



# PROJECT IDENTIFICATION FORM (PIF)<sup>1</sup>

PROJECT TYPE: Medium-sized Project

THE GEF TRUST FUND

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Submission Date: 15 October 2007

Re-submission Date: 20 November 2007

## PART I: PROJECT IDENTIFICATION

GEFSEC PROJECT ID<sup>2</sup>:

GEF AGENCY PROJECT ID: PIMS 4084

COUNTRY(IES): Indonesia, Philippines and Vietnam

PROJECT TITLE: West Pacific-East Asia Oceanic Fisheries Management Project

GEF AGENCY(IES): UNDP, (select), (select)

OTHER EXECUTING PARTNERS: UNOPS

GEF FOCAL AREAS: International Waters,(select), (select),

GEF-4 STRATEGIC PROGRAM(S): IW-SP 1, (select), (select)

INDICATIVE CALENDAR	
Milestones	Expected Dates
Work Program (for FSP)	Apr 2008
CEO Endorsement/Approval	Jan 2009
GEF Agency Approval	Feb 2009
Implementation Start	Mar 2009
Mid-term Review	N/A
Implementation Completion	Mar 2011

NAME OF PARENT PROGRAM/UMBRELLA PROJECT: Asia Coral Triangle

### A. PROJECT FRAMEWORK (Expand table as necessary)

Project Objective: To strengthen national capacities and international cooperation on priority transboundary concerns relating to the sustainable use, conservation and management of highly migratory fish stocks in the west Pacific Ocean and East Asia (Indonesia, Philippines and Vietnam).								
Project Components	Indicate whether Investment, TA, or STA**	Expected Outcomes	Expected Outputs	Indicative GEF Financing*		Indicative Co-financing*		Total (\$)
				(\$)	%	(\$)	%	
1. Monitoring, data enhancement and fishery assessment.	TA	Improved knowledge for shared regional oceanic fish stocks and related ecosystems for the Western and Central Pacific Ocean reducing uncertainties in highly migratory fish stock assessments;  National capacities in oceanic fishery monitoring and assessment strengthened in Vietnam, Philippines and Indonesia;  International/regional collaboration facilitated and enhanced through Philippines,	A regionally-integrated fishery monitoring programme for target and non-target species;  Improved data supporting conservation and management decision-making nationally;  Improved science to support decision-making for management and conservation of shared regional fish stocks through the WCPF Commission;  Training of national fishery monitoring and stock assessment staff;	355,000	30.7	800,000	69.3	1,155,000

<sup>1</sup> PIF submission is limited only to 4 pages, excluding Part III.

<sup>2</sup> Project ID number will be assigned initially by GEFSEC.

		Indonesia and Vietnams' active participation in data collection and monitoring of national and regional tuna fisheries.	National and regional oceanic fisheries status reports.					
2. Policy, institutional strengthening and fishery management	TA	<p>National laws, policies and institutions strengthened to implement applicable global and regional instruments in participant countries;</p> <p>Conservation and management arrangements supporting sustainable migratory fish stock utilization implemented in Indonesia, Philippines and Vietnam;</p> <p>Reduced threats to by-catch species taken incidentally in fisheries for highly migratory fish stocks.</p>	<p>Review of policy and institutional arrangements for management of shared regional highly migratory fish stocks in Vietnam, Philippines and Indonesia;</p> <p>Strategy to support national reform to strengthen regional cooperation for management of shared migratory fish stocks;</p> <p>Active national participation in regional institutional processes for conservation and management of migratory fish stocks supported through the WCPFC;</p> <p>Implementation of the WCPFC and instruments such as the UN Fish Stocks Agreement and the FAO Code of Conduct;</p> <p>Knowledge management system for dissemination of Project-related information, lessons and best practices.</p>	480,000	28.6	1,200,000	71.4	1,680,000
3. Project management				90,000	31.0	200,000	69.0	298,000
<b>Total project costs</b>				925,000		2,200,000		3,278,000

\* List the dollar amount by project components/activities.

\*\* STA = Scientific & technical analysis.

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

	Project Preparation	Project	Agency Fee	Total
GEF Grant	75,000	925,000	100,000	1,100,000
Co-financing	42,500	2,200,000		2,242,500
<b>Total</b>	117,500	<b>3,125,000</b>	100,000	<b>3,342,000</b>

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

Co-financing Source	Cash	In-kind	Total
Project Government Contribution		1,250,000	1,250,000
GEF Agency(ies)			
Bilateral Aid Agency(ies)	250,000	450,000	700,000
Multilateral Agency(ies)	115,000	177,500	292,500
Private Sector			
NGO			
Others			
<b>Total co-financing</b>	365,000	1,877,500	2,242,500

**D. GEF RESOURCES REQUESTED BY FOCAL AREA(S), AGENCY (IES) SHARE AND COUNTRY(IES)\***

GEF Agency	Focal Area	Country Name/ Global	(in \$)			
			Project Preparation	Project	Agency Fee	Total
UNDP	International Waters	Indonesia, Philippines, Vietnam	75,000	925,000	100,000	1,100,000
<b>Total GEF Resources</b>			75,000	925,000	100,000	1,100,000

**PART II: PROJECT JUSTIFICATION**

**A. STATE THE ISSUE, HOW THE PROJECT SEEKS TO SOLVE IT, AND THE EXPECTED GLOBAL**

**ENVIRONMENTAL BENEFITS TO BE DELIVERED:** Eastern Indonesia, Philippines and Vietnam form the western boundary of the Pacific Ocean warm pool large marine ecosystem a globally significant maritime region which supports biodiversity that is among the highest in the world. Stocks of highly migratory tunas in this region support commercial and small-scale fisheries providing livelihoods, food security and economic development opportunities for east Asian and Pacific Island countries and other nations whose distant water fishing fleets operate in the Western and Central Pacific Ocean (WCPO). The harvest of shared tuna resources from this major ocean province in 2006 was 2.2 million tonnes and accounted for 51% of the supply of tunas to global markets. Management of fisheries for highly migratory fish stocks require international cooperation to support the development and implementation of conservation and management arrangements that apply throughout the range of the stocks - within areas under national jurisdiction and on the high seas. The framework for cooperation to support the sustainable use, conservation and management of highly migratory fish stocks is enshrined in the *1982 UN Convention on the Law of the Sea (UNCLOS)* and the *1995 Agreement for Implementing the Provisions of UNCLOS Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks*. Guided by these international instruments, 33 fishing nations and entities, coastal States and territories with an active interest in the tuna fisheries of the WCPO worked collaboratively between 1994 and 2000 to negotiate a *Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean*. The Convention entered into force in June 2004 with the result the Western and Central Pacific Fisheries Commission (WCPFC) became the functional regional fisheries

management organisation (RFMO) responsible for international collaboration for the conservation and management of WCPO highly migratory fish stocks shortly thereafter. The participation of 15 Pacific Small Island Developing States (SIDS) in the Convention negotiations was partially support by the GEF. The GEF continues to work with Pacific SIDS to build their capacity to fully engage in the WCPFC under the auspices of the Pacific Islands Oceanic Fisheries Management Project. Until very recently the significance of the Indonesian and Philippines tuna fisheries, and their relationships to regional WCPO tuna resources, particularly in respect of the impact on the health of regional tuna stocks, was poorly appreciated. Although Indonesia and Philippines were represented in the WCPF Convention negotiations, largely as a consequence of their geographic location on the western boundary of the WCPO, data and information from Philippine and Indonesian tuna fisheries were poor and national regulatory efforts almost non-existent. At that time also Vietnam's fisheries for highly migratory fish stocks were in early development stages and engagement in regional or international processes for conservation and management were premature. The situation has changed. In 2006, 26% of the WCPO tuna catch, or 700,000mt, is estimated to have been taken by Philippine, eastern Indonesian and Vietnamese fishers. Sustainable use, conservation and management of WCPO tuna resources is threatened as long as these three countries are not fully and actively engaged in the newly established WCPFC. The sustainability of national and regional harvests of these shared resources is put in jeopardy by poor information from a significant component of the fishery that occurs in the Philippines, Indonesia and Vietnam, over-exploitation resulting from poorly regulated national fleets responsible for an important share of the total WCPO tuna catch, gaps created by incomplete and inadequate collaborative arrangements for harmonization of conservation and management efforts, both nationally and regionally, and increasing incidents of illegal, unreported and unregulated (IUU) fishing that undermine the conservation and management arrangements agreed at WCPFC. The Project will target sustainability threats to shared oceanic fish stocks that are currently partially managed by the WCPFC by broadening participation to include all those active in WCPO tuna fisheries. The Project will strengthen WCPFC by removing barriers to the participation of Philippines, Indonesia and Vietnam to fully participate in the work of the Commission through improved scientific information supporting an ecosystems approach to management of shared target oceanic highly migratory fish stocks and associated or dependent non-target species and building capacity to contribute to strengthened monitoring, regulation and control nationally and regionally. Global environmental benefits from the Project will be achieved by strengthened regional and broader international cooperation on priority transboundary concerns relating to the conservation and management of highly migratory fish stocks in the west Pacific Ocean and East Asia. In addition, as a nationally-driven, regionally coordinated, initiative of Philippines, Indonesia and Vietnam, an improved contribution to sustainable development will be achieved through enhanced information for decision-making in respect of necessary national economic, financial, regulatory and institutional reform and full participation in an existing regional fisheries management arrangement.

- B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL PRIORITIES/PLANS** Both components of the Project directly address priorities and plans for research, conservation and management of highly migratory fish stocks in Indonesia as supported by the National Commission on Fish Stock Research, established by Government Law No. 31/2004, and which provides advice on the status of fisheries resources to the Minister of Marine Affairs and Fisheries, the Coordinating Forum on Fisheries Resource Management and Utilization, coordinated by the Directorate General of Capture Fisheries and the Ministry's Control and Monitoring of Marine and Fisheries Resources Program. The Project in Philippines will draw on the 1997 National Biodiversity Strategic Action Plan, including the 2005 Philippine Report of the Biodiversity Indicators for National Use; the proposed Sustainable Archipelagic Framework, drafted in 2004 and the National Tuna Management Plan which describes policy for management of highly migratory fish stocks. The policy environment for the Project in Vietnam will be framed by the provisions of the 2003 Fisheries Bill and the Strategy for Offshore Fishing. The PPG provides an opportunity to identify synergies and relationships in respect of national priorities and plans in the three countries.
- C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH [GEF STRATEGIES](#) AND FIT WITH STRATEGIC PROGRAMS:** The Project is consistent with the first objective of the IW focal area to foster international, multi-state cooperation on priority transboundary water concerns through more comprehensive, ecosystem-based approaches to management and its Strategic Program 1 on Restoring and Sustaining Coastal and

Marine Fish Stocks and Associated Biological Diversity, which targets SE Asian Seas as one of the global hotspots.

- D. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:** The Project will be coordinated with the Pacific Oceanic Fisheries Management Project (OFM Project - [www.ffa.int/gef](http://www.ffa.int/gef)). The vehicle for cooperation will be the WCPFC, a regional fisheries management organisation established by international treaty. The WCPFC is the fisheries regional management institution in the WCPO that is responsible for the conservation and management of shared tuna stocks. In addition, it is the only regional/international consultative arrangement that includes OFM Project beneficiary countries and the three countries that will participate in this Project – Philippines and all Pacific SIDS are full members of WCPFC, Indonesia is a Cooperating Non-member and Vietnam will qualify of observer status on application. Other GEF initiatives in the region are principally focussed on priority concerns relating to coastal ecosystems and habitat loss including threats to coral reefs and endangered species. In Southeast Asia, activities will be coordinated with other Coral Triangle projects such as the Sulu-Celebes Sea project currently under preparation. A key collaborating partner will be the South East Asian Fisheries Development Centre (SEAFDEC) through two existing projects i) Regionalization of the Code of Conduct for Responsible Fisheries (RCCRF) in Southeast Asia and ii) Improvement of Statistics and Information for Planning and Management of Fisheries in the ASEAN Region. The Sustainable Development Strategy for the Seas of East Asia (SDS-SEA) initiative, which builds on the work of Partnerships for Environmental Management in the Seas of East Asia (PEMSEA), focuses on integrated coastal management and land-based pollution. The institutional experience of PEMSEA in the three beneficiary countries provides valuable experience upon which the WPEA Project will draw. A related GEF-supported project, Reversing Environmental Degradation Trends in the South China Seas and the Gulf of Thailand, also provides valuable experience working with national and regional institutions although the focus is on coastal habitat degradation and loss and land-based pollution. In addition, APEC Economies, at a ministerial meeting in 2005, adopted the Bali Plan of Action that targets the sustainable management of the marine environment and its resources, the generation of sustainable economic benefits from the oceans and support for sustainable development of coastal communities. Opportunities for collaboration with initiatives supported under the Bali Plan of Action and WPEA Project will be available, particularly in respect of addressing threats such as IUU fishing. However, the WPEA Project is the only regional initiative to focus on improved fishery information for oceanic highly migratory fish stocks, ocean governance or support for Indonesia, Philippines and Vietnam active participation in international collaborative arrangements for the conservation and management of shared highly migratory fish stocks as provided for in UNCLOS and the UN Fish Stocks Agreement. It thus fills a significant gap in the GEF portfolio in this globally important region.
- E. DISCUSS THE VALUE-ADDED OF GEF INVOLVEMENT IN THE PROJECT DEMONSTRATED THROUGH INCREMENTAL REASONING:** The existing scenario: the Philippines, Indonesia and Vietnam will continue basic fishery sampling efforts, compile occasional fishery profiles, undertake some biological research and publish occasional data summaries. Limited operational catch and effort data will be available for target stocks but information for non-target stocks (such as turtles, sharks, billfish, marine mammals, and associated species) will be minimal, and so consideration of an ecosystem approach to fisheries management will be challenged. Information will be inadequate to support robust stock assessments, which for highly migratory fish stocks, requires international collaboration. Philippines, Indonesia and Vietnam do not participate fully in the newly established WCPFC. Compliance, monitoring and regulation will continue to be relatively poorly coordinated with the result that IUU fishing activities increase. Key stocks will be threatened by over-exploitation and fishery monitoring and management efforts will continue as *ad hoc* national initiatives with limited regional coordination or resource sharing. In the longer term, food security, livelihoods and the contribution of the fisheries sector to the sustainable development of national economies will be threatened. Alternatively, with support through the Project, Vietnam will be engaged in the WCPFC as a cooperating non -member while it works through domestic procedures associated with the ratification of international fisheries instruments including the UN Fish Stocks Agreement and the WCPF Convention. Together with Indonesia, which will have ratified the WCPF Convention, and the Philippines, the three countries will participate in the work of the WCPFC. Fleets fishing beyond national jurisdiction will be regulated and authorized, fishery monitoring and data acquisition programmes will be routinely collecting

operational catch and effort information, landings at major ports and processing facilities will be monitored and information systems established to make the data collected available for regional and national stock assessments. Conservation and management measures will be based on improved scientific information and advice leading to more robust management of target highly migratory fish stocks and non-target, associated or dependent species taken incidentally. During the PPG, which will involve broad stakeholder consultation in the three participating countries, and with partner agencies, appropriate results indicators will be identified and agreed.

**F. INDICATE RISKS, INCLUDING CLIMATE CHANGE RISKS, THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED. OUTLINE THE RISK MANAGEMENT MEASURES, INCLUDING IMPROVING RESILIENCE TO CLIMATE CHANGE, THAT THE PROJECT PROPOSES TO UNDERTAKE:**

Financial sustainability represents the major risk - particularly given that the size of the intervention, spread across three countries, and the scale of the issues to be addressed nationally and regionally. While the WCPFC has been operational for two years it faces many challenges which have potential to undermine its efforts in relation to sustainable use, conservation and management of WCPO shared migratory fish stocks. These include securing complete and accurate data that will reduce uncertainty in stock assessments, establishing effective compliance across diverse and essentially unregulated fleets and increased threats posed by IUU fishing as coastal fish stocks in East Asia come under increasing pressure from over-fishing and environmental degradation. In Indonesia, Vietnam and Philippines there are also limits to the absorptive capacity of institutions within the timeframe of the Project. There are largely undocumented potential risks for target and non-target fish stocks and the impact of climate variability on the sustainability of current levels of fishing effort if changing environmental conditions adversely impact biological processes such as recruitment and vulnerability to fishing. An environment of increasing population pressures on shared marine fish stocks presents significant challenges for minimizing risk. An important step in addressing risk is engaging all stakeholders in collaborative efforts to build understanding and scientific information to support effective decision making in respect of sustainable use, conservation and management. The full participation of Indonesia, Vietnam and Philippines in the WCPFC establishes the vehicle for that collaboration at the regional level - and so is an important element in the effort to minimize risk facilitated by the Project. In relation to this, effective participation will be achieved only if national capacity to engage is strengthened. Human resource development and institutional capacity building targeted at the science and management of shared highly migratory fish stocks will significantly improve the prospects for Project outcomes being sustained. Strengthened national capacity will result in improved engagement in regional conservation and management arrangements which will more effectively target threats posed by over-fishing, including from IUU fishing, and regulate legitimate fisheries within sustainable limits for shared benefit.

**G. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT (e.g. \$/ton of CO<sub>2</sub> abated). IF COST-EFFECTIVENESS IS NOT PRESENTED, OUTLINE THE STEPS THAT PROJECT PREPARATION WOULD UNDERTAKE TO PRESENT COST-EFFECTIVENESS AT CEO ENDORSEMENT:**

During the PPG a qualitative cost effectiveness analysis will assess the range of alternatives that are available to strengthen national capacities and international cooperation for the conservation and management of shared regional highly migratory fish stocks. The analysis will commence with a base case of no intervention with dramatically increased threats of over exploitation and consequences for sustainable livelihoods and economic development. It will include an analysis of action at the individual country level with limited capacity to positively impact conservation and management for shared migratory stocks against the costs and effectiveness of the international cooperation alternative selected.

**H. JUSTIFY THE GEF AGENCY COMPARATIVE ADVANTAGE** UNDP's experience with a broad range of international trans-boundary water interventions is based on high-level adoption of 11 SAPs, seven of which are currently being implemented. In addition to support for the establishment of the world's first post UN Fish Stocks conservation and management organisation for highly migratory fish stocks, the WCPFC, UNDP has strengthened, or established, 13 multi-country marine/coastal, river and lake basin management agencies or Commissions including the Benguela Current and Guinea Current Large Marine Ecosystem Commissions in 2006. In the South Pacific region, where UNDP has built GEF-implementation partnerships in the international waters portfolio with SIDS over a period of more than 10 years, UNDP is currently supporting SIDS with the implementation of a project that is directly relevant to this proposal - 6

the Pacific Islands Oceanic Fisheries Management Project. Utilizing the WCPFC as the vehicle to promote active interaction and collaboration between the OFM project beneficiary countries and the three participating countries in the WPEA Project, UNDP is ideally placed to maximize synergies between these two projects.


Strengthened internal coordination through the merging of the GEF IW cluster and the Water Governance Programme will lead to additional strengthening of UNDP's comparative advantage in servicing the full range of international waters interventions in environmental governance, including ocean governance and mainstreaming of environmental priorities into multiple sectors.

**PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINTS AND GEF AGENCIES**

**A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the [country endorsement letter\(s\)](#) or [regional endorsement letter\(s\)](#) with this template).

<i>Indonesia Agus Purnomo Special Assistant to the Minister for International Environmental Issues and Partnerships/GEF OFP</i>	Date: <i>October 2 2007</i>
<i>Philippines Atty. Analiza Rebuelta-Teh Assistant Secretary and GEF Permanent Alternate Focal Point Department of Environment and Natural Resources</i>	Date: <i>September 21 2007</i>
<i>Vietnam To be provided by time of CEO endorsement (Enter Name, Position, Ministry)</i>	Date: (Month, day, year)

**B. GEF AGENCY(IES) CERTIFICATION**

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.	
 John Hough UNDP-GEF Deputy Executive Coordinator, a.i.	Anna Tengberg Project Contact Person
Date: 20 November 2007	Tel. and Email: +66 2288 2730 <a href="mailto:Anna.Tengberg@undp.org">Anna.Tengberg@undp.org</a>