



**Sustainable Management of Highly Migratory Fish Stocks in the
West Pacific and East Asian Seas (WPEA SM Project)**

**PROJECT INCEPTION WORKSHOP AND
FIRST PROJECT STEERING COMMITTEE MEETING
4-5 November 2014, Da Nang, Vietnam**

INCEPTION WORKSHOP REPORT

05 November 2014

1. OPENING OF THE MEETING

1. The WPEA Project Manager (Dr SungKwon Soh) formally opened the WPEA-SM Inception Workshop at 08:30am on 04 November 2014, and was appointed as Chair. Participants were welcomed and introduced. Following some minor rescheduling of the Introduction Section, the provisional agenda (WPEA-2014/IW-01 Rev 1) was adopted (**Attachment A**). A list of participants is attached (**Attachment B**).

2. INTRODUCTION

2. UNDP Regional Technical Advisor (Dr. Jose Padilla) briefly reviewed the background of the project, noting that this is a 'Full Size Project (over USD 2 million)' and explained how this designation affected GEF processes. For WPEA-SM, WCPFC is directly engaged to implement the project on behalf of UNDP and the Countries, instead of operating through the UNOPS. The Inception Workshop runs back to back with the first annual Steering Committee Meeting. The project document has been signed by the national implementing partners for Indonesia, the Philippines and Vietnam. Indonesia as the final signatory signed the project document on 28 Oct 2014, which is the official date for the commencement of this project.

3. Dr Lewis presented background on the development of the project proposal from conception to date, and the principal factors affecting its final design. It was recognized that funding is less than anticipated and the partner countries should give consideration to prioritizing the scale and timing of activities to best meet their national needs. He highlighted two areas that should be further considered by this group: climate change and regional stock assessments. Synergies with existing and proposed projects should be sought to maximize outputs, avoiding duplication and some cost saving. PEMSEA's existing capacity in knowledge management may well be useful, given that this was an area which was found, by the terminal evaluation, to be wanting in the previous WPEA project.

3. LOGFRAME, BUDGET AND ANNUAL WORK PLAN

4. The Project Manager explained the key sections of the project document, including the project log-frames, annual work plans for each partner country, budget notes and project activities. UNDP

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reminded the workshop that the maximum change that could be applied to budget was 10%, and any budget changes approved by the Project Steering Committee should include references to the precise UNDP budget codes. It was further noted that the PEMSEA Inception Workshop was scheduled for April 2015 and that a representative from WCPFC should attend the PEMSEA Steering Committee meeting in Da Nang scheduled for October 2015.

5. The Project Manager reviewed each of the following Components and Project Outcomes, detailing issues and proposed actions/activities for discussion amongst project countries, UNDP and the Project Technical Advisor, Dr Tony Lewis.

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 1.1: Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the Pacific Ocean Warm Pool Large Marine Ecosystem (POWP LME) and the EAS LMEs

6. UNDP indicated that the total budget of USD 160,000 for the establishment of Joint WCPFC/PEMSEA Consultative Forum may be excessive. All that is required is a link to advise PEMSEA of WPEA developments. The issue will be put on hold until UNDP, WCPFC and PEMSEA have an opportunity to meet and discuss collaboration. Dr Lewis explained that this element of the Project Document was intended to raise the profile within the WCPFC of the three partner countries who take more than 30% of WCPFC tuna catch. Establishment of a sub-regional database (see later) might be associated with this initiative as well as other consultative activities

7. Indonesia raised a potential political complication. PEMSEA falls under the Ministry of Environment, not Fisheries, and so it would be difficult for Fisheries to interact directly with PEMSEA, an organisation which focuses on coastal issues. Vietnam reminded members that SEAFDEC had created a working group for tuna, which will meet for the first time in November 2014, although neritic tuna are now the main focus of SEAFDEC tuna activities

8. The Steering Committee agreed that WPEA/WCPFC/UNDP will liaise with PEMSEA and SEAFDEC as soon as mutually convenient, to agree an optimal level of cooperation.

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.

9. Responding to an expression of uncertainty regarding the anticipated outcomes, Dr Lewis explained that existing models could be reviewed, and SPC may contribute to an initial information workshop using the Spatial ecosystem and Population dynamics model (SEAPODYM), with the only cost to participants being for travel. It was noted that there was existing climate change architecture within countries, i.e. organisations and projects etc.

10. The workshop was advised that Dr Patrick Lehodey, the lead researcher on SEAPODYM, would be attending the SPC Pre-Stock Assessment Workshop in Noumea in April 2015. WPEA country participants of the Tuna Data Workshop may stay on for a few extra days if Drs Lehodey and Simon Nicol (SPC) might be persuaded to hold a small meeting/workshop. Dr Lewis indicated that the SEAPODYM model is already being applied sub-regionally, and Dr Nicol would be prepared to attend a three country workshop to present and demonstrate SEAPODYM, as noted above. Dr Lewis further suggested that the CLS Argos project should be contacted to see if they would attend the same workshop,

as they are currently supporting projects in Indonesia and Vietnam. It was noted however that climate change modelling is not currently sufficiently advanced to directly inform stock assessments, but is used primarily to indicate potential risks and uncertainty associated with those stock assessments, especially with longer term projections.

11. The Steering Committee agreed that to comply with the project document the following activities will be conducted:

- **SEAPODYM – an existing model for the Pacific could be extended to include the WPEA area.**
- **Climate Change considerations may need to be included in the country’s National Tuna Management Plan (NTMP).**
- **SPC should be invited to contribute to a sub-regional training workshop on climate change impacts on oceanic tuna fisheries.**
- **WCPFC will update and confirm availability of SEAPODYM specialist availability to meet with WPEA participants in Noumea around the time of the SPC Tuna Data Workshop, then to liaise with and assist country representative participation.**
- **WCPFC to contact existing regional CLS Argos (Patrick Lehodey) and determine if they are prepared to support the WPEA regional climate change workshop.**

Outcome 1.3: Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam.

12. In response to the leading question on how climate change is to be incorporated into national tuna management plans, Indonesia revealed that during the Tuna Conference in Bali from 19-21 November, the National Tuna Management Plan would be launched, and the Minister would expound upon the relationship between tuna fisheries and climate change.

13. Vietnam suggested that Outcome 1.2 should feed into 1.3. The National Assembly will in 2016, with the support of contracted experts, pass a revision of fishery law. The WPEA and other budgets may support this process. The Vietnamese NTMP is not yet approved, but it should be in place next year, once the current restructuring of the Ministry of Agriculture and Rural Development (MARD) is completed.

14. In the Philippines, fisheries adaptation to climate change already exists, and the current focus is on data collection. There exists a Climate Change Commission which fisheries report to; however if technical gaps are identified, external expertise may be requested under WPEA.

15. In summary, there isn’t sufficient information available currently to develop climate change policy; however actions may be developed during the life of the project.

Component 2: Implementation of policy, institutional and fishery management reform

Outcome 2.1: Enhanced compliance of existing legal instruments at national, regional and international levels

16. In his presentation, the Project Manager identified a relatively small budget shortfall in the proposed Indonesian budget for the national tuna coordinators (NTC) which may be recovered by reallocation.

17. Indonesia made the point that changes in national legislation took so long to complete that there would always be a lag behind organisations such as WCPFC who were able to modify or create new regulations annually. Dr Lewis appreciated the point made, and indicated that if support was needed to accelerate changes in legislation, then funding would be available, but only if required and requested.

Outcome 2.2: Adoption of market-based approaches to sustainable harvest of tunas

18. Dr Lewis explained the importance of documenting supply chains in relation to traceability and other issues, and detailed some examples in the WPEA area. Data would likely exist with other agencies outside fisheries, for example veterinary, customs etc. Data to be collected would be at a high level to provide an overview on general flow of tuna chain processes and corroborate catch statistics and landings data.

19. The Philippines clarified an item in the logframe, confirming that there were ongoing workshops working towards MSC certification in Mindoro. This is currently supported by industry, but extra funding assistance would be needed, which might be provided under WPEA.

20. Indonesia would be better positioned to identify fisheries that would be suitable for MSC certification once the NTMP was adopted.

21. Dr Lewis pointed out that the Vietnamese handline and longline fisheries for yellowfin are under a FIP (Fisheries Improvement Plan) now, and this was heavily reliant on outputs from the previous WPEA project. Vietnam indicated that the FIP for tuna caught by longline and handline fisheries may be a candidate for MSC certification, noting that a supply chain study is underway. The WPEA project may contribute, perhaps via a joint venture workshop with the FIP process and include more participants and for supply chain and certification. Furthermore, in several provinces in Vietnam, there is a restructuring of production, processing, consumer and export chains which is closely related to this WPEA outcome.

22. Philippines suggested that prior research to inform the partner countries of the current status of tuna fishery supply chains and related issues should be a priority.

23. UNDP referred the workshop to a UNDP project on sustainable supply chains, which may also support this WPEA objective, and Indonesia indicated that they were already communicating with the relevant agencies in this project. It needed to be confirmed whether this project would include tuna fisheries.

24. The workshop was advised that for Vietnam information packaging is more important than data collection which is ongoing.

25. The Steering Committee agreed the following actions:

- **The hiring of a national consultant to collate all supply chain related issues and provide a country report/available data summary (Terms of Reference to be developed in line with the needs of each country).**
- **UNDP will provide the fishery focus for the global project on sustainable supply chains with a view to obtaining additional support to achieve these WPEA outcomes.**
- **It is recommended that prior research on supply chains/traceability etc. should be conducted, by a consultant within a budget of USD 2,000 per country. Individual ToRs for reports will be agreed with each project country.**

Outcome 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

26. UNDP noted that data collection is the most important component, and should be fully supported. Where additional funding might be required, this may be done via reallocation between different project components and/or future co-financing grants, noting that care should be taken since this could affect the budget codes

27. Vietnam concurred indicating that data collection is their priority activity. All three partner countries would support reallocation of their budgets to support data collection.

28. The Project Manager gave an overview of the WCPFC SPC stock assessment process and proposed a three country workshop with the following implications:

- Three country stock assessment scientists and data managers will have a meeting to consider the possibility of conducting a sub-regional stock assessment with any applicable model to EAS area only, and conduct a trial assessment;
- Invite SPC staff to a stock assessment training workshop for presentation on the results of sub-regional stock assessment (from 2014 onwards) after changes to MF-CL model structure, and try to develop a sub-regional stock assessment framework;
- A suggested process throughout the project period will be:
 - a) Step 1: Consultation meeting among stock assessment scientists and conduct a trial sub-regional stock assessment;
 - b) Step 2: Conduct a sub-regional stock assessment training workshop;
 - c) Step 3: Develop a sub-regional stock assessment framework.

29. Dr Lewis offered guidance indicating that the stock assessment was just that, an assessment of the stock – through its range. Where relatively small areas within the range are assessed, variability and uncertainty increases, and such assessments may not be appropriate analyses on which to base reference points (RPs) or harvest control rules (HCRs). Other options to conduct assessments at a national level are less reliable than those across the range of the stock. Regarding the development of a sub-regional database to support the proposed Consultative Forum with e.g. SEAFDEC and PEMSEA, it will require extensive consultation and should initially be kept simple, e.g. for catch and effort data which is already collected, and an online database is probably ambitious – but ultimately the individual countries should decide how much and what type of data should be provided.

30. The issue of data sharing between the three partner countries was raised, querying the current policies which should be worked through before a joint stock assessment could be considered. Another early action would be for a national consultant to review what data are available and which models should be used in country. It was suggested that all stock assessment training could be combined into a single three-country workshop with international expert advice as required. There would likely be a need to define the type of data to be collected and shared, and ultimately the partner countries would want a web based system that could be accessed on line.

31. There followed discussion on the potential for SPC to conduct stock assessments in model region 7 in detail. The member countries were encouraged to request through their country delegates at WCPFC and SC meetings that SPC conduct stock assessments on EAS on their behalf.

32. In recognition that the fisheries in question are for highly migratory species (HMS), the question of distinguishing local catches from those outside of the WPEA region was raised. However it was pointed out that VMS and logbooks indicate where fishing has occurred, and there may be historical data by country, for example landed catches have been monitored for more than 10 years in the Philippines, where a stock assessment is currently being conducted for straddling stocks of small pelagics. In addition,

research vessels are conducting studies on larvae and spawning ground; hence there is a need to catalogue existing data by country before considering work on a sub-regional level.

33. The workshop noted that participants who had attended stock assessment workshops at SPC, found them useful to understand the WCPFC regional stock assessments, but the partner countries could not use MF-CL. It was noted that there will be other options which might be appropriate for the partner countries. The workshop also noted the wording in the logframe target: “Tuna management strengthened through applying scientific procedure using RPs and HCRs at national level once applied at regional level”.

34. Regarding the biodiversity element in the logframe, outcomes can be addressed through increased information from observer programs and bycatch sampling, leading to reductions of bycatch and especially a range of conservation measures for endangered, threatened and protected (ETP) species.

35. The Steering Committee agreed the following actions:

- **Catalogue existing data by country before considering work on a sub-regional level stock assessment.**
- **Hold a meeting of sub-regional stock assessment scientists (and data manager) in year 1 to discuss available data, appropriate models and cooperation with the aim of conducting sub-regional stock assessments, and to finalise the details of preparing the sub-regional stock assessment training workshop.**

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

36. Dr Lewis noted that without observer data collection (and bycatch sampling) this outcome isn't possible. Furthermore, bait used to catch tuna should be considered along with bycatch. The ecological risk assessment (ERA, also known as productivity and susceptibility analysis, PSA) is for bycatch only. The review of the NTMPs is included because there is reference in each of them to EAFM, and recommendations may be made for the NTMPs. PSA work to date indicates that there is generally a low risk for most bycatch species, but there may be a need to consider in greater detail threatened or endangered species where extensive CMMs are already in place at regional level. The information gathered could be reviewed at a workshop in year 2 and the outputs from that workshop could then be applied to policy and NTMPs in year 3.

37. In Vietnam, all data including bycatch is captured, which is sufficient for a risk assessment that could be conducted in year 1 or 2.

38. The Philippines suggested that the existing NTMP should be reviewed in the first year. EAFM WS planning and EAFM WS Policy would be in year 2 and then the risk assessment and EAFM application could be in year 3, although it may be useful earlier to inform planning for EAFM activities. UNDP supported this approach, but noted that there may be an issue in terms of funding to complete the outputs and recommended reviewing the output to be more realistic in light of available resources.

39. It was noted that the Vietnam handline fishery may have much of the information needed for an EAFM pilot study, and suggested that selecting several appropriate target fisheries would be a good option, a suggestion which UNDP supported.

40. It was recognised by the Philippines that there was a need to train planners and fishers in EAFM; and UNDP noted that after some training the project countries would be better placed to know what was required to deliver EAFM.

41. In response to Dr Lewis's query as to whether the application of an EAFM would be the responsibility of Ministry of Fisheries or Environment, in the Philippines there would be an overlap, whereas in Vietnam and Indonesia the responsibility would fall to the Fisheries.

Component 3 Knowledge sharing on highly migratory fish stocks

Outcome 3.1 Knowledge sharing on highly migratory fish stocks in the POWP and EAS LMEs.

42. UNDP drew the participants' attention to the International Waters Conference in 2015 in Da Nang; the project should support the attendance of one representative per country and from WCPFC. WCPFC should prepare experience notes for IW Learn.

43. UNDP suggested consideration should be given to having a dedicated project website for better visibility. An example of an appropriate page was given: www.pacific.iwrm.org, although for this relatively small project, the website may have smaller scope content.

44. Following the suggestion that the specialist knowledge manager would maintain the website, there was considerable discussion about that position and the other contracted post for a project management assistant given the limited budget available.

45. The recommended course of action to meet the WPEA knowledge management needs, is to explore the possibility of a contract with PEMSEA.

46. UNDP presented financial management (**Attachment C**) and M&E procedures of UNDP-GEF projects & Adaptive Management (**Attachment D**).

47. Following a brief discussion regarding future Steering Committee meetings, **the Steering Committee agreed an efficient and economical approach as follows:**

- **The Steering Committee meetings will be held for two days and be scheduled back to back with 3-country project workshops; it was further agreed that the next Steering Committee meeting would be held in November 2015 and will be hosted in the Philippines.**

48. The Project Manager presented the budget for year 1 and noted that detailed annual work plans and budget allocation will be finalized at consultation meetings during December 2014 and January 2015.

49. The Steering Committee endorsed the first year annual work plan and budget (Attachment E) along with the revised Project Results Framework (Attachment F).

50. WCPFC will hire the Finance Associate along with the WCPFC's recruitment policy and the TOR for the position will be prepared by the Project Manager and WCPFC. UNDP emphasized that earlier recruitment of the Associate will facilitate to the smooth commencement of the project.

51. Country representatives, UNDP and WCPFC were congratulated everyone on the fruitful outcomes of the meeting. The Inception Workshop and the first Steering Committee meeting were closed at 1600 hrs, Wednesday, 5 November 2014.

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AGENDA

WPEA-2014/IW-01

4. OPENING OF THE MEETING

- a) Introduction of participants
- b) Adoption of agenda (indicative schedule: Attachment 1)

5. INTRODUCTION

- a) Inception workshop goals, objectives and potential outcomes (Jose Padilla)

The purpose of the workshop will be briefly reviewed so that all participants can fully understand their roles, responsibilities and tasks within the project (See Attachment 2).

- b) WPEA OFM and WPEA SM Projects: links between the two projects, key issues and targets arising in the new project (Tony Lewis)

Key features in the new project will be highlighted, including climate change issues, EAFM, and certification process. The scope of work and potential indicators and targets of these new topics will be briefly introduced.

- c) Overview of project budget and budget transfer (Imee Manal)

UNDP will briefly introduce the total budget, breakdown by key category, mechanisms for transferring project funds, and UNDP's financial contribution to this project.

6. LOGFRAME, BUDGET AND ANNUAL WORK PLAN

- a) Project activities and scope of work (SungKwon Soh, participating country)

Key activities in the new project will be introduced, and the level of budget will be reviewed to identify the scope of work for each project activity. This may stimulate a review and a potential revision of indicators and targets.

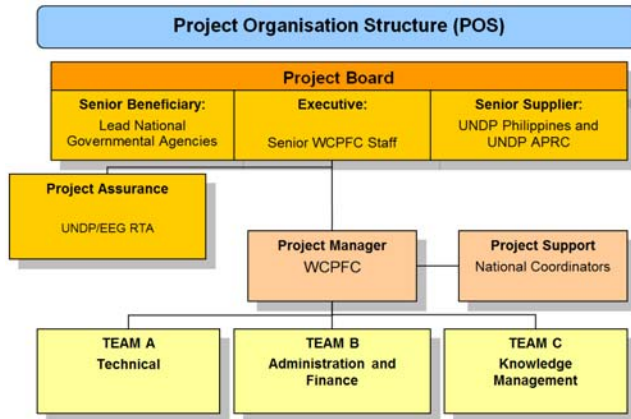
- b) First year annual work plan and budget transfer (Imee Manal, Aaron Nighswander)

UNDP, WCPFC and participating countries will discuss the details of the project's activities, submission of proposals, and financial schedules for the first year. WCPFC prefers to receive payments on a six-month tranche basis. For example:

7. PROJECT MANAGEMENT

a) Project Board meeting

The meeting will clarify terms of reference, meetings and membership for the Project Board meeting. It will also review the project organization structure, roles of UNDP-Manila and RCU-Bangkok staff vis à vis the project team (RCU = regional coordination unit).



b) Staff recruitment (Knowledge management specialist, Finance Associate)

Two support staff will be recruited. Clarify details for their work location, selection process, budget details, scope of work including their travels, etc.

c) Reporting requirements, monitoring and evaluation process and budget allocation, and financial reporting procedures and annual audit (Kwanruen Seub-Am)

The meeting will identify reporting requirements for the project throughout the period, mid-term and final evaluation process, audit process, and related budget allocated (Attachment 3).

d) Contact points (GEF, UNDP, WCPFC, Country)

The meeting will develop a list of contacts for this project.

8. OTHER MATTERS

INDICATIVE SCHEDULE

Time	Agenda	Remarks
	Day 1	
0830-0930	1. Opening of the meeting 2. Introduction	
0930-1730	3. Logframe, budget and annual work plan	
2000-2100	Strategic meeting	
	Day 2	
0830-1230	3. Logframe, budget and annual work plan (continued)	
1330-1730	4. Project management 5. Close of the meeting	

Purpose of Inception Workshop (cited from Project Document)

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.

Attachment 3

Type of M&E activity	Responsible Parties	Budget USD <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ 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.	<ul style="list-style-type: none"> ▪ 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 <i>output and implementation</i>	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG 	None	Annually
Periodic status/progress reports	<ul style="list-style-type: none"> ▪ Project manager and team 	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ local consultant 	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project manager and team 	Indicative cost per year: 3,000	Yearly
Visits to field sites	<ul style="list-style-type: none"> ▪ 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)	

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LIST OF PARTICIPANTS

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Financial Management
by Ms Imee Manal



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Financial Management



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Financial Management

1. Financial Management Processes
 - Budgeting – AWP
 - Cash Management
 - Accounting

2. Internal Controls
3. FACE

Financial Management



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Budgeting:

- Identify inputs needed to carry out the project activities
- Project initiation – initial financial resources during start-up operations
- Regular project operation – execution of project activities
- PMO operations requirements – personnel and operating expenses



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Financial Management

Cash Management:

- Direct cash transfer - UNDP advances funds to the IP on a quarterly basis, and IP reports back the expenditures to UNDP
- Direct payment - IP carries out the procurement and requests UNDP to make the disbursement
- Reimbursement - UNDP pays the IP after it has made the disbursement
- Direct agency implementation - UNDP makes obligations and incurs expenditure in support of activities agreed in the AWP



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Financial Management

Accounting:

•Bank account:

- Following Paris Declaration on Aid Effectiveness, UNDP to deposit advances for the Government in central government bank accounts
- Opening a separate bank account is allowed as it usually lowers risk and provides easier monitoring but may add administrative burden on the IP
- The bank account opened by the IP should be under the project's name and to be used only for receiving advances from UNDP and for making payments of the project
- Signatories are IP Project Officers (minimum of two) –the same signatories to AWP – list to be provided to UNDP for internal control and audit purposes



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Financial Management

Accounting:

- Adequate accounting system that allows proper recording of financial transactions
- Adequate policies, procedures and manual to guide activities and ensure staff accountabilities
- IP maintains complete/updated accounting records, vouchers and supporting documents that may be accessible at anytime for spot check & audit purpose

Financial Management



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Accounting:

Article IX. Maintenance of Records

1. The IGO shall keep accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available by UNDP to ensure that all expenditures are in conformity with the provisions of the Project Work Plan and Project Budgets. For each disbursement, proper supporting documentation shall be maintained, including original invoices, bills, and receipts pertinent to the transaction. Any Income, as defined in Article I, paragraph



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Financial Management

Accounting:

- Accounting books and records maintained
 - Cash Books
 - Cash Disbursements Book
 - Cash Receipts Book
 - Journal Book
 - General Ledger
 - Cash Advance Subsidiary Ledgers
 - Inventory Ledgers
 - Disbursement Vouchers
 - Cash Receipt Vouchers
 - Journal Vouchers
 - Bank Reconciliation Statements/Reports



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Financial Management

Internal Control: Segregation of duties

Responsibilities performed by different units or persons:

- Authorization to execute transaction
- Recording of transaction
- Custody of assets involved in the transaction
- Functions for purchasing, receiving, recording, and paying for goods and services
- Bank reconciliations should be prepared by someone other than those who make or approve payments



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Financial Management

Internal Control: Bank/cash accounts

- Separate project bank account maintained
- Bank account has at least two authorized signatories
- Cash receipts kept in a safety deposit box w/in office premises & deposited to the bank ASAP or at the latest within the next banking day
- Bank reconciliation prepared monthly. Any unusual items should be appropriately reviewed and recorded in the books



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Financial Management

Internal Control: Payments

- Vouchers pre-numbered, reviewed and approved by responsible and authorized officers
- Vouchers adequately supported by original documents which are duly stamped "Paid"
- Cash advances liquidated within 15 working days after the completion of activity
- Expenditures authorized and w/in the AWP
- Chart of accounts properly used

Financial Management



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Internal Control: Internal and External audits

Article XI. Audit Requirements

1. The IGO shall submit to the UNDP Resident Representative in Philippines a certified annual financial statement on the status of funds advanced by UNDP. The Project will be audited at least once during its lifetime but may be audited annually, as will be reflected in the annual audit plan prepared by UNDP. The audit shall be carried out by the auditors of the IGO or by a qualified audit firm, which will produce an audit report and certify the financial statement.
2. Notwithstanding the above, UNDP shall have the right, at its own expense, to audit or review such Project-related books and records as it may require and to have access to the books and record of the IGO, as necessary.

Financial Management



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Reporting and Monitoring:

2. Financial reporting will be quarterly:

(a) The IGO prepares a financial report and submits it to the UNDP Resident Representative no later than 10 days after the end of each quarter, in English.

(b) The purpose of the financial report is to request a quarterly advance of funds, to list the disbursements incurred on the Project by budgetary component on a quarterly basis, and to reconcile outstanding advances and foreign exchange loss or gain during the quarter.

(c) The financial report has been designed to reflect the transactions of a project on a cash basis. For this reason, unliquidated obligations or commitments should not be reported to UNDP, i.e., the reports should be prepared on a "cash basis", not on an accrual basis, and thus will include only disbursements made by the IGO and not commitments. However, the IGO shall provide an indication when submitting reports as to the level of unliquidated obligations or commitments, for budgetary purposes;

(d) The financial report contains information that forms the basis of a periodic financial review and its timely submission is a prerequisite to the continuing funding of the Project. Unless the Financial Report is received, the UNDP Resident Representative will not act upon requests for advances of funds from UNDP;



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Financial Management

Reporting and Monitoring:

Financial reports to be submitted:

- Funding Authorization and Certificate of Expenditure (FACE)
- Bank reconciliation
- Inventory report
- Audit report

FACE Form



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What is the FACE form?

- **Request for funding authorization**
- **Reporting of expenditures**
- **Certification of expenditures**

Funding Authorization and Certificate of Expenditures

UN Agency: _____

Date: DD/MM/YYYY

Country: _____
 Programme Code & Title: _____
 Project Code & Title: _____
 Responsible Officer(s): _____
 Implementing Partner: _____

Type of Request:
 Direct Cash Transfer (DCT)
 Reimbursement
 Direct Payment

Currency: _____

		REPORTING				REQUESTS / AUTHORIZATIONS		
Activity Description from AWP with Duration	Coding for UNDP, UNFPA and WFP	Authorised Amount	Actual Project Expenditure	Expenditures accepted by Agency	Balance	New Request Period & Amount <u>MM-MM YYYY</u>	Authorised Amount	Outstanding Authorised Amount
		<u>MM-MM YYYY</u> A	B	C	D = A - C			
Total		0	0	0	0	0	0	0

CERTIFICATION

The undersigned authorized officer of the above-mentioned implementing institution hereby certifies that:

- The funding request shown above represents estimated expenditures as per AWP and itemized cost estimates attached.
- The actual expenditures for the period stated herein has been disbursed in accordance with the AWP and request with itemized cost estimates. The detailed accounting documents for these expenditures can be made available for examination, when required, for the period of five years from the date of the provision of funds.

Date Submitted: _____ Name: _____ Title: _____

NOTES: * Shaded areas to be completed by the UN Agency and non-shaded areas to be completed by the counterpart.

FOR AGENCY USE ONLY:

FOR ALL AGENCIES
Approved by: _____
Name: _____
Title: _____
Date: _____

FOR UNICEF USE ONLY	
Account Charges	Liquidation Information
Cash Transfer Reference: <u>CRQ ref. no., Voucher ref. no.</u>	DCT Reference: <u>CRQ ref. no., Liquidation ref. no.</u>
GL codes:	DCT Amount
Training 0	Less:
Travel 0	Liquidation
Meetings & Conferences 0	Amount 0
Other Cash Transfers 0	
Total 0	Balance 0

FOR UNFPA USE ONLY	
New Funding Release	
Activity 1	0
Activity 2	0
Total	0

1 - The FACE form will be used by government and NGO partners to request cash advances and to liquidate them. Requests are to be made on a quarterly basis

FACE forms



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Modalities:

- **Direct Cash Transfer**
- **Reimbursement**
- **Direct Payments**

Direct Cash Transfer



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Article VIII. Financial and Operational Arrangements

1. In accordance with the Project Budget, UNDP has allocated and will make available to the IGO funds up to the maximum amount of \$2,233,578.00. The first installment of \$168,400 will be advanced to the IGO within 30 working days following signature of the present Agreement. The second and subsequent instalments will be advanced to the IGO quarterly, when a financial report and other agreed-upon documentation, as referenced in Article X, below, for the activities completed have been submitted to and accepted by UNDP as showing satisfactory management and use of UNDP resources.
2. The IGO agrees to utilise the funds and any supplies and equipment provided by UNDP in strict accordance with the Project Document. The IGO shall notify UNDP about any expected variations on the occasion of the quarterly consultations set forth in Article IV, paragraph 3, above. Any variations on any one- line item that may be necessary for the proper and successful implementation of the Project shall be subject to prior consultations with and approval by UNDP.

Direct Cash Transfer

- **Request for funding is in accordance with the approved Annual Work Plans and accompanied by an itemized cost estimate per activity or a quarterly work and financial plan**
- **Transfer of funds are made to the IPs bank account or Project bank account**
- **Approval of new advance request is subject to 80% utilization of the previous advance and 100% utilization of all earlier advances includes copy of the bank reconciliation and bank statement showing the same figures in the FACE forms**

Direct Cash Transfer

- **Interest earned from bank account must be included in the FACE and to be credited to the project as MISCELLANEOUS EXPENSE (account 74510)**
- **Expenditures to the Advances are reported on or before every 10th day of the month following the end of each quarter - with or without expenditures to report (April 10, July 10, Oct 10, Jan 10)**
- **IP may submit expenditure reports anytime especially if IP has substantial amount of expenditure to report**
- **UNDP records expenditures in UNDP system (ATLAS)**
- **Cash disbursed, but not utilized - may be reprogrammed**



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Reimbursement

- **Request for Reimbursement is in accordance with the approved Annual Work Plans and accompanied by an itemized cost estimate per activity or a quarterly work and financial plan**
- **Payment of funds advanced by the IPs are made to the IPs bank account**



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Direct Payments

- **Request for Direct payments is in accordance with the approved Annual Work Plans**
- **Payments are made to the Service Providers/Vendors directly**

Direct Payments



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- **Attachments required:**
 - **Procurement - Summary of IP Procurement results; selection matrix; contracts; and invoices**
 - **IP issued contracts and agreements – Certification of Completion, Evaluation and Contract**
 - **Travel – Approved travel order, invitation and logistics Note**

Verification of FACE by UNDP



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- **Request agrees w/ approved AWP**
- **Signed by authorized officers**
- **Check if opening balance agrees with the closing balance of previous FACE. Verify advance balance with UNDP system**
- **Accuracy of mathematical calculations**
- **Reasonableness of Planned Expenditures & Advance Request**
- **Correct use of ATLAS Account Code**
- **Consider Audit & Assessment reports if there are grounds to withhold or reduce funding**
- **FACE should be supported by the previous quarter FACE, bank reconciliation report and bank statement for validation of balances**
- **Complete support documents**



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Thank you!

M&E procedures of UNDP-GEF projects & Adaptive Management
by Ms Kwanruen Seub-Am



GEF

Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas (WPEA)

M&E procedures of UNDP- GEF projects & Adaptive Management

Inception Workshop

4-5 Nov 2014

Danang, Vietnam

UNDP Bangkok Regional Hub

Monitoring & Evaluation of ATSEA

Objective of this session

- **Understand the concept of Adaptive Management and GEF& UNDP M&E policies**
- **Know reporting requirement (what & when)**
- **Familiar with M&E tools and strategies**

Adaptive Management

What is Adaptive Management ?

Adaptive Management is the ability of the project management to respond to unexpected challenges and opportunities in a flexible, positive, optimising manner.

Adaptive Management

- **The Logframe is a flexible instrument which can be adapted to changing circumstances, provided the different levels of authority for approval are respected.**
- **Challenges are anticipated by early identification of risk.**
- **M&E provides feedback to project management regarding whether the project is reaching its objectives to allow for corrective action.**

Adaptive Management

Modifications proposed requires different levels of approval

	Modifications to the FSP allowed	Proposed by	Approved by	May lead to
Major	Goals, Objective, Outcomes	Project Management, Executing Agency	GEF SEC	Revision of Pro Doc Additional GEF resources
	Outcomes	Project Management, Executing Agency	UNDP-GEF, reported to GEF SEC	Revision of Pro Doc
Minor	Outputs, Activities, Inputs	Project Management	UNDP CO and UNDP GEF RCU Steering Committee	Revision of work plan, Budget revision without increase in funds



GEF

Monitoring, Evaluation and Reporting

Monitoring & Evaluation

In the context of the GEF-UNDP project, tools for monitoring are:

- **the logframe (Strategic Results Framework – SRF)**
- **the M&E plan included in the ProDoc**
- **the reporting tools**

LOGICAL FRAMEWORK MATRIX

<p>This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:</p> <p>INDONESIA - Outcome 5: Climate Change and Environment: Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities</p> <p>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</p> <p>VIETNAM – Focus Area One: Inclusive, Equitable and Sustainable Growth</p>						
<p>Country Programme Outcome Indicators:</p>						
<p>Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one):</p> <p>Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance</p>						
<p>Applicable GEF Strategic Objective and Program: IW-2</p>						
<p>Applicable GEF Expected Outcomes: 2.1, 2.2, 2.3, 2.4</p>						
<p>Applicable GEF Outcome Indicators:</p>						
	Expected Outcomes	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<p>Project Objective¹ 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</p>		<p>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</p> <p>Application of market-based approaches to sustainable harvesting of oceanic tunas</p>	<p>WCPF Convention and Commission and its adopted Conservation and Management Measures (CMMs) on e.g. IUU fishing, by-catch.</p> <p>Tuna supply chains not well documented, no oceanic tuna fisheries in the EAS certified and</p>	<p>Sustainable harvesting of oceanic tunas in the EAS, including:</p> <ul style="list-style-type: none"> Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased by 40% Reduction of catch of ETP species by 25% Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions Progress to possible certification of at least two oceanic tuna fisheries in the EAS, through FIPs 	<p>WCPFC reports and statistics</p>	<p>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</p>

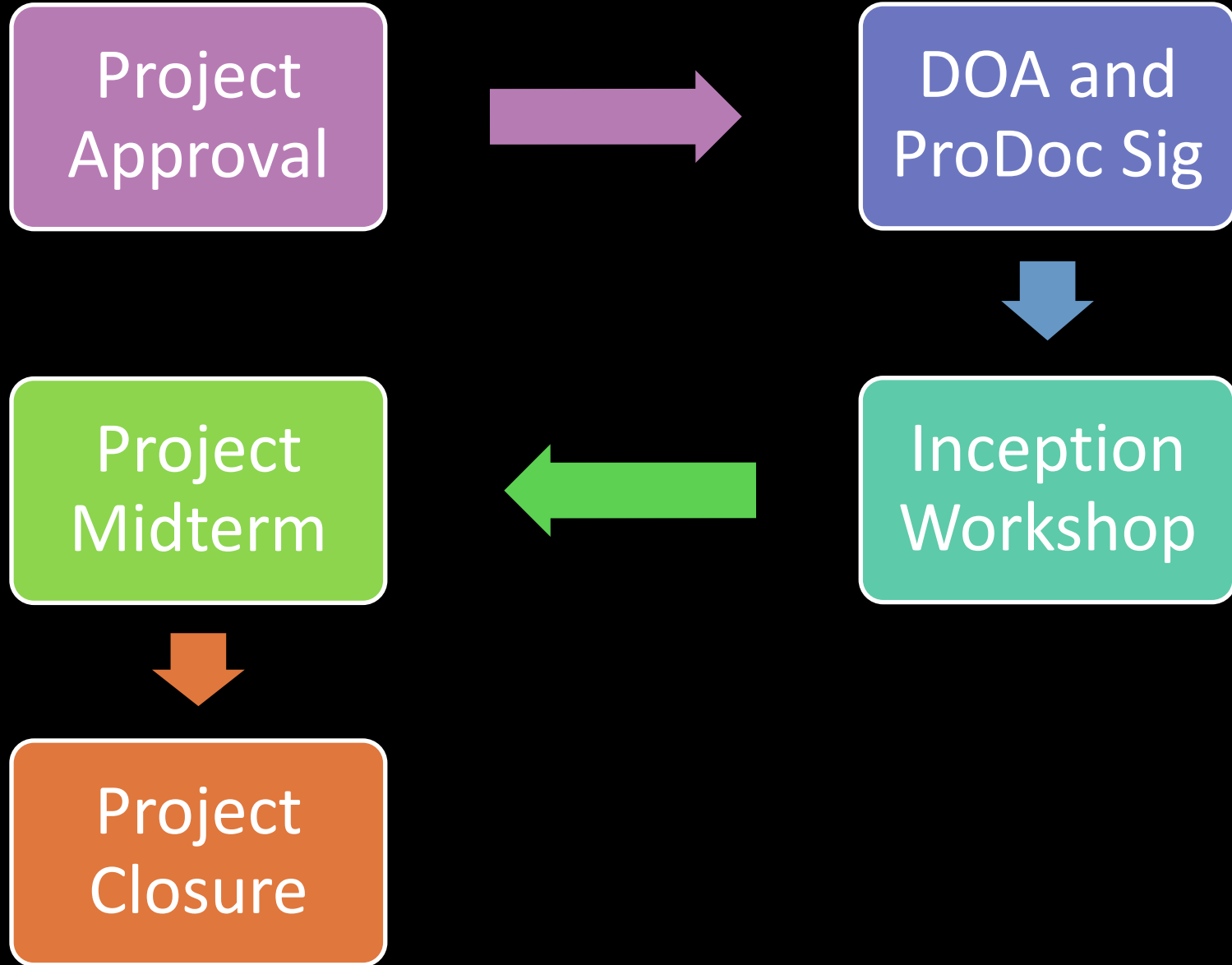
M & E Plan

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ 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.	<ul style="list-style-type: none"> ▪ 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 <i>output and implementation</i>	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG 	None	Annually

UNDP-GEF reporting requirements in the project cycle



UNDP-GEF Project Cycle



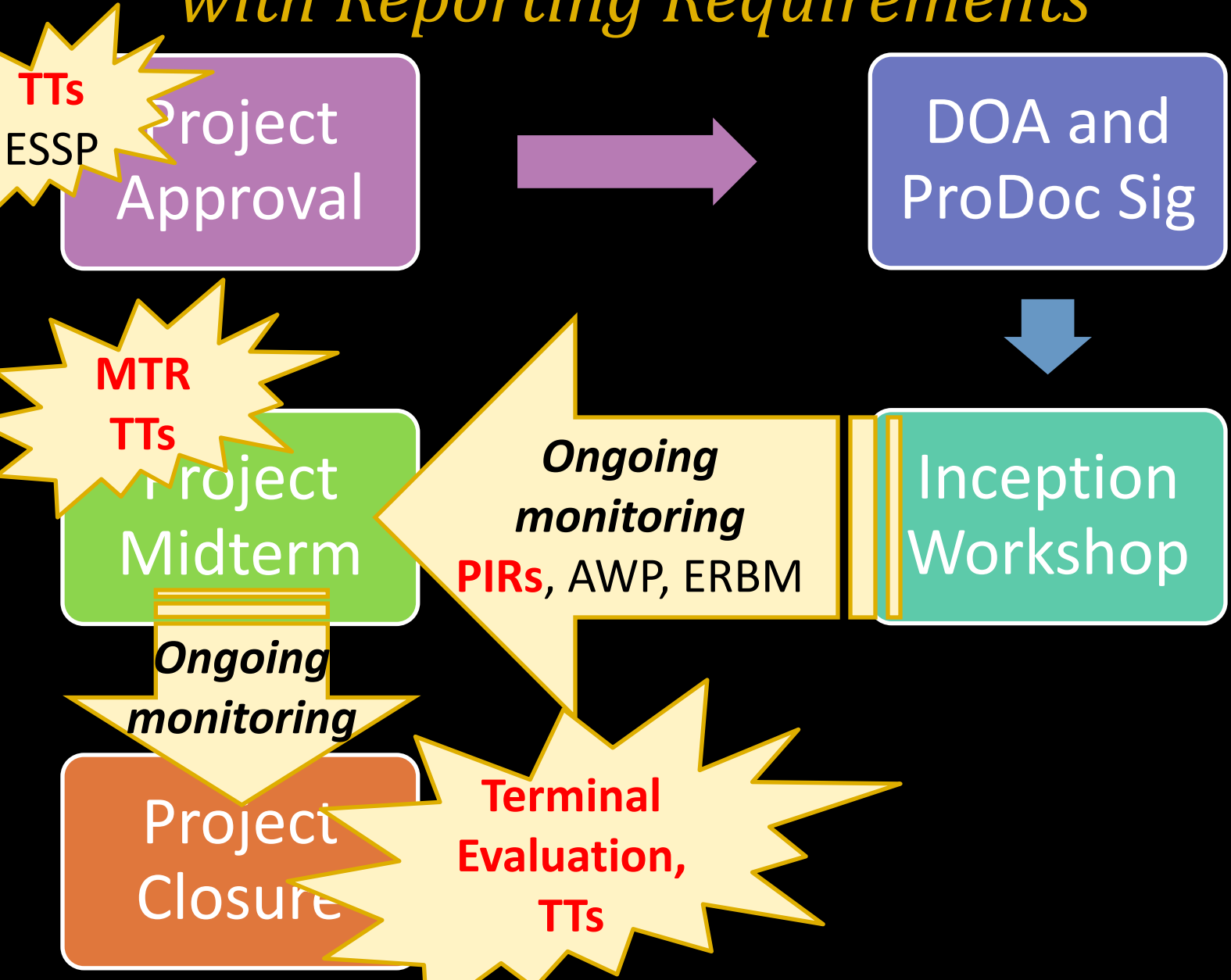
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UNDP-GEF Project Cycle

with Reporting Requirements



Inception Report

- Due 3 months after Government signature of project document
- Allows updating the project with relations to changes occurred in the physical and political environment
- Allows precision of indicators, targets, sources of verifications, activities, outputs

Quarterly Operational Reports (QOR)

- Monitor details of performance and management
- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform (ERBM).
- Needs to be linked to annual reporting



Project Implementation Review (PIR)

All FSPs and MSPs must complete a PIR annually for each year of implementation

- The **1st PIR** is due after one year of implementation
 - *In 2015, projects with ProDoc sig date of 30 June 2014 or before must prepare a 2015 PIR*
- The **terminal PIR** serves as the final project report (usually done before TE)
- PIRs represent key input to the MTR and TE processes!



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What to be report/evaluated in PIR

1. Progress: ratings. Encourage GEF OFP to rate progress as well

- Toward development objective (DO) = objective + outcome level, cumulative
- Implementation progress (IP) = outputs + inputs, process + delivery , annual

2. Risk: critical risk in ATLAS + progress ratings = GEF risk system (high, moderate, low)

3. Evaluation: how the project address recommendations of MTR and TE, co-financing received

4. Partnerships: lessons learned working with indigenous communities, NGOs, private Sector, Small Grants Programme

5. Gender: how being addressed in project implementation

From the Perspective of Project Team, UNDP Country Office, Government, & Other Partners

- Allows for a **time of reflection** on
 - Accomplishments
 - Challenges
 - Opportunities
 - Risks
 - Strategy and Assumptions
- Facilitates **direct communication** with partners
- Enables the **sharing of information** and ideas
- Reveals **strengths & weakness** in implementation; and areas for growth



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MIDTERM REVIEWS

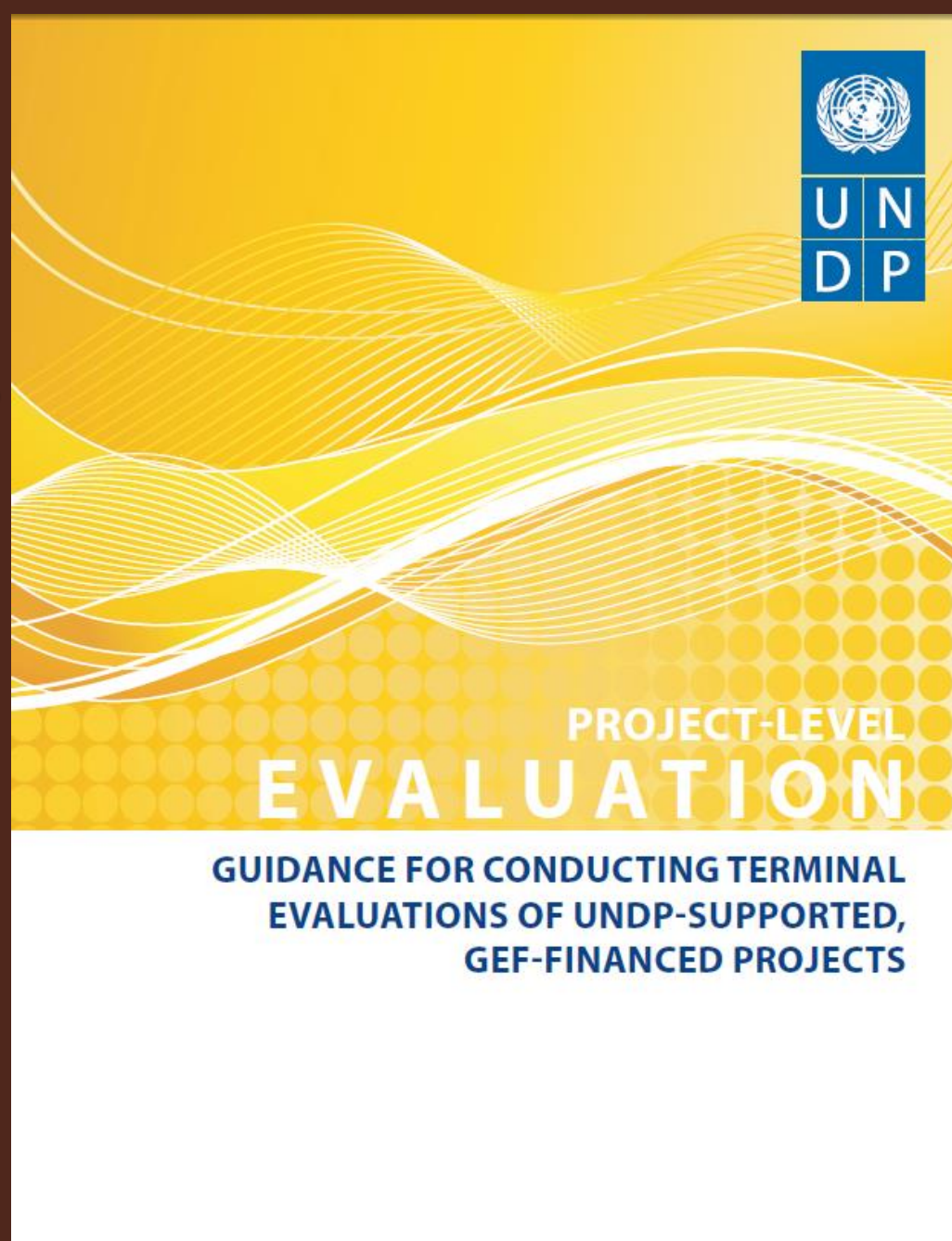
- UNDP-GEF MTR
Guidance finalized in
June 2014
- Addresses both UNDP
& GEF requirements
- Applies to all projects
going forward



Highlights of new MTR Guidance

- Primarily a **monitoring tool** designed to identify challenges and outline **corrective actions** to ensure that a project is on track
 - As a monitoring tool, MTRs are submitted to the GEFSec; not the UNDP IEO or the GEF IEO
- **Mandatory** for all GEF-financed **full-sized projects** (FSPs)
- **Not mandatory** for **medium-sized projects** (MSPs)
 - strongly recommended; should be undertaken when an MSP is not performing well and could benefit from an independent review
 - can be undertaken according to this guidance by external independent consultants or by UNDP staff at the discretion of the UNDP-GEF PTA
 - all MSPs that elect to undertake a MTR, the midterm TT should be completed and submitted with the final MTR report
- MTR process should be initiated after the completion of the 2nd APR/PIR, regardless of the length of the project
 - i.e. no later than October of the year the 2nd PIR is submitted

Terminal Evaluations of UNDP-supported GEF-financed Projects



The TE Process

Basics

- All projects must undertake a TE
- Cost of TE charged to the project budget
- Look for evaluators 3 – 4 months before start of TE process
- TE **must** be undertaken during the period 6 months before and 6 months after operational closure; ideally 3 months *before* operational closure
- TE report **MUST** be translated into English or will not be accepted by GEF!

Highlights of new MTR Guidance

	Midterm Review	Terminal Evaluation
Mandatory for...	Full-sized projects	All projects <u>except</u> for expedited Enabling Activities (EAs), for which TEs are optional
Focus	<ul style="list-style-type: none"> • Assessment of progress towards results • Monitoring of implementation and adaptive management to improve outcomes • Early identification of risks to sustainability • Emphasis on supportive recommendations 	<ul style="list-style-type: none"> • Verification and assessment of implementation and results • Identification of project's successes in order to create replicability • Action needed for consolidation and sustainability of results • Emphasis on lessons learned • Improve design of other projects
Timeframe	MTR report must be submitted with the 3rd PIR	Carried out during the period 6 months before & 6 months after project operational closure
Values & Emphasis	Independent: emphasis on a participatory and collaborative approach; opens opportunities for discussion and change in project, as needed	Independent: an assessment of results; emphasis on the accountability and learning functions of evaluation

Highlights of new MTR Guidance

	Midterm Review	Terminal Evaluation
Ratings required on these categories	<ul style="list-style-type: none"> • Progress Towards Results (by Outcomes) • Project Implementation & Adaptive Management • Long-term Sustainability 	<ul style="list-style-type: none"> • Monitoring and Evaluation • Implementing Agency (IA) & EA Execution • Outcomes • Sustainability • Impact • Overall Project Results
Budget	\$30,000 - \$40,000	\$30,000 - \$50,000
Mgmt Response	Yes	Yes
UNDP Evaluation Plans	Not mandatory to include in evaluation plan	Mandatory to include in evaluation plan
Quality Reviewed	No	Yes, by UNDP IEO for GEF IEO
Publically available?	Not mandatory to post to the ERC	Mandatory to post to the ERC

Summary of Reporting

M&E: Reporting

M&E procedures and reporting requirements	When	By whom
Inception Report	The first 2-3 months	Project Team (preparation), UNDP CO (revision) UNDP RTA (revision)
Quarterly Operational Report	Quarterly	Project Team (preparation)
APR/PIR	Annually	Project team with inputs from UNDP COs and RTAs
MTE (if applicable)	After the completion of the 2nd APR/PIR	External evaluators
Final Evaluation	Six months before/after the project is operationally closed.	External evaluators

Thank you

BUDGET SUMMARY FOR YEAR 1

Total Year 1 Budget (November 2014 - October 2015)

	Budget code	Budget (USD)
Component 1	71200	20,000
	71300	35700
	72100	152540
Component 2	71300	62,000
	72100	349,202
Component 3	72100	16000
	71600	8000
Total budget for year 1		643,442
1st Transhe transferred in Nov 2014		168,000

ANNUAL WORK PLAN (2015)**Indonesia**

Outcome	Activity	Budget
1.1	Logbook awareness WS in Bitung (1day) to improve the logbook coverage rate	4,150
	MCS workshop in Bitung and Kendari to address IUU	14,300
	Participation in WCPFC/PEMSEA Consultative Forum (to be confirmed)	10,000
	Capacity building in country's science (support to SC meeting participation)	5,000
	National tuna coordinators	12,000
	Conduct catch estimates WS	6,490
	Workshop: Capacity Building on MCS	6,000
1.2	Hire National CC specialist and task him/her to identify all projects in Indonesia that cover CC issues, list of agencies, and contacts to collaborate with WPEA or to avoid any duplication. Prepare issues and problems related with WPEA CC activities.	2,500
	Hire an international 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 satellite technology such as SST and eventually make this available to fishing vessels) (to be confirmed)	10,000
	Convene a regional CC 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): the outputs from the consultants and this WS will be: "Trial prediction of climate change impacts on oceanic fisheries developed (from Logframe target)" National climate change specialists (NCCS) will assist this WS coordination (USD 1.5K/year/person) BN#3	16,000
2.1	1) Hire a consultant to update gap analysis between the existing Indonesian fishery regulations and the newly adopted WCPFC CMMs (USD 1500) 2) Convene a workshop to facilitate the adoption reflection of gap analysis (USD 2000)	3,500
	1) Convene awareness workshops for stakeholders (including workshops in	In-kind

	provinces) to disseminate the results of WCPFC annual meetings and national actions according to the results – DGCF continues to report the outcome of the WCPFC meetings and develop Fishery Circular to impose WCPFC requirements to their fishermen. - National actions may include legislation of relevant results of WCPFC meetings into government policy, regulations or laws if needed; 2) Update <i>Technical Guidance of RFMO CMMs and Resolutions</i> and distribute the handbook to stakeholders	
2.2	A needs research on the overview and review of historic projects and on-going projects on certification issues. Need to develop a general report format and TOR for consultancy - three country can apply this format	2,000
	Hire one consultant for the development of supply chain characterized for selected tuna fisheries	8,000
	Hire one consultant to develop Indonesia Tuna Eco-Labeling	5,000
	Convene a workshop to review the supply chain analysis and Indonesia Tuna Eco-labeling prepared by consultants for the improvement of fisheries governance based on inducement from the market. The workshop will provide policy recommendations for the governance In year 2, a WS will be convened to train assessors (government staff who assesses the fishing company on requirements) and industries on Indonesia Tuna Eco-labeling	4,660
	Support of national certification/database development: Consultancy (USD 5,000) and Workshop (USD 5,000)	10,000
2.3	Hire a consultant to 1) review a WCPFC harvest strategy in the Convention Area; 2) present a draft harvest strategy for the archipelagic tuna fisheries at a WS; 3) integrate the results into NTMP (USD 2,500) and convene a WS to finalize the harvest strategy for archipelagic tuna fisheries (USD 4,000)	6,500
	Convene a three country WS to consider an approach to sub-regional stock assessment, including data requirements and model selection	4,000
	Conduct Data Review WS	4,540
	Expansion of port sampling coverage: - government will support data collection from artisanal fisheries - the existing enumerators will collect bycatch data - annual budget for port sampling data collection (USD 65,580) - data entry (USD 200/month), field supervision (USD 250/month), database manager (USD 150/month), data analyst (USD 100/month).	73,980
2.4	No activities in year 1	
3.1	Establish the database, collect data and build capacity	4,000
	IW Learn activities supported in Philippines and regionally Participation of PHL in IW Learn USD 4,000/2015 and 2017 each)	4,000

Philippines

Outcome	Activity	Budget
1.1	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) and prepare WCPFC/PEMSEA Consultative Forum	2,000
	Participate in the Sub-regional Consultative Forum; disseminate the outputs of the Consultative Forum to relevant stakeholders; and implement any adopted	10,000

	actions within the country	
	4. Capacity building in country's science (support to SC meeting participation)	5,000
	Catch estimation WS	7,500
	National tuna coordinators	7,800
1.2	Hire National CC specialist and task him/her to identify all projects in Indonesia that cover CC issues, list of agencies, and contacts to collaborate with WPEA or to avoid any duplication. Prepare issues and problems related with WPEA CC activities.	2,500
	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 satellite technology such as SST and eventually make this available to fishing vessels);	10,000
	Convene a regional CC 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): the outputs from the consultants and this WS will be: "Trial prediction of climate change impacts on oceanic fisheries developed (from Logframe target)" National climate change specialists (NCCS) will assist this WS coordination (USD 1.5K/year/person) BN#3	16,000
2.1	Update <i>Operational Guide for Filipino Fishermen</i> and distribute the handbook to stakeholders, including bycatch	2,000
	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)	8,000
2.2	A needs research on the overview and review of historic projects and on-going projects on certification issues. Need to develop a general report format and TOR for consultancy - three country can apply this format	2,000
	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 of tuna fisheries to be incorporated into legislation.	8,000
	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	20,000
	Support of national certification/database development: Consultancy (USD 5K) and Workshop (USD 5K)	10,000
	Data collection for the update of supply chains and implementation of market-based fisheries management (Refer to text in the Budget Note 19: 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)	6,222
2.3	Convene a three country WS to consider an approach to sub-regional stock assessment, including data requirements and model selection	4,000
	Data review WS	7,500
	Conduct data-related activities, including port sampling, training of enumerators, field trip for the supervision of port sampling and data collection, etc. Enumerator's training budget of USD 30,000 (BN#26). The remaining budget in this activity may be reallocated to any data-related activities,	64,000

	including observer data collection in EEZs during non-FAD closure period. Bycatch budget of USD 4,000 added here from BN#25	
	Collaborate with RPOA-IUU to address IUU in the EAS LMEs and POWP LMEs (including implementation of and capacity building in CDS, elogbook, etc.)	2,000
2.4	Review of NTMP - Consultancy and workshop	5,000
3.1	Establish the database, collect data and build capacity (Enhancement of the existing database systems (NSAP, TUFMAN, TUBS) including capacity building relating to the improvement of the existing database systems and documentation of data gaps)	4,000
	IW Learn activities supported in Philippines and regionally. Participation of PHL in IW Learn (USD 4,000/2015 and 2017 each)	4,000

VIETNAM

Outcome	Activities	Budget
1.1	Participate in the regional Joint Consultative Forum	4,950
	Convene a workshop to disseminate the Forum outputs to all relevant stakeholders, and implement any actions adopted by the Forum	4,150
	Support delegates of Vietnam to participate in the WCPFC SC meetings	5,000
	Implement logbook program for tuna fisheries at 9 provinces	15,000
	National tuna coordinators	8,400
	Convene catch estimation workshop	7,500
	Hire consultant to reconstruct total catch of tuna fisheries before 2000 by gears and species and revisit the construction of historical catch and effort data after 2000 (results of this consultancy task will be presented in the catch estimation WS and port sampling data review mentioned in Activity 3 of output 2.3.1)	1,000
1.2	Hire National CC specialist and task him/her to identify all projects in Indonesia that cover CC issues, list of agencies, and contacts to collaborate with WPEA or to avoid any duplication. Prepare issues and problems related with WPEA CC activities.	2,500
	A consultancy task to investigate impacts of climate change and fishing on marine ecosystem including development of adaptive management guidelines on management and monitoring of highly migratory species and assist with development of climate change policy	4,500
	Convene a (training) workshop to train national personnel (including national consultants), and to finalize the general guidelines on adaptive management and monitoring of HMS to address climate change impacts	5,000
	Hire consultants (DECAFIREP will develop the TOR for the consultancy) to compile all aspects related with climate change concerns (including scientific aspects, development scenario of climate change on tuna fisheries management policy development and experience from fishing community) and provide the consultancy report (including recommendations on policy reform and revision of national tuna management plan) to DECAFIREP	3,000
2.1	1. Support meetings of tuna working group existing under MARD (called national task force)	1,000
	Investigation and introduction on Resolutions, CMMs and other legal documents of WCPFC to relevant stakeholders by email or website; conduct completion and submission of WCPFC Annual Report Part 1 and Part 2 in due course	2,000

	Participation of Tuna Data workshop at SPC	5,000
	Introduction and review of CMMs and relevant legal documents of WCPFC and dissemination to local stakeholders and policy makers (to be continued in the first phase) – this is the responsibility of meeting participants by reporting to their Minister.	In-kind
2.2	A needs research on the overview and review of historic projects and on-going projects on certification issues Need to develop a general report format and TOR for consultancy - three country can apply this format	2,000
	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 (this includes any incidental costs such as travel cost)	8,000
	Convene an awareness workshop to review the supply chain analysis developed by DECAFIREP	15,000
2.3	Convene a three country WS to consider an approach to sub-regional stock assessment, including data requirements and model selection	4,000
	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)	2,000
	Implement port sampling data collection for tuna fisheries at 9 provinces, including collection of landing data; collection of bycatch species: current expenditure is double the allocated budget; includes data entry (USD 400/month)	88,800
	Supervision field trip - Conduct routine visits to provinces to monitor and evaluate data collection activities	5,000
	Convene port sampling review workshop	7,500
2.4	Implement a trial observer programme to collect catch/effort, biological data and bycatch information on-board	10,000
3.1	Update/Maintain the existing project website, country website, and linking with other agencies, etc.	2,000
	Participation in the regional knowledge platform	6,000

Revised PROJECT RESULTS FRAMEWORK provided by the Inception Workshop

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 Objective¹ To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention		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	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	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

¹ Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

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<p>area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities</p>			<p>framework Tuna supply chains not well documented, no oceanic tuna fisheries in the EAS certified</p>	<p>climate change conditions through revision of management framework Progress to possible certification of at least two oceanic tuna fisheries in the EAS, through FIPs</p>		
<p>Component 1:² Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory stocks</p>	<p>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</p>	<p>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</p>	<p>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</p>	<p>Regional: All three countries fully compliant <u>comply</u> 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</p>	<p>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</p>	<p>Political support for regional coordination activity, and participation by all parties and fishing entities. Membership acceptable to WCPFC (Vietnam)</p>

² All outcomes monitored annually in the APR/PIR.

		<p>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</p>	<p>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 regional knowledge sharing on oceanic tuna though CF</p> <p>Philippines: Current monitoring coverage for small and medium scale tuna</p>	<p>Indonesia: Logbook coverage of all commercial gears and fleets improved up to 50% for fishing vessels >30 GT (\approx50%); 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 information for CF</p> <p>Philippines: Monitoring coverage for small and medium scale tuna fisheries improved by 30%.</p>	<p>Reports from CF VMS compliance, IUU and catch certification reporting Database holdings listed</p> <p>Reports of task forces in each country with information packaged for CF</p>	<p>Resources including trained manpower, available to implement monitoring systems and establish databases</p>
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			<p>fisheries is less than 10% (development of prototype for small scale fisheries).</p> <p>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.</p> <p>Delays in manual submission of logsheets resulting in proposing an elogbook system to facilitate timely submission.</p> <p>No mechanism in place for regional knowledge sharing on oceanic tuna</p> <p>Vietnam:</p> <p>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.</p> <p>Current coverage of monitoring landing data is around 35%</p> <p>No bycatch data are currently documented</p> <p>No integrated database system established</p> <p>No mechanism in place for</p>	<p>VMS monitoring and/or other technologies applied to selected tuna fishers operating in the Phil national waters and WCP CA to reduce IUU</p> <p>elogbook developed and pilot tested ready for implementation and adoption by stakeholders.</p> <p>National task force in place for packing of information for CF</p> <p>Vietnam:</p> <p>Monitoring systems expanded to 6 other provinces; increased coverage and quality of logsheet data for all tuna fishing fleets.</p> <p>Landing data coverage of tuna fishing fleets significantly improved <u>up</u> to 70%.</p> <p>Catch of retained and by-catch species well documented.</p> <p>Integrated database established within National Fisheries Statistics system, including data entry,</p>		
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			<p>regional knowledge sharing on oceanic tuna.</p> <p>VMS scheme being implemented but not yet integrated with fisheries data. VMS, IUU and catch certification scheme not in place - under development and initial implementation.</p>	<p>verification and database maintenance.</p> <p>National task force in place for packing of information for CF</p> <p>VMS scheme being developed for selected fisheries to apply for catch certification scheme and to reduce IUU</p>		
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	<p>Prediction of climate change impacts on oceanic fisheries and development of adaptive management strategies</p> <p>Capacity building to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies and incorporate these into management regimes</p>	<p>Sub-regional: Some information available on impacts on POWP LME but model outputs not yet extended to EAS and integrated with existing data</p>	<p>Sub-regional: Trial prediction of climate change impacts on EAS and western part of POWP LME predicted and appropriate adaptive management strategies developed</p>	<p>Sub-regional: Workshop outputs and climate change stakeholder meeting reports</p> <p>Consultancy reports</p> <p>Reports and attendance of training and capacity building courses</p>	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	
		<p>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.</p>	<p>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.</p>	<p>Reports with relevant data to support modelling activities and development of indicators of change and adaptation success.</p>		

			<p>Philippines: National climate change strategy developed, but impacts on oceanic fisheries and its ecosystems not yet studied and current capacity limited.</p> <p>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.</p>	<p>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.</p> <p>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.</p>		
	<p>1.3 Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam</p>	<p>Incorporation of oceanic fisheries indicators and modelling outputs into overall national climate change strategy</p> <p>Policies/strategies/plans/program that integrate climate change into national fisheries policies and even legislation/regulations.</p>	<p>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 model/precedent.</p> <p>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.</p> <p>Vietnam: No inputs to national policy formulation on climate</p>	<p>Indonesia: Climate change adaptive management strategy for oceanic fisheries developed and incorporated in national cross-sectoral climate change strategy.</p> <p>Philippines: Policies/strategies/plans/programs that integrate climate change into national fisheries regulations approved and/or implemented.</p> <p>Vietnam: Climate change concerns articulated and integrated into the national</p>	<p>Inclusion of oceanic fisheries in national climate strategy, policy and legislation, as necessary</p>	<p>Necessary outputs available from 1.2 (adaptive management strategies) and political acceptance of any recommendations and guidelines</p>

			change currently available for Vietnam, nor to oceanic fisheries.	fisheries policy		
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;
			<p>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.</p> <p>Philippines: Existing FAD management policy and other CMMs needs to be revisited for compliance, but Philippines currently compliant with most of the WCPFC CMMs.</p> <p>Vietnam: Limited compliance with CMMs or other management arrangements; no RPs and HCRs considered yet as a scientific procedure.</p>	<p>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.</p> <p>Philippines: Compliance with CMMs of special concern to the Philippines primarily FADs committed.</p> <p>Vietnam: Incorporation of compatible measures into national legal frameworks and incorporation of relevant WCPFC requirements completed.</p>	Legislation reviewed/revise d, achieving compatibility with WCPFC requirements Trial Reference points and HCRs developed once applied at regional level ; and incorporated into national tuna management plans	Country status can be resolved and full membership in WCPFC achieved (Indonesia and Vietnam)

				Full application of relevant CMMs; and development <u>proposed</u> of reference points (RPs) and harvest control rules (HCRs) at national level.		
2.2 Adoption of market-based approaches to sustainable harvest of tunas	<p>Supply chain characterized for tuna fishery sector, including processing, and custody systems established for tuna fisheries</p> <p>Improvements to fisheries to meet sustainable fishery standards for selected fisheries</p> <p>Number of pPrivate sector companies that cooperate in relevant project activities</p>	<p>Indonesia:</p> <p>Limited data available on supply chain, and monitoring and custody system not established for any fishery.</p> <p>Growing market demand for sustainable certification but limited eco-certification conducted</p> <p>30 companies already cooperate in project activities</p> <p>Philippines:</p> <p>Supply chain complex, information available but not compiled</p> <p>Growing market pressure for ecolabelling certification relating to sustainable fishing.</p> <p>Several pre-assessments initiated.</p> <p>16 companies already cooperate with BFAR</p> <p>Vietnam:</p> <p>Incomplete data available on supply chain and</p>	<p>Indonesia:</p> <p>Supply chain characterized for selected tuna fisheries, monitoring systems established and information annually updated; custody system in place for selected fisheries.</p> <p>Eco-certification achieved for selected tuna fisheries.</p> <p>Sustained participation of 30 companies and increase in number of companies by at least 5 as appropriate</p> <p>Philippines:</p> <p>Supply chain fully documents and annually updated.</p> <p>Several tuna fisheries progressing towards full certification.</p> <p>Sustained participation of 16 fishing companies and increase in number of companies by at least 5 as appropriate</p> <p>Vietnam:</p>	<p>Reports with characterization of supply chains and information regularly updated and made available to CF</p> <p>Reports documenting eco-certification for selected fisheries, with custody systems</p>	Selected fisheries able to meet required standards	

			<p>chain of custody scheme not established for any fishery</p> <p>MCS pre-assessment of yellowfin/bigeye handline and longline fishery unfavourable and need for FIP identified.</p> <p>9 companies already cooperate in project activities</p>	<p>Supply chain characterized for tuna fisheries, with emphasis on export-oriented fisheries, and monitoring system established; Chain of Custody in place for selected tuna fisheries.</p> <p>FIP process implemented for longline/handline fishery</p> <p>Sustained participation of 9 fishing companies and increase of companies by at least 5 as appropriate</p>		
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	<p>Integration of data from oceanic tuna fisheries in Indonesia, Philippines and Vietnam into regional assessments of target tuna species</p>	<p>Sub-regional: Assessments not explicitly available on sub-regional scale because of data gaps and lack of assessment model spatial structure</p>	<p>Sub-regional: <u>Preliminary</u> sub-regional assessments undertaken with <u>available</u> data available and assessment model restructured</p>	<p>Sub-regional: Sub-regional assessments reported as component of regional assessments</p>	<p>WCPFC science provider able to undertake sub-regional assessment within new model area</p> <p>Resources available to undertake all necessary activity</p> <p>Necessary data collected to undertake national stock assessment and scientists adequately trained</p> <p>Necessary data gathered to undertake risk assessments of selected species</p>	
	<p>Sub-regional/national assessments for target species; regular national assessments of target species</p> <p>Documentation and risk assessment of retained species and by-catch, including ETP species, in all fisheries/gears</p>	<p>Indonesia:</p> <p>Some target species data available from WPEA-1 with coverage of FMA 716, 717 and 714 for assessment.</p> <p>National stock assessment board exists and plans for national assessment underway.</p> <p>Limited information on retained/by-catch species and no risk assessment study for tuna by-catch and ETP species</p> <p>Philippines: Limited understanding of ecosystem</p>	<p>Indonesia:</p> <p>Indonesian data included in regional and sub-regional assessments;</p> <p>National assessments for target species completed <u>commenced</u> and annually updated.</p> <p>Risk assessment of retained, by-catch and ETP spp. <u>undertaken</u> <u>commenced</u>. (National Commission for fish stock assessment)</p>	<p>Reports of assessment outcomes at regional and national level</p> <p><u>(Vietnam only)</u></p> <p>Updated FIPs with data incorporated to eventually meet requirements for full <u>MSC assessment</u>.</p> <p>Reports with national stock assessments to guide</p>		

		<p>supporting the oceanic tuna fishery. Retained species and by-catch species for all gears incompletely characterized.</p> <p>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.</p>	<p>Philippines: Comprehensive observer, catch sampling undertaken and risk assessment available for by-catch and ETP species.</p> <p>Vietnam:</p> <ul style="list-style-type: none"> • 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 preliminary assessments undertaken; • National level stock assessments of target tuna undertakencommenced. 	<p>implementation of National Tuna Management Plan</p>	
<p>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</p>	<p>Application plan of ecosystem modelling to EAS EEZs to complement those for POWP LME and EEZs</p> <p>Incorporation of EAFM principles in national tuna management plans</p> <p>Pilot scale application of EAFM for oceanic species at selected sites/fisheries</p> <p>Reduction of by-catch of endangered, threatened and protected (ETP) species, such as sea turtles,</p>	<p>Sub-regional: Ecosystem models available for POWP LME but not EAS</p>	<p>Sub-regional: Application of ecosystem models to EAS planned</p>	<p>Sub-regional: Model outputs applied to A sub-regional application plan at national level</p>	<p>Funding and resources available to support sub-regional modelling Capacity building to support modelling activity and interpretation</p>
		<p>Indonesia: Limited data collected for the application of ecosystem modelling; Some commitment to EAFM exists through community-based activities. NTMP lacking EAFM components</p>	<p>Indonesia: Data collection to support application of appropriate ecosystem models. EAFM strategy developed commenced for trial implementation in one FMA.</p>	<p>Trial application of EAFM applied to selected tuna fisheries/sites</p> <p>Revised NTMPs with EAFM included</p>	

		sharks and seabirds	<p>Turtle by-catch studied and some mitigation measures underway; shark catch and seabird interactions not well documented; low level of compliance.</p> <p>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.</p> <p>Vietnam: No EAFM application and legal basis uncertain No inclusion of EAFM in NTMP Few data on ETP species and no compliance on bycatch mitigation</p>	<p>EAFM conditions incorporated in revised NTMP Mitigation measures applied in selected fisheries; compliance with shark and sea turtle CMMs and NPOAs committed.</p> <p>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 <u>selective environment-friendly fishing gears</u> developed.</p> <p>Vietnam: <u>Plan for the P</u>pilot application of EAFM at one selected site/fishery Revised NTMP with EAFM included Compliance with ETP CMMs and NPOAs</p>	Linkage to mitigation measures in adjacent areas; compliance with a range of CMMs in EAS	
Component 3 Knowledge	3.1 Regional knowledge platform	Monitoring and knowledge sharing between POPW LME and EAS LMEs for	Limited information shared via WCPFC mechanisms, meetings	Active website maintained in collaboration with PEMSEA, and	Website promotion with hits recorded;	Regional and national commitment to

<p>sharing on highly migratory fish stocks</p>	<p>established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems</p>	<p>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</p>	<p>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.</p>	<p>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 PEMSEA's EAS Congress</p>	<p>feedback from stakeholders; project newsletter widely distributed. Presentations at international and (sub-)regional knowledge sharing events available on IWLearn and EAS websites</p>	<p>sharing of information on highly migratory stocks</p>
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