

SUMMARY

Annual Action Programme 2018 – part 2 in favour of Eastern Africa, southern Africa and the Indian Ocean to be financed from the 11th European Development Fund

1. Identification

EDF allocation	11 th EDF EA-SA-IO Regional Indicative Programme Decision C(2015) 3379 of 22/05/2015
Total cost	EUR 58 million of EU contribution
Basic act	Council Regulation (EU) 2015/323 of 2 March 2015 on the financial regulation applicable to the EDF

2. Regional background

The EA-SA-IO region comprises 25 countries with very diverse political and socio-economic backgrounds. These countries are members of one or more of the five Regional Organisations Duly Mandated for cooperation under the EDF (DMROs): Common Market for Eastern and Southern Africa (COMESA), East African Community (EAC), Intergovernmental Authority on Development (IGAD), Indian Ocean Commission (IOC) and Southern African Development Community (SADC).

This AAP aims at better south-south migration management, equitable and sustainable fisheries and a sustainable commercial aquaculture in the Lake Victoria basin. These are key areas for a region that overall counts 14 low income countries and 10 middle income countries, of which 6 in the lower category. The region shows high levels of poverty and inequality, and the income gap between countries is increasing. Growth picked up again in 2017 though mostly in relation with the easing of drought conditions and an improving external environment. The fundamentals however remain weak and several countries are in fact expected to see per capita income decline as timid GDP growth is outpaced by population growth. At the same time, instability and political uncertainty is affecting also larger economies, restraining the prospects of recovery.

In addition, the combination of political instability and conflicts, economic crisis, natural disasters and structurally high levels of unemployment, particularly among youth and women, has contributed to a profound transformation of migration flows in recent years in the region. Strategic and coordinated strengthening of migration management systems at regional and national level is therefore a necessity.

At the same time, one of the main sectors contributing to economic growth and employment, as well as food security, is fisheries and aquaculture though the sector's potential is restrained because of weak sector organisation and governance, deficient management of the resource and insufficient access to skilled labour and to business opportunities.

3. Summary of the Action Programme

- 1) Background: The Regional Indicative Programme (RIP) for the EA-SA-IO region is structured around three priority areas: Regional economic integration, peace and security and regional stability and regional natural resource management.

A central issue to the stability of the region and also for its economic integration and development is the correct management of the mixed and labour migration flows. However, there is a lack of reliable migration data, seriously hampering informed strategy and policy development and monitoring of migration trends.

At the same time, nationals from various sub-regions are increasingly migrating to other regions, generally in informal contexts and without adequate social protection frameworks. In addition, human rights violations and lack of protection are a stark reality in the region. Vulnerable migrants and refugees and internally displaced persons are systematically exposed to abuse and exploitation. In that context, migration is unable to realise its development potential.

The development potential of the fisheries sector is hampered by overfishing and the degradation of the coastal and inland small-scale fisheries and their ecosystems, jeopardising the livelihoods of the fishing communities, in particular in small-scale fisheries. This is compounded by a high incidence of illegal, unreported and unregulated (IUU) fishing because of inadequate control and insufficient resources, as well as lack of cooperation and collaboration between national authorities.

Considering the constraints on capture fisheries and the rising demand for fish due to population growth, increasing incomes and urbanisation, aquaculture offers good opportunities. The sector's growth is however held back by a number of constraints such as limited access to commercial networks and vocational skills training. In addition, there is need for stronger capacity for managing risks associated with fish diseases, protection of biodiversity and fish farms' uncontrolled spatial distribution and use of natural resources.

2) Cooperation related policy of beneficiary region:

The African Union has adopted several policy frameworks supporting the ideal of free movement and in 2015 it officially adopted the Labour Migration Governance for Development and Integration, (the Joint Labour Migration Programme – JLMP), as part of its Declaration on Employment, Poverty Eradication, inclusive development in Africa. In June 2015, the AU Summit Declaration on Migration announced the adoption of a regional free movement regime by 2018, including through the harmonisation of the migration regimes of the Regional Economic Communities (REC) and superseding of national legislations.

The policy frameworks on marine and inland fisheries of the regional organisations of eastern and southern Africa all subscribe to responsible and sustainable use of the resource and recognise the importance of safeguarding small-scale fisheries, in particular for its contribution to food security. This goes hand in hand with combating and deterring (IUU) Illegal, Unreported and Unregulated fishing. In addition, the Common Market of Eastern and Southern Africa (COMESA) also emphasises the importance of unlocking investments and industrialisation leading to job creation.

With regard to aquaculture in Lake Victoria, as a case in point, the EAC has adopted a Regional Strategy and Implementation Plan for Sustainable Aquaculture (2015-2020). This sets targets for aquaculture development in terms of increase in aquaculture as well as fish-feed production.

3) Coherence with the programming documents:

The Regional Indicative Programme (RIP) for Eastern Africa, Southern Africa and the Indian Ocean (EA-SA-IO) for the period 2014-2020 establishes as a priority, both at sub-regional level and across regions, obtaining regional stability as well as strengthening the regional management of natural resources.

The support to migration management is foreseen under chapter IV of the aforementioned RIP. The objective is to improve the management of mixed migratory flows by building capacities of involved institutions and civil society organisations and providing protection and development

to refugees, internally displaced persons and other migrants, facilitating legal migration and tackling irregular and forced migration. This action focussing on southern Africa is developed in complementarity with the sub-regional actions taken forward by IGAD with regard to managing migration flows from the Horn of Africa.

Under the priority area of regional management of natural resources, chapter II-B establishes support to the integrated management and development of the shared fishery resources of the Lake Victoria Basin. Chapter IV-F then foresees region-wide support to sustainable fisheries as a contribution to the blue economy.

4) Identified actions:

The programme on Strengthening Institutional Mechanisms for Migration Management in the Southern Africa Region aims at facilitating legal migration and preventing irregular migration, focusing on south-south migration flows. The comprehensive approach takes into account the development-security-migration nexus and identifies positive spill-over effects of migration on regional integration and regional economic development. The action's specific objectives are to improve options for legal labour mobility in the Southern Africa/Indian Ocean region and strengthen migrant workers' protection from abuse; as well as to strengthen informed decision-making on and management of mixed migration flows, including protection of vulnerable migrants.

The overall objective of the programme on the Contribution of Sustainable Fisheries to the Blue Economy is to enhance equitable economic growth by promoting sustainable fisheries. It specifically aims at supporting sustainable management and development of fisheries, while addressing climate change resilience and enhancing marine biodiversity.

The action for the EU-EAC True Fish Farming Story in Lake Victoria Basin pursues the goal of contributing to develop competitive, gender equitable and sustainable commercial aquaculture in the Lake Victoria basin. This then implies improving the access to commercial networks for aquaculture-related businesses, increasing the availability and quality of local skilled workers for the development of aquaculture-related businesses and improving the sustainability and bio-security of regional aquaculture production systems.

5) Expected results:

The Migration Management programme expects as key results that rights-based legal and efficient channels of labour migration and mobility (including appropriate protection measures for migrant workers) will be promoted and put in place, that a Southern African and Indian Ocean migration observatory will be established and fully operational and that evidence-based management strategies and policies to address mixed migration challenges, including assurance of appropriate protection frameworks for vulnerable migrants, will be formulated and implemented.

The main expected results of the programme on Sustainable Fisheries are enhanced regional policies and institutional frameworks so as to secure more sustainable fisheries management and contribute to marine biodiversity and climate resilience, strengthened capacity to prevent, deter and eliminate IUU fishing in the EA-SA-IO region and supported fisheries management and governance initiatives in small-scale inland and marine fisheries.

The project on fish farming in Lake Victoria is expected to lead to strengthened commercial networks for competitive aquaculture-related businesses, upgraded practical training delivery by formal training institutions and strengthened linkages between training institutions and with aquaculture business operators. It will also deliver on strengthened aquatic animal health conditions, Lake Victoria zoning for an orderly and sustainable cage culture and improved protection of biodiversity.

6) Past EU assistance and lessons learnt:

Across the board, several lessons have been learnt from implementation of programmes in related areas under the 10th EDF where the assistance was implemented mainly through the Secretariats of the regional organisations but it was "difficult to use in an efficient and effective way (...) given their limited absorption capacity". By relying for implementation on international and regional organisations with specific sector expertise, the AAP addresses this issue and applies the principle of direct access, increasing the efficiency of implementation.

However, regional organisations have a role to play as past experiences has shown that their added value lies in establishing harmonised systems and policies as well as collaboration mechanisms to address common challenges, and can address the gap between regional policies and national level implementation. Therefore the relevant regional organisations are duly associated to implementation for their areas of competence.

With regard to small-scale fisheries and aquaculture enterprises it is established that subsidised inputs without regard to the business case are not sustainable but rather assisting existing commercially sustainable businesses to grow and to enter the market, is more likely to be successful in the medium and long term.

7) Complementary actions/donor coordination:

With regard to migration management in Southern Africa, the programme will build on the various existing cooperation agreements between UN agencies, the International Centre for Migration Policy Development (ICMPD) and the regional organisations on migration management, labour migration policies, combating trafficking and data management. This is also coherent with various EU interventions such as the Pan-African project "Enhancing African capacity to respond more effectively to transnational organised crime (TOC)", 2016, and the Global Action against Trafficking in persons and Smuggling of migrants (GLO.ACT) and the Global Action Programme on Migrant Domestic Workers and their Families. Furthermore synergies will be developed with existing Migration Observatories in Africa and with the ongoing consultative processes with COMESA and SADC member states.

Concerning sustainable fisheries, various interventions from the EU and other donors are taken into account. In particular the initiatives of the Inter-African Bureau for Animal Resources, improving the governance of the sector and food and nutritional security, are complementary to the present action. Of particular relevance are the Sustainable Fisheries Partnership Agreements between the EU and Mauritius, Madagascar and Seychelles under the Common Fisheries Policy which include specific funding for sectoral support.

The action on aquaculture in Lake Victoria is complementary to several other ongoing projects, with which coordination will be sought. In particular the World Bank is planning in close coordination with LVFO and EU the Lake Victoria Environmental Management Project. This action is also complementary to the above programme on sustainable fisheries and the EAC project on integrated water management in Lake Victoria, both being part of the Regional Indicative Programme for the region.

4. Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

The individual operations financed under these actions shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation of the operations.

5. Cost and financing

<i>Peace and security and regional stability</i>	
Strengthening Institutional Mechanisms for Migration Management in the Southern Africa Region	EUR 20 million
<i>Regional natural resources management</i>	
Contribution of Sustainable Fisheries to the Blue Economy	EUR 28 million
EU-EAC True Fish Farming Story in Lake Victoria Basin	EUR 10 million
Total EU contribution to the measure	EUR 58 million



EN

This action is funded by the European Union

ANNEX 1

of the Commission Decision on the Annual Action Programme 2018 – part 2 in favour of Eastern and Southern Africa and the Indian Ocean to be financed from the 11th European Development Fund

Action Document for Strengthening Institutional Mechanisms for Migration Management in the Southern Africa Region

1. Title/basic act/ CRIS number	Strengthening Institutional Mechanisms for Migration Management in the Southern Africa Region CRIS number: RSO/FED/038-810 Financed under the 11 th European Development Fund (EDF)	
2. Zone benefiting from the action/location	The action shall be carried out at the following location: Southern Africa and the Indian Ocean (covering 16 countries: Angola, Botswana, Comoros, Democratic Republic of the Congo (DRC), Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, Tanzania, Zambia and Zimbabwe)	
3. Programming document	Regional Indicative Programme (RIP) for Eastern Africa, Southern Africa and the Indian Ocean (EA-SA-IO) 2014-2020	
4. Sector of concentration	Peace, security and regional stability	DEV. Aid: YES
5. Amounts concerned	Total estimated cost: EUR 25 675 395 Total amount of EDF contribution EUR 20 000 000 This Action will be co-financed in joint co-financing by: <ul style="list-style-type: none"> • International Organisation for Migration (IOM) for an amount of EUR 3 068 600; • International Labour Organisation (ILO) for an amount of EUR 1 166 795 ; • United Nations Office on Drugs and Crime (UNODC) for an amount of EUR 1 000 000; • United Nations High Commission for Refugees (UNHCR) for an amount of EUR 440 000. 	
6. Aid and implementation modality	Project Modality: Indirect management with the International Labour Organisation (ILO)	
7 a) DAC codes	13010 Population policy and administrative management; 16020 Employment policy and administrative management	
b) Main Delivery Channel	41000 United Nations agencies (UN)	

8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	×
	Aid to environment	×	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	×	<input type="checkbox"/>
	Trade Development	<input type="checkbox"/>	×	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	×	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	×	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	×	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	×	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	×	<input type="checkbox"/>	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	N/A			
10. Sustainable Development Goals (SDGs)	<p>Primary SDG 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all</p> <p>Secondary SDGs: 5. Achieve gender equality and empower all women and girls; 10. Reduce inequality within and among countries; 17. Strengthen the means of implementation and revitalise the Global Partnership for Sustainable Development</p>			

SUMMARY

The Regional Indicative Programme (RIP) for Eastern Africa, Southern Africa and the Indian Ocean (2014–2020) includes among its objectives the facilitation of legal migration and the prevention of irregular migration. On that basis, this action focuses on south-south migration flows. The comprehensive approach proposed by this programme addresses the specific objectives outlined in the RIP, taking into account the development-security-migration nexus and identifying positive spill-over effects of migration on regional integration and regional economic development.

The action's specific objectives are: (1) to improve options for legal labour mobility in the Southern Africa/Indian Ocean region and strengthen migrant workers' protection from abuse (in the context of intra- and inter-regional labour migration); (2) to strengthen informed decision-making on and management of mixed migration flows (including improved protection of vulnerable migrants in the Southern African and Indian Ocean region).

Both objectives include measures to protect the interests and rights of vulnerable groups of migrants, including migrant workers, refugees, internally displaced people, unaccompanied minors, and victims of trafficking of persons and abuse.

1 CONTEXT

1.1 Regional context

1.1.1 Public Policy Assessment and EU Policy Framework

The African continent is generally characterised by diverse migratory patterns and has a long history of intra-regional and inter-regional migration flows. The African Union (AU) has adopted several policy frameworks supporting the ideal of free movement¹, and in 2015, it officially adopted the Labour Migration Governance for Development and Integration, (the Joint Labour Migration Programme – JLMP), as part of its Declaration on Employment, Poverty Eradication, inclusive development in Africa. In June 2015, the AU Summit Declaration on Migration announced the adoption of a regional free movement regime by 2018, including through the harmonisation of the migration regimes of the Regional Economic Communities (REC) and superseding of national legislations.

In Southern Africa and the Indian Ocean, the regional organisations Common Market for Eastern and Southern Africa (COMESA), the Southern African Development Community (SADC) and the Indian Ocean Commission (IOC) have distinct migration regimes. COMESA has adopted free movement as its ultimate goal, to be implemented through a phased approach that covers labour movement, services, right of residence and establishment aimed at facilitating trade and investment for development purposes. SADC has preferred to follow the route of facilitation of movement and management of irregular migration, including fighting against trafficking, illegal migration and smuggling of migrants and supporting harmonised, rights-based labour migration policies². The Tripartite Free Trade Agreement between COMESA, SADC and the East African Community (EAC), launched in June 2015, focuses essentially on the mobility of business persons and trade in services. For the IOC, free movement is a priority area of intervention in its Strategic Development Programme (2013-2019).

At national level, systematic legislation on specific issues has been developed over the past twenty years but only few Southern African and Indian Ocean (SA-IO) countries manage migration on the basis of formulated policies, whether comprehensively or per migration category. Existing policies are also unevenly aligned to international, regional and sub-regional standards and frameworks.

The complexity of contemporary migration is acknowledged by all regional integration organisations, as evidenced in the New York Declaration on Migration of September 2016³. This followed the adoption of the Sustainable Development Goals which explicitly incorporate various aspects of migration. Fully aligned to the United Nations 2030 Agenda for Sustainable Development, the new European Consensus on Development⁴ recognises the positive contribution of migration and mobility to inclusive growth and sustainable development. This is confirmed in the European Agenda on Security⁵ where the strengthening of capacities within partner organisations and countries is promoted to address challenges that impact security. Similarly, the European Agenda on Migration⁶ advocates for tackling the root causes of irregular migration and forced displacement to strengthen safety and security in the global context. The Joint Valletta Action Plan (November 2015) sets out a number of priority actions to address the current challenges.

¹ The African Charter on Human and People's Rights (2005); The African Common Position on Migration and Development (2006) and the Migration Policy Framework for Africa (2006).

² SADC Labour Migration Action Plan 2016-2019; SADC Labour Migration Policy Framework, 2014; Article 19 of the SADC Protocol on Employment and Labour, 2014.

³ <http://refugeesmigrants.un.org/declaration>

⁴ OJ C 210 of 30.6.2017.

⁵ COM (2015) 185 final of 28.4.2015.

⁶ COM (2015) 240 final of 13.5.2015

Regarding gender-sensitive data, SADC (2014) research on trafficking in persons shows that women and girls are the most vulnerable gender groups. US State Department (2016) Trafficking in Persons report lists most countries in the region as countries with significant incidences of trafficking and limited responsive measures in place. UNODC (2005) identifies South Africa is the primary destination for trafficked women, boys and girls, mainly for commercial sexual exploitation, forced labour and labour exploitation.

Regarding gender-relevant policy frameworks, at the regional level, the Protocol on Gender and Development was adopted in 2008. The Protocol brings together all international (and regional) commitments on gender and identifies specific targets and goals for the region that often go beyond the internationally agreed standards. The Protocol was revised in 2015 and adopted by the SADC Council of Ministers in 2016.

1.1.2 Stakeholder analysis

1. SADC, COMESA and IOC regional secretariats will collaborate with the EU Delegations in Botswana, Zambia and Mauritius to oversee implementation and provide strategic guidance through the Steering Committee;
2. National administrations of the member states of COMESA, IOC and SADC regions will be key stakeholders to ensure domestication at national level and are the main target for capacity building;
3. International Labour Organisation (ILO), International Organisation for Migration (IOM), United Nations Organisation on Drugs and Crime (UNODC) and United Nations High Commissioner for Refugees (UNHCR) will implement this action in line with their specific mandates and ongoing projects and activities in the region,
4. Migration Dialogue for Southern Africa (MIDSA) and the COMESA Regional Consultative Process on Migration (RCP) are mechanisms to strengthen policy dialogue on the areas and issues addressed by the programme.
5. Academic institutions, research think tanks, other relevant non-state actors and International Cooperating Partners involved in migration, migration research and transnational crime will be privileged partners for sustainability.

1.1.3 Priority areas for support/problem analysis

The combination of political instability and conflicts, economic meltdowns, natural disasters and structurally high levels of unemployment, particularly among the youth and women, have all contributed to profound transformation of migration flows in the region in recent years. Strategic and coordinated strengthening of migration management systems at regional and national level is therefore a necessity, as is ensuring effective protection of refugees and forcibly displaced persons and of migrant workers against exploitative and criminal activities, while better serving the diversification of the sub-region's economies and industrialisation efforts to create optimal peace and stability conditions and fully realise the developmental potential of migration.

a) Managing labour and mixed migration – data collection and trend monitoring

Migration data are scattered, inconsistent, unreliable, undetailed and rarely available to policy-makers and the public, thus considerably limiting their use for strategy and policy development and monitoring of migration trends⁷. Consequently, policy decisions adopted at national, bilateral and sub-regional levels are poorly informed. Over the past years several

⁷ Migration trends in this context include intra-regional migration flows, migration flows from Northern/Central Africa and Horn of Africa into the Southern Africa (as well as migration using Southern Africa as a transit destination on their route) as well as migration flows from Europe towards Southern Africa.

initiatives⁸ have taken place across the sub-region to improve availability of migration data, yet the problem persists. Unlike other regions, the SA-IO region has not yet developed a harmonised data collection scheme and would therefore require strengthening of regional and national capacities for data collection, production of reliable migration statistics and coordinated information sharing mechanisms. It should be noted that decisions in the case of RECs have been made by relevant policy organs and need to be implemented. The set-up of a regional labour migration observatory would curb this need, providing independent, authoritative, evidence-based analysis of data on migration and migrants in the region, to inform public and policy debates and generate high quality research on migration-related issues allowing for accurate trend monitoring. Analysis of the various existing migration observatories in Africa has shown that none focuses on regular and standardised data collection of labour migration flows in the region, essential to efficient management of these flows. Although the Regional Mixed Migration Secretariat (RMMS) in Kenya, and works on the southern route via Kenya and Tanzania provide useful models they do not comprehensively track migration flows to southern Africa and do not focus on labour migration. Other observatories such as those in West Africa are concerned with flows to Europe and there is no comparable organisation covering migration from Central Africa. With regard to mixed migration within south-south migration, there is no mechanism for data collection and information sharing similar to the observatories in other parts of the continent, such as the Horn of Africa which is a place of origin for irregular migrants to Southern Africa.

b) Labour mobility – facilitating legal migration and protecting migrant workers

Labour migration is shaped by highly organised recruitment systems established by private sector operators and often supported by governments through bilateral labour agreements. Initially concentrated in the mining, agriculture and textiles sectors, migrant workers are also recruited extensively in other sectors such as construction, domestic work, and hospitality and care industries. These sectors, characterised by informality, are not covered by bilateral agreements. In parallel, nationals from the sub-region are increasingly migrating to other regions⁹, generally in informal contexts and without adequate social protection frameworks. As the regional organisations have adopted differing regional integration models, their labour migration priorities and policies also differ. SADC provides clear overarching labour migration priorities aligned to international standards¹⁰ and formulated by its member states in the SADC Labour Migration Action Plan (2016-2019) and Social Security Portability Framework (2016). The priorities in the IOC Strategic Partnership (2013) point to synergies with the SADC frameworks on data collection, migration and development, and the fight against migrant workers' exploitation. COMESA is implementing a Protocol on the Gradual Relaxation and Eventual Elimination of Visas (Visa protocol) as a trade and investment facilitation tool which entered into force in 1983. COMESA also adopted a Protocol on Free Movement of Persons, Labour, Services, Right of Establishment and Residence, contributing to the developmental potential of regular and legal migration.

At national level, the current labour migration management systems in place are obsolete and/or too weak to ensure optimal protection of migrant workers and therefore unable to realise migration's development potential. National strategies on labour migration and regulation of the recruitment agencies are inexistent in most countries. ILO and IOM are supporting a number of countries in developing labour migration policies, in line with the

⁸ Efforts include the ILO work on the insertion of standard migration modules and standard reporting templates in SADC Labour Force Surveys (LFS); IOM's work on migration profiles in the IOC region; the migration data component included in the MIDSA Mixed Migration Action Plan (2016); the COMESA meta-data template; and the SADC-UNODC regional database on trafficking in persons.

⁹ E.g. Nationals from Comoros, Madagascar, Malawi, Tanzania, and Zimbabwe migrate to the Middle East where the demand for cheap labour for infrastructure projects and services has considerably increased.

¹⁰ E.g. ILO Conventions 97 and 143 on migrant workers and COMESA's protocols on labour migration.

SADC Labour Migration Policy Framework. A notable exception in the region is Zimbabwe, which has a dedicated national labour migration strategy.

c) Managing mixed migration – curbing irregular migration and protecting vulnerable migrants

Mixed migration flows are complex population movements including refugees, asylum seekers, economic migrants and other migrants, such as unaccompanied minors, environmental migrants, smuggled persons and victims of trafficking as well as stranded migrants. Mixed migration flows are characterised by their irregular nature and the multiplicity of factors driving such movements, as well as the differentiated needs and profiles of people involved.

In that context, human rights violations and lack of protection are a stark reality in the SA-IO region. Vulnerable migrants, such as women, children, people with disabilities, refugees and internally displaced persons, are systematically exposed to abuse and exploitation. Significant numbers of women and children are being trafficked within the sub-region and beyond for sexual and/or labour exploitation. In line with the African Union Declaration on Refugees, Returnees and Internally Displaced Persons in Africa (Kampala Convention, 2009), RECs and member states should be supported in their efforts to address the plight of forcibly displaced persons.

The only regional framework related to irregular migration is SADC's Regional Strategy to combat Illegal Migration, Smuggling of Migrants and Trafficking in Persons (2016-2020) and the SADC 10-Year Strategic Action Plan to Combat Trafficking in Persons, especially Women and Children (2009-2019). Faced with a continuous inflow of irregular migrants and, in some cases, an increase in the absolute number of migrants, countries tighten restrictions on entry and take measures to force irregular migrants to leave. While this results in some reduction in migratory flows, it also generates inflows that are more difficult to regulate and poses serious concerns for protection of migrants' rights, in particular regarding gender-based violence affecting women and girl migrants. It is therefore crucial to strengthen migration management through the development and ratification of protocols that facilitate movement, and the development and implementation of targeted policies and programmes against irregular migration, smuggling of migrants and trafficking in persons, especially women and children. It is also important to create awareness and sensitise stakeholders of all the available regional instruments of the RECs for effective implementation.

In line with the 2006 AU Migration Policy Framework for Africa, the sub-region needs to address its fragmented approach to migration management, including through more systemic efforts on data collection, exchange of information and harmonisation of policies¹¹. Such an improved policy environment should necessarily include protective services¹² to vulnerable migrant groups, and raise awareness along the migration routes of the dangers faced by migrants (in particular in relation to the use of smuggling and trafficking networks).

1.2 Other areas of assessment

N/A.

¹¹ An example of such an approach can be found in IGAD, where IOM has initiated the establishment of National Coordination Mechanisms (NCMs) on migration in seven countries in East/Horn of Africa.

¹² Frontline officials need to be able to identify victims of trafficking and smuggling, and adequate referral mechanisms and protection systems need to be put in place and accessed across the region. In a similar way, enhancing their capacities for gender-sensitivity would help to move forward to gender-responsive outcomes during implementation. In parallel, law enforcement and judiciary capabilities need to be reinforced with a view towards establishing common regional approaches.

2 RISKS AND ASSUMPTIONS

Risk	Risk level	Mitigation measures
Absence of strong political commitment may hamper the impact of the action, as technical level outcomes/ outputs are not fully translated into national-level policy frameworks.	H	<p>Regular consultations with stakeholders in the COMESA, IOC and SADC regions on progress in the implementation of the programme and related national uptake. A specific monitoring and evaluation system will be formulated to guide the performance and impact of the programme on the regions' strategic frameworks. Involvement of non-state actors in the steering structures and where feasible, implementation of activities is expected to contribute to mitigating this risk.</p> <p>The High Level Group for the implementation of the 11th EDF RIP will provide additional oversight and guidance on the implementation of the programme.</p>
Weak institutional capacity of the Secretariats and member states to implement the agreed interventions and deliver on the allocated resources.	M	<p>There will be targeted capacity needs assessments and delivery of support to address the capacity constraints as well as raise awareness among stakeholders on the need to implement effectively, absorb resources and demonstrate results in a manner that is commensurate with resources. In particular, the programme is designed to capitalise on COMESA, SADC and IOC's convening capacity and policy implementation. Implementing partners will be entrusted with administrative management of the programme and provide technical support within the structures of the RECs and member states. Implementation capacity will be strengthened at national and sub-national level. These actions will be supported by a sustained effort from the EU in sector policy dialogues with both the partner countries and the RECs.</p>
Assumptions		
<p>The participating regional organisations and member states remain committed to the principle of regional integration as a means of mitigating inequalities between members and generating economic growth and poverty reduction. Democratic accountability and positive peer influence in the region is sufficiently strong to ensure that this risk is minimised.</p> <p>The regional organisations will remain committed to the decisions adopted in their various formal frameworks and action plans on migration related matters (listed in Section 1) as well as to the conclusions and plans adopted under the MIDSA and MIDCOM RCPs.</p> <p>The regional organisations will maintain capacity to convene member states and use the REC level for information exchange, monitoring and evaluation, and reporting. The risk in relation to this assumption is, however, mitigated to a large extent by the effectiveness of the inter-REC coordination under the 11th EDF RIP.</p>		

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

Past experiences show that regional bodies can play an effective role in establishing harmonised systems and policies as well as collaboration mechanisms to address migration challenges and can address the gap between regional policies and national level implementation.

3.2 Complementarity, Synergy and Donor Coordination

The implementation mechanism proposed for this programme will ensure its harmonisation with complementary programmes and coordination mechanisms on migration, gender sensitive synergies will be developed whenever relevant and possible.

The programme will build on the developments reached through the implementation of the various existing cooperation agreements between IOM, ILO, COMESA, IOC and the International Centre for Migration Policy Development (ICMPD) on migration management, labour migration policies and legislation, ratification and domestication of Protocols on free movement and data management.

Also, close consideration is needed with the several Memoranda of Understanding on areas of interest to this project, such as the Memorandum of Understanding (MoU) between ILO and SADC (2017) on the development of SADC's Labour Migration Policy; the MoU between ILO and UNHCR (2016) on the promotion of employment opportunities for refugees and other forcibly displaced persons; the MoU between UNODC and SADC addressing the challenges posed by illicit trafficking, organised crime, terrorism, corruption, drug abuse and HIV/AIDS; and the MoU between UNODC and IOM to cooperate in areas of trafficking in persons, migrant smuggling and border management, and the implementation of the EU funded Global Action to prevent and address trafficking in persons and smuggling of migrants in 13 countries including South Africa.

The specific national-level legislation on trafficking-in-persons produced under the 2012 EU-SADC Regional Political Cooperation (RPC) programme will also be taken into account.

Under the Pan-African Programme, the project "Enhancing African capacity to respond more effectively to transnational organised crime (TOC)", 2016, implemented by the Institute for Security Studies and Interpol, allows for synergies with the component on migration flows' monitoring and data collection to inform decision-making around combating smuggling of migrants and trafficking-in-persons, and with the results of the study on "Trafficking in Persons in Africa". Furthermore, the Pan-African Statistics Programme which supports the African Union Commission in the production of the second Labour Migration report (data collection, analysis and drafting) and the programme on "Extending social security access and portability to migrant workers and their families through selected RECs in Africa" complement the implementation of the labour migration component of this project.

Synergies will be developed with the 11th EDF COMESA Trade Facilitation Programme, through its component targeting tripartite/regional negotiations on the movement of business persons/professionals; the implementation of the COMESA visa and free movement Protocols, as well as the COMESA business visa initiative and the development of Mutual Recognition Agreement Frameworks for selected professions.

Given the impact that voluntary return has on the labour market, linkages and complementarities will be developed with the pilot action on voluntary return and sustainable, community-based reintegration, financed by the EU and implemented by IOM, focusing on sustainable return and reintegration in three migration corridors, with a specific focus on priority partner countries in Africa and Asia.

Also, the EU funded Global Action against Trafficking in persons and Smuggling of migrants (GLO.ACT) and the Global Action Programme on Migrant Domestic Workers and their Families, implemented by UNODC (2015-2019) and ILO (2013-2017) respectively, offer scope for complementarity.

The World Bank Accelerated Programme for Economic Integration (APEI) addressing labour migration/mobility through easing of work permits and business visa to facilitate cross-border movement of labour and investments will also be looked into for complementarity of activities, as well as the expertise provided by the Global Knowledge Partnership on Migration and Development (KNOMAD) on migration and development.

Close synergies will be forged with the existing Migration Observatories in Africa, particularly with the Regional Mixed Migration Secretariat (RMMS) in Kenya that focuses on data collection and analysis of mixed migration flows in the Horn of Africa but also collects data on migration flows in Kenya and Tanzania; and with the African Centre for Migration and Society (ACMS) at Wits University that conducts research on migration, especially in southern Africa. The ACMS coordinated the Migrating for Work Research Consortium project (MiWORC), which runs from 2012 to 2015. The project was funded by the EU in the framework of the EU-South Africa dialogue facility and focused on the production of quality publications related to labour migration and mobility in South Africa. Although there is no current dialogue on migration under this Dialogue Facility, the project will build on the achievements of the former dialogues on migration that have taken place.

In addition, two regional consultative processes (RCPs) are ongoing in the sub-region. Since 2013, the Migration Dialogue of COMESA member states (MIDCOM) brings together member states to identify shared interests, promote inter-state dialogue on migration issues and collaborate on migration approaches. The Migration Dialogue for Southern Africa (MIDSA), launched in 2001, and that of COMESA (MIDCOM), raise awareness on challenges and best practices, and has put different aspects of migration management on the SADC and COMESA agenda, including migration and health, human trafficking, border management, and facilitated movement of persons in light of regional economic integration and trade liberalisation.

3.3 Cross-cutting issues

Gender, women, youth, children and people living with disability

All regional organisations and individual member states have mainstreamed gender equality and children and youth rights in their strategic policy, legal and programme instruments. Nearly all countries in the region have also ratified the Convention on the Rights of People with Disabilities. However, given specific needs and protection challenges of disabled migrants, women, children and youth on the move, the programme will promote strategic partnerships with regional and national level stakeholders with specific focus on the protection and empowerment of these vulnerable groups. Data collected in the migration observatory will be gender and age-disaggregated and gender-sensitive and inclusive actions will be promoted across the programme. Furthermore, the programme's awareness raising activities will incorporate specific messages to counter xenophobia across the region, which is generally targeting migrants from within the region.

Infectious Diseases and Epidemics Affecting Mobile Populations

Mobility is recognised as an aggravating factor of vulnerability for infectious diseases. The relationship between migration and HIV/AIDS in the region is well established, as HIV/AIDS prevalence is greatest in high mobility areas. RECs have developed HIV/AIDS strategies, policy guidelines and regional standards to target migrant populations especially the youth, women, children and truck drivers; vulnerability of labour migrations to HIV/AIDS is higher due to often substandard living conditions and exploitative working conditions. Furthermore, migrant workers, particularly those whose status is irregular, rarely have the same

entitlements as nationals to health/social insurance schemes that would facilitate access to health services. In addition, recent assessments among Mozambican mine workers in South Africa have indicated a high incidence of tuberculosis (combined with high levels of HIV infections) and the need for facilitated access to adequate health care.

Climate change and disaster-induced migration and mobility

Since 2000, countries in Southern Africa have experienced the effects of climate change with an increase in the frequency, magnitude and impact of droughts, floods and other natural disasters. This has resulted in internal and cross-border displacement and migration, and these issues are likely to become more pressing in the future. In response, and aligned to the Nansen Initiative's Protection Agenda adopted globally in 2015, the region has recommended the use of MIDSA as a platform to discuss a more coordinated regional approach to cross-border disaster induced displacement. In addition, various initiatives including the regional Migration Environment and Climate Change Evidence for Policy (MECLEP) project in Southern Africa and Indian Ocean implemented by IOM aim at developing a regional policy guide on migration, environment and climate change to address the issue.

4 DESCRIPTION OF THE ACTION

4.1 Objectives / results

The **overall objective** of this programme is to improve migration management in the Southern Africa and Indian Ocean region.

The **specific objectives (SO)** and **key results areas (KRA)** of this intervention are:

SO1: To improve options for legal labour mobility in the Southern Africa/Indian Ocean region and strengthen migrant workers' protection from abuse (in the context of intra- and inter-regional labour migration).

KRA1.1: Rights-based legal and efficient channels of labour migration and mobility (including appropriate protection measures for migrant workers) promoted and put in place.

KRA1.2: A Southern African and Indian Ocean migration observatory established and fully operational.

SO2: To strengthen informed decision-making on and management of mixed migration flows, including improved protection of vulnerable migrants in the Southern African and Indian Ocean region.

KRA2: Evidence-based management strategies and policies to address mixed migration challenges, including assurance of appropriate protection frameworks for vulnerable migrants, are formulated and implemented.

4.2 Main activities

Labour Migration Component The following main activities are foreseen under KRA1.1 - Rights-based legal and efficient channels of labour migration and mobility (including appropriate protection measures for migrant workers) promoted and put in place:

- 1.1. Develop capacities of national structures in charge of labour migration to formulate, consolidate and implement regional and national labour migration strategies and/or policies, regulatory frameworks and implementation plans, linked to national employment policies and aligned to relevant international conventions.
- 1.2. Develop capacities of regional and national social partners (employers' and workers' organisations) to support fair recruitment and decent employment of migrant workers across the sub-region through the promotion of ethical guidelines among associations of

private employment agencies, sensitisation of employers' and workers' organisations, opportunities and requisite services to employers and (potential) migrant workers¹³.

- 1.3. Support/develop and implement regional frameworks for cross-border portability of accrued social security benefits to enhance social protection for migrant workers, especially the more vulnerable migrants - disabled, women, children and youth.
- 1.4. Support establishment and implementation of regional Qualifications Frameworks at REC level for quality assurance and verification of migrant workers' qualifications at various levels.
- 1.5. On the basis of COMESA, SADC and IOC's convening capacity, facilitate regular consultations and regional exchange of experiences (through existing structures and frameworks) and support COMESA/SADC/IOC's monitoring of implementation and/or elaboration/completion of their existing labour migration frameworks.

The following main activities are foreseen under KRA1.2 - A Southern African and Indian Ocean migration observatory established and fully operational:

- 1.1. Establishment of a Southern African and Indian Ocean labour migration observatory that will support establishment of harmonised methodologies and tools to collect and manage age and sex-disaggregated data on demographic and labour migration indicators as a first stage and expand to mixed migration data at a later stage.
- 1.2. Collect statistical information on labour migration and migrants' characteristics systematically at regular intervals for longitudinal comparability.
- 1.3. Contribute to the coordination of migration modules in national/regional labour force surveys.
- 1.4. Production of Southern Africa and Indian Ocean labour migration analysis and reports.
- 1.5. Facilitate regular exchange of demographic and labour migration data among the regional organisations and along specific corridors of member states.

Mixed Migration Component

The following main activities are foreseen under KRA2 - Evidence-based management strategies and policies to address mixed migration challenges, including assurance of appropriate protection frameworks for vulnerable migrants, are formulated and implemented:

- 1.1. Develop capacities of relevant government services to capture, store and manage cross-border data (on the basis of harmonised and standardised – where relevant existing – data collection systems), relevant to mixed migration flows and vulnerable migrants – disabled, women, children and youth.
- 1.2. Improve development and implementation of mixed migration policies as well as monitoring of mixed migration trends through strengthened targeted qualitative research on strategic mixed migration issues and the development/update of regional and national migration profiles.
- 1.3. Support the organisation and institutionalisation of regular consultation mechanisms on irregular migration at national and regional levels through existing dialogue/consultation platforms thus contributing to stronger regular exchange of movement control data as well as capacity development of criminal justice professionals.
- 1.4. Support the development and implementation of a comprehensive Regional Mixed Migration Policy Framework¹⁴, comprising measures to address challenges of trafficking

¹³ In coordination with the "*Global action to improve the recruitment framework of labour migration*", also implemented by ILO.

¹⁴ The Regional Framework should include the provision of formal and informal mutual legal assistance amongst countries of the region as well as with countries beyond the region, where appropriate.

- in human beings, smuggling of migrants, refugees and asylum seekers as well as internally displaced persons and ensure adequate protection to vulnerable migrants.
- 1.5. Raise awareness on the risks of irregular migration both at national and regional levels, strengthen support to and protection of vulnerable migrants, refugees and victims of human trafficking and smuggling through improved capacities for identification and protection of victims and vulnerable migrants, including by establishing/strengthening national referral systems as well as physical and psychosocial support frameworks (including shelters), in conjunction with relevant authorities and non-state actors in respective member states. Supporting policies and measures - including in public education, the media and through civil society - to discourage racism and xenophobia.
 - 1.6. Raise awareness of regional and national legal instruments aimed at addressing irregular migration and promoting regular migration as a way of mitigating or addressing risks of irregular migration aimed at protecting vulnerable groups such as victims of human trafficking and human smuggling.

4.3 Intervention logic

Unevenly developed and poorly implemented labour and mixed migration frameworks with limited alignment to international standards and gender-sensitivity can be improved through the availability of better data and through improved systems. The labour and migration frameworks currently rely on scattered data which are underutilised. This leads to multiple forms of human rights abuses, decent work deficits and exploitation. Through the implementation of legitimately adopted common priorities¹⁵ on the one hand and building of capacity among regional organisations, national institutions and social partners towards policy development and implementation on the other hand, a more systemic approach towards management of mixed migration flows and improved opportunities for labour mobility is expected to be established. The project is organised around two complementary components that will both allow for the production of targeted qualitative research across the region.

In the **Labour Migration component**, outputs are at the level of implementation or deepening of strategy and legislative development through a combination of activities to strengthen capacity among public employment services as well as private employment agencies and to enhance the role of social partners. The activities will prioritise support to existing areas of synergies between the SADC Labour Migration Action Plan and the IOC Strategic Development Programme (SDP) as well as the relevant COMESA protocols.

The establishment of a Southern African and Indian Ocean Labour Migration Observatory will be critical to collect and provide harmonised reliable data and analysis of statistical data and labour migration indicators in order to effectively inform labour migration policy formulation and collective labour migration management at regional level. The observatory will support the data collection, analysis, interpretation and storage of requested data by all SADC member states as indicated in the 2017 SADC Meeting of Ministers of Labour and Employment and Social Partners (ELS), which instructed to develop a profile of the SADC labour market and to report on labour market trends and policy developments. To implement these decisions statistical information on labour migration and migrants' characteristics will be systematically collected at regular intervals for longitudinal comparability.

Some statistics exist but, because data are often scattered, outdated and underutilised, a large number of national and regional labour migration frameworks, policies and plans are poorly informed. Without an observatory in the Southern Africa region, focusing on labour migration flows in the region, the aim of the project will be compromised by inadequate information.

¹⁵ The priorities were formulated by RECs and member states in politically validated sub-regional frameworks and action plans (e.g. MIDSA/MIDCOM) that are aligned to international standards and African Union frameworks on migration.

The observatory will be composed of the network of relevant national statistic institutions from participating member states, technically supported by, inter alia, the existing (and potential) networks of Academics and research centres, providing the decision makers with reliable information. As a primary data collection source, the observatory will also feed into ILO database on labour statistics (ILOSTAT), the United Nations Department on Economic and Social Affairs (UNDESA), IOM's Global Migration Data Centre (GMDAC) and IOM's Regional Migration Data Hub (RMDHub) mechanisms.

For the purposes of timely data collection and effective data sharing, formulation of collective policies and management of labour migration flows, it is important that this observatory is located in the region. The statistical offices of South Africa and Mauritius have been identified as the only ones in the region having the required minimal technical and human capacity to perform this mandate. The observatory's location will be decided at steering committee level in the initial stage of the project on the basis of an in-depth assessment.

The observatory is expected to contribute to raising awareness on the positive developmental aspects of legal migration and thereby contribute to economic development and job opportunities for (young) people of the region. The availability of accurate data will also impact the labour market through the development of a regional qualification framework for skills recognition that meets actual labour market needs. At a later stage, when trust is built, the observatory could be further developed to include data on irregular and mixed migration flows, if agreed, by the member states. Given the advantage of the capacity in statistics that South Africa holds in its national statistics service, Statistics South Africa (Stats SA), the country will play a key role, as is already the case, in capacitating the other National Statistic Agencies in migration and labour migration data gathering analysis. This will include both labour survey data and administrative data.

For the **Mixed Migration component**, the region will build on the systems, information and experiences being established in respective member states. As a major receiving country of irregular migrants, South Africa will play a prominent role through the active sharing of its experience with mixed migration management systems influencing and impacting the other SADC member states. South Africa's experience in the on-going development of an international migration policy under the Department of Home affairs which will provide a framework for the management of regular and irregular mixed migration into the country will likely impact on the design of management systems of mixed migration in the whole region. This will allow other member states to benefit from South Africa's experience, and from its already well-developed systems ensuring sustainability and institutional memory. This will be in addition to the development of a regional database and a regional or intra-regional mechanism for information sharing on migration within the context of south-south migration.

The implementing partners for this action have been identified according to their extensive experience in the fields concerned and in the region. ILO will have a leading role on Key result area 1: labour migration, focusing on the establishment of the observatory with the support and partnership from IOM's Global Migration Data Analysis Centre (GMDAC)¹⁶ and UNHCR for data on refugees and their trajectories in the labour market. Policy dialogue and labour migration policy formulation will be carried out with IOM and with UNODC's contribution on combating unfair labour practices and preventing and responding to abuse and fraud in recruitment of labour. ILO will build capacity of social partners and reinforce their roles and responsibilities in the existing framework for fair recruitment processes.

On social protection, ILO will conceptualise, test and assess different methods to implement the regional framework for cross border portability of benefits and will pursue its technical assistance to SADC on the regional qualifications framework for skills recognition, with a

¹⁶ <https://gmdac.iom.int/>

contribution from UNHCR on the deepening the knowledge on refugees and asylum seeker main constraints.

As to Key result area 2: mixed migration, IOM will map out existing data capture mechanisms, including border management information systems. In coordination with UNHCR and UNODC, flow monitoring points will be established in order to produce qualitative and quantitative updates and policy briefs on mixed migration flows and trends in the region, with the support of the IOM's Regional Migration Data Hub for Southern Africa; one of several regional hubs that serve as a central repository of migration data and information, and feed the IOM's Global Migration Data Analysis Centre. IOM and UNODC will support the development of a regional policy framework at SADC level and national policies that are in line with the regional framework. In addition, IOM, UNHCR and UNODC will continue to support the development of national referral mechanisms and standard operating procedures to strengthen support to and protection of vulnerable migrants, refugees and victims of human trafficking and smuggling. Awareness raising will be carried out using IOM's Community Response Map model.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country, referred to in Article 17 of Annex IV to the ACP-EU Partnership Agreement.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute non-substantial amendment in the sense of Article 9(4) of Regulation (EU) 2015/322.

5.3 Implementation of the budget support component

N/A.

5.4 Implementation modalities

Both in indirect and direct management, the Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with restrictive measures affecting the respective countries of operation.

5.4.1 Indirect management with an international organisation

This action may be implemented in indirect management with the International Labour Organisation (ILO) in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 17 of Regulation (EU) 2015/323. This implementation entails activities described in Section 4.2 of this document and is justified because the ILO has a comparative advantage based on its longstanding engagement with the region in the elaboration of labour migration policies and strategies, its standard-setting mandate worldwide as well as its involvement in similar programmes at continental level. By working directly with the ILO, it is expected that this programme will reinforce continental migration management and benefit from close synergies with similar initiatives such as those implemented at the level of the African Union for instance.

The entrusted entity would carry out the following budget-implementation tasks: conducting procurement and grant award procedures and managing the resulting contracts as well as carrying out payments.

ILO will coordinate the activities implemented by other participating UN agencies. The entrusted entity will take its guidance for implementation of activities from the Steering Committee as well as from the three regional organisations overseeing the programme. Relevant non-state actors will be associated to the action and implement activities in line with their respective mandate. To this end, ILO will sign specific implementation agreements with other UN agencies and non-state actors, approved by the programme's Steering Committee.

5.5 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply, subject to the following provisions.

In accordance with Article 20(6) of Annex IV to the ACP-EU Partnership Agreement and with regard to the regional and cross-border nature of this action, the Commission decides that natural and legal persons from the following countries, territories or regions shall be eligible for participating in procurement and grant award procedures: all member states of COMESA, IOC and SADC. The supplies originating there shall also be eligible.

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 22(1)(b) of Annex IV to the ACP-EU Partnership Agreement on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.6 Indicative budget in EUR

	EU contribution	Indicative third party contribution
5.4.1 Indirect management with International Labour Organisation (ILO)	20 000 000	5 675 395
<i>SO1: To improve options for legal labour mobility in the Southern Africa/Indian Ocean region and strengthen migrant workers' protection from abuse (in the context of intra- and inter-regional labour migration) – indicative amount</i>	<i>10 950 000</i>	
<i>SO2: To strengthen informed decision-making on and management of mixed migration flows, including improved protection of vulnerable migrants in the Southern African and Indian Ocean region – indicative amount</i>	<i>9 000 000</i>	
5.11 - Communication and visibility (introduced into the implementation contracts to be negotiated for each component)¹⁷	50 000	
5.9 - Evaluation and 5.10 - Audit	Will be covered by another decision	
Total	20 000 000	5 675 395

¹⁷ All related contracts must be concluded by 31 December of year **n+1**, year **n** being the year in which the global budgetary/ financial commitment was made.

5.7 Organisational set-up and responsibilities

To guarantee ownership and adequate coordination and management of the project activities by the key stakeholders, the governance structure is as follows:

Programme Steering Committee (PSC) in charge, among others, of programme oversight, monitoring of implementation, development of synergies and complementarities with other actions and guidance to ensure attainment of the objectives. The PSC will include representatives from the COMESA, IOC and SADC Secretariats, as well as the respective chairs (member states) of the REC ministerial councils of labour and home affairs. The respective EU Delegations to the three sub-regions will also be included as standing participants, as well as relevant UN agencies (ILO, IOM, UNODC, UNHCR) invited as observers. Finally, representatives of regional Non-State Actors with a clear migration mandate may also be included in the PSC, which can invite other participants/stakeholders to attend its meetings where relevant, based on consensus. PSC meetings will be organised in the region, alternating between Gaborone, Port Louis and Lusaka on a semi-annual basis (ILO, as lead agency, is in charge of logistical organisation of the PSC meetings and will function as secretariat throughout the programme's implementation period).

A Technical Implementation Committee (TIC) will be responsible for day-to-day management and implementation of activities. The TIC will include, as a minimum, technical level representatives from COMESA, IOC and SADC, the technical team responsible for implementation from ILO as lead implementing partner, technical level representatives from other agencies (based on involvement through implementation agreements with the lead partner) and non-state actors involved in the implementation of the action (where appropriate) and technical level representatives from the European Commission as observers. Additional participants and other relevant stakeholders may be invited to the TIC meetings, as appropriate. The TIC will meet at least quarterly to discuss progress on implementation.

5.8 Performance monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partners' responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than semi-annual¹⁸) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix and a relevant and comprehensive gender sensitive M&E frameworks established under the programme, taking into account the reports mentioned in the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

¹⁸ Substantive narrative and financial implementation reports are expected to be prepared prior to each Programme Steering Committee meeting; short and concise narrative and financial updates are to be submitted prior to each TIC meeting and/or at quarterly intervals to the RECs and EU Delegation in Botswana (which will be responsible for onward sharing with other relevant EU colleagues).

5.9 Evaluation

Having regard to the importance and nature of the action, mid-term and final (and possibly ex-post) evaluations will be carried out for this action via independent consultants, contracted directly by the Commission.

The mid-term evaluation will be carried out for problem solving and learning purposes, in particular (but not exclusively) with respect to geographical scope, coverage of member states, ownership and sustainability mechanisms put in place, emphasis on gender and other cross-cutting themes. The final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the extent to which the action has contributed to produce gender-sensitive rights based policies contributing to better protection of migrants across Southern Africa and the Indian Ocean, and to the sustainability of structures and capacity supported during the action.

The Commission shall inform the relevant RECs and implementing partners at least 30 days in advance of the dates foreseen for the evaluation missions. The implementing partners shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities. The evaluation reports shall be shared with the RECs, the partner organisations and other key stakeholders. The RECs, implementing partners and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with all key stakeholders (RECs, implementation partners etc.), jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

The financing of the evaluation shall be covered by another measure constituting a financing decision.

5.10 Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

The financing of the audit shall be covered by another measure constituting a financing decision.

5.11 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.6 above.

A dedicated budget line for communication and visibility will be introduced into the implementation contracts to be negotiated for each component and shall include adequate budgetary provisions to ensure visibility and communication of the relevant component across the sub-region.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner organisations, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations. The communication and visibility measures will be part of the responsibilities of the implementing partner.

APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY) ¹⁹

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (2017 unless otherwise specified) All baseline figures will be verified and updated during the programme's inception phase (where no baseline data are available, they will be identified during inception phase)	Targets (2022 unless otherwise specified) Where no targets are yet defined, they will be determined during the inception phase of the programme and validated by the programme's Steering Committee following conclusion of the baseline survey	Sources and means of verification	Assumptions
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¹⁹ Indicators aligned with the relevant programming document are marked with '*' and indicators aligned to the EU Results Framework with '**'.

Overall objective: Impact	Improved migration management in Southern Africa and Indian Ocean region	<p>1 Number of countries across the region with a comprehensive migration governance framework in place, comprehensive meaning it includes labour and mixed migration policies *</p> <p>2 Number of countries across the region where migration is embedded in national development plans and/or developed specific migration-related strategies *</p> <p>3 Status of migration policy at country-level*</p> <p>4 Number of legal labour migrants in the region</p>	<p>1 To be determined during inception phase</p> <p>2 To be determined during inception phase</p> <p>3 To be determined at inception phase</p> <p>4 To be determined at inception phase</p>	<p>1 Minimum 8 countries have a comprehensive migration governance framework in place</p> <p>2 Minimum 8 countries have migration embedded in national development plans and/or developed specific migration-related strategies</p> <p>3 Minimum 5 countries have adopted a migration policy monitoring framework with related budgetary provisions</p> <p>4 To be determined at inception phase</p>	<p>1 National legislation;</p> <p>2 National development plans and/or migration strategy documents</p> <p>3 Migration policy monitoring reports</p> <p>1-3 minutes of discussions at MIDSA/MIDCOM meetings; programme progress reports</p> <p>4 Labour Migration Observatory reports</p>	
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Specific objective(s): Outcomes	SO 1: Improved policy environment for labour migration across the region and improved access to legal and efficient means of labour mobility for (prospective) labour migrants	<p>1.1 Number of binding gender-sensitive policies and/or strategies regulating labour migration adopted and implemented at national and/or regional level across the region*</p> <p>1.2 Number of bilateral labour / circular migration agreements across the region and with third countries *</p> <p>1.3 Labour Migration Observatory operating as a common database on labour migration data*</p>	<p>1.1 SADC Labour Migration Policy (2013); section on labour migration in National Employment Policy of Mauritius; national labour migration policy at Cabinet level in Zimbabwe</p> <p>1.2 To be determined during inception phase</p> <p>1.3 To be established</p>	<p>1.1 Labour Migration Policy Framework is adopted at REC level; minimum 8 countries in the region have adopted and are implementing gender-sensitive national labour migration policies, aligned to international and regional frameworks</p> <p>1.2 To be determined during inception phase</p> <p>1.3 Labour Migration Observatory established and issuing regular reports</p>	<p>1.1 Regional strategy papers; national legislation and strategy documents;</p> <p>1.2 records of meetings of ministers of labour and employment; bilateral agreements established;</p> <p>1.3 LMO reports</p> <p>1.1-1.3 minutes of discussions at MIDSA/MIDCOM meetings; programme progress reports</p>	Member States remain committed to the principle of regional integration as a means of mitigating inequalities between members and generating economic growth and poverty reduction.
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	SO 2: Strengthen informed decision-making around and management of mixed migration flows, including improved protection of vulnerable migrants	<p>2.1 Number of binding gender-sensitive policy instruments and/or strategies regulating mixed/irregular migration adopted and implemented at national and/or regional level across the region</p> <p>2.2 Number of institutional arrangements set up across the region with the aim to provide assistance and protection to vulnerable migrants*</p> <p>2.3 Number of common recommendations on governance/management of mixed migration flows developed across the region*</p>	<p>2.1 Harmonised SADC Regional Strategic Plan on Combating Illegal Migration, Smuggling of Migrants and Trafficking in Persons (2015)</p> <p>2.2 <i>To be determined during inception phase</i></p> <p>2.3 MDSA Mixed Migration Action Plan (2015)</p>	<p>2.1 Mixed Migration Policy and/or Strategy is adopted at REC level</p> <p>2.2 <i>To be determined during inception phase</i></p> <p>2.3 <i>To be determined during inception phase</i></p>	<p>2.1 Regional strategy papers; national legislation and strategy documents;</p> <p>2.2 records of meetings of ministers of home affairs/public security/migration;</p> <p>2.3 minutes of discussions at MDSA/MIDCOM meetings; programme progress reports</p>	
Outputs	O1.1: Southern Africa and Indian Ocean Labour Migration Observatory (LMO) established	<p>1.1.1 Status of Southern Africa/Indian Ocean Labour Migration Observatory (LMO)</p> <p>1.1.2 Number of countries regularly contributing data on labour migration to the LMO*</p>	<p>1.1.1 No labour migration observatory exists</p> <p>1.1.2 LMO does not yet exist</p> <p>1.1.3 No</p>	<p>1.1.1 SAIO LMO established and operational</p> <p>1.1.2 At least 10 countries are regularly providing data to the LMO</p> <p>1.1.3 Semi-annual</p>	<p>1.1.1 Terms of Reference for SAIO LMO; establishment agreement for SAIO LMO;</p> <p>1.1.2-1.1.3 reports generated by SAIO LMO; programme</p>	COMESA, IOC and SADC (as well as individual member states) will remain committed to the decisions adopted in their various formal

		1.1.3 Number of labour migration (statistical) reports made available to decision-makers across the region*	regular efforts to share information on labour migration statistics are currently in place	reports are produced by the SAIO LMO and made available to decision-makers	progress reports	frameworks and action plans on migration related matters as well as to the conclusions and recommendations adopted under the migration dialogues of SADC and COMESA (MIDSA and MIDCOM respectively).
	O1.2: National-level labour migration strategies and/or policies, regulatory frameworks and implementation plans formulated, consolidated and implemented	<p>1.2.1 Number of national labour migration policies and/or strategies (aligned to international standards and regional frameworks) designed/elaborated*</p> <p>1.2.2 Number of countries with regulatory legislation submitted on private employment agencies, aligned to international standards</p> <p>1.2.3 Number of bilateral labour migration agreements under negotiation across the region, disaggregated by country (and partner country/ies)</p>	<p>1.2.1 2 countries: Mauritius has a chapter on labour migration in the National Employment Legislation; Zimbabwe has a draft labour migration policy at Cabinet level</p> <p>1.2.2 Only 1 country (Zambia) has ratified the ILO convention C181 on private employment agencies; 0</p>	<p>1.2.1 Minimum 8 countries have a national labour migration policy/strategy in place</p> <p>1.2.2 At least 5 countries have ratified the ILO convention C181; at least 10 countries have submitted legislation on private employment agencies</p> <p>1.2.3 <i>To be determined during inception phase</i></p>	<p>1.2.1 National legislation and strategy documents;</p> <p>1.2.2 Legislation on private employment agencies</p> <p>1.2.3 records of meetings of ministers of labour and employment; text of bilateral labour migration agreements; programme progress reports</p>	

			countries have legislation in place on private employment agencies that is aligned to international standards			
			1.2.3 To be determined during inception phase			
	O1.3: Enhanced capacities of regional and national social partners to promote fair recruitment and decent employment for migrant workers	1.3.1 Number of policy documents formulated by Southern African Trade Union Coordination Council (SATUCC) and Commission des Syndicats de Travailleurs de l'Océan Indien (CSTOI) on migrant workers, including gender-relevant elements* 1.3.2 Number of employers' federations having developed a charter or policy document on recruitment and employment of migrant workers	1.3.1 Plan of Action on migrant (male and female) workers adopted by ZIM/LES/SA trade unions; CSTOI Plan of Action adopted 1.3.2 Zero employers' federations have developed policy documents on recruitment and employment of	1.3.1 Both SATUCC and CSTOI have adopted and are implementing their multi-annual plans of action; at least 5 multi-trade union agreements with focus on labour migration have been jointly drafted and proposed for signature/adoption 1.3.2 At least 5 employers' federations have developed policy documents on	1.3.1 Policy documents produced; progress reports on implementation of action plans of regional trade union federations; 1.3.2 records of meetings of tripartite social dialogues; text of ethical charters for employment federations 1.3.3 reports/ attendance records of training courses; programme progress	

		<p>1.3.3 Number of staff from employers' federations trained on international labour standards in relation to labour migration and mobility, including gender specific labour issues</p> <p>1.3.4 Number of private employment agencies' federations having developed ethical charters on recruitment and employment, preferably including gender specific issues (such as sexual harassment)</p>	<p>migrant workers</p> <p>1.3.3 No staff have been trained in relation to labour migration and mobility</p> <p>1.3.4 Zero private employment agencies' federations have adopted an ethical charter on recruitment and employment</p>	<p>recruitment and employment of migrant workers</p> <p>1.3.3 At least 20 staff have been trained in relation to labour migration and mobility</p> <p>1.3.4 Minimum 3 associations of private employment agencies have adopted an ethical charter on recruitment and employment</p>	<p>reports</p> <p>1.3.4 text of ethical charters of private employment agencies</p>	
	<p>O1.4: Support/develop and implement regional frameworks for cross-border portability of accrued social security benefits to enhance social</p>	<p>1.4.1 Number of regional social security portability frameworks drafted and accepted for adoption and including rights of migrant workers*</p> <p>1.4.2 Number of countries participating/implementing regional social security</p>	<p>1.4.1 SADC Social Security Portability Framework (2016) is established</p> <p>1.4.2 no countries are yet implementing the social</p>	<p>1.4.1 Regional social security portability frameworks exist in all participating RECs</p> <p>1.4.2 Minimum 5 countries are implementing social security portability frameworks with</p>	<p>1.4.1 Regional frameworks discussed and accepted;</p> <p>1.4.2 records of meetings of ministers of labour and employment; programme progress reports</p>	

	protection for migrant workers	portability frameworks*	security portability frameworks with the inclusion of migrant workers' rights	inclusion of migrant workers' rights		
	O1.5: Support establishment and implementation of regional Qualifications Frameworks at REC level for quality assurance and verification of migrant workers' qualifications at various levels	<p>1.5.1 Number of regional Qualifications Frameworks drafted and adopted by the beneficiaries*</p> <p>1.5.2 Number of countries with drafted national qualifications frameworks aligned to regional standards in place and operational*</p>	<p>1.5.1 SADC regional qualifications framework exists but is not yet operational</p> <p>1.5.2 No countries have national qualifications frameworks aligned to regional standards yet</p>	<p>1.5.1 Regional qualifications frameworks are implemented at the level of all participating RECs</p> <p>1.5.2 At least 5 countries have national qualifications frameworks in place and operational that are aligned to regional standards</p>	<p>1.5.1 Regional qualifications frameworks discussed and accepted;</p> <p>1.5.2 National qualification frameworks monitoring reports</p>	
	O1.6: Regional labour migration frameworks elaborated and/or completed, implemented and monitored	<p>1.6.1 Number of recommendations and guidelines on labour migration officially adopted by COMESA, IOC and/or SADC*</p> <p>1.6.2 Number of countries officially proposed to ratify the UN</p>	<p>1.6.1 <i>To be determined during inception phase</i></p> <p>1.6.2 8 countries (EG, LES, LIB, MADA, MOZ, RWA, SEY,</p>	<p>1.6.1 <i>To be determined during inception phase</i></p> <p>1.6.2 Minimum 16 countries have ratified the ICRMW; minimum 10 countries have ratified each of the</p>	<p>1.6.1 Text of adopted guidelines on labour migration</p> <p>1.6.2 UN websites on status of ratifications of international conventions; SADC/COMESA</p>	

		<p>International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families (ICRMW; 1990) and/or key ILO and/or UN conventions on migrant workers and related issues, disaggregated by instrument*</p> <p>1.6.3 Number of Member States commenced the ratification process of SADC Protocol on Facilitation of Movement of People and SADC Protocol on Labour and Employment and/or COMESA Protocol on the Gradual Relaxation and Eventual Elimination of Visa Requirements and COMESA the Protocol on Free Movement of Persons, Labour, Services, the Right of Establishment and Residence (disaggregated by instrument)*</p> <p>1.6.4 Level of</p>	<p>UG) have signed the ICRMW; 5 countries (KEN, MADA, MAL, MAU, ZAM) have signed ILO-C097; 7 countries (KEN, MAL, MAU, SWA, TAN, UG, ZAM) have ratified ILO-C086; only 2 countries (KEN, UG) have ratified the ILO-C143; 3 countries (BW, SEY, ZAM) have signed the ILO-C151; 2 countries (ET, ZAM) have ratified the ILO-C181; 2 countries (MAU, SA) have ratified the ILO-C189</p>	<p>ILO key conventions on migrant workers: C086, C097, C143, C151, C181 and C189</p> <p>1.6.3 Minimum 9 countries have ratified the SADC Protocol on Facilitation of Movement of People; minimum 9 countries have ratified the SADC Protocol on Employment and Labour; minimum 9 countries have ratified the COMESA Protocol on Free Movement of Persons, Labour, Services, the Right of Establishment and Residence; and a minimum of 9 countries have waived visa requirements for citizens of COMESA region in</p>	<p>updates on status of ratification of protocols;</p> <p>1.6.3 Reports on implementation of SADC/COMESA protocols; minutes of discussions at MIDSA/MIDCOM; programme progress reports</p> <p>1.6.4 Labour migration action plan progress and monitoring reports; records of MIDSA meetings</p> <p>1.6.5 COMESA annual reports; COMESA Protocol implementation reports</p>	
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		<p>implementation of the SADC Labour Migration Policy Framework and Labour Migration Action Plan*</p> <p>1.6.5 Number of countries across the region that have ratified/signed or commenced the implementation of the COMESA Protocol on the Gradual Relaxation and Eventual Elimination of Visas (1984) and the Protocol on the Free Movement of Persons, Services, Labour and the Right of Establishment and Residence (2001) - disaggregated by instrument*</p>	<p>1.6.3 6 countries (BW, LES, MOZ, SA, SWA, ZAM) have ratified the SADC Protocol on Facilitation of Movement of People; 0 countries have ratified the SADC Protocol on Employment and Labour; 3 countries (MAU, RWA, SEY) have waived visa requirements for citizens of the COMESA region; only Burundi has ratified the COMESA Protocol on Free Movement of Persons, Labour, Services, the Right of Establishment and Residence</p>	<p>line with Visa Protocol</p> <p>1.6.4 <i>To be determined during inception phase</i></p> <p>1.6.5 <i>To be determined during inception phase</i></p>		
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			(disaggregated by instrument)			
			1.6.4 To be determined during inception phase			
			1.6.5 To be determined during inception phase			
	O2.1: Cross-border administrative movement data, relevant to mixed migration flows, is captured, stored and managed by relevant government services	<p>2.1.1 Number of law enforcement officials trained in capturing, storage and management of cross-border administrative movement data**</p> <p>2.1.2 Number of law enforcement officials trained in identification of victims/cases of human trafficking and/or smuggling of migrants**</p> <p>2.1.3 Number of law enforcement officials trained in investigation and prosecution of cases of trafficking in persons</p>	<p>2.1.1 To be determined during inception phase</p> <p>2.1.2 To be determined during inception phase</p> <p>2.1.3 To be determined during inception phase</p> <p>2.1.4 To be determined during inception phase</p>	<p>2.1.1 At least at least 50 law enforcement officials have been trained on data capture, storage and management of cross-border data</p> <p>2.1.2 At least 5 countries have established training courses for law enforcement officials to strengthen identification of cases/victims of trafficking/smuggling of people</p>	<p>2.1.1-2.1.3 Reports/attendance records of training courses;</p> <p>2.1.4-2.1.5 reports generated by regional database on trafficking in persons; UNODC periodic reports on trafficking/smuggling of migrants; reports generated by national border agencies on cross-border administrative movement data;</p> <p>2.1.6 court records</p>	

	<p>and/or smuggling of migrants**</p> <p>2.1.4 Number of victims of human trafficking identified at border crossings, by sex and age group*/**</p> <p>2.1.5 Number of victims of smuggling of migrants identified at border crossings, by sex and age group*/**</p> <p>2.1.6 Number of alleged traffickers/smugglers apprehended and referred to judiciary, by sex and age group</p>	<p>2.1.5 <i>To be determined during inception phase</i></p> <p>2.1.6 <i>To be determined during inception phase</i></p>	<p>2.1.3 At least 5 countries have put in place training courses/mechanisms to strengthen investigation and prosecution of cases of trafficking/smuggling</p> <p>2.1.4 <i>To be determined during inception phase</i></p> <p>2.1.5 <i>To be determined during inception phase</i></p> <p>2.1.6 <i>To be determined during inception phase</i></p>	<p>on trafficking/smuggling cases; programme progress reports</p>	
O2.2: Enhanced capacities at national and regional levels to develop and implement mixed migration strategies	<p>2.2.1 Number of countries that have announced the intention to sign international and/or regional policies, strategies and/or frameworks on trafficking in persons (TIP) and applied to the Convention Body*</p>	<p>2.2.1 13 countries (BW, BU, EG, LES, LIB, MADA< MOZ, NAM, RWA, SEY, SA, SWA, TAN) have ratified the Protocol to</p>	<p>2.2.1 20 countries have ratified the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations</p>	<p>2.2.1-2.2.2, 2.2.7 UN websites on status of ratifications of international conventions;</p> <p>2.2.3 + 2.2.5 national legislation and strategy documents;</p>	

	and/or policies and monitor mixed migration trends	<p>2.2.2 Number of countries that have announced the intention to sign international and/or regional policies, strategies and/or frameworks on smuggling of migrants, and applied to the Convention Body*</p> <p>2.2.3 Number of countries with dedicated legislation under development to criminalize and combat trafficking in persons</p> <p>2.2.4 Number of countries that elaborate on necessary legal-regulatory packages or instruments on trafficking in persons*</p> <p>2.2.5 Number of countries with dedicated legislation under development to criminalize and combat smuggling of migrants*</p>	<p>Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime</p> <p>2.2.2 12 countries (BW, BU, LES, LIB, MADA, MOZ, NAM, RWA, SEY, SA, SWA, TAN) have ratified the Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the United</p>	<p>Convention against Transnational Organized Crime</p> <p>2.2.2 20 countries have ratified the Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the United Nations Convention against Transnational Organized Crime</p> <p>2.2.3 All countries are developing dedicated legislation to criminalise trafficking in persons</p> <p>2.2.4 At least 5 countries have developed national action plans to enact legislation on trafficking in persons</p> <p>2.2.5 All countries</p>	<p>2.2.4 + 2.2.6 national action plans on trafficking/smuggling;</p> <p>2.2.8 National policy documents/strategy documents on refugees and IDPs</p> <p>2.2.9 Research reports on mixed migration</p>	
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		<p>2.2.6 Number of countries that that elaborate on necessary legal-regulatory packages or instruments on smuggling of migrants*</p> <p>2.2.7 Number of countries that have ratified the UN conventions relating to the status of refugees and/or the AU convention for the protection and assistance of IDPs in Africa</p> <p>2.2.8 Number of policy documents and/or strategies adopted and implemented at regional and/or national level for protection and assistance to refugees and IDPs*</p> <p>2.2.9 Number of research reports on mixed migration commissioned and made available to decision makers across the region *</p>	<p>Nations Convention against Transnational Organized Crime</p> <p>2.2.3 13 countries in the SADC region have dedicated legislation in place to combat trafficking in persons; baseline for COMESA/IOC to be established during programme inception phase</p> <p>2.2.4 <i>To be determined during inception phase</i></p> <p>2.2.5 <i>To be determined during inception phase</i></p>	<p>have dedicated legislation in place to criminalize smuggling of migrants</p> <p>2.2.6 At least 5 countries have received support and established national action plans to enact legislation combating smuggling of migrants</p> <p>2.2.7 All countries have ratified the United Nations Convention relating to the Status of Refugees (1951) and/or the Protocol Relating to the Status of Refugees (1967) and/or the African Union Convention for the Protection and Assistance of Internally Displaced Persons in Africa (Kampala</p>		
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			<p>2.2.6 To be determined during inception phase</p> <p>2.2.7 23 countries (exceptions: Eritrea, Madagascar and Mauritius) have acceded to the United Nations Convention relating to the Status of Refugees (1951) and/or the Protocol Relating to the Status of Refugees (1967) and only 8 countries (ANG, LES, MAL, RWA, SWA, UG, ZAM, ZIM) have ratified the African Union</p>	<p>Convention; 2009)</p> <p>2.2.8 At least 1 regional policy/strategy to implement international agreements and conventions on protection of refugees and IDPs is adopted at REC level</p> <p>2.2.9 A minimum of 5 independent research reports on mixed migration is produced and made available to decision-makers; a minimum of 3 joint research projects with academia/Non State Actors has been launched</p>		
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			<p>Convention for the Protection and Assistance of Internally Displaced Persons in Africa (Kampala Convention; 2009)</p> <p>2.2.8 To be determined during inception phase</p> <p>2.2.9 To be determined during inception phase</p>			
	<p>O2.3: Regular consultation mechanisms on mixed/irregular migration organized and institutionalised across the region</p>	<p>2.3.1 Status of MDSA/MIDCOM meetings*</p> <p>2.3.2 Number of recommendations and guidelines formulated on mixed migration and presented to/adopted by regional decision-making structures*</p>	<p>2.3.1 Annual meetings of MDSA and MIDCOM are taking place with varying focus on labour and irregular migration</p> <p>2.3.2 MDSA in 2015 adopted</p>	<p>2.3.1 Annual meetings of MDSA/MIDCOM are taking place with discussions focusing on both labour and irregular migration; labour migration issues are tabled during annual meetings of REC-level ministers of</p>	<p>2.3.1 Minutes of discussions at MDSA/MIDCOM meetings</p> <p>2.3.2 Regional strategy documents and reports on implementation presented at subsequent MDSA/MIDCOM</p>	

			a Mixed Migration Action Plan as a non-binding recommendation	employment and labour as well as home affairs 2.3.2 At least 3 MIDSA/MIDCOM recommendations are translated into formal policies/strategies adopted at REC level	meetings	
	O2.4: Comprehensive regional mixed migration policy framework developed and implemented	2.4.1 Status of monitoring reports on the implementation of the Harmonised SADC Regional Strategic Plan on Combating Illegal Migration, Smuggling of Migrants and Trafficking in Persons * 2.4.2 Existence of a comprehensive mixed migration strategy and/or policy document at the level of IOC and/or COMESA*	2.4.1 <i>To be determined during inception phase</i> 2.4.2 <i>To be determined during inception phase</i>	2.4.1 <i>To be determined during inception phase</i> 2.4.2 <i>To be determined during inception phase</i>	2.4.1 monitoring reports on the SRSP 2.4.2 SADC/IOC/COMESA (annual) progress reports;	

	<p>O2.5: Improved awareness on risks of irregular migration among (potential) migrants and strengthened protection of and support to vulnerable migrants across the region established</p>	<p>2.5.1 Number of awareness campaigns launched across the region on the benefits of safe migration versus irregular migration</p> <p>2.5.2 Number of vulnerable migrants benefitting from appropriate information on challenges and risks of mixed migration*</p>	<p>2.5.1 <i>To be determined during inception phase</i></p> <p>2.5.2 <i>To be determined during inception phase</i></p>	<p>2.5.1 At least 2 regional campaigns are launched to raise awareness on the risks of irregular migration and promote the usage of legal migration channels across the region, with specific focus on targeted communities at risk of irregular migration</p> <p>2.5.2 <i>To be determined during inception phase</i></p>	<p>2.5.1 Materials developed for awareness campaigns;</p> <p>2.5.2 survey reports on dissemination of information materials</p>	
	<p><u>KEY ILO CONVENTIONS ON MIGRANT WORKERS:</u> C086: Contracts of Employment (Indigenous Workers) Convention, 1947 (No. 86) C097: Migration for Employment Convention (Revised), 1949 (No. 97) C143: Migrant Workers (Supplementary Provisions) Convention, 1975 (No. 143) C151: Labour Relations (Public Service) Convention, 1978 (No. 151) C181: Private Employment Agencies Convention, 1997 (No. 181) C189: Domestic Workers Convention, 2011 (No. 189)</p>					



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This action is funded by the European Union

ANNEX 2

of the Commission Decision on the Annual Action Programme 2018 – part 2 in favour of Eastern and Southern Africa and the Indian Ocean to be financed from the 11th European Development Fund

Action Document for Contribution of Sustainable Fisheries to the Blue Economy of the Eastern Africa, Southern Africa and Indian Ocean region

INFORMATION FOR POTENTIAL GRANT APPLICANTS

WORK PROGRAMME FOR GRANTS

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012), applicable to the EDF in accordance with Article 37 of the Regulation (EU) 2015/323 in the following section concerning calls for proposals: 5.4.1 and in the following section concerning grants awarded directly without a call for proposals: 5.4.2.

1. Title/basic act/ CRIS number	Contribution of Sustainable Fisheries to the Blue Economy of the Eastern Africa, Southern Africa and Indian Ocean region – EEOFISH programme CRIS number: RSO/FED/039-977 Financed under the 11 th European Development Fund (EDF)	
2. Zone benefiting from the action/ location	Eastern Africa, Southern Africa and the Indian Ocean (EA-SA-IO) Region The action shall be carried out at the following location: Eastern Africa, Southern Africa and the Indian Ocean (EA-SA-IO) Region	
3. Programming document	Regional Indicative Programme (RIP) for Eastern Africa, Southern Africa and the Indian Ocean (EA-SA-IO) 2014-2020	
4. Sector of concentration	Natural resources management	DEV. Aid: YES
5. Amounts concerned	Total estimated cost: EUR 29 400 000 Total amount of EDF contribution: EUR 28 000 000 This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 1 400 000.	

6. Aid modality and implementation modalities	Project Modality Direct management – call for proposals Direct management – grants – direct award Direct management – procurement of services Indirect management with ENABEL (Belgian Development Agency) Indirect management with IOC (Indian Ocean Commission)			
7 a) DAC codes	313 Fishing 60% - 31382, 31310, 31320; 410 Environmental Protection 10% - 41030;			
b) Main Delivery Channel	47000 – other multilateral organisations (IOC) 42000 – European institution (EDF) 13000 – delegated cooperation (ENABEL)			
8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/ good governance	<input type="checkbox"/>	X	<input type="checkbox"/>
	Aid to environment	<input type="checkbox"/>	<input type="checkbox"/>	X
	Gender equality (including Women In Development)	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	<input type="checkbox"/>	X	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	<input type="checkbox"/>	<input type="checkbox"/>	X
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input type="checkbox"/>	X	<input type="checkbox"/>
9. Global Public Goods and Challenges thematic flagships	N/A			
10. Sustainable Development Goals (SDGs)	SDG#1: End poverty in all its forms everywhere; SDG#2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture; SDG#5: Achieve gender equality and empower all women and girls; SDG#8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all; and SDG#14: Conserve and sustainably use the oceans, seas and marine resources for sustainable development.			

SUMMARY

The E€OFISH Programme's overall objective is to *enhance equitable economic growth by promoting sustainable fisheries in the EA-SA-IO region*. The specific objective is to support sustainable management and development of fisheries in order to contribute to poverty alleviation, food and nutrition security, while addressing climate change resilience and enhancing marine biodiversity.

The programme will support the implementation of measures contributing to the achievement of the objectives of the Regional Fisheries Management Organisations (RFMOs), i.e. the implementation of the fisheries management plans (Result 1), the enforcement of RFMO legislation and improvement of compliance records (Result 2). This may involve support to joint regional Monitoring, Control and Surveillance Action Plans, notably to deter illegal, unreported and unregulated (IUU) fishing, and implementation of conservation measures based on scientific evidence. This would in turn contribute to strengthening international ocean governance. The programme will also provide support to small-scale fisheries communities (Result 3) to allow them to actively participate in the management and development of the fisheries sector in a bid to address the marginalisation of small-scale fisheries (SSF).

1. CONTEXT

1.1 Sector/Country/Regional context/Thematic area

The contribution of fisheries and aquaculture in Africa to economic growth in the agriculture sector is estimated at 6 % of the agricultural Gross Domestic Product (GDP) and the sector employs some 50 million people of which 12.3 million are in direct employment. According to the World Bank, on average, fish and fish products account for 18 % of animal protein intake by African consumers and while men are usually involved in fishing activities, almost 60 % of the fish processing and marketing activities are performed by women. For the Indian Ocean Commission (IOC) Member States, the contribution of the fishery sector to their economies reaches on average 15.6 % of the agricultural GDP.

Marine fisheries

The programme involves three of the five countries with the largest coastlines of the African continent (Madagascar, Somalia and Mozambique) and four countries with the largest Exclusive Economic Zone (EEZ) (Seychelles, Mauritius, Madagascar and Somalia). The region also includes some of the poorest countries in the world that heavily rely on the use of natural resources, including fisheries. The sector has formally accounted for up to 30 % of GDP in Seychelles, 8 % in the Comoros, about 6 % in Mozambique, 5 % in Madagascar, 2 % in Tanzania, 1.5 % in Mauritius and 0.5 % in Kenya. Among the IOC member states, the sector contributes around 22.5% annually to total exports within the region (largely attributed to tuna and shrimp).

Small-scale fisheries are highly important as a backbone of livelihoods in rural coastal communities. It is estimated that 107 million people live within 100km of the coast in the Southwest Indian Ocean (SWIO) countries and the fisheries sector offers some 1 million direct jobs to the local population. The most important coastal fisheries supporting the livelihood of local fishers are the molluscs and small pelagic fish, caught by beach or reef collectors and demersal fish, including crustaceans of significant local and national relevance (such as shrimp, crab, lobster). The large pelagic fish (tuna and tuna-like species, billfish) are of great economic importance for the landing and processing hubs of Seychelles, Mauritius, Madagascar and Kenya. Women account for over 45 % of the workforce. They are mostly involved in small-scale fisheries, including collecting, processing, trading and marketing.

Inland fisheries

Inland fish production represents the greatest part of the total catch of the region. Lake Victoria, shared between Uganda (43%), Kenya (6 %) and Tanzania (51 %), represents Africa's largest freshwater fishery, which is currently dominated by three species: the Nile perch, the Nile Tilapia and the Dagaa. These are also commercially the most important species, contributing up to 90 % of the catch biomass. The lake's annual fish production is a key driver of economic integration in the region. Estimated at 1 million tonnes, it is valued at USD 840 million, generating a foreign exchange earning of USD 300 million, contributing greatly to the GDP of the riparian countries.

Lake Tanganyika provides the second largest freshwater fisheries on the African continent with annual fish production potential of the four countries bordering the lake estimated to vary in the range of 165 000–200 000 metric tonnes. The lake is shared between Burundi, Democratic Republic of Congo, Tanzania and Zambia. Small-scale fishing predominates with two distinct but overlapping fisheries: 1) offshore fisheries (pelagic zone), which mainly target two species of sardine-like clupeids and four species of perch; and 2) nearshore (littoral zone) fisheries, which target a wide diversity of species.

1.1.1 Public Policy Assessment and EU Policy Framework

1) The 2001 SADC Protocol on Fisheries promotes responsible and sustainable use of living aquatic resources and aquatic ecosystems, enhances food security and human health, safeguards livelihood of fishing communities and generates economic opportunities for nationals in the region. Combating IUU fishing remains one of the greatest threats to the sustainability of fisheries resources and to the livelihoods of fishing communities in the SADC region. The SADC Protocol on IUU fishing aims at the establishment of a Regional Monitoring, Control and Surveillance (MCS) Centre in Maputo with core mission building national capacity in the State Parties towards combating IUU fishing and related activities. Through this centre, many countries will benefit from regional collaborative initiatives such as joint management, joint patrol and research as well as information sharing on flagged and licensed fishing vessels and on those active in their fishing zones and ports.

2) The Regional Strategy for Fisheries and Aquaculture of the Indian Ocean Commission 2015-2025, aims at the overarching objective of allowing the fisheries and aquaculture sector in IOC member states to fully realise its potential contribution to sustainable and equitable growth in the region. The IOC Strategy recognises the relevance of the Food and Agriculture Organisation (FAO) Small-Scale Fisheries (SSF) Voluntary Guidelines for assisting Member States in reaching food security and poverty alleviation objectives. It is backed by an Action Plan for the period 2015-2020 that focuses on 8 thematic areas: Fisheries Governance; Fisheries Management; Monitoring, Control and Surveillance of shared fisheries (of common interest); Inter-regional trade and international trade of fish products; Food Security and Nutrition; Domestic tuna fishing; Aquaculture; Research and Training. IOC has been implementing the marine PRSP over the past ten years. A recent evaluation of the PRSP has acknowledged the relevance of the programme in addressing the issue of IUU fishing and its effectiveness. Furthermore, IOC has acquired significant experience in managing regional joint patrols in addition to national efforts to MCS. The recent PRSP Ministerial Meeting (July 2017) has seen commitment from the Participating States to enlarge the geographical coverage of the PRSP in view of the accruing IUU fishing in the region and ensure the sustainability of the PRSP.

3) The 2016 Intergovernmental Authority on Development (IGAD) Regional Fisheries and Aquaculture Strategies and Action Plan was developed and adopted with the financial support of EU. IGAD's policy framework identifies strategic objectives, key priority areas and strategic interventions separately for marine capture fisheries and inland capture fisheries.

Marine capture fisheries

For **marine fisheries management and development**, the objective is to develop and manage fisheries commensurate with conservation and sustainable use of resources, giving preference to small-scale fisheries to combat, deter and eliminate IUU fishing, and to safeguard the marine environment. To attain the objective, strategic interventions are proposed for four key priority areas: combat, deter and eliminate IUU fishing at regional and national levels through collaborative MCS; develop and manage national fishing capacities commensurate with resource availability and sustainability; arrest and reverse coastal and marine environmental degradation and habitat loss; and improve resource monitoring and research at national and regional levels. IGAD is also aiming to establish a regional MCS mechanism/node for the region.

Inland capture fisheries

For **inland fisheries development and management**, the objective is to develop and manage inland fisheries commensurate with sustainable use of resources and safeguarding the environment, ensured community rights-based or co-management approaches that limit access and that are based on scientific evidence. The strategic interventions to address these objectives include: improving small-scale fisheries in rivers and smaller water bodies by strengthening user rights and community participation in management; improving governance on transboundary large lakes, reservoirs and river systems; safeguarding the environment of inland fisheries in the region; and improving monitoring of fish stocks and research capacities and performance in MS.

4) The COMESA Medium-Term Strategic Plan 2016-2020 identifies strategic objectives to facilitate cross-border trade through the removal of trade barriers in the context of the Tripartite Free Trade and to strengthen the Blue Economy, where COMESA envisions unlocking investments and industrialisation leading to job creation. Initiatives include developing fisheries and opportunities for value addition through processing of fish products, seafood and aquaculture; establishment of fishing fleets to expand on the current processes and come up with a seafood hub and strengthen reciprocal fishing agreements; establish and/or strengthen marine services such as vessel registration and marine finance; development of marine spatial planning to make informed and coordinated decisions on sustainable use of marine resources; and develop a monitoring protocol for the coastal and ocean region. This strategic plan also includes the objective to foster gender equality and social development. People-centred regional development and social justice will be realised through gender equality, empowerment of women and youth, protection and promotion of the rights of the vulnerable groups.

COMESA (Common Market for Eastern and Southern Africa) Industrialization Policy (2015 to 2030) recognises Blue Economy as one of the ten priority sectors for improvement and transformation as many of its member states are concerned by the blue economy resources. The Blue Economy approach provides a prospect of sustained, environmentally sound, but also socially inclusive, economic growth based on COMESA countries' strengths in coastal and marine sectors as well as freshwater inland rivers, lakes and economic zones. The Blue Economy that focuses on areas such as fishing; shipping and maritime transport; coastal tourism; marine energy (fossil and renewable); pharmaceutical and cosmetic industries, genetic resources and general sea-based products; and blue carbon trading opportunities are targeted in the industrialisation policy.

5) The EAC Vision 2050 – Regional Vision for Socio-economic Transformation and Development 2016 identifies six pillars for its Vision 2050. Under the Agriculture, Food Security and Rural Development pillar, fisheries development features prominently. SSF is recognised for its contribution to employment, food security and income in the region.

Therefore, it is envisaged to invest in R&D within this sector. Centres of Excellence will be set for fishing innovation/research/technological upgrade, including through partnerships with international institutions – to share best practices and data on fishing mechanisms and aquaculture techniques, among others. Opportunities for private sector involvement in initiatives that are complementary to the industry will be promoted. In the next 35 years, the region will expand with a single operational space with the LVFO expanded beyond Lake Victoria to encompass all other water bodies in the region. The region will also cooperate with development partners towards curbing legal and unregulated fishing.

Coherence with EU policies: **1) the Global Strategy for the EU's Foreign and Security Policy** is guiding the choice of the priorities addressed by the programme to partner for governance and for the achievements of the SDGs; **2) the Common Fisheries Policy (CFP)**¹ and its external dimension aims to ensure that fishing is environmentally, economically and socially sustainable, promoting the same values where the EU fleet operate. This includes a network of Sustainable Fisheries Partnership Agreements (SFPA) and the effective implementation of the Fishing Authorisation Regulation (FAR) and EU IUU Regulation. All these actions jointly promote good ocean governance; **3) the 2007 Inter-Ministerial Declaration and Action Plan** for the fisheries surveillance in the SWIO region is a foundation for a cooperation framework between the EU and IOC-MS for joint coordinated actions to deter and eliminate the IUU fishing in the region **4) The Fisheries Chapters** of the EPAs between the EU and the sub-regions of Eastern and Southern Africa also provide a consistent approach for sustainable trade of sustainable fish and fish products; **5) The joint communication on International Ocean Governance**² and proposed actions that focus on securing safe, secure and healthy oceans and sustainable development of marine resource use at the global and regional level, for example through improving ocean governance, capacity building, reducing pressures, as well as strengthening knowledge and research; **6) the new European Consensus on Development**³, which recognises the contribution of sustainable fisheries as a key driver for poverty eradication and sustainable development; and **7) the EU "Gender Equality and Women's Empowerment: Transforming the Lives of Girls and Women through EU External Relations 2016-2020"**⁴, which focuses on the need for empowering women and girls.

1.1.2 Stakeholder analysis

- **Policy-Makers and High Officials** of the regional fisheries sector. Political dialogue at the highest level is necessary to bridge the gap between policy development and implementation on the ground. It is also instrumental for the institutionalisation of emerging policies and best practices in the sector.

- The **Duly Mandated Regional Organisations (DMRO)**: EAC, SADC, COMESA, IGAD and IOC have developed their fisheries policies, taking into account the specificities of their Member States. Considering the overlaps in membership, collaboration and cooperation between DMROs should be promoted, based on shared values and commitments. Cooperation with RFBs and RFMOs should be promoted to avoid confusion in terms of mandates. Considering DMROs are still short of capacity to implement fisheries programmes, it seems important to build on past achievements (cf PRSP) and ensure coherent and cost effective approaches in the development of regional policies. Capacities for development and

¹ Regulation (EU) 2015/812 of the European Parliament and of the Council of 20 May 2015.

² Joint communication to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, International ocean governance: an agenda for the future of our oceans JOIN(2016) 49 final of 10.11.2016.

³ IJ C 210 of 30.6.2017.

⁴ SWD(2015)182 final of 21.9.2015.

coordination among these DMROs and RFBs and partner programmes at regional as well as national levels are crucial.

- **Marine RFMOs (including IOTC, SIOFA) and RFBs (including SWIOFC):** Regional fisheries collaboration and cooperation will also be ensured through the respective mandates and areas of competence of the existing RFBs and the RFMOs, as provided for, under the United Nations Convention on the Law Of the Sea (UNCLOS) and the United Nation Fish Stock Agreement (UNFSA). There is a need to strengthen their organisational and operational capacities in the pursuance of sustainable management and governance.

- **Inland RFMOs:** The two RFMOs in Eastern Africa include the **Lake Victoria Fisheries Organisation (LVFO)** and the **Lake Tanganyika Authority (LTA)**. LVFO is a specialised Institution of EAC with the mandate to coordinate the management of the fisheries resources of Lake Victoria for sustainable development and utilisation. LTA, on the other hand, has the mandate of advancing and representing the common interests of the Contracting States in matters concerning the management of Lake Tanganyika and its catchment basin. Their interventions rest on their respective strategic frameworks. Key strategic issues of the **LVFO Strategic Plan 2016–2020** directly relevant to the present programme include Fisheries Management & Development; Fisheries Resource Monitoring and Research; Institutional Capacity and Governance; and Financial Sustainability. LVFO shall address key challenges related to (i) strengthening MCS on all the water bodies in the EAC by 2019; and (ii) strengthening institutions and institutional processes for development and management of fisheries resources of Lake Victoria as identified in its **LVFO Strategic Plan 2016 – 2020**. The **2012 Strategic Action Programme for the Protection of Biodiversity and Sustainable Management of Natural Resources in Lake Tanganyika and its Basin** identifies six Environmental Quality Objectives (EQO) intended to ensure that biodiversity is protected and natural resources in the lake basin are sustainably managed in the region. Sustainable Fisheries features as one of the Strategic Action Programme within EQO: *Healthy fish stocks, which are adequately managed to sustain future exploitation*. To address the increasing threat to the sustainability of fisheries resources in the lake, LTA should be supported in addressing respectively its short-term targets related to the adoption of co-management plans, medium-term targets related to regional cost-effective MCS capacities strengthened and long-term targets related to the application by all riparian countries of sustainable national and regional Fisheries Management Plan. This should be done in complementarity with the EDF11 cross regional programme on water management in the transboundary basin of the lake.

- **Competent Authorities** of the Partner Countries to the Joint Regional Fisheries Patrol Programme of the PRSP include the State Department of Fisheries, National Coast Guards, Fishing Authorities, Centre de Surveillance des Pêches. These organisations benefited from direct grants under EDF10 SmartFish to promote regional joint patrols (air and sea), in addition to their national efforts for MCS. As committed at the PRSP Ministerial Meeting of July 2017, coastal countries should enhance their cooperation to efficiently tackle IUU fishing and enforce the applicable regulations for the sustainable management of the stocks.

- **European Fisheries Control Agency (EFCA):** EFCA has been supporting the IOC-PRSP in various capacity building initiatives over the past 3 years (under PE). Under Result Area 3 of the PE3 of SmartFish, there was provision for the implementation of a Risk Assessment Methodology and SOPs by enhancing the Regional Coordination Unit (RCU) for MCS in cooperation with EFCA. A workshop for risk analysis and information sharing was organised in September 2017 in Mauritius for Participating States of PRSP. The workshop was a success and a series of recommendations were made for future collaboration with EFCA and assistance to countries to develop their national risk analysis programme. It is in this context

that the provision is made for a continuation of support from EFCA under ECOFISH. Programme Estimates under ECOFISH will make provision for this continued support.

- Fisher Organisations and communities: FPAOI - a Federation of Fishermen Cooperatives of the Indian Ocean that was established by EDF10 SmartFish - together with other small-scale fishing communities, should be empowered to actively participate in the management and development of the fisheries sector. Best practices for sustainable fishing, mangrove protection, deterrence and elimination of prohibited and harmful fishing gears should play a leveraging role in sustainable investments in fisheries. The FAO Voluntary Guidelines for securing small-scale fisheries recognise gender equality as a guiding principle. Recognising the vital role of women in SSF, equal rights and opportunities should be promoted. Through the SSF actors, the programme can support the role of both men and women who are engaged in pre-harvest, harvest or post-harvest operations, thus contribute to creating jobs and other revenue-generated activities.

- Private sector, essentially MSMEs, is essential to value-chains and central to production, processing, marketing and the services that these activities require to function, e.g. transport, provision of equipment and materials, maintenance of equipment, fish feeds, communications and finance. They are a source of job creation for both women and youth. Within the context of sustainable resource management, assisting MSMEs to develop and become more efficient and effective is key to the stability and sustainability of the sector and its contribution to the food security of the growing number of consumers.

1.1.3 Priority areas for support/problem analysis

Priority areas for support/problems addressed by the proposed actions are:

1) Fisheries management and governance based on scientific and economic evidence:

Open access nature of the fishery. Open access results in overfishing and the degradation of the coastal and inland small-scale fisheries and their ecosystems. It is also responsible for the degradation of the livelihoods and well-being of the fishing communities. Doing away with the open access is essential for increasing the benefits in the local and national economy. It is also necessary for the modernisation and the professionalisation of the fisheries at stake. SSF and their regulations are of high priority in reforming the fisheries sector to address the serious concern of open access fishery and ineffective empowerment of local administrations and social organisations who could act responsibly for a sustainable exploitation of the resources.

Weak and uncoordinated institutions governing sector. Although adequate policies and regulations exist in most of the beneficiary countries, they have not been adequately enforced or implemented. The situation is exacerbated in the management of transboundary resources. Therefore, the capacities of the regional and national agencies in implementing appropriate fisheries management policies / strategies and plans need strengthening.

Improved fisheries statistics and economic data are essential for informed policy making, management, monitoring and evaluation. Proper technical support, including relevant expertise, is required for establishing and strengthening the fisheries data architecture.

2) Combating IUU fishing:

Inadequate control and insufficient resources as well as lack of cooperation and collaboration contribute to a high incidence of IUU fishing. Weak monitoring capacity in many countries has allowed for expanding IUU fishing activities, loss of revenue and overfishing. Traceability of fisheries products is limited, which means IUU catch can easily reach markets. The prosecution systems and legal regimes are generally inadequate. These gaps have considerably weakened the capacity to fully comply with international obligations and

achieve the socio-economic benefits associated with a well-managed exploitation of the marine fisheries resources.

Compliance of the parties to national legislation and regional fisheries management organisations rules is another challenge. Many countries involved in fishing activities in the region do not comply with the principles of the international and regional agreements to which they have subscribed. Flag of convenience continues to be a common practice. The flagged fishing vessels (including support ships, fish processing vessels, vessels engaged in transshipment and carrier vessels equipped for the transportation of fishery products) often have no genuine link with the flag state, which fails to ensure adequate monitoring of these vessels' activities and which may not follow up, even with evidence of infringements by these vessels, of the applicable laws, regulations and conservation and management measures.

During the previous EU-funded programmes, much emphasis was put on combating IUU fishing in the industrial tuna fisheries in the SWIO region under the aegis of the FAO's International Plan of Action against IUU fishing, implemented by the IOTC. Significant progress has been achieved in combating IUU fishing in this fishery in the region and yet more effort will have to be devoted in order to make it a world class standard. The above achievement should not overlook the magnitude of IUU fishing in the small-scale marine and inland fisheries, which is backwashing the efforts made in fisheries management so far. There is a necessity to reinforce capacities in the legal and judiciary mechanisms so that natural and legal persons supporting or engaged in IUU fishing activities could be severely punished so as to raise the opportunity costs of these activities. For these measures to be effective, it would also be imperative to ensure transparency on the sanctioning outcomes.

The problem of IUU fishing is also severe in the IGAD region. Maritime security has largely been restored with an efficient and deterring control of the piracy. However, such a situation has become favourable to increased IUU fishing activities. In this context, the MCS systems in place to deter piracy and IUU fishing should complete each other and develop synergies as foreseen in the EU-funded Maritime Security project. There is a need to strengthen collaboration with other cross-sector programmes which are indirectly concerned with IUU fishing, for example Maritime Security and Fisheries Crime and, at the same time, bring more valuable information to the fishing community.

3) Marginalisation of small-scale fisheries (SSF):

Small-Scale Fisheries (SSF) account for more than 60 % of Africa's fisheries production and almost all the catches are destined for human consumption. The level of organisation of SSF remains low and governments in the region have provided insufficient support for the empowerment of small-scale fishing communities. The supply from SSF is generally affected by huge post-harvest losses, while the discards of the bycatch by the industrial fisheries could also possibly significantly contribute to further diversification of the fisheries value chains. The potential of the modernisation of SSF into domestic semi-industrial fisheries remains largely unexplored. The sustainable exploitation of untapped fisheries resources outside the traditional fishing grounds would improve the economic resilience of the fishers and possibly address increasing needs for fish consumption. In the IGAD region, fish consumption is very low compared to other regions in Africa. There is a need to increase awareness on nutrition and fish consumption. There is also the potential to increase fish consumption in neighbouring landlocked countries. Such avenues need to continue to be explored.

It is also important to consider the gender dimension of the fisheries sector. Women are active in both small-scale fisheries and commercial fishery sectors and substantially contribute to both national and household food security. Usually not involved in active fishing (with the exception of inland fisheries and lagoon fisheries), women are very active in the pre and post-harvest operations. Their roles in the fishery sector include working as fisherwomen, selling

fish, acting as auctioneers, agents or merchants, making and repairing nets, drying and salting fish, working as labourers for processing firms and fish farming.

1.2 Other areas of assessment

N/A.

2 RISKS AND ASSUMPTIONS

Risks	Risk level H/M/L	Mitigating measures
Regional support and advice might not be translated into effective results at national and local levels of the programme delineation. Delayed coordination between different key stakeholders both at national and regional levels.	H	<p>Proper coordination between all the key stakeholders and networks established by the previous regional programmes. Emphasis on the consolidation of the coordination platform of the development agencies and partner programmes at all levels.</p> <p>Preliminary wide consultation with stakeholders to build on activities which are necessary and achievable in the countries of the region.</p>
Potential deviation from the actual mandate of the programme emanating from the national and local stakeholders.	H	<p>Adequate awareness / sensitisation of the key stakeholders of the modus operandi of the present programme at the start in order to gather the necessary buy-in. Demand-driven proposals from the national level should be cross-checked against the initial objectives of the programme.</p>
Risks of overlapping and duplication of efforts from several regional initiatives leading to confusion in effectiveness and wastage of resources and the uncoordinated approaches among DMROs.	M	<p>Ensuring that there is a proper sharing of information, communication and coordination among the various DMROs and donors.</p> <p>The funding requirements to address the development of the sector are huge. Donor coordination is a task to be endorsed primarily by the beneficiary institutions accountable for their activities to their members and different donors. More funding means more ambitions but certainly not duplication. The institution anchorage approach through the direct support they will receive will mitigate the risk of duplication of the activities. Presence of other donors and relevant stakeholders as observers on the Steering Committee of the programme should be envisaged to avoid duplication of activities and ensure better coordination.</p>

Unavailability of trained and dedicated human resources at national and regional levels to support the interventions of the programme.	M	This mismatch will be resolved by the proper identification of regional, national and local expertise available in the region. It is a specific goal of the programme to enhance the human capacities across the programme during its duration.
The risk that the programme fails to fully integrate the dimension of gender equality including the vulnerable groups effectively.	M	This potential risk has been anticipated by the stakeholders' analysis and includes the areas where these vulnerable groups are in operation. Gender analysis will be taken into consideration if existing and conducted when missing on the gender dimension of the programme. Include gender disaggregated data, encourage women's participation in the intervention and consultation.
Weak commitment and ownership of the DMROs and national agencies in the implementation of the programme.	L	It is essential to ensure capacity mobilisation at national level (cf grants to coastal countries in the context of PRSP) and at IOC level mainly. At PRSP Ministerial meeting of July 2017, Participating States had expressed commitment to ensure sustainability of the programme and extend geographical coverage.
Failure to operationalise fully the concept of Blue Economy in the regional fisheries sector.	M	Acknowledging that this concept is still at its nascent stage and its proper definition within the socio-ecological context of the region is still under consideration, the programme at first, will ascertain an appropriate framework for the mainstreaming of the concept of Blue Economy.
Assumptions: <ul style="list-style-type: none"> • Global economic conditions, external factors and national governance will not prevent economic growth; • Positive impacts on the environment are not negated by natural disasters; • International market pressure for sustainable fisheries are maintained; • The international agreements and their founding principles are not subject to interpretations. 		

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

This programme has taken on-board the lessons learnt and best practices of the previous phases of EDF10 SmartFish programme but has also explored the emerging prospects and challenges of sustainable management and development in the regional fisheries sector. This includes the experiences garnered by other past and current partner programmes. The lessons learnt refer to four major stakes of the programme:

a) Co-management of small-scale fisheries:

Experiences observed by SmartFish have confirmed that co-management is an efficient tool for promoting sustainable management and development in the small-scale fisheries, inland and marine alike. Therefore, promoting fishers' associations (including fisherwomen organisations), community-based management organisations, cooperatives and social enterprises are indispensable to promote economic activities with social objectives.

b) Monitoring, Control and Surveillance:

Tackling illegal activities is feasible as long as there is a strong willingness to go ahead and coordination between parties. The PRSP coordinated by the IOC in the SWIO region is overall a mechanism that has shown its efficiency. The success of the Joint Fisheries Patrol programme of the PRSP is intended to be used as a modality for developing a Joint Maritime Patrolling under the MASE programme. It needs to be aligned at the national level with deterring laws and regulations where Competent Authorities are provided with adequate financial and human resources for the MCS mechanisms to be smartly guided and fully operational. The prosecution of the IUU cases at national and regional levels must be systematically engaged in full transparency. The main objective of the MCS programme is not only focused on IUU vessels but shifted to primarily contribute to the conservation and management of the tuna and tuna-like species through the enforcement of the applicable RFMO's resolutions. The cooperation with the participating countries should be extended to joint inspections in ports and in high seas on the industrial vessels flagged by the participating countries. The joint collaboration with SWIOFISH1 programme in the implementation of the PRSP is another lesson that could be considered for replication under the present programme. With the growing incidence of IUU fishing in the region, there was a strong commitment by Participating States at the last PRSP Ministerial Meeting of July 2017 to ensure the sustainability of the PRSP and extend its geographical coverage. Both EU (under EEOFISH programme) and World Bank (SWIOFISH programme) had committed to further supporting PRSP.

c) Pilot projects as learning investment: The Conference on "Driving African fisheries to sustained growth – Building on the achievements of the EDF10 SmartFish Programme", held in Nairobi in April 2017, focused on lessons learnt as basis for future fisheries programme. SmartFish had indeed a plethora of pilot projects in the various areas of fisheries management and governance at community level. These experiences can be used to support concrete fisheries management and governance initiatives in small-scale inland and marine fisheries with the possibilities of replication at regional level.

d) Other cross cutting issues

- To optimise the utilisation of the resources and funds, clear criteria should guide the selection of countries where the programme could deliver sustainable results related to selected fisheries.
- The communication strategy based on success stories is a key vehicle to show that solutions exist and work.
- Ownership of the activities of the programme needs to be ensured through a relevant and sustainable participation of the beneficiaries in the activities of the programme.

3.2 Complementarity, synergy and donor coordination

1) EU initiatives in the region:

i) FISHGOV project: "*Strengthening Institutional Capacity to Enhance Governance of the Fisheries Sector in Africa*" is implemented by the AU-IBAR and targets at enhancing the contribution of fisheries resources to food security and economic growth in Africa by improving institutional and policy environment for sustainable management and utilisation of

fisheries resources in Africa. The key result area of the project is to improve institutional capacity and regulatory frameworks for sustainable fisheries management by working to promote coherence and harmonisation in fisheries policies and regulatory frameworks. The achievements of the programme would further illustrate and support actions in line with the Policy Framework and Reform Strategy for fisheries and aquaculture in Africa.

ii) FISHTRADE project: *"Improving Food Security and Reducing Poverty through intra-regional Fish Trade in sub-Saharan Africa"* implemented by WorldFish, NEPAD and AU-IBAR with the objective to improve food and nutritional security and reduce poverty in sub-Saharan Africa by enhancing the capacities of regional and pan-African organisations to support their member states to better integrate intra-regional fish trade into their development and food security policy agendas.

iii) EDF10 Programme to promote Regional Maritime Security (MASE): EEOFISH will work in complementarity with Result 4 of the MASE programme regarding the development of a joint operational patrol initiative. MASE intends to build upon the success of the existing Joint Fisheries Patrol programme to develop a modality for a Joint Maritime Patrolling.

iv) EDF11 Promoting Aquaculture project in the EAC will aim at operationalising by the LVFO of the EAC Aquaculture Strategy and implementation by each partner state of the policies, strategy and legal framework creating an enabling environment for the private sector to invest in the sub-sector.

v) EDF11 Cross regional "Programme de gestion transfrontalière des ressources en eau dans le Bassin du Lac Tanganyika" with the objective to contribute to equitable utilisation, shared benefits and mitigated common risks of trans-boundary waters in the basins of Lake Tanganyika. The modalities of implementation are yet to be defined. Synergies will be ensured while elaborating the work plan of LTA under the EEOFISH programme.

vi) Sustainable Fisheries Partnership Agreements (SFPA) concluded by the EU with Mauritius, Madagascar and Seychelles under the Common Fisheries Policy include specific funding for "sectoral support" that can be used notably to develop domestic fishery sector, strengthen MCS capacities or improve compliance with the RFMOs' resolutions and recommendations. In Mauritius, for instance, the new Protocol provides for a distinct contribution to develop the field of ocean economy and achieve economic growth and employment. Complementarity will be ensured between actions to be supported by EEOFISH and the new protocol. The complementarities will be identified during the elaboration of the Programme Estimates and the Guidelines for Applicants for the direct grants to National Competent Authorities.

vii) Support to IOTC by DG MARE consists essentially of action grants to (i) providing assistance to foster compliance, (ii) supporting the implementation of the Regional Observer Scheme and (iii) supporting the IOTC Scientific Committee Programme of Work.

viii) EU CRIMARIO: Enhancing Maritime Situational Awareness in the Indian Ocean to improve maritime governance by building a global information sharing network, strengthening capacity-building and developing operational policies.

2. Initiatives of other donors in the region:

i) World Bank SWIOFish project aims at improving the effectiveness of fisheries management at the regional, national, and community level. IOC, in favour of the SWIOFC, and its member states, implements the regional component of the project focussed on fisheries governance and shared growth in the fisheries sector. Since December 2015, the SmartFish Regional Surveillance Programme (PRSP) and the SWIOFish1 project have evolved side by side in the fight against illegal activities in the fishery sector of the IOC and Eastern African region. In addition, SWIOFish and SmartFish have supported the setting up of National

Observer Programs in SWIOFC member states and the development of a Regional Observer Scheme. In its phase 2, SWIOFish will also support IOTC and FPAOI, calling for proper coordination with ECOFISH.

ii) **The Global Environment Facility** is also funding a tuna fisheries and biodiversity conservation project in the areas beyond national jurisdiction project, implemented by the FAO with linkages to WWF actions in the region driving changes in the governance, in the markets for responsible investments and partnership.

iii) **GIZ** (Deutsche Gesellschaft für Internationale Zusammenarbeit) **programme** "*Responsible Fisheries Business Chains on Lake Victoria*" (under formulation) aims at the sustainable management of Nile Perch fisheries on Lake Victoria to contribute to improved food security and local income in East Africa. Coordination between these two programmes will be required to ensure complementarity on their interventions on Lake Victoria.

iv) **Global Maritime Crime Programme (GMCP) of UNODC** continues to provide technical assistance to combat maritime crime through its interregional approach, particularly relevant with the re-emergence of illegal fishing off the Horn of Africa. In 2016, for instance, the GMCP undertook significant work with maritime police units to improve their internal capacities to deal with this wide array of threats including illegal fishing.

v) Complementarity with the FAO is also envisaged and refers to the **Biodiversity Mainstreaming Platform**, the ultimate goal of which is to promote and facilitate the adoption of good practices across all agricultural sectors that will support the conservation and sustainable use and management of biodiversity and increase the productivity, stability and resilience of production systems in an integrated approach.

3.3 Cross-cutting issues

Gender and Youth - The fisheries sector in developing countries is recognised as one of the most economically depressed sectors in society. Women in fisher households are often overworked, with their contribution unrecognised, unvalued or undervalued. They are underpaid and exploited, often illiterate, undernourished with poor productivity and lacking opportunities for skills upgrading and access to training.

Women constitute the majority of the poor, the unemployed, the disposed and those who work in the informal sector. According to the SADC Gender Profile, the spread of HIV/AIDS in the rural areas has additional negative impacts for countries as it touches directly on the overall food security situation. This impacts on the lives of fisherwomen as less women are available for fishing activities. Besides, women in particular remain marginalised both in terms of their activities and their role in decision making processes.

All DMROs have integrated gender equality and concerns for mainstreaming children and youth rights in their strategic policy, legal and programme instruments as well as in national constitutions of the EA-SA-IO countries. Gender will be mainstreamed in line with the new EU Staff Working Document on Gender Equality and Women's Empowerment 2016-2020. Women play major roles in post-harvest activities while youths contribute significantly to fishing activities. The programme will seek to strengthen the role of women in fisheries management through capacity development and empowerment. The programme will ensure that the data on beneficiaries will be sex disaggregated. Tenure rights and resource access should be secured and guaranteed and sustain the livelihoods of small-scale fishing communities. Therefore, integrated coastal zone management platforms that include small-scale fisheries actors ought to be promoted.

Climate change adaptation – Climate change is expected to have adverse effects in the ecosystems, bio-diversity and fish stocks requiring its consideration in the development of fisheries management plan. Thus, strategies will be developed to minimise climate change

effects and promote effective responses and adaptation mechanisms. Issues pertaining to environmental challenges such as pollution, habitat degradation, rapid fish stock collapses will be addressed during project implementation. Climate change is recognised as a cross-cutting issue in the regional policy frameworks. In view of the rising threat of climate changes to fishing communities and their livelihoods, awareness creation and sensitisation campaigns on climate change effects will need to be conducted. Grass root organisations (e.g. NGO/CBO) can effectively contribute to these campaigns.

4. DESCRIPTION OF THE ACTION

4.1 Objectives/results

This programme is relevant for the United Nations 2030 Agenda for Sustainable Development. It contributes primarily to the progressive achievement of SDG14 – Conserve and sustainably use the oceans, seas, and marine resources for sustainable development, but also promotes progress towards Goal 1 – End poverty in all its forms everywhere; Goal 2 – End hunger, achieve food security and improved nutrition and promote sustainable agriculture; Goal 5 - Achieve gender equality and empower all women and girls; and Goal 8 - Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all. This does not imply a commitment by the region benefiting from this programme.

The **overall objective** of the E€OFISH programme is *to enhance equitable economic growth by promoting sustainable fisheries in the EA-SA-IO region*. The **specific objective** is to support sustainable management and development of fisheries, while addressing climate change resilience and enhancing marine biodiversity.

The **main expected results** are:

Result 1: Regional policies and institutional frameworks are enhanced to secure more sustainable fisheries management and contribute to marine biodiversity and climate resilience;

Result 2: Strengthened capacity to prevent, deter and eliminate IUU fishing in the EA-SA-IO region; and

Result 3: Concrete fisheries management and governance initiatives in small-scale inland and marine fisheries are supported with the possibilities of replication at regional level.

4.2 Main activities

The **major activities** foreseen are:

Result 1: Regional policies and institutional frameworks are enhanced to secure more sustainable fisheries management (*indirect management with DMRO for marine fisheries & indirect management with two different entities in Burundi and Uganda for inland fisheries*⁵)

Specific activities will be defined together with the RFBs and RFMOs (SWIOFC, IOTC, SIOFA, LTA and LVFO), based on their respective work plans. These activities may include possible support to coastal states to ensure compliance with agreed regional policies/recommendations. Coordination with the World Bank and DG MARE will ensure that there is no duplication in interventions. Capacity building and technical assistance will be provided whenever warranted.

⁵ The inland fishery component will be managed by the EU Delegations in Burundi (for Lake Tanganyika basin) and in Uganda (for the Lake Victoria basin). The EU Delegation will be the contracting authority in each instance.

Strategic actions:

- Enhance regional cooperation in the sustainable management of shared resources in the inland and marine fisheries;
- Evaluate and review existing management plans and/or develop and support the implementation of new management plans for species and/or fisheries of regional interest;
- Promote coherent regional registration and licensing frameworks in the small-scale inland and marine fisheries;
- Strengthen the technical and administrative capacities of RFBs to improve service delivery at regional level;
- Facilitate collaboration with other regional institutions in charge of natural resources management (e.g. Regional Sea Conventions) and synergies with relevant programmes;
- Improve data collection and data management in support of more evidence based regional policies;
- Map changes in the range of fish species and strengthening the monitoring of fish stocks to determine the impacts on fish populations of climate change and other factors;
- Support the adoption and implementation of management measures aiming at protecting marine biodiversity with regional impacts.

Result 2: Strengthened capacity to prevent, deter and eliminate IUU fishing in the EA-SA-IO region

Activity 1: Strengthening the capacity to fight IUU fishing in the Indian Ocean region through improved regional coordination mechanisms (indirect with DMRO and direct management with National Competent Authorities)

Strategic actions: With a view to fostering regional cooperation for combating IUU fishing in the Indian Ocean and in continuation of the PRSP, the following activities are proposed:

- Support inter-regional (at regional level), inter-agency (at national level) and inter-governmental MCS cooperation, coordination and harmonisation processes in the EA-SA-IO region in view of a more effective fight against IUU fishing at regional level;
- Support exchanges of experiences and the development of coordinated approaches to improve MCS of artisanal and semi-artisanal vessels targeting shared marine resources;
- Organise and coordinate joint sea and aerial patrols with National Competent Authorities in continuation of the Joint Regional Fisheries Patrol Programme of the IOC-PRSP (*Grant - direct management*);
- Facilitate the interoperability of systems and exchange of data at (sub)regional level;
- Support capacity-building for regionally harmonised enforcement, compliance and prosecution procedures in the fisheries sector – including support to the implementation of the Port State Measures Agreement;
- Provide capacity-building and technical assistance on certification and traceability schemes;
- Encourage synergies with other regional initiatives including marine security programmes;
- Establishment of a regional risk assessment framework with the support of EFCA through a twinning programme.

If required, the programme could also support regional and national observer schemes, in complement to SWIOFish activities.

Activity 2: Develop regional MCS frameworks for the inland fisheries⁶

Strategic actions:

- Establish and implement a regional MCS system that encompasses, among others, the development of regional guidelines or framework on fisheries licensing, the establishment of user rights-based management systems (control of open access);
- Build capacity to implement inland monitoring and surveillance programmes;
- Support capacity building for harmonised enforcement, compliance and prosecution procedures in the inland fisheries sector.

Result 3: Concrete fisheries management and governance initiatives in small-scale inland and marine fisheries are supported with the possibilities of replication at regional level (direct management through Call for Proposals)

Strategic actions:

- Support the implementation of FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the context of Food Security and Poverty Eradication⁷ and FAO Voluntary Guidelines on the responsible Governance of tenure of land, fisheries and forests in the context of national food security⁸;
- Support activities that aim at reducing overfishing and excess capacity, including adjusting fleet composition;
- Strengthen community-based management of small-scale fisheries (inland and marine) including participative surveillance;
- Support to biodiversity conservation and rehabilitation measures;
- Encourage value addition and food losses reduction through value chain approaches;
- Support fisheries and fish product safety and standard from production to consumption;
- Support the continuation and/or replication at regional level of successful pilot initiatives initiated under the EDF10 SmartFish programme.

The call will focus on fisheries and value chains of regional interest i.e. shared fisheries or fisheries present in different countries of the region. The Regional Coordination Unit and Technical Assistance will monitor the implementation of these different projects to ensure synergies with the other components of the programme.

4.3 Intervention logic

This regional programme primarily focuses on regional priorities that cannot be addressed at national level. A regional approach is relevant for the major fisheries value chains, considering the transboundary marine migratory stocks and the inland waters shared resources. The programme will therefore support duly mandated RFMOs and RFBs.

Under this programme, many countries will benefit from regional collaborative initiatives such as joint management, joint patrol and research as well as information sharing on flagged and licensed fishing vessels and those active in their fishing zones and ports. This should result in strengthening capacities of national authorities.

⁶ The inland fishery component will be managed by the EU Delegations in Burundi (for Lake Tanganyika Basin) and in Uganda (for the Lake Victoria Basin). The EU Delegation will be the contracting authority in each instance.

⁷ <http://www.fao.org/3/a-i4356e.pdf>

⁸ <http://www.fao.org/docrep/016/i2801e/i2801e.pdf>

It is proposed to use the Calls for Proposals approach to reach a wider range of beneficiaries, including actors on the field. Results achieved through these projects will be shared at regional level and feed discussions among regional stakeholders.

Among the eligible coastal states of the region, the programme would focus on the most important fisheries value chains, namely the tuna, and the fisheries supporting the livelihood of local fishers: the molluscs, pelagic and demersal fish and the crustacean. The financial resources of the programme would be oriented to provide more support to the small-scale artisanal and semi-industrial fisheries value chains, while putting emphasis for the industrial fisheries on their compliance with fisheries management measures.

A **Technical Assistance (TA)** team will be required for the engineering of the programme. A Team Leader will act as the Programme Coordinator. He will be supported in the technical management of the programme by short-term experts. The TA team will assist in the preparation of the calls for proposal, its publicity and its monitoring and evaluation. The TA team will also provide support to the RFMO (LTA and LVFO) in the preparation of their action plans, design and implementation of their activities. A Communication Expert will support in publicising the acquis of the programme and its communication through the elaboration of a 5-year Communication and Visibility Strategy, cultural productions (radio programmes, documentaries, cultural events), selecting professional performers, artists and specialised agencies. The TA team will assist in the organisation of regular Steering Committee meetings and Ministerial Policy Dialogues.

5. IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is foreseen to conclude a financing agreement with the partner region – the Indian Ocean Commission (IOC), referred to in Article 17 of Annex IV to the ACP-EU Partnership Agreement.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is **72 months** from the date of entry into force of the financing agreement.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute non-substantial amendment in the sense of Article 9(4) of Regulation (EU) 2015/322.

5.3 Implementation of the budget support component

N/A.

5.4 Implementation modalities

Both in indirect and direct management, the Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with restrictive measures affecting the respective countries of operation.

5.4.1 Grants: Call for Proposals "Support concrete fisheries management and governance initiatives in the small-scale inland & marine fisheries" (under Result 3 – direct management – EU Delegation Mauritius)

(a) Objectives of the grants, fields of intervention, priorities of the year and expected results

The **overall objective** of the Call for Proposals is to raise awareness of fishing communities and other stakeholders about the need for sustainable management and governance of the inland and marine fisheries resources and strengthen efforts to improve the livelihoods of fishing communities. More specifically, the Call will support concrete fisheries management and governance initiatives in small-scale inland and marine fisheries with the possibility of replication at regional level.

(b) Eligibility conditions

Subject to information to be published in the call for proposals, the minimum size of grant will be EUR 500 000 and the grants may be awarded to sole beneficiaries and to consortia of beneficiaries (coordinator and co-beneficiaries). The indicative duration (its implementation period) of the grant is 48 months.

In order to be eligible for a grant, the applicant must be a public sector operator (government bodies), local authority, a Non-State Actor (NSA), a business organisation (producer organisation, MSMEs, cooperatives and social enterprises), a research institute constituted in accordance with the legislation in force in the member states of the abovementioned DMROs of the EA-SA-IO region, or an international (inter-governmental) organisation as defined by Article 43 of the Rules of application of the EU Financial Regulation and be directly responsible for the preparation and management of the action with the co-applicant(s) not acting as an intermediary.

(c) Essential selection and award criteria

The essential selection criteria are financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for grants under this call is 90 % of the eligible costs of the action. The rate may be higher if the auto-financing capacity of the targeted beneficiaries is weak.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, in accordance with Article 37 of Regulation (EU) 2015/323, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative timing to launch the call:

3rd trimester 2018.

5.4.2 Grant: Direct award "Support regional joint sea and air patrols of National Competent Authorities of member states of the DMROs" (under Result 2 – direct management - EU Delegation Mauritius)

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

The **overall objective** of the direct grant to the National Competent Authorities⁹ is to tackle illegal fishing in the EA-SA-IO region by organising regional joint patrols in addition to national efforts for MCS in continuation of the Joint Regional Fisheries Patrol Programme of the IOC-PRSP.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to the National Competent Authorities of the Participating States of the IOC-PRSP which are member states of the DMROs. It is expected that the number of Participating States to the PRSP will increase to 8. Therefore, we foresee 8 direct grants under this component of the programme.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because National Competent Authorities have the monopoly and technical expertise (RAP Article 190(c)) in the fight against illegal fishing within the EA-SA-IO region.

(c) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 80 % of the eligible costs of the action.

In accordance with Article 192 of Regulation (EU, Euratom) No 966/2012, applicable in accordance with Article 37 of (EU) Regulation 2015/323, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Exception to the non-retroactivity of costs: The Commission authorises the eligibility of costs prior to the submission of the grant application as of 1st June 2018. In order to allow for the continuation of activities of the Plan Regional de Surveillance des Pêches (PRSP), the Commission authorises the eligibility of costs borne under the PRSP as of 1st May 2018. This is justified by EU commitment at the PRSP Ministerial Meeting held on 28 July 2017 in Madagascar to maintain support to the PRSP under the E€OFISH programme in order to avoid any disruption in the implementation of activities pertaining to the fight against IUU.

(f) Indicative trimester to conclude the grant agreement: 3rd trimester 2018.

⁹ These include essentially State Department of Fisheries, National Coast Guards, Fishing Authorities, Fisheries Monitoring Centres.

5.4.3 Procurement (direct management)

Subject in generic terms, if possible	Type (works, supplies, services)	Indicative number of contracts	Indicative trimester of launch of the procedure
Technical Assistance (TA) team for the engineering of the programme	service	1	3 rd trimester 2018

In order to permit the rapid start-up of activities, the invitation(s) relating to technical assistance may be launched under suspensive clause of the Commission's final decision on this programme.

5.4.4 Indirect management with a Member State agency (Results 1 & 2 - EU Delegation Burundi)

A part of this action may be implemented in indirect management with ENABEL¹⁰ in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 17 of Regulation (EU) 2015/323. This implementation entails to enhance the capacity of the LTA at ensuring sustainable utilisation of the fisheries resources of Lake Tanganyika through the development and adoption of conservation and management measures. This implementation is justified because of the experience of ENABEL in fishery and natural resources management. ENABEL is also operating in three of the four countries of the Lake Tanganyika basin: Burundi, Tanzania and Democratic Republic of Congo.

The entrusted entity would carry out, among others, the following budget-implementation tasks:

- Elaborate a detailed budgeted work plan in consultation with LTA to address Results 1 and 2;
- Assist LTA in the implementation of the agreed activities;
- Fisheries expert of the entrusted entity will need to provide Technical Assistance to LTA as and when required;
- Participation to any relevant Technical Committees and Programme Steering Committee;
- Collaborative works with EU Delegations and the DMROs in the implementation of the EEOFISH programme;
- Ensure collaboration with the Technical Assistance to be recruited by the EU Delegation Mauritius;
- Ensure Communication and Visibility of the European Union.

If negotiations with the above-mentioned entrusted entity fail, that part of this action may be implemented in indirect management with the Indian Ocean Commission (IOC). In that case, the contracting authority for the activities will be the Lake Tanganyika Authority (LTA), delegated by the Regional Authorising Officer. The management and implementation of the programme estimate shall be carried out by the Lake Tanganyika Authority. The agreement between the Regional Authorising Officer and the body shall explicitly appoint the two persons, and their deputies, who will take on the duties of the imprest administrator and of the imprest accounting officer (public indirect decentralised operations).

¹⁰ Belgian Technical Cooperation- <https://www.enabel.be/>

5.4.5 Indirect management with a regional organisation – (Results 1 and 2)

A part of this action with the objective of:

- Securing more sustainable fisheries management and contributing to preventing, deterring and eliminating IUU fishing (Result areas 1 & 2);
- Ensuring sustainable utilisation of the fisheries resources of Lake Victoria through the development and adoption of conservation and management measures (Result areas 1 & 2).

may be implemented in indirect management with the Indian Ocean Commission in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 17 of Regulation (EU) 2015/323 according to the modalities.

The regional organisation will act as the contracting authority for the procurement and grant procedures. The Commission will control ex ante all the procurement procedures except in cases where programme estimates are applied, under which the Commission applies ex ante control for procurement contracts above EUR 100 000 (or lower, based on a risk assessment) and may apply ex post control for procurement contracts up to that threshold.

The Commission will control ex ante the grant procedures for all grant contracts.

Payments are executed by the Commission except in cases where programmes estimates are applied, under which payments are executed by the regional organisation for direct labour and contracts below EUR 300 000 for procurement and for grants.

The financial contribution does not cover the ordinary operating costs incurred under the programme estimates.

In accordance with Article 190(2)(b) of Regulation (EU, Euratom) No 966/2012 and Article 262(3) of Delegated Regulation (EU) No 1268/2012, applicable in accordance with Article 36 of Regulation (EU) 2015/323 and Article 19c(1) of Annex IV to the ACP-EU Partnership Agreement, the Indian Ocean Commission shall apply procurement rules of Chapter 3 of Title IV of Part Two of Regulation (EU, Euratom) No 966/2012. These rules, as well as rules on grant procedures in accordance with Article 193 of Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 17 of Regulation (EU) 2015/323 will be laid down in the financing agreement concluded with the IOC.

As the project, because of its geographical scope, involves activities that cannot be implemented properly at a geographically centralised level, separate components will be covered by its own programme estimate.

Each programme estimate will be prepared and implemented by its own imprest administrator and imprest accounting officer as detailed here below.

5.5 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 22(1)(b) of Annex IV to the ACP-EU Partnership Agreement on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.6 Indicative budget (in EUR)

Activity	EU contribution	Indicative third party contribution
5.4.1. - Call for Proposals to support concrete fisheries management and governance initiatives in the small-scale inland and marine fisheries (Result 3) - (direct management)	8 000 000	900 000
5.4.2. - Direct grant to National Competent Authorities of member states of the DMROs to support regional MCS activities under the Joint Regional Fisheries Patrol Programme of PRSP (Result 2) - (direct management)	2 000 000	500 000
5.4.3. - Procurement (direct management)	3 000 000	-
5.4.4. - Indirect management with ENABEL to support Lake Tanganyika Authority (LTA). The EUD Burundi will be the Contracting Authority (Results 1&2)	2 000 000	-
5.4.5. - Indirect management with IOC (Results 1&2)	11 500 000	-
5.9 – Evaluation, 5.10 – Audit	550 000	-
5.11 – Communication and visibility	500 000	-
Contingencies	450 000	-
Total	28 000 000	1 400 000

5.7 Organisational set-up and responsibilities

In order to ensure ownership, coordination and effective management of the project, the following project steering structure is proposed.

A Steering Committee will be set up that includes representatives of the relevant Duly Mandated Regional Organisations, Regional Fisheries Bodies, Regional Fisheries Management Organisations, AU-IBAR as well as the EU and will meet at least once a year. The Steering Committee will focus its role on the strategic aspects and high-level policy dialogues. Technical Committees will be set up for each contract (in charge of annual work plans, follow-up implementation of activities and carry out monitoring & evaluation). The EU Delegation will also set up a Technical Committee for the evaluation of the applications under the Call for Proposals.

5.8 Performance monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.9 Evaluation

Having regard to the importance of the action, a mid-term and a final evaluation will be carried out for this action via independent consultants contracted by the Commission.

It will be carried out for learning purposes, in particular with respect to validate the relevance, efficiency, effectiveness of the programme. The mid-term review will also look at the sustainability of the programme, assessing whether a follow-up phase is desirable or whether an exit strategy is required. It will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that a pilot is being tested with the calls for proposals approach to ensure ownership through co-financing.

The Commission shall inform the implementing partner at least 3 months in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and, inter alia, provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner country and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

Indicatively, two contracts for evaluation services shall be concluded under a framework contract in 2022 for mid-term and 2025 for final evaluation.

5.10 Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

Indicatively, one or more contracts for audit services shall be concluded under a framework contract during the lifetime of the programme.

5.11 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.6 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

APPENDIX 1 - INDICATIVE LOGFRAME MATRIX

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective:	To enhance equitable economic growth by promoting sustainable fisheries in the EA-SA-IO region	1) Socio-economic benefits of the regional fisheries sector;	1) 1.26% of GDP in 2014;	1) 2.0% of GDP in 2025;	1) National and regional fisheries statistics;	1) Availability of accurate and timely statistics;
Specific objective(s): Outcome(s)	To support sustainable management and development of fisheries in order to contribute to poverty alleviation, food and nutrition security, while addressing climate change resilience and enhancing marine biodiversity	1) Per capita fish consumption; 2) Number of people directly employed as fishermen and processors (gender-disaggregated)	1) 9.7kg against the global average of 18.4kg in 2014; 2) Direct employment is 11.3 million - Fishers: 54% (7% female) - Processors: 46% (70% female)	1) Maintain or sustainably enhanced; 2) Reduction of labour in SSF to enable resources recovery; increase in labour in the processing and marketing activities by value addition	1) National and regional fisheries statistics; 2) National and regional fisheries statistics	1) Maintaining this figure will be a challenge owing to population growth and dwindling fish stocks; 2) Development of alternative sustainable livelihoods to absorb redundant fishers

Result 1	Regional policies and institutional frameworks are enhanced to secure more sustainable fisheries management	<p>1) No. of fisheries management plans reviewed and/or implemented;</p> <p>2) No. of regional framework for fisheries data management developed and operationalised;</p> <p>3) No. of regional registration and licensing frameworks established;</p> <p>4) Adoption of joint resolutions tabled for RFMOs meetings;</p>	<p>1) None at start;</p> <p>2) None at start;</p> <p>3) None at start;</p> <p>4) Nil</p>	<p>1) At least 10 management plans reviewed/implemented;</p> <p>2) At least 2 data management systems (1 inland and 1 marine) developed;</p> <p>3) At least 3 licensing frameworks established (2 inland and 1 marine);</p> <p>4) At least 3 resolutions adopted</p>	<p>1) Technical Reports</p> <p>2) Statistical reports/ Data management reports;</p> <p>3) Technical reports from RFMO & RFOs and National Competent Authorities;</p> <p>4) Workshop report; joint statements</p>	<p>1) Timely preparation of fisheries management plans</p> <p>2). Buy-in of the private organisations who are usually reluctant to provide business data;</p> <p>3) Licensing frameworks are prepared by the relevant organisations in a timely manner and accepted by all parties for implementation</p> <p>4) MS approve the joint resolutions in a timely manner</p>
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Result 2	Strengthened capacity to prevent, deter and eliminate IUU fishing in the EA-SA-IO region	<p>1) IUU fishing is reduced</p> <p>2) No. of days of joint patrols conducted by Member States of DMROs;</p> <p>1) Automatic VMS data exchange on industrial vessels operational in at least 7 coastal states;</p> <p>2) No. of trainings conducted on Enforcement, Compliance and Prosecution procedures in the fisheries sector at regional & national levels;</p>	<p>1) Estimated to 37% of catches / EUR 1.5bn (2014)</p> <p>2) Baseline reference the no. of joint patrols conducted in 2017 under IOC-PRSP;</p> <p>3) Current baseline 4-5;</p> <p>4) Training not available or not adapted</p>	<p>1) Reduction by 20%</p> <p>2) Minimum of 100 days of joint patrols annually;</p> <p>3) At least 7 coastal states achieve automatic VMS data exchange;</p> <p>4) At least 1 procedural training annually</p>	<p>1) International and regional organisations reports</p> <p>2) Monitoring reports;</p> <p>3) Monitoring reports of Regional Coordinating Unit</p> <p>4) Training reports</p>	<p>1) Participating States joint efforts to fight IUU are effective</p> <p>2) National Competent Authorities sign grant contracts for joint patrols in a timely manner;</p> <p>3) Effective data exchange system put in place;</p> <p>4) Efficient trainers identified and willingness of judiciary to participate to the training programme</p>
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Result 3	Concrete fisheries management and governance initiatives in small-scale inland and marine fisheries are supported with the possibilities of replication at regional level	1) No. of people receiving advisory services with E€OFISH support (EURF)	1) Nil	1) By 2025, double the productivity and incomes of small-scale fisher producers, in particular women fishers, inc. through secure and equal access to productive fisheries resources and inputs, knowledge, financial services, markets and opportunities for value addition and employment	1) Grant contracts signed and executed; Mission and technical reports; evaluation reports	Identification of relevant stakeholders to lead and implement the projects;
		2) No. of fishers associations/organisations including women fisher associations benefiting from the Call for Proposals	2) Nil	2) At least 10 fisher organisations benefit from grants under the Call for Proposals of which at least 50% should target women fishers	2) Evaluation reports	2) Quality of project proposals should be of very good standard



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This action is funded by the European Union

ANNEX 3

of the Commission Decision on the Annual Action Programme 2018 – part 2 in favour of Eastern and Southern Africa and the Indian Ocean to be financed from the 11th European Development Fund

Action Document for EU-EAC True Fish Farming Story in Lake Victoria Basin (TRUE-FISH)

INFORMATION FOR POTENTIAL GRANT APPLICANTS

WORK PROGRAMME FOR GRANTS

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012), applicable to the EDF in accordance with Article 37 of the Regulation (EU) 2015/323 in the following section concerning calls for proposals: 5.4.1

1. Title/basic act/ CRIS number	EU-EAC True Fish Farming Story in Lake Victoria Basin (TRUE-FISH) CRIS number: RSO/FED/39-248 Financed under the 11 th European Development Fund	
2. Zone benefiting from the action/location	East African Community (EAC) The action shall be carried out at the following location: East African Community (EAC), in particular the Lake Victoria Basin in Kenya, Tanzania and Uganda	
3. Programming document	Regional Indicative Programme (RIP) for Eastern Africa, Southern Africa and the Indian Ocean (EA-SA-IO) 2014-2020	
4. Sector of concentration/ thematic area	Regional Natural Resource Management	DEV. Aid: YES
5. Amounts concerned	Total estimated cost: EUR 10 150 000 Total amount of EDF contribution: EUR 10 000 000 This action is co-financed by potential grant beneficiaries for an indicative amount of EUR 150 000	
6. Aid modality and implementation modalities	Project Modality Direct management – grants – direct award Indirect management with the Food and Agriculture Organization of the United Nations (FAO) Indirect management with the East African Community (EAC)	
7 a) DAC code	31320 - Fishery development – Exploitation and utilisation of fisheries; fish stock protection; aquaculture; integrated fishery projects	
b) Main Delivery Channel	Multilateral Organisations – 40000 (41301 – FAO) Public Sector Institutions – 10000 Other - 50000 (47104 - WorldFish)	

8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/good governance	<input type="checkbox"/>	X	<input type="checkbox"/>
	Aid to environment	<input type="checkbox"/>	X	<input type="checkbox"/>
	Gender equality (including Women In Development)	X	<input type="checkbox"/>	<input type="checkbox"/>
	Trade Development	<input type="checkbox"/>	X	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	X	<input type="checkbox"/>	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	<input type="checkbox"/>	X	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	Flagship 2. Biodiversity for Life Initiative (B4LIFE)			
10. Sustainable Development Goals (SDGs)	<p>Main SDGs: 8. "Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all" and 2. "End hunger, achieve food security and improved nutrition and promote sustainable agriculture"</p> <p>Secondary SDGs: 1. "End poverty in all its forms everywhere", 15. "Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss" and 5: "Achieve gender equality and empower all women and girls"</p>			

SUMMARY

Despite efforts of the riparian countries around Lake Victoria, measures to sustainably manage capture fisheries have failed and stocks of Nile perch and tilapia have declined drastically. At the same time, aquaculture has not developed its potential and accounts for only 7-8 % of regional fish consumption. Considering population growth, increasing incomes and urbanisation, overall demand for fish in the region is projected to increase substantially in the near future. Developing aquaculture to meet the demand for fish in the region is thus crucial.

The growth of a competitive commercial aquaculture sector is held back by a number of common structural constraints, including limited access to commercial networks and vocational skills training. In addition, there are several issues that potentially risk undermining the sector in future; these include managing risks associated with fish diseases, protection of biodiversity and fish farms' uncontrolled spatial distribution and use of natural resources.

This project aims to contribute tackling the above key *limiting factors* and *sustainability risks* for the development of competitive and sustainable commercial aquaculture in the Lake Victoria Basin. Three specific objectives are proposed covering: access to commercial networks and business capacities, availability and quality of local skilled workers, sustainability and bio-security of regional aquaculture production systems.

A regional approach to address these constraints is justified since: a) sustainability of aquaculture within the Lake Victoria watershed depends on effective management of transboundary issues such as disease control and biodiversity; b) there is a comparative advantage in terms of efficiency in a regional approach to critical activities such as development of fish disease diagnostic capacity and research on biodiversity; c) the common nature of aquaculture development challenges in region will benefit from sharing best practices. These benefits can be most clearly obtained through a project focus on the Lake Victoria riparian countries, Uganda, Tanzania and Kenya. At the same time, Burundi and Rwanda will also benefit from this action, for instance as concerns aquatic animal health related interventions.

1 CONTEXT

1.1 Sector/Country/Regional context/Thematic area

In the East African region, the fisheries sector, including marine fisheries in Tanzania and Kenya contributes an estimated 4 % of the regional Gross Domestic Product (GDP) and provides employment to more than 5 million persons with a total annual catch of 878 000 tonnes of fish plus an estimated 70 000 tonnes derived from aquaculture. Current per capita fish consumption in the EAC region is estimated at 7 kg per year, less than the 8.5 kg for Africa and 20 kg for the world. It is estimated that by 2030 population growth alone could absorb at least 623 000 tonnes of additional production, at current rates of consumption. A likely increase in consumption (due to rises on GDP/capita and urbanisation) would increase demand further.

The most commercially important species in the Lake Victoria region are the Nile Perch (*Lates niloticus*), the Nile Tilapia (*Oreochromis niloticus*) and the endemic cyprinid *Rastrineobola argentea* (locally known as dagaa). The Nile perch has formed the basis of an important export trade to international markets. As a result of a failure to manage the fishing effort, the fishery has declined and export processing factories have suffered closures. Although the stock appears to be recovering, 95 % of the catch is below the legal minimum size. In 2014 catches of tilapia were estimated at 60 000 tonnes. However, a survey at the end of 2015 estimated that annual catch that year was only 20 370 tonnes. The Lake Victoria Fisheries Organisation (LVFO) suggests that the decline of tilapia is caused by illegal fishing in shallow breeding and nursery areas and increased effort and demand in both national and regional markets. The resulting increase in price of tilapia is a major factor in the increased commercial interest in aquaculture of this species in the region. The fishery for dagaa - a small pelagic fish used in aquaculture feeds - appears to be currently in good shape and its biomass has been increasing. However, there may be sustainability concerns associated with aquaculture growth unless alternative feeds are developed.

Several environmental problems affect the fish populations and its biodiversity in Lake Victoria: i) the deterioration of water quality due to increased pollution and eutrophication; ii) increased sedimentation due to land degradation associated with encroachment of forests, riverbanks and wetlands, and unsustainable agricultural practices; iii) declining water levels due to increasing water extraction and hydro-power generation investments; iv) invasive species (e.g. Nile perch, non-indigenous tilapia and water hyacinth) with altered ecosystem dynamics due to biotic and climatic factors. In addition, Lake Victoria is characterised by high annual variability of rainfall and lake inflows, thus future climate change phenomena may potentially have a relatively strong impact on the hydrology and fisheries of the region.

The region has substantial natural potential for the development of aquaculture to provide an alternative source of fish supply (suitable native species, climate, ample water, and sources of feed ingredients), yet aquaculture accounts for only 7-8 % of EAC regional fish consumption.

Increased production would benefit both from market access to the EU and above all from a strong domestic market.

In **Tanzania** aquaculture is primarily a small-scale subsistence activity, with small ponds, little formal management and low productivity. There are however several commercial scale operations including some cage farms on Lake Victoria in Kagera region and Bunda, where there is one, military owned, tilapia farm. Aquaculture production has plateaued at about 4 000 tonnes per year, three quarters of which is tilapia. Unlike Uganda and Kenya, cage culture in Lake Victoria has not taken off at commercial scale also due to the complexity and cost of licensing.

In **Uganda** small-scale aquaculture production was promoted by Government with the provision of feed and fry inputs to farmers. The country is estimated to have 25 000 ponds covering 10 000 hectares. Investments in commercial cage production systems were spearheaded from 2013 by several international operators investing in Lake Victoria, with tilapia as the main species. There are also a significant number of cages on Lake Albert, Lake Kyoga and some crater lakes in south-west Uganda. The total number is estimated to be about 3 000 cages of various sizes. Estimates put the aquaculture production in Uganda to be between 20 000 to 30 000 tonnes. The Government has prioritised the Aquaculture Parks Concept and will supply key services (access roads, power supply, water supply, jetty, etc.) to two selected zones (one cage and one pond-based).

The Government of **Kenya** invested over USD 50.7 million in development of aquaculture through the Economic Stimulus Programme from 2009 to 2013. This resulted in the construction of over 48 000 fish ponds, facilitation of participation of private sector in the production of fish feeds and seed, provision of subsidised inputs of seed and feed, and capacity building. This increased farmed fish production, reaching an estimated 49 000 tonnes in 2013. Production had fallen to 24 000 tonnes in 2014 due to the end of public support. Cage farming is growing and it is reported that in 2016 there were 1 170 cages. A Netherlands Government/private financed project (FoodTechAfrica) has developed a pilot recirculating aquaculture system (RAS) culturing tilapia and is seeking finance to transfer the technology to local investors. In 2017, the project also installed a modern feed mill in collaboration with Nutreco, a multi-national fish-feed producer.

Considering the depletion of fish stocks in Lake Victoria - the major source of fish for the region, and the projected substantial increase of demand for fish due to increasing population, incomes and urbanisation, the development of aquaculture is a critical priority. This would help improve regional nutrition and food security, provide new sources of rural income (i.e. for aquaculture related businesses as well as for fish traders and processors, typically women, who are suffering from a decline in supplies from traditional fisheries) and contribute to contain pressure on the wild resources of the lake.

1.1.1 Public Policy Assessment and EU Policy Framework

The AU adopted its Policy Framework and Reform Strategy for Fisheries and Aquaculture in Africa (PFRS) in 2014, followed by a Continental Aquaculture Development Action Plan 2016–2025. Interventions in the EAC region shall be aligned with both such policy and development plans.

EAC's Fisheries and Aquaculture Policy was validated by the Partner States in July 2016. It includes among its specific objectives "to increase fish production from capture fisheries and aquaculture to optimal levels and reduce fish post-harvest losses".

The EAC has also adopted a Regional Strategy and Implementation Plan for Sustainable Aquaculture (2015-2020), prepared with the support of FAO and EU SmartFish Project in 2014. This sets targets for aquaculture development in terms of increase in aquaculture as well as fish-feed production. Although the short-term target of 60 000-80 000 tonnes is likely to

have already been achieved, the strategy remains valid and considerably coherent particularly with national policies and strategies in the three riparian countries of Lake Victoria (Kenya, Tanzania and Uganda). Such countries have long-standing national policies to develop aquaculture, now reflecting a clearer and coherent focus on commercially sustainable production. The EAC Regional Strategy foresees, inter alia, to prioritise access to public sector support for women and youth, and to focus training resources on creating employment opportunities for women and youths along the entire aquaculture value chain.

The Tanzanian National Aquaculture Development Strategy (2009 to 2023) promotes private-public partnerships and development of sustainable aquaculture businesses. The National Fisheries Policy 2015 has a clear focus on aquaculture. A specific focus on aquaculture is expressed in the Uganda National Aquaculture Development Strategy (2008) and the National Investment Policy for Aquaculture Parks (2012); a new Aquaculture Policy and an Aquaculture Strategy and Plan is being finalised. In Kenya, the National Aquaculture Policy 2011 and the National Aquaculture Development Strategy 2010-2015 set the approach for aquaculture development. The Fisheries Management and Development Act 2016 foresees the preparation of an aquaculture development plan within one year.

The EAC Climate Change Policy identifies the risk of impacts of climate change on wetland habitats which provide important nursery areas underpinning capture fisheries, and promotes the adoption of aquaculture technologies as a means of conserving environmental conditions and sustaining food security.

The new European Consensus on Development¹, in line with the United Nations 2030 Agenda for Sustainable Development, indicates that "Sustainable agriculture, together with sustainable fisheries and aquaculture, remains a key driver for poverty eradication and sustainable development" and "Investments in sustainable agriculture are needed to diversify production systems, prevent malnutrition and generate increases in productivity and jobs, without harming the environment". Moreover, the implementation of the European External Investment Plan² calls for the EU to develop effective partnerships that go beyond classical development assistance, including through assisting to develop economically and financially viable projects capable of attracting private sector investment.

1.1.2 Stakeholder analysis

Direct beneficiaries of this action will be:

1. The private sector in the aquaculture supply chain in Uganda, Kenya and Tanzania

The majority of current private sector investment focuses on lake cage culture of tilapia. This has the potential to generate high volumes of localised production, thus facilitating marketing, as well as to provide alternative employment in fishing communities affected by the decline in capture fisheries. It is a more intensive production method which requires greater management skill and attention to biosecurity measures, which will need to be addressed within the action. Whilst not excluding land-based aquaculture operations using other technologies (pond, recirculation), the project primarily aims to support commercial cage culture of tilapia in the lakes of the three riparian countries of Lake Victoria. The project would in particular benefit aquaculture value chain operators (involved in feed production and marketing, hatcheries, and grow-out production) that are seeking to expand or start new operations. Fish farmers, whether hatchery operators or grow-out, have an interest to see current impediments to investment removed, seek better skills in the staff they recruit and are hoping for cheaper and better quality feeds and improved availability of capital.

¹ OJ C 210 of 30.6.2017.

² COM(2016) 581 final of 14.9.2016.

All three riparian countries are served by well-established business support associations, Uganda Private Sector Foundation (PSF), the Kenya Private Sector Alliance (KEPSA) and the Tanzania Private Sector Foundation (TPSF) which all cover, to a certain extent, aquaculture sector interests. Moreover, the Walimi Fish Farmers' Cooperative Society (WAFICOS) in Uganda is a fish farmers' co-operative with a register of 500+ members from different segments (including inputs suppliers). Also, an association of 30 commercial aquaculture operators, "Uganda Commercial Fish Farmers Association" (UCFFA), comprising cage and larger pond operations, was established in 2017. The Aquaculture Association of Kenya (AAK) was established in 2007 and has about 15 000 registered members. Both WAFICOS and AAK receive support, though limited, from their respective Ministry of Agriculture. They each have 2 or 3 professional staff and offer fee-based technical services to members and implement donor projects in their sector. WAFICOS hosts an Annual Aquaculture Symposium and Exhibition; the 2017 edition was attended by 230 fisheries and aquaculture stakeholders who included Government officials, fish farmers, researchers, service providers, fish processors, policy makers, and development partners. The Aquaculture Association of Tanzania (AAT) was registered in December 2017 with strong policy support from the Ministry of Agriculture, and has 33 members. Among its first tasks, two are to develop a 5-year strategic plan and to launch a national aquaculture symposium.

2. National public sector training institutions in Kenya, Tanzania and Uganda

The Ramogi Institute of Advanced Technology (**RIAT**) in Kisumu, Kenya, has offered a Diploma and a Certificate in Fisheries Technology since 1992. With help from the GIZ (Deutsche Gesellschaft für Internationale) "Promotion of Agricultural Technical Vocational Education and Training" programme, it has developed a new 2-year Certificate in Aquaculture, presently in the final stage of formal validation, with students already recruited. A Diploma course is also in the pipeline.

The Fisheries Training Institute (**FTI**) in Entebbe, Uganda, has a maximum capacity of 300 students but at present has only 150 due to a decline in demand for traditional fisheries courses. In 2016, FTI introduced a new Diploma course in Integrated Aquaculture and Agriculture with a strong focus on aquaculture and also integration with agricultural activities e.g. aquaponics. There are 18 students on the first recruitment (capacity is 50), all on government scholarship. There is a plan to introduce a Certificate in Aquaculture in 2018, with greater emphasis on practical skills.

The Fisheries Education Training Agency (**FETA**) of Tanzania is a highly organised training agency under the Ministry of Education. It operates the inland aquaculture training centre at the Nyegezi Fisheries Institute (Mwanza), one of seven FETA locations. The Nyegezi site Courses are offered in a wide range of fisheries related discipline, including fishing, refrigeration, boatbuilding and aquaculture. In the case of the latter, FETA only trains at Certificate level but wishes to develop the course further to Diploma level. There were 70 students registered for aquaculture in 2016/2017 at different stages of training.

3. Regional and national public sectors actors

The Lake Victoria Fisheries Organisation (**LVFO**) was established in 1994 and is recognised as a Regional Fisheries Management Organisation (RFMO). In January 2016, its mandate was extended to "promote aquaculture in the region to increase fish production and to relieve fishing pressure on lakes" as well as to cover all EAC Partner States. The LVFO Secretariat, located in Jinja, is presently structured as a fisheries research and advisory body for the management of capture fisheries; a staff position responsible for aquaculture was approved in 2010 to be filled once funding is available. The LVFO implements most of its programmes through Technical Working Groups which draw experts from the Partner States' fisheries management and research institutions. At present, five of these are orientated towards the

management of capture fisheries, eight are cross-cutting and only one related to aquaculture. The private sector is represented through participation in national working groups and via regional apex associations of small scale fishers and fish processors & exporters participating at the LVFO Scientific and Fisheries Management Committees.

The Government of the United Republic of Tanzania's main fisheries institution is the Ministry of Agriculture, Livestock and Fisheries (MALF). Within this, the Department of Fisheries Development has an Aquaculture Department. In Uganda, the main Governmental stakeholder is the Directorate of Fisheries Resources, under the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF). The Directorate has recently established an Aquaculture Department. In Kenya, the Ministry of Agriculture Livestock and Fisheries is responsible for fisheries development and regulation, through the State Department of Fisheries and Blue Economy. Its Directorate for Aquaculture Technology Development is responsible for Aquaculture Development.

National fisheries research institutions and national competent authorities for aquatic animal health will have a major role to play under SO3 of this programme (on biodiversity).

Other stakeholders include indirect beneficiaries i.e. private sector operators not directly benefitting from project activities such as fish processors and traders and end-consumers of fish and fish products. They will benefit from an improved business environment for aquaculture, increased biosecurity and increased availability of fish at affordable prices.

1.1.3 Priority areas for support/problem analysis

Business linkages and information

Business networking is generally weak, with slow dissemination of business and technical information and knowledge and difficulties in developing new business linkages. This is due, inter alia, to the scattered distribution of commercial companies and limited support and capacities of business associations and trade and investment support institutions. The sector would benefit from the development of a stronger network of regional and international links among business operators in many ways. For instance, foreign linkages could have a major role in aquaculture technology transfer into the region, underpinning rapid improvements in production efficiency as well as competitive management practices. The demand for networking activities is evidenced by the participation of 230 fisheries and aquaculture exhibitors and participants at the *9th Ugandan Fish Famers' Symposium and Exhibition* held in Kampala in March 2017 and the founding of an African Chapter at the World Aquaculture Society Conference in Cape Town in 2017.

Moreover, better data is required by business operators to guide commercial decision-making as well as by policy makers to allow improved policy decisions. Whilst capture fisheries data are relatively well served with different type of surveys, there is little coherent information and data within the region regarding aquaculture businesses i.e. production, locations, investments, market prices, etc.

Lack of skilled operators

All aquaculture operators express difficulty in getting qualified staff and observe that new graduates require several months of on-the-job training before they can become effective.

Fisheries education and training has attracted substantial investments by national governments in the region, both in higher education and vocational training. Kenya, Tanzania and Uganda have technical vocational and educational training programmes (TVET) in aquaculture (i.e. the Ramogi Institute of Advanced Technology - RIAT - in Kisumu, the Fisheries Education Training Agency - FETA, including the training centre at Nyegezi near Mwanza, the Fisheries Training Institute in Entebbe, respectively).

However, these institutions remain substantially focused on pond production; no institution has significant capacity to train in cage culture engineering and techniques which are the main current needs of the expanding sector. Nor is there sufficient emphasis on practical training in basic husbandry, water quality monitoring, feeds and nutrition and hatchery management. In most cases, practical training is limited by obsolete or broken down facilities and equipment. Although they provide *ad hoc* attachments to farms as part of the courses, institutions struggle to ensure that this experience is comprehensive in scope, relevant and effective.

There is thus an urgent need for strengthening the relevance of the existing training provision, particularly by extending its scope to cage farming and other more intensive technologies, and addressing gaps in practical training in critical areas such as fish nutrition, water quality monitoring, as well as compliance with environmental standards and the use of sustainable and resource-efficient technologies.

Biosecurity risks

Intensification of aquaculture brings inevitable risks of disease outbreaks³ and unsustainable environmental impacts which could undermine investment, especially in relation to cage fish farming. Climate change can add to this risk through increased environmental stress due to elevated temperature range and aquatic CO₂ levels. These risks should be taken into account from an early stage of sector development, if it is to be sustainable in the longer term.

The risks have been recognised at EAC level with the development of regional standards through the "Sanitary Measures for Fish and Fishery Products" addressing fish health conditions, though none of the EAC Member States has commenced a comprehensive domestication of these measures. Although fish health certification for international trade is theoretically a requirement applied by EAC countries, this is not applied consistently or effectively. There are no facilities for quarantine or for confirmation of specific diseases status according to OIE schedules.

In 2016, AU-IBAR conducted a mapping study of aquatic animal diseases and control capacity in East Africa which identified the need for national and regional aquatic animal health and biosecurity plans, certification of hatcheries and aquatic animal movement, diagnostic and quarantine capacity, scientific research and sensitisation of aquaculture operators.

Despite rapid ongoing investments in cage culture on Lake Victoria, there are no mechanisms for setting aquaculture zones and controlling carrying capacity. Without proper zoning, there is a risk of uncontrolled location and dimensions of aquaculture investments resulting in reduction of water quality (and associated problems of algal and water hyacinth blooms), transmission of fish diseases and aquatic resource use conflicts. Uganda, although it has allocated a zone in Lake Victoria as an aquapark, has not conducted detailed studies on its capacity. There is a need for a comprehensive zoning study to collate existing spatially disaggregated data on Lake Victoria, gather field data, map the physical, chemical and biological variables, identify potential aquaculture zones, and determine the carrying capacity of each. Stakeholder consultation and monitoring control and surveillance arrangements also need to be addressed in this process.

Broodstock for hatchery operations in East Africa are presently obtained from uncontrolled sources, both within and outside the region. The risk of loss of biodiversity due to uncontrolled aquaculture hybridisation and introduction of non-native genotypes has been

³ A notable example is tilapia cage farming on Lake Volta, Ghana which suffered major mortality incidents in 2014 and 2015 due to streptococcus bacterial infections. Also, FAO issued a global alert in May 2017 for Tilapia Lake Virus, which is suspected as the cause of recent mortalities of farmed and wild tilapia in Egypt and Ghana.

identified in Tanzania by research conducted by TAFIRI in collaboration with UK universities. The issue has not been researched elsewhere in the region and, as yet, there is insufficient data to prepare detailed movement controls and limitations on intra/extra-regional introductions. The risk of loss of biodiversity is compounded by ineffective quarantine measures on international trade in juveniles and broodstock. There is also need for better regulation of hatcheries and ensuring that their activities are in line with a scientifically based assessment of the fish health risks.

Other important challenges faced by the regional aquaculture sector include limited availability of accessible finance, lack of appropriate feeds and seeds at the right quality and price, and a generally unfavourable business environment.

There is a clear need for improving access to external capital to allow a whole range of potentially viable investments to proceed. Several donor and private equity fund initiatives are being set-up at present and should help alleviate this challenge in the near future. Bank finance might also become more accessible when regional aquaculture will have been able to demonstrate clear success stories and with advances in sector specific knowledge and risk analysis (thanks partly to foreseen donor funded capacity building in favour of financial institutions).

Local feed producers have a limited volume and technical skills (on feed formulation, processing, handling and storage) and suffer from high distribution costs and low and/or variable quality of feed ingredients such as maize, thus not matching performance and consistency of feeds from the international specialised fish feed suppliers. Imported feeds are expensive as transport costs account for about 15 % of the final cost to the farmer and this is significant as feed is the major cost component in aquaculture production (about 70 % of total cost). In 2017 Nutreco/Skretting (a partner in the FoodTech Africa project) opened a dedicated aquaculture feed plant in Kenya (capacity 10 000 tonnes/year) and other international fish feed manufacturers are closely monitoring East Africa aquaculture sector for investment while it reaches the needed critical size.

Women play a major role in distribution and processing of fish, where they account for about 56 % of the workforce. These operators have an interest in ensuring supplies of fish from any source (capture fisheries, aquaculture or imports). The project will indirectly benefit their activities ensuring increased supply from aquaculture. It will also prioritise women and youth needs in training programmes and in participation to business linkage activities.

2 RISKS AND ASSUMPTIONS

Risks	Risk Level	Mitigating measures
There is a risk of fish diseases arising due to uncontrolled expansion of aquaculture and trade in live fish and lack of effective regulatory framework, mechanisms and capacities for surveillance, control and quarantine of fish disease.	H	Strengthening the capacity of regional governments and the private sector to manage aquatic animal health and unsustainable environmental impacts. This includes developing regional and national aquatic animal health strategy and implementation plans, support implementation capacity for fish disease monitoring systems and control regimes, develop a zoning policy for aquaculture systems along with regulation of carrying capacity.

There is a risk of loss of biodiversity due to uncontrolled hybridisation and introduction of non-native genotypes. Weak controls on genetic quality also limits optimisation of quality of seed for grow out.	H	Extension of existing research into genotype mapping and establishing better evidence-based regulation of hatcheries and ensuring that their activities are in line with a scientifically based assessment of the risks.
The development of aquaculture will increase the demand for dagaa used as a fish feed ingredient. Although current exploitation is sustainable, there is a long-term risk that exploitation will rise beyond sustainable limits.	M (Long Term)	LVFO being responsible for fish stock management will ensure constant monitoring of dagaa stocks and eventually introduce regulatory measures if required.
Currently national aquaculture associations are only weakly developed and there is no regional organisation. This might affect sector representation and sustainability of some activities.	M	The Msingi project (supported by DFID ⁴ and Gatsby Foundation) is active in this area and intends to guide sector associations. Moreover, project implementation will need to ensure adequate participation of private sector aquaculture players (i.e. in Steering Committee, in related Regional Working Groups, etc.)
Environmental pollution, water eutrophication and increase in water temperatures might decrease the expected productivity of fisheries and aquaculture.	M	Promote climate change adaptation technologies and techniques to reduce the expected negative impacts from climate change and pollution. Also, Environmental Impact Assessments and a monitoring framework are prerequisites for any cage farming permits/licences.
Gender inequalities within the sector might not be reduced in the absence of a gender sensitive approach and mainstreaming.	M	Mainstream gender in activity implementation, develop and apply gender sensitive indicators and data.
Assumptions		
Limited availability of accessible finance will soon become a less severe challenge thanks to sector growth, pushing the banking system for better recognition of risks associated with individual investments and thanks to several donor and private equity fund initiatives which are in the pipeline in the region.		
It is assumed that local production by professional feed producers will increase, allowing the feed sector to meet at least the short-term needs of existing operators (though Tanzania might need to continue importing as the limited national demand for feed cannot attract big size investments). This will allow for increased feed quality and reduced price.		

⁴ United Kingdom's Department for International Development

The business environment in **Tanzania** suffers from the unduly restrictive/costly application of regulations concerning environmental impacts that effectively limit the development of aquaculture to small-scale pond farming and recirculation units. It is assumed the ongoing dialogue between Ministries concerned with fisheries and environment will shortly ensure policy coherence.

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

A key lesson learnt from previous sector interventions is that programmes which provide subsidised inputs to small scale farmers without regard to the business case are not sustainable (as was the case for Kenya's National Economic Stimulus Programme where production collapsed when the subsidies were withdrawn). Helping existing commercially sustainable businesses to grow, and for other similar ones to enter the market, provides more likelihood of success in the medium and long term.

In 2013, the EU-funded SmartFish project, implemented by the Indian Ocean Commission supported by FAO, carried out a mission in the 5 EAC Partner States and recommended that "any regional aquaculture effort should be focused on commercial aquaculture value-chains that include semi industrial and industrial producers, as well as clusters of smaller producers".

While attention should be paid to avoid overlaps in the implementation of this project with the Uganda EU Project "Support to development commercial aquaculture", lessons learnt in the latter shall actively be developed and disseminated throughout the region.

The Ninth Annual Aquaculture Symposium and Exhibition organised by WAFICOS in Uganda under the theme "Enhancing Profitability and Regional Trade in Aquaculture within East Africa" discussed the needs for business support, training and biosecurity which are reflected in this project design.

3.2 Complementarity, synergy and donor coordination

The EU project "*Promoting Commercial Aquaculture in Uganda*" has the objective to "support the development of a competitive, job-intensive, environmentally-sustainable and climate-resilient aquaculture value chain in a comprehensive manner". It will: help develop and enforce a sound policy and regulatory framework; enhance production and productivity of aquaculture (including through upgrading seed and feed output and quality, and developing extension service capacity) with priority focus on smallholder and rural livelihoods, and supporting aquaculture parks development; reduce post-harvest losses and exploit marketing opportunities. Best practice experiences from this project will inform the regional development.

The EU Project "Improving Food Security and Reducing Poverty through Intra-regional Fish Trade in Sub-Saharan Africa" (also referred to as *FishTrade* Project) aims to enhance the capacities of regional and pan-African organisations to support their member states to better integrate intra-regional fish trade into development and food security policy agendas. Interventions along the Eastern corridor link the spatial focus of aquaculture investment supported by this action with the main regional consumer markets. The project is implemented by AU-IBAR in collaboration with WorldFish Center and NEPAD Planning and Coordinating Agency (NPCA).

The UK Gatsby Foundation and DFID support the *Msingi* Project in East Africa. An initial target sector is aquaculture, where the project works to improve access to high quality, competitively priced aquaculture inputs and enhances technical and management capacities of sector enterprises. After assessing regional commercial fish farms' technical and managerial capacities, a technical assistance project has just started targeting the most promising

enterprises. There are also plans to support private equity funding as well as to create a fund to facilitate banking finance at reduced rates. Other early activities include organisation of industry platform meetings and planning for regional self-organisation.

Several other ongoing projects are of relevance, with which coordination will be sought. In particular, the World Bank is now planning, in close coordination with LVFO and EU, the Lake Victoria Environmental Management Project (LVEMP) III. This project shall cover sustainable development of fish value chains in Lake Victoria (including zoning through an ecosystem approach), fisheries resource monitoring and management and strengthening institutional capacity.

The EU funded "Programme on the Contribution of Sustainable Fisheries in the Blue Economy of the EA-SA-IO Region – *ECOFISH*", now in the final stages of approval, foresees activities to, inter alia, support LVFO capacity in sustainable fisheries management and develop monitoring and control systems against illegal fishing.

IFAD recently finalised the design of the *Aquaculture Business Development Programme* (USD 143 million) in Kenya aiming to support large numbers of smallholders to become profitable fish producers or village-level providers of related services.

NEPAD is supported by GIZ in the Aquaculture TVET project, which is developing syllabi for competence based training in aquaculture and has already been implemented successfully in Kenya (at RIAT). Moreover, a GIZ programme is supporting LVFO in stock management and monitoring and control systems targeting specifically the Nile Perch.

Complementarity with the FAO is also envisaged and refers to the **Biodiversity Mainstreaming Platform**, the ultimate goal of which is to promote and facilitate the adoption of good practices across all agricultural sectors, including fisheries and aquaculture, that will support the conservation and sustainable use and management of biodiversity and increase the productivity, stability and resilience of production systems in an integrated approach.

3.3 Cross-cutting issues

Gender and youth: In the EAC region, the major role of women is in the distribution and processing of fish derived from small scale fisheries, accounting for about 56 % of persons engaged in processing and trading activities; however, they account for only about 15 % of the membership of the Beach Management Units and are therefore under-represented in national, and therefore also in regional, fora. Traders, as represented mostly by women operators, express a strong interest in ensuring a continuity of supply of fish to maintain their business in the face of declining supplies from wild-stocks; and it is thus envisaged that aquaculture can provide for them an important future source of livelihoods. The needs of women and youth will be favoured by this action, in particular in the design and access to relevant capacity building and training programmes. For instance, short professional courses to be developed by target training institutions might focus on business planning for dagaa - an important raw material for fish feed - drying for animal feed and on quality improvement to reduce post-harvest losses. Moreover, this action's monitoring arrangements and support to sector data collection will make sure data are disaggregated by gender.

Environmental impacts: Irresponsible aquaculture can exacerbate environmental problems like water pollution and introduction of invasive species. Moreover, while aquaculture provides alternative means of meeting market demand (the driver) relieving additional future pressure on capture fisheries, its development might put pressure on dagaa stocks used for animal feed (which thus need to be monitored to avoid stock collapse). There are other possible negative impacts on the environment from aquaculture development (such as spread of fish diseases, loss of biodiversity by escape of imported or hybrid aquaculture strains, etc.)

which need to be covered with appropriate regulations concerning carrying capacity, environmental impact assessment, genetic material production and commerce, etc.

Climate change: Climate change risks include an increase in temperatures and reduced pH of the water in Lake Victoria, potentially impacting both biodiversity and ecosystem dynamics. This may also inhibit recovery of over-exploited stocks of Nile perch and tilapia. Aquaculture, as an alternative fish production method under controlled conditions, provides a viable alternative supply which is potentially less subject to climate change impacts. The project therefore aligns with regional initiatives to adapt to climate change in relation to ensuring the sustainability of strategically important food supplies. Additionally, improved regional abilities in monitoring key environmental parameters (e.g. water T and pH) can help in detecting how climate variability may affect aquaculture production, ecosystem and local fauna. Furthermore, switching animal protein production to aquaculture products can potentially contribute to reduce greenhouse gas generation, due to reduced methane production and the lower feed conversion ratios (for fish, typically 1.2-1.4 kg of feed per 1 kg of live weight, compared to 1.8 kg for poultry, 4.5 for pigs, and 6.0 for cattle).

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

This programme is relevant for the United Nations 2030 Agenda on Sustainable Development. It contributes primarily to the progressive achievement of the following SDGs: 2. "End hunger, achieve food security and improved nutrition and promote sustainable agriculture" and 8. "Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all". It also promotes progress towards the following SDGs: 1. "End poverty in all its forms everywhere", 15. "Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss" and 5: "Achieve gender equality and empower all women and girls". This does not imply a commitment by the EAC region benefiting from this programme. This programme is also relevant for the Global Public Goods and Challenges (GPGC) thematic flagship no. 2. Biodiversity for Life Initiative (B4LIFE), as it will contribute to improved protection of ecosystem biodiversity.

The **overall objective** of the project is to contribute to develop competitive, gender equitable and sustainable commercial aquaculture in the Lake Victoria Basin.

The **specific objectives** (SO) are:

SO1 BUSINESS: to improve access to commercial networks for aquaculture-related businesses;

SO2 SKILLS: to increase availability and quality of local skilled workers for the development of aquaculture-related businesses;

SO3 SUSTAINABILITY: to improve sustainability and bio-security of regional aquaculture production systems.

The project will have the following results:

For **SO1 BUSINESS**:

Result 1.1: Strengthened commercial networks for competitive aquaculture-related businesses

For **SO2 SKILLS**:

Result 2.1: Upgraded practical training delivery by formal training institutions

Result 2.2: Strengthened linkages between training institutions, and with aquaculture business operators

For **SO3 SUSTAINABILITY**:

Result 3.1: Strengthened aquatic animal health conditions

Result 3.2: Lake Victoria zoning: an orderly and sustainable cage culture development supported

Result 3.3: Improved protection of biodiversity

4.2 Main activities

The main results and activities proposed are:

SO1 BUSINESS:

Result (R) 1.1: *Strengthened commercial networks for competitive aquaculture-related businesses*

The project, in partnership with existing and emergent aquaculture sector associations in Kenya, Tanzania and Uganda, and under the auspices of LVFO having an overall coordinating role, will support the development of stronger links between regional and international commercial aquaculture related businesses through:

1. Establishment of a regular East African Aquaculture Exhibition and Conference:

A regional *trade exhibition* would bring together East African aquaculture operators, investors and foreign suppliers of equipment and services. A parallel *conference* would also promote the region and the science underpinning aquaculture development, bringing together research and industry. Thanks to the regional dimension, this would ensure the strengthening of business-to-business networks across national borders and create an additional rationale and impetus for the future creation of an East African regional aquaculture association.

The project will therefore support the upscaling of the well-established national WAFICOS (Walimi Fish Cooperative Society Limited) Aquaculture Symposium, held since 2005 in Kampala, to a regional conference and trade exhibition event to be held in 2020 or 2021. Support would be through technical assistance and finance for developing a sustainable business model, marketing and attendance of speakers and regional aquaculture associations. In addition, the project will support the relevant national aquaculture associations in the implementation of two national aquaculture symposia in Kenya and Tanzania, as a first step to building their capacities in view of hosting the regional event in the future.

2. Strengthened business linkages with the Egyptian and West African aquaculture sectors:

The project will support the participation of aquaculture business operators and business associations in East Africa-Egypt and East-West Africa Business to Business (B2B) networking activities.

The justification for supporting linkages with Egypt and West Africa (Ghana and Nigeria) is that, along with East Africa, these regions represent the main African centres of aquaculture development. There is a high level of technical expertise available in such regions, especially in relation to feed-mill operations (Egypt) and cage farming (West Africa). In fact, Egypt provides a regional benchmark as about 80 % of supplies of fish are derived from aquaculture.

Activities would involve study tours to West Africa and Egypt (including visits to farms certified for good aquaculture practices) and vice versa, including matchmaking B2B events in East Africa for aquaculture supply chain operators. This will allow to investigate technical, technological, commercial and investment opportunities and synergies, particularly as regards

trade in inputs (e.g. feed, equipment) and transfer of sustainable technologies and expertise (e.g. for hatcheries).

SMEs will be supported to prepare and take advantage of such events (i.e. production of company and investment profiles, business techniques, etc.). Also, aquaculture and private sector associations and trade and investment support organisations would be capacitated on B2B organisation, marketing and business networking tools.

3. Research and packaging of industry information:

As information on the state of the industry and its potential for growth is important in formulating the value proposition for private companies to participate in business events, there is a need to improve public availability of sector information. Thus, a targeted sector research collecting and integrating existing industry and market analysis and data, and packaging it for events' targeted audience will be undertaken.

There is potential for and interest in collaboration with the European Aquaculture Technology and Innovation Platform (EATiP) (<http://www.eatip.eu/>) to apply lessons learnt from their networking experiences.

SO2 SKILLS:

Beneficiaries proposed are the aquaculture training units of existing Technical Vocational and Educational Training institutions: Ramogi Institute of Advanced Technology (RIAT) in Kisumu, Kenya; Fisheries Training Institute (Entebbe, Uganda); and the Fisheries Education Training Agency (FETA) of Tanzania (Nyegezi Freshwater Fisheries Institute (NFFI) at Mwanza).

<i>R 2.1: Upgraded practical training delivery by formal training institutions</i>

The following activities are proposed:

- Preparation of comprehensive regional training needs analysis which will address the aquaculture value chain and identify potential target market segments for training services. It will consider the specific needs of identified target groups; for example, youth trainees who have no capital, women in fishing communities and middle-class investors with finance may each require distinct and different approaches. The analysis will inform training of academic staff, design of formal aquaculture syllabus and short training courses.
- Revision of institutions' development plans and preparation of costed business plans.
- Upgrading and supply of equipment for training laboratories (targeting in particular water quality testing, pilot feed production, proximate analysis of aquaculture feeds and basic aquatic animal health diagnostics) and equipment for practical training on hatchery, cage and pond aquaculture.
- Revision and upgrade of syllabus to address the needs identified in the training needs analysis, accounting for greater inclusion of practical training, business management subjects, sustainable aquaculture practices and technologies, and ensuring a regionally consistent approach between institutions.
- Training of trainers of the three institutes in relevant core disciplines e.g. aquaculture technology (especially cage culture), feeds and nutrition, aquatic animal health, quality control and processing, business studies) and in the pedagogical approach to practical training.
- Development and support to deliver pilot implementation by the TVET institutions of short customised training courses, for instance trainings for aquaculture trainers (fish farmers, extension workers, freelance trainers/consultants) on fish nutrition and feeds, fish health related issues (disease management practices, fish movements, etc.), water quality monitoring

and more in general on sustainable aquaculture practices (and, when relevant, on related certification schemes)⁵.

Priority for training participation will be given to women and youth in order to increase women's and youth empowerment.

Beneficiaries will be responsible for providing adequate accommodation and facilities for installation, including utility linkages, secure access to sites for ponds and cages, provision of feed stores/shore stations, etc.

<i>R 2.2: Strengthened linkages between training institutions, and with aquaculture business operators</i>

The project will seek to further strengthen the capacity of the three training institutions covered by R 2.1, by establishing sustainable linkages and networks between them, with commercial operators and with overseas institutions and supporting pilot implementation of the following activities:

- Establishment of twinning links between the three training institutions, potentially addressing: i) sharing of best practices; ii) recognition of relative strengths leading to collaboration on developing specialised centres (e.g. ICT in aquaculture, feed and nutrition, disease, cage construction); iii) exchange of staff; iv) coordination of syllabus content, leading to mutual recognition; and v) potential launch of regional modular vocational courses.
- Establishing formal links between the three beneficiary institutions and aquaculture training organisations and bodies in other countries which can offer ongoing support (for example through exchanges of staff and pupils, joint teaching programmes, exchanges of best practices, etc)⁶.
- Support will be provided for exchange programmes between the beneficiary training institutes and commercial aquaculture related operators to allow exchange of information and knowledge on emerging sustainable aquaculture technologies and practices. This would be undertaken in consultation with the national aquaculture associations in each case. It will include the provision of bursaries to allow visiting lectureships from commercial operators to deliver training courses, and to allow academic staff gain work experience in the commercial sector.
- Strengthening the existing programmes for training placements for students (internships) to commercial aquaculture establishments. This might include bursaries for intra-regional travel and subsistence for targeted groups of students (priority will be given to women and young applicants) and setting up strengthened monitoring and evaluation systems.

⁵ This can include courses benefitting aquaculture operators who agree to work with the TVET institutions under R2.2 and facilitate training placements. It can also include trainings of outreach aquaculture operators (with hatchery, “aquashops” - local suppliers of aquaculture inputs and technical advice - and feed production/distribution activities) who demonstrate willingness and capacity to extend training services to their commercial clients under the supervision of TVET institutions. Such operators shall also be supplied with limited aquaculture field equipment kits and training materials.

⁶ Partners may include organisations such as the Worldfish Africa Aquaculture Research and Training Center (AARTC) in Egypt, Ghent University in Belgium, Stirling University in the UK, University of Wageningen in Netherlands or the UN University Fisheries Training Programme in Iceland, all of which are centres of excellence for tropical aquaculture with a track record of training delivery. EU aquaculture TVET institutions could also participate via the EATiP and the Aquanet Network (a European Thematic Network for education and teaching in the field of aquaculture, fisheries and aquatic resources management). If appropriate, East Asian centres such as the Asian Institute of Technology (Thailand) could also be involved.

SO3 SUSTAINABILITY:

R 3.1: Strengthened aquatic animal health conditions

Strengthening the capacity of regional governments and the private sector to manage aquatic animal health and environmental impacts is required to ensure the longer term sustainability of aquaculture in the region, especially considering the potential for emergence of new disease hazards related to climate change. The project will therefore address aquatic animal health systems within the EAC region covering the following activities:

- Establishment of an LVFO Regional working group on Aquatic Animal Health and national focal points and development of a work programme. Setting of working arrangements will include optimising the use of existing teleconference facilities.
- Training and study tour on aquatic animal health for professionals in fisheries, veterinary control authorities and research institutes⁷.
- Preparation and adoption of a regional costed aquatic animal health strategy and implementation plan (with special reference to aquaculture) in line with the EAC Sanitary Measures for Fish and Fishery Products. Regionally coherent national plans will be developed; these will, inter alia, define the specific tasks and competencies required for different fish health-related functions (such as surveillance, diagnostics, outbreak management, border controls, veterinary medicine controls, feed safety).
- Preparation of model regulations on fish disease notifications, compartments, and control measures, veterinary medicines (permitted and non-permitted substances), standards for safety of feeds and associated guidelines (for example documented sampling and diagnostic procedures).
- Support implementation of aquatic animal health measures as defined in the implementation plan and model regulations, especially insofar as clarification of institutional responsibilities (between Veterinary Departments and Fisheries Departments and recommendations regarding structure, functions and staffing), application of protocols for fish disease surveillance and control, preparation of fish disease risk assessments, organisation of border controls and development of national control plans for dealing with outbreaks.

R 3.2: Lake Victoria zoning: an orderly and sustainable cage culture development supported

This project will support LVFO and the three riparian countries in launching a spatial planning process of the Lake Victoria for aquaculture zoning, in accordance with the Ecosystem Approach to Aquaculture (EAA)⁸.

Activities will include the development of a zoning strategy and undertaking some of the preliminary implementation steps i.e. collation and review of existing data sets, develop and deploy spatial planning tools like geographic information systems (GIS) and mapping - including through surveys where necessary, define zone selection criteria and identify suitable areas.

These activities, and potential subsequent steps⁹, will be undertaken in coordination and complementarity with World Bank's LVEMPIII Programme.

⁷ Possible partnerships include the EU Reference Laboratory for Fish Diseases, National Veterinary Institute, Denmark and the UK's Centre for Environment, Fisheries and Aquaculture Science.

⁸ FAO Technical Guidelines for Responsible Fisheries No. 5, Suppl. 4 (2010).

⁹ Additional zoning steps are: develop models for defining carrying capacity limits, undertake Environmental Impact Assessments, define site licensing process and criteria and support the development of related regulations, setting up a monitoring plan, awareness and capacity building for authorities and farming communities

R 3.3: Improved protection of biodiversity

There is a need to establish measures that minimise the risk of accidental or intentional introduction of varieties which can outcompete and threaten native species. The project will support the following activities:

- Establishment of a LVFO Regional working group on fish breeding and genetics comprising existing specialists from research institutes, fisheries and environmental authorities and industry representatives. Working arrangements will include optimising the use of existing teleconference facilities. This will comprise the development of a work programme and capacity building study tour on biosecurity for working group members.
- Implementation of a genetic screening programme of wild and hatchery tilapia strains, extending the work commenced at TAFIRI, with a view of making clear policy and regulatory recommendations for the limits of hybridisation and introduction of alien genotypes in specific locations. This will include, inter alia, review of existing research and data; design of specific research packages; mapping distribution of native and exotic strains and their hybrids in natural water bodies in Kenya, Uganda and selected regions of Tanzania; genetic screening of hatchery strains; develop and disseminate species and genotype identification tools.
- Support drafting of national policies, model regulations and guidelines promoting a harmonised regulatory approach for controlling broodstock, gametes and juveniles production and commerce (for example setting-up a register of authorised suppliers of genetic material) and for defining location-specific restrictions.
- Trainings for fisheries and environmental officers in species/strain identification, sampling methods and breeding methods in order to build capacities for hatchery licensing and commerce controls.

4.3 Intervention logic

Firstly, the project will seek to remove some *key impediments* (access to commercial networks and availability of skilled workers) which limit the growth of sustainable commercial aquaculture production. The sector will be supported in strengthening information sharing, technology transfer and business promotion through launching an East African Aquaculture Exhibition and Conference and fostering *business linkages* with the established Egyptian and West African aquaculture sectors. It will also help to strengthen *vocational training* delivery capacity, with upgraded pedagogical approach, strengthened linkages to the private sector, improved structure and content of formal training courses especially in relation to practical training.

Secondly, the project aims at tackling some *key risks* to the long-term development and sustainability of the sector. This covers a) threats to sustainability from risk of *diseases*, through development of appropriate aquatic animal health surveillance, management and control measures and related regulations and guidelines; b) risk of loss of *biodiversity*, through collaborative research to characterise genotypes and prepare a scientific basis for regulating hatcheries; c) risk of uncontrolled spatial distribution of fish farms and the unsustainable use of natural resources, through zoning and implementation of the first steps of the Ecosystem Approach to Aquaculture (EAA). These activities will, inter alia, strengthen coordination of aquaculture related research and the regulatory approach in East Africa.

The programme will promote the principles of green economy. For instance, SO2 will support the training of new labour force and/or re-skilling of the existing workforce, facilitating the creation of decent and green jobs and the exchange of experiences with benchmarking countries under SO1 can introduce to the principles of certification and eco-entrepreneurship, facilitating the creation of green businesses.

The programme will generate regional added value through the sharing of best aquaculture practices, strengthening management of transboundary issues and improved efficiency due to joint approaches to common problems. Through these means, the LVFO's regional mandate of developing sustainable aquaculture in the EAC will be strengthened.

The current development of aquaculture, in particular cage culture, the recent decline in fish stocks and the environmental and biosecurity threats in Lake Victoria and its basin, justifies the focus on the three riparian countries of Uganda, Kenya and Tanzania, although other EAC countries will benefit from part of the activities (e.g. directly from a regional approach to aquatic animal health issues and indirectly from regional networking for aquaculture businesses, strengthened vocational training offer, etc.).

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is foreseen to conclude a financing agreement with the partner country, referred to in Article 17 of Annex IV to the ACP-EU Partnership Agreement.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.2 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of entry into force of the financing agreement.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute non-substantial amendment in the sense of Article 9(4) of Regulation (EU) 2015/322.

5.3 Implementation of the budget support component

N.A.

5.4 Implementation modalities for an action under project modality

Both in indirect and direct management, the Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures affecting the respective countries of operation.

5.4.1 Grant: direct award "Improved protection of biodiversity through genetic screening and promotion of a harmonised regulatory approach to genetic material movement control" (direct management)

(a) Objectives of the grant, fields of intervention, priorities of the year and expected results

The objective of the grant is to establish measures which minimise the risk of accidental or intentional introduction of tilapia varieties in the Lake Victoria basin which can outcompete and threaten native species as indicated in section 4.2 (R3.3).

Type of activities include inter alia: trainings and study tours, genetic screening and mapping, developing policies regulations and guidelines.

Expected results include, inter alia, fisheries and environmental authorities capacitated on fish breeding and genetics; mapped distribution of tilapia strains in natural water bodies and hatcheries, with a view to providing recommendations for the limits of hybridisation and introduction of alien genotypes in specific locations; promoting a harmonised regulatory approach for controlling genetic material production and commerce.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to WorldFish.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified, on the basis of Article 190(1)(c) RAP, because WorldFish is an international non-profit research organisation with a *de facto* monopoly in the coordination and provision of technical and strategic guidance in the field of applied research for the promotion of fisheries and aquaculture. This is even more true in the area of aquatic animal genetics and biodiversity research which is the core of R3.3. It is a member of the CGIAR Consortium, a global agriculture research partnership for a food secure future. It operates the Africa Aquaculture Research and Training Center (AARTC) in Egypt, a regional centre of excellence for genetics research, training in best management practices and fostering innovation and entrepreneurship in the aquaculture sector. It has a regional office for Africa in Zambia and is opening another office in Tanzania.

(c) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 90 % of the eligible costs of the action.

In accordance with Article 192 of Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 37 of Regulation (EU) 2015/323, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100 %. The essentiality of full funding will be justified by the Commission's authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

First trimester of 2019.

5.4.2 Indirect management with an international organisation

A part of this action may be implemented in indirect management with the Food and Agriculture Organization of the United Nations (FAO) in accordance with Article 58(1)(c) of Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 17 of Regulation (EU) 2015/323. This implementation entails upgrading training delivery by formal training institutions, strengthening linkages between training institutions and with aquaculture business operators, strengthening aquatic animal health conditions, supporting an orderly and sustainable cage culture development in Lake Victoria through zoning, and supporting this Actions' Programme Coordination Unit. This implementation is justified because FAO is a knowledge-based organisation with technical expertise and extensive experience in the region in promoting commercial aquaculture. It has a track record of leading sub-regional aquaculture development projects and has good regional networks, project infrastructure and established linkages to national and regional institutions; and FAO cutting-edge research in aquaculture has led to the development of the Ecosystem Approach for aquaculture zoning.

The entrusted entity would carry out the following budget-implementation tasks: concluding, managing and enforcing the contracts (making payments, accepting or rejecting deliverables, carrying out checks and controls, recovering funds unduly paid), and running the procurement

and grant award procedures preceding the conclusion of such contracts, including award and rejection decisions.

5.4.3 Indirect management with a regional organisation

A part of this action, with the objective of strengthening commercial networks for competitive aquaculture-related businesses, may be implemented in indirect management with the East Africa Community (EAC) in accordance with Article 58(1)(c) of the Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 17 of the Regulation (EU) 2015/323 according to the following modalities:

The EAC will act as the contracting authority for the procurement and grant procedures. The Commission will control, ex ante, all the procurement and grant procedures.

Payments are executed by the Commission.

In accordance with Article 190(2)(b) of Regulation (EU, Euratom) No 966/2012 and Article 262(3) of Delegated Regulation (EU) No 1268/2012 applicable in accordance with Article 36 of the Regulation (EU) 2015/323 and Article 19c(1) of Annex IV to the ACP-EU Partnership Agreement, the regional organisation shall apply procurement rules of Chapter 3 of Title IV of Part Two of Regulation (EU, Euratom) No 966/2012. These rules, as well as rules on grant procedures in accordance with Article 193 of Regulation (EU, Euratom) No 966/2012 applicable in accordance with Article 17 of the Regulation (EU) 2015/323, will be laid down in the financing agreement concluded with the regional organisation.

5.5 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased, as established in the basic act and set out in the relevant contractual documents shall apply.

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 22(1)(b) of Annex IV to the ACP-EU Partnership Agreement on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.6 Indicative budget

	EU contribution (in EUR)	Indicative third party contribution (in EUR)
5.4.3 Indirect management with EAC SO1 BUSINESS: R1.1: Strengthened commercial networks for competitive aquaculture-related businesses	1 700 000	N.A.
5.4.2 Indirect management with FAO SO2 SKILLS: R2.1: Upgraded practical training delivery by formal training institutions R2.2: Strengthened linkages between training institutions, and with aquaculture business operators SO3 SUSTAINABILITY: R3.1: Strengthened aquatic animal health conditions R3.2: Lake Victoria zoning: an orderly and sustainable cage culture development supported Programme Coordination Unit	3 200 000 2 150 000 1 125 000	N.A. N.A. N.A.

5.4.1 Direct grant with WorldFish SO3 SUSTAINABILITY: R3.3: Improved protection of biodiversity	1 150 000	150 000
5.9 Evaluation, 5.10 Audit	175 000	N.A.
5.11 Communication and Visibility	100 000	N.A.
Contingencies	400 000	N.A.
Total	10 000 000	150 000

5.7 Organisational set-up and responsibilities

The EAC will be the contracting authority for SO1 (BUSINESS), while the supervisor shall be LVFO. FAO will implement SO2 (SKILLS) as well as R3.1 and R3.2 under SO3 (SUSTAINABILITY). The Delegated Agreement with FAO will also include support for the overall supervision and coordination of the programme by LVFO through financing a Programme Coordination Unit and related operational expenditures. WorldFish will implement R3.3 "Improved protection of biodiversity".

The following governance and programme management structure is proposed:

- i) A Steering Committee (SC) will be responsible for reviewing the overall policy and strategic directions of the programme, monitoring the overall performance and coherence between the different components and will provide guidance as appropriate. It will meet at least bi-annually and will indicatively consist of representatives of the EAC Secretariat (i.e. Agriculture and Food Security Department), representatives of LVFO (i.e. Executive Secretary), representatives of the EU Delegation in Tanzania; representatives of the EAC Partner States (i.e. from fisheries and veterinary control authorities and fisheries research institutions), representatives of the private sector / Non-State Actors (such as aquaculture associations etc.). The Programme Coordination Unit officers will take part as rapporteurs. The final composition of the SC will be confirmed once the programme is operational.
- ii) A Technical Committee (TC) will be responsible for supervising programme implementation on a monthly basis, elaborating technical positions in preparation of SC decisions and providing guidance and support to the Programme Coordination Unit (PCU) as necessary. The TC will consist of the following members: representatives of LVFO, representatives of the EU Delegation to Tanzania, and the PCU staff (as rapporteur).
- iii) A Programme Coordination Unit (PCU), hosted by LVFO.

The role of the PCU will be to support LVFO in ensuring overall programme supervision, including planning and coordination, monitoring and reporting, evaluation, exchange of good practices and lessons learnt, including on gender, as well as communication and visibility. This will also include acting as Steering Committee secretariat (preparation, organisation and follow-up of meetings) and supporting the Technical Committee.

Proposed composition is one Programme Coordinator, in charge of coordination and monitoring of programme activities, one Accountant Assistant (if necessary) and one Administrative Assistant, and one FAO Chief Technical Advisor. Additionally, technical assistance will be hired in support to LVFO through a service contract for the implementation of Result 1.1 "Strengthened commercial networks for competitive aquaculture-related businesses".

- iv) National focal points, to be identified among the lead national institutions and which will support country level coordination and participation in programme activities.

FAO will ensure development of adequate collaborations with key sector partners. This shall not only allow for ensuring the required technical skills in project implementation, but also

aim at creating long-lasting partnership with the regional beneficiaries¹⁰. Under R3.3 "Improved protection of biodiversity", WorldFish will lead biodiversity research involving regional and international research authorities and universities¹¹.

Activities under SO3 (SUSTAINABILITY) will see LVFO having a major role in leading regional consultations namely with national authorities and research institutions (through LVFO Technical Committees and Technical Working Groups) in order to shape activity programmes, validate research results and promote associated policy and regulatory revisions.

5.8 Performance monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.9 Evaluation

Having regard to the nature of the action, a mid-term and a final evaluation will be carried out for this action or its components via independent consultants contracted by the Commission.

The mid-term evaluation will be carried out for problem solving. The final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision).

The Commission shall inform the implementing partner at least one month in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and, inter alia, provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner country and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

Indicatively, two contracts for evaluation services shall be concluded under framework contracts in 2021 and 2023.

¹⁰ Just to mention a few, some potential collaborators are the following: WorldFish Africa Aquaculture Research and Training Center (AARTC) in Egypt, Centre for Environment, Fisheries and Aquaculture Science in the UK, Stirling University in the UK, WorldFish, etc.

¹¹ There are several East African research Institutions (Kenya Marine and Fisheries Research Institute - KMFRI, National Fisheries Resources Research Institute – NAFIRRI in Uganda, Tanzania Fisheries Research Institute – TAFIRI) as well as several national universities in the region, and a number of overseas universities (e.g. Bangor and Stirling in UK, Ghent in Belgium) with interest and capacity to participate in foreseen activities.

5.10 Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

Indicatively, two contracts for audit services shall be concluded under a framework contract in 2023.

5.11 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.6 above.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

A Communication and Visibility Plan will be elaborated within the first six months of project implementation. The Plan will specify roles and responsibility of each implementing agency and actor. Possible activities include the development of joint programme and press materials, regular newsletters, assistance to implementing actors for media events, and a low-cost programme website. Whenever possible, existing LVFO and EAC communication outlets will be used to ensure consistency and maximise visibility.

Communication and visibility measures will be implemented by way of, indicatively, procurement of one service contract for an amount of EUR 100,000 to be concluded during the 2nd trimester 2019.

APPENDIX - INDICATIVE LOGFRAME MATRIX

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	<i>To contribute to develop competitive, gender equitable and sustainable commercial aquaculture in the Lake Victoria basin</i>	<p>1. Percentage of aquaculture in GDP production in Kenya, Tanzania and Uganda *</p> <p>2. Average ex-farm price (USD/kg)</p> <p>3. Annual supply of fish to regional markets from aquaculture in the Lake Victoria (LV) basin *</p> <p>4. % of fish consumption derived from aquaculture (in UG,KE,TZ)</p> <p>5. Sustainability of key species in Lake Victoria fisheries: a) Nile perch: % catches < min size b) Rastrineobola: Annual Catch < MSY</p> <p>6. Formal employment in aquaculture in LV Basin (disaggregated by gender)</p>	<p>1. 0.031% (2016)</p> <p>2. USD2.5-3.0/kg (2016)</p> <p>3. 70,0000 tonnes (2015)</p> <p>4. <2% (2016)</p> <p>5. a) 95% < min. size (2015) b) Yes (2016)</p> <p>6. To be defined during first year of implementation (2019)</p>	<p>1. 0.12% (2016)</p> <p>2. <USD2.0/kg (2023)</p> <p>3. 300,000 tonnes (2023)</p> <p>4. 10% (2023)</p> <p>5. a) 70% < min. size (2023) b) Yes (2023)</p> <p>6. To be defined during first year of implementation (2023)</p>	<p>1. National statistics</p> <p>2. Industry sources (i.e. WALIMI-Uganda and AAK Kenya)</p> <p>3. Generated from regular LVFO frame and/or sample surveys</p> <p>4. FAO fish consumption estimates</p> <p>5. LVFO periodic fish stock assessment reports</p> <p>6. To be defined during first year of implementation</p>	

Specific objective(s): Outcome(s)	<p>SO1 BUSINESS: to improve access to commercial networks for aquaculture-related businesses</p> <p>SO2 SKILLS: to increase availability and quality of local skilled workers for the development of aquaculture-related businesses</p> <p>SO3 SUSTAINABILITY: to improve sustainability and bio-security of regional aquaculture production systems</p>	<p>1.1 No. of new international business links established // and number of new business transactions</p> <p>2.1 % of staff employed in commercial aquaculture related businesses having received structured training on latest methods and technologies</p> <p>3.1 Regional coherent regulatory framework affecting aquatic animal health conditions and ecosystem biodiversity adopted*</p>	<p>1.1 0 (2018)</p> <p>2.1 To be defined during first year of implementation (2019)</p> <p>3.1 Not available (2018)</p>	<p>1.1 To be defined during inception phase (2023)</p> <p>2.1 To be defined during first year of implementation (2023)</p> <p>3.1 Published (2021-22)</p>	<p>1.1 Project reports (B2B events related monitoring system)</p> <p>2.1 Project reports; surveys</p> <p>3.1 Official gazette</p>	<p>Limited availability of accessible finance will soon become a less severe challenge.</p> <p>Local production by professional feed producers will soon pick up in the region.</p> <p>Non-relevant regulatory barriers to development of aquaculture are removed.</p> <p>Pollution levels in Lake Victoria will remain under control.</p> <p>Fish disease risks do not undermine production.</p>
Outputs	<p>SO1 BUSINESS: Result 1.1: Strengthened commercial networks for competitive aquaculture-related businesses</p>	<p>1.1.1 No. regional exhibitions and conferences organised // and number of participants (disaggregated by sex)</p> <p>1.1.2 No. EAST-Africa-Egypt/West Africa B2B aquaculture networking events organised // and number of participants (disaggregated by sex)</p> <p>1.1.3 No of businesses supported receiving mentoring for B2B events (disaggregated by sex of participants)</p>	<p>1.1.1 UG: 1 // 230 (2017) KE, TZ: nil</p> <p>1.1.2 0(2018)</p> <p>1.1.3 0 (2018)</p>	<p>1.1.1 UG: 1 // 400 (2020) KE: 1 // 80 (2021) TZ: 1 // 50 (2022) Gender target to be defined during inception phase</p> <p>1.1.2 1 // 30 (2019) 2 // 50 (2020) 2 // 50 (2021) Gender target to be defined during inception phase</p> <p>1.1.3 15</p>	<p>Industry sources (i.e. WALIMI-Uganda, AAK Kenya, TAA Tanzania); Project reports</p>	<p>Political will to adopt and implement regulations affecting aquatic animal health conditions, ecosystem biodiversity and zoning, and quality of fish feeds.</p> <p>Financial viability of aquaculture TVET institutions is adequately supported by national Governments.</p>

				(2019) 30 (2020) 30 (2021) Gender target to be defined during inception phase		
	SO2 SKILLS: Result 2.1: Upgraded practical training delivery by formal training institutions	2.1.1 No. upgraded practical aquaculture training facilities 2.1.2 No. revised syllabus 2.1.3 No. of aquaculture-related businesses taking part to newly developed short courses offered by the three TVET institutions (disaggregated by sex of participants) *(EURF Ind. 28)	2.1.1 0 (2018) 2.1.2 0 (2018) 2.1.3 0 (2018)	2.1.1 3 (2023) 2.1.2 3 (2023) 2.1.3 To be defined during inception (2023)	Project reports / training institutions	
	Result 2.2: Strengthened linkages between training institutions, and with aquaculture business operators	2.2.1 No. of formal twinning arrangements between training institutions supported 2.2.2 Number of exchange programmes with commercial fish-farms supported 2.2.3 No. training placements in enterprises supported (disaggregated by sex)	2.2.1 0 (2018) 2.2.2 0 (2018) 2.2.3 0 (2018)	2.2.1 To be defined during inception (2023) 2.2.2 To be defined during inception (2023) 2.2.3 To be defined during inception (2023)		

	SO3 SUSTAINABILITY: Result 3.1: Strengthened aquatic animal health conditions	3.1.1 Status of EA Aquatic animal health strategy and action plan *	3.1.1 N.A. (2018)	3.1.1 Available (2020)	Project reports / LVFO-EAC Secretariat - Fisheries Research Institutes	
		3.1.2 No. model regulations for aquaculture (disease notifications, standards for safety of feeds etc.) developed and supported for adoption at regional level*	3.1.2 0 (2018)	3.1.2 5 (2021)		
	Result 3.2: Lake Victoria zoning: an orderly and sustainable cage culture development supported	3.2.1 Status of development of a shared zoning strategy for LV Basin				
		3.2.2 Status of identification of LV Basin zones suitable for aquaculture*	3.2.1 N.A.(2018)	3.2.1 Available (2019)		
		3.3.1 Availability of genetic screening of hatchery tilapia strain in LV Basin	3.2.2 N.A. (2018)	3.2.2 Available (2020)		
	Result 3.3: Improved protection of biodiversity	3.3.2 Extent to which policies and model regulations have been developed for controlling movement of genetic material*	3.3.1 In place only for natural waters in Tanzania (2018)	3.3.1 Finalised in Tanzania, Kenya, Uganda (2022)		
			3.3.2 N.A. (2018)	3.3.2 policies and model regulations developed (2022)		