



PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: FULL-SIZED PROJECT

TYPE OF TRUST FUND : GEF TRUST FUND

PART I: PROJECT IDENTIFICATION

Project Title:	Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas		
Country(ies):	Indonesia, Philippines, Vietnam	GEF Project ID: ¹	TBD
GEF Agency(ies):	UNDP (select) (select)	GEF Agency Project ID:	4753
Other Executing Partner(s):	Western and Central Pacific Fisheries Commission (WCPFC)	Submission Date:	5 April 2013
		Resubmission Date:	17 April 2013
GEF Focal Area (s):	International Waters	Project Duration (Mos)	48
Name of parent program (if applicable): For SFM/REDD+ <input type="checkbox"/>	Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments	Agency Fee (\$):	206,422 (201,022+5,400)

A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK²:

Focal Area Objectives	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-Financing (\$)
IW-2 (select)	GEFTF	2,233,578	16,156,000
Total Project Cost		2,233,578	16,156,000

B. INDICATIVE PROJECT FRAMEWORK

Project Objective: To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities						
Project Component	Grant Type ³	Expected Outcomes	Expected Outputs	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-Financing (\$)
1. Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the	TA	1.1 Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and Illegal, Unreported and Unregulated (IUU) fishing in the POWP LME and the EAS	1.1.1 Joint WCPFC/ PEMSEA Consultative Forum established for effective collective monitoring of highly migratory stocks and marine ecosystems across the Pacific Ocean Warm Pool Large Marine Ecosystem (POWP LME) and East Asian Seas (EAS) LMEs (South China Sea, Sulu-Celebes	GEFTF	700,000	3,000,000

¹ Project ID number will be assigned by GEFSEC.

² Refer to the reference attached on the Focal Area Results Framework and LDCF/SCCF Framework when filling up the table in item A.

³ TA includes capacity building, and research and development.

management of highly migratory fish stocks		<p>LMEs</p> <p>1.2 Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam, to integrate climate change impacts on highly migratory stocks into management regimes</p> <p>1.3 Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam</p>	<p>Sea, Indonesian Seas)</p> <p>1.2.1 General guidelines on adaptive management and monitoring of highly migratory stocks to address climate change developed</p> <p>1.2.2 Adaptive management guidelines used for regional capacity building, training of national technical fishery staff, policy and decision makers in Indonesia, Philippines and Vietnam</p> <p>1.3.1 Sector policy instruments, such as development and management plans reviewed, and climate- change adaptive management approach incorporated in sectoral policies and plans</p>			
2.Implementation of policy, institutional and fishery management reform	TA	<p>2.1 Enhanced compliance of existing legal instruments at national, regional and international levels</p> <p>2.2 Adoption of market-based approaches to sustainable harvest of tunas</p> <p>2.3.Reduced uncertainty in stock assessment of POWP LME and EAS LMEs highly migratory fish stocks, and improved understanding of associated ecosystems and their biodiversity</p>	<p>2.1.1 WCPF Convention and relevant regional instruments and agreements implemented</p> <p>2.1.2 Fishery sector national reforms implemented in Indonesia, Philippines and Vietnam</p> <p>2.2.1 Tuna fishery supply chains in the EAS analysed</p> <p>2.2.2 Strengthening of capacity in sustainable fishing practices, including certification</p> <p>2.2.3 Requirements for sustainable fishing practices (e.g. MSC certification) collaboratively identified by stakeholders</p> <p>2.3.1 Criteria for monitoring programmes and stock assessments for highly migratory fish stocks and associated ecosystems developed</p> <p>2.3.2 Monitoring of programmes and stock assessments for highly migratory fish stocks and associated ecosystems expanded</p> <p>2.3.3 Monitoring, Control and</p>	GEFTF	1,228,899	11,656,000

		2.4 Ecosystem Approach to Fisheries Management (EAFM) boosted sustainable harvest of the world's oceanic tuna stock and reduced by-catch of seaturtles, sharks and seabirds	Surveillance (MCS) and Vessel Monitoring System (VMS) programmes established 2.4.1 EAFM and associated tuna management plans finalized and implemented in Indonesia, Philippines and Vietnam 2.4.2 EAFM implemented in government departments, fishing industry, ISSF, and other key stockholders for the conservation of tuna stocks and reduction of by-catch			
3. Knowledge sharing on highly migratory fish stocks	TA	3.1 Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems	3.1.1 Sub-regional database established for the West Pacific Ocean and East Asia LMEs consistent with the WCPFC framework 3.1.2 Lessons learned and best practices in oceanic fisheries management in the West Pacific Ocean and East Asia LMEs disseminated using various communication media: technical reports, WCPFC's website, videos, IWLearn, PEMSEA and CTI websites 3.1.3. One percent of IW budget allocated to the regional knowledge platform to support IWLearn activities, including IWLearn project websites, experience notes and IW Conferences	GEFTF	198,318	500,000
Sub-Total					2,127,217	15,156,000
Project management cost ⁴					106,361	1,000,000
Total project costs					2,233,578	16,156,000

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

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
National Governments	Indonesia, Philippines, Vietnam	Grant	300,000
		In-kind	7,500,000
Multilateral Agencies	WCPFC	Grant	100,000
		In-kind	3,200,000
	SPC	In-kind	1,000,000
Bilateral Donors	USA, Australia, Japan, RO Korea	Grant	720,000

⁴ To be calculated as percent of subtotal.

		In-kind	480,000
Private Sector	Tuna industry in Indonesia, Philippines, Vietnam	In-kind	1,200,000
NGO	WWF	In-kind	500,000
GEF Agency	UNDP DDR/CCA; GMMA	Grant	940,000
	UNDP Ocean Governance Programme	In-kind	216,000
Total Co-financing			16,156,000

D. INDICATIVE TRUST FUND RESOURCES (\$) REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF AGENCY	TYPE OF TRUST FUND	FOCAL AREA	Country name/Global	Grant amount (a)	Agency Fee (b) ²	Total c=a+b
UNDP	GEF TF	International Waters	Global	2,233,578	201,022	2,434,600
Total Grant Resources				2,233,578	201,022	2,434,600

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table.

² Indicate fees related to this project.

E. PROJECT PREPARATION GRANT (PPG)⁵

Please check on the appropriate box for PPG as needed for the project according to the GEF Project Grants:

	Amount Requested (\$)	Agency Fee for PPG (\$) ⁶
• No PPG required.		
• (up to) \$50k for projects up to & including \$1 million	_____	_____
• (up to) \$100k for projects up to & including \$3 million	60,000	5,400
• (up to) \$150k for projects up to & including \$6 million	_____	_____
• (up to) \$200k for projects up to & including \$10 million	_____	_____
• (up to) \$300k for projects up to & including \$10 million	_____	_____

PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES) FOR MFA AND/OR MTF PROJECT ONLY

TRUST FUND	GEF AGENCY	FOCAL AREA	Country Name / Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
Total PPG Amount						

MFA: Multi-focal area projects; MTF: Multi-Trust Fund projects.

⁵ On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

⁶ PPG fee percentage follows the percentage of the GEF Project Grant amount requested.

PART II: PROJECT JUSTIFICATION⁷

A. PROJECT OVERVIEW:

A.1. Project Description. Briefly describe the project, including: 1) the global environmental problems, root causes and barriers that need to be addressed; 2) the baseline scenario and any associated baseline projects; 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the projects; 4) incremental cost reasoning and expected contributions from the baseline, the GEFTF, LDCF/SCCF and co-financing; 5) global environmental benefits (GEFTF, NPIF) and adaptation benefits (LDCF/SCCF); 6) innovativeness, sustainability and potential for scaling up

A.1.1) The global environmental problems, root causes and barriers

Eastern Indonesia, Philippines and Vietnam form the western boundary of the Pacific Ocean Warm Pool Large Marine Ecosystem (POWP LME), a globally significant maritime region supporting an ecosystem with biodiversity that is considered among the highest in the world. Oceanic fish stocks which migrate throughout this region provide economic services to the commercial and small-scale fisheries and resource base for livelihoods, food security and economic development opportunities to the region's population. Tuna harvest of over 2.4 million tons from the region is 60% of the global tuna catch in 2010. For the Exclusive Economic Zones (EEZs) of Indonesia, Philippines and Vietnam that are connected with the POWP LME, the tuna catch is approximately 15 per cent of the global tuna catch. This is also considered of global and regional significance. The POWP LME is connected to the East Asian Seas (EAS) LME through the Indonesian through-flow and associated currents connecting the Western Pacific to the South China Sea, Sulu-Celebes Sea and the Indonesia Seas. The oceanography of the area is complex and subject to strong monsoonal influences. Highly migratory fish stocks regularly move between the POWPLME and these East Asian LMEs though these movements are not well understood. In addition, two pockets of High Seas border Indonesia and the Philippines EEZs where the former has been closed to some tuna fishing and little data exist about the latter.

Tuna are a highly migratory fishes, complicated by their migratory nature and the many nations and regions involved. Its effective conservation and management requires special cooperation among nations, either directly or through international organizations as Article 64 of the United Nations Convention on the Law of the Sea (UNCLOS) underscored the importance of multilateral cooperation for the long term and sustainable management of the region's marine resources and the protection and conservation of its ecosystem. Studies have shown that the sustainability of harvests of shared tuna stocks in East Asia is threatened by: 1)unreliable database that undermines management decisions; 2) limited information sharing across East Asia and the Pacific; 3) over-exploitation due to inadequate multilateral cooperation on conservation and management of the highly migratory fish; and 4) illegal, unreported and unregulated (IUU) fishing. These threats are exacerbated by climate change that causes changes in ocean regimes, strengthening of the El Niño-Southern Oscillation (ENSO) phenomenon, and ocean acidification. According to an FAO review of studies on the impacts of climate change, changes in marine and aquatic systems related to temperature, winds and acidification can be predicted with a high degree of confidence⁸. One of the significant changes expected to occur is ocean warming. Global warming would cause marine species moving toward the poles, expanding the range of warmer-water species and contracting that of colder water species. Climate change alters the geographic distribution of fish populations that may lead to a maximum 42 per cent drop of potential catch in the tropical Pacific.

An analysis of East Asian Economic Exclusive Zone (EEZ) regions showed that Indonesia will potentially have the highest loss in fish catch as a result of climate change⁹. These changes are exacerbated by acidification-

⁷ Part II should not be longer than 5 pages.

⁸ Kevern Cochrane, Cassandra De Young, Doris Soto and Tarûb Bahri. 'Climate change implications for fisheries and aquaculture', FAO Fisheries and Aquaculture Technical Paper No. 530, 2009. Available at: <http://www.fao.org>

⁹ Cheung, W.L., Lam, V., Sarmiento, J., Kearney, K., Watson, R., Zeller, D. and Pauly, D. (2009) Large-scale redistribution of maximum fisheries catch potential in the global ocean under climate change. *Global Change Biology*.

driven population shifts, caused by changes in chemical speciation and biogeochemical cycles with long-term implications for food webs and marine ecosystems¹⁰. Marine capture fisheries are already threatened by overfishing, habitat loss and weak management, and are thus poorly positioned to cope with problems stemming from climate change, such as increased uncertainty of fish availability and location of fish schools. The increased variability of the already complex fisheries in the West Pacific and East Asian Seas will require trans-boundary flexible measures based on a better understanding of climate induced stock changes, supported by adaptive management strategies, regular monitoring and assessment. For the Western Pacific, a comprehensive study on the impacts of climate change has been undertaken by SPC¹¹ but such study has yet to be done for the EAS.

A.1.2 the baseline scenario and any associated baseline

The proposed Project will build on the *West Pacific East Asia Fisheries Management Project* (WPEA). WPEA, a UNDP-GEF medium-size project, aimed at building capacity in Indonesia, the Philippines and Vietnam to engage in regional initiatives to conserve and manage fisheries for highly migratory fish stocks. It was successfully implemented by the WCPFC and field activities were completed end of 2012. The independent terminal evaluation¹² recognized the remarkable progress made by the project in moving towards its outcomes, especially towards:

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

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

As a result of the MSP, the three participating countries have now invested in national capacities towards regular oceanic fishery monitoring and assessment. The three countries are also in various stages of completing their respective national tuna management plans that will be implemented in this proposed project. The cost of their continuing investments plus the cost of further support to the proposed project is estimated at \$2.6 million each (total \$7.8 million), including grant support of up to \$100,000 per country. Co-financing from each country (\$2.5 million) will support to several emerging activities arising from the WPEA OFM Project, including development of specific guidelines on adaptive management and monitoring of highly migratory tuna stocks against the impact of climate change, national reform for the strengthening of capacity in sustainable fishing practices, and enhancing the capacity of technical staff in the country to integrate the impacts of climate change on fisheries.

WCPFC was established to implement the Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (WCPF Convention). Since its inception in 2004, WCPFC has already invested over a million US dollar on governance and monitoring gap in the EAS. It will continue the investment in this proposed project to sustain the gains of the MSP with in-kind support of up to \$3.2 million and grant of \$100,000. In addition to these resources will be additional leveraging that WCPFC

¹⁰ Doney, S.C., Fabry, V.J., Feely, R.A., Kleypas, J.A. Ocean Acidification: The Other CO₂ Problem. *Annu. Rev. Marine. Sci.* 2009. 1:169-192.

¹¹ Bell JD, Johnson JE and Hobday AJ (2011) Vulnerability of tropical fisheries and aquaculture to climate change. SPC, Noumea, New Caledonia

¹² The terminal evaluation was conducted by Robert Gillett of Gillett, Preston and Associates of Suva, Fiji. A copy of the terminal will be posted in due time.

will continue to undertake as it has done successfully in the completed MSP to intensify activities in the three countries. Such will be reported in the course of project implementation.

The Project will have access to a strong regional and national baseline data on oceanic fisheries in the South Pacific Ocean through the Secretariat of the Pacific Community (SPC). The data will come from the activities of SPC's scientific (SC) and technical and compliance (TCC) committees, which are being supported by WCPFC member states (CMMs), such as Australia, China, USA, Japan, Chinese Taipei and Republic of Korea Korea. The South East Asian Fishery Development Centre (SEAFDEC) will also be a source of data. SEAFDEC also coordinates the collection of information in EAS focused on coastal tuna resources. The total regional data collection baseline is valued at several million dollars. Moreover, the project will link to the Philippines, Indonesia and Vietnam national monitoring programs. Although the available data is limited and deficient, there have been efforts and commitments to improve data collection and management. There is awareness among the WCPF/EAS member countries that inconsistent data and inadequate information sharing across East Asia and the Pacific and the limited involvement of the tuna industry in monitoring activity could threaten the sustainability of harvests of shared stocks.

The project will also build on the ongoing work by the private sector which is a key partner in the tuna industry, not only in the three countries but anywhere globally. The work of the private sector includes cooperation with implementation of various project activities through submission of tuna catch data, participation in various meetings and workshops hosted by the project, and involvement in the review process of the various meeting documents and consultancy reports.

Interested NGOs such as WWF will also participate in the project activities through sharing financial support and expertise. According to the requests from the EU market and the US, WWF in Vietnam for example, is currently planning to focus on developing MSC certification process with the Vietnam Tuna Association (VINATUNA). The WWF-Vietnam and VINATUNA will develop an Action Plan for Fishery Improvement Project, which include stock assessment and management, ecosystem status and management and governance and fisheries specific management as three key principal areas. The WWF-Vietnam's current target coincides with the Output 2.2 (Adoption of market-based approaches to sustainable harvest of tunas) of this Project and cross collaboration with WWF-Vietnam is highly anticipated.

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

A.1.3) The proposed alternative scenario, with a brief description of expected outcomes and components of the project and; A.1.4) Incremental cost reasoning and expected contributions from the baseline, the GEFTE, LDCF/SCCF and co-financing:

The proposed Project will address the main threats and barriers to sustainable fisheries management of highly migratory species in the East Asian LMEs. These threats are: 1) incomplete participation in the recently established governance framework for oceanic tuna resources in the region, the Western and Central Pacific Commission (WCPFC); 2) inadequate scientific knowledge about oceanic ecosystems and their relationship with fisheries resources; and 3) the pending climate change-driven shifts in fisheries catch by area. The proposed project aims at making significant contributions in raising awareness of decision-makers, the fishing industry and the general public about sustainable oceanic fisheries management and marine biodiversity. It will also augment current efforts in developing a robust conservation and management measures for oceanic resources and marine biodiversity in coastal and oceanic waters of the EAS.

The Project intends to strengthen national capacities and regional cooperation to implement fishery sector reforms that will sustain and conserve the highly migratory fish stocks in the West Pacific Ocean and East Asia LMEs while considering climatic variability and change. It will 1) build the capacity of Philippines, Indonesia and Vietnam to mainstream climate change impacts into their national fisheries institutions and policies; 2) strengthen regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks; 3) use an ecosystems approach to management of shared target and non-target oceanic stocks, 4) strengthen national and regional monitoring, regulation and control; 5) contribute to the implementation of the SDS-SEA; and 6) link its activities to the work of the Commission. The WCPFC will establish a Consultative Forum to coordinate monitoring of highly migratory stocks across POWLME and SEA LMEs.

Components

The three interlinked components of the Project are described below.

Component 1: Regional governance for building regional national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory fish stocks. This component will strengthen the regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks, and Illegal, Unreported and Unregulated (IUU) fishing in the POWLME and the SEA LMEs. Component activities will include: 1) the establishment of a WCPFC Consultative Forum to effectively coordinate monitoring of highly migratory stocks across POWLME and EAS LMEs; 2) building the capacity of national technical staff, policy and decision makers to identify and develop action plans to address climate change threats to highly migratory stocks; and 3) increase the participating countries' capacity to mainstream climate change into their national fishery sector policies and institutions.

Component 2: Implementation of policy, institutional and fishery management reforms. The objectives of the component are to: 1) enforce compliance with existing national, regional and international legal instruments for the management of highly migratory fish stocks; 2) implement EAFM and associated tuna management plans in Indonesia, Philippines and Vietnam; and 3) enhance adaptive management of shared stocks by improving and expanding monitoring programs and stock assessments for highly migratory fish stocks and associated ecosystems in the EAS LMEs and the western part of the POWP LME. It will also partner with the private sector (e.g. consumers, tuna industry) to promote market-based approaches to sustainable harvesting of shared tuna stocks. Analyses of the fishery sector's supply chains for East Asian oceanic tuna will be undertaken parallel to identification of incentives for sustainable fishing practices (e.g. MSC certification). In addition to partnerships with the private sector, the Project will collaborate with the International Seafood Sustainability Association (ISSF) - a recently established global partnership among leaders in science, the tuna industry and the World Wildlife Fund (WWF).

Component 3: Knowledge sharing on highly migratory fish stocks. The third component will 1) establish a Regional Knowledge Platform that will include a sub-regional database for the West Pacific Ocean and East Asian LMEs within the overall WCPFC framework; 2) disseminate lessons learned and best practices in oceanic fisheries management in the West Pacific Ocean and East Asia LMEs using multi-media (e.g., technical reports, WCPFC's website, videos, IWLearn, PEMSEA and CTI websites); and 3) contribute to global knowledge sharing on management of highly migratory fish stocks through IWLearn activities, including IWLearn project websites, experience notes and IW Conferences.

Global environmental benefits from the Project will be achieved as a result of 1) strengthened international cooperation on priority trans-boundary concerns related to the conservation and management of highly migratory fish stocks in the West Pacific Ocean and East Asian Seas that are within the jurisdictions of the Philippines, Indonesia and Vietnam; 2) integration of issues on emerging climate change impacts on oceanic fisheries into national and regional policy and institutional frameworks and the regional management regime; 3) reduction of by-catch of critically endangered species (e.g. sea turtles, sharks and seabirds) by enhanced sustainable management and harvesting of target species thus, improving the overall health and integrity of the marine ecosystem; 4) evidenced-based information available to decision making for reforms related to economic, financial, regulatory and institutional to strengthen national and regional fisheries management. The

reforms will be initiatives of the Philippines, Indonesia and Vietnam governments with participation from key players (e.g. national and international institutions, non-government institutions, private sector). The reforms will contribute to the development of a comprehensive management framework for the East Asian oceanic tuna fishery.

A.1.4) Global environmental benefits (GEFTF, NPIF) and adaptation benefits (LDCF/SCCF)

Oceanic fisheries make significant contributions to employment, nutrition and trade. The stagnation or decline of capture fishery production in many parts of the world underscores the importance of protecting and sustaining the highly migratory fish stocks in the West Pacific and East Asian seas for global food security, employment and trade. The migratory fish stocks in the region have been the source of most of the growth in employment and trade in the fisheries sector in Asia. It has been shown that international trade in fisheries products have a positive effect on food security in many countries.

Moreover, the fishery sector provides income to millions of women in East Asia. They are important players in the fish supply chain. They are mostly in fish processing and marketing. The Project will ensure the participation of women in all its activities and will target at the minimum, 30 percent women participation in the national, regional and international capacity building activities. It will, to the extent possible, provide equal access to and benefits from the Project resources to both men and women. The project will undertake gender disaggregated monitoring of its activities, outputs and impacts

A.2 Stakeholders. Identify key stakeholders (including civil society organizations, indigenous people, gender groups, and others as relevant) and describe how they will be engaged in project preparation:

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

A.3 Risk. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

Risk	<u>Rating</u>	Risk Mitigation Measures
Changes in policy and decision makers lead to changes in support for the Project objective of implementing fishery sector reforms that will sustain and conserve the highly migratory fish stocks in the EAS.	Low	The Project is in line with agreed strategies and strategic action programmes at regional, sub-regional and national levels and is thus strongly anchored in existing policies. Strong stakeholder participation in the project will further reinforce support from policy and decision makers at all levels.
Financial sustainability of project activities are threatened by inadequate allocation of funding by governments.	Low	Project objectives will be mainstreamed into national institutions and policies relevant to oceanic fisheries, leading to sector budget allocations to the monitoring, assessment and reform of management regimes for highly migratory fish stocks

Impacts of climate change and variability undermines the sustainability of current levels of fishing effort by adversely impacting biological processes, such as recruitment and vulnerability to fishing	Medium	The project will introduce adaptive management of stocks through training of key technical staff, and enhance the awareness of policy and decision makers of climate change threats to highly migratory stocks.
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A.4. Coordination. Outline the coordination with other relevant GEF financed and other initiatives:

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

The Project will also coordinate its efforts with FAO's global Programme on Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas Beyond National Jurisdiction (ABNJ) that has tuna management as one of its main components. The FAO Programme is exclusively focusing on ABNJ, while this Project is focusing on EEZs in the EAS relevant to the management of highly migratory tuna stocks. The WCPFC will ensure that thematic linkages are established and that valuable experiences and lessons learned are exchanged.

Through PEMSEA, an independent regional mechanism mandated for the implementation of the SDS-SEA, the Project will coordinate its activities with the East Asian LME initiatives of relevance, including:

- The UNEP/GEF Project, Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand funded by GEF-3 and implemented by UNEP in partnership with seven riparian states bordering the South China Sea.
- The UNDP/GEF Sulu-Celebes Sustainable Fisheries Management Project with participation of Indonesia, Malaysia and the Philippines. Expected outcomes of the project include: strengthening of institutions and introduction of reforms to catalyse implementation of policies on reducing overfishing and improving fisheries management; increased fish stocks of small pelagics through the implementation of best fisheries management practices in demonstration sites; and capture, application and dissemination of knowledge, lessons and best practices.
- The UNDP/GEF project Arafura and Timor Seas Ecosystem Action Programme. This ecosystem is located at the intersection of the two major LMEs, the Indonesian Seas to the north and northern Australian waters to the south. Indonesia, Timor Leste and Australia are the participating countries in the project. The objective of the project is to ensure integrated, cooperative, sustainable, ecosystem-based management of the living coastal and marine resources in the Arafura and Timor Seas, through the formulation, intergovernmental adoption and initial implementation of a regional Strategic Action Programme.

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

initiatives in the East Asian Seas and the CTI that is targeting the management of highly migratory oceanic fish stocks.

B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

B.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NCSAs, NIPs, PRSPs, NPFE, Biennial Update Report, etc.:

At the national level, the Project will address priorities and plans for research, conservation and management of fisheries in **Indonesia**, supported by its National Commission on Fish Stock Research. The Research Commission was established by the Indonesian Government Law No. 31/2004. The Commission provides advice on the status of fisheries resources to the Minister of Marine Affairs and Fisheries, the Coordinating Forum on Fisheries Resource Management and Utilization, coordinated by the Directorate General of Capture Fisheries and the Ministry's Control and Monitoring of Marine and Fisheries Resources Program. In the **Philippines**, the project will draw on the 1997 National Biodiversity Strategic Action Plan, the 2005 Philippine Report of the Biodiversity Indicators for National Use; the proposed Sustainable Archipelagic Framework, drafted in 2004 and the National Tuna Management Plan which describes policy for management of highly migratory fish stocks. The policy environment for the Project in **Vietnam** will be framed based upon the provisions of the 2003 Fisheries Bill and the Strategy for Offshore Fishing.

At the regional level, the Project is consistent with the Western and Central Pacific Ocean (WCPO) Convention on conservation and sustainable use of highly migratory fish stocks in the western and central Pacific Ocean. The WCPFC has already been ratified by the Philippines. Negotiations are ongoing with Vietnam and Indonesia. The project will also facilitate increased compliance with a range of conservation and management measures implemented by the WCPFC. The Project is also consistent with the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA). The SDS-SEA provides an overarching framework for sustainable development of the EAS that aims to ensure the sustainable use of coastal and marine resources. In addition, the Project will contribute to the implementation of the Regional Plan of Action for the CTI. It will in particular contribute to proposed activities on tuna stock and catch assessments, establishment of national tuna management plans and cooperation on measures to address IUU fishing.

B.2 GEF focal area and/or fund(s) strategies, eligibility criteria and priorities:

The Project will ensure full participation in, and compliance with WCPFC activities. It will establish a WCPFC Consultative Forum to coordinate monitoring of highly migratory stocks across POWP LME and EAS LMEs. This will strengthen the regional collaborative institutional mechanisms for highly migratory fish stocks. This may involve China and Timor Leste, in addition to the three focal countries. Climate change impacts on ocean temperature, circulation and acidification will be mainstreamed into the inter-regional and national fisheries management regimes, reflecting the ecosystem linkages between the Pacific Ocean and the East Asian LMEs.

The Project is consistent with IW Objective 2, to catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and large marine ecosystems while considering climate variability and change. It will contribute to *IW Outcome 2.1: Implementation of agreed Strategic Action Programs incorporates ecosystem-based approaches to management of LMEs. ICM principles, and policy-legal/institutional reforms into national/local plans*, through Component 1 on Strengthened regional governance and national adaptive capacity in management of highly migratory fish stocks moving amongst the POWPLME and East Asian LMEs. This component will lead to enhanced capacity of key stakeholders to make policy reforms to integrate climate change impacts on highly migratory stocks into management regimes, and mainstream climate change concerns into the national fishery sector in Indonesia, Philippines and Vietnam. . Component 2, Implementation of policy, institutional and fishery management reform will support the implementation of the WCPF Convention for sustainable management of highly migratory fish stocks that are within the waters of the Philippines, Indonesia and Vietnam.

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

The Project will also contribute to *IW Outcome 2.3: Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measurable results* through Component 2. This component will pursue the adoption of market-based approaches to sustainable harvesting of tuna, establishment of Monitoring, Control and Surveillance (MCS) programs, and implementation of EAFM Plans in each country. Hence, the Project will contribute to the sustainable management of 15 per cent of the world's oceanic tuna stocks that migrate into the East Asian LMEs.

B.3 The GEF agency's comparative advantage to implement this project:

UNDP has the comparative advantage to implement the Project. Its Water Governance Strategy includes as one of its three Strategic Priorities Regional and Global Cooperation an enhanced regional and global cooperation, peace, security and socio-economic development. This is achieved through adaptive governance of shared water and marine resources, assist countries develop and implement multi-country cooperative agreements on trans-boundary water concerns, governance reforms, investments, legal frameworks, institutions and strategic action programs.

In managing its LME and trans-boundary fisheries programs, UNDP's Ocean Governance Programme draws from a wide range of staff expertise in marine ecosystems, fisheries and marine/coastal resources management from its Headquarters (HQ), Regional Centers, and through its network of Country Offices. HQ and regional senior advisors have relevant PhDs in fisheries economics, marine biology, environmental management and policy, marine resource economics, etc.

UNDP's cumulative LME portfolio in 11 different LMEs in all 5 UNDP regions covering over 100 countries represents \$528 million total financing from GEF, UNDP, governments, donor partners and others. This represents the largest investment in advancing the sustainable, integrated, ecosystem-based management of LMEs. The globally identified LMEs is the source of over 85% of the world's fish harvest, contributing \$12.6 trillion/year in goods and services to the global economy, and provide livelihoods for nearly half a billion people in the world's poorest countries.

UNDP's Strategic Plan for 2008-2013 includes Managing Energy and the Environment for Sustainable Development (Goal 4). One of the expected outcomes from this project is strengthened national capacities to mainstream environment and energy concerns into national development plans and implementation systems. UNDP has taken further internal steps to operationalize mainstreaming elements of the Strategic Plan at a subsidiary level through its Water Governance Strategy, endorsed by the UNDP Management Group in 2007. The Water Governance Strategy includes as one of its three Strategic Priorities Regional and Global Cooperation an enhanced regional and global cooperation, peace, security and socio-economic development. This will be achieved through adaptive governance of shared water and marine resources; assist countries develop and implement multi-country cooperative agreements on trans-boundary water priority concerns, governance reforms, investments, legal frameworks, institutions and strategic action programmes.

In terms of implementing GEF IW projects, UNDP has consistently delivered results through a broad range of international trans-boundary water interventions including the high-level adoption of 17 SAPs (8 in LMEs), eight of which are currently being implemented. In addition to providing technical, financial and capacity building support for the establishment of the world's first post UN Fish Stocks conservation and management organization for highly migratory fish stocks, the Western and Central Pacific Fisheries Commission (WCPFC),

UNDP has strengthened or established 20 multi-country marine/coastal, river and lake basin management agencies or commissions. These include the world's first two LME commissions, the Benguela Current and Guinea Current LME Commissions. UNDP builds on its extensive field presence in the EAS countries. In addition, the Project will be directly supported by an experienced UNDP Regional Technical Advisor based in the region and by the UNDP Principal Technical Advisor at UNDP Headquarters with responsibility for global oversight of the UNDP Ocean Governance Program. Lastly, this Project will also support the UNDAFs of Indonesia, the Philippines and Vietnam.

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

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

NAME	POSITION	MINISTRY	DATE (MM/DD/YYYY)
Mr. Dana A. KARTAKUSUMA	Special Advisor to the Minister on Economic and Sustainable Development Affairs	Ministry of Environment, Indonesia	April 2, 2013
Ms. Analiza REBUELTA-TEH	Undersecretary	Department of Environment and Natural Resources, Philippines	January 15, 2013
Dr. Van Tai NGUYEN	Director General, Institute for Strategic Policy of Natural Resources and Environment	Ministry of Natural Resources and Environment, Vietnam	January 7, 2013

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF policies and procedures and meets the GEF/LDCF/SCCF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	Date	Project Contact Person	Telephone	Email Address
Adriana Dinu		5 April 2013	Jose Erez Padilla	+662 304 9100 ext 2730	jose.padilla@undp.org