



**Oceanic Fisheries Management Project II - Project Design Consultation**  
**SPC Headquarters**  
**Noumea, New Caledonia**  
**Friday 8 March 2013**

**Paper Number      OFMP 2**  
**Title                PIF AND PROGRESS TO DATE**

**Summary**

The Project Identification Form (PIF) for the project “**Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS)**” was submitted to the Global Environment Facility (GEF) Council and approved in June 2012. The Council also approved a project preparation grant (PPG) of \$USD 220,000 for a work programme to design a full project document structure. A fundamental activity in the PPG work programme is the updating and compilation of nation mission reports which reflect the needs of the 14 countries benefiting, recognising the common and differentiating requirements for managing oceanic resources in their respective EEZs. This brief report details the progress to date towards the expected outputs of the PPG including a full project document for submission to the GEF.

## PIF AND PROGRESS TO DATE

### Introduction

1. The Project Identification Form (PIF) endorsed by member countries for the Pacific's fisheries project to the Global Environment Facility (GEF) Council was submitted and approved in June 2012. The **"Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS)"** builds on a previous full sized oceanic fisheries project successfully concluded in 2011 and seeks to assist Pacific SIDS to meet their obligations under key global instruments such as UNCLOS, the UN Fish Stocks Agreement and the Western and Central Pacific Fisheries Convention.
2. Funding was also sought for project preparation work for which the GEF Council approved a grant of USD 220,000. In anticipation of a second phase project and during the time it took the GEF to negotiate its fifth replenishment, substantial project design work was undertaken by the Pacific Islands Forum Fisheries Agency (FFA) and its member countries from in 2010. Prior project design work and the work programme of the 2012 Project Preparation Grant (PPG) will finalise a project design encapsulated in a Project Document for the GEF CEO's consideration later this year.

### PIF

3. Countries provided letters of endorsement through their GEF Operational Focal points (typically heads of environment departments) in late 2011 which were required to be submitted with the PIF to GEF (see PART III A Record of Endorsement in the PIF).
4. The endorsed PIF is attached to this paper for reference.

### Progress to Date

5. Project preparation work has involved some challenges principally the need to ensure that the requirements of the 14 countries with their many common and differentiating features and responsibilities for managing oceanic fisheries traversing their respective EEZs are met and coordinating the roles and contributions of the two GEF Implementing Agencies (FAO and UNDP) and the six organisations involved in project design and execution, primarily FFA and The Secretariat of the Pacific Community (SPC).
6. The work programme for the PPG commenced in August 2012 and is expected to conclude by July 2013. Expected outputs include the following:
  - a) full project document following the templates of both UNDP and FAO;
  - b) GEF CEO endorsement document;
  - c) all required annexes including co-financing commitments from the countries and co-financiers;
  - d) the project implementation arrangements between UNDP and FAO and with executing partners FFA and SPC; and
  - e) FAO environmental screening
7. PPG activities commenced with a Project Design Planning Workshop held at Honiara in late August 2012 attended by key organisations and consultants to start the project preparation phase with careful planning and coordination in which agreement was reached on a project design work plan, including timing and responsibilities; and the design of the country report template.

8. The PPG activities have to date built on the substantial project design work already undertaken from the proceeding GEF Oceanic Fisheries Management Project, including data collected from 7 of the smaller Pacific countries (in 2010) which were the focus of the then proposed project. These country reports have been updated to take into account the final PIF and changes that occurred in the intervening period. The remaining 8 country reports have also been completed. Drafts of the National Mission Reports have been delivered to participating countries in January. Some countries have provided comments and amendments to their reports.

9. This Project Design Consultation brings together key stakeholders for the presentation of the structure of the full project document for review and finalisation. The project partners, including the governments, GEF agencies, the executing partners and other stakeholders will discuss and agree on the project implementation arrangements, their expectations and respective roles. This consultation is expected to finalize the entire package for submission to GEF.



**PROJECT IDENTIFICATION FORM (PIF)**  
**PROJECT TYPE: Full-sized Project**  
**TYPE OF TRUST FUND: GEF Trust Fund**

**PART I: PROJECT IDENTIFICATION**

Project Title:	<b>Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS)</b>		
Country(ies) <sup>1</sup> :	Cook Islands, FS Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu	GEF Project ID:	4746
GEF Agency(ies):	UNDP, FAO	GEF Agency Project ID:	UNDP: 4607 FAO: 615567
Other Executing Partner(s):	Forum Fisheries Agency (FFA); Secretariat of the Pacific Community (SPC)	Resubmission Date Submission Date:	March 20, 2012 Jan 4, 2012 Nov29, 2011
GEF Focal Area (s):	International Waters	Project Duration(Months)	48
Name of parent program: • For SFM/REDD+ <input checked="" type="checkbox"/>		Agency Fee (\$):	1,000,000

**A. FOCAL AREA STRATEGY FRAMEWORK:**

<b>Focal Area Objectives</b>	<b>Expected FA Outcomes</b>	<b>Expected FA Outputs</b>	<b>Trust Fund</b>	<b>Indicative Financing (\$)</b>	<b>Indicative Cofinancing (\$)</b>
IW-2: Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of LMEs while considering climate variability and change	2.1 Implementation of agreed SAP incorporates ecosystem-based approaches to management of LMEs, ... and policy/legal/institutional reforms into national/local plans  2.2 Institutions for joint ecosystem-based and adaptive management for LMEs ... demonstrate sustainability  2.3 Innovative solutions implemented for ... rebuilding or protecting fish stocks with rights-based management, and port management and produce measurable results  2.4 Climatic variability and change at coasts and in LMEs incorporated into SAP to reflect adaptive management	<ul style="list-style-type: none"> <li>National and local policy/legal/institutional reforms adopted/implemented</li> <li>Agreed commitments to sustainable LME cooperation frameworks</li> <li>Types of technologies and measures implemented in local demonstrations and investments</li> <li>Enhanced capacity for issues of climatic variability and change</li> </ul>	GEFTF	9,525,000	68,082,000
		Sub-Total		9,525,000	68,082,000
		<b>Project Management Cost</b>	GEFTF	475,000	2,224,000
		<b>Total Project Cost</b>		10,000,000	70,306,000

## B. PROJECT FRAMEWORK

<b>Project Objective:</b> To support Pacific SIDS in meeting their obligations to implement and effectively enforce global, regional and sub-regional arrangements for the conservation and management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries						
<b>Project Component</b>	<b>Grant Type</b>	<b>Expected Outcomes</b>	<b>Expected Outputs</b>	<b>Trust Fund</b>	<b>Indicative Grant Amount (\$)</b>	<b>Indicative Co-financing (\$)</b>
1 Regional Actions for Ecosystem-Based Management	TA	<p>1.1 Comprehensive set of innovative on-the-water conservation and management measures (CMMs) adopted by the Western and Central Pacific Fisheries Commission (WCPFC) for stocks of the Western Tropical Pacific Warm Pool (WTPWP) LME, incorporating ecosystem-based approaches in decision-making) and informed by sound scientific advice and information</p> <p>1.2 Adaptive management of oceanic fisheries in the Western Tropical Pacific Warm Pool (WTPWP) LME is put in place through better understanding of the impacts of climate change</p>	<p>1.1.1 Proposals for ecosystem-based, practical WCPFC CMMs to control fishing mortality for target species and mitigate impacts on non-target species (relating to turtles, sharks, seabirds, cetaceans ,other bycatch and fishing practices generally), prepared and supported by Pacific SIDS including regulatory and market-oriented measures reflecting and contributing to global best practices and consistent with global, regional and subregional instruments and targets</p> <p>1.1.2 Proposals for WCPFC and other regional legal arrangements and compliance mechanisms to implement CMMs effectively and deter IUU fishing, including WCPFC provisions for vessel tracking, onboard observers, port state measures, catch tracking, compliance monitoring, and regional MCS coordination prepared and supported by Pacific SIDS</p> <p>1.2.1 Climate change forecasts and vulnerability of the entire Pacific SIDS region assessed and results and recommendations communicated to managers of potential impacts on oceanic fisheries and associated livelihoods through to the 21st century</p> <p>1.2.2 Assessment of climate change impacts on fisheries jurisdictions conducted in coordination with related initiatives and related training carried out for 14 Pacific SIDS</p> <p>1.2.3 Updated TDA for oceanic fisheries incorporating new information on WTPWPLME stock status, institutional and economic developments and climate change</p> <p>1.2.4 Updated oceanic fisheries management aspects of the Pacific Islands IW SAP</p>	GEFTF	1,610,000	16,984,000

2 Sub-regional Actions for Ecosystem-Based Management	TA	2.1 Sub-regional conservation and management arrangements are operationalized and enforced, including rights-based cap & trade arrangements for in-zone tuna fisheries, enhancing ecosystem sustainability and incentivized by sustainable fishery certifications	<p>2.1.1 Proposals, instruments, implementing arrangements and support services for sub-regional management schemes, especially rights-based cap and trade catch or vessel-day schemes (VDS) for purse seine and longline fisheries, and fishery certifications, with the active engagement of the fisheries industry</p> <p>2.1.2 Sub-regional capacity building programmes implemented for sub-regional management arrangements</p>	GEFTF	2,000,000	11,617,000
3. National Actions for Ecosystem-Based Management	TA	<p>3.1 Innovative ecosystem-based on-the-water conservation and management measures being effectively applied by Pacific SIDS in accordance with national plans and policies and with international, regional and sub-regional commitments and other relevant instruments</p> <p>3.2 Integrated data and information systems and scientific analysis available nationally for science, policy-making, monitoring and compliance</p>	<p>3.1.1 National capacity building activities conducted in 14 Pacific SIDS covering at least 60 management personnel to to strengthen national plans, policies, programmes &amp; projects, in support of ecosystem-based management, including regional and subregional arrangements</p> <p>3.1.2 Revised national laws, regulations and license conditions in at least 11 Pacific SIDS to operationalise WCPFC CMMs, subregional cap and trade scheme and other relevant conservation and management instruments</p> <p>3.1.3 Pacific SIDS' national oceanic monitoring, control, surveillance and enforcement programmes effectively implemented and enforced at sea, dockside and in courts through training of Pacific SIDS' legal (70) and fisheries protection (400) officers to implement WCPFC CMMs, FFA MTCs and national laws</p> <p>3.1.4 Priority bycatch species integrated into management planning processes at the national level and aligned with global instruments in at least 11 Pacific SIDS</p> <p>3.2.1 Effective national fisheries monitoring programmes and data and information management systems developed for all Pacific SIDS including training (around 350 personnel) &amp; operational support for observers, port samplers &amp; national coordinators, in support of national, subregional and regional conservation and management actions</p>	GEFTF	4,440,000	32,287,000

			3.2.2 National scientific analysis and support for ecosystem-based management of oceanic fisheries by 14 Pacific SIDS synthesized, informed and advised, and capacity building including training of around 120 national technical and scientific personnel in stock assessment methods and interpretation and ecosystem assessment and monitoring				
4. Coordination and Knowledge Management	TA	4.1 Greater multi-stakeholder participation in the work of the national and regional institutions with respect to oceanic fisheries management, including greater fisheries industry engagement and participation in Project, FFA, WCPFC and sub-regional activities  4.2 Increased awareness of oceanic fisheries resource and ecosystems management & impacts of climate change	4.1.1 Broader stakeholder (Pacific SIDS, regional institutions, fishing industry and business sector, environmental NGOs, local NGOs, civil society, among others) coordination formulated through partnerships with eNGOs and iNGOs;  4.1.2 Increased awareness through workshops and other mass media contributing to wider support for national, subregional and regional project activities with increased participation by women  4.1.3 Effective project implementation through monitoring and evaluation with feedback mechanisms utilizing the regional and subregional arrangements and existing national mechanisms  4.2.1 Knowledge management and information systems including an enhanced and interactive project website, publications, promotional materials, media relations and participation in relevant UNDP, FAO and GEF events and information exchanges such as in IW:LEARN	GEFTF	1,475,000	7,194,000	
Sub-Total						9,525,000	68,082,000
Project Management Cost					GEFTF	475,000	2,224,000
<b>Total project costs</b>						10,000,000	70,306,000

**C. INDICATIVE CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, (\$)**

Sources of Cofinancing	Name of Cofinancier	Type of Cofinancing	Amount (\$)
National Government	Participating Countries	In-kind	20,000,000
GEF Agency	UNDP	Grant	220,000
		In-kind	380,000
GEF Agency	FAO	Grant	500,000
		In-kind	2,500,000
NGO	WWF	In-kind	200,000

Other Multilateral Agencies	FFA	Grant	5,618,000
		In-kind	31,835,000
Other Multilateral Agencies	SPC	Grant	3,603,000
		In-kind	3,450,000
Other Multilateral Agencies	PNA	In-kind	2,000,000
<b>Total Cofinancing</b>			<b>70,306,000</b>

#### D. GEF/LDCF/SCCF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY

GEF Agency	Type of Trust Fund	Focal area	Country Name/Global	Project amount (a)	Agency Fee (b)	Total c=a+b
UNDP	GEF TF	International Waters	Global	5,000,000	500,000	5,500,000
FAO	GEF TF	International Waters	Global	5,000,000	500,000	5,500,000
<b>Total Grant Resources</b>				<b>10,000,000</b>	<b>1,000,000</b>	<b>11,000,000</b>

## PART II: PROJECT JUSTIFICATION

### A. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

A.1.1 the GEF focal area/LDCF/SCCF strategies/NPIF Initiative:

The objective of the proposed project matches exactly the IW GEF-5 goal of *the promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services*. In particular, it will contribute significantly to achievement of the IW GEF5 Objective 2: *catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change* and associated outcomes and indicators as summarised in the table below.

Expected IW Outcomes	Indicators	Contributions of Proposed Project
<b>Outcome 2.1:</b> Implementation of agreed Strategic Action Programmes (SAPs) incorporates ecosystem-based approaches to management of LMEs, ICM principles, and policy/legal/institutional reforms into national/local plans	<b>Indicator 2.1:</b> Adoption or implementation of national/local reforms; functioning of national inter-ministry committees	National reforms and successful management measures will be delivered in all Pacific SIDS in the WTPWP LME to ensure sustainability of the oceanic fishery resources.
<b>Outcome 2.2:</b> Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability	<b>Indicator 2.2:</b> Cooperation frameworks agreed and include sustainable financing	The WCPF Convention and the Commission were agreed and established with GEF support implemented by UNDP through FFA. The Commission is now financially self-sustaining; the proposed project will strengthen WCPFC further by supporting countries meet their obligations to the Convention to ensure long-term sustainability. In addition, the project will support the PNA who have the most productive tuna fishing grounds, strengthen their subregional organization and management.
<b>Outcome 2.3:</b> Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest)	<b>Indicator 2.3:</b> Measurable results for reducing land-based pollution, habitat, and sustainable fisheries from local demonstrations,	There will be measurable results from innovative management arrangements including rights-based cap and trade management systems, enhanced compliance and enforcement schemes including port state controls and catch tracking, and by-catch mitigation arrangements.



restoration/conservation, and port management and produce measureable results	including community benefits (disaggregated by gender)	These results will include increased benefits for Pacific SIDS.
<b>Outcome 2.4:</b> Climatic variability and change at coasts and in LMEs incorporated into updated SAP to reflect adaptive management and ICM principles	<b>Indicator 2.4:</b> Updated SAPs and capacity development surveys	OFM aspects of the Pacific Islands IW SAP will be updated based on a new diagnostic analysis taking into account climate change and achievements in strengthening regional and sub-regional management arrangements

More broadly, the project will be a strong expression of the GEF commitment to support SIDS. It derives even greater significance as the project will support specific sub-regional groups of SIDS to achieve global environment benefits through the management of their shared oceanic fishery resources. Moreover, the project will enhance the achievement of a range of MDG targets through direct contributions to MDG 1 (Eradicate Extreme Poverty and Hunger) and MDG7 (Ensure Environmental Sustainability).

A.1.2. For projects funded from LDCF/SCCF: the LDCF/SCCF eligibility criteria and priorities: N/A

A.1.3. For projects funded from NPIF, relevant eligibility criteria and priorities for the Fund: N/A

A.2. National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAs, NAPs, NBSAPs, national communications, TNAs, NIPs, PRSPs, NPFE, etc.:

The project is aimed at assisting Pacific SIDS to meet their obligations under key global instruments such as UNCLOS and the UN Fish Stocks Agreement, which bestowed on Pacific SIDS the rights to explore and exploit, and duties to conserve, manage and protect, the resources and biodiversity in their EEZs and the adjacent ABNJ for the benefit of their own peoples. A critical element in the duties is the obligation to cooperate with others involved to establish a regional management institution. That institution is the Western and Central Pacific Commission (WCPFC), established under the WCPF Convention. The Convention is the first major new international fisheries management arrangement to have been established under the UN Fish Stocks Agreement and follows that Agreement very closely, serving as a major precedent for the application of the principles of the Agreement. With GEF assistance, the Pacific SIDS updated their legislation to implement UNCLOS, the UN Fish Stocks Agreement and the WCPF Convention, and other relevant global agreements which are also implemented through National Ecosystem Approach to Fisheries Management (EAFM) Assessments and National Oceanic/Tuna Fisheries Management Plans. .

The national instruments are linked with the global agreements through a range of regional and sub-regional agreements, plans and strategies. At the regional level, these include the WCPF Convention, the Pacific Island Forum Fisheries Agency (FFA) Convention, the Niue Treaty on Cooperation in Fisheries Surveillance and Law Enforcement, the FFA Harmonized Minimum Terms and Conditions, the Pacific Plan, the Regional Tuna Management and Development Strategy, the Regional Monitoring, Control and Surveillance Strategy, and the Pacific Islands Regional Plan of Action for Sharks. At the sub-regional level, these include the Parties to the Nauru Agreement (PNA) and the various associated Implementing Arrangements adopted by the PNA and the Te Vaka Moana (TVM) Arrangement and associated arrangements adopted by the TVM group. This proposed project is designed to build on and strengthen these regional and sub-regional arrangements.

**B. PROJECT OVERVIEW:**

**B.1. Describe the baseline project and the problem that it seeks to address:**

The waters of the Pacific Islands region cover around 40 million square kilometers, or over 10 per cent of the Earth’s surface and equivalent to about one third of the area of the Earth’s land surfaces. These international waters hold the world’s largest stocks of tuna and also globally important stocks of sharks, billfish and other large pelagic species, whales and other marine mammals and turtles. The Pacific SIDS are custodians of most of this area which falls under their national jurisdiction.

The defining physical feature of the body of international water shared by Pacific Island communities is the WTPWP LME. The Warm Pool comprises a huge body of water, lying to the west of the strong divergent equatorial upwelling in the central equatorial Pacific known as the "cold tongue" and between the sub-tropical gyres in the North and South Pacific. It provides approximately 90% of the catch of tunas and other pelagic species in the WCPF Convention Area. The health of the WTPWP LME is critical to the communities and economies of the Pacific Islands. All of the Pacific SIDS are coastal and almost all of the people of the region live and work in ways that are dependent on healthy, productive marine ecosystems. These are communities that will be profoundly affected by climate change.

The tuna stocks in the WCPO and the WTPWP LME are the largest in the world, providing over half of the world’s tuna and the healthiest in the world, with over 95% of the catch taken from stocks on which the level of fishing is sustainable<sup>2</sup>, largely due to longstanding precautionary arrangements applied nationally, sub-regionally and regionally by the Pacific SIDS. These stocks are also unique in that the major fishing grounds and catches are in national waters and a relatively small share of the catch is made in ABNJ, providing scope for avoiding the “tragedy of the commons” that characterizes the largely open access and over-capitalized tropical tuna fisheries in the high seas of other oceans. Notwithstanding the relatively healthy status of stocks currently, the growth in catches and fleets, increasingly powerful vessels, declining stocks, a lack of compatibility in measures throughout the range of the stocks especially in the high seas, illegal fishing and a lack of action on broader ecosystem impacts and climate change are indicators of threats to the sustainability of the region’s oceanic fisheries and the health of the regional marine ecosystem, especially in the face of tightening global tuna supplies and rising global tuna prices. Against this background, a TDA for the Pacific Islands IW identified the ultimate root cause underlying the concerns about, and threats to the sustainability of the region’s oceanic fisheries and the health of the regional marine ecosystem as weaknesses in governance and understanding.

With GEF support, Pacific SIDS have been implementing the Pacific Islands IW SAP which has as its key elements the creation of a legally binding institutional arrangement governing regional cooperation; compatible management arrangements throughout the range of the oceanic fish stocks; building capacity at the regional and national levels and improving scientific understanding especially at the ecosystem level in order to provide information for the kinds of fisheries management measures that would need to be taken.

The major starting point in addressing the regional governance weaknesses was the establishment of the WCPF Convention and the Commission. Supported by the initial GEF-funded OFMP, Pacific SIDS have played a major role in getting the Commission in place earlier than expected, with all the Pacific SIDS, and all major fishing states, as Members. *The financial sustainability of the Commission is ensured based on the principle that those who benefit from fishing should pay the costs of management. Total contributions to the Commission have been increasing over the years and reached over \$6 million in 2010.* Its science programme is functioning. Many of the elements of its compliance programme are being put in place, setting a number of important global precedents, and a fairly comprehensive, but still preliminary set of conservation and management measures has been adopted for most of the key target stocks and protection of key non-target species. These measures have yet to be broadly implemented, but after a long period

of steady growth, total WCPO catches in 2010 declined as measures in the purse seine fishery began to take hold.

Similarly, at national level, with support from the OFMP, laws and management plans have been amended and monitoring and compliance programmes have been established and/or strengthened, with an estimated 70 permanent new posts created as part of the institutional strengthening processes as well as over 350 additional monitoring staff being contracted, but leveraging systematic improvements across several agencies in each of the Pacific SIDS require additional sustained, concentrated effort.

At sub-regional level, a new PNA Office has been established, focused on building self-reliance and supporting the PNA purse seine vessel day scheme (VDS) – the most important rights-based cap-and-trade management scheme in international fisheries, covering around 1 million tonnes or 25% of the world's tuna catch, and more than 50% of the fish supplied globally for canned tuna. The VDS is now in the early stages of operation and largely self-financing with substantial investment being made by PNA in supporting monitoring and reporting systems. A new TVMA has been concluded as a focus for practical fishery-level cooperation among Polynesian SIDS. In its early stages it is focused on establishing rights-based cap and trade systems for longline and purse seine management, and enhanced MCS.

With these developments, the initial foundational, institutional development phase of improvements to regional oceanic fisheries management called for in the IW SAP has been largely accomplished as confirmed by the OFMP Terminal Evaluation, but substantially more needs to be done to translate these institutional developments into systematic, sustained changes in fishing patterns and on-the-water behavior. A recent Report on the Future of Fisheries in the Pacific Islands confirms this outlook. In a comparison of Best Case/Most Likely/Worst Case scenarios with 25 year projections, the report sees it as most likely that the potential severe declines in the stocks of the region's most valuable tuna species will be avoided because of recent improvements in conservation and management arrangements, but that these efforts will still fall short of optimising the levels of fishing for the major target species and will not adequately address the impacts of oceanic fisheries on non-target species.

The TDA and Pacific Islands SAP have served well as foundations of GEF and Pacific SIDS efforts to address the root causes of concerns about the sustainability of regional oceanic fisheries, but need to be updated to reflect new information on status of target and non-target stocks, institutional and economic developments and climate change variability.

FFA, SPC, UNDP, FAO, PNA, TVMA, WWF and PITIA are implementing programmes in oceanic fisheries in the Pacific Islands region at the regional, subregional and national levels upon which this proposed project will build on.

FFA and SPC are working at all geopolitical levels. FFA is supporting FFA Members through its Fisheries Management, Fisheries Development and Operations Programmes. FFA Members play a major role in the WCPFC, making up more than half of its members, and also cooperate directly in the implementation of arrangements including the Niue Treaty on Cooperation in Fisheries Surveillance and Law Enforcement and the Harmonized Minimum Terms & Conditions for Fishing which have largely set the standard for many of the WCPFC requirements. The FFA hosts the WCPFC VMS, and the WCPFC Regional Observer Programme is largely comprised of the national programmes of FFA Pacific Island Countries. The SPC both provides assistance directly to SPC Members, and acts as the scientific and data services provider to the WCPFC, undertaking stock assessments and other scientific analyses, and maintaining the Commission's scientific databases. WWF South Pacific is engaged in baseline activities through its established Offshore Fisheries programme which focuses on advocacy and awareness, fisheries certification and tuna bycatch reduction.

This project will build on UNDP initiatives at the national level UNDP is strengthening environmental governance in various Pacific SIDS by assisting some Pacific SIDS to identify, develop and implement effective coordination mechanisms within formal government agencies

that will establish a coherent environment and sectoral approach. Governments are being assisted to executive more effective aid management and monitoring practices, including those coming from the GEF, within the context of the Pacific Aid Effectiveness Principles. The mainstreaming of environment and natural resources governance into national planning and budgeting processes is a key objective. These national initiatives in FSM, Vanuatu, RMI, Kiribati, Tonga and Tuvalu constitute the UNDP baseline. Other Pacific SIDS will be covered within the timeframe of this project.

FAO has long been involved in oceanic fisheries activities in the South Pacific region, offering support and advice in a variety of areas including providing direct secretariat and technical support to the negotiation and implementation of the WCPFC Convention. It has delivered in its key focus areas of training and capacity building often in collaboration with FFA and SPC particularly on: the implementation of the Code of Conduct for Responsible Fisheries; implementation of the Model Scheme on Port State Measures; the development and implementation of national plans of action to combat IUU fishing; the development of the regional plan on sharks; the preparation of negotiation positions for the SP-RFMO; the implementation of the FAO Port State Measures Agreement; addressing fisheries statistics in support of fisheries management and the ecosystem approach to fisheries; legal assistance to review and strengthen fisheries and aquaculture legislation; conducting tuna studies; and, the implementation of the precautionary approach.

**B.2. Incremental/Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated [global environmental benefits](#) (GEF Trust Fund/NPIF) to be delivered by the project:**

The Project will continue the catalytic and transformational role of the GEF in its previous and ongoing support for the management of oceanic resources in the region. GEF financing was instrumental in the successful negotiations towards the WCPF Convention and establishment of the Commission. With the Convention and the Commission in place, together with other relevant global and regional instruments such as the UNCLOS, UN FSA and subregional country groupings such as PNA and TVMA, this Project will strengthen support for full operationalization of the WCPFC, and for national and sub-regional initiatives primarily to enable and to ensure sustainable benefits to Pacific SIDS from their most important economic (and natural) asset – the oceanic fish stocks. The conservation of these globally important fish stocks, and the protection of the associated non-target stocks, especially of sharks, seabirds and sea turtles, constitutes the global environmental benefit for this project.

The Project strategy will build on the findings of the [OFMP terminal evaluation report](#), which correctly noted that the predecessor project has empowered the Pacific SIDS in their engagement with much larger countries and with international organizations. Even with such empowerment, however, the Pacific SIDS will be met with challenges as they negotiate their positions to ensure the conservation of and obtain sustainable benefits from their oceanic resources at the WCPFC and other relevant forums. Thus, the approach is to build and sustain core institutional changes at the national level to achieve the biggest impact from the technical systems, skills and mechanisms that were introduced in the predecessor project. Following the recommendations of the mid-term and terminal evaluations, there will be a shift in the Project balance from regional to sub-regional and national activities, although it is noted that incremental regional activities will still be supported.

At national level, the Project will focus on the need to ensure the sustainability of project outcomes through capacity-building, with the GEF grant financing the full range of capacity-building mechanisms (including workshops, courses, fellowships and south-south technical cooperation), twinning technical activities with capacity-building and providing specific support in areas such as cost recovery to ensure the availability of financial resources to sustain Project-supported activities, as well as securing long term engagement by regional organisations and coordination with other donors, especially those involved in institutional strengthening.

The implementation strategy will also follow from the terminal report findings which highlighted *“the bringing together of a well-designed project, GEF funding, UNDP implementation, and the happy marriage of regional specialist delivery organizations that are specifically empowered by their PacSIDS membership to provide services to those same PacSIDS”*. FAO is joining the partnership to provide even stronger assistance to the Pacific SIDS. The incremental reasoning and activities by project component are described below.

(1) Regional Actions for Ecosystem- Based Management: with the WCPFC established and the early stages of its scientific and compliance framework largely in place, this component will support the implementation at regional level of WCPFC conservation and management measures to effect real on-the-water changes in how fishing activities impact on the target and non-target stocks.

In this component

- GEF funding, co-financed by FFA and SPC, will support Pacific SIDS participation through regional workshops and technical advice in the adoption of a comprehensive set of practical CMMs by the WCPFC for target and non-target species. This includes establishing measures based on reference points and harvest control rules for key target stocks, and longer term measures on non-target stocks to replace the current ad hoc measures, including species-specific measures for the conservation and management of sharks. Most of the WCPFC measures currently in place are based on extending measures adopted collectively by Pacific SIDS into ABNJ, and the Project will continue to lever high standards in WCPFC CMMs applying to the high seas and other EEZs by having high standards applied in Pacific SIDS national waters. The focus of this work is on Pacific SIDS preparation for the WCPFC Scientific and Commission sessions, noting that the direct costs of Pacific SIDS participation in these meetings is met from the Commission budget.
- GEF funds, heavily co-financed by FFA will, through workshops and technical assistance (emphasizing the use of regional personnel) support Pacific SIDS participation in the development of WCPFC legal arrangements and compliance mechanisms to implement CMMs effectively and deter IUU fishing, including ensuring the effectiveness of the existing WCPFC VMS, observer, IUU listing, transshipment regulation, and high seas boarding and inspection programmes and adopting new WCPFC port state measures, catch tracking, and compliance monitoring schemes. The focus of this work is on the preparation and implementation of proposals for WCPFC Technical and Compliance Committee (TCC), noting that the direct costs of Pacific SIDS participation in TCC meetings is met from the Commission budget.
- The GEF grant with co-financing from FFA will contribute to the costs of regional consultations to coordinate regional MCS activities among Pacific SIDS and between Pacific SIDS and metropolitan countries undertaking MCS operations in the area (Australia, France, New Zealand and the United States)
- With GEF funding for technical services, SPC will provide assessments of climate change forecasts and vulnerability for the Pacific SIDS region, to inform managers of potential impacts on oceanic fisheries and associated livelihoods through to the 21st century using ecosystem models to assess the impact of the IPCC climate change scenarios.
- FAO will finance, with co-financing from FFA and SPC, an assessment of fisheries jurisdictional implications of climate change and related training, which is a critical area for atoll countries whose islands are projected to be uninhabitable because of sea level rise. The assessments, which will be carried out in cooperation with other key actors such as SOPAC, SPC and FFA, will consider the impacts of climate changes on the management of oceanic fisheries, especially on EEZs, including concepts for preserving the sovereign rights over fishery resources and associated benefits of peoples who face the complete loss of their home islands. Activities will include:
  - Review of economic, technical and legal issues related to the potential loss of current/declared fisheries jurisdictional claims due to sea level rise, and options for the retention of current claims in terms of socio-economic impacts and sound oceanic fisheries management;

- Assessment of the implications of these issues for individual Pacific SIDS, especially those most vulnerable to sea level rise;
  - Assessment of the broader implications of these issues for cooperative management of the transboundary oceanic fish stocks
  - Consultation/training meetings for presentation of findings of technical and legal issues and development of strategies to present common Pacific SIDS positions regarding the impact of climate change on fisheries jurisdictions in relevant regional and global fora.
- Prepare an updated TDA for oceanic fisheries incorporating new information on WTPWPLME stock status, institutional and economic developments and climate change variability, and an update of the oceanic fisheries and WTPWP LME aspects of the Pacific Islands IW SAP

2 Sub-regional Actions for Ecosystem- Based Management: The component recognizes the importance of sub-regional collaboration among SIDS to meet their obligations to jointly conserve, manage and protect the resources and marine ecosystems within their adjacent extended 200-mile jurisdiction and promote common interests in international forums such as the WCPFC. This component will strengthen these subregional groups in order to accelerate joint efforts at managing shared resources and thus will:

- Support PNA, TVMA and the Sub-Committee on South Pacific Tuna and Billfish with the preparation of proposals, instruments, implementing arrangements and support services for sub-regional management schemes, especially cap-and-trade catch or vessel-day schemes. The PNA VDS is now largely established but still needs some refinement to ensure sustainability and PNA self-reliance. The principal activity is expected to be the extension of cap and trade schemes to the longline fisheries. The project will explore assistance to ongoing and planned MSC certifications (PNA purse seine fishery and potential TVM longline fishery).
- Provide capacity building to support sub-regional management arrangements. GEF grant funds will be used for sub-regional consultations, technical advice, vessel and catch tracking systems and certification-related costs, with co-financing from PNA, TVM, FFA and SPC.

3. National Actions for Ecosystem-Based Management: this will be the priority component of the Project, contributing to the incremental costs for Pacific SIDS to effectively exercise their stewardship of the WTPWP LME in accordance with relevant global oceanic legal agreements. The component will:

- Support national interventions to strengthen plans, policies, programmes & projects, in support of regional and subregional arrangements in all Pacific SIDS, including training of at least 60 policy and management personnel;
- Assist with revisions of laws, regulations and license conditions in at least 11 Pacific SIDS to operationalise WCPFC CMMs, subregional rights-based cap and trade scheme and other relevant instruments
- Provide training at sea, dockside and in court MCS and,compliance and enforcement processes to legal (70) and fisheries protection (400) officers;
- Support integration of priority bycatch species issues into management planning processes at the national level, in a way that is aligned with global instruments such as the IPOAs sharks and seabirds and the FAO Guidelines to Reduce Sea Turtle Mortality in at least 11 Pacific SIDS;
- Ensure the development of effective national fisheries monitoring programmes and data and information management systems for all Pacific SIDS including training (around 350 personnel) & operational support for observers, port samplers & national coordinators; and
- Provide national scientific analysis and support for ecosystem-based management of oceanic fisheries by 14 Pacific SIDS with capacity building including training of around 120 national technical and scientific personnel in stock assessment methods and interpretation and ecosystem assessment and monitoring

The GEF grant will fund participant costs to in-country and regional training courses and workshops, fellowships for national participants, and technical advice, including south-south knowledge exchange and capacity development. All activities will be co-financed nationally, and by the regional organisations, particularly through the provision of FFA and SPC personnel financed by the organisations' own budgets to conduct courses and workshops and provide national legal, policy and analytical advice.

Ensuring sustainability of Project-initiated activities at the national level is a key challenge related to this Component. The major elements of the strategy for sustaining Project – initiated activities and Project outcomes include:

- i) the high priority attached to capacity-building especially in the National Component, noting the opportunity for human and institutional capacity development arising from the creation of over 70 new permanent posts and 350 additional monitoring staff, mainly onboard observers, under the preceding project
- ii) specific attention to assistance with national cost recovery mechanisms to ensure adequate financing of OFM programmes
- iii) recognition of the ongoing role of the regional and sub-regional organisations in supporting national programmes, especially for the smaller, more vulnerable and more fishery-dependent SIDS; and
- iv) catalyzing and working with projects supported by other donors, especially broader institutional strengthening projects with a wider organizational reach across natural resources, environment and economic development ministries in which oceanic fisheries administrations are typically situated.

**4. Coordination and Knowledge Management: The component will:**

- Support coordination with the WPEA OFM project;
- Coordinate the participation of stakeholders including Pacific SIDS, regional institutions, fishing industry and business sector, environmental NGOs, local NGOs, civil society, including increasing awareness through workshops and other mass media contributing to wider support for national, subregional and regional project activities with increased participation by women;
- In particular, support activities of PITIA and WWF South Pacific to increase awareness and participation in oceanic fisheries management by industry and civil society more broadly;
- Ensure effective implementation through monitoring and evaluation with feedback mechanisms utilizing the regional and subregional arrangements and existing national mechanisms; and
- Support the development of knowledge management and information systems including an enhanced and interactive project website, publications, promotional materials, media relations, participation in relevant UNDP, FAO and GEF events and information exchanges and submissions of IW tracking tools, with at least 1% of the GEF grant budgeted for IW:LEARN-related activities (experience notes, participation in workshops and conferences, among others).

**B.3. Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:**

The Project aims to increase the value of the WCPO oceanic fisheries, particularly to Pacific SIDS, while achieving ecosystem gains - combining the interests of the global community in the conservation of a globally important marine ecosystem, with the interests of some of the world's smallest nations in the long term conservation and sustainable use of resources that are crucial for their sustainable development. For the people of the Pacific Islands, fish and fishing are, as a recent ADB report said “*tremendously important... Much of the nutrition, culture and welfare, recreation, government revenue and employment in the region are based on its living marine resources*”; and over 90 per cent of the fish taken is from oceanic fisheries. Looking ahead the

same report projected that *“tuna will inevitably assume a much larger profile in the Pacific Islands in the medium and long term future. Tuna is likely to increase in a number of sectors, two of which are especially critical: (1) as a foundation for future economic growth; and (2) for food security.”*

In their commitment to long term conservation and sustainable use through the WCPFC, Pacific SIDS have also pursued longer term socio-economic goals, concerned to ensure the long term viability and value of key oceanic stocks, and the fisheries upon them both for economic growth and food security. These goals include:

- increased access fees for government revenue which the World Bank has projected could increase by US\$60 million annually if limits can be tightened to make access to resources more valuable, and the rights of Pacific SIDS over those resources can be protected;
- increased employment and private incomes associated with the domestic fisheries development that is expected to flow from better-managed national fisheries; and
- increased contributions to food security that are projected to be necessary as other inshore marine resources around islands become fully exploited, including through protection of the rights of local fishers.

In choosing to pursue long term goals, Pacific SIDS recognized that there would need to be short term economic sacrifices, including jobs, as limits were applied to fishing and tightened. In practice, the socio-economic outcomes of the initial stages of the WCPFC conservation and management measures have been highly positive. The WCPFC regional observer programme has already created around 500 jobs for Pacific Island onboard observers and onshore observer support, with at least as many additional new jobs likely to be created with the planned further development of the observer programme and planned strengthening of monitoring in port. More broadly, the establishment of secure participatory rights in the purse seine fisheries for Pacific SIDS through the PNA VDS is providing incentives for private sector investment in onshore value added processing facilities, and giving Pacific SIDS greater leverage to secure crewing for their nationals. As a result, while overall crew employment may fall as fishing fleets are cut to ensure sustainability, there are projections that Pacific Island crew numbers could increase and that more than 30,000 new jobs could be created in onshore facilities if the new cap and trade management arrangements can be fully and effectively implemented in the purse seine fishery.

A series of FFA and SPC studies on gender and tuna/oceanic fisheries since 2006, most recently an EU-funded SPC study on gender in fisheries science and management, have assessed related issues. At the broad socioeconomic level, improving the management of the region’s most valuable single natural resource offers improved food security, public services and income earning opportunities. In terms of gender participation, the 2011 report sees three ways to increase women’s participation in fisheries - raising the profile of fisheries as a potential career as well as the profile of women already working in the sector; providing a support network for women in fisheries and strengthening the institutional level (work environment and conditions) At the industry level, the differences in gender participation are reflected in almost completely men working onboard and largely women in onshore processing facilities. From the employment patterns, 65-75% of the new industry jobs noted above are likely to be filled by women, but even then senior and technical positions will be largely held by men. However, perceptions are changing, as women gain access to education and communication technologies through gender-equity policies across societies and economies, and the preceding Project has been able to successfully use as role models the small but increasing numbers of women in senior commercial and technical positions, and particularly operating onboard vessels as observers. The proposed Project will build on this approach, with Project records of gender participation in high level meetings, consultations and workshops since 2004 also providing a first analysis of changes in gender participation in these events over time.

Until recently, contributions to Pacific SIDS government revenues from access fees are estimated to have remained stable at around US\$80m but there are prospects for sharp increases in fee levels for over the next five years if the purse seine cap and trade management systems can be fully and effectively implemented. If zonal rights-based systems similar to the PNA purse seine



VDS can be implemented for the longline fisheries, there will be substantial additional socio-economic gains.

**B.4 Indicate risks, including climate change risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks to be further developed during the project design:**

This project will be geographically, politically, technically and economically complex, with features that have led to mixed results in other regional environmental projects in the Pacific Islands. A key to managing and mitigating the overall risks associated with this complexity is to base the Project firmly on the successful partnership established already between FFA, SPC and UNDP, enriched by the technical capacities of FAO. Some of the specific key risks in the project

<b>Risk</b>	<b>Rating</b>	<b>Response</b>
Limits of SIDS institutional and human resources capacities	Medium	This is the key factor that will set the limit of what can be achieved within the 4 year timeframe of the project. Project design emphasises capacity development, especially for the smaller Pacific SIDS, and coordination with longer term institutional strengthening programmes supported by other donors, but also has to recognise the limits to the absorptive capacity of smaller Pacific SIDS. The engagement of the regional and sub-regional organisations with an ongoing role in these areas reduces the risk to sustainability of activities and outcomes at national level.
Gridlock in the WCPF Commission	Low - Medium	In the face of the systematic shortfalls in performance of other oceanic fisheries RFMOs, there is a risk that the objectives will be less than fully achieved. A key element of this risk is the conflict between developed fishing states with large existing fleets who seek to entrench and protect their existing operations and the developing countries in whose waters the stocks largely occur. The project will seek innovative responses to overcome this conflict, and support Pacific SIDS in their efforts to leverage the Commission to adopt effective measures through the adoption of high management standards in their own EEZs.
Financial Sustainability of the WCPF Commission	Low	The project aims to increase the value of the resources to Commission Members and heighten appreciation of the value of the Commission's work to its Members, especially Pacific SIDS. The TE found that WCPFC subscription revenue streams are in place, are substantially greater than originally envisaged, and funding levels are considered to be more than adequate to cover foreseeable costs.
Adequacy of financing for national programmes, especially for enforcement	Low-Medium	The Project aims to improve the financial resources available for management programmes from enhanced revenues from commercial oceanic fisheries, contribute to improved effectiveness of enforcement efforts through improved MCS and enforcement coordination, and provide specific technical advice on cost recovery mechanisms aimed at ensuring that resource users pay the full costs of management programmes, including enforcement
Effects of Climate Change on the fisheries and the effectiveness of measures	Low-Medium	Climate change could substantially affect the Warm Pool LME and its vulnerability, requiring restructuring of approaches to conservation and management and maintaining ecosystem health, and adversely affecting the prospects for sustainable oceanic fisheries development for some Pacific SIDS. The project will undertake an analysis of the effects of climate change on the LME and the oceanic fisheries of the region, and incorporate these into a revised SAP
Non enactment of laws and amendments	Low-Medium	The high incidence of uptake by Pacific SIDS of regional initiatives through national legislation in the past, the involvement of a high number of national legal and other participants and institutions in capacity building and bottom-up involvement in other project activities minimizes this risk.
IUU fishing	Low	The project aims to strengthen Commission ABNJ monitoring and compliance programmes and the capacities of Pacific SIDS to deter IUU fishing in their EEZs
Lack of industry interest	Low	It is difficult for the generally small fisheries businesses in Pacific SIDS to participate in the relatively technical discussions on regional oceanic fisheries management. The project will provide support to the regional industry organisation (PITIA) to strengthen engagement by industry participants in national, sub-regional and regional oceanic fisheries management arrangements to lower this risk.

are identified in the table with proposed responses.

**B.5. IDENTIFY KEY STAKEHOLDERS INVOLVED IN THE PROJECT INCLUDING THE PRIVATE SECTOR, CIVIL SOCIETY ORGANIZATIONS, LOCAL AND INDIGENOUS COMMUNITIES, AND THEIR RESPECTIVE ROLES, AS APPLICABLE:**

This project draws together a large and diverse group of stakeholders who play essential roles in tuna fisheries, and who, through this incremental work, will build on their existing collaborations. The key stakeholders include the Pacific SIDS, regional bodies entrusted with tuna fisheries management, the fisheries industry and related businesses, consumers, and global actors such as the FAO, UNDP and international NGOs.

Pacific Islands Forum Fisheries Agency (FFA)

The FFA provides assistance to its 17 Members in tuna fisheries management and economic development, and MCS, focused on the implementation of the Regional Tuna Management and Development Strategy. The FFA will host the Project PCU and execute the regional and national policy, legal and MCS activities in the Project

Secretariat of the Pacific Community (SPC)

SPC provides assistance to its 22 Pacific Island country and territory members across a wide range of sectors. The SPC Oceanic Fisheries Programme undertakes stock assessment and modeling, fisheries data management, fisheries monitoring and ecosystem monitoring and assessment. After transferring most of the scientific and data services initially funded by GEF to the WCPFC and other donor-funded programmes, SPC will concentrate on scientific and data-related advisory and capacity-building activities at the national level in OFMPIO as well as undertaking the analysis of impacts of climate change on the region's oceanic fisheries.

Parties to the Nauru Agreement (PNA)

Eight Pacific Island Country FFA Members, in whose waters the bulk of oceanic fisheries in the region take place, make up the PNA. The Parties have recently established the PNA Office to pursue the Parties commercial and economic interests and increase their self-determination and self-reliance, focused on the PNA purse seine Vessel Day Scheme (VDS). The Project will assist PNA to strengthen and extend the rights-based cap and trade arrangements and secure market recognition of PNA tuna fishery sustainability through fishery certification.

Te Vaka Moana Arrangement (TVMA)

The TVMA, signed in 2010, with 5 Members, seeks to secure, protect and enhance long-term economic benefits able to be derived from Polynesian fisheries and protect their important contribution to food security of the communities. The Project will assist TVM to develop sub-regional conservation and management arrangements including developing rights-based cap and trade management schemes and fishery certification.

The Western Central Pacific Fisheries Commission (WCPFC)

The WCPFC was established in 2004 to ensure, through effective management, the long-term conservation and sustainable use of highly migratory fish stocks in the WCPO. It now has 25 Members including 16 FFA Members and seven participating territories. Other states participate as cooperating non-Members. The WCPFC is at the centre of the Project which supports Pacific SIDS as they participate in the WCPFC to have conservation and management measures adopted and Commission monitoring, compliance and enforcement arrangements put in place as they implement WCPFC measures nationally.

Fishing industry and private businesses

Small and large-scale fishing enterprises and the processors, marketers and retailers will be engaged in regional, sub-regional and national oceanic fisheries management arrangements in two main ways:

- i) Through participation by industry participants in relevant, courses, consultations and workshops, especially those relating to national, sub-regional (PNA and TVM) and WCPFC policies and conservation and management measures; and
- ii) Through a partnership with PITIA (Pacific Islands Tuna Industry Association) and national tuna industry associations. PITIA is an umbrella organisation of the national tuna industry

organizations. This partnership will support the participation of industry representatives at the meetings of the WCPFC and at other regional meetings where management options for regional tuna resources are discussed; dissemination of information to industry members and others concerning the conservation and management measures, and examination of the effects and positions of Pacific tuna industries to these issues.

#### NGOs

The Project is designed to support participation by other non-governmental stakeholders through direct participation in Project-supported activities. The partnership with WWF aims to engage broader groups of non-governmental stakeholders through participation in WCPFC-related processes, and dissemination of information on WCPFC and broader ocean fisheries management related issues, including through the availability of plain language factsheets and national NGO stakeholder workshops.

#### **B.6. Outline the coordination with other related initiatives:**

The project will be closely coordinated with the UNDP/GEF West Pacific East Asia Oceanic Fisheries Management Project (WPEA OFMP). This MSP completes GEF support for the tuna and other oceanic fishery resources in the WCP Ocean. At the political and operational levels, coordination between the two projects will be through the WCPF Commission where all the Pacific SIDS and the three Southeast Asian countries covered by WPEA OFM are participating in various capacities. At the scientific level, coordination will be through the SPC where the data generated by both projects are inputs to the WCPO-wide stock assessments for tuna and other oceanic resources.

Coordination with other UNDP/GEF projects supporting other LMEs in the Asia Pacific region and beyond will be done through the UNDP IW cluster. There will be particular synergy with relevant aspects of the ADB/GEF Coral Triangle Initiative. The Project will also be coordinated closely with the ABNJ Programme, for which FAO is the lead GEF Agency, and particularly the FAO-GEF project “Promotion of sustainable management of tuna fisheries and biodiversity conservation in Areas Beyond National Jurisdiction (ABNJ), taking care to ensure synergies are identified, duplication avoided and lessons learned and best practices shared. This is particularly for stocks and fishing fleets that migrate between EEZs and ABNJ and where CMMs need to be effectively implemented throughout the full range of the stocks.

Regionally, the project will be coordinated with relevant activities in other sectors through the Pacific Plan Action Committee, including the environment and regional trade programmes of other regional agencies, particularly the Forum Secretariat, the Pacific Regional Environment Programme (SPREP) and the Pacific Islands Applied Geoscience Commission (SOPAC) and projects they execute including the UNDP/GEF Pacific Adaptation to Climate Change project and the Pacific Integrated Water Resource and Wastewater Management project. Regional fisheries activities are coordinated through the Ministerial and Officials sessions of the Forum Fisheries Committee in which the other regional organizations and NGOs participate as observers, reporting to, and overseen by, Pacific Island Leaders meeting at their Annual Forum.

Synergistic coordination will be established with the WB which is currently supporting the PNA through (a) advising on the implementation of proposed mandatory crewing by PNA seamen on board DWFN vessels operating in PNA waters, and (b) development of a Business Plan for the PNA Office which document is already noted.

Execution of the project through FFA and SPC ensures the closest possible coordination of project and co-financed activities with other regional fisheries work programmes, including the national EAFM and Management Plan initiatives. Project activities are included in the FFA and SPC work programmes and scrutinised by FFA and SPC members including all Pacific SIDS to avoid duplication, overlaps and underlaps. This process includes close coordination of project activities with the activities of other donor-funded projects particularly the substantial programmes funded by Australia and New Zealand, and the EU-funded Devfish2 and SciCofish

projects. The scientific aspects of the project will be coordinated and peer reviewed through the processes of the WCPFC Scientific Committee.

The project will contribute to the objectives of the IW:LEARN and will use this as one of the platforms for sharing significant developments and lessons learned.

**C. DESCRIBE THE GEF AGENCY’S COMPARATIVE ADVANTAGE TO IMPLEMENT THIS PROJECT:**

This project is a joint submission of the UNDP and FAO by building on both agencies’ competency in implementing a project of this nature. UNDP is designated as the lead agency in this project.

**UNITED NATIONS DEVELOPMENT PROGRAMME**

UNDP brings the following into this project that will benefit project objectives in a synergistic manner with FAO:

- a) Design and delivery of GEF Capacity Building/ Technical Assistance projects as identified by the GEF Council;
- b) Strong country and regional presence which is critically important to the effective delivery to the widely dispersed, mostly small and in some ways very different, Pacific SIDS. The UNDP components will be administered by the UNDP Fiji Multi-Country Office; technical oversight will be provided by the UNDP Asia Pacific Regional Center (in Bangkok) which would facilitate cross project fertilization with its portfolio of seven regional GEF IW-funded projects in the region; and
- c) Good record of effective delivery of regional environmental projects, including GEF-financed projects, working with regional agencies including SPREP and SOPAC, as well as SPC and FFA. UNDP’s experience with a broad range of international transboundary water interventions includes high-level adoption of 11 SAPS, seven of which are currently being implemented and several of which directly address sustainable fisheries management (W/C Pacific, Caspian Sea, Benguela Current LME, Guinea Current LME).

UNDP has mainstreamed this project’s themes in its internal policies. As stated in its Strategic Plan (para 111): “UNDP will continue to support capacity development for countries to ensure that environment and energy are taken into account in drawing up and implementing national policies, strategies and programmes, also considering the inclusion of multilateral environmental agreements...Substantive support will be offered in....water governance and resource management; biodiversity and ecosystem services for development”. Furthermore, the UNDP Strategic Plan (para 62) underscores that “UNDP will work closely with the other entities within the United Nations development system, as well as with global, **regional** and national **partners**, to support capacity-building and development efforts... ”.

For the transboundary marine and freshwater ecosystems that are the focus of the GEF International Waters focal area, UNDP’s Strategic Plan outcome **mainstreaming environment and energy** is achieved through efforts to incorporate transboundary water resource, fishery and other environmental issues into national (and regional) policy, legal and institutional frameworks. Fisheries represent one of a number of important economic sectors and ecosystem services that marine ecosystems provide. In follow-up to the adoption of the UNDP Strategic Plan by the UNDP Executive Board, UNDP has taken further internal steps to operationalize the environment and energy mainstreaming elements of the Strategic Plan at a subsidiary level through its Water Governance Strategy, endorsed by the UNDP Management Group. The UNDP Water Governance Strategy (2008-2011) includes as one of its three Strategic Priorities **Regional and Global Cooperation** and the associated Outcome, *Enhanced regional and global cooperation, peace, security and socio-economic development through adaptive governance of shared water and marine resources*, and the principal Output, *Assist countries to develop and implement cooperation on transboundary waters through multi-country agreements on priority*

*concerns, governance reforms, investments, legal frameworks, institutions and strategic action programmes.*

#### **THE FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS (FAO)**

Within the fisheries and aquaculture sector, FAO is recognized as the leading specialized agency of the United Nations. The FAO Fisheries and Aquaculture Department is a leader in international efforts to promote the transition to more responsible fisheries, through the ecosystem approach to fisheries and aquaculture, both through its work to improve policy, legislative and institutional frameworks and its field activities. This work is accomplished through networks involving other FAO technical departments, other UN agencies, regional fishery bodies and intergovernmental and non-governmental organizations and programmes with fisheries-related interests. FAO has a long track record of building capacity and promoting regional collaboration in fisheries projects globally through its country offices and through its technical and administrative support to Regional Fisheries Bodies (RFBs) established under FAO's constitution (Article VI and Article XIV such as APFIC, GFCM, IOTC and RECOFI) and participating in the meetings of those RFBs established outside of FAO's framework (such as NAFO, NEAFC, WCPFC, IATTC and CCAMLR).

FAO has facilitated the development and implementation of various hard and soft law fisheries instruments including inter alia: The FAO Code of Conduct for Responsible Fisheries, International Guidelines for the Management of Deep-sea Fisheries in the High Seas, International Guidelines for Bycatch Management and Reduction of Discards, International Plans of Action (IPOA) including IPOA-Seabirds, IPOA-Sharks, IPOA- IUU, IPOA-Capacity), FAO guidelines to reduce sea turtle mortality in fishing operations, the Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated fishing (Port-State Agreement). FAO has led work on implementing an Ecosystem Approach to Fisheries, produced codes of practice and standards related to product safety, use, marketing and responsible trade including and Guidelines for the ecolabelling of fish and fishery products from marine capture fisheries. FAO has also been executing agency for various global, regional and national fisheries projects.

FAO is a world leader in promoting the development and implementation of the ecosystem approach to fisheries. FAO has helped to define and operationalize EAF through the publication of foundational guidelines on the topic and many introductory workshops and presentations around the world. These have included capacity-development in implementation of EAF in many countries and regions, including the Pacific Islands, and substantial multi-year projects in, for example, the Caribbean, Benguela Current region, and the other LMEs in Africa. As a result, FAO has had considerable experience in implementation of EAF in a wide range of different ecological, socio-economic and political contexts and is very well placed to provide good support to this project. FAO also leads the GEF programme on Accelerating progress in High Seas towards the global sustainable use and biodiversity targets in which global tuna fisheries are addressed and where sustainable management of tuna fisheries is a component. And, given the highly migratory nature of the species and fishing fleets, FAO is strategically placed to help ensure actions taken at regional, sub regional and national levels complement and are synergistic to those taken in Areas Beyond national Jurisdiction and in tuna fisheries in other parts of the world.

#### **C.1 Indicate the co-financing amount the GEF agency is bringing to the project:**

UNDP is providing cash cofinancing from its core (TRAC) and in-kind resources amounting to \$500,000 for the entire duration of this proposed project. These TRAC-funded UNDP initiatives at the national level aim to strengthen environmental governance by assisting various Pacific SIDS to identify, develop and implement effective coordination mechanisms within formal government agencies that will establish a coherent and sectoral approach. The in-kind support will be provided by the extensive UNDP presence in the Pacific SIDS.

FAO is co-financing the Project with US\$ 500,000 in cash and US\$ 2,500,000 in kind. The \$500,000 cash contribution will cover the cost of a regional technical cooperation project associated with jurisdictional claims associated with climate change scenarios and climate change capacity building of PacSIDS personnel. In addition, FAO has committed US\$ 20,000,000 in kind and US\$ 5,000,000 grant to support actions under the FAO-GEF project “Sustainable management of tuna fisheries and biodiversity conservation in the Areas Beyond National Jurisdiction (ABNJ)”. This is of relevance to the Project given the highly migratory nature of tuna resources, their distribution in ABNJ as well as within areas of national jurisdiction and the requirement of conservation measures to effectively applied across the full geographic range of tuna resources and associated species. The OFMP-2 project will also benefit to a certain extent from this support.

**C.2 How does the project fit into the GEF agency’s program (reflected in documents such as UNDAF, CAS, etc.) and staff capacity in the country to follow up project implementation:**

The proposed project is consistent with the UNDAF for the Pacific Subregion (2008-2012) covering 14 of the Pacific SIDS. The UNDAF was prepared by the United Nations Development System based in Fiji and Samoa, including UNDP and FAO. The UNDAF drew upon the Pacific Plan and other regional and national priorities, agency mandates and the UN’s comparative advantages of policy support and capacity development in the Pacific against the background of the unique economic and poverty characteristics of the region. UNDAF Outcome 4 – “The mainstreaming of environmental sustainability and sustainable energy into regional and national policies, planning frameworks and programmes; and Pacific communities sustainably using their environment, natural resources and cultural heritage” is in response to the Pacific Plan’s objectives related to sustainable development and good governance. The proposed project outputs are directly aligned with the corresponding Programme Outputs for this UNDAF Outcome, which include the following:

- Output 4.1.1: Policy, legislative and management frameworks are developed and implemented for the conservation, sustainable use and equitable sharing of natural resources, including biodiversity, fisheries (marine and freshwater) and the promotion of sustainable energy, particularly renewable energy.
- Output 4.1.2: Strengthened national capacity improves access to and management of multilateral environmental agreements and reporting requirements.
- Output 4.1.3: Improved national, regional and global knowledge and information networks strengthen environmental management.
- Output 4.1.4: Strengthened national capacity improves the implementation of environmental programmes.

The capacity building focus of the project through science-based management of shared fishery resources, strengthening national institutions and improving knowledge and its dissemination to enable them to participate fully and benefit from international agreements (in particular the WCPF Convention) is very much aligned with the above outputs from the Pacific Regional UNDAF.

The project also fits with the UN Country Programme for PNG (2008-2012) outcome related to Environmental Management and Livelihoods which specified effective planning, management, monitoring and coordination towards the sustainable use of natural resources to enhance livelihoods. This programme was prepared jointly by relevant UN agencies in the PNG, including UNDP and FAO.

The Project is closely aligned to FAO’s strategic objectives which include:

- Sustainable management of fisheries and aquaculture resources,

- Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture,
- Enabling environment for markets to improve livelihoods and rural development,
- Improved food security and better nutrition,
- Gender equity in access to resources, goods, services and decision-making in rural areas.

FAO's budget for these broad areas of work for the period 2010-11 was in excess of US\$ 500 million.

The Project's objectives are also coherent with those of FAO. The Organization has multi-disciplinary competence at the global level in all thematic areas of marine and freshwater fisheries in general. Of particular relevance to this project are the following expected outcomes from the member countries and Regional Fisheries Management Organizations:

- Adoption of comprehensive set of innovative on-the-water conservation and management measures (CMMs) by the Western and Central Pacific Fisheries Commission (WCPFC) for stocks of the Western Tropical Pacific Warm Pool (WTPWP) LME , incorporating ecosystem-based approaches in decision-making) and informed by sound scientific advice and information
- Implementation of adaptive management methods for oceanic fisheries in the Western Tropical Pacific Warm Pool (WTPWP) LME through better understanding of the impacts of climate change
- Operationalization and enforcement of Sub-regional conservation and management arrangements, including Parties to the Nauru Agreement (PNA) and Te Vaka Moana (TVM), rights-based cap & trade arrangements for in-zone tuna fisheries
- Effective application of ecosystem-based on-the-water conservation and management measures by Pacific SIDS in accordance with national plans and policies and with international, regional and sub-regional commitments and other relevant instruments

Both UNDP and FAO have specialized staff working in the Pacific region, complemented by staff in their regional and headquarters, to effectively implement this project. The partnership with FFA and SPC as well as other national and regional organizations will ensure synergy with the two GEF agencies.

**PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**

**A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this template. For SGP, use this [OFP endorsement letter](#)).

<b>NAME</b>	<b>POSITION</b>	<b>MINISTRY</b>	<b>DATE</b> <i>(MM/dd/yyyy)</i>
Mr. Vaitoti TUPA	Director, Cook Islands National Environment Service	Cook Is.	27/10/2011
Mr. Andrew YATILMAN	Director, Office of Environment and Emergency Management	Fed. States of Micronesia	31/10/2011
Mr. Jope Rinabobo DAVETANIVALU	Acting Director, Environment Ministry of Local Government, Urban Development, Housing and Environment, Department of Environment	Fiji	08/11/2011
Mr. Farran REDFERN	AG Director, Ministry of Environment, Lands and Agriculture Development	Kiribati	29/11/2011
Ms. Yumiko CRISOSTOMO	Director, Office of Environmental Planning and Policy Coordination (OEPPC)	Marshall Is.	25/12/2011
Mr. Russ KUN	Secretary, Department of Commerce, Industry and Resources	Nauru	23/12/2011
Mr. Sione TONGATULE	Director, Department of Environment	Niue	25/10/2011
Mr. Sebastian R. MARINO	National Environment Planner, Office of the Environmental Response and Coordination, Office of the President	Palau	26/10/2011
Mr. Wari IAMO	Secretary, Department of Environmental Conservation	Papua New Guinea	March 7, 2012
Mr. Taulealeausumai Laavasa MALUA	Chief Executive Officer, Ministry of Natural Resources and Environment	Samoa	26/10/2011
Mr. Rence SORE	Permanent Secretary, Ministry of Environment, Climate Change, Disaster Management and Meteorology	Solomon Islands	01/12/2011
Mr. Asipeli PALAKI <sup>3</sup>	Director, Ministry of Environment and Climate Change	Tonga	21/11/2011
Mr. Mataio TEKINENE	Director, Department of Environment. Ministry of Foreign Affairs, Trade, Tourism, Environment and Labour	Tuvalu	26/10/2011
Mr. Albert WILLIAMS	Director, Department of Environment and Conservation, Ministry of Lands and Natural Resources	Vanuatu	27/10/2011

<sup>3</sup> Tonga advised that Mr Palaki has replaced Dr Halatuituia but this change is still in the process of being notified to the GEF.