional Stocktaking meeting:

- a) The need for strengthening regional and national ocean governance. The comprehensive policy and governance assessment as outlined by the ASCLME Project should proceed and inform national governments and regional agencies specifically the NC, SWIOFC and others.
- b) Need to undertake a cost-benefit analysis on the resources of the region in order to inform intergovernmental negotiations for cooperation.
- c) The need for developing and implementation of a western Indian Ocean Sustainable Ecosystem Alliance based on the principles of ecosystem-based management, which will ensure that the efforts and inputs of all stakeholders are captured and evolved into an effective regional management and governance system for the WIO LMEs.
- d) The need for immediate implementation of the WIO-LaB SAP, while the wider LME-based SAP would be developed.
- e) The need for close cooperation between SWIOFP and ASCLME in furthering the programmatic TDA and SAP development process.
- f) The need for a follow-up to stocktaking meeting by convening meetings of high level government representatives, regional bodies and other stakeholders such as NGO and the private sector to advise on policy and governance; TDA; and SAP.
- g) Seek opportunities for hosting the Global Oceans Forum in the Western Indian Ocean Region in 2012.
- h) The need to expand geographical scope of interventions to better cover the Somali current LME once the situation allows.

The meeting was then adjourned at 5.30 p.m.

## ANNEX- I

### LIST OF PARTICIPANTS

| ORGANISATION   | NAME AND CONTACTS  |
|----------------|--|
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## ANNEX II

### **REGIONAL STOCKTAKING MEETING 29 March 2010, Nairobi, Kenya PROVISIONAL AGENDA**

1. Welcome address by Kenya - Host country
2. Introduction to the Provisional Agenda - Facilitator
3. Keynote Presentations: Towards an integrated management of the Western Indian Ocean ecosystem – benefits and opportunities of Ecosystem-Based Management:
  - a. The benefits of the Ecosystem-based Management (EBM) compared to business-as-usual – Invited speaker.
  - b. EBM/LME management in the regional context – Interim Regional Coordinator of the Nairobi Convention
  - c. GEF approach to EBM approach: TDA/SAP procedure as a tool to operationalize the EBM approach to LME management - Al Duda (GEF Secretariat)
4. Current status of implementation of the GEF Western Indian Ocean Ecosystem-Based Management process:
  - a. UNEP/GEF Project “Addressing land based activities in the Western Indian Ocean” (WIO-LaB) WIO-LaB – Project Manager UNEP/GEF WIO-LaB Project
  - b. South Western Indian Ocean Fisheries Project (SWIOFP) – Regional Executive Secretary
  - c. The Agulhas and Somali Current Large Marine Ecosystems Project (ASCLME) – Regional Director
5. Roadmap towards a Western Indian Ocean Sustainable Ecosystem Approach Programme
  - a. Overview of TDA/SAP process - ASCLME Project Director
  - b. Staged SAP implementation: advanced implementation of WIO-LaB SAP - Project Manager UNEP/GEF WIO-LaB Project
  - c. Policy and Governance Assessment - ASCLME Policy and Governance Coordinator
  - d. National inter-ministerial coordination.
  - e. Building partnerships – Executive Secretary, WIOMSA
6. The way forward
  - a. Establishment of Policy Advisory Committee
  - b. Name/branding of the Programme
  - c. Chairman’s summary
7. Closing Remarks

## ANNEX III

## ROAD MAP TOWARDS A SYNERGISTIC ECOSYSTEM-BASED MANAGEMENT PROGRAMME FOR THE WESTERN INDIAN OCEAN REGION

### **CONTEXT:**

The Western Indian Ocean region is currently hosting a portfolio of different projects funded by the Global Environment Facility (GEF), notably<sup>1</sup>:

- ▣ the project “Addressing Land-based Activities in the Western Indian Ocean” (WIO-LaB);
- ▣ the South West Indian Ocean Fisheries Project (SWIOFP); and
- ▣ the Agulhas and Somali Currents Large Marine Ecosystem Programme (ASCLMEs).

The three Projects are intended to jointly contribute towards a single objective: the sustainable management of the WIO environmental resources for the benefits of the people inhabiting the region. To achieve this objective, the ASCLMEs, SWIOFP and WIO-LaB Projects have agreed on a common coordination framework, leading to the joint development of a comprehensive Transboundary Diagnostic Analysis (TDA) and Strategic Action Programme (SAP) for the region. The SAP will provide an important step forward towards a comprehensive and synergistic programme of intervention for the WIO region, based upon the principles of ecosystem-based management. The intention is that GEF-support would be sought for the implementation of such a programme, but further financing would be sourced from other financial partners as well.

In pursuit of this general objective, the GEF and its implementing agencies (UNDP, UNEP and World Bank) are in the process of developing a roadmap and work-plan towards delivering an ecosystem-based management framework for the WIO region that is in accord with the LME approach. The roadmap and work-plan will provide the necessary mechanism for ensuring harmony between the work-plans of the individual projects as well as cooperation in delivering a product (TDA and SAP) that is appropriate to country, regional and indeed global requirements.

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<sup>1</sup> It should be noted that there are a number of other important global, regional and national GEF and non-GEF projects that are active in the region. Among these are the project “Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub-Saharan Africa”, the project “Reduction of Environmental Impact from Coastal Tourism”, the Marine Highway Development and Coastal and Marine Contamination Prevention Project, as well as large-scale country programmes such as the Marine and Coastal Environment Management Programme (MACEMP) in Tanzania, the replication of which is currently being scheduled in Kenya and Mozambique. Apart from these GEF-supported Projects, a number of large-scale non-GEF projects with similar focus and objectives are ongoing, such as the Regional Programme for the Sustainable Management of the Coastal Zones of the Indian Ocean Countries (ReCoMaP) implemented by the Indian Ocean Commission.

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**Definitions:**

**Ecosystem Based Management (EBM)** - A management approach that:

- ❑ Integrates ecological, social, and economic goals and recognizes humans as key components of the ecosystem.
- ❑ Considers ecological- not just political- boundaries.
- ❑ Addresses the complexity of natural processes and social systems and uses an adaptive management approach in the face of resulting uncertainties.
- ❑ Engages multiple stakeholders in a collaborative process to define problems and find solutions.
- ❑ Incorporates understanding of ecosystem processes and how ecosystems respond to environmental perturbations.
- ❑ Is concerned with the ecological integrity of coastal-marine systems and the sustainability of both human and ecological systems.

**Large Marine Ecosystem (LME)** - regions of the world's oceans, encompassing coastal areas from river basins and estuaries to the seaward boundaries of continental shelves and the outer margins of the major ocean current systems. They are relatively large regions on the order of 200,000 km<sup>2</sup> or greater, characterized by distinct bathymetry, hydrography, productivity, and trophically dependent population. Development of a TDA and SAP for LMEs requires a 'modular' approach focusing on 5 modules (i.e. Fish and Fisheries; Productivity; Ecosystem Health and Pollution, Socioeconomics; Governance)

**Transboundary Diagnostic Analysis (TDA)** – a scientific and technical fact-finding analysis of the relative importance of sources, causes and impacts of transboundary waters problems.

**Strategic Action Programme (SAP)** – a negotiated policy document that identifies actions in terms of policy, legal and institutional reforms and investments needed to address priority transboundary problems.

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## 1. First Western Indian Ocean LMEs Stocktaking Meeting

The First Regional Stocktaking Meeting will be held in Nairobi, Kenya on 29<sup>th</sup> March 2010, back-to-back with the Conference of Parties to the Nairobi Convention. The purpose of this Meeting will be (i) to discuss the objectives and benefits of an Ecosystem-Based Management (EBM) approach for the LMEs based on the TDA/SAP approach; (ii) to review the current status of development of such approach; and (iii) to reach consensus on the roadmap for the WIO EBM Programme, at the highest policy maker's level. The Target audience for this stocktaking meeting is high-level policy makers representing the Ministries of Environment, Tourism and Fisheries in each of the ten countries sharing the Western Indian Ocean: Comoros, France (La Reunion), Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia, South Africa and Tanzania. Furthermore, a selected number of representatives in inter-governmental organizations (AU, COMESA, EAC, IOC and IOTC) as well as observers from several key development partners (FAO/Nansen, IUCN, NOAA, WIOMSA, WWF). It is intended that this meeting will form the foundation for an on-going Policy Advisory Committee to assist and guide in the SAP development and implementation process.

## 2. Implementation of Land-Based Activities Protocol and related SAP

The TDA/SAP process for the Western Indian Ocean LMEs is a shared effort by three projects run through 3 implementing agencies (UNDP, UNEP and the World Bank). While the SWIOFP and ASCLME Project are recently begun and half-way completed respectively, the WIO-LaB Project is nearing its completion. The WIO-LaB Project has resulted in a new regional legal agreement to address the adverse impacts of land-based sources and activities, in the form of a Protocol to the Nairobi Convention. The Protocol is furthermore accompanied by a comprehensive TDA and SAP on land-based sources and activities.

The Protocol, TDA and SAP on Land-based Sources and Activities are considered major milestones on the road towards an EBM approach for the WIO Region. It is critical, therefore, that in order not to lose the momentum gained through the WIO-LaB Project, the advanced implementation of priority actions as defined in the SAP would be crucial. The SAP, in this regard, will form the basis for the development of specific follow-up Projects, targeting the GEF and other donors, building strongly upon the partnerships with organisations and institutions developed during its development process.

At the national level, furthermore, an important priority will be to mainstream the priorities of the SAP into national policy and legal frameworks, development plans and budgets. In this regard, most countries have developed or are currently in the process of developing National Action Plans, or are integrating relevant elements of the SAP into appropriate policy instruments such as Integrated Coastal Zone Management Plans or Environmental Management Plans.

## 3. Joint development of a regional Transboundary Diagnostic Analysis

The WIO-LaB Project has already finalised a comprehensive TDA for Land-Based Sources and Activities which will form an important component of a final LME-wide TDA. This final TDA will combine the LBA component with other major components captured through the ASCLME and SWIOFP project as part of the LME modular approach (See 'definitions'). The ASCLME Project has been tasked with coordinating this process of finalising an LME-wide TDA and SAP.

As part of its commitment to supporting national needs and capacity building within the overall regional EBM context, the ASCLME project has designed a national Marine Ecosystem Diagnostic Analysis (MEDA) approach which will result in specific national-level Policy Briefs relating to EBM.

These MEDA will form the foundation for the ASCLME component of the overall regional TDA. It is also expected that the national MEDA approach will ensure that country priorities are fully taken into consideration in the TDA-SAP process.

In the meantime, SWIOFP will provide the requisite information on commercial fisheries issues to the TDA-SAP process. In this regard, the two projects have agreed to cooperate closely at the national level to populate the national MEDAs and then coordinate closely at the regional level to evolve a comprehensive single and combined TDA, scheduled for June 2011.

It should, of course, be recognised that the TDA is not a stand-alone, one-off exercise but should be seen as a 'rolling' process which will require regular review as part of the delivery of a long-term monitoring and early warning strategy within the region.

#### 4. Policy & Governance Assessment

As part of its TDA process, the WIO-LaB Project has already undertaken a detailed assessment of national and regional governance (legal, policy and institutional) frameworks to identify the causes of coastal and marine environmental degradation from a governance standpoint and to define areas and strategies for strengthening of national and regional governance frameworks. This analysis was undertaken within the framework of the three main transboundary priorities identified in the TDA of Land-based Sources and Activities, being (i) Water and sediment quality degeneration from land-based pollution; (ii) Physical alteration and habitat destruction; and (iii) Alteration of freshwater flows and sediment loads from rivers. This assessment, based on dedicated national and regional status reports undertaken by legal and governance experts from the region, has culminated in a chapter on Governance in the WIO-LaB TDA.

The ASCLME Project has a major component dealing with Policy and Governance Assessment which was a substantial addition to the Project requested by the countries at Project Inception in order to cover what was seen to be a massive gap in information and activities leading to an effective LME-wide TDA and SAP. This Policy and Governance Assessment is intended to undertake an in-depth assessment and analysis of policy and governance mechanisms at both the national and regional level in terms of identifying what will be the requirements for implementing an LME approach within the EBM context. The process is intended to be interactive and will inform the policy and decision makers so as to legitimize the approach and empower the decision-making process. There is a very real need for an interplay of all the stakeholders concerned with marine and coastal resources and this can be achieved through this policy and governance assessment. The Policy and Governance Assessment must also address the high-seas issues in terms of Areas Beyond National Jurisdiction which also fall within the LMEs. This, in itself, is a huge undertaking and will require very close coordination with SWIOFP.

The final Policy and Governance Assessment will therefore aim to encompass the full spectrum of EBM. The Projects have agreed to undertake this assessment as a joint exercise in 2010. The Report from the Policy and Governance Assessment is expected to be completed by September 2010 and is intended to serve as a foundation document for the development of a harmonised approach to Governance and Policy within the overall SAP.

## **5. Joint development of a single, harmonised Strategic Action Programme**

Once the additional information for the LME modular components have been gathered by ASCLME and SWIOFP, these can then be combined with the LBA elements from WIO-LaB into a single SAP.

The single SAP will be circulated to all of the appropriate stakeholders for their final review and feedback. This document would then form the basis of the expected commitment from the countries to the SAP implementation process. This review would therefore have to focus on this document being formally adopted by each country at the highest level.

Once completed and endorsed, the SAPs will provide the basis for a comprehensive and synergistic programme of intervention for the WIO region, based upon the principles of ecosystem-based management.

## **6. Second Western Indian Ocean LMEs Stocktaking Meeting**

The primary purpose of this Second Stock-Taking Meeting would be the discussion of the commitments highlighted by the SAP and agreement on the adoption process. The meeting would be attended by members of the Policy Advisory Committee that it is hoped will have been formally adopted through a process agreed at the First Stock-Taking Meeting in March 2010. The level of representation on this PAC would, ideally, be at the Permanent Secretary and Director-General level. This would mean that 'in-principle' endorsement of the SAP at this meeting should act as a reliable prelude to formal SAP endorsement at the highest country level.

## **7. Roundtable of Stakeholders for Financial Commitment in support of SAP implementation**

Once a draft SAP has been agreed then there is a foundation document upon which to base negotiations and discussions regarding financial commitments by partners. It is intended that key Stakeholders will have already reviewed the SAP, and indeed been included in its development process, so the purpose of this Roundtable would be to focus on securing the necessary financial sustainability and the mechanisms to support the long-term SAP implementation.

In this regard, the long-term mechanisms for sustainable ecosystem-based management and for early warning and adaptation related to ecosystem/climate variability will require alliances and partnership to be forged beyond government levels; commitments to sustainability are therefore not just national and regional, but also global.

The Western Indian Ocean as an Ocean-Atmosphere entity is a major driver of the global climate. The complex interaction and linkages between its LMEs and regional/global climate events makes it both unique and vulnerable. In this regard the long-term mechanisms for sustainable ecosystem-based management and for early warning and adaptation related to ecosystem/climate variability will require alliances and partnership to be forged beyond the level of the governments of the regions. Therefore, it will be important to recognise in any LME Strategic Action Programme and subsequent management and governance approach that the responsibility for sustainable LME management are not just national and regional, but also global.

## **8. Formal Adoption of SAP**

It will be important and essential to seek formal endorsement of the SAP at the highest possible political level within the region. This is in view of the complexity of the Western Indian Ocean region itself (politically, demographically, and in terms of the marine ecosystem interactions), but it is also a necessary requirement for long-term sustainability at both the political and financial level if SAP implementation and long-term governance, policy, monitoring and management processes and mechanisms are ever to be successful.

## **9. Implementation of Single Harmonised SAP for Western Indian Ocean LMEs**

Once the SAP has been endorsed and, assuming that finances are immediately available to implement the SAP, along with supportive partnership co-financing, then the implementation process can proceed through a programmatic approach.

In the meantime, the Land-based Sources and Activities elements of the final SAP have already been identified through the process led by the WIO-LaB Project. Many of the priority issues identified in the WIO-LaB SAP need to be addressed with some urgency, and as stated earlier (see item 1), it is intended that these components will be given advanced attention, including through early negotiations for funding.

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