United Nations Development Programme

Country: Regional: Indonesia, Philippines,Vietnam

PROJECT DOCUMENT[1]

Project Title: Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas

UNDAF Outcome(s):

INDONESIA - Outcome 5: Climate Change and Environment: Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities

PHILIPPINES- Outcome 4: Resilience Towards Disasters and Climate Change: Adaptive capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters, and climate change

VIETNAM – Focus Area One: Inclusive, Equitable and Sustainable Growth

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:

Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance

Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation

UNDP Strategic Plan Secondary Outcome:

Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded

Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste

[1] For UNDP supported GEF funded projects as this includes GEF-specific requirements

Executing Entity/Implementing Partner: Western and Central Pacific Fisheries Commission (WCPFC)

Implementing Entity/Responsible Partners: N/A

Brief Description

Studies have shown that the sustainable harvest of shared tuna stocks in the East Asian Seas (EAS) faces a number of threats rooted in the increased demand for fish from a rapidly growing population and increasing exports, which have substantially increased fishing pressure on the marine fishery resources in the past two decades, both within the sub-region and the wider Western and Central Pacific Ocean (WCPO). Tuna fisheries are also threatened by Illegal, Unreported and Unregulated fishing (IUU), compounded by ineffective surveillance and monitoring, incomplete reporting to the Western and Central Pacific Fisheries Commission, and gaps in the regulatory framework.

The proposed Project will remove the main barriers to sustainable fisheries management of highly migratory tuna species in the East Asian Seas, primarily Indonesia, Philippines and Vietnam by strengthening national capacities and regional cooperation to implement fishery sector reforms that will sustain and conserve the highly migratory fish stocks in the West Pacific Ocean and East Asian Large Marine Ecosystems (LME) whilst also considering climatic variability and change.

Component 1: Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory fish stocks. This component will strengthen the regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks, and IUU fishing in the Pacific Ocean Warm Pool LME and the EAS LMEs.

Component 2: Implementation of policy, institutional and fishery management reforms. The objectives of this component are to enforce compliance with existing national, regional and international legal instruments, implement ecosystem approach to fisheries management (EAFM) and national tuna management plans and enhance adaptive management of shared stocks in the face of climate change. Partnerships with the private sector will be sought to promote market-based approaches, such as certification, to facilitate sustainable harvesting of shared tuna stocks.

Component 3: Knowledge sharing on highly migratory fish stocks. The third component will establish a Regional Knowledge Platform that will include a sub-regional database for the Western Pacific Ocean and East Asian LMEs within the overall WCPFC framework, and develop an active information sharing network.

Global environmental benefits from the Project will be achieved as a result of:

- Improved monitoring of oceanic tuna fisheries in the EAS that is within the WCPF Convention area, with a 40% increase in coverage by the end of the project
- Reduced by-catch of critically endangered species (e.g. sea turtles, sharks and seabirds) by enhanced sustainable management and harvesting of target species, thus improving the overall health and integrity of the marine ecosystem. By the end of the Project, catch of Endangered, Threatened or Protected (ETP) species is expected to be reduced by 20%
- Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions through integration of issues on emerging climate change impacts on oceanic fisheries into national and regional policy and institutional frameworks and the regional management regime;
- Progress towards certification of at least two oceanic tuna fisheries in the EAS by the end of the project

Programme Period:	2014-2017
Atlas Award ID:	00077221
Project ID:	00088145
PIMS #	4753
Start date:	Mar 2014
End Date	Feb 2017
Management Arrangements:	Inter-Governmental Organization Implementation (IGO)
PAC Meeting Date	28 May 2014

Total resources required	22,093,103
Total allocated resources:	22,093,103
o GEF	2,233,578
o Governments	15,428,525
o WCPFC	3,275,000
o UNDP	1,156,000

Agreed by Government of Indonesia:

Date/Month/Year

Agreed by Government of Philippines:

Date/Month/Year

Agreed by Government of Vietnam:

Date/Month/Year

Agreed by WCPFC:

Date/Month/Year

Agreed by UNDP:

Date/Month/Year

ABBREVIATIONS AND ACRONYMS

ABNJ	Areas Beyond National Jurisdiction
ACIAR	Australian Centre for International Agricultural Research
ADB	Asian Development Bank
APR	Annual Project Report
ASEAN TWG	Association of Southeast Asian Nations Tuna Working Group
ASLI	Association of Longliners Indonesia
AW	Archipelagic Waters
AWP	Annual Work Plan
BAS	Bureau of Agricultural Statistics (Philippines)
BD	Binh Dinh province (Vietnam)
BFAR	Bureau of Fisheries and Aquatic Resources (Philippines)
BTOR	Back-to-Office Report
CA	Convention Area (WCPFC)
CBD	Convention on Biological Diversity
CCMs	Members, Cooperating Non-Members, and Participating Territories (WCPFC)
CCSBT	Commission for the Conservation of Southern Bluefin Tuna
CF	Consultative Forum
CITES	Convention on the International Trade in Endangered Species of Wild Flora and Fauna
CLS	Collecte Localisation Satellites (France)
CMM	Conservation and Management Measure
CMR	Compliance Monitoring Report
CNM	Cooperating Non-Member
CoC	Chain of Custody
CSIRO	Commonwealth Scientific and Industrial Research Organization
CTI	Coral Triangle Initiative
CTI-SEA	Coastal and Marine Resources Management in the CTI: Southeast Asia
DA	Department of Agriculture (Philippines)
DDR/CA	Integrating Disaster Risk Reduction and Climate Change Adaptation in Local Development Planning and Decision-making Processes
DECAFIREP	Department of Capture Fisheries and Resource Protection (Vietnam)
D-Fish	Directorate of Fisheries (Vietnam)
DGCF	Directorate General of Capture Fisheries (Indonesia)
DGSMRF	Directorate General of Surveillance of Marine Resources & Fisheries (Indonesia)
EAFM	Ecosystem-based Approach to Fisheries Management
EAS	East Asian Seas
EEZ	Exclusive Economic Zone
ENSO	El Niño-Southern Oscillation
ETP	Endangered, Threatened or Protected (species)
EU	European Union
FAD	Fish Aggregation Device
FAO	Food and Agricultural Organization of the United Nations
FARMC	Fisheries and Aquatic Resources Management Council (Philippines)
FFA	Pacific Islands Forum Fisheries Agency
FIP	Fishery Improvement Plan
FMA	Fisheries Management Area (Indonesia)

GDP	Gross Domestic Product
GEF	Global Environment Facility
GMMA	Enhancing Greater Metro Manila's Institutional Capacities for Effective Disaster/Climate Risk Management towards Sustainable Development
GPA	Global Plan of Action
HCR	Harvest Control Rules
HQ	Headquarter
HSP1	High Seas Pocket number 1
IATTC	Inter-American Tropical Tuna Commission
IMO	International Maritime Organization
IOTC	Indian Ocean Tuna Commission
IUU	Illegal, Unreported and Unregulated fishing
IW	International Waters
IW:LEARN	International Waters Learning Exchange and Resources Network
KH	Khanh Hoa province (Vietnam)
LME	Large Marine Ecosystem
MARD	Ministry of Agriculture and Rural Development (Vietnam)
MCS	Monitoring, Control and Surveillance
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
MMAF	Ministry of Marine Affairs and Fisheries (Indonesia)
MNRE	Ministry of Natural Resources and Environment (Vietnam)
MPA	Marine Protected Area
MSC	Marine Stewardship Council
MSP	Medium Sized Project
NEX	National Execution
NFRDI	National Fisheries Research and Development Institute (Philippines)
NGO	Non-Governmental Organization
NPOA	National Plan of Action
NSAP	National Stock Assessment Programme (Philippines)
NTMP	National Tuna Management Plan
PAC	Project Appraisal Committee
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PFDA	Philippines Fisheries Development Authority
PIR	Project Implementation Report
PIU	Project Implementation Unit
PM	Project Manager
POWP	Pacific Ocean Warm Pool
PPC	Provincial People's Committee (Vietnam)
PPR	Project Progress Report
PSDKP	Directorate General of Marine Resources and Fisheries (Indonesia)
PSM	Port State Measures
PS/RN	purse seine / ring net
PY	Phu Yen province (Vietnam)
QPR	Quarterly Progress Report
RCFMC/P4KSI	Research Center for Fisheries Management and Conservation (Indonesia)

RCU	Regional Coordination Unit
RFMO	Regional Fisheries Management Organization
RFV	Register of Fishing Vessels
RIMF	Research Institute for Marine Fisheries (Vietnam)
ROP	Regional Observer Programme (WCPFC)
RP	Reference Point
RPOA	Regional Plan of Action
RTA	Regional Technical Adviser
SBAA	Standard Basic Assistance Agreement (UNDP)
SC	Scientific Committee (WCPFC)
SCS	South China Sea
SDS-SEA	Sustainable Development Strategy for the Seas of East Asia
SEAFDEC	Southeast Asian Fisheries Development Center
SIDS	Small Island Developing State
SPC	Secretariat of the Pacific Community
SPONRE	Institute of Strategy and Policy on Natural Resources and Environment (Vietnam)
SFFAII	Sokgsargen Federation of Fishing and Allied Industries Inc, Philippines
TCAP	Tuna Canners Association of the Philippines
TCC	Technical and Compliance Committee (WCPFC)
ToR	Terms of Reference
t-RFMO	Tuna Regional Fisheries Management Organisation
TUBS	Tuna Fisheries Observer System (SPC database)
TUFMAN	Tuna Fisheries Database Management System (SPC database)
UN	United Nations
UNCLOS	UN Convention on the Law of the Sea 1982
UNDP	UN Development Programme
UNFCCC	UN Framework Convention on Climate Change
UNFSA	UN Fish Stocks Agreement
VASEP	Vietnam Association of Seafood Exporters
VINATUNA	Vietnam Tuna Association
VMS	Vessel Monitoring System
WCPO	Western and Central Pacific Ocean
WCPFC	Western and Central Pacific Fisheries Commission
WPEA (OFMP)	West Pacific East Asia (Oceanic Fisheries Management Project)
WTO	World Trade Organization
WWF	World Wide Fund for Nature

CONTENTS

1. SITUATION ANALYSIS

A: CONTEXT

1. The POWP and EAS LMEs

Eastern Indonesia, Philippines and Vietnam form the western boundary of the Pacific Ocean Warm Pool Large Marine Ecosystem (POWP LME), a globally significant maritime region supporting an ecosystem with biodiversity that is considered among the highest in the world. Oceanic fish stocks which migrate throughout this region provide economic services to the commercial and small-scale fisheries and a key resource base for livelihoods, food security and economic development opportunities to the region's population. The oceanic tuna harvest of over 2.6 million tons from the wider Western and Central Pacific Ocean (WCPO) comprised around 60% of the global tuna catch in 2012. The POWP LME, the productive area of the WCPO, is connected to the East Asian Seas (EAS) LME via the Indonesian through-flow and associated currents linking the Western Pacific to the South China Sea, Sulu-Celebes Sea and the Indonesia Seas. The oceanography of the area is complex and subject to strong monsoonal influences. Highly migratory/mobile tuna stocks regularly move between the POWP LME and the East Asian LMEs though these movements are not completely understood.

These tuna travel long-distances across several countries' maritime boundaries[2], hence the need for countries to collectively manage these species on a regional scale.

2. Tuna Fisheries in the EAS

The regulatory environment

Oceanic tunas are widely distributed throughout the Pacific Ocean, the Atlantic Ocean, and other oceans of the world, from approximately 60^0N to 60^0S and are designated as highly migratory species under the United Nations Convention on the Law of the Sea (UNCLOS). Their effective conservation and management is complicated by their migratory/highly mobile nature and the many nations and regions involved in their harvest; hence their sustainable management requires cooperation among nations, either directly or through international organizations. Article 64 of (UNCLOS) underscored the importance of multilateral cooperation for the long term and sustainable management of the region's marine resources and the protection and conservation of its ecosystems. The more recent UN Fish Stocks Agreement further requires that management of these stocks is undertaken by regional or sub-regional fisheries management organizations (RFMOs). The Western and Central Pacific Fisheries Commission (WCPFC) was established in 2004 as the relevant RFMO in the Western and Central Pacific Ocean. The area of competence (Convention Area) of the Commission comprises all waters of the Pacific Ocean north and west of prescribed boundaries, to the coasts of Asia and is indicated in Figure 1 below, which includes the East Asian Seas (EAS) as well as the Pacific Ocean Warm Pool (POWP) Large Marine Ecosystems.

A generally accepted clarification[3] is that "the western side of the Convention Area is not intended to include waters of South-East Asia which are not part of the Pacific Ocean, nor is it intended to include waters of the South China Sea as this would involve States[4] which are not participants in the Conference". As such, not all of the WCPFC conservation and management measures (CMMs) may apply to fisheries in the South China Sea (SCS) e.g. CMM for bigeye, yellowfin and skipjack tuna in the western and central Pacific Ocean (CMM 2013-01), even though it is generally expected that CMMs apply to all

[2] Most tunas are classified as highly migratory in Annex 1 of UNCLOS but are more accurately described as highly mobile other than in the case of the bluefin tunas, which are truly migratory

[3] Chairman's statement at the close of the Preparatory Conference leading to the establishment of the WCPFC

[4] Malaysia, Brunei-Darussalam, Cambodia.

fishing activities in the Convention Area, with Cooperating Non-Members (CNMs) bound by Commission decisions, and States which did not participate in the Preparatory Conference now actively participate in the work of the Commission. Recent tagging work has demonstrated movement between Indonesian/Philippines waters and the South China Sea, indicative of shared stocks of the three tuna species.

Figure 1. WCPFC Convention area including the East Asian Seas.

The oceanic tuna fisheries

For the Exclusive Economic Zones (EEZs) of Indonesia, Philippines and Vietnam, connected with the POWP LME, the oceanic tuna catch[5] in 2012 was estimated at 632,000 mt, approximately 14 per cent of the global tuna catch and thus considered of global and regional significance. This comprises around 25% of the catch of skipjack, yellowfin and bigeye tuna in the WCPO, with significant catches of coastal tunas and associated species as well. Indonesia takes nearly 70% of that oceanic tuna catch[6], the Philippines takes 20% and the balance is caught by the more recently developed Vietnam fishery. Over two thirds of the Indonesian catch is taken within its very extensive archipelagic waters, with a similar situation pertaining in the Philippines[7]. All of the Vietnam catch is taken in the South China Sea or East Sea, as it is known in Vietnam.

In all three countries, the catch is taken by a mix of gears including purse seine, longline, handline, pole-and line (Indonesia only), gillnet and a range of small scale artisanal gears. The surface gears (purse seine, pole-and line, gillnet) take the majority of the catch (skipjack and juvenile yellowfin and bigeye tuna) whereas the sub-surface gears (longline, handline) generally take larger adult fish for higher value markets. Vessels are typically smaller and more numerous than is the case in the larger industrial-scale

[5] The catch of coastal (neritic) tunas from these three countries, generally regarded as straddling stocks, is also significant, exceeding 400,000 mt in 2012 and of great importance to food security in all three countries.

[6] Pacific Ocean waters only (WCPO) and not including Indian Ocean catches

[7] Philippine flag vessels fishing outside Philippines waters now take larger catches than the domestic fishery.

fisheries in areas further east in the WCPO. Skipjack dominate the catch in each country (374,000 mt total), followed by yellowfin (228,000 mt) and smaller quantities of bigeye.

In the Philippines more than 1.5 million people depend on the fishing industry for their livelihood. The fishing industry's contribution to the country's Gross Domestic Product (GDP) in 2009 was 2.4%. Tuna exports (canned and fresh/frozen tuna) were valued at USD 455 million in 2012. Indonesia's marine region associated with the WCPFC Convention Area i.e. Pacific Ocean waters and most archipelagic waters, account for the equivalent of 59.8% of the total national tuna production. Tuna exports (fresh/frozen/canned) were valued at over USD 600 million in 2012. In Vietnam, tuna fisheries have only developed in recent years, but have grown significantly. Vietnam's tuna export value increased over twenty times from 22.98 million US$ in 2000 to approximately USD 569 million in 2012. The combined value of tuna exports[8] from the three countries in 2012 exceeded USD 1.5 billion.

Marketing and processing

The catch of tuna and associated species is landed at a large number of sites in each country, for fresh local consumption, processing (canning, value-added frozen product, smoked and dried product) and in some cases, exported as a high value fresh/frozen or processed product. The export supply chain is often complex, with product passing through several hands and stages of value–added processing before shipment to diverse markets. Tuna cannery production in the Philippines is the largest, with over 200,000 mt of product processed, with the canning sector continuing to grow in both Indonesia (100,000 mt) and Vietnam (50,000 mt). All three countries are significant suppliers of frozen processed (and some whole fresh) product to mostly the USA, Japan and Europe, but also to a wide range of other countries in the global marketplace.

Since 2007, foreign trade for tuna products, which are exported mainly as canned, fresh, chilled, frozen, dried or smoked, has experienced an average annual growth rate of 9.5% in the Philippines. In Indonesian Pacific waters, export marketing of tunas is only carried out in North Sulawesi and Maluku provinces; their contribution to national tuna exports is significant and account for 44.8% of total national export of tunas. In Vietnam, as noted, tuna fisheries have developed rapidly in recent years, with exports in 2012 valued at USD 570 million.

Domestic demand for both fresh and processed tuna has steadily increased due to increasing public consumption and stronger domestic markets, and international demand for fresh, chilled and frozen tuna fillets continues to increase. The price of tuna is determined by factors such as classification, size, season, fluctuations in supply and demand, and the operating costs. Prior to landing the fish catch, boat owners and traders are already monitoring the market price of tuna both in the local and the international markets. Such information is used as leverage in negotiating for price between buyer and seller.

The increasingly complex trade in tuna, both domestic and export, combined with processing of imported fish for re-export, emphasizes the need to better understand and document the supply chains for different fisheries/gear types and grades of tuna from the EAS region. Market-based approaches to sustainability will also require detailed information on supply chains and in some cases, traceability and catch certification.

[8] Exports include imports processed and re-exported, and in the case of Indonesia, tuna catches from the Indian Ocean.

3. Sub-regional Policy, Institutional and Legal Framework

At the sub-regional level, the Project is consistent with the **Western and Central Pacific Ocean Convention on the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (WCPO)** and the WCP Fisheries Commission (WCPFC). Philippines and Indonesia are Commission members, whilst Vietnam is currently a cooperating non-member (CNM). Indonesia only acceded to membership at the WCPFC 10th Regular Session in December 2013, after having been working toward ratification for the last eight years. In order to mark the occasion of its joining the WCPFC, Indonesia acknowledged the capacity building support it has received from the GEF-funded West Pacific East Asia (WPEA) Oceanic Fisheries Management project and voiced its support for the extension of this project.

The **Western and Central Pacific Fisheries Commission (WCPFC)** was established by the UN Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean which entered into force in 2004. Oceanic tuna stocks in the EAS are currently managed under the auspices of the WCPF Convention and the Commission, albeit with some ambiguity pertaining to the South China Sea. Numerous Conservation and Management Measures (CMMs) and non-binding Resolutions (6) have been agreed upon by the Commission since the entry into force of the Convention. This makes the Western and Central Pacific Ocean one of the most regulated fishery areas of its kind in the world and has also led to the establishment of an extremely complex regulatory regime: over 200 different obligations of various levels of generality and specificity that each Member is expected to comply with. A compliance monitoring scheme is also being enforced with increasing rigour, as the CMMs are legally binding and are regularly revised and updated.

Some of the more important CMMs for the three countries are listed below:

CMM 2006-07 Regional monitoring program
CMM 2006-08 WCPFC boarding and inspection procedures
CMM 2007-01 Measure for the regional observer programme
CMM 2008-03 Conservation and management of sea turtles
CMM 2008-04 Measure to prohibiting the use of large-scale drift nets on the high seas
CMM 2009-01 Record of fishing vessels and authorization to fish
CMM 2009-02 Measure on the application of high seas FAD closures and catch retention
CMM 2009-06 Measure on regulation of transshipment
CMM 2009-10 Measure to monitor landings of purse seiners at ports (reliable catch data/species)
CMM 2009-11 Cooperating non-members
CMM 2010-02 Measure for the Commission VMS
CMM 2010-06 Measure to establish a list of vessels presumed to have carried out IUU fishing
CMM 2010-07 Measure for sharks
CMM 2011-04 Measure for oceanic whitetip sharks
CMM 2012-01 Measure for bigeye, yellowfin and skipjack
CMM 2012-02 Measure for compliance monitoring scheme
CMM 2012-06 Measure for Pacific bluefin
CMM 2012-07 Measure for mitigation impacts on seabirds

The **Partnerships in Environmental Management for the Seas of East Asia (PEMSEA)** has been funded in successive phases by the GEF, through UNDP, since 1994. It has resulted in the adoption of the non-legally binding Sustainable Development Strategy for the Seas of East-Asia (SDS-SEA), which provides a framework of actions for achieving the goals of key international agreements and action plans related to coasts, islands and oceans. PEMSEA was established as an independent regional institution in 2009 mandated for the implementation of the SDS-SEA.

The Project is consistent with the **Sustainable Development Strategy for the Seas of East Asia (SDS-SEA)**. The SDS-SEA provides an overarching framework for sustainable development of the EAS that aims to ensure the sustainable use of coastal and marine resources. The SDS-SEA incorporates the main principles, objectives and action programmes of a number of international and regional instruments and agreements, including the UN Convention on the Law of the Sea (UNCLOS), the UN Framework Convention on Climate Change (UNFCCC), Agenda 21, the Convention on Biological Diversity (CBD), the Global Programme of Action for Protection of the Marine Environment from Land-Based Activities (GPA), the World Summit on Sustainable Development, the UN Millennium Development Goals (MDGs), and a number of conventions associated with the International Maritime Organization (IMO). The SDS-SEA embodies a shared vision of the countries of the region for sustainable development of coasts and oceans and the proposed project is thus linked to the implementation of the SDS-SEA under a programmatic approach for the region.

The Project will also contribute to the implementation of the **Regional Plan of Action (RPOA) of the Coral Triangle Initiative (CTI)**. It will in particular contribute to proposed activities on tuna stock and catch assessments, establishment of national tuna management plans and cooperation on measures to address IUU fishing. The key institutions in charge of the regional agreements and frameworks are described below.The **CTI** officially launched a Regional Plan of Action in May 2009. The action plan has five overall goals covering priority seascapes, including promoting the ecosystem approach to management of fisheries (EAFM) and other marine resources, establishing marine protected areas, promoting climate change adaptation and protection and conservation of threatened species. The GEF funds the CTI in collaboration with the Asian Development Bank. Philippines and Indonesia are two of the six CTI countries included in the Coral Triangle area and the Plan of Action, whereas Vietnam enjoys associated country status. Within the EAFM goal, targets and priority actions specifically address tuna and tuna fisheries.

The **Southeast Asian Fisheries Development Center (SEAFDEC)** is an autonomous inter-governmental body established in 1967. The mandate of SEAFDEC is "*to develop and manage the fisheries potential of the region by rational utilization of the resources for providing food security and safety to the people and alleviating poverty through transfer of new technologies, research and information dissemination activities*". SEAFDEC comprises 11 member countries, including Indonesia, Philippines and Vietnam, 7 other Southeast Asian countries and Japan. SEAFDEC is developing a draft plan of action for regional cooperation on sustainable tuna management in SE Asian waters, with a focus on neritic tuna species, traceability, catch certification, joint stock assessment and combating IUU fishing.

4. National Policy, Institutional and Legal Framework

Indonesia: Indonesia enacted the law on fisheries (Law No. 31 of 2004) to create a new paradigm in managing its marine resources which was subsequently amended by Law No. 45 of 2009. This Law recognizes the applicability of international law outside Indonesian waters; for example, see Article 5, paragraph 2, which emphasizes that fishery management outside the Indonesian fishing management area should be conducted based on generally accepted international law/regulations and any requirements/standards. The Minister of Fisheries is responsible for the country's fishery management, which includes highly migratory species and straddling stocks (Article 7). The government is also required by the Law, for the benefit of international cooperation, to publish regularly a report on conservation measures and fishery management (Article 10 paragraph 1a) and to cooperate with neighboring countries and other countries in conservation measures and fishery management on the high seas, semi-enclosed seas and enclosed seas (Article 10 paragraph 1b).

The Ministry of Maritime Affairs and Fisheries Minister has issued various regulations relating to capture fisheries operations, fishing gear, fisheries management areas (FMAs), vessel marking and registration, use of fishing logbook, catch certification, vessel monitoring, etc. In addition, Indonesia also has national policies that draw on the Medium Term Development Plan, and the CTI Regional Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (RPOA-IUU). They also provide for the establishment of Marine Protected Areas (MPAs), currently about 20 million ha in extent, and various other provisions concerning the environment, trade and shipping that may also support the implementation of sustainable management of tuna resources in the Indonesia FMAs and the high seas.

Furthermore, Indonesia is in the process of ratifying the FAO Compliance Agreement and the FAO Port State Measures; it has been implementing various international agreements that affect fisheries such as the Convention on Biological Diversity and the Convention on the International Trade in Endangered Species of Wild Flora and Fauna (CITES). Indonesia has adopted principles of sustainable management of fisheries resources contained in the FAO Code of Conduct for Responsible Fisheries and the International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU), although those international instruments are non-binding. In the trading of tuna and tuna products, Indonesia has also participated actively in the WTO rules on tariff and non-tariff barriers, fisheries subsidies, anti-dumping, sanitary and phyto-sanitary measures.

Philippines: Fishing has officially been one of the main sectors of the Philippine economy since at least the 1930s with the enactment of the first Fisheries Act that has focused on domestic fishing grounds. Since its inception, the Philippine international fishing fleet has operated with nominal government regulation (e.g., licensing of vessels, gears, and issuance of permits) and practically no policy guidance. Fisheries regulations have historically been directed toward domestic fisheries operating in Philippine waters. This situation changed with the enactment of the Fisheries Code of 1998, which provided for "Fishing by the Philippine commercial fishing fleet in international waters." To promote the growth of this subsector, the Fisheries Code provides for incentives for Philippine fishing vessels to fish further out into the EEZ and beyond. Such incentives include loans and guarantees, tax and duty exemptions for importing fishing vessels, equipment, and paraphernalia, duty and tax rebates on fuel consumption used for fishing operations, and other applicable incentives based on the annual Investment Incentives Plan issued by the Board of Investments.

Under the Fisheries Code, fisheries resources are under the management jurisdiction of the Bureau of Fisheries and Aquatic Resources (BFAR), which is organized as a line bureau of the Department of Agriculture. An Undersecretary for Fisheries is charged with policy setting and standards formulation for the operation of the industry, overall supervision of the functions and activities related to fisheries, and other functions as may be assigned by the Secretary of Agriculture. The main responsibilities nonetheless fall upon BFAR, which exercises numerous administrative, licensing, planning, development, and other governance functions.

Policy formulation is undertaken with the assistance of the national Fisheries and Aquatic Resources Management Council (FARMC), an advisory body charged with formulating such policies, assisting the Department of Agriculture in developing a national fisheries and industry development plan, and any other functions that may be provided by law. It is multi-sectoral in nature, comprised of representatives of the government, fisherfolk and fish workers, commercial fishing and aquaculture sectors, processing sectors, members of the academe, and one representative of non-government organizations.

To address the concerns of the tuna industry, the National Tuna Industry Council was created in 2000 by the Secretary of Agriculture through Department Order No. 659. It also functions as an advisory council tasked with formulating an Industry Action Plan, assist in reviewing and recommending policies for bilateral and multilateral fishing agreements and trade relations, coordination with the private sector, and

serving as a mechanism for public-private sector collaboration. The Council was instrumental in drafting the Philippine Tuna Management Plan in 2004. The National Fisheries Research and Development Institute (NFRDI) was established by law to serve as the primary research arm for fisheries. In addition to research and development functions, NFRDI is particularly tasked, *inter alia*, to make the country's fishing industry in the high seas competitive.

Vietnam: The Directorate of Fisheries (D-Fish) advises and assists the Minister of Agriculture and Rural Development in state management and implementation of state management tasks related to fisheries, in managing and leading the public service activities within the management scope of the Directorate. Although there is no specific legislation related to tuna fisheries management in Vietnam, there are some sections in the legal frameworks for general fisheries management that are relevant to tuna fisheries management. The Fisheries Law provides the highest legal framework for all fisheries activities throughout the country. The law assigns the Ministry of Agriculture and Rural Development (MARD) to regulate the offshore fisheries and the Provincial People's Committee (PPC) to be in charge of managing the nearshore fisheries bordered by the line 24 miles from the shore. MARD has a role to develop fisheries planning for the whole country whereas the PPCs develop their own fisheries planning based on MARD planning system. Fish stocks and fisheries are governed administratively. This means that MARD, PPC, District People's Committee and Commune People's Committee take responsible for managing fisheries at the national, provincial, district and communal levels respectively, instead of a fisheries management regime by species, fisheries, ecosystems or fishing areas.

The management process (data collection and analysis, formulating and adopting plans and policies, implementing and reviewing plans and policies) is exercised by the state management agencies. The other stakeholders may be invited to participate into the management processes as consultants. The Fisheries Law applies to all fisheries and the related fisheries activities. The law comprises many policies and basic principles for general fisheries management, and tuna fisheries is a very important fishery for national economic development. Under the current system, specific provisions for tuna management are expected to be issued in sub-law regulations.

With regard to the National Tuna Management Plans (NTMP), Philippines has recently revised its NTMP, Vietnam has prepared a draft NTMP for consideration while Indonesia has developed a draft TMP for its Pacific EEZ waters (Fishery Management Areas 716 and 717).

B: BASELINE SITUATION

1. Threats

Studies have shown that the sustainable harvest of shared tuna stocks in East Asia faces a number of threats rooted in a greater demand for fish from rapidly growing domestic population and increasing exports, which has substantially increased fishing pressure on the marine fishery resources in the past two decades, both within the sub-region and the wider WCPO. The major threats facing the fisheries sector are resource depletion and environmental degradation linked to:

1. Incomplete participation in the recently established governance framework for oceanic tuna resources in the sub-region, the WCPFC;
2. Inadequate scientific knowledge about oceanic ecosystems and their relationship with fisheries resources; and
3. The advancing climate change-driven shifts in fisheries catch and area.

Tuna fisheries are also threatened by Illegal, Unreported and Unregulated (IUU) fishing, compounded by ineffective surveillance and monitoring, incomplete reporting to the WCPFC, and gaps in the

regulatory framework. Governments tend to focus on surveillance through a security approach that has been proven expensive and probably ineffective. IUU fishing could possibly be handled better through an economic approach supported by the security approach.

These threats are exacerbated by climate change that causes changes in ocean regimes, strengthening of the El Ñino-Southern Oscillation (ENSO) phenomenon, and ocean acidification. An FAO review[9] of studies on the impacts of climate change indicates that changes in marine and aquatic systems related to sea-surface temperature, winds and acidification, can be predicted with a high degree of confidence. One of the significant changes expected to occur is ocean warming. Global warming would cause marine species moving toward the poles, expanding the range of warmer-water species and contracting that of colder water species. Climate change may alter the geographic distribution of fish populations leading to a maximum 42 % drop of potential catch in the tropical Pacific. An analysis[10] of East Asian Exclusive Economic Zone (EEZ) regions showed that Indonesia will potentially have the highest loss in fish catch as a result of climate change. These changes are exacerbated by acidification-driven population shifts, caused by changes in chemical speciation, i.e. element distribution amongst chemical species in a system, and biogeochemical cycles with long-term implications for food webs and marine ecosystems[11]. Moreover, increased frequency of powerful storms due to climate change could affect fishing behaviour, efficiency and safety and ultimately affect supply chains.

Marine capture fisheries are already threatened by overfishing, habitat loss and weak management, and are thus poorly positioned to cope with problems stemming from climate change, such as increased uncertainty of fish availability and changes in the location of fish schools or biomass distribution. The increased variability of the already complex fisheries in the West Pacific and East Asian Seas will require flexible trans-boundary measures based on a better understanding of climate-induced stock changes, supported by adaptive management strategies, and regular monitoring and assessment. For the Western Pacific, a comprehensive study on the impacts of climate change has been undertaken by the Secretariat of the Pacific Community (SPC)[12]. Such a study has yet to be made available for the EAS, but would be a prerequisite for mainstreaming of climate change considerations into the national fisheries policy and the tuna management plans to conserve tuna stocks that each country has already developed to varying extents.

2. Baseline analysis

The proposed Project will build on the *West Pacific East Asia Oceanic Fisheries Management Project* (WPEA). WPEA, a UNDP-GEF medium-size project, aimed at building capacity in Indonesia, the Philippines and Vietnam to engage in regional initiatives to conserve and manage fisheries for highly migratory fish stocks. It was successfully implemented by the WCPFC and field activities were

[9] Kevern Cochrane, Cassandra De Young, Doris Soto and Tarûb Bahri. 'Climate change implications for fisheries and aquaculture', FAO Fisheries and Aquaculture Technical Paper No. 530, 2009. Available at: http://www.fao.org

[10] Cheung, W.L., Lam, V., Sarmiento, J., Kearney, K., Watson, R., Zeller, D. and Pauly, D. (2009) Large-scale redistribution of maximum fisheries catch potential in the global ocean under climate change. Global Change Biology.

[11] Doney, S.C., Fabry, V.J., Feely, R.A., Kleypas, J.A. Ocean Acidification: The Other CO2 Problem. Annu. Rev. Marine. Sci. 2009. 1:169-192.

[12] Bell JD, Johnson JE and Hobday AJ (2011) Vulnerability of tropical fisheries and aquaculture to climate change. SPC, Noumea, New Caledonia

completed at the end of 2012. The independent terminal evaluation[13] recognized the remarkable progress made by the project in moving towards its outcomes, especially towards:

- Improved knowledge of oceanic fish stocks and related ecosystems
- Reduced uncertainty in stock assessments
- National capacities in oceanic fishery monitoring and assessment strengthened
- Participant countries contributing to management of shared migratory stocks
- National capacities in oceanic fisheries management strengthened

The evaluation noted that *it would seem logical that a follow-up project should be at least partly oriented to reinforcing those outcomes established for the WPEA Project where risks to sustainability are greatest. In this respect, there are five outcomes where the evaluation judged the risk to outcome sustainability as "moderately likely at present, decreasing to moderately unlikely at the end of a follow-up project"*. These areas are basically the same as the outcomes in the completed medium size project (MSP) but added strengthening national laws, policies and institutions strengthened to implement applicable global and regional instruments.

As a result of the MSP, the three participating countries have now invested in national capacities towards regular oceanic fishery monitoring and assessment. The three countries are also in various stages of completing their respective national tuna management plans that will be implemented in this proposed project. The cost of their continuing investments plus the cost of further support to the proposed project is estimated at $2.5 million (Indonesia), $8.2 million (Philippines), and $4.7 million (Vietnam), amounting to a total of $15.4 million, including grant support of $3.9 million from the Philippines and 1 million from Vietnam. These are reflected as cofinancing for the proposed Project. Co-financing from each country will provide support to several emerging activities arising from the WPEA oceanic fisheries management project. It includes development of specific guidelines on adaptive management and monitoring of highly migratory tuna stocks against the impact of climate change, national reform for strengthening capacity in sustainable fishing practices, application of the Ecosystem Approach to Fisheries Management (EAFM), and consideration of market-based approaches. It also enhances the capacity of technical staff in the country to integrate the impacts of climate change on fisheries.

WCPFC was established to implement the Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (WCPF Convention). Since its inception in 2004, WCPFC has already directly invested over a million US dollar in the governance and monitoring gap in the EAS, and many times more on the wider region where the tuna stocks are shared. It will continue the investment in this proposed project to sustain the gains of the MSP with in-kind support of up to $3.2 million and a grant of $100,000. In addition to these resources will be additional leveraging that WCPFC will continue to undertake as it has done successfully in the completed MSP to intensify and broaden activities in the three countries. Such leveraging will be reported in the course of project implementation.

The Project will have access to a strong regional and national baseline data on oceanic fisheries in the WCPO through the SPC. Much of the data is reported to the Commission's Scientific Committee (SC) and Technical and Compliance Committees (TCC), by SPC as contracted scientific services provider. The work of the Committees is strongly supported by WCPFC member states, such as Australia, New

1. [13] WPEA OFM Terminal Evaluation conducted by Robert Gillett; report available at e*rc.undp.org/**evaluation**admin/downloaddocument.html?docid=6545*

Zealand, China, USA, EU, Canada, Japan, and the Republic of Korea, as well as the Pacific Island member states and territories, South East Asian coastal states and fishing entities.

The Southeast Asian Fisheries Development Centre (SEAFDEC) will also be a source of data. SEAFDEC coordinates the collection of information on EAS tuna fisheries, focused on coastal tuna resources. The total regional data collection baseline is valued at several million dollars. Moreover, the project will link to the Philippines, Indonesia and Vietnam national monitoring programs.

Although the available data are limited and deficient, there have been efforts and commitments (action plans) to improve data collection and management. There is awareness among the WCPF/EAS member countries that inconsistent data and inadequate information sharing across East Asia and the Pacific and the limited involvement of the tuna industry in monitoring activity could threaten the sustainable harvest of shared tuna stocks.

The project will also build on the ongoing work by the private sector which is a key partner in the tuna industry in the three countries and globally. The private sector cooperates in the implementation of various project activities through submission of tuna catch data, participation in various meetings and workshops hosted by the project, and involvement in the review process of meeting documents and consultancy reports.

Interested NGOs such as WWF will also participate in the project activities through in-kind financial support, expertise and complimentary research and management activities, such as fishery improvement plans (FIPs), observer programmes and EAFM applications. According to the requests from the EU and the US tuna export markets, WWF in Vietnam for example, is currently planning to focus on an MSC certification process with the Vietnam Tuna Association (VINATUNA). WWF-Vietnam and VINATUNA will develop an Action Plan for a Fishery Improvement Project, which will include stock assessment and management, ecosystem status and management and governance and fisheries specific management as three key principal areas. WWF-Vietnam's current target coincides with the Output 2.2 (Adoption of market-based approaches to sustainable harvest of tunas) of this Project and cross collaboration with WWF-Vietnam is highly anticipated. A similar WWF tuna FIP in Indonesia is at an earlier stage of development, but will also be directly relevant to the project.

UNDP's activities that will support the Project amount to more than US$ 1 million. These will come from projects implemented by UNDP-Philippines such as "Integrating Disaster Risk Reduction and Climate Change Adaptation in Local Development Planning and Decision-making Processes" (DDR/CA) and "Enhancing Greater Metro Manila's Institutional Capacities for Effective Disaster/Climate Risk Management towards Sustainable Development" (GMMA). These projects will provide models for the mainstreaming of climate change concerns into the participating countries' national fishery sector policies.

3. Long-term solution

The long-term solution to the threats described above involves strengthening the governance of oceanic tuna fisheries in the EAS by enabling the full participation of the Philippines, Indonesia and Vietnam in the WCPFC, including improving the sub-regional monitoring and assessment and sharing of information of highly migratory tuna stocks and anticipating the impact of climate change on future catches and fishing areas. This needs to be coupled with policy, institutional and fishery management reform at national level in each of the three countries. The proposed Project has been designed to reach this long-term vision and to remove critical barriers to achieving the solution, as discussed below.

4. Barriers to achieving the solution

The proposed Project will remove the main barriers to sustainable fisheries management of highly migratory tuna species in the East Asian LMEs. These barriers are:

1) Weak governance of oceanic tuna resources in the region at the sub-regional as well as national level, within the Western and Central Pacific Fisheries Commission (WCPFC):

This is linked to the incomplete participation of Indonesia, Philippines and Vietnam, as a group, in the recently established governance framework for management of highly migratory fish stocks in the POWP LME and the adjacent EAS LMEs, the WCPFC. The Indonesia and Philippines are full members, but Vietnam is a cooperating non-member and does not need to be fully compliant with all aspects of WCPFC requirements. The main governance challenges and barriers include:

- Sub-regional: The three countries worked collectively within the WPEA project but no coordinating mechanism was made so far through the project. Such a mechanism is required for sharing of data on highly migratory fish stocks to determine sustainable harvest levels at a regional and sub-regional level within WCPFC. It is also needed for sharing of information on expected impacts of climate change to devise adaptive management strategies, and for concerted dialogue with decision makers in all three countries through a joint WCPFC and PEMSEA mechanism that will ensure that oceanic fisheries receives the attention it deserves in the evolving regional sustainable development agenda. Some information is available on climate change impacts on POWP LME but model outputs have not yet been extended to the EAS primarily for lack of data in this region. In order to enable the effective participation of all three countries in the WCPFC, their capacities to monitor and assess highly migratory fish stocks, and report to the Commission, including on CMMs, need to be strengthened.

- Indonesia: A national monitoring system is gradually being established under the Directorate General of Marine Resources and Fisheries (PSDKP), Ministry of Marine Affairs and Fisheries (MMAF), mainly to cover large vessels (>30GT), but it is not fully integrated with fisheries data at the spatial management unit level i.e. the Fisheries Management Area (FMA). Species composition by gear is currently available under the port sampling programme, but covering only FMAs 716 (Bitung), 717 (Sorong), and 714 (Kendari). Such statistical data for archipelagic waters fisheries are partially available, but a scientific database enabling verification is not currently available for Pacific archipelagic waters as a whole i.e. FMAs 713, 714, 715). VMS and a catch certification scheme are still under development. Climate change impacts on oceanic fisheries and associated ecosystems have not been studied and current analytical capacity in this area is limited, although a National Climate Change Board was established in 2008 (Presidential decree no 46/2008). National policy formulation specific to oceanic fisheries is very limited, but some information is available for the adjacent POWP LME, as a suitable model/precedent.

- Philippines: Current monitoring coverage for small and medium scale tuna fisheries is low, and estimates are considered less reliable. The development of a prototype for monitoring small scale fisheries will be proposed under the project. Current monitoring by VMS is limited to Philippines flag vessels operating purse seines/ring nets in the WCPO High Seas Pocket no. 1 (HSP1) and other countries' EEZs. Delays in manual submission of logsheets are common, resulting in a proposed e-logbook system to facilitate timely submission. The government of the Philippines passed the Climate Change Act in 2009 as a framework for adaptation and mitigation action. In 2010, the National Framework Strategy on Climate Change (NFSCC) was approved and in November 2011, the President signed the National Climate Change Action Plan (NCCAP). However, institutional capacities for the implementation of a consistent climate policy are still weak and activities are only insufficiently integrated into planning processes. More importantly, the impacts on oceanic fisheries and its ecosystems have not yet been studied

and current capacity is limited. There isn't a pool of experts to enable mainstreaming of climate change concerns into national fisheries sector policy.

- Vietnam: Monitoring systems have been established in the three central provinces (Binh Dinh, Phu Yen and Khanh Hoa) which have historically accounted for the majority of the catch of large tunas for export, under the WPEA in compliance with WCPFC requirements, but there is not complete coverage of all gears; and in other provinces where significant amounts of oceanic tunas are landed, tuna fishery data are generally lacking other than informed guestimates. A VMS scheme is being implemented but has not yet been integrated with fisheries data. VMS, IUU and catch certification schemes are thus not fully established, but under development and initial implementation. There is also a lack of trained/skilled personnel and there is no assessment of the capacity needed to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies. No inputs for national policy formulation on climate change are currently available for Vietnam, nor for oceanic fisheries.

2) Inadequate implementation of policy, institutional and fishery management reforms at national level

The WPEA preceding project discussed under Section 2 mainly focused on strengthening the knowledge base of highly migratory tunas in the EAS through improved monitoring and assessment, and on development of national tuna management plans, although policy, legal and institutional arrangements were reviewed in each case . The three countries still lack capacity to adequately comply and enforce existing legal instruments of the WCPFC and to fully implement supporting national legislation and the NTMPs. They also lack experience and capacity to apply market-based instruments, such as certification, to meet international requirements for sustainable harvesting and marketing of tunas. Indonesia, Philippines and Vietnam need to start implementing the ecosystem approach to fisheries and finalise their tuna management plans. This would meet some of the requirements for participation in WCPFC activities and compliance with CMMs. Analyses of tuna fishery supply chains, in parallel with a reduction of by-catch and ETP species, will support certification of selected fisheries for the conservation of tuna stocks.

Remaining challenges include:

- Regional/Sub-regional: Limited participation of Indonesia and Vietnam, in particular, in key WCPFC meetings, such as SC and TCC remains a barrier. Furthermore, assessments are not explicitly available on sub-regional scale because of data gaps and the current assessment model's spatial structure. Preliminary ecosystem models e.g., SEAPODYM, EcoSim are available for the POWP LME but have not been applied in a regional management context. National applications of SEAPODYM are being developed for Indonesia and possibly Vietnam, but will require considerable further work before application.

- Indonesia: Indonesia became a full member in December 2013, and some fisheries legislations are under revision, if not nearing completion, to accommodate all WCPFC requirements. The Framework for AW management through FMAs is currently minimal but is being progressively developed for the 7 Pacific FMAs. Limited data are available on the supply chain, and a chain of custody scheme (traceability) has not been established for any fishery, despite the growing market demand for certification. Pre-assessment of selected tuna fisheries has thus far been unfavourable and there is a need for a fishery improvement plan (FIP) focusing on selected oceanic tuna fisheries. Information on target species is available from WPEA-1 with coverage of FMA 716, 717 and 714. However, there is limited information on retained/by-catch species and no risk assessment study for tuna by-catch and ETP species exists. There is a National Stock Assessment Committee and plans for national

assessment are underway. Ecosystem modeling has been partly applied and some commitment to EAFM already exists through community-based activities, although the NTMP in its current form lacks EAFM components. Turtle by-catch has been studied and some mitigation measures are underway. However, shark catch and seabird interactions are not well documented, and there is a low level of compliance with some CMMs.

- Philippines: The existing FAD management policy and compliance with some CMMs needs to be revisited, but the Philippines is otherwise currently compliant with most of the WCPFC CMMs. Information is available on supply chains, but has not been compiled. There is growing market pressure for eco-labeling and/or certification relating to sustainable fisheries and several pre-assessments have been initiated. There is limited understanding of the ecosystems supporting the oceanic tuna fishery. Retained species and by-catch species for all gears are incompletely characterized. No study of EAFM for oceanic fisheries exists, although they are being applied to some coastal fisheries. The legal basis of the NTMP is uncertain and needs to include commitments to EAFM. Turtle by-catch studies and some mitigation measures are underway. Moreover, shark catch and seabird interactions are poorly documented, and there is low level of compliance with some CMMs.

- Vietnam: As a CNM, there is limited compliance with WCPFC CMMs or other management arrangements at present, in part because the South China Sea is tentatively excluded from the Convention Area. WCPFC CMM 2013-01 (CMM for bigeye, yellowfin and skipjack tuna in the WCPO) is one of the key CMMs that should be applied to all migratory ranges but limited compliance of Vietnam might undermine the effectiveness of the CMM. However, Vietnam's National Tuna Management Plan, developed through WPEA project, is recommending domestic measures compatible with this CMM. The proposed Project can support continued data collection and submission for incorporation of Vietnam's tuna fishery data into the regional stock assessments and establishment and implementation of compatible measures with the CMM. There are incomplete data available on supply chain and a chain of custody scheme has not been established for any fishery. MSC pre-assessment of the yellowfin/bigeye handline and longline fishery was unfavourable and the need for a FIP was identified. Data collection on target species was initiated under WPEA, but coverage is incomplete for some fisheries, and data has not been fully incorporated in regional assessments. Limited research on retained/by-catch species has been conducted but they have not been comprehensively studied. Research surveys using two gears have been periodically undertaken; no national stock assessment is currently available but is planned. There is no EAFM application and the legal basis of the NTMP and EAFM inclusion in it is uncertain. There are few data on ETP species.

3) Limited sub-regional knowledge sharing on highly migratory fish stocks

At present, there is no sub-regional repository for data on highly migratory fish stocks[14], lessons learnt and best practices in oceanic fisheries management in the EAS; this impedes the exchange of knowledge on shared stocks which is required to improve the sub-regional management regime. Establishing a sub-regional knowledge platform on shared tuna stocks and stock assessment at a sub-regional level are therefore priorities. More specifically, the remaining challenges and barriers include:

- Limited information shared via WCPFC mechanisms, meetings and WPEA website

[14] SEAFDEC maintains a database for SE Asian tunas for its 11 members but it is recognized as incomplete and will hitherto focus more on neritic rather than oceanic tunas; the ASEAN TWG is not known to be involved in any database activity.

- Limited outreach to stakeholders at national and sub-regional level

- Limited participation in knowledge sharing events at international and EAS regional level, including IW:Learn.

- Provincial/FMA profiles as key information products in the tuna fishery are incomplete and not widely disseminated

The proposed project aims to make significant contributions in raising awareness of decision-makers, the fishing industry and the general public about sustainable oceanic fisheries management and marine biodiversity. It will also augment current efforts in developing a robust conservation and management measures for oceanic resources and marine biodiversity in coastal and oceanic waters of the EAS.

5. Stakeholder analysis

The project will engage global, regional and national stakeholders. The WCPFC will have the overall responsibility for coordination and implementation of activities at regional level and will forge stronger partnerships with other regional bodies and institutions, such as the Partnerships in Environmental Management for the Seas of East Asia (PEMSEA), the Coral Triangle Initiative (CTI) and PEMSEA. The project will engage the private sector through tuna fisheries associations, WWF, the tuna industry and other CTI partners. At the national level, Ministries in charge of fisheries in the three participating countries will be responsible for implementing monitoring and stock assessment programs. The Ministries will also ensure national reforms in the fishery sector for coordinated and adaptive management of oceanic fish stocks in response to anticipated climate change impacts and coordination with other relevant sectors.

Specifically for the private sector, Annex 7 lists the private sector companies that have been and will be engaged in the project. It provides additional details to those listed in the table below.

Stakeholder	**Relevant roles in project**
WCPFC	Regional coordination and implementation, project executing partner.
PEMSEA Resource Facility	Coordinating EAS Programme
CTI	CTI Regional Plan of Action – IUU and EAFM
Lead national ministry/institutions	
INDONESIA Directorate General of Capture Fisheries (DGCF/MMAF) Research Center for Fisheries Management and Conservation (RCFMC/P4KSI) PHILIPPINES Bureau of Fisheries And Aquatic Resources (BFAR/DA) National Fisheries Research and Development Institute (NFRDI/BFAR) VIETNAM Directorate of Fisheries (D-Fish, MARD) Ministry of Agriculture and Resource Development (MARD) Dept of Capture Fisheries and Resource Protection (DECAFIREP)	 Data management, implementing WCPFC CMMs, fisheries legislation, observer program Data collection, port sampling, EAFM/biological research, Project oversight, observer programs, MCS, IUU Data collection , port sampling, EAFM Policy and legal issues Project oversight Data collection, port sampling, observer program, database management, adaptive management, climate change
Other national ministries	

INDONESIA DG of Surveillance of Marine Resources and Fisheries (DGSMRF) Ministry of Environment PHILIPPINES Bureau of Agricultural Statistics (DA) National Tuna Industry Council National Fisheries and Aquatic Resources Management Council (FARMC) Philippines Fisheries Development Authority (PFDA) VIETNAM Ministry of Natural Resources and Environment (MNRE) Institute of Strategy and Policy on Natural Resources and Environment (SPONRE) Provincial Peoples Committees (PPCs)	 MCS and IUU monitoring GEF Focal Point, environmental policy Fisheries statistics Policy advice Policy advice Port sampling, landings data Environmental management, climate change Environmental and climate change policy Inshore fisheries (< 24nm) management and administration
Provinces/regions in each country	
INDONESIA Sulawesi Utara (Bitung) Sulawesi Selatan (Kendari) Papua (Sorong) Sulawesi Tengah (Mamuju) PHILIPPINES 11 Regions (1,3,4b, 5,6,8,11,CARAGA, ARMM) and 15 sites VIETNAM Binh Dinh Province Khanh Hoa Province Phu Yen Province Da Nang Municipality, Provinces of Quang Nam, Quang Ngai,, Ninh Thuan, Binh Thuan, Baria Vung Tau	 Data collection and port sampling sites “ “ “ (to be initiated 2014) 28 enumerators deployed for data collection, port sampling Data collection and port sampling provinces (intensive) “ Data collection, port sampling (upgrade from trial in 2013)
NGOs	
WWF Sustainable Fisheries Partnership (?)	Fisheries Improvement Plans (FIPs), EAFM pilot studies, observer programmes
Scientific/Academic institutions	
INDONESIA Komnas Kajiskan (National Committee on Fish Stock Assessment) Bogor Agricultural University, Centre for Coastal and Marine Resources Studies University of Indonesia, Faculty of Law PHILIPPINES Mindanao S U (General Santos) VIETNAM Research Institute for Marine Fisheries (RIMF), Haiphong, Vietnam Nha Trang University (Fisheries) CSIRO (Australia)	 Stock assessment training and collaboration Fisheries training, fisheries profiles Legislative reviews Data collection, port sampling Stock assessment training, risk assessment, observers Fisheries technology, observers, seafood technology FAD research, data collection, tuna genetics (Indonesia)
Multi-lateral organizations	

Secretariat of the Pacific Community (SPC) FFA SEAFDEC Asean TWG CTI Regional Secretariat and CTI Working Groups	Training, database technical assistance Liaison with PIOFM project Liaison and cooperation in various aspects of project Regional policy on post harvest and data collection IUU and other areas to be determined
Bilateral organizations	
ACIAR	Tuna research/supply chain data (Indonesia)
Private sector companies	
Indonesia	
Harini Asri bahari Sari Harta Samudera Ocean Mitramas Aneka Loka Indotuna Bina Nusa Mandiri Pertiwi Etnieko Sara Laut Harini Nalendra Jaya Bali Bersaudara Jaya Kota Lautan Lestari Abadi Karunia Laut Skipjact Indonesia Pratama Agrindo Bahari Kencana Agrindo Mina Bahari Arabikatama Khatulistiwa Fishing Industry Aru Samudera Lestari Fischo Marindo Utama Jaya Bali Bersaudara Indonesia Tuna Association Mentari Prima Bahari Pathe Maang Raya Perikanan Nusantara National Fishing Fleet Associaon Starcky Indonesia Wailan Pratama Waranei Perkasa Firgo Internusa Bitung Fishing Industries Association Indonesia Pole and Line, Handline Association Indonesia Fish Canning Association	• Attending consultation meetings and workshops (e.g., meetings for updating National Tuna Management Plan, estimating natinal annual tuna catch, reviewing policy, legal and institutional arrnagements of tuna fisheries, etc.); • Cooperation in the provision of data and verification process for the estimates of total tuna catch by industries; • Provision of tuna imports and exports data; • Cooperation in the facilitating of observers on-board deployment and provision of logsheets;. • Coordination and/or implementation of the Fisheries Improvement Program (FIP); • Comply with various WCPFC CMMs (VMS, Logbook, IUU, etc.); • Arranging meetings and workshops at provincial level; etc. •
Philippines	
SOCKSARGEN Federation OF Fishing Industries Inc. (SFFAII)	• Attending consultation meetings and workshops (e.g., workshops for revising National Tuna Management Plan and

Frabelle Fishing	Operations Guide for Filipino Fishermen, National Tuna Annual Catch Estimates Workshop, National Tuna Fishery Profiles, etc.); • Arrange meetings/workshops at provincial level; • Cooperate in the provision of data and verification process for the estimation of annual total tuna catch by industries; • Comply with various WCPFC CMMs (e.g. observer, VMS, etc.); • Continue to support and facilitate on-board observers and provision of logsheets; etc.
Confederation of Fishing Industries (ConFed)	
RD Fishing	
San Lorenzo Ruiz Fishing	
CHL Fishing	
Trinity Homes Industrial Corp	
TSP Marine Industries	
Trans Pacific journey Industries Corp	
Marchael Sea Ventures	
NH Agro Industrial Corp	
Umbrella Fish Landing Association	
Roel Fishing	
Rell and Renn Fishing Corp	
Damalerio Fishing Corp	
Other tuna companies (e.g. General Tuna Canning Corp.)	
Vietnam	
Vietnam Tuna Fisheries Association (VINATUNA)	• Attending national meetings and workshops convened by Government agencies (e.g. legal and policy review meetings, revising National Tuna Management Plan workshops, Climate Change Capacity Building training courses, etc.); • Coordination and/or implementation of Fisheries Improvement Program (FIP); • Arranging and funding meetings/workshops at provincial level; • Provision of tuna fisheries data, participation in workshops for the estimation of national annual tuna catches, and verification process of tuna catches by industries; • Comply with various WCPFC CMMs (e.g. IUU, observer, VMS, etc.), etc.
Binh Dinh Tuna Fisheries Association	
Khanh Hoa Tuna Fisheries Association	
Phu Yen Tuna Fisheries Association	
Culimer Vietnam Co., Ltd	
Tin Thinh company	
Vinh Sam company	
Thinh Hung company	
Hai Vuong company	

2. STRATEGY

1. Project rationale

The Project intends to strengthen national capacities and regional cooperation to implement fishery sector reforms that will sustain and conserve the highly migratory fish stocks in the West Pacific Ocean and East Asia LMEs while considering climatic variability and change. It will

- build the capacity of Philippines, Indonesia and Vietnam to mainstream climate change impacts into their national fisheries institutions and policies;
- strengthen regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks;
- use an ecosystems approach to fisheries management of shared target and non-target oceanic stocks,
- strengthen national and regional monitoring, regulation and control;

- contribute to the implementation of the SDS-SEA; and
- link its activities to the work of the WCPF Commission. The WCPFC will establish a Consultative Forum to coordinate monitoring of highly migratory stocks across POWLME and SEA LMEs.

2. Project objective, outcomes and outputs/activities

Project Objectives and Outcomes:

The Project objective is to improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities. This objective will be achieved through three interlinked components on (i) strengthening regional governance of oceanic fisheries; (ii) national fishery management policy and institutional reform; and (iii) regional knowledge sharing in the WPEA. The Project will generate the following outcomes:

Outcome 1.1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LMEs
Under this outcome, all three countries will become compliant with WCPFC requirements, and with all relevant CMMs. Countries will also routinely share information which contributes to development of harvest policy for oceanic tunas across the relevant LMEs and within the WCPFC framework. Improved monitoring of oceanic tuna fisheries in the EAS will lead to 40% increase in coverage by the end of the project.

Outcome 1.2: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes.
Adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions will be enhanced, climate change impacts on EAS and western part of POWP LME will be predicted and appropriate adaptive management strategies will be developed under this outcome.

Outcome 1.3: Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam.
A climate change adaptive management strategy for oceanic fisheries will be incorporated in national cross-sectoral climate change strategies in all three countries.

Outcome 2.1.: Enhanced compliance of existing legal instruments at national, regional and international levels.
This outcome involves full and active participation in all WCPFC technical meetings by all three countries and full application of relevant CMMs and development of reference points (RPs) and harvest control rules (HCRs) at national level.

Outcome 2.2: Adoption of market-based approaches to the sustainable harvest of tunas
This involves characterization of supply chains for relevant tuna fisheries, establishment of monitoring systems and regular updating of information, and putting in place chain of custody for selected fisheries with selected fisheries progressing towards full certification.

Outcome 2.3: Reduced uncertainty in stock assessment of POWP and EAS LMEs highly migratory fish stocks and improved understanding of associated ecosystems and their biodiversity

This outcome involves a full sub-regional assessments with a restructured assessment model and improved datasets, regularly updated national assessments for target species and risk assessment of retained, by-catch and ETP species.

Outcome 2.4: Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced by-catch of sea turtles, sharks and seabirds
This outcome will lead to application of ecosystem models to EAS and compliance with endangered, threatened or protected (ETP) species CMMs and NPOAs, leading to reduction of catch of ETP species by 25% by the end of the Project.

Outcome 3.1: Knowledge sharing on highly migratory fish stocks in the POWP and EAS LMEs
This outcome includes an active website that is maintained in collaboration with PEMSEA, and commitment to preparation and dissemination of project publication, newsletters and other information products, and increased participation in international and (sub-)regional knowledge sharing events, such as IWLearn and the EAS Congress

Project Outputs and Activities:

Project outputs and activities are summarized below by component. Detailed activities at regional and at national level in Indonesia, Philippines and Vietnam are detailed in **Annex 5**.

Component 1: Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory fish stocks. This component will strengthen the regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks, and Illegal, Unreported and Unregulated (IUU) fishing in the POWPLME and the EAS LMEs. Component outputs and activities to achieve them will include:

Outputs 1.1.1; 1.1.2: Joint WCPFC/PEMSEA Consultative Forum established for effective monitoring of highly migratory stocks and marine ecosystems across the POWP LME and EAS LMEs
This will involve participation in and compliance with WCPFC activities and establishment of effective monitoring and information sharing mechanisms on IUU fishing in the sub-region. The sub-regional Consultative Forum would build on catch estimate and data review workshops at national level which would precede the Consultative Forum and frame a range of inputs to regional (WCPFC) processes, most notably the Scientific and Technical and Compliance Committees, e.g. catch estimates, stock assessments, compliance with conservation and management measures and ecosystem management. The Consultative Forum would involve a range of national, sub-regional and regional stakeholders, such as PEMSEA, SEAFDEC, ASEAN Tuna Working Group, the ABNJ Program, etc., The Project Board, formerly the Steering Committee would however involve just the three countries, WCPFC, UNDP and any other major partner, and would be an integral part of the M & E process. Some preparatory or review activity may be required e.g. data collation and interpretation, and an integrated sub-regional database may eventually be developed for identified areas of common concern, as well as a regular newsletter. Integrated national tuna fishery databases, comprehensive MCS schemes and catch certification systems will also be developed.

Addressing IUU fishing involving oceanic tuna fisheries in the sub-region is compromised to some extent by jurisdictional issues and the complexity of the fishery. All three countries have or are in the process of developing monitoring, control and surveillance (MCS) systems for offshore fisheries and several reviews of IUU activities have been undertaken. Updated information on IUU activity could be shared and reviews of the effectiveness of measures undertaken in individual countries could also be undertaken as necessary. The CTI Regional Plan of Action (RPOA) and IUU fishing in the southern and

eastern areas of the SCS and Sulu-Sulawesi Seas involves two of the countries in a range of activities envisioned under the RPOA but currently excludes Vietnam. Information exchange and collaborative activity may therefore have to occur under the auspices of the Consultative Forum or the WCPFC TCC

Outputs 1.2.1; 1.2.2: General guidelines on adaptive management and monitoring of highly migratory stocks to address climate change

Some information is available from the POWP LME on climate change impacts on oceanic fisheries and the ecosystems which support them, but model results have not been extended to the EAS LMEs where climate change impacts are not well described. To address this gap, a sub-regional workshop would initially be convened, during which available impact predictions from existing models would be evaluated, experiences in neighbouring areas shared, and data gaps identified. The workshop will include discussions on general guidelines on adaptive management. At national level, the countries will identify capacity needs and personnel to be trained to interpret climate change impacts on oceanic fisheries, investigate network and data sharing with relevant institutions, and review policy that integrates climate change adaptation.

Adaptive management guidelines used for regional capacity building, training of national technical fishery staff, policy and decision makers in Indonesia, Philippines and Vietnam

Guidelines for adaptive management to address predicted climate change impacts identified under 1.2.1 would then be developed at national level and capacity building of a selected multi-disciplinary team undertaken to raise awareness and prepare for the development of policy to address climate change threats.

Outputs 1.3.1; 13.2; 13.3: Sector policy instruments developed and management plans reviewed, and climate change adaptive management approach incorporated in sectoral policies and plans

This involves increasing the participating countries' capacity to mainstream climate change into their national fishery sector policies and institutions. The framework for coordinating national responses to climate change impacts would be identified (the countries already have existing agencies to coordinate multi-agency involvement in climate change research and adaptation); specific sectoral policies to address climate change impacts on offshore marine fisheries, including oceanic tuna fisheries, and building on existing adaptive management guidelines, would be promulgated following extensive stakeholder consultation. In Indonesia, national policy formulation specific to oceanic fisheries is very limited and the Project would support the mainstreaming of climate change adaptive strategy for oceanic fisheries into the national cross-sectoral climate change strategy already in place. In the Philippines the Project will provide support to the approval and implementation of existing relevant strategies coupled with training of a pool of experts. In Vietnam support will go to the identification and articulation of climate change concerns and their integration into the national fisheries policy.

Component 2: Implementation of policy, institutional and fishery management reforms. The objectives of this component are to enforce compliance with existing national, regional and international legal instruments, implement EAFM and the national tuna management plans and enhance adaptive management of shared stocks in the face of climate change. Partnerships with the private sector will be sought to promote market-based approaches to sustainable harvesting of shared tuna stocks, such as certification. The outputs and activities to achieve them for the second component are as follows:

Outputs 2.1.1; 2.1.2; 2.1.3; 2.1.4: WCPFC Convention and relevant regional instruments and agreements implemented; fishery sector national reforms implemented in Indonesia, Philippines and Vietnam

At present, there is limited participation in WCPFC technical meetings by the participating countries and national legislation does not accommodate all WCPFC requirements. The Project will therefore support national legal consultants who will review existing legal instruments at all levels as they apply to changing management requirements and development of new CMMs. Compliance with all applicable measures and requirements will be reviewed annually (see below). Full and effective participation in TCC activities (and the CTI RPOA IUU discussions) should be ensured where necessary. National task forces to facilitate and coordinate participation in regional compliance monitoring processes may prove useful. Reference points and harvest control rules will be framed and applied at national level. The Philippines FAD management policy will be reviewed.

Alignment of national legislation to meet changing requirements will be addressed by national consultants, and will include identification, validation and implementation of national reforms using baseline reference for budgetary/costing requirements. National Tuna Management Plans will be reviewed and refined, as relevant changes become necessary (also see later). Extensive stakeholder consultation should precede any legislative reform, as well as any changes to the national tuna management plans.

Outputs 2.2.1; 2.2.2; 2.2.3: Tuna fishery supply chains in the EAS analyzed

National consultants will undertake reviews of tuna fishery supply chains and traceability mechanisms, with the assistance of the private sector, industry associations and other stakeholders, with information gathered to be incorporated in provincial/management area profiles and shared in the Regional Consultative Forum. Additional data may need to be collected, according to criteria developed, and routine reporting developed. These analyses will be used to inform development of market-based approaches to sustainable harvest of shared tuna stocks.

Strengthening of capacity in sustainable fishing practices, including certification

The capacity of national fisheries associations will be strengthened, to effectively promote sustainable fishing practices in the sector, and support stakeholder awareness of sustainability issues, e.g. through workshops on eco-labelling and certification, preparation of manuals etc. Fisheries that can go to pre-assessment will also be identified. Assistance would also be provided in the development of catch certification schemes, some of which are currently under consideration e.g. RPOA IUU.

Requirements for sustainable fishing practices (e.g. MSC certification) collaboratively identified by stakeholders

All three countries would be encouraged to develop strategies and priorities to work towards application of eco-labeling/sustainable certification schemes e.g. MSC, by providing support (information, analyses, and enhanced data collection) for fishery improvement schemes (FIPs), in cooperation with NGOs specifically WWF. National consultants would be used to develop reference points and harvest control rules.

Outputs 2.3.1; 2.3.2; 2.3.4; 2.3.4: Criteria for monitoring programmes and stock assessment for highly migratory fish stocks and associated ecosystems developed

At present, stock assessments are not explicitly available at sub-regional scale because of data gaps and assessment model spatial structure. The Project will therefore support data gathering and restructuring of the model to make a sub-regional stock assessment possible. Annual data review workshops would be held in each country where data collection protocols, methodology, and coverage levels would be reviewed, and sampling/data collection methods refined.

Monitoring of programmes and stock assessments for highly migratory fish stocks and associated ecosystems expanded

Training for enumerators in adopted methodologies would be provided, and port sampling extended to cover landings of by-catch and by-products, as well as target tuna species. Monitoring activities to improve data incorporated in stock assessments will vary by country, according to the capacity and coverage already achieved (i.e. the baseline).

Philippines: Monitoring and port sampling activity, with associated planning, establishment and training, will be extended to small and medium scale fisheries not currently covered. Partial support will be continued for sampling at existing sites as the Philippines rapidly assumes full responsibility. Reconstruction of historical tuna fishery data will be undertaken, to assist stock assessment precision.

Indonesia: Data collection/port sampling at four sites will continue, and initiation at a fifth site (Mamuju) will be undertaken; collaborative workshops and training with the National Stock Assessment Commission (Komnas Kajiskan) will be initiated; reconstruction of historical data will be conducted.

Vietnam: Data collection and port sampling will continue in the 3 principal provinces, with extension to gears not currently covered; partial support and a possibly changed, more cost-effective, catch estimation methodology will be applied if it proves suitable. Data collection/port sampling will be initiated in six new provinces; historical data has already been assembled for the more recent Vietnam fishery i.e. since 2000 but will be reviewed.

Monitoring Control and Surveillance (MSC) and Vessel Monitoring (VMS) programmes established
All countries have MCS systems, including VMS in various stages of implementation. Philippines may require a legal review of existing port state measures (PSM) and IUU regulation, possibly as part of other legal reviews proposed; training in at-sea boarding and inspection measures may also be required. Indonesia and Vietnam are implementing similar VMS systems but may require training workshops for users. Indonesia and Philippines will participate actively in the CTI RPOA IUU which is largely concerned with tuna fisheries

Outputs 2.4.1; 2.4.2; 2.4.3; 2.4.4: Ecosystem Approach to Fisheries Management (EAFM) and associated tuna management plans finalized and implemented in Indonesia, Philippines and Vietnam
EAFM will be implemented to combine protection of ecosystem structure and function in the EAS with generation of food, income and livelihoods for coastal communities from sustainable harvesting of tunas. Pilot scale application of EAFM to one segment/site of the oceanic tuna fishery in each country will be attempted, accompanied with provision for extensive stakeholder consultation on all aspects of the process. EAFM workshops will be convened for policy makers, stakeholders, and Government departments/agencies, and information on EAFM processes and outcomes widely disseminated. National tuna management plans will be reviewed and implemented, taking account of changes identified as necessary by the project e.g. climate change, EAFM requirements, new CMMs, market-based factors, and MCS activity. In the case of Indonesia, the NTMP will be expanded to include archipelagic waters.

EAFM implemented in government departments, fishing industry, and other key stakeholders for the conservation of tuna stocks and reduction of by-catch
Observer programmes will be developed and supported in two countries (Vietnam, Indonesia), to collect operational and by-catch/ETP species data. This would initially be at low levels, to guide eventual industry-funded larger scale observer placement. Support, notably training of trainers, would be provided for observer programmes in all three countries. Risk assessments will be undertaken for by-catch and ETP species, with some data collection required. National Plans of Action will be formulated for selected priority groups e.g. sharks, seabirds, and turtles. The project will also facilitate information and experience sharing and lessons learned on reduction of by-catch, through the Consultative Forum and the knowledge management network described below.

Component 3: Knowledge sharing on highly migratory fish stocks. The third component will establish a regional knowledge platform and network for the Western Pacific Ocean and East Asian LMEs. It will deliver the following outputs and undertake the following activities to achieve the single broad outcome.

Sub-regional database established for the West Pacific Ocean and East Asia LMEs consistent with the WCPFC framework
The information shared via the WCPFC mechanism and the WPEA website on oceanic fisheries in the EAS is at the moment limited. The Project will therefore ensure, in collaboration with PEMSEA, that an active database and website is maintained and that relevant publications are disseminated. A dedicated knowledge management specialist, (see Annex 3: Project Knowledge Management Associate), will be recruited to establish a Regional Knowledge Platform that will include a sub-regional database for the WPEA, and develop an active information sharing network.

Lessons learned and best practices in oceanic fisheries management in the WPEA disseminated using various communications media: technical reports, WCPFC website, videos, IWLearn, PEMSEA and CTI websites
The Project website will be closely linked with the WCPFC and PEMSEA websites as well as national websites. Links will also be established with the CTI website as well as other relevant sites, where possible. Newsletters and other information products, such as videos, will be disseminated through the website and its associated network, highlighting lessons learned and best practice in adaptive oceanic fisheries management.

One percent of IW budget to support IWLearn activities, including IWLearn project website, experience notes and IW Conferences
The project will contribute to global knowledge sharing on management of highly migratory fish stocks through IW:Learn activities, including IW:Learn project websites, experience notes and IW Conferences.

3. Incremental reasoning and expected global, national and local key indicators, risks and assumptions

Incremental reasoning

The Project will ensure full participation in, and compliance with WCPFC activities. It will establish a WCPFC Consultative Forum to coordinate monitoring and assessment of highly migratory stocks across POWP LME and EAS LMEs. This will strengthen the regional collaborative institutional mechanisms for highly migratory fish stocks. The feasibility of involving China and Taiwan, in addition to the three focal countries, will be assessed during project implementation. Climate change impacts on ocean temperature, circulation and acidification will be mainstreamed into the inter-regional and national fisheries management regimes, reflecting the ecosystem linkages between the Pacific Ocean and the East Asian LMEs. The Project is consistent with IW Objective 2, to catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and large marine ecosystems while considering climate variability and change. The focus is on the globally valuable tuna stocks in the Western and Central Pacific Ocean, particularly those in the East Asian Seas. It will contribute to:

IW Outcome 2.1: Implementation of agreed Strategic Action Programs incorporates ecosystem-based approaches to management of LMEs. ICM principles, and policy-legal/institutional reforms into national/local plans, through Component 1 on Strengthened regional governance and national adaptive capacity in management of highly migratory fish stocks moving amongst the POWPLME and East

Asian LMEs. This component will lead to enhanced capacity of key stakeholders to make policy reforms to integrate climate change impacts on highly migratory stocks into management regimes, and mainstream climate change concerns into the national fishery sector in Indonesia, Philippines and Vietnam. Component 2, Implementation of policy, institutional and fishery management reform will support the implementation of the WCPF Convention for sustainable management of highly migratory fish stocks that are within the waters of the Philippines, Indonesia and Vietnam.

Component 1 of the Project will contribute to *IW Outcome 2.2: Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability*. Component 1 will strengthen regional collaborative arrangements for highly migratory fish stocks through the establishment of a joint WCPFC/PEMSEA Consultative Forum, also including SEAFDEC, the ASEAN Tuna Working Group and others. The Forum will coordinate monitoring of highly migratory stocks across POWLME and EAS LMEs, including the South China Sea, Sulu-Celebes Sea, and Indonesian Seas. This will be supported by Component 3, Knowledge sharing and the establishment of a Regional Knowledge Platform on POWPLME and EAS LMEs shared tuna stocks and associated ecosystems.

The Project will also contribute to *IW Outcome 2.3: Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measurable results* through Component 2. This component will pursue the adoption of market-based approaches to sustainable harvesting of tuna, establishment of Monitoring, Control and Surveillance (MCS) programs, and implementation of EAFM Plans in each country. Hence, the Project will contribute to the sustainable management of 14 per cent of the world's oceanic tuna stocks that migrate into the East Asian LMEs.

This project will complement two other projects related to tuna and other oceanic fisheries in the Western and Central Pacific to ensure the conservation and management of these resources, which constitute the global environmental benefit for these projects, as described in the succeeding paragraphs.

The project will complement the Pacific Islands Oceanic Fisheries Management Project (PIOFMP) by focusing on the WCPF Convention Area not covered by PIOFMP (refer to Figure 1). There is a clear delineation in geographic coverage between the two projects. This project will fill an important gap between the management of the tuna and other oceanic fishery resources by ensuring their sustainability through science-based management and participation of the 3 Southeast Asian countries in various WCPFC activities. It is noted that in this project, SPC will also be involved as in PIOFMP to lead in the scientific analysis of data as basis for management. The new phase of PIOFMP which is a joint project of UNDP and FAO – Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS) – has just been submitted for CEO endorsement as of this writing. This new phase will focus on reforming laws and policies for implementation of WCPFC measures in the Pacific. There is thus overlap in the focus of these two projects in the support of the national level governance in the recipient countries, further reinforcing efforts toward joint management of tuna and other migratory fish stocks in the WCPO towards sustainability and achievement of global environmental benefits.

Further complementing the conservation of oceanic fishery resources in the WCPO and adjacent areas is the FAO-GEF Programme on Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas Beyond National Jurisdiction (ABNJ) which involves five tuna RFMOS (including WCPFC) and will focus on sustainable and efficient tuna fisheries management through application of EAFM, reducing IUU fishing and mitigating adverse impacts of bycatch on biodiversity. The GEF ABNJ programme mostly focuses on areas near the Pacific Islands and does not have much coverage of the WPEA area. However, there is a need to cooperate on data collection and information sharing

between the WPEA area and ABNJ on bycatch issues and sharks. This data and information will be provided to WCPFC through this proposed Project, and will be incorporated into the WCPFC database for better analyses and management of sharks and bycatch within its entire convention area, including ABNJ. The WCPFC will ensure that these thematic linkages are established and that valuable experiences and lessons learned are exchanged on activities of mutual interest.

Global environmental indicators and benefits

Global environmental benefits from the Project will be achieved as a result of:

1) Strengthened international cooperation on priority trans-boundary concerns related to the conservation and management of highly migratory fish stocks in the West Pacific Ocean and East Asian Seas that are within the jurisdictions of the Philippines, Indonesia and Vietnam;

2) Integration of issues on emerging climate change impacts on oceanic fisheries into national and regional policy and institutional frameworks and the regional management regime;

3) Reduction of by-catch of critically endangered species (e.g. sea turtles, sharks and seabirds) by enhanced sustainable management and harvesting of target species thus, improving the overall health and integrity of the marine ecosystem;

4) Evidenced-based information available to decision making for reforms related to economic, financial, regulatory and institutional to strengthen national and regional fisheries management. The reforms will be initiatives of the Philippines, Indonesia and Vietnam governments with participation from key players (e.g. national and international institutions, non-government institutions, private sector). The reforms will contribute to the development of a comprehensive management framework for the East Asian oceanic tuna fishery.

Global environmental benefits related to the sustainable harvesting of oceanic tunas in the EAS that will be monitored using the GEF IW Tracking Tool include:

- Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased by 40% by the end of the project
- Reduction of catch of ETP species by 25% by the end of the project
- Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions
- Certification of at least two oceanic tuna fisheries in the EAS by the end of the project

National and local indicators and benefits

Oceanic fisheries make significant contributions to employment, nutrition and trade. The stagnation or decline of capture fishery production in many parts of the world underscores the importance of protecting and sustaining the highly migratory fish stocks in the West Pacific and East Asian seas for global food security, employment and trade. The migratory fish stocks in the region have been the source of most of the growth in employment and trade in the fisheries sector in Asia, and it has been shown that international trade in fisheries products has a positive effect on food security in many countries. For example, in the Philippines more than 1.5 million people depend on the fishing industry for their livelihood. The fishing industry's contribution to the country's Gross Domestic Product (GDP) in 2009 was 2.4%. Indonesia's marine region associated with the WCPFC Convention Area account for the equivalent of 59.8% of the total national tuna production. Vietnam's tuna export value increased over twenty times from 22.98 million US$ in 2000 to approximately USD 569 million in 2012. The combined value of tuna exports from the three countries in 2012 exceeded USD 1.5 billion.

Moreover, the fishery sector provides income to millions of women in East Asia. They are important players in the fish supply chain, mostly in fish processing and marketing activities. The export supply chain is often complex, with product passing through several hands and stages of value–added processing before shipment to diverse markets, and it is therefore difficult to provide exact numbers of women

involved, but several processing steps employ a significant number of women, such as the canning sector that continues to grow in all three countries. The Project will ensure the participation of women in all its activities and will target at the minimum, 30 percent women participation in the national, regional and international capacity building activities. It will, to the extent possible, provide equal access to and benefits from the Project resources to both men and women. The project will undertake gender-disaggregated monitoring of its activities, outputs and impacts.

Risks and assumptions

During the Project preparation phase, projects risks were updated from what was presented at the PIF stage. They were further elaborated and classified according to UNDP/GEF Risk Standard Categories (see Annex 1), and assessed according to criteria of 'impact' and 'likelihood'. The overall project risk rating is low to moderate.

Risk	Category	Rating	Risk Mitigation Measures
Political support for regional coordination activity, and participation by all parties and fishing entities	Political	Low	During project preparation, consultative workshops were held with all three countries with participation of government agencies, NGOs and Scientific Institutions to present and receive feedback on the project. The workshops confirmed that all three countries are strongly supportive of the project, which is also confirmed by their co-financing of the project.
Membership status (Vietnam) and compliance (Indonesia and Philippines) can be enhanced	Regulatory	Low	The project has been designed to support fishery sector national reforms to enhance compliance with WCPFC requirements
Resources, including trained manpower, available to implement monitoring systems, undertake stock assessment, and establish databases	Operational	Moderate	The project will support capacity building and training of national staff in each country in MCS, VMS, analysis of supply chains and requirements for certification, as well as in impacts on climate change on oceanic fisheries, which will mitigate this risk.
Expertise, appropriate climate change models and associated data available to predict impacts	Operational	Moderate	The project will support the development of guidelines that will be used in regional capacity building and training of national staff on climate change impacts and adaptive management of oceanic fisheries in the EAS
Selected oceanic tuna fisheries able to meet required standards for certification	Strategic	Moderate	Implementation of Fisheries Improvement Plans (FIPs) will be supported and supply chains characterized for all oceanic tuna fisheries and only the most promising fisheries will be selected for full certification.
WCPFC science provider able to undertake sub-regional assessment within new model area, and necessary data collected to undertake national stock assessment	Organizational	Low	The sub-regional assessment of the EAS will be reported as part of the regional assessment of the POWP LME using an already existing, but restructured stock assessment model. The project will provide targeted support to the countries to enable them to collect sufficient data for national stock assessment.
Financial sustainability of project activities and sufficient allocations from governments to meet WCPFC requirements	Financial	Low	The project is supporting national fishery sector reform that includes mainstreaming of financial needs for participation in the WCPFC in fishery sector budgets as well as in emerging national climate change policies.

4. Policy conformity and country drivenness

The table below summarizes the current situation for the three countries with respect to the status of pertinent international legal instruments and conventions.

Instrument	Status		
	Philippines	Indonesia	Vietnam
UNCLOS	Ratified	Ratified	Ratified
UNFSA	Ratified	Being processed	Being processed
WCPFC Convention	Ratified	Ratified	Not yet considered
FAO Code of Conduct	Participant	Principles included in new Fisheries Law	Being implemented
FAO IPOAs	IUU done	Not done (except IUU)	IUU done
FAO Compliance Agreement	Initiated	Accepted	Initiated
CCSBT Convention	Not applicable	Ratified	Not applicable
IOTC Convention	Not applicable	Ratified	Not applicable
CTI	Approved RPOA	Approved RPOA	Not applicable

Combined with the strengthening of relevant laws, policies and institutions, and information contributed from activities enabled under the project, all countries would become increasingly able to participate in the management of transboundary oceanic fish stocks in the Convention Area, through active involvement in, and meaningful contribution to, the Commission's work.

5. Coordination with related initiatives

The project will fill an important gap between the management support provided to the UNDP/GEF Pacific SIDS through the Pacific Island Oceanic Fisheries Management Project (PIOFM), and the numerous initiatives on marine and coastal management in the East Asian Seas. PIOFM has assisted Pacific SIDS in building capacity in fisheries management, legal and compliance issues, and provided scientific advice and assistance, delivered through regional organisations, notably the Pacific Islands Forum Fisheries Agency (FFA) and the Secretariat of the Pacific Community (SPC). The new phase, together with FAO on Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS) will focus on reforming laws and policies for implementation of WCPFC measures in the Pacific with a special emphasis on smaller SIDS. The three focal countries will not benefit directly from this project, but may be able to share capacity-building opportunities.

The Project will also coordinate its efforts with FAO's global Programme on Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas Beyond National Jurisdiction (ABNJ) which involves five t-RFMOS (including WCPFC) and will focus on sustainable and efficient tuna fisheries management through application of EAFM, reducing IUU fishing and mitigating adverse impacts of bycatch on biodiversity. The role of WCPFC within FAO/GEF ABNJ programme has become clearer since the submission of the PIF and WCPFC is responsible for improving information and management of sharks with the Inter-American Tropical Tuna Commission (IATTC) and to enhance bycatch management through the SPC. The GEF ABNJ programme mostly focuses on areas near the Pacific Islands and does not have much coverage of the WPEA area. However, there is a need

to cooperate on data collection and information sharing between the WPEA area and ABNJ on bycatch issues and sharks. This data and information will be provided to WCPFC through the proposed Project, and will be incorporated into the WCPFC database for better analyses and management of sharks and bycatch within its entire convention area, including ABNJ. The WCPFC will ensure that these thematic linkages are established and that valuable experiences and lessons learned are exchanged on activities of mutual interest.

Through PEMSEA, and its new project under the EAS programmatic approach on Scaling up the Implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA), the Project will coordinate its activities with the East Asian LME initiatives of relevance, including:

- The UNEP/GEF Project, Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand funded by GEF-3 and implemented by UNEP in partnership with seven riparian states bordering the South China Sea. The project has resulted in several spin off projects currently under implementation or development on fisheries and establishment of fisheries refugia, with which synergies will be sought.
- The UNDP/GEF Sulu-Celebes Sustainable Fisheries Management Project with participation of Indonesia, Malaysia and the Philippines. Expected outcomes of the project include: strengthening of institutions and introduction of reforms to catalyse implementation of policies on reducing overfishing and improving fisheries management; increased fish stocks of small pelagics through the implementation of best fisheries management practices in demonstration sites; and capture, application and dissemination of knowledge, lessons and best practices. This project is currently towards its final months ending in September 2014 and a successor project to implement the SAP will be initiated in GEF-6. For the work in Indonesia and the Philippines, coordination will be done at the regional level but primarily at the national level as the national implementing partners are the same.
- The UNDP/GEF project Arafura and Timor Seas Ecosystem Action Programme. This ecosystem is located at the intersection of the two major LMEs, the Indonesian Seas to the north and northern Australian waters to the south. Indonesia, Timor Leste and Australia are the participating countries in the project. The objective of the project is to ensure integrated, cooperative, sustainable, ecosystem-based management of the living coastal and marine resources in the Arafura and Timor Seas, through the formulation, intergovernmental adoption and initial implementation of a regional Strategic Action Programme. This project is winding down as it will end in June 2014. A follow-up SAP implementation project will be submitted in GEF-6. There is no thematic overlap in the projects as they have different focus. Nevertheless, there is scope for coordination through common implementing partners in Indonesia through the MMAF.
- Implementation of the Yellow Sea LME Strategic Action Programme for Adaptive Ecosystem-Based Management that is part of the EAS programme. Lessons will be shared on mechanisms and approaches for regional cooperation on ecosystem-based management.

The Project will also closely work with PEMSEA to ensure that its knowledge management activities become an integral part of the Knowledge Platform for Building a Sustainable Ocean-Based Blue Economy that will be established by PEMSEA.

The project will also coordinate its activities with the FAO/GEF project on Strategies for Fisheries Bycatch Management, which forms part of the GEF-funded CTI Programme. This project will engage the governments and private sector in Indonesia, Papua New Guinea, Philippines, Vietnam and Thailand to develop and adopt best practice guidelines for by-catch management in the shrimp trawling industry.
Finally, the project will establish close linkages with the ADB/GEF project on Coastal and Marine Resources Management in the Coral Triangle: Southeast Asia (CTI-SEA), which will support the long-term conservation and sustainable management of coral reef ecosystems and other coastal and marine resources.

The proposed project is however the only one of all the initiatives in the East Asian Seas and the CTI that is currently targeting the management of highly migratory oceanic fish stocks although it is anticipated that new tuna-related projects will be formulated to address targets under Goal 2 of the Regional Programme of Action (RPOA) of the CTI. .

The project will also coordinate with IW projects in the region that are in the pipeline of a number of GEF agencies. These include the following:

- UNDP-GEF Global Sustainable Supply Chains for Marine Commodities which is now in PPG phase and covering WPEA countries Indonesia and Philippines. The two projects have shared focus particularly on the supply chains and the engagement of the private sector and in commodities, but potentially only for tuna in Indonesia. The other commodities include snapper (Indonesia) and blue swimming crab (Philippines and Indonesia). Overlap in tuna work in Indonesia will be avoided through coordination with the design team of the Marine Commodities project. Complementation will be achieved through engagement with the private sector and supply chain work once the Marine Commodities project is in place.
- UNEP-GEF Implementing the Strategic Action Programme for the South China Sea which is cleared for WPI for the last work program in GEF-5. This project will implement the SAP and would have geographic overlap in the three countries. There is no overlap in thematic focus as this project is primarily about coastal management and not oceanic fisheries management. Nevertheless, opportunities for synergies in policy work will be explored with the PPG team for the UNEP project.
- FAO-GEF Enabling Transboundary Cooperation for Sustainable Management of the Indonesian Seas which cleared for WPI for the last work program in GEF-5. This is a foundation phase project to undertake a TDA and develop the SAP for the Indonesian Seas LME. The geographic overlap is in Indonesia although thematically it is expected that there is not much overlap considering the foundational stage of the project.

The preceding discussion shows the plethora of IW projects in the region. This project forms part of the EAS Program implemented by UNDP together with two other projects in the Yellow Sea and Implementation of the SDS SEA where program coordination is done through PEMSEA. There is value added in having a more formal coordination mechanism between and among UNDP, UNEP and FAO projects in the region to maximize synergy and impacts. Beyond this project, UNDP will seek dialogue with other GEF agencies towards this end.

6. Financial modality

GEF funds will be provided as a grant to support the development of sustainable capacities among national institutions and stakeholders. The table below summarizes how the project will be funded.

Total Project Budget per Outcome:

Project components	GEF financing		Co-financing		Total (US$)
	US$	%	US$	%	
Component 1	700,000	16.7	3,500,000	83.3	4,200,000
Component 2	1,228,899	7.7	14,656,000	92.3	15,884,899
Component 3	198,318	24.4	613,525	75.6	811,843
Project Management	106,361	8.9	1,090,000	91.1	1,196,361
Total Project Cost	2,233,578	10.1	19,859,525	89.9	22,093,103

Incremental costs summary: The total baseline of the project amounts to around US$30,000. The costs of the incremental activities required to contribute to global benefits include US$2,233,578 to be funded by the GEF and US$19,859,525 to be provided by co-financers, for a total of US$22,093,103. All project co-financers have stated their commitment to the project through written letters signed by their legal representatives. In summary, the GEF Alternative has a total cost of US$22,093,103 of which 10% will be provided by GEF (excluding PPG resources).

7. Cost-effectiveness

The regional approach to sustainable management of highly migratory fish stocks promoted by this project will be conducive to cost-effectiveness as it will promote sharing of experiences between Indonesia, Philippines and Vietnam on how to meet the requirements for full and effective participation in the WCPFC. The WCPFC in turn can pool its efforts in the EAS under one consistent project minimising its transaction costs for strengthening the governance of the EAS with respect to management of oceanic tuna. The project will also help to reduce the costs of sustainable management by i) helping to ensure that threats are addressed at source (a pre-emptive rather than reactive approach) and ii) maximising the involvement in, and commitment to, sustainable management of oceanic tuna stocks by a wide range of stakeholders including the tuna industry and environmental NGOs. Cost-effectiveness will be further promoted by working with, and through, existing national institutions that already have organisational and logistical capacities established at national and provincial levels, thereby limiting the level of investment that the project will need to make in such capacities. In addition, it is important to note that the leverage factor for this project is almost 1:9, based on country and non-country level commitments for co-financing of almost USD20 million.

8. Sustainability

Socio-economic sustainability
The Project will promote social sustainability through inclusive and participatory approaches for all project activities. Detailed area profiles and National Tuna Management Plans (NTMP) have been prepared for each country, which include a review of socio-economic, demographic, biophysical information as well as identification of local and national stakeholders and their respective roles in the project. Assessment of climate change impacts on oceanic fish stocks and development of adaptive management regimes will contribute to sustainability of catches and incomes from tuna fisheries. Analysis of supply-chains and certification of selected fisheries will further enhance the sustainability of export oriented tuna fisheries.

Environmental sustainability
Environmental sustainability will be ensured by the application, initially on a pilot scale, of an Ecosystem Approach to Fisheries Management (EAFM). The Project will lead to improved monitoring of oceanic tuna fisheries in the EAS and increased coverage, and reduction of catch of ETP species, which will lead to more sustainable harvesting of tunas and improved functioning of the large marine ecosystems of the EAS. The Project will also enhance resilience to climate change by building adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions.

Financial and institutional sustainability
To ensure that project activities are continued and benefits sustained beyond the time frame of GEF funding, the project approach and strategy will be internalized by government-level and local institutions through support to fishery management reform at national level. Financial sustainability will also be addressed through strong involvement of the private sector, e.g. the tuna industry, in promotion of use of

market-based instrument for sustainable harvesting of tunas, such as MSC certification. At regional and sub-regional level, financial and institutional sustainability will be guaranteed by the continued support of the WCPFC to the full participation of Indonesia, Philippines and Vietnam in the Commission and will be further strengthened by coordination with PEMSEA and collaboration with EAS LME programmes.

WCPF Convention requires its members to fully comply with the work of the Commission. Full compliance is the member's obligation although it is recognized that there are national capacity challenges towards full compliance which this project seeks to address. Through this project's support in building capacity and related work, the three participating countries will have an opportunity to gradually take over key project activities such as tuna catch data collection within 3 years with their own budget. Indonesia and the Philippines are members of the WCPFC while Vietnam is on its way to full membership.

9. Replicability

The Project supports replication of good practices in oceanic tuna management through support to policy and institutional reform in the fishery sector that will lead to improved practices in monitoring, enforcement and compliance spreading to new provinces and FMAs in the participating countries not already covered by the Project. Replication of the practices promoted by the project, and lessons learnt in its application also have further replication potential in other t-RFMOs and experiences will be shared through the Project and WCPFC websites, participation in knowledge sharing events, such as IWLearn, and publication of papers and reports. The adaptive management strategies for management of oceanic tunas under climate change conditions also have a significant replication potential and will be shared widely through the same channels supported by the Projects Knowledge Management Component. Finally, the promotion of market-based instruments and incentives, such as certification schemes will further support the scaling up and replication of sustainable tuna harvesting in the EAS and beyond.

3. PROJECT RESULTS FRAMEWORK

This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD: **INDONESIA - Outcome 5:** Climate Change and Environment: Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities **PHILIPPINES- Outcome 4:** Resilience Towards Disasters and Climate Change: Adaptive capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters, and climate change **VIETNAM – Focus Area One:** Inclusive, Equitable and Sustainable Growth						
Country Programme Outcome Indicators:						
Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): **Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance**						
Applicable GEF Strategic Objective and Program: IW-2						
Applicable GEF Expected Outcomes: 2.1, 2.2, 2.3, 2.4						
Applicable GEF Outcome Indicators:						
	Expected Outcomes	**Indicator**	**Baseline**	**Targets** **End of Project**	**Source of verification**	**Risks and Assumptions**
Project Objective[15] To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission		Status of harvesting of shared oceanic tuna stocks in the WCPF Convention area in the EAS vis-à-vis sustainability criteria set by the WCPF Convention Application of market-based approaches to sustainable harvesting of oceanic tunas	WCPF Convention and its adopted Conservation and Management Measures (CMMs) on e.g. IUU fishing, by-catch. Current coverage in average of the three countries fishery monitoring is around 15%. Little compliance with bycatch reduction requirement No reflection of climate change in the current management framework Tuna supply chains not well documented, no oceanic tuna fisheries in the EAS certified	Sustainable harvesting of oceanic tunas in the EAS, including: Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40% Reduction of catch of ETP species by 25% Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions through revision of management framework Progress to possible certification of at least two oceanic tuna fisheries in the EAS, through FIPs	WCPFC reports and statistics	Changes in policy and decision makers, or other events beyond the control of the project, lead to changes in support for the project objective to improve the sustainable management of highly migratory species in the EAS

[15] *Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR*

activities						
Component 1:[16] Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory stocks	1.1 Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and Illegal, Unreported and Unregulated (IUU) fishing in the POWP LME and the EAS LMEs	**Regional** (WCPF Convention area): Status of participation in WCPFC activities (CMMs, compliance monitoring, MCS etc.) and membership (CCM) **Sub-regional** (Indonesia, Philippines, Vietnam): Establishment of WCPFC/PEMSEA Consultative Forum (CF) to coordinate monitoring of oceanic tuna stocks across EAS LMEs in association with PEMSEA ,WCPFC and others	**Regional:** Close to full participation by Indonesia and Philippines as members; Vietnam not compliant in some aspects and CNM status **Sub-regional:** Three countries work cooperatively within WPEA project but no coordinating mechanism which includes all fishing entities in SCS and other LMEs	**Regional:** All three countries fully compliant with WCPFC requirements, and all relevant CMMs. Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40% **Sub-regional:** Countries once a year share information which contributes to development of harvest policy for oceanic tunas across the relevant LMEs and within the WCPFC framework; project coordinates with the EAS Program through the PEMSEA Resource Facility	**Regional:** Annual forum meetings with extensive public reporting. Annual statistical reports and technical reports showing improved coverage and data quality. Signed agreement between WCPFC and PEMSEA	Political support for regional coordination activity, and participation by all parties and fishing entities. Membership acceptable to WCPFC (Vietnam)
		National (common) Formation of task force to prepare and package information for CF Comprehensive national databases for all aspects of oceanic tuna fisheries, including logsheet data, port sampling data, vessel register, MCS data, and bycatch. Comprehensive VMS, IUU monitoring and catch certification system in place for each country	**Indonesia:** National logbook monitoring system gradually being established under PSDKP MMAF, mainly starting to cover large vessels (>30GT) and not fully integrated with fisheries data. Species composition by gear by species currently available under port sampling programme covering only FMAs 716 (Bitung), 717 (Sorong) 714 (Kendari); Limited data from surveys by research vessel. Statistical data for AW fisheries are available, but biological data and scientific database to verify currently is not available (FMAs 713, 714, 715). VMS and catch certification scheme under development and limited application to deter IUU. No mechanism in place for	**Indonesia:** Logbook coverage of all commercial gears and fleets improved up to 50% for fishing vessels >30 GT (>50%); Coverage of artisanal fleet landings improved up to 50%; catch of retained and by-catch species well documented. Dependent and independent data available (port sampling, observer, logbook, surveys); Scientific database for archipelagic fish resources developed and implemented; extend port sampling to cover AW FMAs up to 25% VMS and catch certification system in place to address IUU. National task force in place for packing of	Reports from CF VMS compliance, IUU and catch certification reporting Database holdings listed Reports of task forces in each country with information packaged for CF	Resources including trained manpower, available to implement monitoring systems and establish databases

[16] *All outcomes monitored annually in the APR/PIR.*

			regional knowledge sharing on oceanic tuna though CF **Philippines:** Current monitoring coverage for small and medium scale tuna fisheries is less than 10% (development of prototype for small scale fisheries). Current monitoring by VMS limited to PS/RN Phil-flag vessels operating in WCPO HSP1 and other countries' EEZs; limited application of VMS in Phil waters to address IUU. Delays in manual submission of logsheets resulting in proposing an elogbook system to facilitate timely submission. No mechanism in place for regional knowledge sharing on oceanic tuna **Vietnam:** Monitoring systems established in three central provinces (Binh Dinh, Phu Yen & Khanh Hoa) under WPEA in compliance with WCPFC requirements, but not covering for all gears and all other provinces. Current coverage of monitoring landing data is around 35% No bycatch data are currently documented No integrated database system established No mechanism in place for regional knowledge sharing on oceanic tuna. VMS scheme being implemented but not yet integrated with fisheries data. VMS, IUU and catch certification scheme not in place - under development and initial	information for CF **Philippines:** Monitoring coverage for small and medium scale tuna fisheries improved by 30%. VMS monitoring and/or other technologies applied to selected tuna fishers operating in the Phil national waters and WCP CA to reduce IUU elogbook developed and pilot tested ready for implementation and adoption by stakeholders. National task force in place for packing of information for CF **Vietnam:** Monitoring systems expanded to 6 other provinces; increased coverage and quality of logsheet data for all tuna fishing fleets. Landing data coverage of tuna fishing fleets significantly improved to 70%. Catch of retained and by-catch species well documented. Integrated database established within National Fisheries Statistics system, including data entry, verification and database maintenance. National task force in place for packing of information for CF VMS scheme being developed		

			implementation.	for selected fisheries to apply for catch certification scheme and to reduce IUU		
	1.2 Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam, to integrate climate change impacts on highly migratory stocks into management regimes	Prediction of climate change impacts on oceanic fisheries and development of adaptive management strategies Capacity building to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies and incorporate these into management regimes	**Sub-regional:** Some information available on impacts on POWP LME but model outputs not yet extended to EAS and integrated with existing data	**Sub-regional**: Climate change impacts on EAS and western part of POWP LME predicted and appropriate adaptive management strategies developed	**Sub-regional:** Workshop outputs and climate change stakeholder meeting reports Consultancy reports Reports and attendance of training and capacity building courses	Expertise, appropriate climate change models and associated data available to predict impacts, as well as national/regional capacity to undertake necessary ongoing research and monitoring
			Indonesia: Though National Climate Change Council established in 2008 (Presidential decree no 46/2008), climate change impacts on oceanic fisheries and its ecosystems not studied and current analytical capacity in this area is very limited. **Philippines:** National climate change strategy developed, but impacts on oceanic fisheries and its ecosystems not yet studied and current capacity limited. **Vietnam:** Lack of trained/skilled personnel and no existing assessment of capacity needed to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies.	**Indonesia:** Task force established to study climate change impacts on oceanic fishery sector; results of preliminary research/modelling on oceanic fisheries (SKJ) available; adaptive management strategies to mitigate impacts of climate change developed. **Philippines:** Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more skilled personnel trained to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies. **Vietnam:** Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more technical staff, policy & decision makers to integrate climate change impacts on highly migratory stocks.	Reports with relevant data to support modelling activities and development of indicators of change and adaptation success.	
	1.3 Climate change concerns mainstreamed into national	Incorporation of oceanic fisheries indicators and modelling outputs into overall national climate change strategy	**Indonesia:** National policy formulation specific to oceanic fisheries under climate change is very limited, but some information available for adjacent POWP LME, as a suitable	**Indonesia:** Climate change adaptive management strategy for oceanic fisheries developed and incorporated in national cross-sectoral climate change strategy.	Inclusion of oceanic fisheries in national climate strategy, policy and legislation, as	Necessary outputs available from 1.2 (adaptive management strategies) and political acceptance of

	fishery sector policy in Indonesia, Philippines and Vietnam	Policies/strategies/plans/program that integrate climate change into national fisheries policies and even legislation/regulations.	model/precedent. **Philippines:** No pool of experts to mainstream climate change concerns into national fisheries sector policy. No specific regulations on climate change related to fisheries management established. RA9729: Philippine Climate Change Act of 2009 has served as the basis for the creation of the Climate Change Commission. **Vietnam:** No inputs to national policy formulation on climate change currently available for Vietnam, nor to oceanic fisheries.	**Philippines:** Policies/strategies/plans/programs that integrate climate change into national fisheries regulations approved and/or implemented. **Vietnam:** Climate change concerns articulated and integrated into the national fisheries policy	necessary	any recommendations and guidelines
Component 2: Implementation of policy, institutional and fishery management reform	2.1 Enhanced compliance of existing legal instruments at national, regional and international levels	Legal instruments fully compatible with WCPFC requirements, and compliance with WCPFC management requirements, including compliance with CMMs, ROP, RFV and application of reference points, and harvest control rules	**Regional:** No collaborative governance on tuna fisheries among the three countries and limited compliance with technical application of WCPFC requirements due to limited involvement in WCPFC's technical processes (SC and TCC)	**Regional: Sub-regional** collaborative governance on tuna fisheries established. Participation in WCPFC's technical processes enhanced through full participation in WCPFC technical meetings (SC, TCC and other technical WG meetings)	**Regional:** Compliance monitoring reports (CMRs) at TCC, annual reports to SC (Part 1) and TCC (Part 2) and participation in regular sessions of WCPFC.	Funding and personnel available to attend meetings;

			Indonesia: Some fisheries legislation under revision to accommodate all WCPFC requirements, framework for AW management through FMAs currently minimal but progressively being developed (7 FMAs); no RPs and HCRs considered yet as a scientific procedure. **Philippines:** Existing FAD management policy and other CMMs needs to be revisited for compliance, but Philippines currently compliant with most of the WCPFC CMMs. **Vietnam:** Limited compliance with CMMs or other management arrangements; no RPs and HCRs considered yet as a scientific procedure.	**Indonesia:** Tuna management strengthened through applying scientific procedure using Reference Points (RPs) and Harvest Control Rules (HCRs) at national level once applied at regional level; Archipelagic Water (AW) management regime established. **Philippines:** Compliance with CMMs of special concern to the Philippines primarily FADs committed. **Vietnam:** Incorporation of compatible measures into national legal frameworks and incorporation of relevant WCPFC requirements completed. Full application of relevant CMMs and development of reference points (RPs) and harvest control rules (HCRs) at national level.	Legislation reviewed/revised, achieving compatibility with WCPFC requirements Reference points and HCRs developed and incorporated into national tuna management plans	Country status can be resolved and full membership in WCPFC achieved (Indonesia and Vietnam)
	2.2 Adoption of market-based approaches to sustainable harvest of tunas	Supply chain characterized for tuna fishery sector, including processing, and custody systems **established** for tuna fisheries Improvements to fisheries to meet sustainable fishery standards for selected fisheries Number of private sector companies that cooperate in relevant project activities	**Indonesia:** Limited data available on supply chain, and monitoring and custody system not established for any fishery. Growing market demand for sustainable certification but limited eco-certification conducted 30 companies already cooperate in project activities **Philippines:** Supply chain complex, information available but not compiled Growing market pressure for ecolabelling certification relating to sustainable	**Indonesia:** Supply chain characterized for selected tuna fisheries, monitoring systems established and information annually updated; custody system in place for selected fisheries. Eco-certification achieved for selected tuna fisheries. Sustained participation of 30 companies and increase in number of companies by at least 5 as appropriate **Philippines:** Supply chain fully documents and annually updated. Several tuna fisheries progressing towards full certification. Sustained participation of 16	Reports with characterization of supply chains and information regularly updated and made available to CF Reports documenting eco-certification for selected fisheries, with custody systems	Selected fisheries able to meet required standards

			fishing. Several pre-assessments initiated. 16 companies already cooperate with BFAR **Vietnam:** Incomplete data available on supply chain and chain of custody scheme not established for any fishery MCS pre-assessment of yellowfin/bigeye handline and longline fishery unfavourable and need for FIP identified. 9 companies already cooperate in project activities	companies and increase in number of companies by at least 5 as appropriate **Vietnam**: Supply chain characterized for tuna fisheries, with emphasis on export-oriented fisheries, and monitoring system established; CoC in place for selected tuna fisheries. FIP process implemented for longline/handline fishery Sustained participation of 9 companies and increase of companies by at least 5 as appropriate		
	2.3 Reduced uncertainty in stock assessment of POWP LME and EAS LMEs highly migratory fish stocks, and improved understanding of associated ecosystems and their biodiversity	Integration of data from oceanic tuna fisheries in Indonesia, Philippines and Vietnam into regional assessments of target tuna species Sub-regional/national assessments for target species; regular national assessments of target species Documentation and risk assessment of retained species and by-catch, including ETP species, in all fisheries/gears	**Sub-regional:** Assessments not explicitly available on sub-regional scale because of data gaps and lack of assessment model spatial structure	**Sub-regional:** Sub-regional assessments undertaken with data available and assessment model restructured	**Sub-regional:** Sub-regional assessments reported as component of regional assessments	WCPFC science provider able to undertake sub-regional assessment within new model area Resources available to undertake all necessary activity Necessary data collected to undertake national stock assessment and scientists adequately trained Necessary data gathered to undertake risk assessments of selected species
			Indonesia: Some target species data available from WPEA-1 with coverage of FMA 716, 717 and 714 for assessment. National stock assessment board exists and plans for national assessment underway. Limited information on retained/by-catch species and no risk assessment study for tuna by-catch and ETP species **Philippines:** Limited understanding of ecosystem supporting the oceanic tuna fishery. Retained species and by-catch species for all gears incompletely characterized.	**Indonesia:** Indonesian data included in regional and sub-regional assessments; National assessments for target species completed and annually updated. Risk assessment of retained, by-catch and ETP spp. undertaken. (National Commission for fish stock assessment) **Philippines:** Comprehensive observer, catch sampling undertaken and risk assessment available for by-catch and ETP species.	Reports of assessment outcomes at regional and national level Updated FIPs with data incorporated to eventually meet requirements for full MSC assessment. Reports with national stock assessments to guide implementation of National Tuna Management Plan	

			Vietnam: Data collection on target species initiated under the WPEA project, but coverage incomplete for some fisheries; data not fully incorporated in regional assessments; Limited research on retained/by-catch species conducted but not regularly studied. Research surveys using two gears undertaken - no national stock assessment currently available but planned.	**Vietnam:** Annual total catch estimates produced and biological data collected for national and/or regional stock assessment of target tuna species. Information for risk assessment collected of retained and by-catch species and assessments undertaken National level stock assessments of target tuna undertaken		
	2.4 Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced by-catch of sea turtles, sharks and seabirds	Application of ecosystem modelling to EAS EEZs to complement those for POWP LME and EEZs Incorporation of EAFM principles in national tuna management plans Pilot scale application of EAFM for oceanic species at selected sites/fisheries Reduction of by-catch of endangered, threatened and protected (ETP) species, such as sea turtles, sharks and seabirds	**Sub-regional:** Ecosystem models available for POWP LME but not EAS	**Sub-regional:** Application of ecosystem models to EAS	**Sub-regional:** Model outputs applied to EAFM at national level	Funding and resources available to support sub-regional modelling Capacity building to support modelling activity and interpretation
			Indonesia: Limited data collected for the application of ecosystem modelling; Some commitment to EAFM exists through community-based activities. NTMP lacking EAFM components Turtle by-catch studied and some mitigation measures underway; shark catch and seabird interactions not well documented; low level of compliance. **Philippines:** No study of EAFM for oceanic fisheries, legal basis uncertain. NTMP may lack EAFM compatibility Turtle by-catch studies and some mitigation measures underway; shark catch and seabird interactions poorly documented; low level of compliance. **Vietnam:**	**Indonesia:** Data collection to support application of appropriate ecosystem models. EAFM strategy developed for trial implementation in one FMA. EAFM conditions incorporated in revised NTMP Mitigation measures applied in selected fisheries; compliance with shark and sea turtle CMMs and NPOAs committed. **Philippines:** Potential study area that applies EAFM for oceanic fisheries selected. NTMP revised to include EAFM. Mitigation measures applied; Compliance with shark CMMs committed, Smart Gear developed. **Vietnam:**	EAFM applied to selected tuna fisheries/sites Revised NTMPs with EAFM included Linkage to mitigation measures in adjacent areas; compliance with a range of CMMs in EAS	

			No EAFM application and legal basis uncertain No inclusion of EAFM in NTMP Few data on ETP species and no compliance on bycatch mitigation	Pilot application of EAFM at one selected site/fishery Revised NTMP with EAFM included Compliance with ETP CMMs and NPOAs		
Component 3 **Knowledge sharing on highly migratory fish stocks**	3.1 Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems	Monitoring and knowledge sharing between POPW LME and EAS LMEs for target and associated species and their management Commitment to information sharing at all levels amongst WPEA members and beyond Current provincial/FMA resource profiles updated and disseminated Participation in global knowledge sharing events	Limited information shared via WCPFC mechanisms, meetings and WPEA website and limited outreach to stakeholders at national and sub-regional level No interagency cooperation mechanism such as CF established Limited participation in knowledge sharing events, including IWLearn.	Active website maintained in collaboration with PEMSEA, and commitment to preparation and dissemination of project publication, newsletters and other information products Consultative Forum activity reported. Increased participation in international and (sub-)regional knowledge sharing events (one per year), such as IWLearn and related activities and the EAS Congress	Website promotion with hits recorded; feedback from stakeholders; project newsletter widely distributed. Presentations at international and (sub-)regional knowledge sharing events available on IWLearn and EAS websites	Regional and national commitment to sharing of information on highly migratory stocks

4. TOTAL BUDGET AND WORKPLAN

Award ID:	00077221	Project ID:	00088145
Award Title:	Regional: Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas		
Business Unit:	PHL10		
Project Title:	Regional: Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas		
PIMS no.	4753		
Implementing Partner (Executing Agency)	Western and Central Pacific Fisheries Commission (WCPFC)		

Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
COMPONENT 1: REGIONAL GOVERNANCE FOR BUILDING REGIONAL AND NATIONAL ADAPTIVE CAPACITY OF INDONESIA, PHILIPPINES AND VIETNAM IN THE MANAGEMENT OF HIGHLY MIGRATORY FISH STOCKS										
Outcome 1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and illegal, unreported and unregulated (IUU) fishing in the POWP LME and EAS LMEs.										
Outcome 2: Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes										
Outcome 3: Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam										
					Year 1	**Year 2**	**Year 3**	**Year 4**	**Total**	
WCPFC	**62000**	**GEF**	71200	International Consultants	$10,000	0	0	0	$10,000	1
			71300	Local Consultants	$40,000	$40,000	$40,000	0	$120,000	
			72100	Contractual services	$60,000	$120,000	$135,000	0	$315,000	
			75700	Training, workshops and conference	$125,000	$65,000	$65,000		$255,000	
				Total Component 1	**$235,000**	**$225,000**	**$240,000**	**0**	**$700,000**	
COMPONENT 2 : IMPLEMENTATION OF POLICY, INSTITUTIONAL AND FISHERY MANAGEMENT REFORM										
Outcome 1: Enhanced compliance of existing legal instruments at national, regional and international levels										
Outcome 2: Adoption of market-based approaches to sustainable harvest of tunas										
Outcome 3 Reduced uncertainty in stock assessment of POWP LME and EAS LMEs highly migratory fish stocks , and improved understanding of associated ecosystems and their biodiversity										
Outcome 4: Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stocks and reduced by-catch of sea turtles, sharks and seabirds										
WCPFC	**62000**	**GEF**	71200	International Consultants	$0	$10,000	$0	0	$10,000	2

			71300	Local Consultants	$38,000	$40,000	$45,000	0	$123,000	
			72100	Contractual services	$267,000	$452,000	$336,000	0	$1,055,000	
			71600	Travel	$13,633	$13,633	$13,633	0	$40,899	
				Total Component 2	**$318,633**	**$515,633**	**$394,633**	**0**	**$1,228,899**	
COMPONENT 3: KNOWLEDGE SHARING ON HIGHLY MIGRATORY FISH STOCKS										
Outcome 1: Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems										
WCPFC	**62000**	**GEF**	71200	International Consultants	$25,000	0	0	0	$25,000	3
			71300	Local Consultants	0	0	0	0	$	
			72100	Contractual services	$35,000	$35,000	$78,318	0	$148,318	
			71600	Travel	$10,000	$10,000	$5,000	0	$25,000	
				Total Component 3	**$70,000**	**$45,000**	**$83,318**	**0**	**$198,318**	
PROJECT MANAGEMENT, including Monitoring and Evaluation										
WCPFC	**62000**	**GEF**	71200	International Consultants	0	0	0	0	$	4
			71400	Contractual services – Indiv	$15,000	$15,000	$15,000	0	$45,000	
			71600	Travel	$10,000	$10,000	$10,361	0	$30,361	
			74100	Professional services	$25,000	$3,000	$3,000	0	$31,000	
				Total Management	**$50,000**	**$28,000**	**$28,361**	**0**	**$106,361**	
				PROJECT TOTAL	**$673,633**	**$813,633**	**$746,312**	**0**	**$2,233,578**	

Summary of Funds: [17]

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Total
GEF	$673,633	$813,633	$746,312	0	$2,233,578
WCPFC	$1,091,667	$1,091,667	$1,091,666	0	$3,275,000
Governments of Indonesia, Philippines and Vietnam(cash and in-kind)	$5,142,842	$5,142,842	$5,142,841	0	$15,428,525
UNDP	$385,334	$385,334	$385,332		$1,156,000
TOTAL	$7,293,476	$7,433,476	$7,366,151	0	$22,093,103

[17] *Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...*

BUDGET NOTES

Component SRF Outcome Budget Note	Donor name	Budget code	Budget Description	Time frame	Estimated Cost (USD)	Targeted Inputs/Outputs
Component 1 SRF Outcomes 1,2 and 3 Budget Note 1	**GEF**	71200	**International Consultants:**			
			Climate Change Modelers (2)	3 days each plus travel	**10,000** (Honorarium and travel @ 5000 each)	➢ Provide and discuss model outputs to sub-regional Climate Change workshop (year 1) on impacts of climate change on oceanic tuna fisheries ➢ Identify range of possible adaptive responses and explore adaptation scenarios ➢ Characterize uncertainty in the predictions
		71300	**National Consultants:**			
			National Tuna Coordinators (3)	3 years	**75,000** (~8,300 per coordinator, 3 countries; some national travel included)	➢ Coordinate all project activities at national level, ➢ manage national funding, and assist with preparation of annual work plan ➢ organize inputs to workshops, training and national consultants
			National climate change specialists (3)	3 years	**15,000** (Retainer 5,000 per person over 3 years)	➢ Provide national inputs to sub-regional climate change workshop ➢ coordinate national activity to develop adaptive management guidelines and assist with development of climate change policy, ➢ coordinate (with NTC) national stakeholder workshops.
			National policy and legal consultants (3)	3 years	**30,000** (10,000 per consultant; l ongoing inputs over 3 years)	➢ Review policy and legal instruments as climate change adaptive guidelines developed and policy mainstreamed; ➢ Review and recommend necessary changes to legislation and National Tuna Management Plan (NTMP) as necessary, in the light of climate change decisions ➢ Provide key input to climate change workshops
		72100	**Contractual Services:**			

Component SRF Outcome Budget Note	Donor name	Budget code	Budget Description	Time frame	Estimated Cost (USD)	Targeted Inputs/Outputs
			Annual catch estimates workshops	Annual, 3 days; April each year	**180,000** (20,000 per annual workshop, 3 countries); includes preparatory activity, analyses and database costs)	➢ Annual catch estimates workshop in each country, prior to annual Consultative Form; ➢ data compiled and reviewed from logsheets, port sampling , supply chain and other data ➢ National integrated database consolidation ➢ annual catch estimates prepared and annual report Part 1 for WCPFC compiled ➢ coordinated and organized by NTC
			National climate change workshops (3)	Year 2	**60,000** (20,000 per workshop)	➢ With the involvement of a wide range of stakeholders, consider outputs of sub-regional climate change workshop at national level ➢ Frame adaptive guidelines for management. taking account of uncertainty ➢ Coordinated and organized by national climate change specialists
			National climate change policy and training workshop	Year 3 4 days	**75,000** (25,000 per workshop and preparation; 10-20 persons in each case**)**	➢ Training workshop after adaptive guidelines for management adopted; ➢ policy discussed and enabling legislation promulgated; changes to NTMP discussed. ➢ Coordinated and organized by national climate change specialists
		75700	**Professional services (implementing partner)**			
			WCPFC/PEMSEA Consultative Forum	June each year	**160,000** (wide participation, 50,000 budgeted p.a; co-financing; necessary; includes travel DSA for selected participant, and defray meeting costs)	➢ Consultative Forum held in the sub-region with wide participation from countries, regional organizations (PEMSEA, SEAFDEC, WCPFC), industry stakeholders, other fishing entities in the region, NGOs and observers from related projects ➢ Data holdings, monitoring and assessment activities reviewed ➢ IUU and MCS reporting ➢ Other project activities reported and discussed ➢ increased collaboration explored
			WPFC Scientific Committee	August each year; Pohnpei 2105; alternate locations 2014,2016	**45,000** (Two persons per country per year @2,500 each; travel and DSA)	➢ Present and defend Annual Report Part 1 ➢ Contribute to scientific processes of the WCPFC ➢ Contribute to management decisions and recommendations forwarded to Regular Session ➢ Scientific capacity building

Component SRF Outcome Budget Note	Donor name	Budget code	Budget Description	Time frame	Estimated Cost (USD)	Targeted Inputs/Outputs
			Regional climate workshop	Year 1	**50,000**	➢ Climate change models presented by international consultants and reviewed by meeting ➢ Reliability of models assessed and uncertainty characterized ➢ Information and experience contributed by countries and data gaps ➢ Adaptive management guidelines discussed and strategies identified
Component 2 SRF Outcomes 4, 5 and 6 Budget Note 2	**GEF**	71200	**International Consultant:**			
			Stock assessment consultant	One week	**10,000** (Travel, DSA and honorarium)	➢ Present and explain results of sub-regional stock assessment (from 2014 onwards) after changes to M-CL model structure ➢ Provide stock assessment refresher training ➢ Joint presentation with national consultants ➢ Supervise trial application of national data to national stock assessments
		71300	**National Consultants** :			
			FAD Management Policy Review (Philippines)	2 weeks	**8,000**	➢ Analysis of available FAD data for Philippines waters and HSP ➢ Review of existing FAD Management Plan ➢ Report with recommendations for revisions
			National legislation review consultants	2nd year, each country	**25,000**	➢ Review of all existing legislation relating to WCPFC requirements and oceanic fisheries management ➢ Prepare and present report to national Govt
			National supply/traceability consultants	First year, each country	**25,000**	➢ Analyze supply chains in national tuna industry, with support of international technical consultant and industry ➢ Review and document traceability systems ➢ Establish structures for routine data collection
			National stock assessment consultants	3 years	**15,000** (retainer, one consultant per country @ 5,000)	➢ Collate available data for national level stock assessments ➢ Assist international consultant with stock assessment training workshop ➢ Present available national data and coordinate follow-up
			Development of national RPs and HCRs	3rd year, each country	**25,000** (8,000 per consultant)	➢ Review regional and national stock assessment data available for indicators ➢ Review regional (WCPFC) RPs and HCRs and

Component SRF Outcome Budget Note	Donor name	Budget code	Budget Description	Time frame	Estimated Cost (USD)	Targeted Inputs/Outputs
						adapt to draft national standards ➢ Report and recommend agreed national RPs and HCRs
			Risk assessment analyses	3rd year, each country	**25,000** (8,000 per consultant)	➢ Review available data on by-catch and ETP species, including data collected during the project ➢ Undertake risk assessment analyses for by-catch species in selected fisheries
		72100	**Contractual services:**			
			National Compliance Review Monitoring	Each year, country	**60,000** (10,000 per country)	➢ Review national compliance with WCPFC CMMs and NTMP ➢ Prepare Annual Report Part 2 for TCC (Sept)
			Data collection – supply chains	3 years, each country	**20,000** (operational costs of routine data collection)	➢ Following review of supply chains and traceability by national and international consultants, establish data collection and annual reporting systems ➢ Data collection by provincial/regional staff with operational support
			National workshops on sustainability/certification	1st year	**60,000** (20,000 per workshop, each country)	➢ Awareness raising for stakeholders (fishers, industry) on sustainable fisheries requirements and certification/eco-labelling ➢ Plan national capacity building activity and workshops at provincial level (see later) ➢ Preparation of sustainable fishing manual
			Support of national certification /database development	1st year	**30,000** (10,000 each country)	➢ Assist Indonesia with establishment and maintenance of vessel registers and catch certification databases ➢ Assist Philippines with strategic meeting to identify priority fisheries for eco-labelling and develop certification strategy ➢ Assist Vietnam (VinaTuna) with implementation of Fishery Improvement Plan (FIP) for longline/handline fishery
			Stakeholder workshops on sustainable fishing practices	2nd and 3rd years	**35,000** (logistical support (partial) for national activity)	➢ Workshops at provincial/regional level to educate fishermen on sustainable practices ➢ Preparation and distribution of manual for fishermen on sustainable fishing practices
			Stock assessment training	2nd year	**30,000** (10,000 each country, meeting costs; consultant	➢ International consultant Present and explain results of sub-regional stock assessment (available from 2014 onwards) after changes to Multifan-CL model structure

Component SRF Outcome Budget Note	Donor name	Budget code	Budget Description	Time frame	Estimated Cost (USD)	Targeted Inputs/Outputs
					input separately funded; 4-6 participants)	➢ Provide stock assessment refresher training ➢ Joint presentation with national consultants ➢ Trial application of national data
			Annual data review workshops (9)	Each year, each country	**90,000** (10,000 per workshop, 9 over 3 years)	➢ Data collection protocols, methodology, coverage levels reviewed ➢ Review and compilation of data collected at provincial/regional level, including observer and by-catch/ETP species data ➢ Refinements to data collection and port sampling implemented ➢ Inputs provided to annual catch estimates workshop and WCPFC Annual Report Part 1
			Enhanced by-catch port sampling	Each country, three years	**75,000** (25,000 per country – hire of additional enumerators)	➢ Port sampling extended to cover by-catch, by-product and ETP species landings in key provinces/regions ➢ Data incorporated in national databases
			Enumerator training	Each country	**30,000** (10,000 per country, 6 trained per country)	➢ Training workshops for enumerators in sampling and data collection methods, species identification, gear and vessel characteristics
			Philippines data collection	3 years	**100,000** (operational activity 60,000, ongoing sampling-partial support (30,000), rescue historical data (10,000)	➢ Initiate sampling of small and medium scale fisher operations, following planning, site identification, training and hire of enumerators (10) ➢ Continued partial support for ongoing port sampling as it becomes sustainable ➢ Reconstruction of historical catch data
			Indonesia data collection	3 years	**120,000** (port sampling (105,000), rescue data (10,000), SA Commission coop. (5,000)	➢ Consolidation of port sampling at 4 sites ➢ Initiation of port sampling at 5th site (Mamuju) ➢ Historical data rescue (since 2000) ➢ Cooperative work and collaboration with Komnas Kajiskan (National Stock Assessment Commission)
			Vietnam data collection	3 years	**125,000** (data collection in 3 provinces (60,000), and 9 new(65,000)	➢ Continued data collection in 3 central provinces, with possibly new methodology ➢ Data collection and port sampling in 9 new provinces ➢ Data input to integrated national database

Component SRF Outcome Budget Note	Donor name	Budget code	Budget Description	Time frame	Estimated Cost (USD)	Targeted Inputs/Outputs
			Observer programmes	3 years	**60,000** (30,000 Indonesia, Vietnam)	➢ Pilot observer programmes on selected fisheries and gears (6 trips per country per year) ➢ Observer training and database establishment
			Review National Tuna Management Plans	2nd year	**20,000** (Indonesia 10,000, others 5,000 each)	➢ National Tuna Management plans review and revised as necessary, as other project outputs become available ➢ Links with legislative review ➢ Indonesia to include FMAs 713, 714 and 715 in NTMP after profiling
			EAFM stakeholder workshops and planning	2nd year	**54,000** (18,000 per country)	➢ Review of existing EAFM obligations and existing legislation ➢ Review available data that might be available for EAFM application ➢ Awareness raising for stakeholders ➢ Site selection and planning for EAFM application
			Pilot scale EAFM application	Start 2nd year	**54,000** (18,000 per country)	➢ Pilot scale application to one selected site/fishery in each country ➢ Contracted implementation, delivery and reporting
			EAFM workshops –policy makers	3rd year	**45,000** (15,000 per country)	➢ Information dissemination of EAFM for policy makers, key stakeholders and Government agencies ➢ progress/outcomes from EAFM pilot studies presented ➢ Consideration of by-catch/ETP mitigation ➢ Review of NPOAs, national and regional ➢ Consensus on key issues
			M&E for adaptive management		**47,000**	➢ Project Evaluation
	GEF	71600	Project Manager Travel for technical assistance		**40,899 (3 years)**	➢ Attend sub-regional and regional meeting and workshops ➢ Attend selected national meetings and workshops
Component 3	**GEF**	71200	International consultant:			

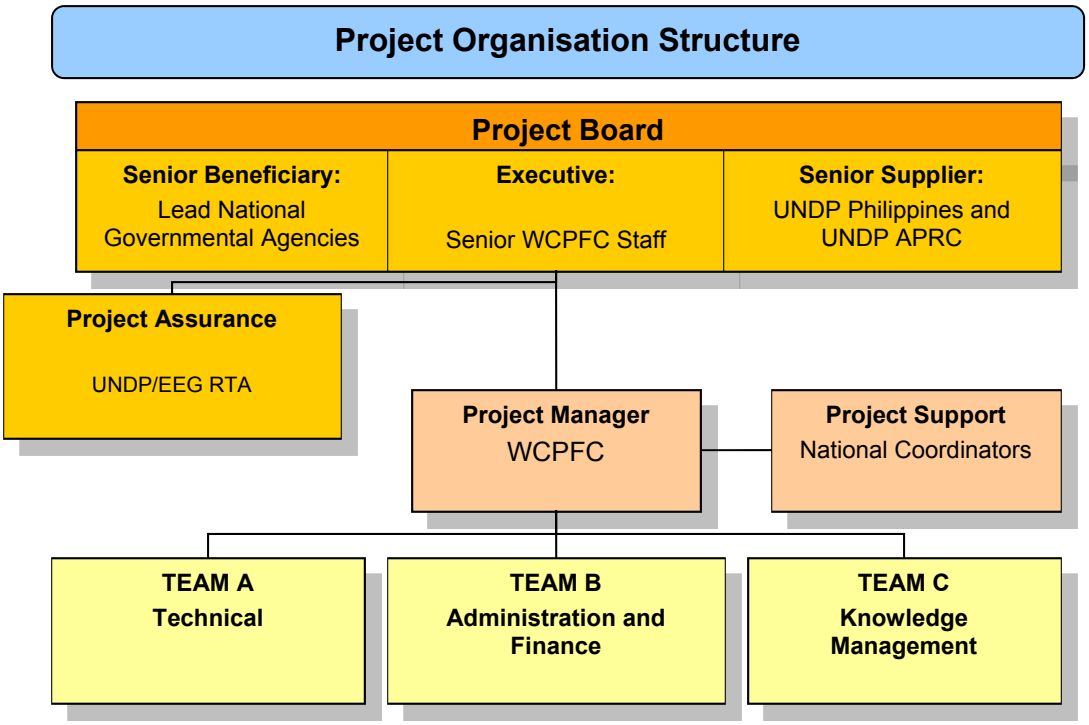
Component SRF Outcome Budget Note	Donor name	Budget code	Budget Description	Time frame	Estimated Cost (USD)	Targeted Inputs/Outputs
SRF outcome 7 Budget note 3			Database development and maintenance consultant	1st year	**25,000** (travel, DSA, fees)	➢ Development of integrated sub-regional tuna fishery database for the three countries ➢ Assist with development of project websites and knowledge management database
		72100	Contractual services			
			Database/website maintenance and support	3 years	**36,000** (12, 000 per country)	➢ Installation and maintenance of database and website ➢ Data entry and validation costs
			Knowledge management specialist	3 years	**45,000** (salary and some travel/DSA)	➢ Specialist appointed and based in PEMSEA, Manila ➢ Information dissemination of project knowledge products at all levels (see ToR) ➢ Preparation of Consultative Forum, meeting and workshop reports
			Preparation and distribution of hard copy and electronic publications	3 years	**27,318** (operational costs)	➢ Preparation, publication and dissemination of publications, incorporating awareness raising, lessons learned, best practice in management etc.
			National / sub-regional workshop		**40,000** (10,000 per country plus 10,000 for sub-regional partners)	➢ End of project review and taking stock workshop ➢ Possibly sub-regional
		71600	Travel IW learn activities	3 years	**25,000** (operational costs and travel/DSA)	➢ Packaging and dissemination products through IW learn ➢ Attendance at IW Learn conferences
Project Management Budget Note 4		71400	Contractual services Finance Associate	3 years	**45,000** (salary, allowances and travel)	➢ See Terms of Reference
		74100	Professional services (Monitoring and Evaluation)	3 years	**31,000** (workshops, travel, consultants)	➢ Inception workshop (Year 1) 22,000 ➢ Annual audit (annual @ 3,000) 9,000

Component SRF Outcome Budget Note	Donor name	Budget code	Budget Description	Time frame	Estimated Cost (USD)	Targeted Inputs/Outputs
		71600	Travel (Project Manager)	3 years	**30,361**	➢ Prepare AWP with countries

5. MANAGEMENT ARRANGEMENTS

Institutional arrangement: UNDP is the GEF Implementing Agency for this project. The project fully complies with the comparative advantages matrix approved by the GEF Council. Operational oversight will be ensured by UNDP, through the UNDP Philippines, and strategic oversight by the UNDP/EEG Regional Technical Advisor (RTA) responsible for the project. This oversight will ensure that the project practices' due diligence with regard to UNDP's Environmental and Social Screening Procedure.

Project Implementation Arrangements: The project will be executed by the Western and Central Pacific Fisheries Commission (WCPFC) through its Science Programme. The project organization structure (summarized in the figure below) will consist of a Project Board, Project Assurance and a Project Implementation Unit (PIU). Roles and responsibilities are described below.



Project Board: The Project Board will be responsible for making management decisions for the project, in particular when guidance is required by the Project Manager. It will play a critical role in project monitoring and evaluations by assuring the quality of these processes and associated products, and by using evaluations for improving performance, accountability and learning. The Project Board will ensure that required resources are committed. It will also arbitrate on any conflicts within the project and negotiate solutions to any problems with external bodies. In addition, it will approve the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities. Based on the approved Annual Work Plan, the Project Board can also consider and approve the quarterly plans and also approve any essential deviations from the original plans.

Members of the Project Board will consist of the WCPFC, key national governmental agencies, and local level representatives, as necessary. UNDP will also be represented on the Project Board, which will be balanced in terms of gender. Potential members of the Project Board will be reviewed and recommended for approval during the Project Appraisal Committee (PAC) meeting. The Project Board will contain three distinct roles:

Executive Role: This individual will represent the project "owners" and will chair the group. It is expected that the WCPFC will appoint a senior official to this role who will ensure full Commission support of the project.

Senior Supplier Role: This role represents the interests of the parties concerned which provide funding for specific cost sharing projects and/or technical expertise to the project. The Senior Supplier's primary function within the Board will be to provide guidance regarding the technical feasibility of the project. This role will rest with UNDP-Manila represented by the Resident Representative.

Senior Beneficiary Role: This role represents the interests of the three governments who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board will be to ensure the realization of project results from the perspective of project beneficiaries. This role will rest with key national governmental agencies, and appropriate local level representatives represented on the Project Board, who are stakeholders in the project.

Project Assurance: The Project Assurance role supports the Project Board Executive by carrying out objective and independent project oversight and monitoring functions. The Project Assurance role will rest with the UNDP/EEG RTA.

A **Project Implementation Unit** (PIU) will be established comprising permanent staff including: a Project Manager (PM), three National Coordinators, a Project Finance Associate and a Project Knowledge Management Associate (see attached TORs). The PIU will assist WCPFC in performing its role as implementing partner. The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The tasks performed by the PM will be provided by designated WCPFC staff. The PM will be responsible for overall project coordination and implementation, consolidation of work plans and project papers, preparation of quarterly progress reports, reporting to the project supervisory bodies, and supervising the work of the project experts and other project staff. The PM will also closely coordinate project activities with relevant Government institutions and hold regular consultations with other project stakeholders and partners. Under the direct supervision of the PM, the Project Finance Associate will be responsible for administrative and financial issues, and will get support from UNDP-Manila administration.

The PIU, following UNDP procedures on implementation of NEX projects, will identify national experts and consultants, and international experts as appropriate to undertake technical work. The national and international companies may also be involved in project implementation. These consultants and companies will be hired under standard prevailing UNDP procedures on implementation of national execution (NEX) projects. The UNDP Manila Office will provide specific support services for project realization through the Administrative and Finance Units as required.

6. MONITORING FRAMEWORK AND EVALUATION

The project will be monitored through the following M& E activities. The M& E budget is provided in the table below.

Project start:

A Project Inception Workshop will be held within the first 2 months of project start with the full project team, participating countries representatives, co-financing partners, the UNDP-Manila and representation from the UNDP-GEF Regional Coordinating Unit, as well as UNDP-GEF (HQs) as appropriate. A fundamental objective of this Inception Workshop will be to assist the project team to understand and take ownership of the project's goal and objective, as well as finalize preparation of the project's first annual work plan on the basis of the SRF matrix. This will include reviewing the SRF (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise, finalizing the Annual Work Plan (AWP) with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project.

The Inception Workshop should address a number of key issues including:

a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP-Manila and RCU-Bangkok staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
b) Based on the project results framework and the GEF IW Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
e) Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Quarterly:

- Progress made shall be monitored in the UNDP Enhanced Results Based Managment Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs (Energy Service Companies) are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
- Based on the information recorded in ATLAS, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.

- Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

Annually:

- Annual Project Review/Project Implementation Reports (APR/PIR): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (1July to 30 June). The APR/PIR combines both UNDP and GEF reporting requirements.

  The APR/PIR includes, but is not limited to, reporting on the following:
  - Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
  - Project outputs delivered per project outcome (annual).
  - Lesson learned/good practice.
  - AWP and other expenditure reports
  - Risk and adaptive management
  - ATLAS QPR
  - Portfolio level indicators (i.e. GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

Periodic Monitoring through site visits:

UNDP-Manila and the UNDP RCU in Bangkok will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP RCU and will be circulated no less than one month after the visit to the project team and Project Board members.

Mid-term of project cycle:

The project will undergo an independent Mid-Term Evaluation at the mid-point of project implementation (insert date). The Mid-Term Evaluation will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term evaluation will be prepared by UNDP-Manila based on guidance from the Regional Coordinating Unit in Bangkok and UNDP-GEF. The management response and the evaluation will be uploaded to UNDP corporate systems, in particular the UNDP Evaluation Office Evaluation Resource Center (ERC).

The GEF IW Focal Area Tracking Tool will also be completed during the mid-term evaluation cycle.

End of Project:

An independent Final Evaluation will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP and GEF guidance. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental

benefits/goals. The Terms of Reference for this evaluation will be prepared by the UNDP-Manila office based on guidance from the Regional Coordinating Unit in Bangkok and UNDP-GEF.

The Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the UNDP Evaluation Office Evaluation Resource Center (ERC).

The GEF IW Focal Area Tracking Tool will also be completed during the final evaluation.

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

Learning and knowledge sharing:

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in *IWLearn*, and/or any other scientific, policy-based 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.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

Communications and visibility requirements:

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at http://intra.undp.org/coa/branding.shtml, and specific guidelines on UNDP logo use can be accessed at: http://intra.undp.org/branding/useOfLogo.html. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: http://www.thegef.org/gef/GEF_logo. The UNDP logo can be accessed at http://intra.undp.org/coa/branding.shtml.

Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at:

http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf. Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

AUDIT CLAUSE

The Implementing Partner will provide UNDP Philippines with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of GEF funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted

according to UNDP financial regulations, rules and audit policies by the legally recognized auditor of the Government, or by a commercial auditor engaged by the Implementing Partner.

M & E workplan and budget

Type of M&E activity	Responsible Parties	Budget US$ *Excluding project team staff time*	Time frame
Inception Workshop and Report	▪ Project Manager ▪ UNDP CO, UNDP GEF	Indicative cost: 22,700	Within first two months of project start up
Measurement of Means of Verification of project results.	▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on *output and implementation*	▪ Oversight by Project Manager ▪ Project team	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG	None	Annually
Periodic status/ progress reports	▪ Project manager and team	None	Quarterly
Mid-term Evaluation	▪ Project manager and team ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team)	Indicative cost: 35,000	At the mid-point of project implementation.
Final Evaluation	▪ Project manager and team, ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team)	Indicative cost : 35,000	At least three months before the end of project implementation
Project Terminal Report	▪ Project manager and team ▪ UNDP CO ▪ local consultant	0	At least three months before the end of the project
Audit	▪ UNDP CO ▪ Project manager and team	Indicative cost per year: 3,000	Yearly
Visits to field sites	▪ UNDP CO ▪ UNDP RCU (as appropriate) ▪ Government representatives	For GEF supported projects, paid from IA fees and operational budget	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		US$ 101,700 (5% of total budget)	

7. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in the respective signed SBAAs (Standard Basic Assistance Agreements) for the specific countries.

This project will be implemented by the Western and Central Pacific Fisheries Commission (WCPFC) ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply**.**

The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried out; (b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

8. ANNEXES

Annex 1: Risk Analysis

OFFLINE RISK LOG

Project Title: Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas	**Award ID: 77221**	**Date:**

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	*Enter a brief description of the risk* *Political support for regional coordination activity, and participation by all parties and fishing entities*	*When was the risk first identified* *At PIF stage (17 April 2012)*	*Political* *(In Atlas, select from list)*	Describe the potential effect on the project if this risk were to occur The project will not be able to reach its objective of improved management of highly migratory fish stocks and full participation of Indonesia, Philippine and Vietnam in the WCPFC Enter probability on a scale from 1 (low) to 5 (high) P = 1 Enter impact on a scale from 1 (low) to 5 (high) I =5	What actions have been taken/will be taken to counter this risk During project preparation, consultative workshops were held with all three countries with participation of government agencies, NGOs and Scientific Institutions to present and receive feedback on the project. The workshops confirmed that all three countries are strongly supportive of the project, which is also confirmed by their co-financing of the project.	Who has been appointed to keep an eye on this risk The Project Manager and National Coordinators (in Atlas, use the Management Response box)	Who submitted the risk Project preparation team (In Atlas, automatically recorded)	When was the status of the risk last checked At submission of UNDP ProDoc (In Atlas, automatically recorded)	e.g. dead, reducing, increasing, no change No change (in Atlas, use the Management Response box)

2	*WCPFC membership status and compliance can be enhanced (Indonesia, Vietnam)*	*At PIF stage (17 April 2012)*	*Regulatory*	Full compliance with the WCPFC and its Conservation and Management Measures will not be achieved P =2 I = 3	The project has been designed to support fishery sector national reforms to enhance compliance with WCPFC requirements	National Project Coordinators	Project preparation team	At submission of UNDP ProDoc	No change
3	*Resources, including trained manpower, available to implement monitoring systems, undertake stock assessment, and establish databases,*	*During project preparation*	*Operational*	Operational problems can lead to delay in project implementation and delivery of results P =2 I = 3	The project will support capacity building and training of national staff in each country in MCS, VMS, analysis of supply chains and requirements for certification, as well as in impacts on climate change on oceanic fisheries, which will mitigate this risk.	Project manager	Project preparation team	At submission of UNDP ProDoc	No change
4	*Expertise, appropriate climate change models and associated data available to predict impacts*	During project preparation	*Operational*	Varying access to data and skills constrain opportunities to predict impacts of climate change on oceanic fisheries and interpretation of climate change modelling results P=3 I=4.	The project will support the development of guidelines that will be used in regional capacity building and training of national staff on climate change impacts and adaptive management of oceanic fisheries in the EAS	Project Manager	Project preparation team	At submission of UNDP ProDoc	No change
5	*Selected*	During	*Strategic*	Market-based	Implementation of	National	Project	At	No change

	oceanic tuna fisheries able to meet required standards for certification	project preparation		approaches to sustainable harvest of tuna cannot be adopted during the life of the project. P=3 I=3	Fisheries Improvement Plans (FIPs) will be supported and supply chains characterised for all oceanic tuna fisheries and only the most promising fisheries will be selected for full certification.	Project Coordinators	preparation team	submission of UNDP ProDoc	
6	*WCPFC science provider able to undertake sub-regional assessment within new model area, and necessary data collected to undertake national stock assessment*	During project preparation	Organisational	WCPFC science provide unable to undertake sub-regional assessment within the EAS, and continued uncertainty of stock assessment of highly migratory species in the EAS P=1 I=3	The sub-regional assessment of the EAS will be reported as part of the regional assessment of the POWP LME using an already existing, but restructured model. The project will provide targeted support to the countries to enable them to collect sufficient data for national stock assessment.	WCPFC and Project Manager	Project preparation team	At submission of UNDP ProDoc	No change
7	Financial sustainability of project activities and sufficient allocations from governments to meet WCPFC requirements	During project preparation	Financial	WCPFC requirements will not be met after completion of project P=1 P=3	The project is supporting national fishery sector reform that includes mainstreaming of financial needs for participation in the WCPFC in fishery sector budgets as well as in emerging national climate change policies.	National Coordinators	Project preparation team	At submission of UNDP ProDoc	No change

Annex 2: Agreements and Confirmation of Co-financing

2.1 CO-financing letters from WCPFC

Date: 23 September 2013

Mr. Toshihiro Tanaka
Country Director
United Nations Development Programme (UNDP)
30th Floor Yuchengco Tower, RCBC Plaza
6819 Ayala Avenue cor. Sen. Gil J. Puyat Avenue
Makati City, Philippines

Subject: WCPFC's Co-financing to GEF/UNDP Project: *Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas*

Dear Mr. Tanaka,

As an Implementing Agency of the above Project, the Western and Central Pacific Fisheries Commission is pleased to inform you that we will ensure to support the Project as shown below:

Category	Details		Contribution (USD)
Grant (cash)	**USD 25,000/year**		**75,000**
In-kind	**Total in-kind**		**3,200,000**
	(In-kind breakdown)	WCPFC staff	1,480,000
		Secretariat facilities	280,000
		WCPFC system and functioning expertise	1,440,000

WCPFC Grant will be used for the project management and contingency budget for the programme fee, including travel cost of the Project Manager and WCPFC staff.

We look forward to successful implementation of this project.

Sincerely yours,

Professor Glenn Hurry
Executive Director
WCPFC Secretariat

Western and Central Pacific Fisheries Commission
PO Box 2356
Kolonia, Pohnpei 96941
Federated States of Micronesia
TEL: +691-320-1992, 1993
FAX: +691-320-1108
Email: wcpfc@wcpfc.int

2.2 CO-financing letters from Indonesia

Ministry of Marine Affairs and Fisheries
Republic of Indonesia

Date: 28 October 2013

Mr. Toshihiro Tanaka
Country Director
United Nations Development Programme (UNDP)
30th Floor Yuchengco Tower, RCBC Plaza
6819 Ayala Avenue cor. Sen. Gil J. Puyat Avenue
Makati City, Philippines

Subject: Indonesia's Co-financing to GEF/UNDP Project: *Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas*

Dear Mr. Tanaka,

As a Participating Country of the above Project, the Government of Indonesia is pleased to inform you that we will ensure to support the Project as shown below:

Category	Agency	Details	Contribution (USD)
In-kind	DGCF	Staff	100,000
		Facility	400,000
		Program support	800,000
	RCFMC	Staff	75,000
		Facilities and logistics	500,000
		Program support	625,000
TOTAL AMOUNT			**2,500,000**

We look forward to successful implementation of this project.

Sincerely yours,

Dr Toni Ruchimat
Director for Fisheries Resource Management,
DGCF,
Ministry of Marine Affairs and Fisheries,
Government of Republic of Indonesia

Professor Dr Hari Eko Irianto
Head of Research Centre for Fisheries Management and Conservation, AMFRD,
Ministry of Marine Affairs and Fisheries,
Government of Republic of Indonesia

2.3 CO-financing letters from Philippines

Republic of the Philippines
Department of Agriculture
BUREAU OF FISHERIES AND AQUATIC RESOURCES
PCA Compound, Elliptical Road, Diliman, Quezon City
Tel No. 929-9597
Fax No. 929-8074

23 October 2013

MR. TOSHIHIRO TANAKA
Country Director
United Nations Development Programme (UNDP)
30th Floor Yuchengco Tower, RCBC Plaza
6819 Ayala Avenue cor. Sen. Gil J. Puyat Avenue
Makati City, Philippines

Subject : Bureau of Fisheries and Aquatic Resources and National Fisheries Research and Development Institute Co-financing for UNDP/GEF Project: ***Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas***

Dear Mr. Tanaka,

We are pleased to inform you that the Bureau of Fisheries and Aquatic Resources (BFAR) and National Fisheries Research and Development Institute (NFRDI) will provide co-financing through cash and in-kind contribution in the implementation of the UNDP/GEF project entitled "Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas" in the amount of Eight Million Two Hundred Twenty Eight Thousand Five Hundred Twenty Five US Dollars (USD 8,228,525.00)

Category	Agency	Details	Amount (USD)
Cash	BFAR	Counter-part contribution in the implementation of the Philippine activities on baseline data gathering	3,892,675.00
In-kind	NFRDI	Staff	190,000.00
		Facilities and logistics	1,301,700.00
		Project support	2,664,150.00
		Involvement of the industry	180,000.00
		Total	8,228,525.00

We look forward to the successful collaboration and implementation of this project.

Sincerely yours,

ATTY. ASIS G. PEREZ
Director

2.4 CO-financing letters from Vietnam

The Socialist Republic of Vietnam
Ministry of Agriculture and Rural Development
DIRECTORATE OF FISHERIES
No. 10 Nguyen Cong Hoan, Ba Dinh, Ha Noi
Tel: 84.4.66805011 - Fax: 84.4.37245411

Date: 18 November 2013

Mr. Toshihiro Tanaka
Country Director
United Nations Development Programme (UNDP)
30th Floor Yuchengco Tower, RCBC
Plaza 6819 Ayala Avenue cor. Sen. Gil J. Puyat
Avenue Makati City, Philippines

Subject: Directorate of Fisheries Co-financing to GEF/UNDP Project: *Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas*

Dear Mr. Tanaka,

As an Implementing Agency of the above Project, the Directorate of Fisheries is pleased to inform you that we will ensure to support the Project as shown below:

Category	Agency	Detail	Amount (USD)
In cash	D-FISH	Contribution on the implementation of the Vietnamese activities in relation to tuna fisheries management (roughly estimated)	1,000,000
In kind	D-FISH	Staff	200,000
		Facilities and logistics	1,500,000
		Project support	2,000,000
TOTAL			**4,700,000**

We look forward to the successful collaboration and implementation of this project.

Sincerely yours,

Dr. Pham Anh Tuan
Deputy Director General

2.5 CO-financing letters from UNDP

United Nations Development Programme

Empowered lives.
Resilient nations.

25 November 2013

CERTIFICATION

This is to certify that UNDP is committing to provide One Million One Hundred and Fifty Six Thousand Dollars **(US$1,156,000.00)** in kind as co-financing contribution for the implementation of the project entitled "Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas"

Yours sincerely,

Toshihiro Tanaka
Country Director

30/F Yuchengco Tower, RCBC Plaza, 6819 Ayala Avenue cor Sen. Gil Puyat Avenue, Makati City 1226 Philippines
P.O. Box 7285 DAPO, 1300 Domestic Road, Pasay City, Philippines
Tel: (632) 901-0100 Fax: (632) 901-0200; (632) 8897177 Email: registry.ph@undp.org Website: www.undp.org.ph

Annex 3: TORs for Key Project Personnel

1) Project Manager (PM)

The project will not hire a full time Project Manager and Chief Technical Advisor (CTA), although a part-time Project Manager may be appointed during the first year of the project; the tasks related to these positions will be performed by designated WCPFC staff; this is part of the WCPFC's in-kind contribution as exemplified in the TBWP. S/he would specifically perform the following duties and responsibilities:

- Supervise and coordinate the project to ensure its results are in accordance with the Project Document and the rules and procedures established in the UNDP Programming Manual
- Assume primary responsibility for daily project management - both organizational and substantive matters – budgeting, planning and general monitoring of the project
- Ensure adequate information flow, discussions and feedback among the various stakeholders of the project
- Ensure adherence to the project's work plan, prepare revisions of the work plan, if required
- Assume overall responsibility for the proper handling of logistics related to project workshops and events
- Prepare, and agree with UNDP on terms of reference for national and international consultants and subcontractors
- Guide the work of consultants and subcontractors and oversee compliance with the agreed work plan
- Maintain regular contact with the National Project Coordinators on project implementation issues of their respective competence
- Monitor the expenditures, commitments and balance of funds under the project budget lines, and draft project budget revisions
- Assume overall responsibility for meeting financial delivery targets set out in the agreed annual work plans, reporting on project funds and related record keeping
- Liaise with project partners to ensure their co-financing contributions are provided within the agreed terms
- Assume overall responsibility for reporting on project progress vis-à-vis indicators in the Project Results Framework
- Undertake any other actions related to the project as requested by UNDP

2) National Coordinators (NCs) in Indonesia, Philippines and Vietnam

The National Project Coordinators (NCs) will be designated by the national executing partner in consultation with the WCPFC. The NC will be a senior staff member of the national executing agency with relevant experiences, and will be able to devote sufficient time to oversee the project during its implementation. S/he would specifically perform the following duties and responsibilities:

- Act as the responsible focal point at the political and policy level;
- Ensure that all Government inputs committed to the project, particularly co-financing are available to the project in a timely manner and in accordance with the project Work Plan;

- Ensure all necessary support from Government personnel is provided to enable the project to implement all of the proposed component activities;
- Ensure that appropriate and adequate office space and utilities are provided and that these offices are empowered to implement the project;
- Promote the mainstreaming of project results into sectoral plans and policies;
- Represent the Government in official meetings related to the project when required and ensure regular communication between the Project Board and all project partners;
- Develop National Annual Work Plans and Budgets (AWP/B) for submission to the WCPFC for approval;
- Promote close collaboration between the project and relevant ongoing and planned Government initiatives, local partners and organizations and other initiatives in the region;
- Mobilize and report on co-financing from the Government;
- Perform other related duties as required

3) Project Finance Associate (PFA)

Background

The Project Finance Associate (PFA), will be a locally recruited national selected based on an open competitive process. He/she will report to the Project Manager (PM) and assist the PM in the coordination of the UNDP-GEF project in terms of financial matters. S/he will be responsible for administering the GEF project in terms of ensuring full compliance with applicable financial rules as well as procurement and contracting rules, keeping the accounts and doing the financial reporting of all financial transactions in coordination with the UNDP ESD Program Manager and PM and in specific for the compilation of all the relevant UNDP and GEF financial reports.

Duties and Responsibilities

- Assist the PM in managing administrative and financial aspects of the project and ensure that all information is accurate
- Provide logistical support to the PM and project consultants in conducting different project activities (training workshops, stakeholder consultations, arrangements of field visits, etc.), as well as Monitoring and Evaluation activities
- Organize control of budget expenditures by preparing payment documents, and compiling financial reports
- Ensure financial monitoring/accounting and account reconciliation mechanisms are in line with GEF and UNDP reporting requirements.
- Maintain the project's disbursement ledger and journal
- Perform any other financial duties as requested by the PM
- Organize and coordinate the procurement of services and goods under the project
- Under supervision of the PM, be responsible for all aspects of project financial management

Qualifications

- A university degree in social or natural sciences, administration, international relations, statistics, economics, business administration, management planning or related fields.
- Full proficiency in English.

- Excellent command of office software, such as word processing, spreadsheets, databases.
- At least 6 years of proven experience in the relevant field.
- Minimum 3 years specialized experience strong accounting and financial reporting background.
- Good knowledge of computer software such as MS Project and other relevant financial/administrative monitoring tools.
- Proven experience in administration, programme planning, monitoring and reporting.

4) Project Knowledge Management Associate (PKMA)

Background

The Project Knowledge Management Associate (PKMA), will be a locally recruited national selected based on an open competitive process. He/she will report to the Project Manager (PM) and assist the PM in developing reports and knowledge management products, and maintaining the website of the UNDP-GEF project. S/he will assess support requirements against project objectives and operating environment.

Duties and Responsibilities

- Prepare GEF quarterly project progress reports (QPRs), as well as any other reports requested by the Executing Agency and UNDP
- Assist in the preparation of meeting reports and records of discussion, including the Consultative Forum and the Project Board
- Prepare reports that compile lessons learned from the project and distribute a quarterly project e-newsletter with information on current activities and plans for future activities
- Maintain and continuously update the project website, incorporating all reports and products from the project and other material of relevance
- Participate fully in IW Learn activities, and maintain links with related projects.

Qualifications

- University degree in Information Management or Environmental Sciences or related fields;
- 3 years of experience in the area of knowledge management at medium and small scale
- Good computer skills in common word processing (MS Word), spreadsheet (MS Excel), and accounting software.
- Strong English language communication skills, both spoken and written.
- Experience in the development and maintenance of websites (preferrable but not essenatial)

5) Senior Technical Advisor (STA) (International Consultant)

Background

The Senior Technical Adviser will provide oversight and advice on all technical aspects of the project, He/she will internationally appointed , based on previous experience with similar projects, and will report to the Project Manager. He/she will provide guidance and support for the conduct of all technical meetings and workshops, either remotely or *in situ* and assist national tuna coordinators in their activities, as well national consultants appointed for specific tasks during the project, and the Project Knowledge Management Associate. His/her role will be advisory and strategic in nature, in close consultation with the Project Manager.

Duties and responsibilities:

- Provide high level technical advice to the Project Manager on all aspects of the Project, including planning, budget and annual work plan preparation, technical components of the projects and their implementation and delivery, and the deployment of consultants (national and international) to achieve project objectives
- Provide direct inputs to sub-regional and regional activities undertaken during the project eg Consultative Workshop and assist with the conduct of the annual Project Board meeting.
- Plan, prepare and assist with the conduct of all technical meetings and workshops, including meetings reports and implementing outcomes
- Undertake consultancies on identified specialist topics, and assist national consultants in their activities
- Assist national tuna coordinators in coordination and delivery of national level activities
- Provide support to the Project Knowledge Management Associate (PKMA)

Qualifications

- Post-graduate degree in fisheries science or related field, and preferably doctoral level.
- Extensive experience (20 years plus) in tuna fisheries research, management and administration in the WCPO - South East Asia and/or the Pacific Islands, and good understanding of WCPFC functions and processes
- Previous experience in the design and delivery of GEF/ ADB fisheries projects, preferably involving oceanic tuna fisheries
- Strong English language and communication skills,
- experience with large databases informing management decisions at regional level and good computer skills

Annex 4: Capacity Assessment of Implementing Partner, WCPFC

Date: 17 September 2013

Mr. Toshihiro Tanaka
Country Director
United Nations Development Programme (UNDP)
30th Floor Yuchengco Tower
RCBC Plaza
6819 Ayala Avenue cor. Sen. Gil J. Puyat Avenue
Makati City

Subject: Designation of WCPFC as an Implementing Partner of UNDP

Dear Mr. Tanaka,

On behalf of the Commission, I would like to formally request UNDP's consideration to designate the Western and Central Pacific Fisheries Commission (WCPFC) Secretariat as an Implementing Partner. This request is being made with regard to the implementation of the GEF/UNDP Regional Project entitled, *Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas.*

The WCPFC was established by the Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (WCPF Convention) which entered into force on 19 June 2004. The WCPF Convention draws on many of the provisions of the UN Fish Stocks Agreement (UNFSA) while, at the same time, reflects the special political, socio-economic, geographical and environmental characteristics of the western and central Pacific Ocean (WCPO) region. The WCPF Convention seeks to address problems in the management of high seas fisheries resulting from unregulated fishing, over-capitalization, excessive fleet capacity, insufficient multilateral cooperation in respect to conservation and management of highly migratory fish stocks, etc. The Commission supports four subsidiary bodies: the Scientific Committee, the Technical and Compliance Committee, and the Northern Committee that each meets once a year. The meetings of the subsidiary bodies are followed by a regular session of the Commission. The work of the Commission is assisted by the Finance and Administration Committee.

WCPFC Members include Australia, China, Canada, Cook Islands, European Union, Federated States of Micronesia, Fiji, France, Japan, Kiribati, Republic of Korea, Republic of Marshall Islands, Nauru, New Zealand, Niue, Palau, Papua New Guinea, Philippines, Samoa, Solomon Islands, Chinese Taipei, Tonga, Tuvalu, United States of America, and Vanuatu; Participating Territories include American Samoa, Commonwealth of the Northern Mariana Islands, French Polynesia, Guam, New Caledonia, Tokelau, Wallis and Futuna; and cooperating Non-Members in 2013 include: Belize, Democratic People's

Western and Central Pacific Fisheries Commission
PO Box 2356
Kolonia, Pohnpei 96941
Federated States of Micronesia
TEL: +691-320-1992, 1993
FAX: +691-320-1108
Email: wcpfc@wcpfc.int

Republic of Korea, Ecuador, El Salvador, Indonesia, Mexico, Senegal, St Kitts and Nevis, Panama, Thailand, Vietnam.

Over the last three years, WCPFC has implemented the GEF-funded UNDP project, the "*West Pacific East Asia Oceanic Fisheries Management Project*", which was successfully completed in March 2013, delivering around 150 meeting reports, consultancy reports and various meeting documents. WCPFC is now developing a project document for the second phase of the above WPEA Project, following the approval of the Project Identification Form by the GEF Secretariat in June 2013.

Responses to the criteria for designation of inter-governmental organization not part of United Nations System as implementing partners are annexed to this letter. With this verification, WCPFC is ready to be a project implementing partner of UNDP. Thank you.

Sincerely yours,

Professor Glenn Hurry
Executive Director
WCPFC Secretariat

Western and Central Pacific Fisheries Commission
PO Box 2356
Kolonia, Pohnpei 96941
Federated States of Micronesia
TEL: +691-320-1992, 1993
FAX: +691-320-1108
Email: wcpfc@wcpfc.int

WCPFC's Responses to General Criteria for Designation of Inter-governmental Organization not part of United Nations System as Implementing Partners

1. Does the Organization qualify to be assigned UNDP projects for implementationi'l

The Western and Central Pacific Fisheries Commission (WCPFC) is an inter-governmental organization founded on its Convention that was signed by 25 Contracting Parties and Entities and entered into force on 19 June 2004. The WCPFC headquarters (Secretariat) is located in Pohnpei, Federated States of Micronesia. The Secretariat has been implementing various science and technical and compliance projects that were assigned by the Commission, and it has implemented the GEF-funded UNDP project (West Pacific East Asia Oceanic Fisheries Management Project or WPEA OFM) from January 2010 to March 2013. The budget of the Commission is over USD 7 million in 2013, and an independent review/audit of the work and finance have been conducted according to the Commission's Financial Regulation.

2. Is the field of activity in which the organization seeks to implement UNDP projects already covered by an existing implementing partner(s) of UNDP? If so, has an agreement has been reached by the applying organization with the existing implementing partners?

No.

3. Does the organization have a proven record of satisfactory performance in implementing technical assistance projects, either with its own funds or on behalf of others?

Yes.
The first GEF-Funded UNDP project (WPEA OFM) was independently evaluated, and the outputs of WPEA OFM, and the Independent Evaluation Report confirmed that the WCPFC secretariat has efficiency and effectively has been contracted the Oceanic Fisheries Programme of the Secretariat of the Pacific Community (SPC-OFP) to provide technical support for data management, stock assessments, ecosystem analyses, including support for the WPEA OFM Project, as the Commission's Scientific Services Provider.

4. Does the organization have sufficient and competent staff to provide the required technical backstopping and supervision, monitoring and reporting, and evaluation of UNDP projects?

The Commission has nine professional staff covering administration and finance, science and technical and compliance areas. A total of 13 administrative, financial and technical support staff also work together with the professional staff. Through a contract of around 1.5 million US dollars per year, the SPC-OFP provides **all** technical and scientific assistance to the Commission. During the WPEA OFM Project, WCPFC Secretariat has provided day-to-day supervision and monitoring of the project and submitted all required reports to the UNDP and GEF. WCPFC also supported the independently selected terminal evaluator and provide the means for him to conduct his evaluation through the coordination of meetings with all relevant project partners and stakeholders.

UNDP Financial Regulation 17.01 (a): "In consultation with and with the agreement of the programme country Government, the Administrator shall select a single executing entity or, under the harmonized operational modalities, implementing partner, among the designated entities for each specific UNDP programme activity".

5. **Does the organization have sufficient and competent staff to provide the required administrative support and supervision of UNDP projects, and to comply with 1UNDP's Financial Regulations and Rules, and with its financial reporting and other requirements established by UNDP?**

   WCPFC has nine professional staff, including the Executive Director, Finance and Administration Manager, Science Manager, Assistant Science Manager, Compliance Manager, Regional Observer Programme Coordinator, VMS Manager, Assistant Compliance Manager, and ICT Manager. Most of the staff have experience in excess of 20 years in their relevant specialties. WCPFC has its own Finance Regulations, taking financial audit on an annual basis, and produce various fmance-related reports to the Regular Session of the Commission. This will satisfy the requirements of the UNDP.

6. **Is the organization in good financial standing, and has it a** demonstrated record of good **fiscal management and responsibility?**

   The Commission has a budget of over USD 7.03 million in 2013. This General Fund is defrayed from the Commission's Members, which is a mandate of the Members by the Commission. In addition, the Commission has a Special Requirement Fund for the development of developing countries and administers other project funds such as the Japan Trust Fund and WPEA Project for co-financing partners (http://www.wcpfc.int/system/files/WCPFC9-2012-FAC6-12-Rev-l-WP-Budget.pdf). Annual Auditor's Reports are posted on the Commission's public website (http://www.wcpfc.int/system/files/WCPFC9-2012-FAC6-04-Auditors-report-2011.pdf).

7. **Has the organization been recently audited? If so, did any of the results reflect negatively on the organization on any of the above points, or on other important points?**

   The audit of the 2012 financial statement was circulated to members in July 2013 and will be posted on the Commission's public website in November 2013. There were no negative issues in the 2012 Audit Report.

Annex 5: Environmental and Social Screening Summary (ESSP)

UNDP Environmental and Social Screening Template
(December 2012)

QUESTION 1:

Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?

Select answer below and follow instructions:

☒ →NO: Continue to Question 2 (do not fill out Table 1.1)

☐→YES: No further environmental and social review is required if the existing documentation meets UNDP's quality assurance standards, and environmental and social management recommendations are integrated into the project. Therefore, you should undertake the following steps to complete the screening process:

1. Use Table 1.1 below to assess existing documentation. (It is recommended that this assessment be undertaken jointly by the Project Developer and other relevant Focal Points in the office or Bureau).
2. Ensure that the Project Document incorporates the recommendations made in the implementing partner's environmental and social review.
3. Summarize the relevant information contained in the implementing partner's environmental and social review in Annex A.2 of this Screening Template, selecting Category 1.
4. Submit Annex A to the PAC, along with other relevant documentation.

Note: Further guidance on the use of national systems for environmental and social assessment can be found in the UNDP ESSP Annex B.

TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL ASSESSMENT	**Yes/No**
1. Does the assessment/review meet its terms of reference, both procedurally and substantively?	
2. Does the assessment/review provide a satisfactory assessment of the proposed project?	
3. Does the assessment/review contain the information required for decision-making?	
4. Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures)?	
5. Does the assessment/review identify capacity needs of the institutions responsible for implementing environmental and social management issues?	
6. Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women?	
7. Does the assessment/review assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	

Table 1.1 (continued) For any "no" answers, describe below how the issue has been or will be resolved (e.g. amendments made or supplemental review conducted).

QUESTION 2:

Do all outputs and activities described in the Project Document fall within the following categories?

- ☐ Procurement (in which case UNDP's Procurement Ethics and Environmental Procurement Guide need to be complied with)
- ☐ Report preparation
- ☐ Training
- ☐ Event/workshop/meeting/conference (refer to Green Meeting Guide)
- ☐ Communication and dissemination of results

Select answer below and follow instructions:

- ☒ **NO** → Continue to Question 3
- ☐ **YES** → No further environmental and social review required. Complete Annex A.2, selecting Category 1, and submit the completed template (Annex A) to the PAC.

QUESTION 3:

Does the proposed project include activities and outputs that support *upstream* planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change (refer to Table 3.1 for examples)? (Note that *upstream* planning processes can occur at global, regional, national, local and sectoral levels)

Select the appropriate answer and follow instructions:

☐ **NO** → Continue to Question 4.

☒ **YES** →Conduct the following steps to complete the screening process:

1. Adjust the project design as needed to incorporate UNDP support to the country(ies), to ensure that environmental and social issues are appropriately considered during the upstream planning process. Refer to Section 7 of this Guidance for elaboration of environmental and social mainstreaming services, tools, guidance and approaches that may be used.
2. Summarize environmental and social mainstreaming support in Annex A.2, Section C of the Screening Template and select "Category 2".
3. If the proposed project ONLY includes upstream planning processes then screening is complete, and you should submit the completed Environmental and Social Screening Template (Annex A) to the PAC. If downstream implementation activities are also included in the project then continue to Question 4.

TABLE 3. 1 EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS	Check appropriate box(es) below
1. Support for the elaboration or revision of **global- level** strategies, policies, plans, and programmes. *For example, capacity development and support related to international negotiations and agreements. Other examples might include a global water governance project or a global MDG project.*	No
2. Support for the elaboration or revision of **regional-level** strategies, policies and plans, and programmes. *For example, capacity development and support related to transboundary programmes and planning (river basin management, migration, international waters, energy development and access, climate change adaptation etc.).*	strengthening of regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks
3. Support for the elaboration or revision of **national-level** strategies, policies, plans and programmes. *For example, capacity development and support related to national development policies, plans, strategies and budgets, MDG-based plans and strategies (e.g. PRS/PRSPs, NAMAs), sector plans.*	Revision of national-level fishery policies to enhance resilience to climate change of oceanic fisheries - no downstream environmental and social impacts expected
4. Support for the elaboration or revision of **sub-national/local-level** strategies, polices, plans and programmes. *For example, capacity development and support for district and local level development plans and regulatory frameworks, urban plans, land use development plans, sector plans, provincial development plans, provision of services, investment funds, technical guidelines and*	National tuna management plans will be reviewed and implemented (see above),

TABLE 3. 1 **EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS**	Check appropriate box(es) below
methods, stakeholder engagement.	taking account of changes identified as necessary by the project e.g. climate change, EAFM requirements, new CMMs, market-based factors, and MCS activity

QUESTION 4:

Does the proposed project include the implementation of *downstream* activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change?

To answer this question, you should first complete Table 4.1 by selecting appropriate answers. If you answer "No" or "Not Applicable" to all questions in Table 4.1 then the answer to Question 4 is "NO." If you answer "Yes" to any questions in Table 4.1 (even one "Yes" can indicated a significant issue that needs to be addressed through further review and management) then the answer to Question 4 is "YES":

☒ **NO** → No further environmental and social review and management required for downstream activities. Complete Annex A.2 by selecting "Category 1", and submit the Environmental and Social Screening Template to the PAC.

☐ **YES** → Conduct the following steps to complete the screening process:

1. Consult Section 8 of this Guidance, to determine the extent of further environmental and social review and management that might be required for the project.
2. Revise the Project Document to incorporate environmental and social management measures. Where further environmental and social review and management activity cannot be undertaken prior to the PAC, a plan for undertaking such review and management activity within an acceptable period of time, post-PAC approval (e.g. as the first phase of the project) should be outlined in Annex A.2.
3. Select "Category 3" in Annex A.2, and submit the completed Environmental and Social Screening Template (Annex A) and relevant documentation to the PAC.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		
1.	**Biodiversity and Natural Resources**	**Answer** (Yes/No/ Not Applicable)
1.1	Would the proposed project result in the conversion or degradation of modified habitat, natural habitat or critical habitat?	No
1.2	Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity?	No
1.3	Would the proposed project pose a risk of introducing invasive alien species?	No
1.4	Does the project involve natural forest harvesting or plantation development without an independent forest certification system for sustainable forest management (*e.g. PEFC, the Forest Stewardship Council certification systems, or processes established or accepted by the relevant National Environmental Authority*)?	n/a
1.5	Does the project involve the production and harvesting of fish populations or other aquatic species without an accepted system of independent certification to ensure sustainability (*e.g. the Marine Stewardship Council certification system, or certifications, standards, or processes established or accepted by the relevant National Environmental Authority*)?	No
1.6	Does the project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction.*	n/a
1.7	Does the project pose a risk of degrading soils?	n/a

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		
2.	**Pollution**	**Answer** (Yes/No/ Not Applicable)
2.1	Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and transboundary impacts?	n/a
2.2	Would the proposed project result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	n/a
2.3	Will the propose project involve the manufacture, trade, release, and/or use of chemicals and hazardous materials subject to international action bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants, or the Montreal Protocol.*	n/a
2.4	Is there a potential for the release, in the environment, of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?	n/a
2.5	Will the proposed project involve the application of pesticides that have a known negative effect on the environment or human health?	n/a
3.	**Climate Change**	
3.1	Will the proposed project result in significant[18] greenhouse gas emissions? *Annex E provides additional guidance for answering this question.*	No
3.2	Is the proposed project likely to directly or indirectly increase environmental and social vulnerability to climate change now or in the future (also known as maladaptive practices)? You can refer to the additional guidance in Annex C to help you answer this question. *For example, a project that would involve indirectly removing mangroves from coastal zones or encouraging land use plans that would suggest building houses on floodplains could increase the surrounding population's vulnerability to climate change, specifically flooding.*	No
4.	**Social Equity and Equality**	**Answer** (Yes/No/ Not Applicable)
4.1	Would the proposed project have environmental and social impacts that could affect indigenous people or other vulnerable groups?	No
4.2	Is the project likely to significantly impact gender equality and women's empowerment[19]?	No
4.3	Is the proposed project likely to directly or indirectly increase social inequalities now or in the future?	No
4.4	Will the proposed project have variable impacts on women and men, different ethnic groups, social classes?	No

[18] Significant corresponds to CO_2 emissions greater than 100,000 tons per year (from both direct and indirect sources). Annex E provides additional guidance on calculating potential amounts of CO_2 emissions.

[19] Women are often more vulnerable than men to environmental degradation and resource scarcity. They typically have weaker and insecure rights to the resources they manage (especially land), and spend longer hours on collection of water, firewood, etc. (OECD, 2006). Women are also more often excluded from other social, economic, and political development processes.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
4.5 Have there been challenges in engaging women and other certain key groups of stakeholders in the project design process?	No
4.6 Will the project have specific human rights implications for vulnerable groups?	No
5. Demographics	
5.1 Is the project likely to result in a substantial influx of people into the affected community(ies)?	No
5.2 Would the proposed project result in substantial voluntary or involuntary resettlement of populations? *For example, projects with environmental and social benefits (e.g. protected areas, climate change adaptation) that impact human settlements, and certain disadvantaged groups within these settlements in particular.*	No
5.3 Would the proposed project lead to significant population density increase which could affect the environmental and social sustainability of the project? *For example, a project aiming at financing tourism infrastructure in a specific area (e.g. coastal zone, mountain) could lead to significant population density increase which could have serious environmental and social impacts (e.g. destruction of the area's ecology, noise pollution, waste management problems, greater work burden on women).*	No
1. Culture	
6.1 Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?	No
6.2 Will the proposed project result in physical interventions (during construction or implementation) that would affect areas that have known physical or cultural significance to indigenous groups and other communities with settled recognized cultural claims?	No
6.3 Would the proposed project produce a physical "splintering" of a community? *For example, through the construction of a road, powerline, or dam that divides a community.*	No
2. Health and Safety	
7.1 Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? *For example, development projects located within a floodplain or landslide prone area.*	No
7.2 Will the project result in increased health risks as a result of a change in living and working conditions? In particular, will it have the potential to lead to an increase in HIV/AIDS infection?	No
7.3 Will the proposed project require additional health services including testing?	No
3. Socio-Economics	
8.1 Is the proposed project likely to have impacts that could affect women's and men's ability to use, develop and protect natural resources and other natural capital assets? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their development, livelihoods, and well-being?*	No
8.2 Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?	n/a
8.3 Is the proposed project likely to negatively affect the income levels or employment	No

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		
	opportunities of vulnerable groups?	
9.	**Cumulative and/or Secondary Impacts**	**Answer** (Yes/No/ Not Applicable)
9.1	Is the proposed project location subject to currently approved land use plans (e.g. roads, settlements) which could affect the environmental and social sustainability of the project? *For example, future plans for urban growth, industrial development, transportation infrastructure, etc.*	n/a
9.2	Would the proposed project result in secondary or consequential development which could lead to environmental and social effects, or would it have potential to generate cumulative impacts with other known existing or planned activities in the area? *For example, a new road through forested land will generate direct environmental and social impacts through the cutting of forest and earthworks associated with construction and potential relocation of inhabitants. These are direct impacts. In addition, however, the new road would likely also bring new commercial and domestic development (houses, shops, businesses). In turn, these will generate indirect impacts. (Sometimes these are termed "secondary" or "consequential" impacts). Or if there are similar developments planned in the same forested area then cumulative impacts need to be considered.*	No

ANNEX A.2: ENVIRONMENTAL AND SOCIAL SCREENING SUMMARY

(to be filled in after Annex A.1 has been completed)

Name of Proposed Project: Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas

A. Environmental and Social Screening Outcome

Select from the following:

☒ Category 1. No further action is needed

☐ Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.

☐ Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:

☐ Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b).

☐ Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate.

B. Environmental and Social Issues (for projects requiring further environmental and social review and management)

In this section, you should list the key potential environmental and social issues raised by this project. This might include both environmental and social opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. You should use the answers you provided in Table 4.1 as the basis for this summary, as well as any further review and management that is conducted.

potential impacts of climate change

capacity building and identifying key roles for women in fisheries

C. Next Steps (for projects requiring further environmental and social review and management):

In this section, you should summarize actions that will be taken to deal with the above-listed issues. If your project has Category 2 or 3 components, then appropriate next steps will likely involve further environmental and social review and management, and the outcomes of this work should also be summarized here. Relevant guidance should be obtained from Section 7 for Category 2, and Section 8 for Category 3.

As designed the Project shall promote social sustainability through inclusive and participatory approaches for all project activities. Detailed area profiles and National Tuna Management Plans (NTMP) have been prepared for each country, which includes a review of socio-economic, demographic, biophysical information as well as identification of local and national stakeholders and their respective roles in the project. Assessment of climate change impacts on oceanic fish stocks and development of adaptive management regimes will also be made.

Application, initially on a pilot scale, of an Ecosystem Approach to Fisheries Management (EAFM) shouldl lead to improved monitoring of oceanic tuna fisheries in the EAS and increased coverage, and reduction of catch of ETP species. The Project will also seek to enhance resilience to climate change by building adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions.

D. Sign Off

Project Manager **Date**

PAC **Date**

Programme Manager **Date**

Annex 6: Project Activities

Expected Outputs	Activities			
	Regional (WCPO)	**Philippines (PH)**	**Indonesia (ID)**	**Vietnam (VN)**
1.1.1 Joint WCPFC/PEMSEA Consultative Forum established for effective monitoring of highly migratory stocks and marine ecosystems across the POWPLME and EAS LMEs (Participation in and compliance with WCPFC activities)	Expanded annual Steering Committee (now = Project Board); including PEMSEA, SEAFDEC, Asean TWG, ABNJ etc (list) Participation in WCPFC activity (SC funding, maybe TCC, annual session ?) IUU review in each country – participate in RPOA-IUU (national level/own funds but no VN –no western SCS)	1. Convene a national forum with stakeholders for better monitoring of tuna fisheries and tuna resources, including removal of IUU fishing (tuna association, district, provinces, fisheries manager, research institute) 2. Convene a governmental consultative meeting to establish a national task force to cover issues related with each international activity 3. Participate in the Sub-regional Consultative Forum; disseminate the outputs of the Consultative Forum to relevant stakeholders; and implement any adopted actions within the country 4. Collaborate with RPOA-IUU to address IUU in the EAS LMEs and POWP LMEs (including implementation of and capacity building in CDS, elogbook, etc.) – may need a WS for elogbook	1. Convene a national forum with stakeholders for better monitoring of tuna fisheries and tuna resources, including removal of IUU fishing (tuna association, district, provinces, fisheries manager, research institute) 2. Convene a governmental consultative meeting to establish a national task force to cover issues related with each international activity 3. Participate in the Sub-regional Consultative Forum; disseminate the outputs of the Consultative Forum to relevant stakeholders; and implement any adopted actions within the country 4. Collaborate with RPOA-IUU to address IUU in the EAS LMEs and POWP LMEs	1. Implement a trial observer programme to collect catch/effort, biological data and bycatch information on-board 2. Install TUFMAN database in DECAFIREP database server and designate national data manager to manage and maintain the database 3. For the Joint Consultative meeting: a) Convene a national forum with stakeholders for better monitoring of tuna fisheries and tuna resources, including removal of IUU fishing (tuna association, district, provinces, fisheries manager, research institute) b) Convene a consultative meeting to develop TOR for the task force to cope with the Joint WCPFC/PEMSEA Consultative Forum; c) participate in the Joint Consultative Forum; and d) Convene a workshop to disseminate the Forum outputs to all relevant stakeholders, and implement any actions adopted by the Forum
1.2.1 General guidelines on adaptive management and monitoring of highly migratory stocks to address climate change developed	Regional workshop on Climate Change Impacts on oceanic Fish Stocks in POWLME/EAS LMEs (SPC/CLS consultants) To include discussions of general guidelines on adaptive management	1. Clearly identify and understand concepts involved in and between Outputs 1.2.1 and 1.2.2 2. Hire a consultant to compile all relevant information related with the impacts of climate change on HMS and to draft general guidelines on adoptive management and monitoring of HMS (e.g., Ongoing activity on fish mapping using	1. Clearly identify and understand concepts involved in and between Outputs 1.2.1 and 1.2.2 2. Hire a consultant to compile all relevant information related with the impacts of climate change on HMS and to draft general guidelines on adoptive management and monitoring of HMS;	1. Hire international-level experts to compile all information related with climate change impacts on tuna fisheries, especially in the EAS area, and produce draft general guidelines; 2. Convene a (training) workshop to train national personnel (including national consultants),

		satellite technology such as SST and eventually make this available to fishing vessels); 3. Convene a workshop to review the consultancy report, finalize the general guidelines, and a training course for capacity building to interpret climate change impacts on oceanic fisheries (collaborate with Department of Science and Technology)	3. Convene a workshop to review the consultancy report and finalize the general guidelines	and to finalize the general guidelines on adaptive management and monitoring of HMS to address climate change impacts
1.2.2 Adaptive management guidelines used for regional capacity building, training of national technical fishery staff, policy and decision makers in ID, PH and VN		1. Clearly identify and understand concepts involved in and between Outputs 1.2.1 and 1.2.2 2. Hire a consultant to compile all relevant information related with capacity building and training of technical staff and policy makers and develop a draft adaptive management guidelines; 3. Convene a workshop to review the consultancy report and finalize the adaptive management guidelines 4. Conduct training (workshop) for capacity building on monitoring the impacts of climate change on HMS (Conduct/participation in various training, seminars and workshops (collaborate/participate in SEAFDEC initiatives on capacity building ?); 5. BFAR and NFRDI will consider strengthening institutional arrangements according to the guidelines developed;	1. Clearly identify and understand concepts involved in and between Outputs 1.2.1 and 1.2.2 2. Hire a consultant to compile all relevant information related with capacity building and training of technical staff and policy makers and develop a draft adaptive management guidelines; 3. Convene a workshop to review the consultancy report and finalize the adaptive management guidelines 4. Conduct training for capacity building on monitoring the impacts of climate change on HMS	1. Hire a consultant to compile all relevant information related with capacity building and training of technical staff and policy makers and develop a draft adaptive management guidelines; 2. Convene a workshop to review the consultancy report and finalize the adaptive management guidelines 3. DECAFIREP and RIMF will consider strengthening of institutional collaboration according to the guidelines developed;
1.3.1 Sector policy instruments, such as development and management plans reviewed, and climate change adaptive management approach incorporated in sectoral policies and plans		1. Identification and creation of pool of experts to mainstream climate change concern into the national fisheries sector policy 2. Convene a technical WG (internal WG convened by BFAR and NFRDI) to design the TOR on the recruitment of consultants and conduct of process of obtaining the comments and suggestions of stakeholders; 3. Hire consultants and conduct TOR (e.g., to compile all information related with the impacts of climate change on HMS and capacity building (factual information), with participation of Climate Change	1. Hire consultants to compile all information related with the impacts of climate change on HMS and capacity building (factual information), under cooperation with National Council on Climate Change (DNPI) 2. Convene a workshop to develop overall national climate change management strategy related with HMS (re-interpret the factual information into legal/regulatory concepts) and integrate the developed strategy into government	1. Hire consultants (DECAFIREP will develop the TOR for the consultancy) to compile all aspects related with climate change concerns (including scientific aspects and experience from fishing community) and provide the consultancy report (including recommendations on policy reform and revision of national tuna management plan) to DECAFIREP 2. Convene a workshop with all relevant stakeholders to develop

		Commission (CCC)) to produce recommendations on policy and legal implications 4. Convene a workshop to develop overall national climate change management strategy related with HMS (re-interpret the factual information into legal/regulatory concepts) based on the Consultants' recommendations 5. Adopt and approve national climate change strategy adopted by the WS for oceanic fisheries and integrate strategy into government policy, programme, plans (NTMP), and even legislation and regulations by BFAR.	policy, programme, plans (NTMP), and even legislation and regulations. If needed, may hire other consultants.	the draft fisheries policy; DECAFIREP submit the finalized draft to relevant authority for approval
2.1.1 WCPF Convention and relevant regional instruments and agreements implemented		1. Hire a consultant to proceed with the follow meeting: Convene a meeting, as necessary, to provide a *Feedback Mechanism on WCPFC CMMs* that allows interpretation, clarification and feedback on policies and regulations from national to provincial, municipal and barangay. 2. Develop necessary policy and legal framework on a national level for full implementation of the WCPFC CMMs 3. Update *Operational Guide for Filipino Fishermen* and distribute the handbook to stakeholders, including bycatch 4. Review and refine FAD management plan (Analysis of available FAD data for Philippines waters and HSP, Review of existing FAD Management Plan, Report with recommendations for revisions)	1. Convene awareness workshops for stakeholders (including workshops in provinces) to disseminate the results of WCPFC annual meetings and national actions according to the results - National actions may include legislation of relevant results of WCPFC meetings into government policy, regulations or laws if needed 2. Update *Technical Guidance of RFMO CMMs and Resolutions* and distribute the handbook to stakeholders	1. Prepare national positions to cope with WCPFC meetings and participate in WCPFC meetings (e.g TCC, SC and the Commission meetings) to reflect its positions; deliver the results of the meetings to stakeholders; and implement relevant actions to fully comply with any adopted decision points relevant to Vietnam at the Commission meeting 2. Conduct one consultancy and convene one WS to develop reference points (RPs) and harvest control rules (HCRs) that can be applied to Vietnam tuna fisheries 3.Investigation and introduction on Resolutions, CMMs and other legal documents of WCPFC to relevant stakeholders
2.1.2 Fishery sector national reforms implemented in ID, PH and VN		This may include implementation of CMMs into national and local level. 1. For national level implementation, BFAR provide oversight implementation rules for tuna fisheries in compliance with WCPFC requirements for proper coordination and implementation of WCPFC CMMs at national level	1. Hire a consultant to update gap analysis done by WPEA-1 and provide recommendations to address such gaps 2. Convene a workshop to facilitate the adoption of gap analysis - DGCF will implement any actions required to address	1.Conduct one consultancy to review the existing national legal, policy and institutional framework in the light of WCPFC's requirements; 2. Convene one workshop to review the consultancy report and develop recommendations for

		2. For municipal level implementation, BFAR and NFRDI will provide technical assistance to local governments for their interpretation and implementation of WCPFC CMMs. - Hire a consultant to prepare a template for municipal fisheries ordinance - Consultants will develop information, education, and communication materials for municipal fisheries 3. Develop monitoring plan to assess PH compliance to these CMMs or assess effectiveness (compliance monitoring and evaluation)	such gaps - Disseminate the results of this process (DGCF's work)	possible national reform for submission to relevant authority;
2.2.1 Tuna fishery supply chains in the EAS analyzed		1. BFAR including Dept of Trade and Industry is developing supply chains of the Philippines for 2013 and 2014. Hire a consultant (market specialist) to assist the finalization of supply chain analysis. 2. Convene a workshop to review the supply chain analysis prepared by BFAR/DTI (or consultant) for the improvement of fisheries governance based on inducement from the market. The workshop will provide policy recommendations for the governance of tuna fisheries to be incorporated into legislation.	1. [Hire Consultants] [DG for Fish Processing and Marketing] can develop a draft supply chains (may collaborate with NGO such as WWF) 2. Convene a workshop to review and finalize the draft.	1. Hire a consultant (market specialist) to review the existing supply chain research plan of DECAFIREP, and to assist the completion of DECAFIREP's tuna supply chain analysis, including traceability study and catch certification linking with post/harvest activity. 2. Convene an awareness workshop to review the supply chain analysis developed by DECAFIREP
2.2.2 Strengthening of capacity in sustainable fishing practices, including certification		1. Collect and compile existing information that are implementing market-based sustainable fishing practices (eg, WWF's seafood guide) 2. Hire a consultant to produce WPEA-supported handbook (including the introduction of certification) on this (may need one workshop to review the handbook) and disseminate the compiled information through website, seminar, or any other IEC mechanisms to all stakeholders. - Consultants may consider the	1. Hire consultant(s) to compile all issues related with eco-certification for both internationally (WPEA area) and domestically, and provide recommendations (draft action plan) for Indonesia to improve sustainable fishing practices, including certification (This consultancy will include requests described in Output 2.2.3) 2. Convene a workshop to review/finalize the consultancy report and recommendations in the	1. Hire consultant(s) to compile all issues related with eco-certification for both internationally (WPEA area) and domestically, and provide recommendations (draft action plan) for Vietnam to improve sustainable fishing practices, including effective post-harvest process (such as tuna auction at landing sites) and certification 2. Convene a workshop to review/finalize the consultancy

		following items for the handbook: i) best practice guides for fishing, ii) assessing and processing, and iii) post-harvest handling 3. Provide technical or practical assistance to relevant industries for their establishment of Chain of Custody systems	report - According to the adopted action plan by the workshop, [DGCF] will implement such plan, including publication of handbook for stakeholders on certification process and sustainable fishing practices 3. Convene an awareness workshop to effectively build stakeholder's capacity and implement sustainable fishing practices	report and recommendations in the report - According to the adopted action plan by the workshop, DECAFIREP will implement such plan, including publication of handbook for stakeholders on certification process and sustainable fishing practices 3. Convene an awareness workshop to effectively build stakeholder's capacity and implement sustainable fishing practices 4. Develop a module catch certification for traceability to implement EC regulation 1005/2008, if applicable
2.2.3 Requirements for sustainable fishing practices (e.g., MSC certification) collaboratively identified by stakeholders		1. Hire a consultant to prepare recommended requirements for review at a WS 2. Convene a workshop to review and identify the best requirements for market-based sustainable tuna harvests. 3. Data collection for the update of supply chains and implementation of market-based fisheries management (Refer to text in the Budget Note: Following review of supply chains and traceability by national and international consultants, establish data collection and annual reporting systems; Data collection by provincial/regional staff with operational support)	1. Establish and maintain vessel registers and catch certification databases	1. Hire a consultant to prepare recommended requirements for review at a WS 2. Convene a workshop to review and identify the best requirements for market-based sustainable tuna harvests.
2.3.1 Criteria for monitoring programs and stock assessment for highly migratory fish stocks and associated ecosystems developed		1. Convene an Experts Group Meeting to identify and develop categories for the development of criteria for monitoring and stock assessment and associated ecosystems. Criteria for example, in the category of port sampling, it may need to define scope and frequency of data collection, type of data collected, verification of data, environmental	1. RCFMC will conduct a research to develop the criteria for monitoring programs and stock assessment for highly migratory fish stocks and associated ecosystems 2. Convene a workshop to review the RCFMC's research report	1. Hire consultant(s) to identify and develop categories for the development of criteria for monitoring and stock assessment and associated ecosystems for review and approval by an expert group (RIMF and DECAFIREP) 2. The Consultant(s) will develop guidelines for each category,

		conditions, etc. The experts group will produce the criteria report.		which will be the criteria for monitoring programs and stock assessment for highly migratory fish stocks and associated ecosystems - Criteria for example, in the category of port sampling, it may need to define scope and frequency of data collection, type of data collected, verification of data, environmental conditions, etc. 3. Convene a WS to review and finalize the criteria
2.3.2 Monitoring of programs and stock assessments for highly migratory fish stocks and associated ecosystems expanded		1. The Experts Group will conduct a gap analysis, including identification of potential activities and budgetary requirements, between the expected and current monitoring and assessment programmes (e.g., between the current scope of work in monitoring programme, stock assessment and associated ecosystem area and the expected coverage needed to comply with WCPFC requirements, in addition to the existing monitoring programme) and prioritize necessary activities to be conducted under WPEA-2 project. The group may consider: - Consultation with small and medium scale tuna operators - Training of enumerators and conduct of monitoring in small and medium scales fisheries and continue monitoring in existing sites - Reconstruction of historical data for the Philippines from 2000-2005 2. Implement the selected high priority activities identified and recommended in the gap analysis , including implementation of sub-regional/national assessments (reference points, harvest control rules, stock assessments, CPUE analysis, risk assessment available for by-catch and ETP species, etc., if applicable)	1. RCFMC, in consultation with DGCF, identify any gaps between the current scope of work in monitoring programme, stock assessment and associated ecosystem area and the expected coverage needed to comply with WCPFC requirements, in addition to the existing monitoring programme. A (country stock assessment) workshop will be convened if needed. 2. Implement the expansion of the scope of work (e.g., use of reference points and harvest control rules for scientific advice to managers, bycatch data collection from port sampling) as identified above in activity 1, including observer programme.	1. Hire consultant(s) to conduct a gap analysis, including identification of potential activities and budgetary requirements, between the expected and current monitoring and assessment programmes (e.g., between the current scope of work in monitoring programme, stock assessment and associated ecosystem area and the expected coverage needed to comply with WCPFC requirements, in addition to the existing monitoring programme) and prioritize necessary activities to be conducted under WPEA-2 project. The group may consider: - Consultation with small and medium scale tuna operators - Training of enumerators and conduct of monitoring in small and medium scales fisheries and continue monitoring in existing sites - Revisit the reconstruction of historical catch and effort data for the Vietnam since 2000 2. Implement the selected high

		for target species, with national assessments on a regular basis if necessary 3. Conduct data-related activities, including port sampling, training of enumerators, data reivew WS and catch estimates WS, field trip for the supervision of port sampling and data collection, etc. 4. Capacity building in country's science (support to SC meeting participation)		priority activities identified and recommended in the gap analysis , including implementation of sub-regional/national assessments (reference points, harvest control rules, stock assessments, CPUE analysis, risk assessment available for by-catch and ETP species, etc., if applicable) for target species, with national assessments on a regular basis if necessary 3. Conduct data-related activities, including port sampling, training of enumerators, data review WS and catch estimates WS, field trip for the supervision of port sampling and data collection, etc. 4. Capacity building in country's science (support to SC meeting participation)
2.3.3 Monitoring, Control and Surveillance (MCS) and Vessel Monitoring System (VMS) programs established		PHL has already established MCS system. However, it may need to improve the system, especially in the area below: 1. Hire consultants to review the existing port state measures, national legislation to prevent, deter IUU fishing activities; and boarding and inspection procedures either in port or at sea; and produce a review report including recommendations; 2. Convene a WS to review the consultancy report and prioritize actions to be taken within WPEA-2 project 3. Conduct a training (WS) to support the VMS operationalization of BFAR regional offices through capacity building. 4. Support implementation of Observer Programme in Philippines, including support to training WS, briefing and debriefing WS, data collection, etc.	1. Some of the systems for VMS, Observer programme, port measure/control, and boarding and inspection activities are already fully established. No further activities are required for this output. 2. Convene a workshop to strengthen implementation of the established MCS.	1. Hire consultant(s) to review the current MCS system in Vietnam and provide recommendations on areas required for further strengthening of the system; 2. Convene a workshop to review the consultancy report and prioritize activities to be implemented for the improvement of MSC system
2.4.1 EAFM and associated tuna management plans finalized & implemented in ID,		EAFM is mentioned in a number of PHL legal documents of the government and some degree of application at a local scale (bay level). However, for a large pelagic scale, no EAFM has been applied yet.	1. DGCF, in collaboration with RCFMC and other agencies, will develop a draft tuna management plan (a revised NTMP) that includes EAFM. The scope of EAFM to be	1. Hire consultant(s) to develop a learning module to fully understand EAFM and its scope for application in Vietnam 2. Convene a workshop to review

PH and VN		1. Develop a learning module to fully understand EAFM for a capacity building workshop 2. Review the existing NTMP, strengthen EAFM section and finalize the Plan	developed may include i) geographic area to be applied, ii) fishery types to be covered, iii) associated species (for example, bycatch species) to be included, iv) developing network for interdisciplinary cooperation including data sharing, v) developing EAFM indicators and management strategy on selected fisheries, vi) adaptive management strategy, vii) pilot application with a limited scope, etc. 2. Convene a workshop (ensuring coordination, consultation and cooperation, including joint decision-making, between fisheries operating in the same ecosystem and other sectors that interact with it) to review and finalize the draft plan.	the consultancy report, revise the existing NTMP, and identify priority actions for a trial application of the EAFM 3. Apply EAFM to limited area/fisheries as a trial
2.4.2 EAFM implemented in government departments, fishing industry, and other key stakeholders for the conservation of tuna stocks and reduction of by-catch		1. Convene an experts meeting to identify a tuna fishery for EAFM application, considering - geographic area to be applied, - other fishery types to be covered, - associated species (for example, bycatch species) to be included, - developing network for interdisciplinary cooperation including data sharing, - developing EAFM indicators and management strategy on selected fisheries, - adaptive management strategy, - selection of pilot area 2. NFRDI will apply EAFM to the identified pilot area and produce a progress report - Identify possible institution or organizations for collaborative work on pilot scale application of EAFM - Reduction of by-catch of endangered, threatened and protected (ETP) species, such as sea turtles, sharks and	1. Subject to the progress on the adoption of the EAFM-based NTMP, limited application of the Plan may be applied to selected areas (geographic, temporal, fisheries, species, risk analysis, etc.). 2. Post-application monitoring of the Plan will be required to observe the effectiveness of the Plan. 3. Convene a workshop to review the results of EAFM implementation.	1. Hire consultant(s) to compile all information relate with the definition, scope and examples of application of the EAFM on tuna fisheries, and report the results at an awareness workshop for the capacity building of relevant stakeholders; 2. The WS will choose and recommend guidelines (or operational roadmap) for the application of EAFM to the government 3. DECAFIREP will apply EAFM according the WS recommendations Items to be considered: - geographic area to be applied, - other fishery types to be covered, - associated species (for example, bycatch species) to be included, - developing network for

		seabirds be evaluated - Consider the following targets: Mitigation measures fully applied; compliance with shark CMMs, Smart Gear developed. Note: Some activities may collaborate with relevant agencies/organizations There are examples of EAFM application in other related projects in PH such as SSME, CTI-SEA		interdisciplinary cooperation including data sharing, - developing EAFM indicators and management strategy on selected fisheries, - adaptive management strategy, - selection of pilot area - Identify possible institution or organizations for collaborative work on pilot scale application of EAFM - Reduction of by-catch of endangered, threatened and protected (ETP) species, such as sea turtles, sharks and seabirds be evaluated - Consider the following targets: Mitigation measures fully applied; compliance with shark CMMs, fishing Gear developed.
3.1.1 Sub-regional database established for the West Pacific Ocean and East Asia LMEs consistent with the WCPFC framework		1. Convene a three-country meeting (with WCPFC/ SPC, or raise the issue of database development at the Joint Consultative Forum to develop a database strategy) to discuss about the establishment of a sub-regional database (location of the database, scope and coverage of the data, management procedure, etc); 2. Subject to the decision from the Three-country meeting (or Consultative Forum), we need to make some agreements such as MOU (including all relevant data rules) among relevant countries (project participating countries) and agencies (PEMSEA, SEAFDEC, and other projects). A consultant may be hired to draft such MOU and data rules. 3. Establish the database, collect data and build capacity (Enhancement of the existing database systems (NSAP, TUFMAN, TUBS) including capacity	1. Raise the issue of database development at the Joint Consultative Forum to develop database strategy; 2. Subject to the decision from the Consultative Forum, implement country actions agreed by the Forum, including documentation of the best practices in oceanic fisheries management in Indonesian Area of the West Pacific Ocean and East Asia LMEs	1. Convene a three-country meeting (with WCPFC/ SPC, or raise the issue of database development at the Joint Consultative Forum to develop a database strategy) to discuss about the establishment of a sub-regional database (location of the database, scope and coverage of the data, management procedure, etc); 2. Subject to the decision from the Three-country meeting (or Consultative Forum), need to make some agreements such as MOU (including all relevant data rules) among relevant countries (project participating countries) and agencies (PEMSEA, SEAFDEC, and other projects). A consultant may be hired to draft such MOU and data rules.

		building relating to the improvement of the existing database systems and documentation of data gaps)		3. Establish the database, collect data and build capacity
3.1.2 Lessons learned and best practices in oceanic fisheries management in the West Pacific Ocean and East LMEs disseminated using various communications media: technical reports, WCPFC's website, videos, IWLearn, PEMSEA and CTI websites		WPEA-2 Project will hire Project Knowledge Management Associate (PKMA) who will cover knowledge sharing matters. Prepare communication media, especially videos, at early stage of the project for the dissemination of the project outputs 1.National tuna coordinator (NTC) will supply all relevant information to the Project Management Unit (PMU or Project Manager) for consolidation and dissemination to all stakeholders and sub-regional organizations through publication: (this is at sub-regional level) 2. (at national level) Produce a compiled, translated project report for layman's understanding of the WPEA-2; 3. Update/Maintain the existing project website, country website, and liking with other agencies, etc. 4. Establish Country Project Audit Team to establish the benchmark before the project and to audit the outcomes after the project – this report can be disseminated to all stakeholders, UNDP and GEF as a project output 5. Active website maintained in collaboration with PEMSEA, and commitment to preparation and dissemination of project publication, newsletters and other information products; Consultative Forum activity widely reported; 6. Increased participation in international and (sub-)regional knowledge sharing events (one per year), such as IWLearn and EAS Congress	1.Project will hire Project Knowledge Management Associate (PKMA) who will cover knowledge sharing matters 2.Distribute produced project reports to the stakeholder via website 3.Update Information project publication in the Website; 4.Linking the information of the project to WCPFC and MMAF web site (both already established) 5.District and provincial WS to disseminate the WPEA-2 project result (later – own funds) 6. Prepare communication media, especially videos, at early stage of the project for the dissemination of the project outputs	WPEA-2 Project will hire Project Knowledge Management Associate (PKMA) who will cover knowledge sharing matters. Prepare communication media, especially videos, at early stage of the project for the dissemination of the project outputs 1.National tuna coordinator (NTC) will supply all relevant information to the Project Management Unit (PMU or Project Manager) for consolidation and dissemination to all stakeholders and sub-regional organizations through publication: (this is at sub-regional level) 2. (at national level) Produce a compiled, translated project report for layman's understanding of the WPEA-2; 3. Update/Maintain the existing project website, country website, and liking with other agencies, etc. 4. Establish Country Project Audit Team to establish the benchmark before the project and to audit the outcomes after the project – this report can be disseminated to all stakeholders, UNDP and GEF as a project output 5. Active website maintained in collaboration with PEMSEA, and commitment to preparation and dissemination of project publication, newsletters and other information products; Consultative Forum activity widely reported; 6. Increased participation in international and (sub-)regional

				knowledge sharing events (one per year), such as IWLearn and EAS Congress
3.1.3 One percent of IW budget allocated to the regional knowledge platform to support IWLearn activities, including IWLearn project websites, experience notes and IW Conferences		1. IW Learn activities supported in Philippines and regionally	1. IW Learn activities supported in Indonesia and regionally	Participation in the regional knowledge platform
Project management				

Annex 7: List of Companies/Companies to be involved in the Project

#	List of Companies/Organization	Nature of Involvement
	INDONESIA	
1	Harini Asri bahari	• Attending consultation meetings and workshops (e.g., meetings for updating National Tuna Management Plan, estimating natinal annual tuna catch, reviewing policy, legal and institutional arrnagements of tuna fisheries, etc.); • Cooperation in the provision of data and verification process for the estimates of total tuna catch by industries; • Provision of tuna imports and exports data; • Cooperation in the facilitating of observers on-board deployment and provision of logsheets;. • Coordination and/or implementation of the Fisheries Improvement Program (FIP); • Comply with various WCPFC CMMs (VMS, Logbook, IUU, etc.); • Arranging meetings and workshops at provincial level; etc.
2	Sari Harta Samudera	
3	Ocean Mitramas	
4	Aneka Loka Indotuna	
5	Bina Nusa Mandiri Pertiwi	
6	Etnieko Sara Laut	
7	Harini Nalendra	
8	Jaya Bali Bersaudara	
9	Jaya Kota	
10	Lautan Lestari Abadi	
11	Karunia Laut	
12	Skipjact Indonesia Pratama	
13	Agrindo Bahari Kencana	
14	Agrindo Mina Bahari	
15	Arabikatama Khatulistiwa Fishing Industry	
16	Aru Samudera Lestari	
17	Fischo Marindo Utama	
18	Jaya Bali Bersaudara	
19	Indonesia Tuna Association	
20	Mentari Prima Bahari	
21	Pathe Maang Raya	
22	Perikanan Nusantara	
23	National Fishing Fleet Associaon	
24	Starcky Indonesia	
25	Wailan Pratama	
26	Waranei Perkasa	
27	Firgo Internusa	
28	Bitung Fishing Industries Association	
29	Indonesia Pole and Line, Handline Association	
30	Indonesia Fish Canning Association	
	PHILIPPINES	
1	SOCKSARGEN Federation OF Fishing Industries Inc. (SFFAII) – c/o Ms. Rosanna Bernadette Contreras	• Attending consultation meetings and workshops (e.g., workshops for revising National Tuna Management Plan and Operations Guide for Filipino Fishermen, National Tuna Annual Catch Estimates Workshop, National Tuna Fishery
2	Frabelle Fishing	
3	Confederation of Fishing Industries (ConFed)	

4	RD Fishing	Profiles, etc.); • Arrange meetings/workshops at provincial level; • Cooperate in the provision of data and verification process for the estimation of annual total tuna catch by industries; • Comply with various WCPFC CMMs (e.g. observer, VMS, etc.); • Continue to support and facilitate on-board observers and provision of logsheets; etc.
5	San Lorenzo Ruiz Fishing	
6	CHL Fishing	
7	Trinity Homes Industrial Corp	
8	TSP Marine Industries	
9	Trans Pacific journey Industries Corp	
10	Marchael Sea Ventures	
11	NH Agro Industrial Corp	
12	Umbrella Fish Landing Association	
13	Roel Fishing	
14	Rell and Renn Fishing Corp	
15	Damalerio Fishing Corp	
16	Other tuna companies (e.g. General Tuna Canning Corp.)	
	VIETNAM	
1	Vietnam Tuna Fisheries Association (VINATUNA)	• Attending national meetings and workshops convened by Government agencies (e.g. legal and policy review meetings, revising National Tuna Management Plan workshops, Climate Change Capacity Building training courses, etc.); • Coordination and/or implementation of Fisheries Improvement Program (FIP); • Arranging and funding meetings/workshops at provincial level; • Provision of tuna fisheries data, participation in workshops for the estimation of national annual tuna catches, and verification process of tuna catches by industries; • Comply with various WCPFC CMMs (e.g. IUU, observer, VMS, etc.), etc.
2	Binh Dinh Tuna Fisheries Association	
3	Khanh Hoa Tuna Fisheries Association	
4	Phu Yen Tuna Fisheries Association	
5	Culimer Vietnam Co., Ltd	
6	Tin Thinh company	
7	Vinh Sam company	
8	Thinh Hung company	
9	Hai Vuong company	

SIGNATURE PAGE

Regional: Indonesia, Philippines and Vietnam

UNDAF Outcome (s)/Indicator (s):

INDONESIA - Outcome 5: Climate Change and Environment: Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities

PHILIPPINES- Outcome 4: Resilience Towards Disasters and Climate Change: Adaptive capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters, and climate change

VIETNAM – Focus Area One: Inclusive, Equitable and Sustainable Growth*Link to UNDAF Outcome. If no UNDAF leave blank.*

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:

Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance

> Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation

UNDP Strategic Plan Secondary Outcome:

Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded

Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste

Executing Entity/Implementing Partner: Western and Central Pacific Fisheries Commission (WCPFC)

Implementing entity/Responsible Partner: N/A

Programme Period:	2014-2017
Atlas Award ID:	00077221
Project ID:	00088145
PIMS #	4753
Start date:	March 2014
End Date	February 2017
Management Arrangements	Inter-Governmental Organization Implementation (IGO)
PAC Meeting Date	TBD

Total resources required	22,093,103
Total allocated resources:	22,093,103
o GEF	2,233,578
o Governments	15,428,525
o WCPFC	3,275,000
o UNDP	1,156,000

Agreed by Government of Indonesia:

Date/Month/Year

Agreed by Government of Philippines:

Date/Month/Year

Agreed by Government of Vietnam:

Date/Month/Year

Agreed by WCPFC:

Date/Month/Year

Agreed by UNDP:

Date/Month/Year