

16th September 2021

Dr Semba Masumbuko
Nelson Mandela University
Arusha

Re: Contract No. WIOMSA/MeerWissen/2021/3: Consultancy for assisting the assessment of the relationship between Government-affiliated fisheries research institutes and relevant departments and Ministries on the use of research results: Assessment of Current Practices and Identification of Capacity Building Needs

1. Introduction:

The Western Indian Ocean Marine Science Association (WIOMSA) is pleased to offer you, as the Contractor, the following contract in connection with the assisting the assessment of the relationship between Government-affiliated fisheries research institutes and relevant departments and Ministries on the use of research results: Assessment of Current Practices and Identification of Capacity Building Needs.

2. Duration of Contract:

This contract shall commence on 16 October, 2021 and end on 31st January 2022. The contract is provided by WIOMSA and will commence after WIOMSA has received the enclosed copy of the contract, duly signed by the Contractor, and will terminate upon satisfactory and timely completion of all tasks or unless it is otherwise extended as appropriate.

Extraneous circumstances precipitated by the current COVID crisis will be taken into account in the management of this contract as appropriate and as shall be agreed between WIOMSA and the Consultant.

3. Tasks to be Performed:

The tasks to be performed by the Contractor are set out in the Terms of Reference attached as Annex 1 to this contract.

4. Finance & Benefits

Remuneration: As full remuneration for the services performed under the terms of this contract, WIOMSA shall pay the Contractor a consultancy fee of USD 4,000.

Operational costs associated with the consultancy will be paid separately and will have to be accounted for by submission of receipts.

- a) **Insurance:** WIOMSA does not provide any medical, personal belongings or other types of insurance for the Contractor. You are advised to make adequate provision for these eventualities before undertaking the contract. WIOMSA does not accept responsibility for the Contractor's claims in case of injury, sickness or accident.

6. Contractual Conditions:

The general standard conditions of contract for WIOMSA short-term contractors, attached as Annex 2, shall apply and form an integral part of this contract.

7. **Correspondence:**

All contractual correspondence in connection with this contract shall be addressed to the Executive Secretary, WIOMSA, P.O. Box 3298, Zanzibar, Tanzania. Email: tuda@wiomsa.org

8. **Acceptance:**

If you find the terms and conditions of this contract to be acceptable, please confirm your acceptance by signing the enclosed duplicate copy of the contract, initializing each page including the annexes, and returning the duplicate copy to the above address.

Yours sincerely,

Arthur Tuda
Executive Secretary

Contract Signature:

Date:

Signed: Dr Arthur Tuda, Executive Secretary

I have understood and agree with the terms and conditions set out above and in Annex 1 to this contract.



Date:

20 – 10 - 2021

Signed:

Bank Details

Name of Account holder:

MASUMBUKO SEMBA

Name of Bank:

CRDB

Account Number: (International Account
Number, including Swift Code):

0152259023100

Address of Bank:

Swift Code: (See above)

Annex I: Terms of reference for the assisting the assessment of the relationship between Government-affiliated fisheries research institutes and relevant departments and Ministries on the use of research results: Assessment of Current Practices and Identification of Capacity Building Needs.

BACKGROUND

Knowledge exchange and transfer are the foundation for good science and science-policy interactions. The low level of knowledge transfer between all actors, including government institutions, the private sector, civil society and science calls for better transfer mechanisms, collaboration and communication to ensure the sustainable management of aquatic resources that build the livelihood of millions of people in the region that depend on these resources. The need for regular and sustained interactions is increasingly being recognized and some action has been taken on a regional level, such as through the establishment of the Science-to-Policy Platform by the Nairobi Convention.

Clear, practicable and knowledge-based policies are required for the conservation and sustainable use of aquatic environment. However, research outputs and scientific expertise are rarely taken up in specific policies. In addition, communication and exchange of knowledge and data amongst scientists and between science and management organisations is limited. On the other hand, decision-makers often do not articulate their specific data and information needs to scientists, resulting in knowledge needs not being embedded in national and international research agendas.

Research in the countries of the WIO region is undertaken mainly by universities, Government-affiliated research institutes, national and regional NGOs, and by scientists from outside of the region. With the exception of the research initiatives undertaken by Government-affiliated research institutes, research by other organizations is not necessarily aligned to the needs of management authorities. The research agenda of Government-affiliated research institutes such as the Kenya Marine and Fisheries Research Institute (KMFRI); Tanzania Fisheries Research Institute (TAFIRI) and the Fisheries Research Institute (IIP) of Mozambique should generally be guided by the management objectives of the departments or Ministries to which they are affiliated as well as relevant national policies.

Related to this, the question which arises is who defines the priority research agenda of the Government-affiliated research institutes? What are the main sources of technical information for management authorities and decision-makers? Is there a framework at the Ministerial level for integrating research results by these institutions into management and decision-making processes?

While Government-affiliated research institutes usually publish their research results as technical reports, other research organizations often publish their information in academic peer-reviewed publications (which include papers, books and theses) and more rarely in technical reports. Both these forms of dissemination of research results have presented challenges in terms of being accessible to policy makers and management authorities. Different mechanisms have been used in the region in the attempt to overcome these barriers by converting publications and information

into non-specialist language. Mechanisms used include the organization of science to policy workshops aiming at building trust and fostering dialogues between these two (often disparate) groups, and the production of policy briefs.

How effective have these mechanisms been? What are the views of the management authorities on the effectiveness of these mechanisms, especially as they have often not initiated, and may only have been marginally involved in, these mechanisms? What other mechanisms can be used to improve uptake/relevance?

Increasingly, governments of the WIO region are demanding researchers to demonstrate how their research results will be used in supporting decision-making/management processes. This has led to increasing interest amongst scientists to conduct management-/policy-relevant research. However, the knowledge of how management authorities have used, or are using research results in the decision-making processes, is still limited. It is proposed that working with two Government-affiliated fisheries research institutes in Kenya and Tanzania namely, KMFRI and TAFIRI, to understand how scientific information generated by these institutes and other organizations is integrated in decision-making processes in their respective ministries.

Through this study, opportunities and barriers to effective integration of fisheries science into decision-making/management processes will be examined and recommendations on how these challenges may be overcome and opportunities be harnessed, will be made. Lessons learned from science to policy dialogue formats in Kenya and Tanzania will be compiled and shared with other countries. These lessons learned will be shared through the Nairobi Convention and other regional fora.

QUESTIONS TO GUIDE THE STUDY

In order to gain some perspective on the extent to which research at TAFIRI and KMFRI informs management/policy, this study seek answer the following questions:

- How does the legal mandate establishing these institutions articulate the policy dimension of their work?
- How and by whom are the priority research agenda of the Government-affiliated research institutes, TAFIRI and KMFRI defined? Where and by whom are the research questions generated?
- What are the main sources of technical and scientific information that decision-makers in the Department and Ministry use to make their decisions?
- In governments with a dedicated research institution such as TAFIRI and KMFRI, is there a framework at the Department or Ministerial level for integrating research results into management and decision-making processes? Are there structures that aim to bring the research objectives of scientists closer to the needs of policy-makers?
- Select key national/regional policies/legislations/strategies and review the process of their development;
- Assess whether and how the Department and the Ministry have interacted with TAFIRI and KMFRI, particularly in relation to the development of policies/legislations/strategies. What is the nature of engagement? (regular, occasional, serendipitous). Is it effective?
- Review and identify different mechanisms used by research institutions in linking science and management, particularly to ensure that research results with management significance are

effectively transmitted to management authorities and requisite follow up actions are carried out. To what extent do scientists or science managers consider this to be an important outcome of research? What factors influence this?

- Highlight barriers to effective linkages between the scientific and policy-making/ management communities;
- Suggest mechanisms/factors that can improve the use of scientific information for decision making;
- Identify the capacity building needs in resource management authorities and agencies that, if addressed, may help to bridge the gap between science and management processes;
- Identify capacity building strategies for overcoming the barriers to effective integration of science into decision-making/management processes.

Under the supervision of the main consultant, Dr Paul Onyango, a consultant is recruited to assist in the assessment of the relationship between Government-affiliated fisheries research institutes and relevant departments and Ministries on the use of research results: Assessment of Current Practices and Identification of Capacity Building Needs.

SCOPE

This study is aiming at undertaking in-depth assessment on how TAFIRI and KMFRI have and are interacting with their departments and Ministries responsible for fisheries and associated matters with special focus on how information they have generated have been or are used for decision-making processes. The assessment will focus on where integration of research and policy making /management decision making has worked and factors of success and cases where the integration failed, and the reasons. The study will make recommendations on how identified challenges, particularly those related to capacity building may be overcome.

In executing the assignment, the consultant will work closely with the main consultant and WIOMSA, in undertaking the following specific tasks:

- i) Collate all research outputs from TAFIRI (published scientific papers, books and book chapters, technical scientific reports, conference/meeting reports and unpublished work). Provide a list of all these in a table according to those categories
- ii) Identify policies (policies, laws, regulations, and government decrees on fisheries) that have been declared since the establishment of TAFIRI research activities
- iii) Identify innovations developed by TAFIRI scientists and describe their functions, its users and support provided by TAFIRI in transferring the innovation to users
- iv) Identify policy briefs/advices that have been produced by TAFIRI and describe their focus, to whom they were targeted and their outcomes (e.g. were they transformed into policies, law, etc)
- v) Review the collated technical scientific reports, books and book chapters, scientific papers to identify
 - Policy issues in them
 - How the policy issue was communicated to policy makers
 - Any use, if at all, of the information that was generated from the technical reports, books and book chapters and scientific papers
- vi) Review TAFIRI's Act/Regulation and staff promotion guideline/criteria to identify similarities, differences and whether the two documents are aligned to each other.
- vii) Assist in data analysis and preparation of illustrations to be used in the report

viii) Perform any other tasks that may arise and under the direction of the main consultant.

PERIOD OF PERFORMANCE/DELIVERABLES

Starting Date: 16 October, 2021

Ending Date: 31 January 2022

Date	Deliverable
30 th November 2021	List of all research outputs from TAFIRI since its establishment to 2020
30 th November 2021	List of Policies, laws and regulations and decrees that have been declared from TAFIRI research activities
30 th November 2021	Innovations developed by TAFIRI scientists and how these were transferred to users
30 th November 2021	List of all Policy Briefs/advices that have been produced by TAFIRI. Their focus, to whom they were targeted and their outcomes (e.g. were they transformed into policies, law, etc)
30 th November 2021	A report on whether TAFIRI's staff promotion guideline/criteria aligns to the Act/Regulation that established the institution
15 th January 2022	A report containing review of the collated technical scientific reports, books and book chapters, scientific papers outlining <ul style="list-style-type: none"> o Policy issues in them o How the policy issue was communicated to policy makers o Any use, if at all, of the information that was generated from the technical reports, books and book chapters and scientific papers (e.g. submitted to the Ministry, communicated to stakeholders, published in journal, book and or book chapter, promotion etc)

METHOD OF PAYMENT

Payments will be made in accordance with the following schedule:

- First payment of USD 2 000 upon submission of an inception report outlining work plan for delivery of outputs.
- Final payment of USD 2 000 upon submission of the final versions of the outputs.

Disbursement of fees and other costs shall be made against separate invoices signed by the Consultant. The invoices shall show: the name and address of the Consultant; the invoiced amount in US\$ and bank details (including the bank account, bank address, account number, account holder, and currency of the account to which the payment should be remitted).

The contractor is responsible for due payment of all the relevant taxes that arise from this contract.

ANNEX 2: STANDARD CONDITIONS OF CONTRACT (SHORT-TERM CONSULTANTS)

General:

1. All tasks under the Contract shall be carried out as required by and to the satisfaction of WIOMSA.
2. Any variation of the terms and conditions of the Contract must be agreed in advance and in writing between the Contractor and WIOMSA.
3. The Contract may be terminated by one month's written notice on either party to the other party. In such a case, WIOMSA and the Contractor reserve the right to recover such sums as may be appropriate.
4. If the Contract is not completed because of ill health, or for other reasons beyond the control of the Contractor, payment shall be made at the discretion of the Board of Trustees of WIOMSA for all work accepted by WIOMSA.
5. The Contractor is deemed to be an independent Contractor providing the services called for under the Contract. The documents constituting the Contract do not therefore imply an offer of employment as a member of WIOMSA staff, permanent, temporary or otherwise. WIOMSA does not accept any liability for acts of third parties, accident, sickness or losses of any kind, howsoever caused, arising in the course of or from the performance of the Contract. The Contractor is advised to take out whatever insurance is appropriate to cover such risks and contingencies.
6. The Contractor has no right to sub-contract work under this Contract unless expressly stated in writing by WIOMSA. Where the Contractor is given the right to sub-contract, all contractual and other matters concerning sub-contracts, including all payments, will remain the exclusive responsibility of the Contractor.

Resources:

7. The resources provided under this contract may be used only for the specific purposes described in the Contract and elaborated in the project description.
8. Any funds not spent should be reported to WIOMSA and held pending instructions.

Non-Consumed Equipment and other Resources:

Reports:

11. The reports required are as stated in the Contract.

Confidentiality:

12. As a general rule all information or material arising under or in connection with the project, including the project description, supporting documentation, correspondence, progress and final reports and audiovisual material, shall be open and available for public inspection.

However, where circumstances reasonably require confidentiality, project information or material, excluding the project description, can be specified “confidential” by the writer and be treated as such.

(Contractor to initial each page of these Conditions and return one copy together with the contract to WIOMSA).