



REQUEST FOR CEO ENDORSEMENT

Project Type: Full-sized Project

Type of Trust Fund: LDCF, SCCF

PART I: PROJECT INFORMATION

Project Title: Enhancing Climate Change Resilience in the Benguela Current Fisheries System			
Country	Angola, Namibia and South Africa	GEF Project ID	5113
GEF Agency	FAO	GEF Agency Project ID:	619123
Other Executing Partner(s)	Benguela Current Commission (BCC)	Submission Date:	November 13, 2014
GEF Focal Area(s):	Climate Change	Project Duration (Months)	60 months
Name of Parent Program (if applicable):		Agency Fee (\$):	472,500

A. Focal Area Strategy Framework

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
CCA-1	Outcome 1.1: Mainstreamed adaptation in broader development frameworks at country level and in targeted vulnerable areas	Output 1.1.1: Adaptation measures and necessary budget allocations included in relevant frameworks	SCCF	245,000	940,000
			LDCF	150,000	400,000
	Outcome 1.2: Reduced vulnerability in development sectors	Output 1.2.1: Vulnerable physical, natural and social assets strengthened in response to climate change impacts, including variability	SCCF	536,000	1,950,000
			LDCF	300,000	900,000
	Outcome 1.3: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas	Output 1.3.1: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability	SCCF	536,000	1,925,000
			LDCF	300,000	800,000
CCA-2	Outcome 2.1: Increased knowledge and understanding of climate variability and change-induced risks at country level and in targeted vulnerable areas	Output 2.1.1: Risk and vulnerability assessments conducted and updated	SCCF	615,200	2,120,000
		Output 2.1.2: Systems in place to disseminate timely risk information	LDCF	348,800	900,000
	Outcome 2.2: Strengthened adaptive capacity to reduce risks to climate induced	Output 2.2.2: Targeted population groups covered by adequate risk reduction	SCCF	461,400	1,590,000
			LDCF	261,600	600,000

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
	economic losses	measures			
	Outcome 2.3: Strengthened awareness and ownership of adaptation and climate risk reduction processes at local level	Output 2.3.1: Targeted population groups participating in adaptation and risk reduction awareness activities.	SCCF	461,400	2,400,000
			LDCF	264,600	1,081,000
Sub-Total				4,480,000	15,606,000
Project management cost			SCCF	170,000	2,060,000
			LDCF	75,000	1,500,000
Total Project Costs				4,725,000	19,166,000

B. Project Framework

Project Objective: To build resilience of the Benguela Current marine fisheries systems to climate change through implementation of adaptation strategies, to ensure food and livelihood security.						
Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Confirmed Co-financing (\$)
Component 1: Integrating fisheries climate change considerations into fisheries policies and planning as well as into broader inter-sectoral development and climate change policies and programmes.	TA	<p>Outcome 1.1 Regional and national authorities, as well as major stakeholder groups, informed of vulnerabilities across the region to predicted impacts of climate variability and change.</p> <p><i>Indicator: Information generated through participatory vulnerability assessments communicated to key stakeholders through regional and national networks and other mechanisms.</i></p>	<p>1.1.1 Participatory and integrated vulnerability assessments of fisheries and fishery-dependent communities undertaken for all three countries and results disseminated.</p>	LDCF	96,700	897,000
		<p>Outcome 1.2 Climate change adaptation in fisheries and fisheries-dependent communities is mainstreamed into broader sectoral, food-security and climate change frameworks within all three countries.</p> <p><i>Indicator: at least one key policy or addenda to existing policies (at least one in each country), submitted to National Authorities and BCC for adoption by project year 5.</i></p>	<p>1.1.2 Potential adaptation actions for the most vulnerable fisheries and fishery-dependent communities identified</p> <p>1.1.3 Vulnerability assessments incorporated into the BCC and national planning and managing frameworks.</p> <p>1.2.1 Draft policies, or addenda to existing policies, submitted to the National Authorities and BCC for adoption.</p> <p>1.2.2 Regional and national inter-agency/inter-sectoral mechanisms strengthened to ensure fisheries and mariculture</p>	SCCF	1,100,000	1,979,000

			sectors are well-placed within national, provincial and local frameworks.			
Component 2: Piloting improved climate-resilient fisheries practices.	TA	<p><u>Outcome 2.1</u> Vulnerability to climate change and variability reduced in local, small-scale fisheries and fishing communities identified as being at high risk, considering all stages from production through to post-harvest and trade</p> <p><i>Indicator: At least 9 high-risk local fisheries or communities (7 in Angola, and 2 in South Africa) with approved adaptation action plans being implemented by project year 4.</i></p> <p><u>Outcome 2.2</u> National and regional institutions have the capacities to integrate climate change adaptation (CCA) in fisheries in practice, based on thorough consultative planning processes.</p> <p><i>Indicator: Management plans in at least 3 national or regional fisheries under implementation.</i></p> <p><u>Outcome 2.3</u> Strengthened institutions and frameworks for effective monitoring and early warning to facilitate contingency planning at the regional and national levels</p> <p><i>Indicator: climate monitoring and early warning systems providing timely and relevant information to target fishery communities.</i></p>	2.1.1 Community-based adaptation action plans developed and piloted in high-risk fisheries and communities	LDCF	682,290	2,477,000
			2.2.1 Management plans developed or strengthened to incorporate monitoring and adaptive response to climate variability and change in at least 3 national or regional fisheries	SCCF	725,000	4,408,000
			2.3.1 National and regional frameworks for monitoring and disseminating information on extreme weather events and climate-induced risks in fisheries modified to address gaps in current coverage.			

Component 3: Capacity building and promotion of improved climate-resilient fisheries practices	TA	<p><u>Outcome 3.1</u> Increased awareness of stakeholders to enable and promote a proactive, forward-looking approach to climate change</p> <p><i>Indicator: At least 50% of target stakeholders with moderate to high understanding and awareness.</i></p> <p><u>Outcome 3.2</u> Knowledge and understanding of stakeholders strengthened through targeted training on climate change risks and best adaptation practices in fisheries.</p> <p><i>Indicator: % improvement in capacity perception index.</i></p>	<p>3.1.1 Targeted, user-friendly information produced and disseminated to national and regional stakeholders, and to local communities in the most highly vulnerable areas</p> <p>3.2.1 Training on climate change risks and adaptation conducted in selected communities (at least 300 people from fishery communities receiving training)</p> <p>3.2.2 Targeted training on climate change risks and best adaptation practices in fisheries for stakeholders (at least 150) from government, universities, non-governmental organizations and industry conducted.</p>	LDCF	563,910	894,000
				SCCF	510,000	1,756,000
Component 4: Monitoring and evaluation and adaptation learning	TA	<p><u>Outcome 4.1</u> Project implemented and monitored effectively and efficiently and best practices and lessons learned disseminated.</p>	<p>4.1.1 Project monitoring system established.</p> <p>4.1.2 Midterm and final evaluations conducted.</p> <p>4.1.3 Project-related “best-practices” and “lessons-learned” assessed, published and disseminated</p>	LDCF	282,100	413,000
				SCCF	520,000	2,782,000
Subtotal				LDCF	1,625,000	4,681,000
				SCCF	2,855,000	10,925,000
Project management Cost (PMC)				LDCF	75,000	1,500,000
				SCCF	170,000	2,060,000
Total project costs					4,725,000	19,166,000

C. Sources of Confirmed Co-financing for the Project by Source and by Name (\$)

Sources of Co-financing	Name of Co-financier (source)	Type of Co-financing	Co-financing Amount (\$)
GEF Agency	FAO	Grant	385,000
GEF Agency	FAO	In-kind	575,000
Executing partner	Benguela Current Commission (BCC)	Grant	500,000
Executing partner	BCC	In-kind	2,500,000
National Government	Angola	In-kind	5,000,000
National Government	Namibia	In-kind	5,000,000
National Government	South Africa	In-kind	5,000,000
Bilateral Aid Agency	ECOFISH project	In-kind	100,000
Other	GULLS	In-kind	100,000
Other	Masifundise	In-kind	6,000
Total Co-financing			19,166,000

D. Trust Fund Resources Requested by Agency, Focal Area and Country

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	(in \$)		
				Grant Amount (a)	Agency Fee (b)	Total C=A+B
FAO	SCCF	Climate Change	Namibia	1,512,500	151,250	1,663,750
FAO	SCCF	Climate Change	South Africa	1,512,500	151,250	1,663,750
FAO	LDCF	Climate Change	Angola	1,700,000	170,000	1,870,000
Total Grant Resources				4,725,000	472,500	5,197,500

F. Consultants Working for Technical Assistance Components:

Component	Grant Amount (\$)	Co-financing (\$)	Project Total (\$)
International Consultants ⁴	91,800	34,000	125,800
National/Local Consultants	298,500	85,000	383,500

G. Does the Project Include a "Non-Grant" Instrument? NO

Part II: Project Justification

A. Describe any changes in alignment with the project design of the original PIF⁵

No major changes have made in the project design. Outputs and outcomes, and associated indicators have been refined, responding to comments from STAP.

A.1 National strategies and plans or reports and assessment under relevant conventions, if applicable, i.e., NAPAs, NBSAPs, national communications, TNAs, NCSA, NIPs, PRSPs, NPFE, Biennial Update Reports, etc.

N/A

A.2 GEF focal area and/or fund(s) strategies, eligibility criteria and priorities

N/A

A.3 The GEF Agency's comparative advantage

N/A

A.4 The baseline project and the problem it seeks to address

Following the PPG data collection and analyses, the description of the problem and the baseline has been improved. Please see section 1.2 in the FAO project document.

A.5 Incremental/Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated global environmental benefits (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project

⁴ International consultants include regional consultants.

⁵ For questions A.1 – A.7 in Part II, if there are no changes since the PIF and if not specifically requested in the review sheet of the PIF stage, then no need to respond, please enter "NA" after the respective question.

The additional cost reasoning has been refined based on PPG analyses. Please see section 1.2.3 in the FAO project document.

A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks

Risk	Level of risk	Mitigation strategy
Inability to develop and implement a sufficiently holistic vulnerability assessment methodology, resulting in a failure to detect more obscure vulnerabilities in the fisheries systems.	Low	The basic IPCC vulnerability framework, expanded to give closer attention to environmental/ecosystem vulnerability is a well-established and applied standard that will be used in the project. Considering the diverse nature of the fisheries systems in the three countries, detailed application of the framework will be tailored to take into account specific characteristics and contexts of each case. Assessments will give comprehensive consideration of impacts and vulnerabilities to all primary threats, including but not limited to climate threats. The participative processes employed should ensure that all aspects are covered.
Insufficient time dedicated by collaborating and partner organizations and agencies to successfully implement the project components.	Low	During the project preparation phase, time availability and commitments have been discussed among the participating organizations and agencies to ensure that none is carrying a heavier burden than it can sustain. The staffing structure, including the HQ-based and national teams, has been designed to provide support and ensure delivery.
Inadequate participation by all stakeholder groups to identify and prioritize adaptation needs in a sufficiently objective manner.	Medium	Careful attention will be given to ensuring the involvement of all relevant stakeholders at an early stage and throughout the project implementation process. Awareness creation and engagement of stakeholders from commencement of the project and for its duration will encourage engagement. Communities have frequently been overlooked in fisheries management and development and it is anticipated that, with sensitive and participatory approaches, project activities will generally be welcomed by them.
Some stakeholders (e.g. small-scale fishers) lack sufficient negotiation strength vis-à-vis others.	Medium	The stratified approach of the project, in which separate activities will be directed at communities and at national and regional fisheries and stakeholders will ensure that small-scale stakeholders and other sometimes marginalized groups will be the primary drivers of activities for their benefit. This, plus capacity building in co-management, will strengthen their capacity to engage more effectively in activities aimed at scaling up and integrating local management with national and regional management plans, when required. The project will also clearly indicate the contributions of the small-scale sector to food and livelihoods security and economic development. Meetings, workshops and other consultative events will be professionally facilitated to ensure full and fair participation and influence.
Climate-induced events, such as shifts in shared stocks, occur faster than the project is able to prepare and plan for.	Medium	The vulnerability assessments during project preparation and the more targeted and detailed ones under Component 1 will identify any particularly urgent cases. These will be prioritized in the pilot studies and other activities. The project is aiming to build the capacity of fishers, communities, and regional management to better deal with the current climate variability including extremes and future climate change through adaptation and resilience-building practices.
Climate-induced events cannot reliably		Local, national and regional fisheries are exposed to a

be distinguished from changes caused by other factors such as overfishing or short-term variability.		number of threats and it is frequently difficult or even impossible to isolate the direct impacts of any one of those. The vulnerability assessments will consider vulnerability to other drivers and will consider climate related threats within the context of overall vulnerability. In adaptation planning and pilot implementation, adaptive actions and measures taken to increase resilience will, as far as possible, take into account and complement measures required to address other threats.
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A.7 Coordination with other GEF financed initiatives

The project will be closely coordinated with the GEF-funded project, “Realizing the inclusive and sustainable development in the BCLME region through the improved ocean governance and the integrated management of ocean use and marine resources”, which is currently under development through the UNDP. The BCC will be the lead executing agency for both projects which should facilitate this coordination.

There are a few similar LDCF/SCCF fisheries adaptation projects recently approved and are under development – in Malawi, the Caribbean, Chile and Bangladesh – supported by FAO. FAO, through the lead technical division, and technical task forces to be set-up within FAO, will ensure that relevant lessons learned in each of the projects are shared across this portfolio.

B. Additional information not addressed at the PIF stage

B.1 Describe how the stakeholders will be engaged in project implementation

The project will work closely with a wide range of stakeholders including provincial and local government agencies, universities, research institutions, civil society and community-based organizations, private sector partners within industries such as fishing, mining and offshore oil and gas, and local communities and residents living in or around the coastal areas.

The project is fortunate in that the Benguela Current Commission and the countries have existing coordination mechanisms, which the project will use to engage the relevant stakeholders. At regional level, the BCC has a management board responsible for coordinating the implementation of the Strategic Action Programme and the Benguela Current Convention. It consists of national delegations from each of the participating countries. Usually, there are representatives from each of the relevant ministries (e.g. the fisheries, mines or minerals, works and transport and the environment ministries) in each of the national delegations. The Commission also has an Ecosystem Advisory Committee which brings together national experts in relevant fields and provide advice and recommendations to the Commission. The committees work mainly through working groups, which form the bridge for cooperation between players in the different countries of the BCC.

At national level, the respective fisheries and mariculture government departments and environmental ministries will be the key project partners and will share the responsibility with BCC for the execution of the project’s national activities. They will ensure close collaboration with key government departments responsible for national environmental management and climate change coordination - the Ministry of Environment and Tourism in Namibia, the Department of Environmental Affairs in South Africa and the Ministry of Environment in Angola, and with the private sector.

At community-level the project will work with community groups, NGOs and CSOs. Some NGOs working with fishing communities were already closely involved in the development of the project. In particular, Masifundise Development Trust and the Environmental Monitoring Group (EMG), both based in South Africa, have been active partners throughout. Project activities involving small-scale communities will benefit from the experience of these NGOs and their credibility with the communities.

B.2 Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environmental benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF)

Socio-economic benefits will be generated mainly through Component 2, which will support the development and implementation of community-based adaptation plans in at least 9 highly vulnerable fishery communities; and implementation of at least 3 national or regional fisheries management plans incorporating response to climate variability and change.

It will be too early at the end of this project to detect changes in the vulnerability of fishery resources and ecosystems as a result of the progress made through the project but there will be improvements in the management systems. These systems, through taking better account of climate change and variability, will have reduced the risks of over-exploitation and will, by the end of the project, have led to a reduction in fisheries mortality in those fisheries targeted by the project in which over-fishing has been a problem. Similarly, there will not have been sufficient time to detect significant improvements in livelihoods and food security of coastal inhabitants, but discernible progress will have been made in improving stability and sustainability of benefits being derived from fisheries and creating or planning for alternative livelihoods where required by over-reliance on fisheries. Improvements in monitoring and early warning will have increased safety at sea for hundreds of artisanal fishers along the coast.

The adaptation benefits which also are socio-economic benefits to be generated by the project include:

- climate change adaptation actions in fisheries and fishery dependent communities incorporated into key policies and programmes, with at least one key policy or addenda to existing policies undergoing adoption in all 3 countries by the end of the project.
- 9 most vulnerable small-scale fishery communities in Angola and South Africa with adaptation plans under implementation.
- climate monitoring and early warning systems providing timely and relevant information to target fishery communities and relevant stakeholders in the 3 countries.
- at least 3 national or regional fisheries management plans revised to incorporate response to climate variability and change
- at least 400 people from small-scale fishery communities, government, universities, non-governmental organizations and the industry have received targeted training on climate change risks and adaptation.

B.3 Explain how cost-effectiveness is reflected in the project design

Climate change has been recognized as a threat only relatively recently within fisheries and aquaculture and there is a common tendency to try to address it as a stand-alone issue requiring stand-alone solutions. Such an approach would require the creation of new, dedicated institutions and processes, as well as processes for ensuring interaction between the new structures and the traditional ones responsible for sectoral management. This would be a slow and costly process. It would also be inconsistent with an ecosystem approach to management, which requires integration from planning all the way through to monitoring of implementation. In contrast, the project will be following an integrated approach throughout and will, wherever possible, work with and through existing institutions, structures and processes in order to build resilience and reduce vulnerability of the Benguela Current marine fisheries systems to climate change. This will be the most cost-effective approach to achieve the objectives of the project and the one most likely to succeed.

Attention is being given to impacts of climate change and variability on fisheries systems in the region but in an incomplete and frequently uncoordinated manner. There are a number of institutions, organizations and stakeholders that are engaged in climate-change related activities of differing scales and the project will work with these multiple players where-ever possible, complementing and strengthening their efforts in a cost-effective manner, rather than attempting to start new initiatives

or to compete with existing ones. Good progress was made in engaging with these partners in all three countries during the project preparation phase and these efforts will be continued and expanded during implementation.

Similarly, starting with the BCC itself, the project will work with and through existing multi-sectoral platforms and processes in its work to ensure the inclusion of fisheries and mariculture in broad-based, multi-sectoral planning and programmes. It is a generally recognized challenge throughout the world to achieve effective multi-sectoral approaches, and resistance and inertia to change from sectoral interests, including government departments is often one of the major obstacles to achieving multi-sectoral, ecosystem-based management. It is therefore essential that the project does not try to initiate interaction between the fisheries and other sectors from the beginning but searches for and makes use of opportunities to build on progress already being made, at local, provincial, national and regional levels. Working with the BCC, which includes committed representatives from the relevant government departments and sectors in each of the countries, will be a key entry point for identifying and facilitating cooperation with existing multi-sectoral forums and initiatives at the different geo-political scales, thereby increasing cost-effectiveness.

C. Describe the budgeted M&E Plan

(Detailed description in section 4.6 in the FAO Project document)

Monitoring and evaluation of progress in achieving project results and objectives will be done based on the targets and indicators established in the Project Results Framework. During the project inception period, an M&E expert will be hired to support the Project Implementation Unit (PIU) in establishing a detailed project Monitoring and Evaluation system. Monitoring and evaluation activities will follow FAO and GEF monitoring and evaluation policies and guidelines and will include both midterm and final evaluations identifying main lessons learned for future application. Supported by Component 4, the project monitoring and evaluation system will facilitate learning and mainstreaming of project outcomes and lessons learned in relation to climate change adaptation in fisheries. This project will ensure that this information is made widely available and readily accessible – either through publications or through developing and maintaining the project website. Making use of different communication technologies and information tools will maximize overall impact and benefits. Overall, the M&E and adaptation learning component have been budgeted at USD 568,600.

At the initiation of implementation of the Project, the Project Implementing Unit will set up the project monitoring and evaluation system strictly coordinated with subsystems in each of the national project partners. Participatory mechanisms and methodologies for systematic data collection and recording will be developed in support of outcome and output indicator monitoring and evaluation. During the inception workshop, M&E related tasks to be addressed include: (i) presentation and clarification of the project's Results framework with all project stakeholders; (ii) review of the M&E indicators and their baseline; (iii) drafting the required clauses to include in consultants' contracts to ensure they complete their M&E reporting functions (if relevant); and (iv) clarification of the respective M&E tasks among the Project's different stakeholders. One of the main outputs of the workshop will be a detailed monitoring plan agreed to by all stakeholders based on the monitoring and evaluation plan summary presented in the table below.

Monitoring and evaluation plan summary

Type of M&E Activity	Responsible Parties	Time-frame	Budgeted costs
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Type of M&E Activity	Responsible Parties	Time-frame	Budgeted costs
Inception Workshops	BCC/Project Implementation Unit (PIU) will organize supported by FAO (LTO and LTU)	Within two months of project start up	USD 81,600 One regional and three national level inception meetings at a total. Although the regional inception is the main event, it will be important for project partners and beneficiaries in each country to have "national level" inception meetings.
Project Steering Committee meetings	BCC/PIU	At least once annually	USD 125 000 – back-to-back with BCC board meetings
M&E system development	PIU	Within three months of project start up	USD 25 000 A short-term M&E specialist will support the PIU at the onset of the project.
Project Inception Report	Prepared by BCC/PIU, cleared by the PSC and FAO.	Immediately after workshops	
Audits	External auditors. Organized by BCC.	Annually	USD 15 000 Undertaken throughout project period at a cost of USD 3000 per year
Supervision visits	BCC/PIU, FAO LTO/LTU and FAO GEF Coordination Unit	Annual or as required	The visits of FAO will be paid by GEF-agency fee.
Project Progress Reports	BCC/PIU, with inputs from the National Project Coordinator and other partners	Six-monthly	Approximately 10% of project staff and operational items are expensed through the M&E component.
Project Implementation Review report	FAO LTO supported by the LTU and PIU (Project Coordinator) and cleared and submitted by the FAO GEF Coordination Unit to the GEF Secretariat	Annual	Paid by GEF agency fee
Co-financing Reports	BCC/PIU and Project Coordinator	Annual	Part of PPPRs
Technical reports	BCC/PIU, technical experts (consultants)	As appropriate	-
Mid-term Evaluation	External Consultant, FAO independent evaluation unit in consultation with the project team including the FAO GEF Coordination Unit and other partners	At mid-point of project implementation	USD 70 000 for external consultant. In addition the agency fee will pay for expenditures of FAO staff time and travel
Final evaluation	External Consultant, FAO independent evaluation unit in consultation with the project team including the FAO GEF Coordination Unit and other partners	At the end of project implementation	USD 70 000 for external consultant. In addition the agency fee will pay for expenditures of FAO staff time and travel

Type of M&E Activity	Responsible Parties	Time-frame	Budgeted costs
Terminal Report	BCC/PIU, cleared by FAO.	At least two months before the end date of the Execution Agreement	-
Total Budget			USD 568,600

PROVISION FOR EVALUATIONS

An independent Mid-Term Evaluation (MTE) will be undertaken towards the end of the third project year to review progress and effectiveness of implementation in terms of achieving project objectives, outcomes and outputs. Findings and recommendations of this evaluation will be instrumental for bringing improvement in the overall project design and execution strategy for the remaining period of the project's term if necessary. FAO will arrange for the MTE in consultation with BCC. The evaluation will, *inter alia*:

- (i) review the effectiveness, efficiency and timeliness of project implementation;
- (ii) analyze effectiveness of partnership arrangements;
- (iii) identify issues requiring decisions and remedial actions;
- (iv) propose any mid-course corrections and/or adjustments to the implementation strategy as necessary; and
- (v) highlight technical achievements and lessons learned derived from project design, implementation and management.

An independent Final Evaluation (FE) will be carried out three months prior to the terminal review meeting of the project partners. The FE would aim to identify the project impacts and sustainability of project results and the degree of achievement of long-term results. This Evaluation would also have the purpose of indicating future actions needed to expand on the existing Project in subsequent phases, mainstream and up-scale its products and practices, and disseminate information to management authorities responsible for the management of fisheries and marine resources and environment to assure continuity of the processes initiated by the Project.

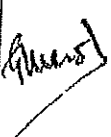
Part III: Approval/Endorsement by GEF Operational Focal Point(s) and GEF Agency(ies)

- A. Record of endorsement of GEF operational point(s) on behalf of the government(s): (Please attach the Operational Focal Point endorsement letter with this form. For SGP, use the OFP endorsement letter).

Name	Position	Ministry	Date (MM/dd/yyyy)
Dr. Carlos Avelino Manuel CADETE	National Director of Statistics, Planning and Studies Office	Ministry of Environment, Angola	September 20, 2012
Mr. Teofilus NGHITILA	Director of Environmental Affairs	Ministry of Environment and Tourism, Namibia	August 30, 2012
Mr. Zaheer FAKIR	Acting Deputy Director-General Department of Environmental Affairs	Ministry of Water and Environmental Affairs, South Africa	August 31, 2012

- B. GEF Agency(ies) Certification

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for CEO endorsement/approval of project

Agency Coordinator, Agency Name	Signature	Date (month, day, year)	Project Contact Person	Telephone	Email Address
Gustavo Merino Director, Investment Centre Division Technical Cooperation Department FAO Viale delle Terme di Caracalla 00153, Rome, Italy		November 13, 2014	Cassandra De Young Fishery Planning Analyst	+390657054335	Cassandra.deyoung@fao.org
Jeffrey Griffin Senior Coordinator FAO GEF Coordination Unit Investment Centre Division FAO				+3906 57055680	GEF-Coordination-Unit@fao.org

Annex 1: **Project Results Framework.** (either copy and paste the framework from the Agency document, or provide reference to the page in the project document where the framework could be found)

Please see Appendix 1 in the FAO Project Document on pages 66-76. A detailed results budget is presented in Appendix 3 on pages 87-98.

Annex B: Responses to Project Reviews (from GEF Secretariat and GEF Agencies and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF)

STAP Review – comments at PIF	Response
1. In the focal strategy framework (I.A.), the proposal appears to confuse outcomes and outputs. Some of the outputs indicated in Part A, appear to be outcomes.	Section I.A. is text taken from the Adaptation Strategy for LDCF/SCCF Framework (GEF-5). Not developed by the project. The Framework has recently been improved, and we believe STAP concerns have been addressed.
2. In the project framework (I.B.), STAP has the following observations: a. It would be useful to revisit the project framework, particularly the outcomes and outputs as some of these appear to be project activities. In addition, it would be useful to review these sections during the project development to ensure that outcomes represent the major downstream achievements to which the project will contribute; outputs are the project deliverables by the end of the project period, and; the activities are the processes leading to outputs.	The comment has been taken into consideration when developing the results framework – pages 66-76.
b. The expected output 1.1.3 indicates that vulnerability assessments will be incorporated into the Benguela Current Commission SAP, and that relevant adaptation plans and actions are updated every 3-5 years. It would be useful to clarify further how will this be accomplished, and whether there are any institutional mechanisms being proposed that will allow for adaptation actions to be undertaken on an on-going basis.	<p>The wording of output 1.1.3 has been modified to “Vulnerability assessments incorporated into the BCC and national planning and managing frameworks”. The intention here is to ensure that this is not a one-off exercise, and that vulnerability assessments are done on a regular basis, as new information becomes available. What will be incorporated in the SAP itself are actions informed by the assessments. A new/updated SAP covering the period 2015-2019 has just been approved.</p> <p>What will be done to get to this output is described in the project document as follows:</p> <p>As a part of ensuring that the project outputs are sustained and that vulnerability assessment becomes an integral part of future planning processes and programmes, the most effective means to of integrating fisheries vulnerability assessments into relevant planning and management will be identified. These could include incorporating vulnerability assessments as a requirement in planning and management guidelines and procedures of the BCC and relevant national authorities. The project will support the creation or strengthening of existing national co-ordinating mechanisms to ensure cross-sectoral information flow for the duration of the project and thereafter. Sustainability of institutions and mechanisms will be an important consideration in this output and emphasis will be placed on utilising existing bodies and processes as far as possible,</p>

STAP Review – comments at PIF	Response
	<p>strengthening the existing ones when appropriate. At the regional level, BCC will establish a regional working group on “Incorporation of vulnerability assessments and adaptation plans for climate change”, with a fixed term of operation, in order to promote improved co-ordination of vulnerability assessments, planning and advice on project prioritisation across all fisheries/sectors, both during and after the project. The working group will address regional coordination but will also take advantage of the national multi-sectoral representation on the Commission to further national discussions and planning.</p>
<p>c. For the expected outcome 2.1, it will be important to demonstrate vulnerability reduction in targeted fishing communities through objective measures, in addition to perceptual measures. At the moment, the indicator proposed is a purely perception-based index of vulnerability & risk.</p>	<p>The project targets to have at least 9 high-risk local fisheries or communities (7 in Angola, and 2 in South Africa) with approved adaptation action plans being implemented. Realistic and objective measures can only be defined when the vulnerability has been assessed, and specific measures have been identified/selected.</p> <p>Significant changes in the vulnerability of fishery resources and ecosystems, as well as significant improvements in livelihoods and food security of coastal inhabitants, will probably only be detected after the project itself has ended – given the duration.</p>
<p>d. It would be desirable to establish the baseline conditions in terms of fish catch, production and incomes of fishing communities.</p>	<p>Please see response above.</p> <p>The baseline will be established as part of the vulnerability assessments undertaken during the project. It was not possible to carry this out during project preparation.</p>
<p>e. What is the current baseline in terms of practices to deal with climate variability? To what extent will the current approaches be (or not be) adequate in the context of future climate change? How are best practices being determined (outputs 3.2.1, 3.2.2 and 3.2.3)?</p>	<p>Commercial national fisheries in all three countries are actively managed using science-based approaches. A suite of different management measures is used in these fisheries, with an emphasis on output control such as Total Allowable Catch (TAC) in Namibia and South Africa and also for some fisheries in Angola. The output controls are complemented with other measures including effort regulation, gear regulations, spatial and seasonal closures and others.</p> <p>At local level, fishing practices of small-scale artisanal and subsistence fishery communities are based on local ecological knowledge, available fishing equipment, etc. Communities respond to changes in fish distribution and abundance by employing strategies such as changing location of fishing grounds and adapting fishing gear and equipment. The preliminary vulnerability assessment of coastal fishing</p>

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	<p>communities in the region has revealed that the artisanal and subsistence fishers and their families are generally the poorest, least mobile and least organized, and their opportunities for alternative sources of income the most limited.</p> <p>The current approaches are largely reactive and longer-term climate change and variability are not taken into account at present in management or sector planning. This weakness has already led to some unexpected shocks and negative impacts in all countries through distributions shifts, changes in abundance of target species.</p>
f. No indicators have been suggested for project components #2 and #3 that deal with the critical aspects of piloting improved fisheries practices and capacity-building.	Appendix 1 includes a number of indicators that specifically address capacity-building and improved fisheries management and governance, in the context of climate change and variability.
<p>3. Under section B.1, STAP has the following observations:</p> <p>a. While the problem statement is well defined, STAP recommends citing references (published and anecdotal) on the vulnerability and adaptive capacity of the fisheries sector, and communities, to climate change.</p>	It is our view that the project document is now adequately referenced.
b. The proposal also identifies the importance of multiple stresses (economic, environmental) faced by the fisheries sector in the region (page 9). STAP suggests describing further these stresses in the proposal. Furthermore, STAP recommends further definition of the possible interactions between climate change and other stresses as climate change will no doubt compound present challenges.	These points have been addressed in Section 1.1 .2. Multiple stresses will also be taken into account in the vulnerability assessments (Component 1) and planning of adaptation actions (Component 2).
c. It would be useful to have further clarification on what is the relevance of a framework of ecosystem approaches? Is the framework being adopted in the baseline, or being proposed to be adopted as a part of climate change adaptation? A further description of the "ecosystem-based" approach would be useful in this section.	A brief explanation of the ecosystem approach and explanation of its 'baseline' role has been included in Section 2.1.
d. What is the relative importance of different biophysical and socio-economic factors in determining current vulnerability? The proposal focuses largely on the biophysical factors (page 10). However, STAP suggests also focusing on socio-economic factors given their importance in understanding comprehensively the dimensions of climate vulnerability, such as changes in demand, development pressures on coastal regions, and other economic activities.	It is the opinion of BCC and FAO that the project document represents an appropriate and necessary balance between biophysical and socio-economic factors and actions throughout.
e. Similarly, STAP also recommends adding	Achieving this would require intensive and costly bio-

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estimates of marine catch potential under climate change scenarios, if possible specific to the Benguela Current Large Marine Ecosystems (BCLME). This information would further describe the trends influencing the fisheries sectors, and the fisher-folks' vulnerabilities to climate change.	physical modelling exercises that are beyond the resources of this project. However, estimates of likely responses of fishery resources identified as being the priorities for the project, using best available scientific evidence, will be undertaken as a part of the planning of adaptation actions
4. STAP pays careful attention to section B.2 as it considers explicit project baselines and indicators an important component of results based management. Therefore, the full-proposal will need to include the initial status of climate conditions, vulnerability, adaptive capacity as defined in the "Updated Results-Based Management Framework for the Least Developed Countries Fund and the Special Climate Change Fund and Adaptation Monitoring and Assessment Tool" GEF/LDCF.SCCF.9/Inf.4. For example, it would be useful to specify the outcome and output indicators for all three components. Currently, outcome indicators are defined only for the first two components. Likewise, STAP recommends adding baseline data in the "adaptation benefits" section, as well as indicators for each adaptation benefit to track the intended adaptation outcomes. This will help strengthen the scientific validity, and define more explicitly the additional cost rationale.	Done, as far as possible with the information available, in Sections 1.1, 1.2 a) and b), and Appendix 1 of the project document.
5. STAP recommends the project proponents describe explicitly the specific adaptation actions and measures in the full proposal. Currently, this lack of specificity prevents STAP from understanding fully the proposed interventions and their scientific rationale. For instance, STAP believes the proposal raises many statements about vulnerability and resilience (including ecosystem resilience) without adequately discussing the characteristics of vulnerability & resilience that may be observed, or monitored. Essentially, the proposal appears silent on the way in which climate change might pose an additional burden to the region and the way in which climate change may be a risk for development outcomes. STAP recommends addressing further these points in the proposal development: 1) Which of the current risk factors will be exacerbated? 2) Will there be new risks? 3) What might ocean acidification cause? 4) Are there coral colonies? 5) To what extent is the marine ecosystem productivity driven by nutrient delivery from inland?	The specific adaptation actions will be determined within the adaptation planning to be undertaken in Component 2 and it would be premature to attempt to prescribe them in the project document. Some examples of possible adaptation actions have been described in the description of Component 2, especially Outcome 2.1, in Section 2. Ocean acidification is currently considered less of a threat in the Benguela region than impacts of temperature changes on the ecosystem and incidence of extreme events, however support to the monitoring of local variations in ph levels is foreseen to support aquaculture and fisheries development and management.
6. Additionally, STAP encourages further clarification on why early warning systems are	This has been clarified in the project document and references are made to early warning system

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not considered as part of the baseline programme. Are these cyclone early warning systems or marine / ocean information systems?	baselines in Section 1.1 c) and Appendix 1.
7. Under component 1, STAP recommends for the project proponents to consider the potential positive impacts of climate variability and change on the fisheries sector. For example, some communities may benefit, or be less affected by, the changes in fish distribution. By accounting for these potential scenarios, it may assist the project to develop more targeted policies that strengthen its adaptation interventions in the fisheries and development sectors. (Refer to Badjeck, M.-C. et al. "Impacts of climate variability and change on fishery-based livelihoods". Marine Policy 34 (2010) 375-383.).	The project document refers in several places to the possibility that, in addition to threats, climate change could also create new opportunities. Consideration of potential positive impacts will be included in the vulnerability assessments and adaptation planning in Components 1 and 2.
8. For component 1 and 2, STAP recommends emphasizing a multi-sector approach to adaptive management in order to minimize the negative externalities that may arise from the adaptive strategies used by other sectors (e.g. agriculture, water, coastal management). For example, irrigation and flood control may disrupt inland fisheries, while coastal protection approaches may enhance fisheries. (Again - refer to Badjeck, M.-C. et al. "Impacts of climate variability and change on fishery-based livelihoods". Marine Policy 34 (2010) 375-383.) This multi-sector approach is perhaps better known within FAO as an "ecosystem approach to fisheries and ecosystem approach to aquaculture" (EAF/EAA). STAP recommends drawing further from FAO's EAF/EAA and its holistic approach towards analysis/response mechanism for climate resilient fisheries. (Refer to http://www.fao.org/fishery/topic/16035/en and, De Young C., et al. "Building Resilience for Adaptation to Climate Change in the Fisheries and Aquaculture Sector". FAO-OECD Workshop. April 2012.).	This is the intention of the project, which is demonstrated by the emphasis placed throughout the project document on inter-agency/inter-sectoral cooperation and integration.
9. Under Component 2, the intention to pilot improved climate-resilient fisheries practices ¹ is not clear. Therefore, STAP suggests identifying some practical examples of what is intended, accompanied by data on their effectiveness obtained from practices in other countries, including FAO's recent experiences in formulating similar projects. Refer to http://www.fao.org/fishery/topic/13789/en .	See response to Point 5.
10. Although there is an intergovernmental body (the BCC) that is responsible for the project area, STAP believes the institutional and	This is not considered a major concern and BCC and FAO consider that the BCC is well-placed to address trans-boundary issues.

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governance issues may be more complex as a result of the trans-boundary nature. If this is a potential concern for the project proponents, STAP recommends noting this as a potential risk, and defining mitigation measures.	
<p>11. The project appears to lack a description of the connection between the BCC and the Southern Africa Development Community (SADC) that promotes regional economic integration in the 14 SADC countries. The BCC is a project which is connected to SADC (the exact link is unclear) but what is most important is that SADC itself has several region wide policies addressing the natural resources sector including fisheries, energy, and other climate change mitigation and adaptation relevant policies that are mandatory for the SADC countries to transpose to national legislation.</p> <p>Thus, STAP proposes for the project proponents to consider the desirability of some form of benefit sharing at the sub-regional, or SADC level, either in terms of economic value, or transfer of actual marine harvests, to mitigate future opportunity costs experienced by one country (e.g. fish catches) due to climate change, and related impacts, by offsetting windfall increases (e.g. due to stock migration to cooler waters) experienced by one or both of the other countries. STAP believes the BCC is ideally placed to use actual stock monitoring and scenario building to offer informed choices to its member countries regarding potential benefit sharing and examination of the maintenance of equity within coastal communities across the large marine ecosystem.</p>	<p>A paragraph on SADC and the connection between SADC and BCC has been included in Section 1.1.3.</p> <p>At this stage there is good scientific cooperation but joint management of fish resources is not yet taking place and is not likely to be implemented within the lifespan of the project. If the project does conclude that there will be a need for benefit and cost sharing, for example in the vulnerability assessments and exploration of adaptation options for national and regional fisheries, it will evaluate the trade-offs required and advise the countries accordingly.</p>
12. STAP is apprehensive that the Science Plan of the BCC does not appear to sponsor any form of scenario-building activity. Similarly the existing BCC State of the Ecosystem Information System (SEIS) does not have a component linked to data management that can use climate change-related data to inform models for use in participatory discussions with local stakeholders. STAP recommends for this form of participation, informed by science, to be included more explicitly within the project design.	Scenario building is one tool for strategic planning, The more current practice in fisheries management in BCC and its members is to explore possible future trends and scenarios based on the outcomes of stochastic models. This is likely to remain the preferred approach for the national and regional commercial fisheries but it is recognized that scenario-building could be a valuable tool, particularly at the local and community level, and the approach is now referred to in Section 2 in the description of Outcome 2.1

Comments by Germany on LDCF/SCCF Work Programme November 2012	Response
Germany welcomes the FAO's proposal on the Benguela Current Fisheries System that addresses the vulnerability of people depended on fisheries in the three countries. Yet,	Incorporated into project document

Comments by Germany on LDCF/SCCF Work Programme November 2012	Response
Germany recommends that the programmatic approach of funding by LDCF and SCCF and the contribution to the three countries are described in more detail.	
In addition, the proposed project could benefit from the GIZ project "Transboundary Water Management in SADC" where important lessons on consultation with stakeholders in different countries have been made. Experiences gained within this project should be taken into account.	Well noted. As indicated in section 4, the project will establish links with this and other related ongoing and planned activities in the region.
With regard to output 3.2.1 Germany suggests to increase the number of stakeholders trained in understanding climate change risks and adaptation practices, e.g. through a mediator or training of trainers approach. The inception and national workshops proposed and agreed on the implantation of exchange programmes as an important means of training and capacity-building.	This has been included as an activity and will involve at least 60 stakeholders to the targeted number of people receiving training, in addition to the 300 from communities and 150 from national stakeholder groups, that will receive training from the project.

Comments by US on LDCF/SCCF Work Programme November 2012	Response
We appreciate the ecosystem-based and transboundary approach to this proposal. Given the interactions between the Benguela Current and the Agulhas Current, as well as related work being carried out by the Agulhas-Somali Current LME, we recommend that FAO consider consultations with the UNDP/GEF Agulhas-Somali Current LME project.	Coordination with future ASCLME SAP implementation phase is foreseen in project. Please see Section 4.9 of the project document.
The proposal acknowledges that there are similarities but also differences in the fishing approaches of the three countries, as well as within the individual countries. It also highlights the traditionally different roles that men and women tend to play. We request the FAO to explain how the project activities will be tailored to meet the needs of different groups (e.g., commercial vs. artisanal and subsistence fishers, fishers vs. fish processors, men vs. women).	See Section B.1 above. The proposed project has purposefully allowed for the inclusion of different subsectors (ranging from commercial to subsistence), from capture to post-harvest activities, and through to dependent communities. The differentiated roles of men and women as well as gender-sensitive vulnerabilities and appropriate adaptation actions has been and will be taken into consideration in vulnerability assessments to be undertaken during project year 1 and the subsequent planning of actual adaptation activities within the most vulnerable communities and fisheries at regional and national level.
This proposal highlights the importance of participatory processes and section B5 identifies an impressive and diverse list of stakeholders. However, it is unclear to us how subsistence fishers will be engaged. We also notice that environmental groups are not explicitly identified in the stakeholder list. We strongly encourage FAO to engage subsistence and artisanal fishers and environmental groups throughout the planning	Agreed. The small-scale sector and dependent communities are the main targeted group of the proposed project as they have been deemed the most vulnerable according to the initial vulnerability assessment. VA assessments and adaptation plans will be developed directly with the subsectors and communities, including concerned CBO and ENGO. See Table 1.1 list of groups and organizations to be involved in project. Additional groups to be engaged will be identified during full project implementation.

and implementation of this project.	
Given the importance of climatic and oceanographic data and forecasts to understanding climate risk, we request that FAO engage the appropriate national and regional hydrometeorological organizations, including those of Angola, Namibia and South Africa and the African Centre of Meteorological Applications for Development (ACMAD).	<p>Agreed. The National Fisheries Authorities in the three countries already collaborate with the meteorological organizations in the countries. The project will build on these existing partnerships to make sure these partners are involved in the project.</p> <p>Kindly refer to Table 1.1 of project document for list of hydrometeorological organizations with whom the project will work to support adaptation planning and improvement of warning systems.</p>

Annex C: Status of implementation of project preparation activities and the use of funds⁶

	PPG GRANT APPROVED AT PIF:			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF/NPIF Amount (\$)</i>			
		<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Activity 1. Stakeholders consultations and consensus building at national and regional.	LDCF SCCF	9,600 45,400	9,600 45,400	0 0
Activity 2. Establishment of vulnerability assessment methodologies for the Benguela Current fisheries social-ecological systems	LDCF SCCF	800 4,200	800 4,200	0 0
Activity 3 Policy and institutional analysis for integrating fisheries climate change considerations into fisheries policies, planning and programmes	LDCF SCCF	3,200 16,800	3,200 16,800	0 0
Activity 4 Identification of existing best adaptation practices for fisheries socio-ecological systems	LDCF SCCF	2,720 10,280	2,720 10,280	0 0
Activity 5 Analysis of execution options, fiduciary standards assessment	LDCF SCCF	400 2,100	400 2,100	0 0
Activity 6 Design of project components, and analyses of cost-effectiveness and sustainability	LDCF SCCF	3,280 16,220	463 16,220	2,817 0
Total	LDCF SCCF	20,000 95,000	17,183 95,000	2,817 0

Annex D: Calendar of expected reflows (if non-grant instrument is used)

N/A

