REQUEST FOR CEO ENDORSEMENT/APPROVAL

PROJECT TYPE: Medium-sized Project
THE GEF TRUST FUND

Submission Date: XX November 2008
Re-submission Date:

PART I: PROJECT INFORMATION

GEFSEC PROJECT ID: 3138

GEF AGENCY PROJECT ID: 3657
COUNTRY(IES): Global
PROJECT TITLE: Applying an ecosystem-based approach to fisheries management: focus on seamounts in the southern Indian Ocean
GEF AGENCY(IES): UNDP
OTHER EXECUTING PARTNER(S): IUCN
GEF FOCAL AREA(S): International Waters
GEF-4 STRATEGIC PROGRAM(S): SP 1: restoring and sustaining coastal and marine fish stocks and associated biological diversity
NAME OF PARENT PROGRAM/UMBRELLA PROJECT:

Expected Calendar	
Milestones	**Dates**
Work Program (for FSP)	n/a
GEF Agency Approval	Dec 2008
Implementation Start	Jan 2009
Mid-term Review (if planned)	n/a
Implementation Completion	June 2011

A. PROJECT FRAMEWORK (Expand table as necessary)

Project Objective: to apply an ecosystem-based approach to fisheries management for biologically- globally significant and commercially-important areas beyond national jurisdiction in the southern Indian Ocean, focusing on seamounts, with a long-term aim to demonstrate innovative approaches to improve conservation and management of unique biodiversity and ecological resources in the high seas.

Project Components	Invest., TA, or STA**	Expected Outcomes	Expected Outputs	GEF Financing*		Co-financing*		Total ($)
				($)	%	($)	%	
1. Improving scientific understanding and capacity for monitoring, assessment and analysis of high seas biodiversity and fisheries	TA	1.1. Scientific understanding of seamount ecosystems and their interactions with deep-water and pelagic fisheries improved	1.1.1. Baseline of scientific data on selected benthic environments in the southern Indian Ocean created 1.1.2. Deepwater and pelagic fish species associated with seamounts identified and documented 1.1.3. Physical and biological factors influencing benthic biodiversity and pelagic-benthic interactions in the southern Indian Ocean identified and documented	422,000	9	4,145,000	91	4,567,000
		1.2. Knowledge base for conservation and management	1.2.1. Potential impact of current and future fishing activities on seamounts assessed					

		options created	1.2.2. Management/ conservation needs of selected seamounts and efficacy of Benthic Protected Areas (BPAs) assessed 1.2.3. Methodologies for impact assessment and detection of vulnerable high seas marine ecosystems improved					
		1.3. Capacity for monitoring and analysis of high and deep seas biodiversity and fisheries enhanced	1.3.1. Eight scientists from developing countries in the region trained in deep-sea monitoring, assessment and analysis 1.3.2. Networks of scientists, policy-makers, and managers concerned with high seas ocean conservation and management expanded					
2. Enhancing governance frameworks for high seas resources conservation and management	TA	2.1. Legal and institutional options consistent with the United Nations Convention on the Law of the Sea (UNCLOS) and the Straddling/Highly Migratory Stocks Agreement for managing biological resources in the high seas of the southern Indian Ocean assessed	2.1.1. Institutional and legal gaps analyzed 2.1.2. Options for improvement of the legal and institutional framework in the southern Indian Ocean developed in cooperation with relevant stakeholders 2.1.3. Potential threats from activities other than fisheries assessed	166,000	81	40,000	19	206,000
3. Development of model management framework and monitoring framework as well as specific management plans based on identified options for	TA	3.1 Management and compliance options applying a precautionary and ecosystems approach identified, in collaboration with the fishing industry	3.1.1. Conservation and management measures, including monitoring, control and surveillance, identified and assessed for feasibility through consultative process with various stakeholders, including the fishing industry 3.1.2. Two specific management plans for	214,000	78	60,000	22	274,000

conservation and management measures applicable to high seas areas in the southern Indian Ocean			two high seas areas developed 3.1.3. Model management framework for high seas biodiversity in the southern Indian Ocean developed 3.1.4. Model monitoring, control and enforcement framework for high seas biodiversity management in the southern Indian Ocean developed					
4. Learning , awareness raising and knowledge sharing	TA	4.1. Understanding of high and deep seas biodiversity and its importance improved in policy makers, the fishing industry and the general public 4.2. Science-Policy-Practice linkages tightened 4.3.Region-based knowledge management	4.1.1 Policy makers sensitized to the importance of deep-sea biodiversity and related management aspects 4.1.2. Awareness raised within the fishing industry on sound management and sustainable development of high seas fishing activities 4.1.3. International communications campaigns on project findings organized 4.2.1. Project findings (results, publications, etc.) provided at relevant regional and global negotiation processes for better informed negotiations and decision-making. 4.2.2. Development of high seas management and conservation measures informed by best available scientific data 4.2.3. Outcomes of policy-making processes fed into the project implementation 4.3.1. Regular exchange of project findings,	53,000	51	50,000	49	103,000

		practices strengthened	mutual information update and lessons learned with relevant projects in the southern Indian Ocean region (e.g. ASCLME) and beyond (e.g. through IW:LEARN activities). 4.3.2 Regular exchange of project findings and mutual information update with relevant governance institutions in the southern Indian Ocean region (e.g. IOTC etc.) 4.3.3 Regular exchange of project findings and mutual information update with relevant scientific organizations and NGOs, etc..					
5. Project management				95,000	17	465,000	83	560,000
Total Project Costs				950,000	17	4,760,000	83	5,710,000

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

** TA = Technical Assistance; STA = Scientific & technical analysis.

B. FINANCING PLAN SUMMARY FOR THE PROJECT ($)

	Project Preparation	*Project*	*Agency Fee*	*Total at CEO Endorsement*	*For the record: Total at PIF*
GEF	50,000*	950,000	100,000	1,100,000	1,100,000
Co-financing	60,000	4,760,000		4,820,000	5,675,000
Total	110,000	5,710,000	100,000	5,920,000	6,775,000

***** PDF-A was made available from GEF-3. The status of implementation and use of fund for the project preparation grant is detailed in Annex D.

C. SOURCES OF CONFIRMED CO-FINANCING, including co-financing for project preparation for both the PDFs and PPG.

(expand the table line items as necessary)

Name of co-financier (source)	*Classification*	*Type*	*Amount ($)*	*%**
UNDP	Impl. Agency	in kind	10,000	0.2
IUCN	NGO	in kind	270,000	5.6
FAO (Nansen programme)	Multilateral agency	in kind	490,000	10.2
UK government	Bilateral agency	Grant	4,050,000	84
Total Co-financing			4,820,000	100%

* Percentage of each co-financier's contribution at CEO endorsement to total co-financing.

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

GEF Agency	*Focal Area*	*Country Name/ Global*	*(in $)*			
			Project Preparation	*Project*	*Agency Fee*	*Total*
UNDP	IW	Global	50,000	950,000	100,000	1,100,000
Total GEF Resources			50,000	950,000	100,000	1,100,000

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

E. PROJECT MANAGEMENT BUDGET/COST

Cost Items	*Total Estimated person weeks*	*GEF ($)*	*Other sources ($)*	*Project total ($)*
*International consultants**	70	95,000	115,000	210,000
*Office facilities, equipment, vehicles and communications***		0	180,000	180,000
Personnel	80	0	120,000	120,000
*Travel***		0	50,000	50,000
Total	**150**	**95,000**	**465,000**	**560,000**

* Provide detailed information regarding the consultants in Annex C.

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

F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	*Estimated person weeks*	*GEF($)*	*Other sources ($)*	*Project total ($)*
*International consultants**	200	223, 600	376,400	600,000
Total	**200**	**223,600**	**376,400**	**600,000**

* Provide detailed information regarding the consultants in Annex C.

G. DESCRIBE THE BUDGETED M&E PLAN:

1. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from UNDP/EEG. The Project Results Framework in Annex A provides indicators for project implementation along with their corresponding *means of verification*. These will form the basis on which the project's Monitoring and Evaluation system will be built.

2. The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to M&E activities. The project's Monitoring and Evaluation Plan will be presented and finalized at the Project's Inception Report following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities. For GEF International Waters projects, GEF IW indicators (Process, Stress Reduction and Environmental & Socioeconomic Status indicators) as well as GEF IW Tracking Tool will be also integrated during the finalization of M&E Plan and indicators.

1. MONITORING AND REPORTING

1.1. Project Inception Phase

3. A Project Inception Workshop will be conducted with the full project team, co-financing partners and UNDP (UNDP Mauritius and/or representation from the UNDP/EEG as appropriate).

4. A fundamental objective of this Inception Workshop will be to assist the project team to understand and take ownership of the project's goals and objectives, as well as finalize preparation of the project's first annual work plan on the basis of the project's logframe matrix. This will include reviewing the logframe (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise finalize the Annual Work Plan (AWP) with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project.

5. Additionally, the purpose and objective of the Inception Workshop will be to: (i) introduce project staff with the UNDP/EEG *expanded team* which will support the project during its implementation, namely the CO and responsible Regional Coordinating Unit (RCU) staff; (ii) detail the roles, support services and complementary responsibilities of UNDP-CO and RCU staff vis à vis the project team; (iii) provide a detailed overview of UNDP/EEG reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the annual Project Implementation Reviews (PIRs) and related documentation, Tripartite Review Meetings, as well as the Final Evaluation. Equally, the Inception Workshop will provide an opportunity to inform the project team on UNDP project related budgetary planning, budget reviews, and budget revisions.

6. The Inception Workshop will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff and decision-making structures will be discussed again, as needed, in order to clarify for all, each party's responsibilities during the project's implementation phase.

1.2. Monitoring responsibilities and events

7. A detailed schedule of project review meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Tripartite Reviews, Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities.

8. Day to day monitoring of implementation progress will be the responsibility of the Project Coordinator (PC) based on the project's Annual Work Plan and its indicators. The Project Team will inform the UNDP-CO and UNDP/EEG of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

9. The Project Coordinator will fine-tune the progress and performance/impact indicators of the project in consultation with the full project team at the Inception Workshop with support from UNDP-CO and assisted by the UNDP/EEG Regional Coordinating Unit. Specific targets for the first year implementation progress indicators together with their means of verification will be developed at this Workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. The local implementing agencies, if already identified, will also take part in the Inception Workshop in which a common vision of overall project goals will be established. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the project team.

10. Measurement of impact indicators related to global benefits will occur according to the schedules defined in the Inception Workshop. The measurement of these will be undertaken through subcontracts or

retainers with relevant institutions or through specific studies that are to form part of the projects activities or periodic sampling.

11. Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

12. UNDP Country Offices and UNDP/EEG RCUs will conduct yearly visits to the project as appropriate based on an agreed upon scheduled to be detailed in the project's Inception Report / Annual Work Plan to assess first hand project progress. Any other member of the Steering Committee can also accompany, as decided by the SC. A Field Visit Report will be prepared by the CO and circulated no less than one month after the visit to the project team, all SC members, and UNDP/EEG.

13. Annual Monitoring will occur through the ***Tripartite Review[1] (TPR).*** This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to Tripartite Review (TPR) at least once every year. The first such meeting will be held within the first twelve months of the start of full implementation. The project proponent will prepare an Annual Project Report[2] (APR) and submit it to UNDP-CO and the UNDP/EEG Regional Coordinating Unit at least two weeks prior to the TPR for review and comments.

14. The APR will be used as one of the basic documents for discussions in the TPR meeting. The project proponent will present the APR to the TPR, highlighting policy issues and recommendations for the decision of the TPR participants. The project proponent also informs the participants of any agreement reached by stakeholders during the APR preparation on how to resolve operational issues. Separate reviews of each project component may also be conducted if necessary.

Terminal Tripartite Review (TTR)

15. The terminal tripartite review is held in the last month of project operations. The project proponent is responsible for preparing the Terminal Report and submitting it to UNDP/EEG's Regional Coordinating Unit. It shall be prepared in draft at least two months in advance of the TTR in order to allow review, and will serve as the basis for discussions in the TTR. The terminal tripartite review considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. It decides whether any actions are still necessary, particularly in relation to sustainability of project results, and acts as a vehicle through which lessons learnt can be captured to feed into other projects under implementation or formulation.

16. The TPR has the authority to suspend disbursement if project performance benchmarks are not met. Benchmarks will be developed at the Inception Workshop, based on delivery rates, and qualitative assessments of achievements of outputs.

1.3. Project Monitoring Reporting

17. The Project Coordinator in conjunction with the UNDP/EEG extended team will be responsible for the preparation and submission of the following reports that form part of the monitoring process. Items (a)

[1] TPR functions are most often assumed by Project Steering Committee.
[2] For GEF-funded projects, APR is replaced by PIR.

through (f) are mandatory and strictly related to monitoring, while (g) through (h) have a broader function and the frequency and nature is project specific to be defined throughout implementation.

(a) Inception Report (IR)

18. A Project Inception Report will be prepared immediately following the Inception Workshop. It will include a detailed First Year/ Annual Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide implementation during the first year of the project. This Work Plan would include the dates of specific field visits, support missions from the UNDP-CO or the Regional Coordinating Unit (RCU) or consultants, as well as time-frames for meetings of the project's decision making structures. The Report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months time-frame.

19. The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may effect project implementation.

20. When finalized the report will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. Prior to this circulation of the IR, the UNDP Country Office and UNDP/EEG's Regional Coordinating Unit will review the document.

(b) **Annual Project Report[3] (APR)**

21. The APR is a UNDP requirement and part of UNDP's Country Office central oversight, monitoring and project management. It is a self-assessment report by project management to the CO and provides input to the country office reporting process and the ROAR[4], as well as forming a key input to the Tripartite Project Review. An APR will be prepared on an annual basis prior to the Tripartite Project Review, to reflect progress achieved in meeting the project's Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work.

21. The format of the APR is flexible but should include the following:

- An analysis of project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome
- The constraints experienced in the progress towards results and the reasons for these
- The three (at most) major constraints to achievement of results
- Annual Work Plan, Combined Annual Expenditure and other relevant expenditure reports (generated by Atlas)
- Lessons learned
- Clear recommendations for future orientation in addressing key problems in lack of progress

[3] As mentioned in the PIR section below, in light of the similarities between APR and PIR, UNDP/EEG has prepared a harmonized format so that a project funded by GEF is required to carry out one annual review process only, which is often referred as APR/PIR. For UNDP projects funded by GEF, terms APR, PIR and APR/PIR are used interchangeably.

[4] As this project intends to address high sea governance issues beyond national jurisdictions and is considered as a global project, the annual review process might not be incorporated into the ROAR of the UNDP Mauritius.

(c) Project Implementation Review (PIR)

22. The PIR is an annual monitoring process mandated by the GEF. It has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects. Once the project has been under implementation for a year, a Project Implementation Review must be completed by the CO together with the project coordinator. The PIR can be prepared any time during the year (July-June) and ideally prior to the TPR. The PIR should then be discussed in the TPR so that the result would be a PIR that has been agreed upon by the project, the executing agency, UNDP CO and UNDP/EEG.

23. The individual PIRs are collected, reviewed and analysed by the Regional Technical Advisors prior to sending them to the focal area clusters at the UNDP/EEG headquarters. The focal area clusters supported by the UNDP/EEG M&E Unit analyse the PIRs by focal area, theme and region for common issues/results and lessons. Technical Advisors and Principle Technical Advisors play a key role in this consolidating analysis.

24. The focal area PIRs are then discussed in the GEF Interagency Focal Area Task Forces in or around November each year and consolidated reports by focal area are collated by the GEF Independent M&E Unit based on the Task Force findings.

25. The GEF M&E Unit provides the scope and content of the PIR. In light of the similarities of both APR and PIR, UNDP/EEG has prepared a harmonized format for reference.

(d) Quarterly Progress Reports

26. Short reports outlining main updates in project progress will be provided quarterly to the local UNDP Country Office and the UNDP/EEG Regional Coordination Unit by the project team.

(e) Periodic Thematic Reports

27. As and when called for by UNDP, UNDP/EEG or the Implementing Partner, the project team will prepare Specific Thematic Reports, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the project team in written form by UNDP and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of lessons learnt exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered. UNDP is requested to minimize its requests for Thematic Reports, and when such are necessary will allow reasonable timeframes for their preparation by the project team.

(f) Project Terminal Report

28. During the last three months of the project the project team will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met, or not achieved, structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project's activities.

(g) ***Technical Reports*** (project specific- optional)

29. Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent APR/PIRs. Technical Reports may also be prepared by external consultants and should be comprehensive, specialized analyses of clearly defined areas of research within the framework of the project and its sites. These technical reports will represent, as appropriate, the project's substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national and international levels.

(h) ***Project Publications*** (project specific- optional)

30. Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific or informational texts on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. These publications can be based on Technical Reports, depending upon the relevance, scientific worth, etc. of these Reports, or may be summaries or compilations of a series of Technical Reports and other research. The project team will determine if any of the Technical Reports merit formal publication, and will also (in consultation with UNDP, the government and other relevant stakeholder groups) plan and produce these Publications in a consistent and recognizable format. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

2. INDEPENDENT EVALUATION

31. The project will be subjected to a final external evaluation as follows: An independent Final Evaluation will take place three months prior to the terminal tripartite review meeting, and will focus on the same issues as the mid-term evaluation, if one conducted. The final evaluation will also look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Final Evaluation should also provide recommendations for follow-up activities. The Terms of Reference for this evaluation will be prepared by the UNDP CO based on guidance from the UNDP/EEG Regional Coordinating Unit.

AUDIT CLAUSE

32. The Executing Agency will provide the Resident Representative with certified periodic financial statements, and with an audit of the financial statements relating to the status of UNDP (including GEF) funds according to the established procedures and financial rules and regulations specified in the UNDP User Guide. The Audit will be conducted by a commercial auditor engaged by the Executing Agency .

3. LEARNING AND KNOWLEDGE SHARING

33. Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums. In addition:

- The project will participate, as relevant and appropriate, in UNDP/EEG sponsored networks, organized for Senior Personnel working on projects that share common characteristics. UNDP/EEG shall establish a number of networks, such as Integrated Ecosystem Management, eco-tourism, co-management, etc, that will largely function on the basis of an electronic platform.

- The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned.

34. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identify and analyzing lessons learned is an on-going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UNDP/EEG shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. In particular, one per cent of project resources will be allocated to knowledge management/sharing activities established by IW:LEARN.

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

Type of M&E activity	Responsible Parties	Budget US$ *Excluding project team Staff time*	Time frame
Inception Workshop	▪ Project Coordinator ▪ UNDP CO ▪ UNDP/EEG	20,000	Within first two months of project start up
Inception Report	▪ Project Team ▪ UNDP CO	None	Immediately following Inception Workshop
Measurement of Means of Verification for Project Purpose Indicators	▪ Project Coordinator with inputs from PSC	To be determined as part of Annual Work Plan's Preparation	Start, mid and end of project
Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis)	▪ Oversight by UNDP/EEG Regional Technical Advisor and Project Coordinator ▪ Measurements by regional field officers and local IAs	To be determined as part of the Annual Work Plan's preparation.	Annually prior to APR/PIR and to the definition of annual work plans
APR and PIR	▪ Project Team ▪ UNDP-CO ▪ UNDP/EEG	None	Annually
TPR and TPR report	▪ Government Counterparts ▪ UNDP CO ▪ Project team ▪ UNDP/EEG Regional Coordinating Unit	None	Every year, upon receipt of APR
Steering Committee Meetings	▪ Project Coordinator ▪ UNDP CO	5,000	Following Project Inception Workshop and subsequently at least once a year
Periodic status reports	▪ Project team	None	To be determined by Project team and UNDP CO
Technical reports	▪ Project team ▪ Hired consultants as needed	None	To be determined by Project Team and UNDP-CO
Final External Evaluation	▪ Project team, ▪ UNDP-CO ▪ UNDP/EEG Regional	25,000	At the end of project implementation

	Coordinating Unit ▪ External Consultants (i.e. evaluation team)		
Terminal Report	▪ Project team ▪ UNDP-CO ▪ External Consultant	Included in the budget allocated for the final terminal evaluation	At least one month before the end of the project
Lessons learned	▪ Project team ▪ UNDP/EEG Regional Coordinating Unit (suggested formats for documenting best practices, etc)	8,000	Yearly
Audit	▪ UNDP-CO ▪ Project team	25,000	As specified by the UNDP User Guide
Visits to field sites (UNDP staff travel costs to be charged to IA fees)	▪ UNDP Country Office and/or UNDP/EEG Regional Coordinating Unit (as appropriate)	7,000 (average one visit per year)	Yearly
TOTAL INDICATIVE COST *Excluding project team staff time and UNDP staff and travel expenses*		90,000	

PART II: PROJECT JUSTIFICATION

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

35 The global depletion of inshore and continental shelf fisheries, coupled with improvements in fishing technology, has led commercial activities to fish further out and deeper into the oceans. Some of these fisheries are in oceanic waters beyond national exclusive economic zones (EEZs), where they are subject to weak or sometimes no regulation. The area beyond national jurisdictions, the high seas, covers nearly 50% of the surface of the planet, and about 64% of the surface of the oceans. In just ten years, between 1992 and 2002, the percentage of fish caught on the high seas in relation to the global marine catch rose from 5% to 11%.

36. Seamounts and other topographical seabed features in the open ocean are hotspots of biological diversity and production. They also host concentrations of commercial pelagic fish (e.g. tuna) as well as deep-water fish species (e.g. orange roughy) that attract commercial fishing activities. The limited knowledge of seamount-associated fauna to date indicates that many species grow and reproduce slowly, thus are much more vulnerable to overexploitation. Evidence has shown that deep-sea bottom fisheries can cause irreversible depletion of commercially-important fish populations in just a few years, and irreparable damage to slow-growing deep-seabed communities of cold water corals, sponges and other animals.

37. While seamounts in temperate regions around developed countries have been visited for research, those in more remote regions remain nearly unexplored. This is particularly true for the southern Indian Ocean, for which the few biological data that exist comes almost exclusively from the deep-sea fishing industry or from national fisheries research programs prospecting for exploitable fish stocks. The southern Indian Ocean remains the most significant gap in current knowledge of global seamount ecology and biodiversity. Thus, conservation and management of marine biodiversity based on precautionary and ecosystem approaches is hampered by lack of fundamental scientific knowledge and understanding of seamount ecology and their relations to benthic and pelagic fish species of commercial interest.

38. In addition, no governance body yet has the mandate to conserve and manage deep-sea ecosystems in the southern Indian Ocean. The Southern Indian Ocean Fisheries Agreement (SIOFA) is not yet in force, and the only agreement currently in force in the region, the Indian Ocean Tuna Commission (IOTC), applies to the conservation and management of tuna and tuna-like species. Although States fishing in the area have duties linked to international obligations – including UN General Assembly (UNGA) resolution 61/105 on sustainable fisheries and its paragraph 80 on protection of vulnerable marine ecosystems[5] – seamounts in the southern Indian Ocean are in effect left unregulated. The only large-scale conservation initiative for seamounts in the southern Indian Ocean came from within the industry, the Southern Indian Ocean Deepwater Fishers Association (SIODFA), which, in 2006, voluntarily set aside 11 Benthic Protected Areas (BPAs). While this represents an important step forward, it also highlights the urgent need for accurate and independent baseline data against which to evaluate the effectiveness of these BPAs for biodiversity and fisheries conservation.

39. The combination of the lack of understanding of important oceanic features such as seamounts and their interactions with commercial fish species and the existing gap in the high seas marine biodiversity governance and regulatory system poses major threats to marine species and their habitat. These gaps can allow unregulated and unreported activities, overexploitation and pollution of marine resources and destruction of benthic habitats.

40. While there are initiatives under way which address problems of fisheries management in the nearshore waters within EEZs, as yet there has been negligible analyses of offshore ecosystems and use of these analyses to develop

[5] UNGA Resolution 61/105, para. 80, calls for *States to take action immediately, individually and through regional fisheries management organizations and arrangements, and consistent with the precautionary approach and ecosystem approaches, to sustainably manage fish stocks and protect vulnerable marine ecosystems, including seamounts, hydrothermal vents and cold water corals, from destructive fishing practices, recognizing the immense importance and value of deep seas ecosystems and the biodiversity they contain*.

appropriate management options and an overarching governance framework. While the concept of precautionary and ecosystem-based approaches to fisheries management has gained broad support in recent years, the lack of information on seamount ecosystems has prevented full application of this concept to deep-sea systems in the high seas, a gap the proposed project seeks to address.

THE PROJECT'S APPROACH

41. The project will directly address the three main barriers to sustainable fisheries management and marine biodiversity conservation in the high seas, with a particular focus on seamount ecosystems: 1. lack of scientific knowledge about seamount ecosystems and their relationship with fisheries resources, due in large part to lack of capacity for monitoring, assessment and analysis; 2. lack of comprehensive governance framework for marine biodiversity in the region; and 3. difficulty in managing off-shore fish stocks, including monitoring, control and surveillance. The proposed project will also make significant contributions to raising awareness of decision-makers, the fishing industry and the general public on off-shore and deep-sea marine biodiversity, and serve as a demonstration project for developing robust conservation and management measures for marine biodiversity in areas beyond national jurisdiction.

42. **The project objective is to apply an ecosystem-based approach to fisheries management for biologically-globally significant and commercially-important areas beyond national jurisdiction in the Southern Indian Ocean, focusing on seamounts, with a long-term aim to demonstrate innovative approaches to improving conservation and management of unique biodiversity and ecological resources in the high seas. The four outcomes pursued are:**

(1) Scientific understanding and capacity for monitoring, assessment and analysis of high seas biodiversity and fisheries improved
(2) Governance framework for high seas resources conservation and management enhanced
(3) Options for conservation and management measures applicable to high seas areas in the Southern Indian Ocean identified
(4) Learning, awareness raising and knowledge sharing

43. **(1) Improving scientific understanding and capacity for monitoring, assessment and analysis of high seas biodiversity and fisheries.** The proposed project will seek to answer the following key scientific questions that will provide us with the necessary knowledge base to develop effective management options for biodiversity conservation in the high seas, based on the precautionary and ecosystem approaches:

- What are the benthic communities of southern Indian Ocean seamounts like, how diverse are they (global importance, biogeography)?
- What is driving the seamount fisheries (energy supply to the seamount ecosystems)?
- Are predictions of coral diversity on seamounts in the southern Indian Ocean based on habitat suitability modelling using global datasets accurate?
- What are the impacts of the past and current deep-sea fishing activities?
- Will the areas voluntarily set aside as BPAs by the trawling industry make a significant contribution to conservation of vulnerable seabed communities?
- Could the BPAs actually benefit fishing?
- Which seamounts should be fully protected due to their high ecological value, and which others can remain open to bottom fishing subject to regulations to prevent significant adverse impacts to marine biodiversity?

44. In addition, UNGA Resolution 61/105 (para. 80 – 91) raises key research questions for which responses are still lacking, and that can be addressed by the proposed project, using site-specific information:

- What are the most ecologically sound and economically efficient ways to detect vulnerable marine ecosystems (VMEs) – as not all seamounts or parts of seamounts may be VMEs?
- How to assess whether significant adverse impacts to VMEs are likely to occur as a result of fishing activities?

45. The proposed project will include two scientific cruises: (i) cruise focused on pelagic ecosystem, pelagic fishery resources and oceanography (using the *RV Dr. Fridtjof Nansen* as part of the NORAD/FAO Nansen programme); (ii) cruise focused on benthic ecosystems, led by the Institute of Zoology (IOZ), of the Zoological Society of London14

(ZSL). IOZ has just received a major competitive grant from UK's National Environmental Research Council (NERC) to investigate benthic assemblages of seamounts in the southern Indian Ocean, and to determine how they may have been impacted by bottom trawling activities. The project will target five seamounts in the southern Indian Ocean. The location of the 5 seamounts as well as the proposed cruise routes are shown in Annex A.

46. Scientists, postgraduates and policy-makers from neighbouring countries will benefit from the opportunity to participate in a scientific cruise on a state-of-the-art research vessel. Every effort will be made to pair scientists from the region with international experts as a way of providing training opportunities as well as establishing a global network of scientists interested in deep-sea applied research and conservation. As the international experts are affiliated with the Census of Seamounts project (CenSeam) – a part of the Census of Marine Life (CoML) – a unique opportunity is offered to experts from the region to integrate with this network.

47. **(2) Enhancing governance frameworks for high seas resources conservation and management:** The international legal regime for the high seas is made up of a number of global and regional legal instruments. It includes the United Nations Convention on the Law of the Sea (UNCLOS), an umbrella Convention covering all ocean uses; and the Convention on Biological Diversity (CBD), which is the other international Convention that places obligations on nations to conserve and sustainably use marine biodiversity in areas beyond national jurisdiction.

48. With regards to fisheries, the only global framework calling for sustainable management of high seas fisheries, based on the precautionary and ecosystem approaches, is the United Nations Fish Stocks Agreement (UNFSA). The Agreement applies however only to highly migratory and transboundary fish stocks, and does not comprise discreet high or deep-sea fish populations.

49. There are some binding legal agreements at the regional level, such as those establishing Regional Fisheries Management Organizations (RFMOs), which also provide for the conservation and management of areas beyond national jurisdiction, consistent with high seas freedoms under UNCLOS. They do not, however, cover all gaps with respect to species or ocean areas.

50. Regarding the southern Indian Ocean, the only agreement currently in force, IOTC, applies to the conservation and management of tuna and tuna-like species. The Southern Indian Ocean Fisheries Agreement (SIOFA) is not yet in force, and interim measures called for by the UN General Assembly (UNGA resolution 61/105) for areas where Regional Fisheries Management Organizations are still under development have not yet been agreed. While it is anticipated that interim measures will be agreed soon, and that SIOFA will come into force in the near future, the need for science and policy advice will only increase due to the requirements of the UNGA resolution.

Table 1: Summary of regulatory and governance gaps in the southern Indian Ocean.

Regional Ocean Agreements	**Mandate or objective**	**Regulatory gaps**	**Governance gaps**
Agreement for the establishment of the Indian Ocean Tuna Commission (IOTC Convention), 1993. In force: 1996.	To promote cooperation with a view to ensuring the conservation and optimum utilization of stocks and encouraging sustainable development of fisheries based on such stocks.	- Only covers tuna and tuna-like species (16 species of tuna, several species of mackerel, marlin, swordfish and sailfish) - Does not regulate bycatch of most non-target species - Does not regulate directed shark fishing	- No provisions for precautionary approach or ecosystem-based management in Convention, recent resolutions or practice
		There is no regional marine biodiversity agreement in the Indian Ocean covering the high seas	**There is no regional marine biodiversity conservation organization in the Indian Ocean covering the high seas**

Southern Indian Ocean Fisheries Agreement, adopted 2006. Not yet in force.	To ensure the long-term conservation and sustainable use of fishery resources other than tuna in areas that fall outside national jurisdictions. It contains specific reference to the needs of developing countries, the precautionary approach, ecosystem approach and duty to protect biodiversity in the marine environment.	- Does not cover northern Indian Ocean	

Source: Kristina M. Gjerde et al. (2008). *Regulatory and governance gaps in the international regime for the conservation and sustainable use of marine biodiversity in areas beyond national jurisdiction.* IUCN, Gland, Switzerland. P. 27.

51. In order to support the enhancement of the governance and regulatory framework for the conservation and management of high seas marine biodiversity of the southern Indian Ocean, the project will:

- Develop a full institutional and legal gap analysis
- Develop a comprehensive list of possible options for the improvement and strengthening of the legal and institutional framework in the southern Indian Ocean to achieve sustainable fisheries and biodiversity conservation
- Maximize cooperation and coordination with entities such as the Indian Ocean Tuna Commission and the not-yet-in-force Southern Indian Ocean Fisheries Agreement

52. There is also a gap with respect to comprehensive biodiversity conservation and governance from other threats that may arise in the region – such as the impacts of pelagic fishing for tuna and tuna-like species on complex seamount food webs, as well as the potential impacts of non-fishing activities such as ocean fertilization, marine scientific research and bioprospecting, cable and pipeline laying, shipping discharges and mineral exploration and exploitation. While shipping and mining are regulated by the International Maritime Organization and the International Seabed Authority respectively, there is no mechanism currently for integrated and coordinated management amongst the various sectors to establish comprehensive conservation measures such as marine protected areas or to address currently unregulated activities. The impacts of these other potential threats will also be considered within the framework of this project, to ensure that they do not jeopardize the implementation of an ecosystem based approach to fisheries management in the region.

53. **(3) Identifying options for conservation and management measures applicable to high seas areas in the southern Indian Ocean.** The proposed project will facilitate the identification and assessment of various options for conserving and sustainably managing deep-sea fishery resources and marine biodiversity. A review of relevant cases from around the world will inform this process, and the fishing industry will play an important role in identifying realistic measures that are cost-effective, feasible and consistent with international norms, including UNGA resolution 61/105. In particular, the project seeks to:

- Identify conservation and management options based on a precautionary and ecosystem approach, applicable to areas in the high seas of the southern Indian Ocean, with particular regards to vulnerable marine ecosystems
- Identify options for managing deep-sea fisheries to prevent significant adverse impacts to VMEs (e.g. by gear-type, effort and/or area based restrictions)
- Identify appropriate monitoring, control and surveillance systems to ensure effective enforcement of and compliance with conservation and management plans
- Develop a model management framework for high seas biodiversity and important high seas areas in the southern Indian Ocean
- Develop two specific draft management plans for two high seas areas that will have been identified as priority sites
- Work in close collaboration with the fishing industry, to ensure feasibility and cost-effectiveness of measures, and maximum buy-in and future compliance

54. The development of a management and conservation framework and specific plans will be of high information value for demonstrating the implementation of UNGA resolution 61/105, and will serve as a model for application of the resolution in other high seas areas. In addition, the project will serve as a unique case study for the application of the

scientific criteria for the identification of ecologically and biologically significant areas beyond national jurisdiction that States parties to the Convention on Biological Diversity adopted at its 9th Conference of the Parties (CBD COP9) in May 2008, together with guidance for the development of representative Marine Protected Area (MPA) networks. IUCN has just been mandated by the German government to support its efforts to deliver the CBD COP 9 commitments on high seas areas, by coordinating scientific progress to identify ecologically and biologically significant areas in the high seas, based on the criteria adopted at CBD COP9.

55. **(4) Learning, awareness raising and knowledge sharing.** The proposed project would contribute greatly to global knowledge of seamount ecosystems and provide a concrete example of how remote oceanic ecosystems could be sustainably managed, in coordination with the fishing industry. The analytical process of determining feasible management and conservation measures will inform, and be informed by, other similar efforts globally. At the end of the project, our knowledge of these systems and our capacity to identify and implement appropriate conservation and management measures in areas beyond national jurisdiction, and especially for vulnerable marine ecosystems, will be enhanced and widely disseminated. To this end, the project will:

- Contribute to increased knowledge and awareness within the fishing industry on linkages between seamounts, commercial fish species and industrial activities, to ensure appropriate conservation and management measures are implemented, and thus the long term sustainable development of fishing activities
- Widely publicize project findings and results to raise awareness on importance of deep-sea biodiversity and highlight new discoveries, using innovative communications materials aimed at shining a spotlight on deep-sea biodiversity and the threats it faces at global fora such as the Global Forum on Oceans, Coasts and Islands.
- As part of the project's international communications campaign, contribute to IW:LEARN activities, such as production of at least one International Waters Experience Note, participation in the biennial International Waters Conference(s) to showcase the project achievements and exchange knowledge, and project information to be made available through an IW:LEARN website. Approximately 1% of project budget allocated by GEF, or USD9,500, will be earmarked for the IW:LEARN related activities.
- Establish a tight policy practice loop by feeding the results of this pilot project into global and regional negotiation processes and feed the outcomes of those policy-making processes into the pilot project. Relevant negotiation processes include the UNGA, CBD, RFMOs, etc.
- Coordinate with other related initiatives in the region, to ensure results and learning of the project are shared as widely as possible and benefit from the experience of others

EXPECTED GLOBAL ENVIRONMENTAL BENEFITS

56. The proposed project will provide the following global environmental benefits:

- Precautionary and ecosystem-based management approaches in the high seas developed through a consultative process, informing and contributing to regional and international negotiation processes related to the regulation of areas beyond the limit of national jurisdiction;
- Practical site-based guidance developed for implementing the requirements of UNGA resolution 61/105 with respect to managing deep-sea bottom fisheries on the high seas to prevent significant adverse impacts to vulnerable marine ecosystems;
- Contribution to practical application of CBD COP9 criteria for the identification of ecologically and biologically significant areas beyond national jurisdiction, and provision of data to this process;
- Significant contribution to the global knowledge of seamounts and their inter-relationships with benthic and pelagic fisheries;
- Habitats critical to commercially important benthic and pelagic fisheries in the high seas identified and options for their sustainable management developed;
- Capacity to manage fish stocks and other marine resources sustainably in the high seas strengthened, with the participation of the private sector.

57. The proposed project will be one of the first concrete actions focusing on the development of a comprehensive management framework in the high seas, consistent with UNCLOS. From a governance perspective, the project would also serve as a model for the development of similar management frameworks for other discrete high seas areas. As a result, the project will help focus attention on high seas resources and biodiversity of critical importance to both developing and developed nations in the southern Indian Ocean, and elsewhere.

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

58. The overall long term goal for the proposed project is to improve conservation and management of unique biodiversity and ecological resources in the high seas. The project will contribute to implement decisions taken by States at international fora such as WSSD, FAO, UNGA, CBD, UNFSA or United Nations Informal Consultative Process on Oceans and the Law of the Sea (UNICPOLOS). It is also specifically of direct relevance for informing and supporting the implementation of UNGA Resolution 61/105 on sustainable fisheries, that, amongst others, 1. Calls upon States to apply the precautionary and ecosystem approaches to the conservation, management and exploitation of high seas fish stocks, including discrete stocks; and 2. requires States to protect seamounts and other vulnerable marine ecosystems.

59. A growing number of states have committed to the conservation and management of high seas biodiversity through precautionary and ecosystem approaches to management. Discussions have been held actively at the global policy level. Although little practical experience is available to date and differing views exist on how it should be addressed, a consensus has been reached that the conservation and management of the high seas biodiversity is a global priority. An important step has been taken by States at CBD COP9 in May 2008, which agreed on the adoption of scientific criteria for the identification of ecologically and biologically significant areas beyond national jurisdiction and guidance for the development of representative MPA networks.

60. The proposed project will address this global priority in the limited geographical scale and represent a first step in applying these ideas in a practical demonstration on select seamount ecosystems in the southern Indian Ocean. It will therefore be consistent with the recent global trends and demands related to high seas governance for the improved conservation and management of biodiversity. Countries may also decide to apply these lessons learned to management of deep-sea fisheries and biodiversity in areas under national jurisdiction.

C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH GEF STRATEGIES AND STRATEGIC PROGRAMS:

61. The proposed project addresses the two **strategic objectives** of the International Waters Focal Area:

IW SO1. To foster international, multi-state cooperation on priority transboundary water concerns through more comprehensive, ecosystem-based approaches to management. The project aims to facilitate the development of a management and regulatory framework for marine resources in the high seas of the southern Indian Ocean, based on the internationally recognized ecosystem and precautionary approaches. The project will propose institutional developments/reforms based on rigorous and pioneering scientific findings.

IW SO2. To play a catalytic role in addressing transboundary water concerns by assisting countries to utilize the full range of technical assistance, economic, financial, regulatory and institutional reforms that are needed. The relevant stakeholders of the countries surrounding the southern Indian Ocean will be involved in the project implementation, from its inception phase to its conclusion. Given the unique and innovative nature of the proposed project, capacity building and regional collaboration and cooperation, as well as learning, communication and outreach will be a major component of the project. Many partners, including the fishing industry, will be brought together to inform and be informed on appropriate legal, institutional and management tools to sustainably manage marine resources in areas beyond national jurisdiction. The project will also assist countries to initiate policy, legal and institutional reforms on a regional basis to help them meet the WSSD targets for sustainable fisheries and the UNGA 61/105 requirements.

Within the International Waters Focal Area, the project primarily addresses **Strategic Program 1**, namely restoring and sustaining coastal and marine fish stocks and associated biological diversity.

Strategic Program	Expected outcomes	Indicators
SP-1: restoring and sustaining coastal and marine fish stocks and associated biological diversity	✓ Political commitments made to ecosystem-based joint action on sustainable fisheries ✓ Institutions and reforms introduced to catalyze implementation of policies reducing over-fishing and benefiting communities ✓ Multi-agency partnerships catalyzes replication of innovations ✓ Increased coverage of marine protected areas (MPAs)	✓ Regional, national and local policy, legal and institutional reforms adopted; project evaluations show implementation effectiveness ✓ Fish stock and habitat assessments ✓ Number/increase of MPAs globally

62. In addition, the project has linkages to several strategic objectives and programs under the **Biodiversity Focal Area:**

BD SO 1: to catalyze sustainability of protected area (PA) systems: the project will study 5 seamounts (See Annex A for the map and location of the targeted 5 seamounts), three of which have been set aside unilaterally and voluntarily as Benthic Protected Areas (BPAs) by the Southern Indian Ocean Deepwater Fishers Association (SIODFA) in July 2006. This decision, unique in its scale and geographic scope, represents a highly significant initiative for the sustainable management of fisheries in the region. There is however a compelling need to assess these BPA proposals in the context of comprehensive and independent scientific analysis, and assess whether these areas are the most effective for biodiversity and fisheries conservation.

BD SO 2: to mainstream biodiversity in production landscapes/seascapes and sectors: strengthening frameworks for marine biodiversity conservation and management in the southern Indian Ocean is the core element of this project. Collaboration with partners such as FAO and the fishing industry will be a key element for achieving the desired results and place biodiversity at the heart of production systems, while taking into account socio-economic needs.

D. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:

63. The project will collaborate with three other GEF-funded projects active in the southern Indian Ocean, in particular, the Agulhas and Somali Currents Large Marine Ecosystems (ASCLME) and the South West Indian Ocean Fisheries Project (SWIOFP), to ensure the maximum synergies are realized. Collaboration with the ASCLME Programme, which is the overall framework governing the three GEF projects (including WIO-LaB), will ensure that the projects' complementary nature will be maximized through sharing of vessel time, scientific expertise, and exchange of data. In addition, close collaboration with the ASCLME Programme will provide opportunities for capacity building and increasing linkages with scientists, policy makers and other relevant stakeholders in the region. In general, collaboration will ensure that the limited GEF resources requested for the proposed project will not be allocated for any duplication of efforts, and improve the chances that the proposed outcomes of this project will have long-lasting impacts beyond the project lifetime. The most practical and effective mechanism for coordination will be agreed with the ASCLME Programme during the inception phase of this project.

64. The project will further cooperate with the African Coelacanth Ecosystem Programme (ACEP). Since its inception in April 2002 ACEP has filled a void in oceanographic and marine ecological sampling on the continental shelves of the east coast of southern Africa and the south-western Indian Ocean. ACEP I focused on several sub-projects in the fields of marine geoscience; physical and biological oceanography; marine ecology; coelacanths and biodiversity; isotope, genetic and genome studies; information management and GIS; and environmental education and awareness. With the initiation of the ASCLME programme, the emphasis of ACEP has been re-orientated towards scientific questions with a southern African focus. The project will cooperate with ACEP mainly through the ASCLME project with the aim of fostering synergies, such as sharing of existing data and research methodologies.

65. The project will also cooperate with the South West Indian Ocean Fisheries Commission (SWIOFC), the Southern Indian Ocean Deepwater Fishers Association (SIODFA), the Indian Ocean Commission (IOC), the Nairobi Convention for the Protection, Management and Development of the Marine and Coastal Environment of the Eastern African Region (the Nairobi Convention) and the Indian Ocean Tuna Commission (IOTC). In particular, the coordination with the SWIOFC will squarely match with its commitment to work closely with any agreement or arrangement for the

management and conservation of the high seas fisheries resources of the Southern Indian Ocean. (see more on http://www.intfish.net/orgs.fisheries/swiofc.htm). Linkages with the adopted (but not yet in force) Southern Indian Ocean Fisheries Agreement will also be an essential part of the project. In order to ensure smooth and integrated development in relation to fisheries management and its sustainability, cooperation and collaboration with these entities is key. It is also envisioned that the most practical and effective coordination mechanism with these entities will be agreed upon during the project inception phase.

66. The project intends to contribute to the development of a region-based knowledge management system that includes all projects and initiatives in the region. Collaboration with existing knowledge management initiatives, such as IW: LEARN and DLIST (part of ASCLME Programme) will be explored to achieve this end. More specifically, as mentioned earlier, the project will allocate about 1% of GEF funding allocated to the proposed project, or US9,500, will be allocated to contribute to the IW:LEARN activities.

67. Finally, the project will closely follow global developments that seek to identify high seas areas of significant importance, in particular 1. FAO's efforts of mapping vulnerable marine ecosystems and 2. international efforts, under the leadership of the German government and in close collaboration with IUCN, to identify ecologically and biologically significant areas beyond national jurisdiction. The project will share information and data with these initiatives to ensure that best scientific information available is used to its fullest extent.

E. DESCRIBE THE INCREMENTAL REASONING OF THE PROJECT:

68. GEF's support and involvement is viewed as critical to ensure consistency and linkages with other relevant partners and projects, in particular LME projects. GEF support will 1. contribute a critical element to capacity building for scientific monitoring, assessment and analysis; 2. ensure direct and timely links between science, policy and practice; 3. apply the ecosystem based approach to fisheries management in the high seas; 4. ensure international and regional governance processes are informed of practical solution; and 5. provide legitimacy in addressing issues in the high seas.

69. The funds requested from GEF will be used to translate scientific findings into policy and practice, thereby closing the loop between these three elements. Without the grant from GEF, the benthic studies would still be conducted by the project's partners, but the findings and improved understanding of seamounts and associated biodiversity ecology would have no direct or timely policy or management implications. GEF's support will thus ensure that the gap between science and management/policy is filled, and that the regional and international governance processes and bodies dealing with high seas governance and management benefit from the experience and knowledge gained through the surveying of seamounts and associated biodiversity in the southern Indian Ocean. Furthermore, with the GEF support, the critical linkage between those working on high seas ecosystems and high seas governance and those operating in the fishing industry will be created and strengthened. Without this critical linkage, the successful implementation of a management framework and the effective enforcement of management options, after they are developed, would be highly unlikely.

70. Co-financing secured by the project's partners will mainly cover the scientific component of the proposed project. The co-financing will cover an essential, and the most resource-demanding, part of the project. It will provide the baseline data upon which the management and policy work can be built. The co-finance ratio is about 5:1.

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

Identified risk	Risk type	Analysis	Mitigation measure
1. Conflict of interest between stakeholders, especially between policy-makers, managers, scientists and the industry	Political	Medium/ High	The organization of several workshops and many consultations will allow for open discussion and broad-based consensus on the type of conservation and management framework to be developed. This will ensure that all interests are taken into consideration and that all stakeholders feel committed and gain a feeling of ownership of the project. The identification of realistic and acceptable options, agreed upon by the relevant stakeholders, will be a key element to limit the risk of "free-riding" by some states or industries.

			The obligations imposed on states by international resolutions, and in particular UNGA 61/105, will also facilitate convergence of views.
2. Project stalled due to controversies surrounding high seas issues	Political	Low	The project is in line with the discussion currently taking place in high-level international fora, such as UNGA, CBD or UNFSA. All project activities will be consistent with UNCLOS and other international agreements.
3. Weak compliance with the conservation and management framework put into place, due to various reasons such as lack of political will or resources	Operational	Medium	The inclusion of the relevant stakeholders, and especially involvement of the industry, throughout the project will reduce the risk of lack of compliance with legal decisions. Policy, legal and institutional analyses will have been undertaken beforehand to maximize the chances of the management framework to be complied with. A strong monitoring and compliance framework will be drafted and tested, one that builds on the capacity of industry leaders to improve compliance throughout the sector. The project will take into account other Monitoring, Control and Surveillance (MCS) tools currently being developed, and the strengthening of the International MCS Network, among others. The extensive publicizing of the project and its results will also put pressure on the stakeholders to comply with the legislation.
4. Problems with the research vessel, or bad weather, which delays the planned activities	Operational	Medium	The research cruises have been carefully planned by seasoned experts who have incorporated all reasonable contingencies to minimize the risk associated with cruise coordination as much as possible. The cruise schedules will be reviewed and confirmed as soon as the GEF funding is secured in consultation with other parties, including the ASCLME Programme.
5. Measures to manage and conserve high and deep seas biodiversity hampered by climate change impact, in particular higher water temperature and acidification	Operational	Low	Potential consequences of climate change that could impact on deep sea biodiversity include increased average water temperatures, changes in water chemistry and surface primary production. While distribution of species, such as cold-water corals, could be noticeably affected by such changes, these are unlikely to occur before a few decades. Effective, ecosystem-based management of the area is considered as one of the most effective means to increase seamounts and related biodiversity's resistance and resilience to climate change. It is part of the project's aims to study and predict impacts of climate change on seamount communities, which will be taken into consideration when developing management measures.
6. Cost of enforcement for high seas fisheries management exceed willingness to pay	Financial	Medium/ High	Broad-based discussions with major stakeholders, such as policy-makers and the industry and support from them, reduce the risk of non compliance to regulations due to lack of resources. Work with the industry is a key element which will ensure financial support for the implementation of the management framework, and will support the use of technology, especially satellite technology, for the introduction of cost-efficient enforcement and compliance measures.
Overall rating		**Medium**	

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

71. As the proposed pilot project is breaking new ground with regard to ecosystem-based management of high seas areas, it is quite difficult to assess the cost-effectiveness of the project. However, the proposed approach is considered to be more cost-effective than alternatives considered and rejected. Two major alternate approaches have been considered and rejected:

72. Alternative 1: Utilizing a commercial vessel (Deep Ocean Quest [DOQ]) instead of FAO managed *RV Dr. Fridtjof Nansen* vessel. While the initial negotiations with the owner of DOQ were promising, it turned out to be a more risky partnership, due to the reliability of the vessel and the less experience it had with fisheries research.

73. Alternative 2: Base management options and governance frameworks for the utilization of marine resources in the southern Indian Ocean on scientific models rather than actual data. Given the important resources that a scientific cruise requires for the collection of rigorous baseline data in a remote environment, it was contemplated to use modeled data solely. However, given the immense lack of data on seamounts in the Indian Ocean, the investment into on-the-

ground monitoring and assessment was considered worthwhile, for the project's immediate objectives and broader long-term benefits. It is indeed viewed as an investment into the future, as it will allow the refinement of computer models and thus future work on high and deep seas both regionally and globally.

74. The co-financing for this project represents a 5:1 ratio. Most of the co-financing will be used for the scientific and most resource-demanding part of the proposed project. GEF grant has been carefully allocated to fill the gaps especially with regards to 1) the governance analysis and reform, 2) the identification and development of a management options based on ecosystem approach and 3) stakeholder involvement and knowledge sharing. Furthermore, in order to reduce costs, in-house expertise will be used to the fullest extent possible, and every opportunity to build synergies, like boat-sharing, and work with other partners in the area will be sought. The timing of the surveys has been scheduled in close coordination with the project's partners to ensure maximization of and linkages between results.

75. In terms of effectiveness, monitoring and assessment in the field represents the only means to inform policy-makers and base policy-making processes on sound science. As a reality check for the development of the most appropriate conservation and management framework, the monitoring is an essential stage in the process. The participation of renowned and experienced scientists and experts, and the utilization of state-of-the-art technology, on a fully equipped vessel, reduces dramatically the margin of error and risk of the project, resulting in the long-term cost effectiveness. Adaptive management has furthermore been incorporated into the planning and budget of the project, which will ensure corrective decisions and actions will be taken if necessary.

76. Lastly, the project will serve as an excellent and cost effective learning ground for the IW portfolio globally, given its unique and innovative nature, through its capacity building and regional collaboration and cooperation activities, as well as through the inclusion of all relevant stakeholders, including the fishing industry.

PART III: INSTITUTIONAL COORDINATION AND SUPPORT

A. PROJECT IMPLEMENTATION ARRANGEMENT:

77. The project will be implemented by the UNDP and executed by the International Union for Conservation of Nature (IUCN). A Project Management Unit (PMU) will be set up within the Global Marine Programme of IUCN located in Gland, Switzerland. The project will be managed by a part time (50%) Project Coordinator (PC) based at IUCN in Gland/Switzerland. The PC will be supported by an administrative assistant of the Global Marine Programme of IUCN and by a financial assistant based in the IUCN office in Washington, D.C. The PMU will be responsible for the day-to-day operations of the project implementation and answerable to the Project Steering Committee (PSC).

Project Steering Committee (PSC)

78. A project steering committee (PSC) will guide the PMU throughout the project implementation as the highest decision making body for the project. The PSC will be comprised of representatives of the following organisations:

- UNDP
- IUCN, including project coordinator ex-officio
- FAO
- WCPA (the World Commission on Protected Areas)
- ZSL (Zoological Society of London)
- SIODFA (Southern Indian Ocean Deepwater Fishers Association) – (observer)
- ASCLME (observer)

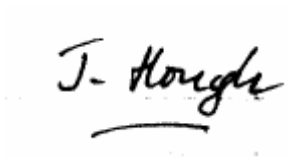
79. The PSC will meet once per year. The project will be periodically reviewed in order to establish the extent to which activities set out to achieve project objectives are proceeding, so that adjustments can be made if needed. PSC will play a key role in providing strategic guidance and oversight of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

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

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

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

PART V: AGENCY(IES) CERTIFICATION

<table>
<tr><td colspan="2">This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for CEO Endorsement.</td></tr>
<tr><td> 
John Hough
UNDP-GEF Deputy Executive Coordinator</td><td>Akiko Yamamoto
Regional Portfolio Manager,
UNDP/EEG RCU- Pretoria, South Africa
Project Contact Person</td></tr>
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akiko.yamamoto@undp.org</td></tr>
</table>

ANNEX A: PROJECT RESULTS FRAMEWORK

Project strategy		**Objectively verifiable indicators**				
Goal		**to improve conservation and management of unique biodiversity and ecological resources in the high seas**				
Objective of the project	to apply an ecosystem-based approach to fisheries management for biologically- globally significant and commercially-important areas beyond national jurisdiction in the southern Indian Ocean, focusing on seamounts, with a long-term aim to demonstrate innovative approaches to improve conservation and management of unique biodiversity and ecological resources in the high seas.					
Outcomes	**Outputs**	**Indicators**	*Baseline*	*Target*	**Sources of verification**	**Risks**
Outcome 1: Improving scientific understanding and capacity for monitoring, assessment and analysis of high seas biodiversity and fisheries	**1.1**. Scientific understanding of seamounts ecosystems and their interactions with deep-water and pelagic fisheries improved	1.1.1. Baseline of scientific data on selected benthic environments in the southern Indian Ocean created	Currently there is extremely limited scientific data on benthic environments in the southern Indian Ocean	Scientific baseline report(s) on selected benthic environments compiled, databases with baseline data created	Scientific reports, databases on benthic environments in the southern Indian Ocean	problems with the research vessel, or bad weather, which delays the planned activities
		1.1.2. Deepwater and pelagic fish species associated with seamounts identified and documented	Deepwater and pelagic fish species associated with seamounts currently not known/ scientifically verified	Scientifically verified inventory of pelagic fish species associated with seamounts compiled, scientific report compiled	Inventory of pelagic fish species associated with seamounts	problems with the research vessel, or bad weather, which delays the planned activities
		1.1.3. Physical and biological factors influencing benthic biodiversity and pelagic-benthic interactions in the southern Indian Ocean identified and documented	Factors influencing benthic biodiversity and pelagic-benthic interaction currently not scientifically verified	Scientific baseline report(s) on factors influencing benthic biodiversity and pelagic-benthic interaction compiled, databases with baseline data created	Scientific reports, databases on benthic environments in the southern Indian Ocean	problems with the research vessel, or bad weather, which delays the planned activities

		1.2.1. Potential impact of current and future fishing activities on seamounts assessed	Impact of fishing activities on seamounts currently not scientifically verified	Scientific report on impact of current and future fishing on seamounts based on data gathered under output 1.1	Scientific report	problems with the research vessel, or bad weather, which delays the planned activities
	1.2. Knowledge base for conservation and management options created	1.2.2. Management/conservation needs of selected seamounts and efficacy of Benthic Protected Areas (BPAs) assessed	Management/conservation needs of Indian Ocean seamounts largely unknown, efficacy of BPAs currently not verified	Scientific reports on management/conservation needs of selected seamount and efficacy of BPAs based on data gathered under output 1.1	Scientific reports	problems with the research vessel, or bad weather, which delays the planned activities
		1.2.3. Methodologies for impact assessment and detection for vulnerable high seas marine ecosystems improved	Methodologies for IA and detection of vulnerable high seas marine ecosystems are crude due to lack of scientific baseline data	Refined methodology for IA and vulnerable high seas marine ecosystems detection refined, using baseline data gathered under output 1.1	Scientific report outlining improved methodology	efficacy (or not) of methodologies cannot be definitively determined due to limited project duration
	1.3. Capacity for monitoring and analysis of high and deep seas biodiversity and fisheries enhanced	1.3.1. Eight scientists from developing countries in the region trained in deep-sea monitoring, assessment and analysis	Very limited regional capacity in deep-sea monitoring, assessment and analysis	Improved regional capacity in deep-sea monitoring, assessment and analysis	Training certificates, reports of trainers/ mentors	suitable scientists not identified (in time)
		1.3.2. Project contributed to expansion of networks of scientists, policy-makers, and managers concerned with high seas ocean conservation and management	Very limited regional participation/ representation in networks concerned with high seas management and conservation	Increased regional participation/ representation in networks concerned with high seas management and conservation	Memberships of regional scientists in scientific networks, attendance of regional scientists, policy-makers and managers at conferences, policy dialogues etc.	lack of interest and/or ownership from scientific community, policy makers and managers

Outcome 2: Enhancing governance frameworks for high seas resources conservation and management	**2.1**. Legal and institutional options consistent with the United Nations Convention on the Law of the Sea (UNCLOS) and the Straddling/Highly Migratory Stocks Agreement for managing biological resources in the high seas of the southern Indian Ocean assessed	2.1.1. Institutional and legal gaps analyzed	No comprehensive overview of existing legal and institutional framework for managing biological resources in the southern Indian Ocean available	Comprehensive analysis of existing legal and institutional framework for managing biological resources in the southern Indian Ocean available	Legal and institutional analysis report	n/a
		2.1.2. Options for improvement of the legal and institutional framework in the southern Indian Ocean developed in cooperation with relevant stakeholders	Non-existing proposal for improvement of legal and institutional framework available	Basket of options for improvement of legal and institutional framework available	Report presenting options for improvement of legal and institutional framework	n/a
		2.1.3. Potential threats from activities other than fisheries assessed	No existing, systematic analysis of potential threats from activities other than fisheries available	Comprehensive assessment of potential threats from activities other than fisheries available	Analysis report	n/a
Outcome 3: Development of Model management framework and monitoring framework as well as specific management plans based on identified options for	**3.1** Management and compliance options applying a precautionary and ecosystems approach identified, in collaboration with the fishing industry	3.1.1. Conservation and management measures, including monitoring, control and surveillance, identified and assessed for feasibility through consultative process with various stakeholders, including the fishing industry	Limited conservation measures in place (i.e. 11 voluntary BPAs)	Basket of options for management measures, monitoring, control and surveillance developed,	Meeting notes of stakeholder workshops, options analysis report	relevant stakeholders do not agree on scope, mandates, assignments of responsibilities etc.

conservation and management measures applicable to high seas areas in the southern Indian Ocean		3.1.2. Two specific management plans for two high seas areas developed	No existing area management plans in the southern Indian Ocean	Two pilot area management plans developed	Management plans for the two selected high seas areas	relevant stakeholders do not agree on scope, mandates, assignments of responsibilities etc.
		3.1.3 Model management framework for high seas biodiversity in the southern Indian Ocean developed	No existing management framework for the southern Indian Ocean	Comprehensive model management framework for high seas biodiversity in the southern Indian Ocean developed with integration of the two pilot area management plans	Model management framework document	relevant stakeholders do not agree on scope, mandates, assignments of responsibilities etc.
		3.1.4 Model monitoring, control and enforcement framework for high seas biodiversity management in the southern Indian Ocean developed	No existing monitoring, control and enforcement framework for high seas biodiversity management in the southern Indian Ocean	Agreed model monitoring, control and enforcement framework for high seas biodiversity management in the southern Indian Ocean developed	Monitoring, control and enforcement framework document	relevant stakeholder do not agree on scope, mandates, assignment of responsibilities etc.
Outcome 4: Learning , awareness raising and knowledge sharing	**4.1**. Understanding of high and deep seas biodiversity and its importance raised within policy makers, the fishing industry, and the general public	4.1.1 Policy makers sensitized about importance of deep seas biodiversity and related management aspects	Limited awareness of policy makers about importance of deep seas biodiversity and management	Increased awareness of policy makers about deep seas biodiversity and management	Policy briefs, Submissions to relevant parliamentary portfolio committees and ministries	lack of interest and/or ownership from policy makers
		4.1.2. Awareness raised within the fishing industry on sound management and sustainable development of high seas fishing activities	Limited awareness of fishing industry about sound management and sustainable development of high seas fishing activities	Increased awareness of fishing industry about sound management and sustainable development of high seas fishing activities	Info briefs, presentations at industry meetings,	lack of interest and/or ownership from industry

		4.1.3. International communications campaigns on project findings organized	Limited public awareness about high seas biodiversity and sustainable management	Increased public awareness about high seas biodiversity and sustainable management	Media articles, newsletters,	lack of public interest and/or ownership
	4.2. Science-Policy-Practice loop tightened	4.2.1. Project findings (results, publications, etc.) provided at relevant regional and global negotiation processes for better informed negotiations and decision-making.	Limited knowledge about high seas biodiversity aspects in the southern Indian Ocean at relevant regional and global negotiation processes due to scarcity of scientific data	Scientific data gathered under 1.1 informs policy making and negotiations at regional and global levels	Info briefs ("lessons learnt" publications,, presentations at negotiation forums, newsletters,	lack of interest and/ or ownership at regional and global negotiation forums
		4.2.2. Development of high seas management and conservation measures informed by best available scientific data	Very limited knowledge about suitable conservation and management measures due to scarcity of scientific data	Scientific data gathered under 1.1 and management options developed under 3.1 inform policy making and management plan development in the southern Indian Ocean region	Report on suitable high sea management and conservation measures	n/a
		4.2.3. Outcomes of policy-making processes fed into the project implementation	Project not started	Project incorporates outcomes of relevant policy making processes into project implementation in an adaptive manner	project management reports, adaptation of project activities	relevant policy making processes do not conclude during project period
	4.3.Region-based knowledge management system strengthened	4.3.1. Regular exchange of project findings and mutual information update with relevant projects in the southern Indian Ocean region (e.g. ASCLME)	Project not started, no ongoing information exchange	Ongoing knowledge exchange between all relevant projects in the region	info briefs, summary reports, newsletters,	lack of interest and ownership at other projects, lack of coordination

		4.3.2 Regular exchange of project findings and mutual information update with relevant governance institutions in the southern Indian Ocean region (e.g. IOTC etc.)	Project not started, no ongoing information exchange	Ongoing knowledge exchange between the project and relevant governance institutions in the region	info briefs, summary reports, newsletters,	lack of interest and ownership at governance institutions, lack of coordination
		4.3.3 Regular exchange of project findings and mutual information update with relevant scientific organisations and NGOs etc.	Project not started, no ongoing information exchange	Ongoing knowledge exchange between the project and relevant scientific organisations and NGOs	info briefs, summary reports, newsletters,	lack of interest and ownership at scientific organisations and NGOs, lack of coordination

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF)

	GEFSEC comment on PIF (5 Sept 2008)	Response
1	Minor excess of proportionality of GEF funding - 18 % for management costs versus 14 % for total costs – should be corrected	Corrected
2	Further information on GEF funding versus co-funding within component 1 requested	Generating the scientific data for component 1 requires two separate research cruises: Cruise 1: focused on pelagic ecosystems, fisheries and oceanography, and Cruise 2: focused on benthic ecosystems The two types of work required are not feasible on the same cruise as equipment and work scheduling requirements are different. In particular, benthic work requires the (costly) use of a large ROV/ submersible. GEF funding will be used towards funding Cruise 1 on the vessel Fridtjof Nansen at a discounted rate of US$ 10,000 per day for approximately 35 days (US$ 100,000 will be covered by the ASCLME project with the remaining US$ 250,000 coming from this project). This represents a counterpart co-funding contribution (FAO) of US$ 13,000 per day. The co-funding made available by the UK government through a grant will fund the more costly Cruise 2 and required follow-up work.
3	Proper coordination with South African ACEP Programme, including utilization of existing data requested	A detailed description of the envisaged coordination with the ACEP programme has been included in Part II Section D
4	Overlap between sub-components 4.1 and 4.2 needs to be reduced Achievements of sub-component 4.3 needs to be clarified	Sub-components 4.1 and 4.2 have been amended and now represent two clearly distinguishable components. - Sub-component 4.1 focuses on awareness raising at a broader level – with policy-makers and the fishing industry in particular and the general public in general - Sub-component 4.2 focuses specifically on feeding project findings into practical policy-making and negotiation processes as well as ensuring the project activities remain highly relevant to the currently ongoing policy discussions related to high sea governance. Sub-component 4.3 complements sub-components 4.1 and 4.2. It is more scientific-technical than sub-components 4.1 and 4.2 and aims at strengthening the scientific-technical knowledge base in the region in order to meaningfully support policy formation and management processes.

ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT

Position Titles	*$/ person week*	*Estimated person weeks*	*Tasks to be performed*
For Project Management			
International			
Project Coordinator	3,000	8,33	- Overall coordination of project activities - Management of PMU staff - Liaison with PSC - Liaison with project partners - Organisation of Project Inception workshop - Drafting of Inception report, project work plan etc. - Project reporting - Coordination of M& E activities - Development of ToR for and contracting of Consultants
Finance Officer	1,600	12,5	- Bookkeeping, financial management
Independent Auditor	3,000	8,33	- Financial auditing of project
Independent Evaluator	3,000	8,33	- Terminal evaluation of the project
For Technical Assistance			
International			
Cruise Coordinator	3,000	8,33	Outcome 1: - Logistical coordination of research cruise on Fridtjof Nansen, in close collaboration with scientific advisor - Liaison with partner projects, e.g. ASCLME in scientific and logistical preparation of the research cruise
Scientific Advisor	3,000	19	Outcome 1: - Supervising the scientific programme of work of the project - Overseeing analysis of scientific findings from research cruise - Summarising scientific findings from research cruise - Produce detailed scientific reports on findings from research cruise Outcome 2: - Analysis of threats from non-fisheries activities - Report on threats from non-fisheries activities
Legal Advisor	3,000	13,6	Outcome 2: - Development of governance analysis report - Consultations with relevant stakeholders to determine options for improvement of legal and governance frameworks - Workshop report - Development of recommendations for improvement of legal and governance frameworks

Fisheries Management Advisor	3,000	24	Outcome 3: - Development of situation analysis of current fisheries/ ocean resources management regime in the southern Indian Ocean - Intensive stakeholder consultations to solicit input for development of model management framework, two detailed area management plans and model monitoring framework - Drafting of two detailed area management plans - Drafting of model management framework - Drafting of model monitoring framework
Media & Communication coordinator	3,000	9,6	Outcome 4: - Development of tailor-made info briefs for different target audiences (policy-makers, industry, general public) - Writing of media articles - Liaison with relevant media (scientific journals, press, television)

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

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

The outcomes identified for the PPG phase to 1. establish project implementation mechanisms and 2. draft a medium-sized project proposal were achieved through the following activities:

- Identification, and securing, of counterpart contribution and scientific partners
- Identification, and securing, of research vessels
- Determination and fine-tuning of cruise schedule and legs, in collaboration with ASCLME
- Collaboration for identification of local scientists and institutions to benefit from capacity building and research findings of the projects
- Identification of relevant stakeholders and partners, and consultation with main partners (including FAO, ASCLME, SIODFA, IOZ/ZSL)
- Finalization of the project document and the request for CEO approval
- Sensitization of key (government) partners of the proposed MSP (its objectives and expected outcomes) at the ASCLME Programme Coordination meeting (to be convened at Feb 2009).

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

The project needs to secure the ship time of *Nansen* in 2009 during the scheduling meeting which will be organized by FAO in early December. If the project will not be in a position to make a financial commitment to FAO to secure the ship time (35 days) necessary to carry out the project activities (Component 1) in collaboration with the ASCLME project, it will severely jeopardize the achievement of the outcomes of the project in the scheduled timeframe.

See table F for a description of other potential risks associated with the project.

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

Project Preparation Activities Approved	*Implementation Status*	*GEF Amount ($)*				*Co-financing ($)*
		Amount Approved	*Amount Spent To-date*	*Amount Committed*	*Uncommitted Amount* *	
MSP – Int'l Consultants	Completed	16,000	24,000		0	32,000
MSP – Travel	Completed	8,000	1,263		0	
MSP- IUCN overhead/miscel.	Completed	5,000	5,281		0	5,000
Project implem. – Int'l Consultant	Completed	11,000	13,456		0	23,000
Project implem. – Travel	Yet to complete**	10,000		6,000	0	
Total		50,000	44,000	6,000	0	60,000

* Uncommitted amount should be returned to the GEF Trust Fund. Please indicate expected date of refund transaction to Trustee.

** To be completed when the Seamount project is presented at the next ASCLME Project/Programme Steering Committee meeting scheduled on Feb 2009.