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 11\textsuperscript{th} 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 – E\textsuperscript{E}OFISH programme  
CRIS number: RSO/FED/039-977  
Financed under the 11\textsuperscript{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 |
| 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

<table>
<thead>
<tr>
<th>Project Modality</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct management – call for proposals</td>
</tr>
<tr>
<td>Direct management – grants – direct award</td>
</tr>
<tr>
<td>Direct management – procurement of services</td>
</tr>
<tr>
<td>Indirect management with ENABEL (Belgian Development Agency)</td>
</tr>
<tr>
<td>Indirect management with IOC (Indian Ocean Commission)</td>
</tr>
</tbody>
</table>

### 7 a) DAC codes

| 313 Fishing 60% - 31382, 31310, 31320;                                           |
| 410 Environmental Protection 10% - 41030;                                        |

### 7 b) Main Delivery Channel

| 47000 – other multilateral organisations (IOC)                                   |
| 42000 – European institution (EDF)                                               |
| 13000 – delegated cooperation (ENABEL)                                           |

### 8. Markers (from CRIS DAC form)

<table>
<thead>
<tr>
<th>General policy objective</th>
<th>Not targeted</th>
<th>Significant objective</th>
<th>Main objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participation development/ good governance</td>
<td>☐</td>
<td>X</td>
<td>☐</td>
</tr>
<tr>
<td>Aid to environment</td>
<td>☐</td>
<td>☐</td>
<td>X</td>
</tr>
<tr>
<td>Gender equality (including Women In Development)</td>
<td>☐</td>
<td>X</td>
<td>☐</td>
</tr>
<tr>
<td>Trade Development</td>
<td>☐</td>
<td>X</td>
<td>☐</td>
</tr>
<tr>
<td>Reproductive, Maternal, New born and child health</td>
<td>X</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RIO Convention markers</th>
<th>Not targeted</th>
<th>Significant objective</th>
<th>Main objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biological diversity</td>
<td>☐</td>
<td>☐</td>
<td>X</td>
</tr>
<tr>
<td>Combat desertification</td>
<td>X</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Climate change mitigation</td>
<td>X</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Climate change adaptation</td>
<td>☐</td>
<td>X</td>
<td>☐</td>
</tr>
</tbody>
</table>


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 EEOFISH 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)** 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** 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**, 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"**, 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

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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.
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.

- **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 transhipment 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

<table>
<thead>
<tr>
<th>Risks</th>
<th>Risk level</th>
<th>Mitigating measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
<td>H</td>
<td>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. Preliminary wide consultation with stakeholders to build on activities which are necessary and achievable in the countries of the region. 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. Ensuring that there is a proper sharing of information, communication and coordination among the various DMROs and donors. 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.</td>
</tr>
<tr>
<td>Potential deviation from the actual mandate of the programme emanating from the national and local stakeholders.</td>
<td>H</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td>M</td>
<td></td>
</tr>
<tr>
<td>Unavailability of trained and dedicated human resources at national and regional levels to support the interventions of the programme.</td>
<td>M</td>
<td>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.</td>
</tr>
<tr>
<td>---</td>
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<tr>
<td>The risk that the programme fails to fully integrate the dimension of gender equality including the vulnerable groups effectively.</td>
<td>M</td>
<td>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.</td>
</tr>
<tr>
<td>Weak commitment and ownership of the DMROs and national agencies in the implementation of the programme.</td>
<td>L</td>
<td>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.</td>
</tr>
<tr>
<td>Failure to operationalise fully the concept of Blue Economy in the regional fisheries sector.</td>
<td>M</td>
<td>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.</td>
</tr>
</tbody>
</table>

**Assumptions:**
- 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 E€OFISH 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):** E€OFISH 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 E€OFISH program.

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 E€OFISH 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 focused 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 of 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 fisheries5) 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 fisheries.  

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 Eradication and FAO Voluntary Guidelines on the responsible Governance of tenure of land, fisheries and forests in the context of national food security;
- 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.

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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 Authorities 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 ECOFISH 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)

<table>
<thead>
<tr>
<th>Subject in generic terms, if possible</th>
<th>Type (works, supplies, services)</th>
<th>Indicative number of contracts</th>
<th>Indicative trimester of launch of the procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical Assistance (TA) team for the engineering of the programme</td>
<td>service</td>
<td>1</td>
<td>3rd trimester 2018</td>
</tr>
</tbody>
</table>

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 ENABEL\(^\text{10}\) 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 E€OFISH 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/](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 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)

<table>
<thead>
<tr>
<th>Activity</th>
<th>EU contribution</th>
<th>Indicative third party contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>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)</td>
<td>8 000 000</td>
<td>900 000</td>
</tr>
<tr>
<td>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)</td>
<td>2 000 000</td>
<td>500 000</td>
</tr>
<tr>
<td>5.4.3. - Procurement (direct management)</td>
<td>3 000 000</td>
<td>-</td>
</tr>
<tr>
<td>5.4.4. - Indirect management with ENABEL to support Lake Tanganyika Authority (LTA). The EUD Burundi will be the Contracting Authority (Results 1&amp;2)</td>
<td>2 000 000</td>
<td>-</td>
</tr>
<tr>
<td>5.4.5. - Indirect management with IOC (Results 1&amp;2)</td>
<td>11 500 000</td>
<td>-</td>
</tr>
<tr>
<td>5.9 – Evaluation, 5.10 – Audit</td>
<td>550 000</td>
<td>-</td>
</tr>
<tr>
<td>5.11 – Communication and visibility</td>
<td>500 000</td>
<td>-</td>
</tr>
<tr>
<td>Contingencies</td>
<td>450 000</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>28 000 000</strong></td>
<td><strong>1 400 000</strong></td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Results chain</th>
<th>Indicators</th>
<th>Baselines (incl. reference year)</th>
<th>Targets (incl. reference year)</th>
<th>Sources and means of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall objective:</td>
<td>To enhance equitable economic growth by promoting sustainable fisheries in the EA-SA-IO region</td>
<td>1) Socio-economic benefits of the regional fisheries sector;</td>
<td>1) 1.26% of GDP in 2014;</td>
<td>1) 2.0% of GDP in 2025;</td>
<td>1) National and regional fisheries statistics;</td>
</tr>
<tr>
<td>Specific objective(s): Outcome(s)</td>
<td>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</td>
<td>1) Per capita fish consumption; 2) Number of people directly employed as fishermen and processors (gender-disaggregated)</td>
<td>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)</td>
<td>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</td>
<td>1) National and regional fisheries statistics; 2) National and regional fisheries statistics</td>
</tr>
</tbody>
</table>
### Regional policies and institutional frameworks are enhanced to secure more sustainable fisheries management

| Result 1 | 1) No. of fisheries management plans reviewed and/or implemented; | 2) No. of regional framework for fisheries data management developed and operationalised; | 3) No. of regional registration and licensing frameworks established; | 4) Adoption of joint resolutions tabled for RFMOs meetings; | 1) None at start; | 2) None at start; | 3) None at start; | 4) Nil | 1) At least 10 management plans reviewed/implemented; | 2) At least 2 data management systems (1 inland and 1 marine) developed; | 3) At least 3 licensing frameworks established (2 inland and 1 marine); | 4) At least 3 resolutions adopted | 1) Technical Reports | 2) Statistical reports/Data management reports; | 3) Technical reports from RFMO & RFOs and National Competent Authorities; | 4) Workshop report; joint statements | 1) Timely preparation of fisheries management plans | 2) Buy-in of the private organisations who are usually reluctant to provide business data; | 3) Licensing frameworks are prepared by the relevant organisations in a timely manner and accepted by all parties for implementation | 4) MS approve the joint resolutions in a timely manner |

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[26]
<table>
<thead>
<tr>
<th>Result 2</th>
<th>Strengthened capacity to prevent, deter and eliminate IUU fishing in the EA-SA-IO region</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>1) IUU fishing is reduced</td>
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<td></td>
<td>2) No. of days of joint patrols conducted by Member States of DMROs;</td>
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<td></td>
<td>1) Automatic VMS data exchange on industrial vessels operational in at least 7 coastal states;</td>
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<td></td>
<td>2) No. of trainings conducted on Enforcement, Compliance and Prosecution procedures in the fisheries sector at regional &amp; national levels;</td>
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<tr>
<td></td>
<td>4) Training not available or not adapted</td>
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<tr>
<td></td>
<td>1) Estimated to 37% of catches / EUR 1.5bn (2014)</td>
</tr>
<tr>
<td></td>
<td>2) Baseline reference the no. of joint patrols conducted in 2017 under IOC-PRSP;</td>
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<tr>
<td></td>
<td>3) Current baseline 4-5;</td>
</tr>
<tr>
<td></td>
<td>4) Training not available or not adapted</td>
</tr>
<tr>
<td></td>
<td>1) Reduction by 20%</td>
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<tr>
<td></td>
<td>2) Minimum of 100 days of joint patrols annually;</td>
</tr>
<tr>
<td></td>
<td>3) At least 7 coastal states achieve automatic VMS data exchange;</td>
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<tr>
<td></td>
<td>4) At least 1 procedural training annually</td>
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<td></td>
<td>1) International and regional organisations reports</td>
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<td></td>
<td>2) Monitoring reports;</td>
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<tr>
<td></td>
<td>3) Monitoring reports of Regional Coordinating Unit</td>
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<tr>
<td></td>
<td>4) Training reports</td>
</tr>
<tr>
<td></td>
<td>1) Participating States joint efforts to fight IUU are effective</td>
</tr>
<tr>
<td></td>
<td>2) National Competent Authorities sign grant contracts for joint patrols in a timely manner;</td>
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<tr>
<td></td>
<td>3) Effective data exchange system put in place;</td>
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<td></td>
<td>4) Efficient trainers identified and willingness of judiciary to participate to the training programme</td>
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<tr>
<td>Result 3</td>
<td>Concrete fisheries management and governance initiatives in small-scale inland and marine fisheries are supported with the possibilities of replication at regional level</td>
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