



REQUEST FOR CEO ENDORSEMENT/APPROVAL

PROJECT TYPE: Medium-sized Project

THE GEF TRUST FUND

Submission Date: March 2009

Re-submission Date:

PART I: PROJECT INFORMATION

GEFSEC PROJECT ID:

GEF AGENCY PROJECT ID:

COUNTRY(IES): Indonesia, Philippines, Vietnam

PROJECT TITLE: West Pacific East Asia Oceanic Fisheries Management Project

GEF AGENCY(IES): UNOPS [with WCPFC]

OTHER EXECUTING PARTNER(S):

GEF FOCAL AREA(S): International Waters

GEF-4 STRATEGIC PROGRAM(S): SP 1: restoring and sustaining coastal and marine fish stocks and associated biological diversity

NAME OF PARENT PROGRAM/UMBRELLA PROJECT:

Expected Calendar	
Milestones	Dates
Work Program (for FSP)	n/a
GEF Agency Approval	Apr 2009
Implementation Start	May 2009
Mid-term Review (if planned)	n/a
Implementation Completion	May 2012

A. PROJECT FRAMEWORK (Expand table as necessary)

Project Objective: To strengthen national capacities and international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia (Indonesia, Philippines and Vietnam)

Project Components	Invest., TA, or STA**	Expected Outcomes	Expected Outputs	GEF Financing*		Co-financing*+		Total (\$)
				(\$)	%	(\$)	%	
1. Monitoring, data enhancement and fishery assessment	TA	1.1. Improved knowledge of oceanic fish stocks and related ecosystems, through better, quality and more complete data for the Pacific Ocean Warm Pool Large Marine Ecosystem (POWPLME) that harbours approx. 50% of world tuna stocks	1.1.1. Implementation of integrated fishery monitoring programmes for target and non-target species in the three participating countries	587,000	25	1,743,716	75	2,330,716
	STA	1.2. Uncertainty in stock assessment reduced by improved parameter estimation	1.2.1. Improved data for stock assessment from Indonesia, Philippines and Vietnam filling critical data gaps for the sustainable management of the POWPLME					
	TA	1.3 National capacities in oceanic fishery monitoring and assessment strengthened in Indonesia, Philippines and Vietnam	1.3.1. Training of national fishery monitoring and stock assessment staff in Indonesia, Philippines and Vietnam, through a series of targeted workshops					
	STA		1.3.2. Three national fisheries status reports					

			annually					
2. Policy, institutional strengthening and fishery management	TA	2.1. Participant countries contributing to management of shared migratory fish stocks	2.1.1. Review of policy and institutional arrangements for oceanic fisheries management	240,000	12	1,723,715	88	1,963,715
		2.2 National laws, policies and institutions strengthened to implement applicable global and regional instruments	2.2.1. Strategy to support national reform in the fishery sector, to engender enhanced compliance with existing legal instruments					
		2.3 Key stakeholders participating on the project, including Government Depts, and fishing industry	2.3.1. Implementation of the WCPF Convention and related instruments					
		2.4 National capacities in oceanic fisheries management strengthened	2.4.1 Knowledge management system for dissemination of Project-related information, lessons and best practice					
	STA		2.4.2 Formulation of two national Tuna Management Plans and revision of another					
5. Project management				98,000	33	200,000	67	298,000
Total Project Costs				925,000		3,667,431		4,592,431

* List the \$ by project components. The percentage is the share of GEF and Co-financing respectively to the total amount for the component.

** TA = Technical Assistance; STA = Scientific & technical analysis. + Arbitrary division of co-financing between components

B. FINANCING PLAN SUMMARY FOR THE PROJECT (\$)

	<i>Project Preparation</i>	<i>Project</i>	<i>Agency Fee</i>	<i>Total at CEO Endorsement</i>	<i>For the record: Total at PIF</i>
GEF	75,000*	925,000	100,000	1,100,000	1,100,000
Co-financing	42,500	3,667,431		3,709,931	2,242,000
Total	117,500	4,592,431	100,000	4,809,931	3,342,000

* The status of implementation and use of fund for the project preparation grant is detailed in Annex D.

C. SOURCES OF CONFIRMED CO-FINANCING, including co-financing for project preparation for both the PDFs and PPG. (expand the table line items as necessary)

<i>Name of co-financier (source)</i>	<i>Classification</i>	<i>Type</i>	<i>Amount (\$)</i>	<i>%</i>
AusAID	Bilateral agency	Grant	300,000	8.2
WCPFC	Intergovernmental Org'n	Grant	200,000	5.5
NOAA/NMFS	Bilateral agency	Grant	50,000	1.4
Japan Trust Fund	Bilateral agency	Grant	30,000	0.8

FFA	Intergovernmental Org'n	In kind	669,431	18.3
ACIAR	Nat'l Gov't	In kind	25,000	0.7
WCPFC	Intergovernmental Org'n	In kind	140,000	3.8
SPC-OFI	Intergovernmental Org'n	In kind	628,000	17.1
WWF/NOAA	NGO/Bilateral agency	In kind	150,000	4.1
DANIDA	Bilateral agency	In kind	25,000	0.7
Philippines	Nat'l Gov't	In kind	610,000	16.6
Indonesia	Nat'l Gov't	In kind	470,000	12.8
Vietnam	Nat'l Gov't	In kind	370,000	10.0
Total Co-financing			3,667,431	100%

D. GEF RESOURCES REQUESTED BY FOCAL AREA(S), AGENCY(IES) OR COUNTRY(IES)

GEF Agency	Focal Area	Country Name/ Global	(in \$)			
			Project Preparation	Project	Agency Fee	Total
UNDP	IW	Global	75,000	925,000	100,000	1,100,000
Total GEF Resources			75,000	925,000	100,000	1,100,000

* No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

E. PROJECT MANAGEMENT BUDGET/COST

Cost Items	Total Estimated person weeks	GEF (\$)	Other sources (\$)	Project total (\$)
International consultants*	28	28,000	52,000	80,000
Office facilities, equipment, vehicles and communications**			40,000	40,000
Personnel,		10,000	70,000	80,000
Travel, meetings**		60,000	28,000	88,000
Total	150	98,000	190,000	288,000

* Provide detailed information regarding the consultants in Annex C.

** Provide detailed information and justification for these line items.

F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Estimated person weeks	GEF(\$)	Other sources (\$)	Project total (\$)
International consultants*	66	265,000	85,000	350,000
Total	66	265,000	85,000	350,000

* Provide detailed information regarding the consultants in Annex C.

G. DESCRIBE THE BUDGETED M&E PLAN:

Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by designated staff of the EA (UNOPS, with the assistance of WCPFC) with support from UNDP/GEF. The Logical Framework Matrix provides *performance* and *impact* indicators for project implementation along with their corresponding *means of verification*. These will form the basis on which the project's Monitoring and Evaluation system will be built.

Monitoring and Reporting

The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to M&E activities. The project's Monitoring and Evaluation Plan will be presented and finalized at the Project's Inception Workshop following a collective fine-tuning of indicators, means of verification, and the full definition of M&E responsibilities of the UNDP, WCPFC and national counterpart agencies and staff.

TABLE 1: INDICATIVE MONITORING AND EVALUATION WORK PLAN AND CORRESPONDING BUDGET

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team Staff time</i>	Time frame
Inception Workshop	WCPFC UNDP CO/UNOPS UNDP GEF	33,000 USD (included in project component 7)	Within first two months of project start up (May 09)
Inception Report	Designated WCPFC staff with feedback from countries and UNOPS UNDP/GEF	None	Immediately following IW (June 09)
PIR	Designated WCPFC staff in consultation with UNOPS UNDP CO UNDP-GEF Others as identified	None	Annually
Project Steering Committee (PSC) Meetings / TPR meetings	Designated WCPFC staff PSC members as designated UNDP/GEF UNDP CO	To be linked to other project events/meetings therefore costs covered in other budget lines	Following Project IW (August 09) and subsequently at least once a year
Final External Evaluation	UNOPS UNDP/GEF External Consultants (i.e. evaluation team)	32,000 USD	At the end of project implementation
Final Project Meeting	WCPFC UNDP GEF UNOPS	33,000 USD (included in project component 5)	3 months before the end of the project (February 2012)
Final project reports (technical & financial)	Designated WCPFC staff UNOPS UNDP GEF Others as identified	None	6 months following the end of the project (November 2012)
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		US\$ 98,000	

Learning and Knowledge Sharing

Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums. This will be undertaken primarily through IW:LEARN and its processes (experience notes, International Waters Conferences, thematic communities of practice, Thematic and geographic workshops). In addition:

- The project will participate, as relevant and appropriate, in UNDP/GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics.
- The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned.
- The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identify and analyzing lessons learned is an on- going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UNDP/GEF shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. To this end an appropriate percentage of project resources has been allocated for these activities.

PART II: PROJECT JUSTIFICATION

A. DESCRIBE THE PROJECT RATIONALE AND THE EXPECTED MEASURABLE GLOBAL ENVIRONMENTAL BENEFITS:

Eastern Indonesia, Philippines and Vietnam form the western boundary of the Pacific Ocean warm pool large marine ecosystem, a globally significant maritime region which supports biodiversity that is among the highest in the world. Oceanic fish stocks which migrate throughout this region support commercial and small-scale fisheries providing livelihoods, food security and economic development opportunities. This is demonstrated by the harvest of shared tuna and tuna-like species, which, in 2006 alone, was 2.2 million tonnes. 26% of this, 700,000mt, is estimated to have been taken by Philippine, eastern Indonesian and Vietnamese fishers.

The sustainability of harvests of these shared resources is threatened by poor information, over-exploitation resulting from incomplete and inadequate collaborative arrangements for conservation and management, both nationally and regionally, and illegal, unreported and unregulated (IUU) fishing. With GEF support the Project will target sustainability threats to shared oceanic fish stocks that are currently partially managed under the auspices of the Convention for the Conservation and Management of Highly Migratory Fish Stocks of the Western and Central Pacific Ocean which provides the institutional framework for international collaboration for conservation and management of oceanic highly migratory fish stocks in this region.

Indonesia and the Philippines participated in the negotiations to develop the Convention during the 1990s and Philippines has since ratified it. Whilst Vietnam has not yet engaged in the Commission's work, the Philippines and Indonesia will require considerable support in order to fully participate. The Project intends to build the capacity of Philippines, Indonesia and Vietnam to fully participate in the work of the Commission through improved scientific information supporting an ecosystems approach to management of shared target and non-target oceanic stocks and strengthened monitoring, regulation and control nationally and regionally. This will in turn strengthen WCPFC as the appropriate regional fisheries management organization (RFMO) responsible for the conservation and management of highly migratory fish stocks in this oceanic region

Global environmental benefits from the Project will be achieved by strengthened international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia. In addition, as a nationally-driven initiative of Philippines, Indonesia and Vietnam, an improved contribution to sustainable development will be achieved through enhanced information for decision-making in respect of necessary national economic, financial, regulatory and institutional reform and full participation in an existing regional fisheries management arrangement.

The project's Approach

The project will directly address the two main barriers to sustainable fisheries management involving highly migratory species, with a particular focus on the western Pacific warm pool ecosystem: the inadequate scientific knowledge about oceanic ecosystems and their relationship with fisheries resources, and the incomplete participation in the recently established governance framework for oceanic tuna resources in the region, the Western and Central Pacific Commission (WCPFC). The proposed project will also make significant contributions to raising awareness of decision-makers, the fishing industry and the general public on sustainable oceanic fisheries management and marine biodiversity, and augment current efforts to develop robust conservation and management measures for oceanic resources and marine biodiversity in coastal and oceanic waters for the area, under the CTI Plan of Action.

The project objective is to apply an ecosystem-based approach to fisheries management for biologically globally significant and commercially important oceanic fisheries, with a long-term aim to improving conservation and management of the oceanic tunas and associated species. The two main outcomes pursued are:

- (1) Scientific understanding and capacity for monitoring, assessment and analysis of oceanic tuna fisheries and their ecosystem significantly improved, and national capacity strengthened
- (2) Enhanced governance framework for the conservation and management of oceanic tuna resources, such that the participating countries can contribute fully to the arrangements for shared management of migratory fish stocks.

The project will also promote learning, awareness raising and knowledge sharing relative to these outcomes.

Improving scientific understanding and capacity for monitoring, assessment and analysis of oceanic tuna fisheries and the associated ecosystem

The proposed project will address key gaps in scientific knowledge and monitoring of fisheries which are currently detracting from reliable stock assessment leading to effective management of oceanic tunas in the western and Central Pacific, based on the precautionary and ecosystem approaches. The tuna fisheries of Indonesia and to a lesser extent Philippines, are recognized as being incompletely documented, whereas the Vietnam tuna fisheries suffer from an almost complete lack of scientific data.

Activities to be undertaken will include:

- Reliable estimation of the industrial and artisanal catch of tunas and associated species, by gear type, in multi-gear fisheries with numerous landing points
- Size and species composition of the target species catch, in an area with spawning activity of global significance
- Characterization of by-catch in all fisheries, as well as incidental catches of mammals, reptiles and birds.
- Estimation of critical biological parameters for incorporation in stock assessment models, such as movement, growth and natural and fishing mortality
- Contribution of reliable national catch, effort and other fishery data to regional databases

Catch sampling programmes will need to be designed and established, although to some extent, these will build on initial activities undertaken during the Indonesian-Philippines Data Collection Project which has enabled some pilot activity to be undertaken (Indonesia), and existing sampling programmes enhanced (Philippines). In addition, data collection, analytical and database management skills will need to be nurtured.

Experience and skills from the closely affiliated Pacific Islands Oceanic Fisheries Management Project will guide and in some cases directly augment the outcomes of the Project. PEOFMP scientific personnel will likely be important resource persons for the WPEA OFM. The EA components of the ongoing SPC Pacific Tuna Tagging Project (activities in Philippines, Indonesia and contiguous areas) will provide critical data for national-level assessments.

In the medium term of the project, a commitment to the collection of operational level data (logsheets) will be made, and observer programmes, to collect ecosystem-level data, will be gradually developed. The observer programmes will draw on the experience of existing NGO observer programmes in all three countries.

From this range of new data collection activities will flow regular reporting at national level, valuable contributions to regional fishery databases and greatly enhanced capacity at national level. WCPFC staff will contribute experience and coordination to areas such as administration and coordination of sampling programmes, and observer programme development and implementation.

As the three countries involved are at different stages in the development of monitoring and assessment activity, there exists an opportunity for knowledge transfer, and for learning from the experiences of other countries. The project will provide opportunities for this to occur and synergies to be developed.

Enhanced governance frameworks for the conservation and management of oceanic tunas

Although the WCPF Convention, the first regional instrument put in place since the adoption of UN Fish Stocks Agreement, provides the governance framework for the conservation and management of oceanic tuna resources in the region, national institutional arrangements, policy settings and legal instruments are currently not necessarily able to deliver effective participation in the new regime. An important initial activity under the project will be to review existing institutional arrangements in all three countries, as well as current laws and policies, as they relate to full compliance with, and effective participation in, the requirements and activities of the Commission. This may involve development of a full institutional and legal gap analysis, and a comprehensive list of possible options for the improvement and strengthening of the legal and institutional framework to achieve sustainable fisheries and biodiversity conservation. Efforts will be made to encourage implementation of necessary changes without challenge to national priorities and sovereignty

Philippines, as one of the founding members of the Commission, has made some progress in this area but is not fully compliant. Indonesia is now a member of two other RFMOs (IOTC and CCSBT) and is likely to become a full member

(CCM) of the Commission during 2009, so is beginning to align existing structures with RFMO requirements. Vietnam, on the other hand, is at a very early stage of any possible accession to the WCPFC and enjoys informal observer status only. In all cases, there is much to do before the countries are fully compliant with WCPFC requirements.

Improvements in capacity and information flow will enable regular reporting on fisheries issues, flag state responsibilities, port state requirements, surveillance activities etc as required by the Commission, to be implemented. National Tuna Coordinators will be appointed in Indonesia and Vietnam (one has been in place in Philippines for several years), with the responsibility of managing project activities at national level, serving as information gathering points and coordinating all reporting requirements to the Commission. The Project will also encourage and initially directly support the development of tuna industry associations in Indonesia and Vietnam, to ensure the full participation of key stakeholders in Project activities.

The Project will also encourage the development (or revision, in the case of the Philippines) of National Tuna Management Plans, compatible with regional arrangements and drawing on information and experience gained during the project. Technical assistance will be provided with the formulation of these plans, which will also inform all aspects national harvest policy and provide another opportunity for capacity building. These plans, in time, will also identify conservation and management options based on a precautionary and ecosystem approach. By strengthening national oceanic fisheries management capacity, this activity will facilitate increasingly valuable national contributions to regional management of shared migratory stocks.

Learning, awareness raising and knowledge sharing.

The proposed project would contribute greatly to regional knowledge of tuna fisheries and their associated ecosystems and extend the reach and effectiveness of regional management initiatives. More specifically, the project will:

- Widely publicize project findings and results to raise awareness on importance of oceanic fisheries management and highlight new information. Industry associations and national coordinators will be important conduits for information dissemination.
- As part of the project's international communications campaign, contribute to IW:LEARN activities, such as production of at least one International Waters Experience Note, participation in the biennial International Waters Conference(s) to showcase the project achievements and exchange knowledge, and project information to be made available through an IW:LEARN website. Approximately 2% of project budget allocated by GEF, or USD 20,000, will be earmarked for the IW:LEARN related activities.
- Coordinate with other related initiatives in the region, to ensure results and learning of the project are shared as widely as possible and benefit from the experience of others. As noted, the exchange of information and experience amongst the three participating countries, via study tours and workshops, is expected to pay an important part in the Project.

Expected global environmental benefits

The Project will target sustainability threats to shared oceanic fish stocks that are currently partially managed under the auspices of the Convention for the Conservation and Management of Highly Migratory Fish Stocks of the Western and Central Pacific Ocean which provides the institutional framework for international collaboration for conservation and management of oceanic highly migratory fish stocks in this region.

The Project will strengthen WCPFC as the appropriate regional fisheries management organization (RFMO) responsible for the conservation and management of highly migratory fish stocks in this oceanic region by building the capacity of Philippines, Indonesia and Vietnam to fully participate in the work of the Commission through improved scientific information supporting an ecosystems approach to management of shared target and non-target oceanic stocks and strengthened monitoring, regulation and control nationally and regionally.

Global environmental benefits from the Project will be achieved by strengthened international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia. In addition, as a nationally-driven initiative of Philippines, Indonesia and Vietnam, an improved

contribution to sustainable development will be achieved through enhanced information for decision-making in respect of necessary national economic, financial, regulatory and institutional reform and full participation in an existing regional fisheries management arrangement.

The proposed project will include all players in a comprehensive management framework for a fishery of global significance, the East Asian oceanic tuna fishery.

B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL PRIORITIES/PLANS:

Both components of the Project directly address priorities and plans for research, conservation and management of fisheries in Indonesia as supported by the National Commission on Fish Stock Research, established by Government Law No. 31/2004, and which provides advice on the status of fisheries resources to the Minister of Marine Affairs and Fisheries, the Coordinating Forum on Fisheries Resource Management and Utilization, coordinated by the Directorate General of Capture Fisheries and the Ministry's Control and Monitoring of Marine and Fisheries Resources Program. The Project in Philippines will draw on the 1997 National Biodiversity Strategic Action Plan, including the 2005 Philippine Report of the Biodiversity Indicators for National Use; the proposed Sustainable Archipelagic Framework, drafted in 2004 and the National Tuna Management Plan which describes policy for management of highly migratory fish stocks. The policy environment for the Project in Vietnam will be framed by the provisions of the 2003 Fisheries Bill and the Strategy for Offshore Fishing.

C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH [GEF STRATEGIES](#) AND STRATEGIC PROGRAMS:

The Project is consistent with the first objective of the IW focal area to foster international, multi-state cooperation on priority transboundary water concerns through more comprehensive, ecosystem-based approaches to management and its Strategic Program 1 on Restoring and Sustaining Coastal and Marine Fish Stocks and Associated Biological Diversity, which targets SE Asian Seas as one of the global hotspots.

D. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:

The Project will be coordinated with the UNDP-GEF Pacific Islands Oceanic Fisheries Management Project. The vehicle for cooperation will be the WCPFC. Other GEF/CTI initiatives in the region are focussed on priority concerns relating to coastal ecosystems including coral reefs and threatened species. None currently focus specifically on highly migratory fish stocks, ocean governance or support for international cooperation for the conservation and management of shared highly migratory fish stocks as provided for in UNCLOS and the UN Fish Stocks Agreement. Activities will also be coordinated with other Coral Triangle projects such as the Sulu-Celebes/Sulawesi Sea project currently under preparation, and will endeavour to interact with relevant PEMSEA, COBSEA and SEAFDEC initiatives.

E. DESCRIBE THE [INCREMENTAL REASONING](#) OF THE PROJECT:

The existing scenario: the Philippines and Indonesia will continue basic fishery sampling efforts, compile occasional fishery profiles, undertake some biological research and publish occasional data summaries. Vietnam will be unable to develop coordinated monitoring programmes. Limited operational catch and effort data will be available for target stocks but information for non-target stocks (such as turtles, sharks, billfish, marine mammals, and associated species) will be minimal, and so consideration of an ecosystem approach to fisheries management will be challenged. Information will be inadequate to support robust stock assessments, which for highly migratory fish stocks, requires international collaboration and reliable data form throughout the range of the stock. Philippines, Indonesia and Vietnam do not participate fully in the newly established WCPFC. Compliance, monitoring and regulation will continue to be relatively poorly coordinated with the result that IUU fishing activities increase. Key stocks will be threatened by over-exploitation and fishery monitoring and management efforts will continue as *ad hoc* national initiatives with limited regional coordination or resource sharing. In the longer term, food security, livelihoods and the contribution of the fisheries sector to the sustainable development of national economies will be threatened.

Alternatively, with support through the Project, Vietnam will be engaged in the WCPFC as a cooperating non -member while it works through domestic procedures associated with the ratification of international fisheries instruments including the UN Fish Stocks Agreement and the WCPF Convention. Together with Indonesia, which will have ratified

the WCPF Convention, and the Philippines, the three countries will participate in the work of the WCPFC. Fleets fishing beyond national jurisdiction will be regulated and authorized, fishery monitoring and data acquisition programmes will be routinely collecting operational catch and effort information, landings at major ports and processing facilities will be monitored and information systems established to make the data collected available for regional and national stock assessments. Conservation and management measures will be based on improved scientific information and advice leading to more robust management of target highly migratory fish stocks and non-target, associated or dependent species taken incidentally.

F. INDICATE RISKS, INCLUDING CLIMATE CHANGE RISKS, THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED AND OUTLINE RISK MANAGEMENT MEASURES:

Financial sustainability represents the major risk - particularly given that the size of the intervention, spread across three countries, and the scale of the issues to be addressed nationally and regionally. While the WCPFC has been operational for two years it faces many challenges which have potential to undermine its efforts in relation to sustainable use, conservation and management of WCPO shared migratory fish stocks. These include securing complete and accurate data that will reduce uncertainty in stock assessments, establishing effective compliance across diverse and essentially unregulated fleets and increased threats posed by IUU fishing as coastal fish stocks in east Asia come under increasing pressure from over-fishing and environmental degradation. In Indonesia, Vietnam and Philippines there are also limits to the absorptive capacity of institutions within the timeframe of the project. There are largely undocumented potential risks for target and non-target fish stocks and the impact of climate variability on the sustainability of current levels of fishing effort if changing environmental conditions adversely impact biological process such as recruitment and vulnerability to fishing.

G. EXPLAIN HOW COST-EFFECTIVENESS IS REFLECTED IN THE PROJECT DESIGN:

The detailed baseline studies carried out in each of the three countries (Indonesia, Philippines and Vietnam) provide a base case of no intervention with dramatically increased threats of over exploitation and consequences for sustainable livelihoods and economic development (see Optional Annexes I-III). The project proposes interventions, both at the individual country level and across countries, which will positively impact conservation and management for shared migratory stocks as a cost- effective international cooperation alternative.

PART III: INSTITUTIONAL COORDINATION AND SUPPORT

A. PROJECT IMPLEMENTATION ARRANGEMENT:

The project will be executed by UNOPS in cooperation with the Western and Central Pacific Fisheries Commission and its Secretariat. The project will be coordinated by a part-time (20%) Project Coordinator (PC) working alongside WCPFC staff, including the Science Manager, a Financial and Administrative Officer. The WCPFC will be responsible for the day-to-day operations of the project implementation, whilst the PC will have in key role in overall coordination and reporting, and answerable to the Project Steering Committee (PSC).

Project Steering Committee (PSC)

A Project Steering Committee (PSC) will guide the cooperating agency (WCPFC) and the PC throughout the project implementation as the highest decision making body for the project. The PSC will be comprised of representatives of the following organisations, and will follow the ToR already in place for the current IPDCP.

- UNDP-GEF
- UNOPS
- WCPFC
- SPC Oceanic Fisheries Programme (contracted science and data provider for the WCPFC)
- SEAFDEC
- FAO
- AusAID

- WWF
- CTI

The PSC will meet once per year, on the margins of the WCPFC Scientific Committee, to take advantage of the presence of various PSC members. The project will be periodically reviewed in order to establish the extent to which activities set out to achieve project objectives are proceeding, so that adjustments can be made if needed. PSC will play a key role in providing strategic guidance and oversight of the project. The terms of reference for the Project Steering Committee include:

- Providing strategic guidance and oversight;
- Reviewing and approving annual work plans;
- Reviewing and approving budgets;
- Reviewing overall progress;
- Approving substantive revisions if necessary to help ensure project objectives are attained; and
- Helping to ensure that the project continues to be complementary to other initiatives.
- Helping to ensure the high-level coordination among policy makers and industry, necessary for the governance reform that the project aims to achieve.

PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF:

There is no significant deviation of the project design from the original PIF.

PART V: AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for CEO Endorsement.	
Yannick Glemarac UNDP-GEF Executive Coordinator	Anna Tengberg Regional Technical Advisor
Date:	Tel. and Email: +66 22882730 Anna.Tengberg@undp.org

SECTION II : PROJECT RESULTS FRAMEWORK

Project Strategy		Objectively verifiable indicators				
Goal		To improve conservation and management of highly migratory fish stocks in the West Pacific-East Asia region				
Objectives of the Project		To strengthen national capacities and international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and east Asia (Indonesia, Philippines and Vietnam).				
Outcomes	Outputs	Indicators	Baseline	Target	Sources of verification	Risks
Outcome 1: 1. Improved knowledge of oceanic fish stocks and related ecosystems	1.1 Implementation of integrated fishery monitoring programmes for target and non-target species in Philippines	1.1.1 Expanded port sampling coverage of tunas and associated species	Currently fishery monitoring programmes in Philippines provide incomplete coverage of landings	Effective port sampling programmes established at three new landing points in Philippines	Database acquisitions, quarterly data summaries, annual national reports	Manpower availability and level of training available
		1.1.2 Procedures for the processing of catch data and raising procedures in place	Uncertainty in catch estimates arising from current data processing and raising procedures	Guidelines for revised procedures and their adoption	Review of outcomes of revised procedures, audit of inputs to regional databases	Unwillingness to adopt revised procedures
		1.1.3 Enhanced operational level data collection (logsheets)	Logsheets coverage of industrial fleets poor, and non-existent for artisanal fleets	High level of logsheet coverage (60%) of large purse seine vessels initially, then smaller purse seine and ring net vessels	Regular data summaries from logsheets	Lack of cooperation from industry
		1.1.4 Development of strategic plan for observer programme	No regular observer coverage by fishery agencies, and few data on catches of non-target species for EBFM	Observer programme established on selected fleets in 2010	Observer reports incorporated in observer database, annual reports, data summaries and EBFM	Lack of trained observers; poor industry cooperation

1.2 Implementation of integrated fishery monitoring programmes for target and non-target species in Indonesia	1.2.1 Audit of existing pilot port sampling at two sites, in agreed format	Little or no port sampling; pilot sampling schemes initiated on trial basis yet to be evaluated	Audit completed and plan for extended coverage developed	Pilot port sampling, moving to substantive port sampling schemes if successful	Pilot schemes prove unsuccessful
	1.2.2 Expanded port sampling coverage of tunas and associated species	Pilot scheme currently underway at two selected landing sites, but no other catch sampling in eastern Indonesia	Effective port sampling programmes established at three selected landing points in Indonesia	Database acquisitions, quarterly data summaries, annual national reports; Regular annual audit	Manpower availability and level of training
	1.2.3 Capacity building in responsible agencies for processing and assimilation of catch data for tuna and assoc. species	Current capacity inadequate for data processing and interpretation	Training in database development and data analysis provided and applied	Training workshops held; data summaries developed; improved data inputs to regional stock assessments; annual reports prepared	Suitably motivated staff unavailable
	1.2.4 Pilot operational-level data collection, with progression to expanded data collection	Logsheets coverage of all fleets non-existent	Logsheets developed and distributed to selected vessels/gear	Regular data summaries, coverage estimates and quality checks	Lack of cooperation from industry
	1.2.5 Strategic plan for observer programme developed and implemented	No observer coverage by fisheries agencies at present	Plan discussed and accepted, with implementation planned for 2011	Observer reports incorporated in observer database Annual summary observer reports	Lack of cooperation from industry
1.3 1 Implementation of integrated fishery monitoring programmes for target and non-target species in Vietnam	1.3.1. Port sampling and data collection initiated in three provinces	No coordinated data collection by fisheries agencies, national and provincial	Sampling forms and sampling strategy developed; audit procedures developed	Regular data summaries and data quality checks (audit)	Suitable staff not available for training and implementation
	1.3.2 Enhanced capacity in monitoring and data collection and analysis	Current capacity rudimentary	Training workshops in port sampling, database development and maintenance, and basic data analysis; format for data summaries adopted	Workshop evaluation; database holdings listed; regular data summaries provided	Suitable staff not available for training and implementation

		1.3.3 12 Pilot operational-level data collection, with progression to expanded data collection	Logsheets coverage of all fleets non-existent	Logsheets developed and distributed to selected vessels/gear	Regular data summaries, coverage estimates and quality checks	Lack of cooperation from industry
		1.3.4 Study tour of port sampling programmes in Philippines	No prior experience of port sampling programmes in Vietnam, but well developed in Phils	Experience of similar programmes with similar vessels and species catch gained	Technical report prepared, including lessons learned	n/a
Outcome 2: Reduced uncertainty in stock assessments	2.1 Improved data for stock assessment	2.1.1 Data quality control training	Experience and skills currently lacking in most cases	Training workshop held, regular audit	Regular preparation of data summaries; databases well maintained	
		2.1.2 Collaborative tuna tagging activity in-country (Philippines, Indonesia)	Information lacking on many basic tuna population parameters eg movement, natural mortality, growth, exploitation rate	National counterparts on tagging vessels; effective coordination of publicity and tag recovery	Involvement in, and delivery of, tag-based national tuna fishery assessment and tuna management plan	Poor publicity and lack of coordination of tag recovery efforts; lack of cooperation by fisheries in returning tags with complete information
		2.1.3 National data coordination (where currently absent)	No/little data or tuna research coordination in Vietnam and Indonesia at national level	Funding for National Tuna Coordinator post (Vietnam, Indonesia) provided	Annual reports for WCPFC as primary output	Suitable person not available
Outcome 3: National capacities in oceanic fishery monitoring and assessment strengthened	3.1 Training of national fishery monitoring and stock assessment staff	3.1.1 Data analysis and stock assessment training	Current capacity not well developed for oceanic fisheries	Stock assessment workshops (at least two per country); one studentship per country for post-graduate study	Uptake of capacity reflected in national representation in WCPFC Scientific Committee; annual fishery status report	
		3.1.2 Database and analytical training	Current capacity not well developed for oceanic fisheries	Training workshops (three participants per country); annual database audit	Database acquisitions used in stock assessments; quarterly data summaries; audit of inputs to regional databases	

		3.1.3 Preparation of national fishery status reports	Only Philippines currently prepares such reports	Assistance with development of reporting template	Regular submission of reports to WCPFC	
Outcome 4: Participant countries contributing to management of shared migratory stocks	4.1 Review of policy and institutional arrangements for oceanic fisheries management	4.1.1 Review of policy and legal arrangements for WCPFC-related matters;	Indonesia and Vietnam not well prepared; Philippines still needs some revision	Legal and policy training workshops held (at least four participants /country)	Workshop proceedings; review of current arrangements tabled	
		4.1.2 Review of institutional arrangements	Indonesia and Vietnam not well prepared	Institutional review undertaken;	Review outcomes of review; implementation plan for institutional strengthening	
	4.2 Strategy to support national reform	4.2.1 Identify reform necessary to existing arrangements	Countries not well placed to be fully effective in WCPFC	Implementation of proposed initiatives derived from previous reviews		
Outcome 5: National laws, policies and institutions strengthened. To implement applicable global and regional instruments	5.1 Implementation of the WCPF Convention and related instruments	5.1.1 Prepare checklist of compliance shortfalls	Convention requirements not fully adopted by countries	Address checklist of compliance issues; action to become fully compliant	Implementation of necessary actions; more effective participation in WCPFC	
Outcome 6: Key stakeholders participating in the project	6.1 Knowledge management system for dissemination of Project-related information, lessons and best practice	6.1.1 Establish appropriate KLM in all countries	Currently no system in place for systematic dissemination of relevant information	Development and establishment of KLM system	Regular information dissemination to stakeholders	
	6.2 Establish Tuna Associations (Vietnam, Indonesia) to fully involve industry	6.2.1 National body coordinating provincial and national work	No coordination amongst key producing provinces or management areas	Effective national initiatives and reporting procedures established	Association articles, annual; meeting and activities reports	
Outcome 7: National capacities in oceanic fisheries management strengthened	7.1 Development of National Tuna Management Plans (Indonesia, Vietnam) or revision of existing plans (Philippines)	7.1.1 Assistance provided to develop NTMPs in two countries and revise in the third	No TMP in place (Indonesia, Vietnam) or TMP needs revision (Philippines)	Develop template for NTMP for each country; convene workshop to develop NTMP compatible with WCPFC CMMs	NTMP prepared, launched and integrated in national policy	

ANNEX B: CONSULTANTS TO BE HIRED FOR THE PROJECT

<i>Position Titles</i>	<i>\$/ person week</i>	<i>Est. person weeks</i>	<i>Tasks to be performed</i>
Project Management			
<i>International</i>	(80,000)		
Project Coordinator (interim)	3,000	16	<ul style="list-style-type: none"> - Overall coordination of project activities - Organisation of Project Inception workshop - Liaison with PSC - Liaison with national coordinators - Drafting of IR, project work plan etc. - Project reporting - Coordination of M& E activities - Development of ToR, contracting consultants
Independent Auditor	2,000	6	Financial auditing of project
Independent Evaluator	2,000	6	Terminal evaluation of the project
Technical Assistance			
<i>International</i>	(143,00)		
Port sampling trainer(s)	2,000	16	<ul style="list-style-type: none"> - Develop sampling protocols and forms - Identify and train enumerators (workshops) - Conduct annual sampling audits (I,P)
Stock assessment advisor	2,000	12	<ul style="list-style-type: none"> - Organizing and running tuna stock assessment training workshops - Assist with the production of national fishery status report templates - Inputs to preparation of National Tuna Management Plans
Database analyst	2,000	16	<ul style="list-style-type: none"> - Provide training in data collection, collection and database management (data workshops) - Data quality control - Develop operational data forms and protocol
Legal Advisor	3,000	6	<ul style="list-style-type: none"> - Review legal and policy arrangements - Workshop to determine options for improvement of legal and governance frameworks (with Inst Specialist) - Recommendations for improvement of legal frameworks
Institutional specialist	2,500	6	<ul style="list-style-type: none"> - Review of institutional arrangements - Recommendations for improvement of governance frameworks
Media & communications coordinator	2,000	6	<ul style="list-style-type: none"> - Develop knowledge management system for the project in 3 countries - Training in writing of reports, media articles, liaison with relevant media
Management Plan consultant	2,500	4	<ul style="list-style-type: none"> - Development of management plan template - Assist with plan development

ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS

A. EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.

The outcomes identified for the PPG phase to establish the project design and implementation mechanisms, then draft a medium-sized project proposal were achieved through the following activities:

- Detailed baseline studies by National Resource Specialists
- Extensive stakeholder consultation in each country to determine needs
- Identification, and securing, of co-financing and scientific partners
- Collaboration for identification of local scientists and institutions to benefit from capacity building and research findings of the projects
- Identification of relevant stakeholders and partners, and consultation with main partners
- Finalization of the project document and the request for CEO approval
- Sensitization of key (government) partners of the proposed MSP (its objectives and expected outcomes) at an Inception Workshop tentatively planned for May 2009

B. DESCRIBE IF ANY FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION.

None.

C. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF Amount (\$)</i>				<i>Co-financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To-date</i>	<i>Amount Committed**</i>	<i>Uncommitted Amount *</i>	
MSP- National Consultants	Completed	25,000		25,000	0	10,000
MSP – Int'l Consultants	Completed	27,200		27,200	0	20,000
MSP – Travel	Completed	16,000		16,000	0	6,000
Miscellaneous	Completed	6,800		6,800	0	6,500
Project implementation					0	
Total		75,000		75,000	0	42,500

* Uncommitted amount should be returned to the GEF Trust Fund.

** To be completed