

ANNEX II

STATEMENT OF WORK

22 Dec 04

IUCN Global Marine Program (GMP) Contributions as
Partnership Activity Lead (PAL)

for Activity B2.2 of

“Strengthening Global Capacity to Sustain Transboundary Waters: The International Waters Structured learning activities and Resource Network (IW:LEARN), Operational Phase”

Project Number: 00039843 (GLO/03/G41)

Background

IW:LEARN aims to strengthen Transboundary Waters Management (TWM) by facilitating structured learning and information sharing among stakeholders. In pursuit of this global objective, IW:LEARN improves GEF IW projects' information base, replication efficiency, transparency, stakeholder ownership and sustainability of benefits through five components:

- A. Facilitating access to information about transboundary water resources among GEF IW projects
- B. Structured learning among GEF IW projects and cooperating partners
- C. Organizing biennial International Waters Conferences
- D. Testing innovative approaches to strengthen implementation of the IW portfolio
- E. Fostering partnerships to sustain benefits of IW:LEARN and associated technical support.

These include a set of information sharing and structured learning activities, joint demonstrations, and related capacity building initiatives for and among GEF-supported IW projects and their partners.

As a 4-year operational phase full-sized project (2004-2008), IW:LEARN builds upon the achievements of an experimental pilot phase project (2000-2003), incorporating the findings of its final independent evaluation. In view of the great interest raised by and successes of the UNDP-implemented pilot, all three Implementing Agencies have committed to realize this FSP, in partnership with a number of other international agencies, national agencies and non-governmental organizations (NGOs).

To increase the ownership of this global project among the three GEF Implementing Agencies (IAs) and those served by IW:LEARN, the FSP is being jointly implemented, with UNEP leading Component A and Activity D1 and UNDP taking the lead in implementing the rest of the project (Components B-E). The IW:LEARN Project Coordinating Unit (PCU) directs the project, with administrative assistance from UNOPS as Executing Agency (EA). UNDP/GEF and the World Bank Institute (WBI) are each providing strategic oversight for PCU task management of a subset of activities (WBI for Activities B1, B2 and D2; UNDP/GEF for the rest).

This TOR is designed to formalize the role of IUCN Global Marine Program (GMP) as Project Activity Leader (PAL) for the following IW:LEARN FSP activities:

Activity B2.2[.1] Large Marine Ecosystem (LME) Structured Learning

Pertinent to this TOR, the intended outcome of Component B is enhanced TWM capacity at project- and basin-levels through sharing of experiences among subsets of the GEF IW portfolio. To realize this outcome, Activity B2.2 of the project aims to involve at least 15 Large Marine Ecosystem (LME) projects in structured learning activities, in partnership with GMP, NOAA and the University of Rhode Island. GEF marine and coastal projects, as well as marine ship- and port-related projects, will also be invited to participate (e.g., Globallast, PEMSEA, Marine Electronic Highway, etc.). A related activity (E2.2) also includes development by Francois Odendaal Productions (FOP) of a related documentary on LME management, whose script will be developed with insights solicited from these partners.

IW:LEARN approach to increasing TWM capacity related to LMEs includes three related activities: FOP will develop the short LME management documentary for a general audience by March 2005, URI will develop and deliver an LME Governance training module for GEF IW projects by September 2005, and GMP will coordinate a 4-year series of structured learning activities, both face-to-face and via the Internet. While GMP is expected to play an advisory role with respect to other LME activities, the peer-to-peer structured learning series is the primary focus of the present TOR. Substantive outputs from both FOP and URI initiatives should also be considered by GMP as valuable inputs to its endeavors.

General responsibilities for all PALs are provided in Annex H.A.3 of IW:LEARN's UNDP Project Document. Specific responsibilities are linked to realizing activities described in this document, particularly its Logical Framework (Annex B), Monitoring and Evaluation section (Section IX), Stakeholder Involvement Plan (Annex I) and Sustainability Plan (Annex B), in accordance with activity summaries (Section IV) and annual quarter-by-quarter work plans (Annex K).

Further details about IW:LEARN can be obtained at <http://www.iwlearn.org>, including its Operational Phase Project Document (http://www.iwlearn.org/ftp/iwl2_prodoc.pdf) with expected outputs, roles, budget, timeline, etc.

IUCN is a long-term GEF partner and leader in marine-related learning activities among member countries and NGOs. As such, IUCN is ideally situated to realize this activity. IUCN's specific role in capacity-building to improve marine governance and manage Large Marine Ecosystems, Marine Protected Areas, and high seas areas is without equal. IUCN literally wrote the book on International Ocean Governance.¹ As documented in the UNDP-IW:LEARN Project Document, GMP has also committed over \$300,000 in co-finance support to IW:LEARN over its 4-year Full-Sized Project period.

Description of the Required Services

As noted above, IUCN Global Marine Program (GMP) will be responsible for realizing FSP Activity B2.2.1, with specific deliverables and deadlines as described in the next section. Wherever feasible, GMP will identify and leverage opportunities for collaboration, sharing of perspective, shared resource utilization and other linkages with UNESCO's International Oceanographic Commission (IOC), which is also an IW:LEARN strategic partner.

The GEF Secretariat has the following expectations for this activity:

¹ Kimball, L. (2003) International Ocean Governance: Using International Law and Organizations to Manage Marine Resources Sustainably. IUCN. (2001 edition on-line at: <http://www.iucn.org/themes/marine/pdf/IUCN%20book.pdf>)

- Overall process will occur over 4 years and across at least 2 face-to-face IW conferences, where discussion will occur in breakout sessions.
- Face-to-face meetings will add value to IW Conferences and IOC-IUCN meetings by emphasizing small-group exchange of practical experiences between project managers working in parallel on marine systems, in direct response to specific learning needs expressed by group members. These sessions will also produce substantive outputs which will be circulated among members and their counterparts in other geographic areas as a means to formalize and extend learning to a broader audience.
- The first (January-March 2005) e-forum should acquaint all participating project managers with one another, including annotated list of participants and their roles.
- Emphasis for this initial e-forum should be on assessing participants learning needs and clarifying this activity's aims to address such needs, facilitating learning within the GEF community based on participants' own experiences.
- Facilitators should solicit ideas on what the projects need to be more successful in terms of learning/information/sharing experiences, and should prepare participants for the breakout sessions in Brazil, post items to read/discuss them/break the ice on discussions/open it up to projects (i.e., what do they want to talk about with regard to learning in Brazil?)
- The e-forums should focus on experience sharing among similar projects (in the GEF portfolio), as opposed to traditional instructor-led learning. Thus, electronic sessions are not for on-line lectures and questions as much as to exchange experiences between peers regularly over the period of the project.
- In cases when discussion is sagging, however, the facilitator should be empowered to introduce new materials (a paper, a set of guidelines, an article, lecture etc.) to use as an icebreaker for that round of discussion

Based on these expectations and the UNDP-IW:LEARN Project Document, key tasks for GMP over the period from contract signature (circa December 2004-January 2005) to September 30, 2008 include:

1. Task 1: *LME Electronically-mediated Learning*

GMP, in collaboration with the IW:LEARN Project Coordinating Unit, will be responsible for the development and moderation of an internet discussion group across the 15 GEF funded LME projects. The discussion group shall serve as a peer-to-peer communication and learning tool, whereby issues relevant to LME managers can be discussed, information can be disseminated and regional experiences exchanged among various LME management programs. GMP will bring value and substance to these conversations by drawing on the experience and knowledge of the broader IUCN network, including regional offices, commissions and membership.

E-sessions: The discussion group will run as a series of thematic, quarterly "e-sessions". There will be an overall facilitator for planning and managing the e-sessions, as well as a "chair" for each specific quarterly topic. The chair will be an LME manager or scientist that has experience relating to the chosen topic. The role of the chair will be to:

- Develop an initial case study based on their own experience with the particular topic. The case study will , serve to introduce and explore the determined topic (PowerPoint slideshow, if appropriate), and stimulates the sharing of experience from other LME practitioners.
- Be on-call for the remainder of the quarter to field questions and work with the facilitator to stimulate discussion that relate to the session.

E-session topics will respond directly to the prioritized LME-management needs of LME managers, as determined at a preliminary stage of the e-dialogue and during face-to-face meetings. Topics should also relate to the GEF corporate approach to Transboundary Waters Management (TWM), including the TDA/SAP processes.

These sessions will be stored online as a reference tool and the science/management experts would be listed in as a resource bank that could be accessed and used for Q&A/fielding technical questions from LME projects.

The first (January-March 2005) e-forum will acquaint all participating project managers with one another, including annotated list of participants and their roles. Emphasis for this initial e-forum will be on assessing participants learning needs and clarifying this activity's aims to address such needs, facilitating learning within the GEF community based on participants' own experiences.

Specifically, GMP will:

- Initiate and hold introductory e-dialogue session (January - March 2005), in preparation for 3rd GEF IW Conference LME sessions [see Annex IV for guidance]
- Facilitate two other e-dialogue sessions during 2005, including convening and reporting of results/conclusions from sessions to IW:LEARN.
- Hold 3-4 additional e-sessions per year for the next three years (2006-2008, inclusive), including convening and reporting of results/conclusions from sessions to IW:LEARN.

2. Task 2: *Facilitate face-to face meetings*

GMP will be responsible for planning and implementing workshops, experience exchanges and other activities for LME managers at 4 face-to-face meetings (2 GEF IW Conferences plus 2 IOC LME meetings). It is anticipated that the annual LME meetings, sponsored by IOC and IUCN, will be the primary venue for these activities, along the biennial International Waters Conference (IWC) in 2005 and 2007 (see Annex IV).

Specifically, GMP will:

- Facilitate face to face meetings at the IW meetings (2005, 2007), including reporting of results/conclusions from sessions to IW:LEARN.
- Facilitate additional face to face meetings at the IOC meetings in Paris (held yearly), including reporting of results/conclusions from sessions to IW:LEARN.

3. Task 3: *LME Publications*

To complement the E-Dialogue, IUCN will also produce and disseminate at least 3 short publications that document the knowledge generated within the thematic LME discussions (i.e. MPA networks within LMEs, public involvement in LME management, indicators for LME implementation, legal mechanisms for LME frameworks etc.). These publications will be developed primarily for managers of formal and informal LME projects, but will also be useful reference material for regional decision-makers and academic communities. Publications should be produced in paper, CD-ROM and pdf-versions to facilitate a wide distribution to a varied audience.

Specifically, GMP will:

- Produce a series of short publications derived in part or in whole or the e-dialogue discussions, face-to-face meetings and presentations and/or addressing needs expressed by GEF IW projects participating in these activities. One publication will potentially be a post-session final draft LME management guidance, based on content from URI workshop.

4. Task 4: *Sustainability of IW:LEARN Benefits and General Support*

Activity 2.2-focused support to ensure stakeholder involvement, adaptive project management, monitoring and evaluation (M&E) and sustainability of project benefits across IW:LEARN.

GMP will:

- Promote awareness and involvement among IW:LEARN stakeholders and partners in IW:LEARN's mission, activities and resources available to them, in accordance with IW:LEARN's stakeholder involvement plans.
- Provide PCU with annual quarterly work plans for realizing this activity's 4-year outputs and anticipated outcomes.
- Track and report on progress quarterly, along with specific beneficiaries and key impacts of its IW:LEARN activities on this constituency, conveying such M&E data to the PCU and/or independent evaluators on a regular basis, in accordance with IW:LEARN's monitoring and evaluation plan.
- Annually document use of non-GEF co-financing (in cash or in-kind) leveraged in support of this activity, including contributions from GMP as well as IOC through their LME-related activities.
- Formulate and pursue a plan for sustaining benefits from this activity to stakeholders, extending beyond the four year period of the IW:LEARN FSP.
- Provision IW:LEARN with a desk at the IUCN USA offices at cost to IUCN which does not exceed \$8,000 during the IW:LEARN project period (through September 2008), along with access to high speed Internet, photocopier, mail stamp machine and phone (per unit usage charges to be incurred by IW:LEARN). This arrangement will include upgrading to a full office (with door) after September 2005, with the understanding that this may incur additional cost to IW:LEARN if total cost to IUCN exceeds \$8,000.

The GMP will serve as a PAL in directing Activity B2.2.1, working closely with the PCU, based on the general guidance of the Project Document and the annual Quarter-by-Quarter Work Plans. As such, GMP should become familiar with the GEF projects (see www.iwlearn.net), processes and partners; as well as the GEF IW:LEARN project itself.

For purposes of programmatic guidance and submission of deliverables, GMP will report to IW:LEARN's Chief Technical Advisor (CTA), Dr. Dann Sklarew (dann@iwlearn.org), or his designee.

Deliverables, Deadlines and Payment

Annex I herein provides the portion of IW:LEARN's Logical Framework outputs, schedule and tentative Year 1 work plan (October 1, 2004 – September 30, 2004) pertinent to GMP activities and deliverables.

Within two weeks after each calendar quarter of this contract, the GMP provide IW:LEARN's CTA a brief progress report (task completed and deliverables submitted, by task), copies of any deliverables since previous quarter, and financial summary of expenses to date (labor category and hours or associated budget line, by task). GMP should also include a brief (2-5 sentence) summary of any notable impacts upon or benefits received by IW:LEARN's target community (GEF IW projects and their partners), including summary of results from any monitoring and evaluation during that quarter. If there are any outstanding items awaiting CTA review, these may also be noted in the progress report. UNOPS payment will follow within 4 weeks of receipt and approval of all deliverables for the quarter.

The schedule of GMP deliverables and associated payment schedule is as follows:

Delivery Date	Deliverables Due	Payment	Payment Date
2005	13. Refined 2005 work plan for IW:LEARN SC review. 14. 2005 1 st Quarter Progress Report	\$10,000	2 weeks from date of signature
2005	15. Introductory e-dialogue session 16. Submission and acceptance of 2005 1 st and 2 nd Quarter Progress Reports 17. Develop and hold IW:LEARN structured learning sessions for the IW Conference (Rio De Janeiro) 18. First formal e-dialogue session	\$33,700	August 2005
2006	19. Submission and acceptance of 2006 1 st and 2 nd Quarter Progress Reports 20. Draft 2006 Quarterly Work Plan 21. 3-4 e-sessions and IOC meeting session held 22. One new publication	\$44,850	August 2006
2007	23. Submission and acceptance of 2007 1 st and 2 nd Quarter Progress Reports 24. Develop and hold IW:LEARN LME sessions at the 4 th GEF IW IW Conference 14. 3-4 e-sessions 15. One new publication	\$44,850	August 2007
2008	16. Submission and acceptance of 2007 1 st and 2 nd Quarter Progress Reports 17. 3-4 e-sessions and IOC meeting session held 18. One new publication	\$26,450	Oct 2008 once all deliverables completed.

* Contingent upon CTA receipt and acceptance of deliverables for previous quarter.

This schedule of deliverables and payments will be revised annually (by September 30) through development of subsequent year's annual project work plan, with the approval of the UNOPS CTA and, as appropriate, IA representative or SC as a whole.

Period of Performance

This contract will commence the date of contract issuance by UNOPS and continue through September 30, 2008.

Key Personnel

Annex III presents key personnel associated with this TOR, GMP will make its own travel arrangements unless otherwise agreed in advance by the PCU on behalf of UNOPS.

Working place and Schedule

GMP will contribute to realizing FSP outputs the FSP during the period from date of signature through September 30, 2005. On a need basis GMP may be requested to travel to GEF Secretariat, [IA HQ] or to partner locations. There may be miscellaneous or travel costs associated with these missions, as outlined in the budget below. Travel costs associated with the missions should be included in fees (below). GMP will make its own travel arrangements unless otherwise agreed in advance by the PCU on behalf of UNOPS.

Coordination Arrangements

The Project Coordination Unit ("PCU") will assume the overall supervision and coordination role. The PAL will report on substantive issues to the respective IA representative and the PCU, and on financial matters, to UNOPS. The PAL will lead a team of international consultants recruited under the grant to execute the activity, assuring timely and accurate completion of all delegated tasks as itemized below and in the operational phase's Annual Work Plan (by Quarter).

The PCU's Chief Technical Advisor or the CTA's designee will serve as IW:LEARN's direct day-to-day liaison with GMP. The PCU may also provide direction from IW:LEARN's Steering Committee (SC) to GMP and, as needed, solicit progress reports, monitoring and evaluation data, etc., from GMP in order to keep the SC apprised of all project activities.

Insofar as efforts to realize this joint activity dovetail with other IW:LEARN activities, the PAL will actively seek out communication with its counterparts for other IW:LEARN project activities in order to ensure consistency, increase efficiency and synergy across the project. With respect to Activity B2.2.1, GMP should plan to approach coordinators of Activities B2.2.2 (URI) and E2.2 (FOP) in order to harmonize substantive and potentially procedural approaches. In addition, activities under UNEP-implemented Component A may help the PAL establish any Information and Communications Technology (ICT), such as electronic lists or Web sites, required to effectively produce expected outputs.

ANNEXI. Expected Outputs for B2.2.1 Over Period December 2004 - September 2008

(Adapted from IW:LEARN Project Document's Timeline (Table 1), Logical Framework (Annex B) and Annual Quarter-by-Quarter Work Plan (Annex K)) (This should be generally in same format as in ProDoc Annex K, to facilitate integration across TORs)

Lead Org	Lead Mgr Initials	Item Ref#	Activity/Output/Task Description	Start Year	Start Qtrtr	End Year	End Qtrtr
GMP	TBD	B2-1 (Year 1)	<u>2+ Freshwater &/or LME Exchanges Launched in lead up to IWC3</u>	2004	3	2005	3
GMP	"	B2-1a	Establishment of MOUs and contracts with PALs and experts	2004	3	2004	4
GMP	"	B2-1b	Targeting invitees and preparing e-forum lists	2004	4	2005	1
GMP	"	B2-1c	Involving participants in first virtual & face-to-face ('05) sessions	2005	1	2005	1
GMP	"	B2-1d	E-forum session in follow-up to IWC3	2005	??	2005	??
GMP	"	B2-1e	URI launched LME course (captured via IW-IMS for replication)	2005	2	2005	3
GMP	"	B2.2-2 (Year 2)	<u>3-4 LME Sessions Launched (cumulatively), including one new publication</u>	2005	3	2005	4
GMP	"	B2.2-2 (Year 2)	<u>7-8 LME Sessions Launched (cumulatively), including one new publication</u>	2006	1	2006	4
GMP	"	B2.2-2 (Year 2)	<u>10-12 LME Sessions Launched (cumulatively), including one new publication</u>	2007	1	2007	4
GMP	"	B2.2-4 (Year 4)	<u>13+ LME Sessions Launched Presentation of exchange results at IWC4; posting learning products to IW-IMS</u>	2007	3	2008	2

Annex IV. Considerations for Structured Learning Activities related to IW Conferences

For each of the two GEF IW conferences (Rio in 2005, Cape Town in 2007), IUCN-GMP will:

1. Review with IWLEARN current Steering Committee guidance for thematic activities with LME subset of GEF IW portfolio; get email addresses from IWLEARN/UNEP to set up LME projects e-list.
2. Prepare structured learning plan (objectives, organization and participatory process outline) for GEF IW Portfolio Thematic Breakout Sessions with the GEF-IW LME project working group. The structured learning plan will include convening LME project proponents in an e-dialogue to prepare for participation in the IWC thematic working group on LMEs, assessing learning needs (e.g., institutional relations, management structures, etc.), facilitating working group & report sessions during the IWC, conducting evaluation and preparing proceedings of the LMEs thematic working group.
3. Identify facilitator for preparatory e-dialogue; within 2 weeks of IWLEARN/UNOPS contract execution, contact GEF-IW LME project managers participating in the LME Breakout Sessions at Rio conference. Let them know GMP will be facilitating a series of working group sessions with them in Rio, invite their contributions, and announce opportunities they'll get from participation in this thematic dialogue to:
 - a) learn about tools available through IUCN-GMP
 - b) learn from and share their project's practical experience with other GEF LME projects,
 - c) discuss recent GEF IW evaluation results and indicator frameworks with other LME project proponents,
 - d) communicate emerging issues, needs and priorities to GEFSEC, IAs and EAs,
 - e) contribute to IUCN-GMP/IWLEARN 2-year Structured Learning workplan (until 2007 IWC in Cape Town).

Ask project managers to share this with the country participants coming to Rio from their project, and to submit email addresses of national counterparts to add to this e-list. Inform them you will be in touch again to help them come prepared.

Futhermore, solicit ideas on what the projects need to be more successful in terms of learning/information/sharing experiences, and second, prepare them for the breakout sessions in Brazil (i.e. post items to read/discuss them/break the ice on discussions/open it up to projects--- what do they want to talk about with regard to learning in Brazil etc)

4. Plan the series of working group sessions for IWC3 in Rio, including facilitator, moderators, and rapporteur (high-level GMP facilitation & moderator/s strongly encouraged):

Breakout Session I (1.5 hrs): LME project participants share experiences and design future structured learning activities;

Breakout Session II (2 hrs): LME project participants discuss portfolio evaluation results, (as presented in morning Monitoring & Evaluation plenary), development of indicators, and integrated approaches;

Breakout Session III (1.5 hrs): LME project participants complete planning discussions on M&E, integrated approaches and structured learning objectives;
Breakout Session Reports (~20min): LME working group reports on planned follow up in M&E, 2-year structured learning workplans, and integrated approaches.

5. Prepare specific content to address identified priority needs with GEF project participants during scheduled thematic Breakout Sessions at IWC3.
6. By 1 Feb 2005 communicate again to IWC participants e-list to provide background, structure (description of Breakout Sessions), and encourage preliminary dialogue on key questions to have in mind when they come to Rio:
 - a) Ask project managers: What are your existing plans? Instruct them to be prepared to share & discuss how they compare with other projects' plans and approaches?
 - b) Ask participants to be prepared to discuss IW program evaluations in light of their projects' planned activities, Ask: are there emerging needs, issues, or new priorities to be addressed?
 - c) Ask participants: "How could this activity better address your project's needs and priorities? What are your suggestions for further structured discussions that might be helpful to you and your project? What are the most important issues for dialogue with GEF Implementing Agencies, GEF project managers and partners, and with your counterparts in other projects?"
7. Attend Rio conf: provide facilitation, moderator/s, and rapporteur to conduct structured learning sessions. Prepare outputs of Breakout Sessions: proceedings including lessons learned by participants, evaluation and IUCN-GMP/IWLEARN structured learning workplan from Rio IWC3 until Cape Town IWC4 in 2007 (identification of next steps to continue and improve learning on topic presented, for example via peer to peer exchange and network, additional training, technical support help desk...).
8. In consultation with IWLEARN, develop thematic LME structured learning activities for IWC4; priority topic (tentatively "economic valuation and its use in policy and decision making") will be dependent upon Task 1 project assessment the outcomes of the working group sessions in Rio, and of IUCN-GMP's face-to-face thematic workshops, e-learning and e-dialogue activities. Deliverables.

Potential Deliverables

- 1 Introductory message to E-list established for all GEF IW LME managers and national counterparts participating in GEF IWC/s. (Jan 2005).
- 2 Provisional Structured Learning Plan for IWC3 in Rio, March 13-18, 2005, (20 Jan 2005).
- 3 Preparatory information disseminated & e-dialogue begun on learning needs (by 1 February 2005).
- 4 Final Plan for IWC3 Structured Learning, including facilitator, moderator/s, rapporteur/s, priority topics to be discussed, and any case studies, presenters, etc. (28 February 2005).
- 5 LME thematic sessions proceedings, including lessons learned by participants, evaluation report, and GMP/IWLEARN structured learning workplan from Rio IWC3 until Cape Town IWC4 in 2007. (30 March 2005).
- 6 Structured Learning workplan for IWC4 in Cape Town, 2007, including timeline, budget, and deliverables schedule. (31 December 2006)

7 LME thematic sessions proceedings, including lessons learned by participants, evaluation report, and GMP/IW:LEARN structured learning workplan from Cape Town through end of project. (31 December 2007).