



PROJECT DOCUMENT

**Governments of Cook Islands, Federated States of Micronesia, Fiji,
Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa,
Solomon Islands, Tonga, Tuvalu, Vanuatu**

United Nations Development Programme
Food and Agriculture Organization of the United Nations
Pacific Islands Forum Fisheries Agency

Title:

**Implementation of Global and Regional Oceanic Fisheries Conventions and
Related Instruments in the Pacific Small Island Developing States
(also referred to as PIOFMP-II)**

To support Pacific SIDS in meeting their obligations to implement and effectively enforce global, regional and sub-regional arrangements for the conservation and management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries.

TABLE OF CONTENTS

LIST OF ACRONYMS	4
1. SITUATION ANALYSIS	6
1.1 GLOBAL SIGNIFICANCE.....	6
1.1.1 The Importance of the Waters and Their Management.....	6
1.1.2 The Western Tropical Pacific Warm Pool Large Marine Ecosystem	7
1.2 MAJOR AREAS OF CONCERN.....	8
1.2.1 Impact on Target Transboundary Oceanic Fish Stocks	9
1.2.2 Impact on Other Fish Species	11
1.2.3 Impact on Other Species of Interest (Including Marine Mammals, Seabirds and Turtles)..	12
1.2.4 Impact on Foodwebs	13
1.2.5 Other Impacts on Biodiversity	15
1.2.6 Concerns, Threats, Opportunities and the Proposed Response.....	15
1.3 LEGAL, INSTITUTIONAL, POLICY AND SOCIO-ECONOMIC LANDSCAPE	20
1.3.1 Legal	20
1.3.2 Institutional	21
1.3.3 Policy	23
1.3.4 Socio-Economic and Financial	26
1.4 PACIFIC ISLANDS OCEANIC FISHERIES MANAGEMENT PROJECT-I:.....	28
1.5 BASELINE PROGRAMMES	29
2. STRATEGY.....	34
2.1 PROJECT RATIONALE.....	34
2.2 POLICY CONFORMITY	34
2.2.1 Conformity with GEF Policy and Objectives	34
2.2.2 Conformity with FAO and UNDP policy	36
2.2.3 Conformity with Pacific SIDS Policy and Objectives	37
2.3 DESIGN PRINCIPLES AND STRATEGIC CONSIDERATIONS	38
2.4 INCREMENTAL REASONING	39
2.5 PROJECT GLOBAL ENVIRONMENTAL BENEFITS AND OBJECTIVE	41
2.6 PROJECT COMPONENTS, OUTCOMES, AND OUTPUTS	42
Component 1: Regional Actions for Ecosystem-Based Management	42
Component 2: Sub-regional Actions for Ecosystem- Based Management	46
Component 3: National Actions for Ecosystem-Based Management.....	48
Component 4: Stakeholder Participation and Knowledge Management	52
Component 5: Project Management.....	54
3. PROJECT RESULTS FRAMEWORK:	55
4. FINANCING AND WORKPLAN	68
4.1 FINANCING.....	68
4.1.1 Summary Budget	68
4.1.2 FAO/UNDP Split.....	68
4.1.3 Consolidated Total Budget (UNDP Format)	69
4.1.4 UNDP Budget	72

4.1.5 Budget Notes on UNDP Budget	73
4.1.6 FAO Budget.....	75
4.1.7 Co-Financing Summary	76
4.1.8 Workplan.....	77
4.2 FINANCIAL MANAGEMENT AND REPORTING ON GEF RESOURCES (FAO)	81
4.3 PROCUREMENT.....	82
5. SUSTAINABILITY OF RESULTS	83
5.1 SOCIAL SUSTAINABILITY	83
5.2 ENVIRONMENTAL SUSTAINABILITY	83
5.3 FINANCIAL AND ECONOMIC SUSTAINABILITY	83
5.4 SUSTAINABILITY OF CAPACITIES DEVELOPED	84
5.5 APPROPRIATENESS OF TECHNOLOGIES INTRODUCED.....	84
5.6 REPLICABILITY AND SCALING UP	84
6. MANAGEMENT ARRANGEMENTS.....	86
6.1 INSTITUTIONAL ARRANGEMENTS	86
6.2 IMPLEMENTATION ARRANGEMENTS	87
6.3 EXECUTING ARRANGEMENTS.....	89
6.3.1 Relationships Between Executing Agencies.....	89
6.3.2 Internal FAO Implementation Arrangements:	91
6.3.3 Internal UNDP Implementation Arrangements:	93
6.4 PROJECT MANAGEMENT & COORDINATION	93
6.4.1 Project Management Unit (PMU).....	94
6.4.2 Chief Technical Advisor/Project Coordinator	95
6.4.3 Regional Steering Committee (RSC).....	96
6.4.4 National Level Project Management and Coordination.....	97
6.4.5 National Focal Point (NFP).....	98
6.4.6 National Consultative Committee (NCC).....	98
6.5 RELATIONSHIP TO OTHER PROGRAMMES, PROJECTS AND ACTION PLANS	98
6.6 COMMUNICATION AND VISIBILITY	100
7. MONITORING AND EVALUATION FRAMEWORK	101
7.1 MONITORING FRAMEWORK.....	101
7.1.1 Project start	101
7.1.2 Annual Work Plan and Budget.	101
7.1.3 Regular Progress Reporting	102
7.1.4 RSC Review.....	102
7.1.5 Periodic Monitoring Through Site Visits.....	102
7.1.6 Technical Reports.	102
7.2 EVALUATION FRAMEWORK.....	103
7.2.1 Mid-term Evaluation.....	103
7.2.2 End of Project:	103
7.3 MONITORING AND EVALUATION WORKPLAN AND BUDGET	104
7.4 LEARNING AND KNOWLEDGE SHARING	105
8. LEGAL CONTEXT.....	106

LIST OF ACRONYMS

APR	Annual Project Review
APRC	Asia Pacific Regional Center (UNDP)
AWP/B	Annual Work Plan and Budget
BH	(FAO) Budget holder
CC	Climate change
CROP	Council of Regional Organisations of the Pacific
CROP MSWG	CROP Marine Sector Working Group
CMMs	Conservation and Management Measures
EA	Executing Agency
ENGO	Environmental Non-Governmental Organisation
EEZ	Exclusive Economic Zone
FAD	Fish Aggregation Device
FAO	Food and Agriculture Organization of the United Nations
FAO SAP	Sub-regional Office for the Pacific Islands of the Food and Agriculture Organization of the United Nations
FFA	Pacific Islands Forum Fisheries Agency
FFC	Forum Fisheries Committee
FSM	Federated States of Micronesia
FTAC	(MSG) Fisheries Technical Advisory Committee
GEF	Global Environment Facility
GEF IWLearn	A programme that promotes experience sharing and learning among GEF International Waters projects
HSBI	High Seas Boarding & Inspection
IA	Implementing Agency
IMS	Information Management System
INGO	Industry Non-Governmental Organisation
IS	Information System
IW	International Waters
IW SAP	International Waters Strategic Action Program
IUU	Illegal, unreported, unregulated
LOA	Letter of Agreement
LTO	(FAO) Lead Technical Officer
M & E	Monitoring & Evaluation
MCS	Monitoring, Control and Surveillance
MDGs	Millennium Development Goals
MOU	Memorandum of Understanding
MSC	Marine Stewardship Council
MSG	Melanesian Spearhead Group
NCC	National Consultative Committee
NFP	National Focal Point
NGO	Non-Governmental Organisation
NPOA	National Plan of Action
NPOA-IUU	National Plan of Action (NPOA) to prevent, deter and eliminate illegal, unregulated and unreported (IUU) fishing
PIOFMP	Pacific Islands Oceanic Fisheries Management Project
PIOFMP II	This Project referred to as the Second Phase of PIOFMP
PITIA	Pacific Islands Tuna Industry Association
PMU	Project Management Unit
PNG	Papua New Guinea
PNA	Parties to the Nauru Agreement

PIR	Project Implementation Review
PPR	Project Progress Report
QPR	Quarterly Progress Report
RFMOs	Regional Fishery Management Organisations
Rio+20	United Nations Conference on Sustainable Development, Rio de Janeiro, Brazil, June 2012
RSC	Regional Steering Committee
SAP	Strategic Action Program (see also IW SAP)
SC-SPTBF	FFC Sub-Committee on South Pacific Tunas and Billfish Fishery
SEAPODYM	Spatial Ecosystems and Population Dynamics Model
SIDS	Small Island Developing States
SPC	Secretariat for the Pacific Community
SPC/OFP	Secretariat of the Pacific Community Oceanic Fisheries Programme
SPREP	Secretariat for the Pacific Regional Environment Programme
SOPAC	Secretariat of the Pacific Community Applied Geosciences and Technical Division
TCC	Technical and Compliance Committee (WCPFC)
TDA	Transboundary Diagnostic Analysis
TORs	Terms of Reference
TVM	Te Vaka Moana
UNDAF	United Nations Assistance Development Framework
UNDP	United Nations Development Programme
VDS	Vessel Day Scheme
VMS	Vessel Monitoring System
WCPFC	Western and Central Pacific Fisheries Convention
WCPO	Western and Central Pacific Ocean
WSSD JPOI	World Summit on Sustainable Development - Johannesburg Plan of Implementation
WTPWP LME	Western Tropical Pacific Warm Pool Large Marine Ecosystem
WWF Pacific	World Wildlife Fund – Pacific Programme

1. SITUATION ANALYSIS

1.1 GLOBAL SIGNIFICANCE

1.1.1 The Importance of the Waters and Their Management

The waters of the Pacific Islands region cover an area of around 40 million square kilometres, or around 8 per cent of the Earth's surface and equivalent to about 30% of the area of the Earth's land surfaces. As shown in Figure 1, most of this area falls within the national jurisdiction of 14 Pacific SIDS¹, so that they are custodians of a significant part of the surface of the Earth and, in particular, custodians of a large part of one of the Earth's major international waters ecosystems. These waters at the same time divide Pacific Island communities across huge distances and unite them by substantial dependence on a shared marine environment and shared marine resources.

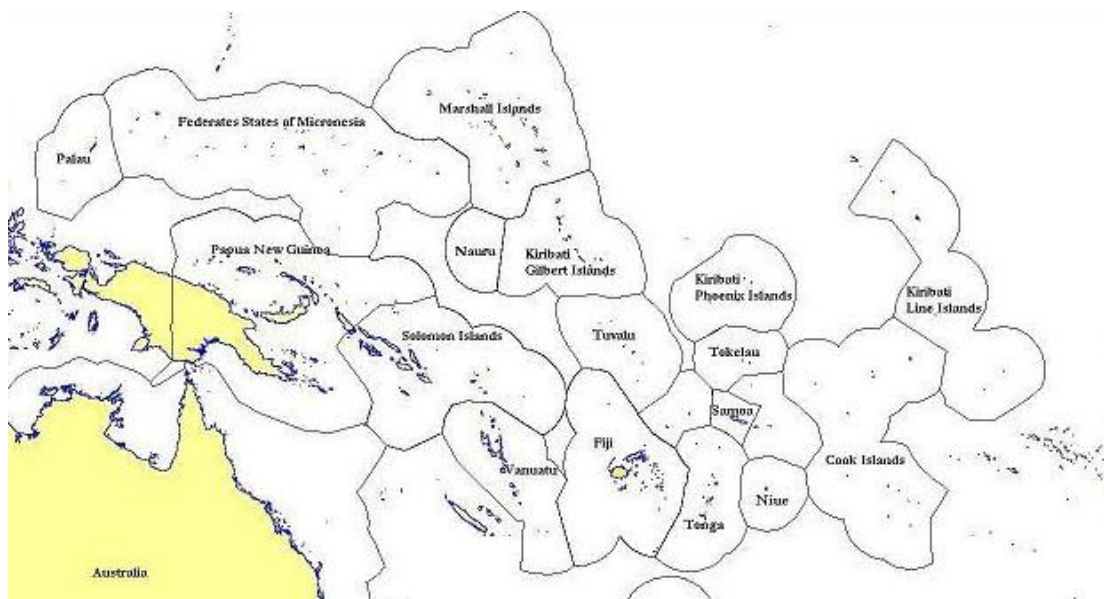


Figure 1. The Pacific Islands region showing Pacific SIDS Exclusive Economic Zones.

The waters hold the world's largest stocks of tuna and related pelagic species. The waters of the Pacific Islands region provide around a third of the world's catches of tuna and related species, and over half of the world's supplies for canned tuna – and the broader Western and Central Pacific Ocean (WCPO) region, including those parts of Indonesia and Philippines in the Pacific Ocean, provides over half of the world's catches of the major species of tuna – over 2 million tonnes annually.

The waters of the region also contain globally important stocks of sharks, billfish and other large pelagic species, whales and other marine mammals and turtles. The conservation of these globally

¹ For the purpose of this project, the Pacific SIDS are Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu.

important transboundary fish stocks, and the protection of the associated transboundary non-target species, especially of sharks, seabirds and sea turtles, while considering climatic variability and change, constitutes the global environmental benefit for this project.

1.1.2 The Western Tropical Pacific Warm Pool Large Marine Ecosystem

The Western Tropical Pacific Warm Pool Large Marine Ecosystem (WTPWP LME) provides approximately 90% of the catch of tunas and other pelagic species in the WCPFC Convention Area. As shown in the map below, it covers a wide area of the Pacific Ocean, lying to the west of the strong divergent equatorial upwelling in the central equatorial Pacific known as the "cold tongue" and between the sub-tropical gyres in the North and South Pacific. The key physical and biological characteristics of the WTP LME are:

- sea-surface temperatures of 28.5 degrees C or greater;
- a relatively deep surface mixed layer, with the Sea Surface Temperature minus 0.5 degree C isotherm typically 100-150 metres depth;
- relatively low salinity (<34.5 ppt) with a very well defined salinity front on the eastern boundary with the cold tongue;
- relatively low primary productivity compared to the cold tongue, but with important El Niño related interannual variability;
- westward-flowing surface currents that infuse primary production from the cold tongue;
- relatively high secondary production characterised by zooplankton and micronekton species with high turnover and metabolic rates due to the warm-temperature environment, which in turn supports a complex pelagic ecosystem ranging from zooplankton and micronekton to large apex predators such as tunas, billfishes and sharks.

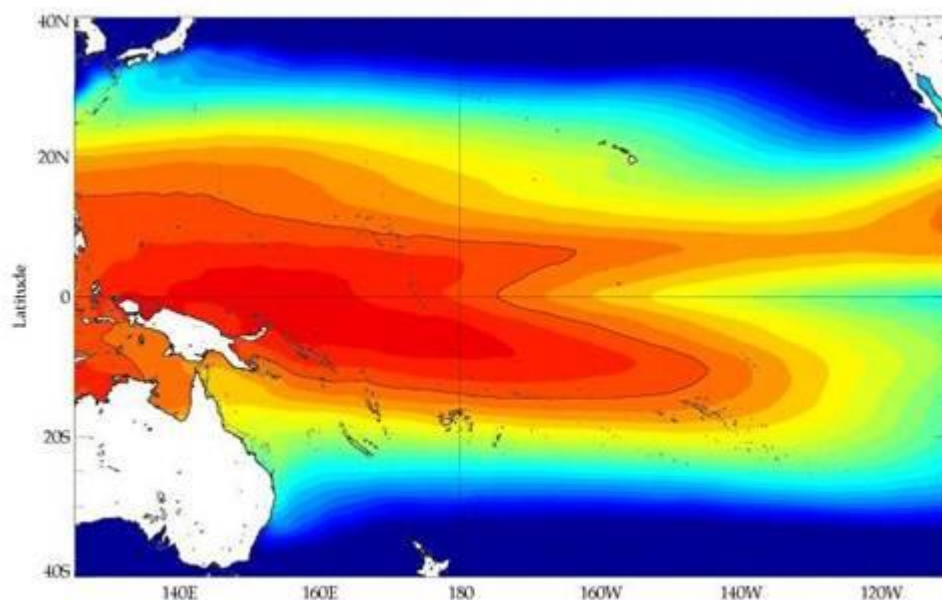


Figure 2. Long-term average sea surface temperature (SST) in the Pacific Ocean. The black line denotes the area of the Western Pacific Warm Pool, with a mean SST of $>28.5^{\circ}\text{C}$.

1.2 MAJOR AREAS OF CONCERN

Sustainable use of the transboundary oceanic fish stocks of the Pacific Islands region is for most Pacific SIDS the most important potential contributor to their sustainable development. For some SIDS, sustainable fisheries for these stocks may provide virtually the only prospect for the levels of sustainable development to which they aspire. These stocks are transboundary and globally important food stocks, and the fisheries for them affect the globally important stocks of other non-target species in these waters, especially sharks, seabirds and turtles. For this reason, GEF, UNDP and Pacific SIDS have placed the sustainable use of these stocks as a core element in their longer term relationship.

When this GEF/UNDP/Pacific SIDS partnership on transboundary oceanic stocks began in the mid 1990's, two key concerns were identified in relation to these stocks and the ecosystem of which they are part:

- i) a lack of understanding and knowledge about the target stocks and the impact of fishing on non- target species affected by fishing; and
- ii) the lack of a legally binding arrangement for the conservation and management of these stocks throughout their range, including the high seas, and of a coherent framework for the control of the fisheries upon those stocks

In a pilot phase of GEF/UNDP/Pacific SIDS cooperation, implemented by UNDP, a new Convention to establish the Western and Central Pacific Fisheries Commission (WCPFC) was negotiated. The Commission, which will soon be the world's largest regional fisheries management organization (RFMO), has as its objective the long term conservation and sustainable use of the region's highly migratory fish stocks. That pilot phase also supported basic scientific assessment and monitoring programmes at national and regional levels. Then, in the first full phase of GEF /SIDS cooperation under the Pacific Islands Oceanic fisheries Management Project (PIOFMP-I) , the Convention was brought into force largely through ratification by Pacific SIDS, and the Commission established. The support for science was refocused on ecosystem-related science and capacity building as the financing of the assessment work was passed over to the Commission. In addition, Pacific SIDS national laws were reformed to provide for the obligations associated with being Members of the Commission, and national legal, policy, control and monitoring programmes were restructured and strengthened.

With these developments, the initial foundational, institutional development phase of improvements to regional oceanic fisheries management to ensure sustainable use of transboundary oceanic fish stocks called for in the IW SAP has been largely accomplished as confirmed by the OFMP Terminal Evaluation, but substantially more needs to be done to translate these institutional developments into systematic, sustained changes in fishing patterns and on-the-water behavior.

There are six major inter-related concerns about sustainability in these fisheries for transboundary oceanic fish stocks. They are:

- the impact on target transboundary oceanic fish stocks;
- the impact on other fish species, such as sharks and billfish;
- the impact on other species of interest (such as marine mammals, seabirds and turtles);
- the impact on foodwebs;
- other impacts on biodiversity; and

- the impact of climate change.

1.2.1 Impact on Target Transboundary Oceanic Fish Stocks

Annual catches of the major species in the Western and Central Pacific Ocean in recent years exceed 2 million tonnes. Catches continued to increase over a long period of time (Figure 3) but declined in 2010-2011 before increasing to a record level in 2012 as illustrated in Figure 2 below.

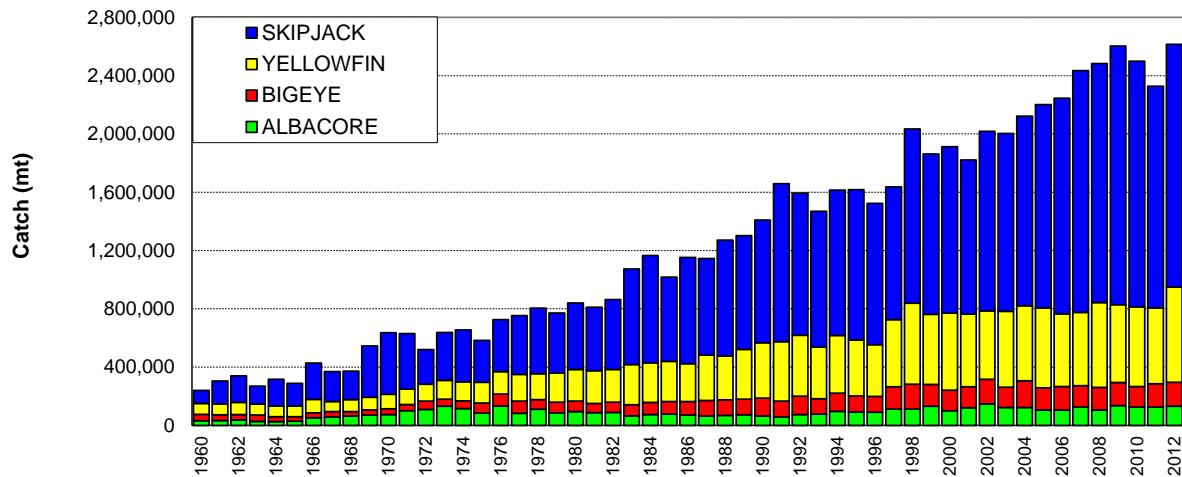


Figure 3. Catches of major tuna species in the Western and Central Pacific Ocean.

Regular assessments of these species conducted by the Oceanic Fisheries Programme of the Secretariat of the Pacific Community (SPC/OFP) provide information on the current status of the stocks and the impacts of the fisheries.

Figure 4 plots the stock status of the 4 stocks most important to SIDS, making up over 95% of the commercial catches in oceanic fisheries in SIDS' waters. None of these stocks are overfished in that the spawning biomasses exceed the levels estimated to be necessary to maintain maximum sustainable yields and only the bigeye tuna stock (which makes up around 6-7% of the total catches of the major tuna species as shown in figure 3) is subject to overfishing. Importantly, juvenile bigeye tuna are taken as bycatch in the purse seine fishery on FADs targeting mainly skipjack.

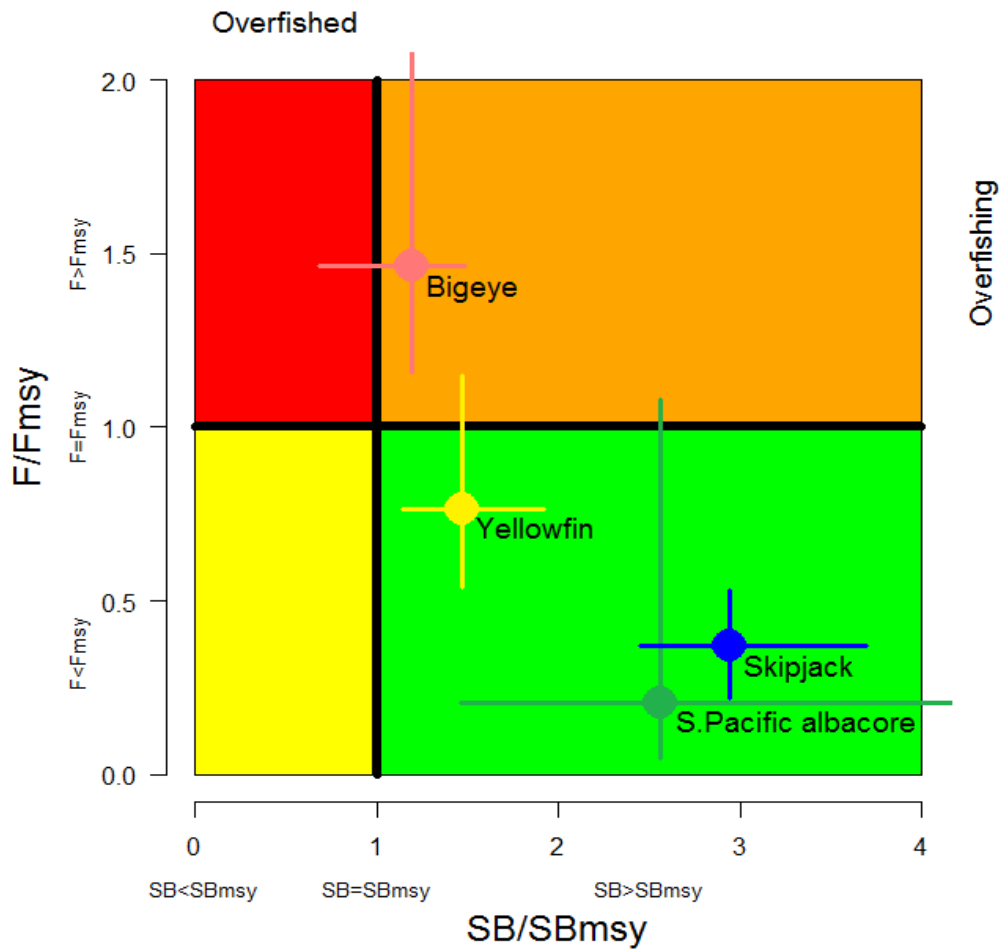


Figure 4: The status of major WCPO tuna stocks. The horizontal axis represents the level of spawning biomass (SB) relative to the spawning biomass producing the maximum sustainable yield (SBmsy). The vertical axis represents the level of fishing mortality (F) relative to the level of fishing mortality producing the maximum sustainable yield (Fmsy), assuming the recent age-specific fishing pattern. The circles for each stock identify the recent four-year mean F/Fmsy and SB/SBmsy combination from the most recent reference-case stock assessment models. The horizontal and vertical lines through the circles represent the approximate extent of uncertainty.

However, Figure 5 shows that the impact of fishing on all these stocks is increasing as measured by the fishery-induced reduction of spawning biomass. The central challenge addressed by this Project therefore is to put in place conservation and management arrangements that avoid these tuna stocks, the world's largest and healthiest, becoming over-exploited – a challenge for which the major opportunities, the major responsibilities and the major burdens, lie with the Pacific SIDS, since these stocks are largely fished in, or adjacent to, Pacific SIDS' waters.

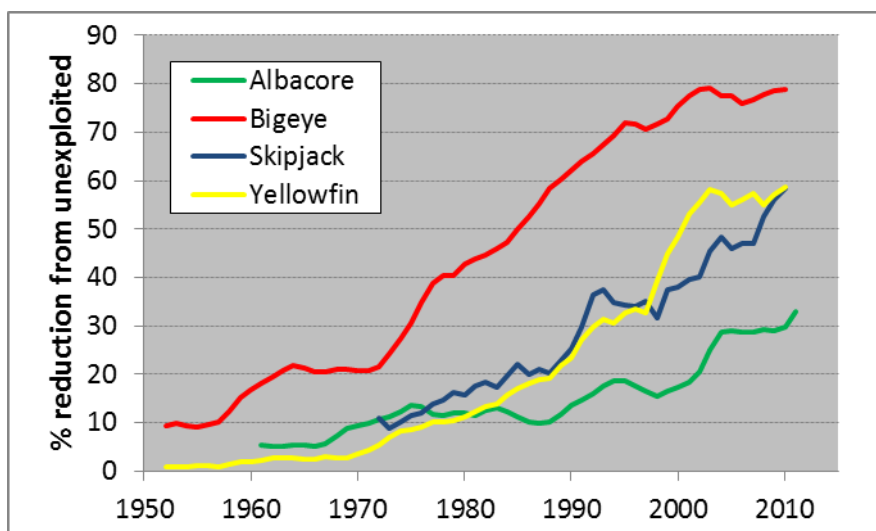


Figure 5. Impact of fisheries on spawning stock biomass of bigeye skipjack, and yellowfin tuna in the WCPO and albacore in the South Pacific Ocean.

1.2.2 Impact on Other Fish Species

Much less is known about the impact of fishing on fish species other than the major target tuna stocks. The major target tuna stocks and some related species such as billfish, have been the subject of sustained monitoring and research programmes, based, in particular, on detailed daily reporting of catch by species and effort by vessels stretching back in some cases over 40 years. That data has only recently begun to be collected for most other species as one of the early priorities of the WCPFC. Data on other fish species, both target and bycatch, has been mainly collected by onboard observers for which coverage levels have been historically very low, although this area too has been strengthened as a WCPFC priority.

The major species involved are billfish and some species of sharks.

Total billfish catches in the WCPO are estimated at over 40,000 tonnes annually. These stocks are increasingly important for local sport fisheries associated with tourism. A recent assessment of Pacific blue marlin indicated that the stock has been depleted to, or possibly beyond, the level capable of producing the maximum sustainable yield. The South Pacific striped marlin stock is heavily exploited. The status of the other billfish stocks is not known.

Sharks are important ecologically as apex predators, and in economic terms as targeted catch and increasingly as a key attraction to dive tourists. But sharks are also particularly vulnerable to overexploitation and depletion from oceanic fisheries. There is a paucity of species-specific data on sharks, limiting the scope for assessments of shark stocks though this is now a regional priority. The first assessments of oceanic whitetip and silky sharks were considered by the WCPFC in 2012, with both assessments indicating serious depletion of stocks primarily by tuna-targeting longline fisheries. Further work on sharks is proposed within the GEF/FAO ABNJ Project through WCPFC.

The impact of purse seine fishing on whale sharks through sets on schools of tuna associated with these large animals is also a concern. A preliminary measure to ban targeting on schools of oceanic

fish associated with whale sharks has now been adopted by the WCPFC but much work remains to implement this measure and develop procedures for the safe release of whale sharks that are inadvertently circled by fishing nets.

Other species in the oceanic fisheries catch include species such as rainbow runner, wahoo and, mahi mahi, that are of increasing value as food fish as inshore stocks of reef and lagoon fish are subjected to increasing fishing pressure. There are also significant catches of low commercial value stocks which are significant components of the ecosystem (e.g. lancet fish, triggerfish). Records of the catches are improving but there are still very little known about their biology or stock status.

1.2.3 Impact on Other Species of Interest (Including Marine Mammals, Seabirds and Turtles)

Baleen whales are sometimes caught in purse seines because tuna may form schools around them and vessels may target a school knowing it is associated with a baleen whale or inadvertently finding the whale encircled. The available information, mostly from onboard observers, indicates that interactions with baleen whales in the WCPO oceanic fisheries are infrequent, with an estimated 7 interactions with 4 species resulting in 2 mortalities in 2010².

Toothed cetaceans (mainly dolphins) are sometimes inadvertently caught while feeding on the same prey species as tuna. The numbers of interactions with the smaller toothed cetaceans are larger than for baleen whales, with an estimated 144 interactions with 9 species resulting in 110 mortalities in 2010. However, in the WCPO, dolphins don't maintain persistent associations with tuna in the way that they do with yellowfin tuna in the eastern Pacific Ocean, where tuna schools are targeted by finding and encircling schools of dolphins. The WCPFC Scientific Committee has recommended avoiding any mortality of whale sharks and cetaceans by fishing activities.

The Commission has banned setting on fish schools when cetaceans are present and requires the safe release of cetaceans that are inadvertently encircled, but there is much to be done to develop procedures for releasing cetaceans involving scientific testing of alternative procedures. Ahead also lies additional work on the biology and stock status of cetaceans affected by oceanic fisheries.

Recently, many Pacific Island countries and territories have declared whale sanctuaries or marine sanctuaries for marine animals including whales and dolphins.³

Catches of seabirds (especially protected, endangered and threatened species) by oceanic fisheries, especially longline fisheries, is an important global concern. An assessment of the patterns of risk to seabirds in the WCPO from longline fisheries⁴ found that 38 of the 50 seabird species most at risk from longlining were listed by IUCN as threatened with extinction, noting also critical weaknesses in the data available and the associated uncertainty with the results of the analysis. In this situation, seabird mortality associated with oceanic fisheries remains a significant concern meriting further attention.

² <http://www.wcpfc.int/node/3015>

³ Pacific Islands Regional Marine Species Programme 2008-2012

⁴ http://www.wcpfc.int/system/files/documents/meetings/scientific-committee/5th-regular-session/ecosystem-and-bycatch-swg/working-papers/SC5-EB-WP-06%20%5BSpatial_risk_indicators_seabirds_final%5D.pdf

The annual catch of turtles caught in longline fisheries has been roughly estimated at between 4,000 and 15,000 turtles. Most turtles that are caught are released alive, with total annual mortalities estimated between 500 and 3,000 turtles per year.⁵ While mortality from oceanic fishing is clearly not a major cause of overall turtle mortality, lack of reliable data on numbers of each species killed remains an area of concern. Most Pacific SIDS have had longstanding measures in place to protect turtles in their domestic fisheries. The Commission has adopted measures to mitigate turtle bycatches and require safe release of hooked and entangled turtles, but there is much to be done in implementing these measures, particularly through fisher education.

1.2.4 Impact on Foodwebs

The impact of fishing for tunas and related species on pelagic ecosystems through foodweb effects is not well understood. Adult tunas, billfish and sharks are at the apex of pelagic food webs in the WTP LME.

Although the food-webs of the world's oceans remain poorly understood, the evidence from comparative analyses point towards the effects of fishing on marine food webs having structural impacts when fishing activities target species lower down in the hierarchy, particularly prey or forage species on which higher level predators rely. For example, in several regions in the Pacific Ocean 'wasp-waist' systems are the dominant trophic structure, in which the large biomass of key components at middle trophic levels gives them significant control over both upper and lower levels of the food web. Organisms at mid-trophic levels (micronekton) are prey for many higher level predators, but also function as important predators for a range of lower trophic groups. Changes in micronekton biomass quickly affect the upper and lower trophic levels. In these ecosystems the apex predators are somewhat redundant, because they share a diverse suite of prey and comprise only a small percentage of the biomass. Reducing the biomass of particular predators in these ecosystems may significantly alter the species compositions of functional groups (i.e. species that share common feeding strategies) but is less likely to induce trophic cascades that alter ecosystem structure.

The number of species in each functional group of the ecosystem also appears to be very influential with functional groups with low species diversity most at risk. In open ocean ecosystems, such as those in the Pacific, most ecosystem structures are characterised by large numbers of species in the functional groups described. Declines in the abundance of some of those species due to fishing or the environment are compensated for by increases in other species from the same functional group. Consequently the structure of these ecosystems remain resilient. Management actions that maximise the number of species in functional groups are emerging as potentially the most effective for conserving ecosystem structure.

⁵ <http://www.wcpfc.int/node/3643>

However there remain some groups where species diversity and abundance are low (e.g. sharks, seabirds, turtles, and marine mammals) and these groups consequently have increased risks to changes in the ecosystem. National plans of action may be needed for these more at risk groups.

Application of an Ecopath simulation model to the pelagic ecosystem of the western and central Pacific showed that removal of adult yellowfin and skipjack tunas could cause substantial and sustained changes to the structure of the system.⁶ In addition to being important and abundant consumers, these fish are among prey items for higher order predators such as billfishes and sharks. In particular, skipjack, with its high population biomass, production, consumption and importance as a food source, has a key role in the pelagic WTP LME⁷.

Recent work has begun to focus on the potential impacts of climate change on particular species and the WTP LME in general. Preliminary simulations have predicted that decreases in all components of the ecosystem, including tuna forage, all top and mid-trophic predators and tuna could occur as a result of climate change⁸. In addition, superimposing increased fishing pressure on simulated climate change effects results in a complex alteration of the system, with species such as swordfish and snake mackerel predicted to increase in abundance while yellowfin, wahoo, dolphinfish and forage species are predicted to decrease⁹.

While knowledge of the functioning of the ecosystem is accumulating through research such as outlined above, further work is required to better understand how the effects of removal of higher predators propagate through the complex food web. In this context, it is clear that improved knowledge and understanding of the status and ecological significance of the species that are impacted by oceanic fisheries requires improved monitoring of target and non-target catches as well as better information on diet composition and its variability in the WTP LME^{10, 11}.

⁶ Allain V., Nicol S., Essington T., Okey T. Olson R.J. & Kirby D. 2007. An Ecopath with Ecosim model of the Western and Central Pacific Ocean warm pool pelagic ecosystem. Third regular session of the Scientific Committee of the Western and Central Pacific Fisheries Commission. 13-24 Aug. 2007. Honolulu, USA. WCPFC-SC3 – EB SWG/IP-8.

⁷ Allain V. 2010. Trophic structure of the pelagic ecosystems of the western and central Pacific Ocean. Sixth regular session of the Scientific Committee of the Western and Central Pacific Fisheries Commission. 10-19 Aug. 2010. Nukualofa, Tonga. WCPFC-SC6 – EB IP-10: 1-15.

⁸ Le Borgne R, Allain V, Griffiths SP, Matear RJ, McKinnon AD, Richardson AJ and Young JW 2011 Vulnerability of open ocean food webs in the tropical Pacific to climate change. In: JD Bell, JE Johnson and AJ Hobday (eds) *Vulnerability of Fisheries and Aquaculture in the Tropical Pacific to Climate Change*. Secretariat of the Pacific Community, Noumea, New Caledonia. Chap.4: 189-250.

⁹ Allain V, Griffiths S, Polovina J, Nicol S, 2012. WCPO ecosystem indicator trends and results from ECOPATH simulations. Eight regular session of the Scientific Committee of the Western and Central Pacific Fisheries Commission. 7-15 Aug. 2012. Busan, Republic of Korea. WCPFC-SC8 – EB-IP-11: 1-29.

¹⁰ Allain V, Nicol S, Polovina J, Coll M, Olson R, Griffiths S, Dambacher J, Young J, Jurado Molina J, Hoyle S, Lawson T, 2012. International workshop on opportunities for ecosystem approaches to fisheries management in the Pacific Ocean tuna fisheries. *Review in Fish Biology and Fisheries*. 22 (1):29-33. DOI 10.1007/s11160-011-9220-z.

¹¹ Nicol S, Allain V, Pilling GM, Polovina J, Coll M, Bell J, Dalzell P, Sharples P, Olson R, Griffiths S, Dambacher J, Young J, Lewis A, Hampton J, Jurado Molina J, Hoyle S, Briand K, Bax N, Lehodey P, Williams P 2012 An ocean observation system for monitoring the affects of climate change on the ecology and sustainability of pelagic fisheries in the

1.2.5 Other Impacts on Biodiversity

The oceanic fisheries of the Pacific Islands region are almost completely engaged in pelagic fishing techniques that take place offshore and in the upper layers of the water column in waters of deep offshore waters, with no significant direct impacts on marine habitats. So far, there has been no commercial deepwater trawling on banks and seamounts of the kind that is associated with destructive impacts on the sea bottom in other regions.

However, there remain concerns about the broader impacts of oceanic fisheries on biodiversity from marine pollution, particularly the dumping of materials from packaging of bait and other supplies, the inshore pollution effects from large-scale transshipment, which often takes place inside lagoons, and effects of derelict and sunken vessels, especially on reefs.

The WCPFC Convention provides for the Commission to adopt measures to minimize waste, discards, catch by lost or abandoned gear, pollution originating from fishing vessels, and promote the development and use of selective, environmentally safe and cost-effective fishing gear and techniques. FAO has documented¹² the impact of derelict fishing gear on species such as turtles and seabirds in terms of entanglement and digestion, and there are similar effects from other objects made of persistent synthetic materials dumped or lost at sea from fishing vessels. Onboard observers report widespread breaches of the International Convention for the Prevention of Pollution from Ships (MARPOL), but this is an area in which the Commission has not yet taken action. The Pacific Ocean Pollution Prevention Programme (PACPOL) Strategy¹³ includes a number of workplans addressing the marine pollution effects from fishing vessels which are being applied by Pacific SIDS, but the marine pollution effects from oceanic fisheries are a growing concern.

1.2.6 Concerns, Threats, Opportunities and the Proposed Response

The concerns and threats related to unsustainable use of oceanic fish stocks set out above are global, regional and transboundary. They are the concerns and threats that have motivated the substantial effort by the global community to strengthen global arrangements for oceanic fisheries management over the last 30 years, from UNCLOS through to the UN Fish Stocks Agreement and to the sustainable fisheries component of the World Summit on Sustainable Development (WSSD) Plan of Implementation to which the global community recommitted at Rio+20. .

They are the same concerns and threats that have motivated the Pacific SIDS to work collaboratively in the pursuit of benefits from sustainable fisheries and to set their fisheries collaboration within a broader framework of collaboration in ocean affairs - from the earliest days of their collaboration in the management of their exclusive economic zones (EEZs), including the establishment of the FFA and the SPC/OFP to support those collaborative efforts; through participation in the preparation of the UN Fish Stocks Agreement and the preparation of the SAP and the Pacific Islands Regional Oceans Policy; and then ten years of commitment to bringing into force the WCPFC Convention and the establishment of the WCPFC while at the same time strengthening national and sub-regional

Pacific Ocean. *Climatic Change*. DOI 10.1007/s10584-012-0598-y.

¹² FAO Fisheries And Aquaculture Technical Paper No. 523, UNEP Regional Seas Reports And Studies No. 185:

Abandoned, lost or otherwise discarded fishing gear

¹³ Pacific Ocean Pollution Prevention Programme (PACPOL) Strategy, 2010-2014

arrangements and capacities ;to the recent embedding of sustainable fisheries concerns within the broader framework of the Pacific Islands Regional Oceans Policy and the Pacific Oceanscape Framework described below.

The SAP identified the ultimate root cause underlying the concerns about, and threats to, International Waters in the region as **deficiencies in management**, related to weaknesses in governance; and lack of understanding, and proposed the following approach to oceanic fisheries management:

“Enhancement of regional fishery management in light of developments with regard to the UN Convention on the Law of the Sea and the UN Implementing Agreement (the UN Fish Stocks Agreement), innovative ecosystem-based management approaches in the context of an LME, research on the status of tuna stocks, examination of by-catch and other components of the ecosystem and the integration of those aspects of oceanic fisheries relevant to overall national and regional International Waters resource management are the principal elements of the OFM approach.”¹⁴

This approach was used to design initial programmes of GEF/UNDP support for Pacific SIDS in oceanic fisheries management, including PIOFMP-I. The approach has resulted in substantial transformational gains in institutional development centred around the establishment of the WCPFC, strengthening of the regional FFA and SPC programmes, the emergence of important sub-regional programmes and the reform, restructuring and strengthening of national programmes for oceanic fisheries conservation and management. The approach has also resulted in:

- a) increased awareness and stakeholder participation as measured by the increasing participation of environmental and industry NGOs;
- b) substantial investments by:
 - i) Pacific SIDS in new staff and expanded programmes, especially in fishery monitoring, control and surveillance, largely financed by cost recovery from the fleets;
 - ii) fishing states in expanded and strengthened controls over their fleets including reporting, onboard observer and satellite tracking programmes;
 - iii) fishing fleets in additional reporting, supporting observers when they are on board and satellite transmission reporting;
 - iv) WCPFC Members who are now providing an additional \$6 million annually to finance the Commission’s scientific and compliance programmes; and
 - v) the regional and sub-regional organizations and groupings including FFA, SPC, PNA and TVM in expanded programmes for oceanic fisheries management generally
- c) improved understanding and reductions in information gaps. Great progress has been made in the last 7-8 years on improving information and knowledge about the main target stocks in oceanic fisheries, mainly due to scientific work undertaken by SPC for the WCPFC. However, the stock assessment models being applied, and particularly the data series on which they are based, are still in an early stage of development and substantial uncertainty remains about some of the results. As the WCPFC scientific work has developed, the scope

¹⁴ SAP, p. 48.

has broadened from exclusively target stocks to now include non-target species and broader ecosystem impacts of fishing. However, the information available on non-target species is particularly weak, and more information and better knowledge of the processes involved are required to provide a basis for operationalizing an ecosystem-based approach to management of fishing.

With these developments, the initial foundational, institutional development phase of improvements to regional oceanic fisheries management called for in the IW SAP is well on the way to being accomplished as confirmed by the OFMP Terminal Evaluation. However, substantially more needs to be done to translate these institutional developments into systematic, sustained changes in fishing patterns and on-the-water behavior that benefit Pacific SIDS and not just the foreign fleets that continue to dominate fisheries in their waters and adjacent ABNJ.

A recent Report on the Future of Fisheries in the Pacific Islands confirms this outlook. In a comparison of Best Case/Most Likely/Worst Case scenarios with 25 year projections, the report sees it as most likely that the potential severe declines in the stocks of the region's most valuable tuna species will be avoided because of recent improvements in conservation and management arrangements, but that without further intervention, these efforts will still fall short of optimising the levels of fishing for the major target species and will not adequately address the impacts of oceanic fisheries on non-target species. The report points to the continuing challenge of building capacities of national fisheries administrations, including their links with other stakeholders as the fundamental challenge in the oceanic fisheries sector for Pacific SIDS to moving in the direction of the Best Case scenario.

Several major developments have raised the stakes for Pacific SIDS in the sustainable development of their oceanic fisheries resources, increasing the threats related to unsustainable use but at the same time, in some cases, increasing the potential fisheries wealth of the Pacific SIDS.

The most profound of these developments is the increased threat from climate change and associated climate variability. At the most fundamental level, sea level rise can be expected to inundate the territories of some Pacific SIDS, and some islands of others. Under current international law, this outcome would threaten the fundamental existence of atoll countries such as Kiribati, Marshall Islands and Tuvalu as states, and substantially reduce the EEZs and oceanic wealth of others, including some of the SIDS such as Papua New Guinea and Solomon Islands which are largely comprised of high islands but for whom outlying atolls add substantially to their EEZs. Moreover, changes in EEZs areas may also affect the areas of adjacent high seas pockets and thus opening up more areas to high seas freedom and open access. In summary, the current level of information available to policy makers on how sea level rise in a climate constrained world may affect jurisdictional and natural resource claims is scant although the impacts of such changes may be profound.

Climate change is also projected to change the distribution of tuna stocks in ways that would greatly affect the economic values of Pacific SIDS EEZs, with the prospect of increasing the value of oceanic fisheries in some zones and reducing them in others.

Other changes are being driven by technological development. The fishing power of individual longline and purse seine vessel has increased substantially with enhancements in gear, equipment, especially electronics, and fishing methods.

The use of floating objects or FADs (fish aggregating devices) to aggregate schools of oceanic fish has been a particularly powerful influence - increasing catches, reducing costs and the relative price of canned tuna globally, contributing to increased demand and interest in investing in newer, more powerful purse seine vessels. But FADs don't only attract the schools of adult tuna that are targeted by the purse seine fleet. Sets on FADs catch substantially greater amounts of juvenile tunas, particularly bigeye tuna, and bycatch generally.

Technological development in the longline fishery has been less obvious but has had particularly strong influence recently. The Future of Fisheries Report projected in 2009 that effort in the longline fishery is *"unlikely to increase, and may in fact contract"*, because of negative factors, especially rising fuel costs. In fact, by 2012, south Pacific albacore catches were nearly 30% higher, and it has taken a major effort by Pacific SIDS to seek to head off further increases in effort in this fishery. That development is driven by increasing numbers of smaller, more efficient, often subsidized Asian longliners, undermining the viability of local fleets for some SIDS, but able to afford to pay higher access fees and deliver lower cost fish for processing for other SIDS.

Overlaying these changes has been the effects of higher global food prices. This effect has not been even. Increased global demand for canned tuna combined with the effects of conservation and management measures in limiting supplies of skipjack and yellowfin for canning from the region have resulted in these prices more than doubling since 2006, while the prices of bigeye have increased moderately and albacore prices are at 2006 levels.

Overall however, the value of catches in Pacific SIDS' waters has nearly trebled from \$1.4 billion in 2006 to \$3.9 billion in 2012.¹⁵ Without further improvements in management arrangements, the economic incentives to increase fishing associated with these value increases are a threat to sustainability – with improved management they are an opportunity for sustainable wealth creation for Pacific SIDS.

The institutional changes effected during PIOFMP-I have focused even greater attention on the weaknesses at national level in capacities to continue to drive the regional agenda in oceanic fisheries at the WCPFC and to effectively implement conservation and management measures agreed at the global and regional levels including those established by the WCPFC.

Key weaknesses related to implementation of conservation and measures at national level identified in the national missions and reports set out in Annex E include:

- a) legislative weaknesses: laws have been systematically reformed to include obligations and powers related to the WCPFC Convention, but have not kept up with provisions to implement

¹⁵ FFA, <http://www.ffa.int/node/425>

Commission conservation and management measures, especially in regulations and licence conditions;

- b) weaknesses in policy analysis, policy making, planning and consultative processes: Pacific SIDS have been able to make a major contribution at the WCPFC with FFA and SPC support, but the increasingly large and complex agendas at WCPFC sessions make it difficult for small administrations and small delegations to participate effectively, and continuing support and capacity building in these areas is needed if Pacific SIDS, especially smaller SIDS are to continue to participate effectively in the WCPFC. This is a particularly important need which threatens the overall effectiveness of regional conservation and management efforts. Without effective participation by SIDS in WCPFC processes, and effective domestic implementation of regional, sub-regional and national conservation and management measures by SIDS, overall objectives for sustainable use of regional oceanic fisheries resources cannot be achieved.
- c) weaknesses in national monitoring, control & surveillance capacities: there have been substantial improvements in MCS programmes, but tightened access to increasingly valuable oceanic fisheries resources is increasing the incentive for IUU fishing, and increasingly comprehensive WCPFC CMMs are increasing the burden on SIDS to monitor and report on their growing domestic fleets and foreign fleets operating in their waters and unloading in their ports. The national consultative missions undertaken for the project design identified the integration of information available from different sources – licensing, logsheets, unloading, vessel monitoring etc. as a key priority in improving performance in national oceanic fisheries management, and MCS in particular and requested support for VMS data and unloading data to be integrated with other fisheries management information.¹⁶
- d) weaknesses in scientific information and understanding: there is an increasing need for the growing understanding of regional stocks and ecosystem processes to be translated into information and advice at national level, for national decision-making. The scientific training in stock assessment and other scientific areas under POFMP-I is highly valued and missed, and needs to be carried forward, with a particular interest in oceanography and ecosystem-level processes to provide a better basis for national policy-making.

Against this background of threats and opportunities, POFMP-II will build on the progress made to date to support activities aimed at achieving the sustained changes in fishing patterns and on-the-water behavior necessary for sustainable oceanic fisheries within a healthy oceanic ecosystem, and sustainable development gains for Pacific SIDS from these fisheries. The new Project will continue to be based on the approach set out in the SAP; updated to reflect the establishment of the WCPFC, concerns about the impact of climate change and variability, progress in national capacity development, the emerging sub-regional arrangements, and other relevant recent developments; and with a Project team strengthened by the fisheries technical capacities of FAO.

¹⁶ See The Summary Record of Discussion of the Project Design Consultation of the Second Phase of the Pacific Islands Oceanic Fisheries Management Project, Noumea, New Caledonia, March 2013

The next sections provide more detailed analysis of this situation in which the Project is set.

1.3 LEGAL, INSTITUTIONAL, POLICY AND SOCIO-ECONOMIC LANDSCAPE

1.3.1 Legal

After systematic problems developed in the 1990s in the management of oceanic transboundary fisheries, particularly overfishing and the use of destructive fishing practices in the high seas, the global community made a call in Agenda 21 for an intergovernmental conference on high seas fishing, which drew up the UN Fish Stocks Agreement that came into force in 2001. The Agreement provided several specific responses to the weaknesses in the legal framework for managing straddling and highly migratory stocks, including a requirement for regional and international fisheries management organisations to be established where they did not already exist; and detailed provisions covering the governing principles, objectives and functions of such organisations and the rights and responsibilities of their members.

Pacific SIDS played a full role in the negotiation of UNCLOS, and the UN Fish Stocks Agreement, both of which have been ratified and implemented in national laws by all Pacific SIDS.

In addition, Pacific SIDS established a formal framework for cooperation in conservation and management in fisheries among themselves through the 1979 Forum Fisheries Agency Convention based on UNCLOS. Through the FFA, they went on to establish the first compliance-related regional register of fishing vessels with a delisting arrangement; harmonised minimum standards for reporting, vessel identification, boarding and inspection and other monitoring control and surveillance mechanisms, and the first regional satellite-based Vessel Monitoring System (VMS). Pacific SIDS also established with other partners at SPC a regional tuna science programme, and one of the largest fisheries databases globally. These SIDS collaborative programmes provided the framework for what are now many of the WCPFC programmes and established several global precedents that were adopted in the UN Fish Stocks Agreement.

Following the conclusion of the UN Fish Stocks Agreement, Pacific Island Leaders called for a conference of all states with an interest in the regional oceanic fisheries to work towards the establishment of new legal and institutional arrangements for regional conservation and management, which led to the conclusion of the WCPFC Convention and the establishment of the WCPFC. The WCPFC was the second new Regional Fisheries Management Organisation (RFMO) established following the conclusion of the UN Fish Stocks Agreement¹⁷, and is already the second largest RFMO globally in terms of budget levels. The Convention follows the UN Fish Stocks Agreement very closely, with the results that it was the first tuna RFMO to require Members to commit to the precautionary approach and the principles of ecosystem-based management both in their cooperation through the Commission and in the measures they adopt for conservation and management of oceanic fish stocks in their national waters; it includes more comprehensive provisions on monitoring, compliance and enforcement for the purpose of deterring illegal, unreported and unregulated fishing,

¹⁷ Following SEAFO

especially in the high seas, than any other such arrangement; it was the first, and is still the only, tuna RFMO to adopt a high seas boarding arrangement; it requires Parties to take action to control not just their vessels, but also their nationals, addressing the issue of use of flag of convenience vessels by nationals of Parties; and it includes major elements of a “new deal” for developing countries in this kind of organisation, including specific provisions for funding of technical assistance within the Commission’s financial arrangements and measures to ensure effective participation by developing countries, especially SIDS.

At the national level, the pace of change of international law relating to oceanic fisheries has imposed a large workload on Pacific SIDS for the establishment and revision of national laws. This began with putting in place the basic framework for the extension of jurisdiction over 200-mile zones arising from UNCLOS, including declarations of maritime boundaries and arrangements for management and control of activities within EEZs. Since then national laws have been systematically revised to give effect to the UN Fish Stocks Agreement, to various regional Treaties and Agreements between FFA members, including the implementation of the Regional Register, the driftnet Convention, satellite-based vessel monitoring and Nauru Agreement Implementing Arrangements. All Pacific SIDS national laws were also revised, with substantial support from the preceding Project, to apply the WCPFC Convention, particularly the principles in the Convention and establishment of powers to control flagged vessels outside national waters. The next step underway involves further systematic revisions of national laws, especially at the level of regulations and license conditions, to implement the conservation and management measures of the WCPFC and other regional and sub-regional arrangements.

1.3.2 Institutional

This Project, like the preceding PIOFMP-I, is at its core a response to the need for enhanced regional institutional arrangements for oceanic fisheries conservation and management and for associated changes at the national level called for in the Pacific Islands IW SAP. The major starting point in addressing the need for enhanced regional institutional arrangements has been the WCPFC. Supported by the preceding Project, Pacific SIDS have played a major role in getting the Commission in place earlier than expected, with all the Pacific SIDS, and all major fishing states, as Members. *The financial sustainability of the Commission is ensured based on the principle that those who benefit from fishing should pay the bulk of the costs of management. Total contributions to the Commission have been increasing over the years, with an agreed budget for 2013 of \$6.5 million.* Its science programme is functioning. Many of the elements of its compliance programme are being put in place, setting a number of important global precedents, and a fairly comprehensive, but still preliminary set of conservation and management measures has been adopted for most of the key target stocks and protection of key non-target species.

Similarly, at national level, fisheries administrations across the region have been going through a process of major reform and realignment because of the shift in fisheries laws and policies from a focus on promoting fisheries development mainly targeted at increasing catches to a focus on fisheries management and conservation aimed at better use of limited resources. With support from PIOFMP-I, laws and management plans have been amended, and monitoring and compliance programmes have

been established and/or strengthened, with around 70¹⁸ permanent new posts created as part of the institutional strengthening processes as well as over 450 additional monitoring staff being contracted, but leveraging systematic improvements across several agencies in each of the Pacific SIDS requires additional sustained, concentrated effort.

The institutional changes have also been carried through into other intergovernmental regional and sub-regional programmes. A major component of the large increase in co-financing for this Project compared with the previous Project traces from the response of donors to the decision by Pacific Island FFA Members to increase their own financial contributions to FFA by over 60%, leading to a large increase in donor support in response to that commitment. This increased support was largely directed at strengthening the work of the FFA to support SIDS both in the WCPFC-related and other conservation and management efforts, and in efforts to secure greater benefits from more clearly defined rights in sustainable fisheries. The SPC/OFP has grown into a dual role as provider of data and scientific services to the WCPFC as well as continuing to provide data and scientific services to Pacific SIDS.

A major new feature of the regional institutional landscape with substantial transformational potential has been the emergence of sub-regional groupings and arrangements as the major fora for detailed discussions on management of specific fisheries. The most prominent of these is the Parties to the Nauru Agreement (PNA), which has established a new office, focused on supporting the purse seine vessel day scheme (VDS) – the most important rights-based cap-and-trade management scheme in international fisheries, covering around 1 million tonnes or 25% of the world’s tuna catch, and more than 50% of the fish supplied globally for canned tuna. The PNA purse seine VDS is now in the early stages of operation and planned to be self-financing with substantial investment being made by PNA and donor partners in supporting monitoring and reporting systems. The FFC Sub-Committee on South Pacific Tuna and Billfish (SC-SPTBF) focuses on management and development of the southern sub-tropical fisheries. A new Te Vaka Moana (TVM) Arrangement has been concluded as a focus for practical fishery-level cooperation among Polynesian SIDS. The Melanesian Spearhead Group (MSG) is a multi-sectoral sub-regional organization, aimed at strengthening cooperation among Melanesian states to promote economic growth, sustainable development, good governance and security. Fisheries issues have also gained prominence in the MSG with the development of a Fisheries Technical Advisory Committee to focus on areas of potential cooperation such as longline management and MCS.

These sub-regional organizations and arrangements have emerged as the primary fora in which management of specific fisheries are discussed, because they focus on fisheries and fisheries issues of common interest in ways that are not possible within the broader regional economic groupings. However, the consideration of higher level policy issues and the core of technical capacity remains with FFA and SPC. The SIDS membership of these sub-regional programmes and arrangements is shown in the table below.

MEMBERSHIP OF PICs IN SUB-REGIONAL PROGRAMMES AND ARRANGEMENTS
--

¹⁸ The posts established by each Pacific SIDS government are shown in the Annexes II to the National Reports set out in Annex F to this Project Document

	MSG	PNA	SC-SPTBF	TVM
Cook Islands			X	X
FSM		X		
Fiji	X		X	
Kiribati		X		
Marshall Is.		X		
Nauru		X		
Niue			X	X
Palau		X		
PNG	X	X	X	
Samoa			X	X
Solomon Is.	X	X	X	
Tonga			X	X
Tuvalu		X	X	
Vanuatu	X		X	

NGO involvement has also greatly increased. 15 industry and environmental NGOs attended the 2012 session of the WCPFC as observers. Among these, Greenpeace, PITIA, and WWF have active regional programmes, and others are engaged at national level, sub-regional and regional levels.

1.3.3 Policy

The policy setting for the PIOFMP-II involves a number of linked strands at the global, regional, regional, sub-regional, and national levels. These strands trace from two major sources - the transboundary nature of the oceanic fisheries resources, and the heavy dependence of Pacific SIDS on those resources. The resources are shared and, for many Pacific SIDS, securing increased benefits from sustainable fisheries for these resources is an imperative for their sustainable development.

At the global level, this policy imperative for SIDS has found systematic expression in

- a) the opening paragraph in Chapter 17 of Agenda 21 on Sustainable Development of Small Islands which says:

“For small island developing States the ocean and coastal environment is of strategic importance and constitutes a valuable development resource”.

- b) the Plan of Implementation for Johannesburg World Summit on Sustainable Development addressing the issue of sustainable development of small-island developing states, including recommending actions at all levels to accelerate implementation of the Barbados Plan of Action for SIDS, with adequate financial resources, including through GEF focal areas, and assistance for capacity-building from the international community, and to;

Further implement sustainable fisheries management and improve financial returns from fisheries by supporting and strengthening ... such agreements as the Convention on the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean;

- c) The Barbados Programme of Action for the Sustainable Development of Small Island Developing States, and more particularly the Mauritius Strategy for the Further Implementation of the Barbados Programme, in which the global community agreed:
- i. *To reaffirm the commitment to urgently reduce the capacity of the world's fishing fleets to levels commensurate with the sustainability of fish stocks;*
 - ii. *To promote the full participation of small island developing States in regional fisheries management organizations;*
 - iii. *To assist small island developing States in developing their fisheries sector, including through building the capacity of those States, so as to facilitate a greater level of participation in high seas fisheries, including for straddling fish stocks and highly migratory fish stocks, to enable them to receive greater benefits from sustainable fisheries for such stocks, to develop their own fisheries, and to improve their market access;*
 - iv. *To further strengthen, through international support, the capacities of small island developing States to carry out monitoring and implement enforcement measures to combat illegal, unreported and unregulated fishing, and overfishing;*

With respect to fisheries, the concept of responsible and sustainable fisheries was elaborated globally in the FAO Code of Conduct for Responsible Fisheries and further detailed in a number of policy instruments, among the most important and relevant of which are the FAO Technical Guidelines for Responsible Fisheries; the International Plans of Action - for Reducing Incidental Catch of Seabirds in Longline Fisheries; for the Conservation and Management of Sharks; for the Management of Fishing Capacity; and to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing; and the Reykjavik Declaration on Responsible Fisheries in the Marine Ecosystem. More recently, the global community's interest in sustainable fisheries has been reflected in approval of the GEF/FAO Global Sustainable Fisheries Management and Biodiversity Conservation in Areas Beyond National Jurisdiction, the World Bank's Global Partnership for Oceans.

The principles of sustainable fisheries elaborated in these instruments have been increasingly brought to bear commercially through eco-labels, generally aimed at assuring consumers and traders from whom they purchase, that fishery products have been produced in accordance with the principles of sustainable fisheries. Such schemes aim to provide incentives for sustainable fisheries practices. The most prominent of these is the certification of the Marine Stewardship Council (MSC). The Fiji longline fishery and the PNA free school skipjack fishery have been certified by the MSC.

At the regional level, sustainable fisheries policy is integrated with policy in other sectors through the Pacific Plan¹⁹, which is the master strategy for strengthening regional cooperation and integration in the Pacific. The Plan includes as a regional priority:

Maximise sustainable returns from fisheries by development of an ecosystem-based fishery management planning framework; encouragement of effective fisheries development, including

¹⁹ <http://www.forumsec.org/pages.cfm/strategic-partnerships-coordination/pacific-plan/>

value-adding activities; and collaboration to ensure legislation and access frameworks are harmonised.

and progress on implementation of the Plan is reviewed annually by Pacific Island Leaders.

The regional policy framework for the health of the oceanic ecosystems and resources of the Pacific Islands is the Pacific Islands Regional Oceans Policy²⁰ and its associated Action Plan with 6 integrated themes:

- i. improving ocean governance
- ii. improving understanding of the ocean
- iii. sustainably developing and managing the use of ocean resources
- iv. maintaining the health of the ocean
- v. promoting the peaceful use of the ocean
- vi. creating partnerships and promoting cooperation

The FFA Regional Tuna Management and Development Strategy²¹ is the key statement of Pacific SIDS policies for achieving economic growth from sustainable fisheries. The Strategy targets:

- a) Sustainable oceanic fish stocks and ecosystems; through increased integration of scientific advice in decision making, improved fisheries management planning, enhanced in zone management arrangements, increased stock-wide management, reduced IUU fishing, enhanced MCS, integrated with fisheries management planning and implementation, and increased technical management capacity ; and
- b) Economic growth from fisheries for highly migratory stocks (HMS): through increased domestication of HMS industries, building fisheries businesses, improved fisheries access arrangements, enhanced cooperative regional arrangements, increased social benefits, improved overall harvest strategies increasing control over fishing in the Pacific Islands region, increased use of rights-based approaches, increased market and trade opportunities and increased capacity to realise commercial opportunities.

The Nauru Agreement, and the PNA and TVM Strategic Plans apply the principles of sustainable fisheries at sub-regional level to specific fisheries.

At national level, policies for sustainable fisheries are typically reflected as principles in legislation, and in oceanic fisheries management plans. All Pacific SIDS have now updated legislation to include the principles of responsible and sustainable fisheries, and almost all Pacific SIDS have in place updated oceanic fisheries management plans, developed from risk-based analyses applying the ecosystem approach within a broad consultative framework during PIOFMP-I.

With this progress, much of the higher level policy framework is in place at regional, sub-regional and national levels. The legislation and Plans need regular modernizing, and there is a continuing need for policy dialogue related to differences in objectives between SIDS. But the major need now is to operationalize the broad policy principles, objectives and strategies. Increasingly, therefore these Plans are moving on from providing an overall framework of principles and strategies to include

²⁰ <http://www.forumsec.org.fj/resources/uploads/attachments/documents/PIROP.pdf>

²¹ <http://www.ffa.int/system/files/Regional%20Tuna%20Management%20and%20Development%20Strategy.pdf>

provision for establishing a mix of limits on vessels, catches and effort, and processes for determining access to fisheries within those limits; applying specific measures to mitigate bycatch, enhancing monitoring and control programmes, with sustainable cost recovery-based self-financing arrangements, and establishing more formal consultative structures. This operationalization of policies across the 14 Pacific SIDS will be key focus of PIOFMP-II. It will take longer than the horizon of this 4 year GEF project. However, with 60-65% of the catches of major tuna species being made in SIDS waters, and an additional 5-10% coming from waters fully or semi-enclosed by SIDS' EEZs, continuing progress in policy reforms in this direction in Pacific SIDS oceanic fisheries management is fundamental to achieving the WCPFC Convention objective of sustainability of oceanic fisheries in the Western and Central Pacific, along with continued development of programmes to regulate fishing in areas beyond national jurisdiction.

1.3.4 Socio-Economic and Financial

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

- increased access fees for government revenue;
- increased employment and private incomes associated with the domestic fisheries development (including that beyond the catching sector) that is expected to flow from better-managed national fisheries; and
- increased contributions to food security that are projected to be necessary as other inshore marine resources around islands become fully exploited and as populations grow, with protection of the rights of local fishers being an important element.

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

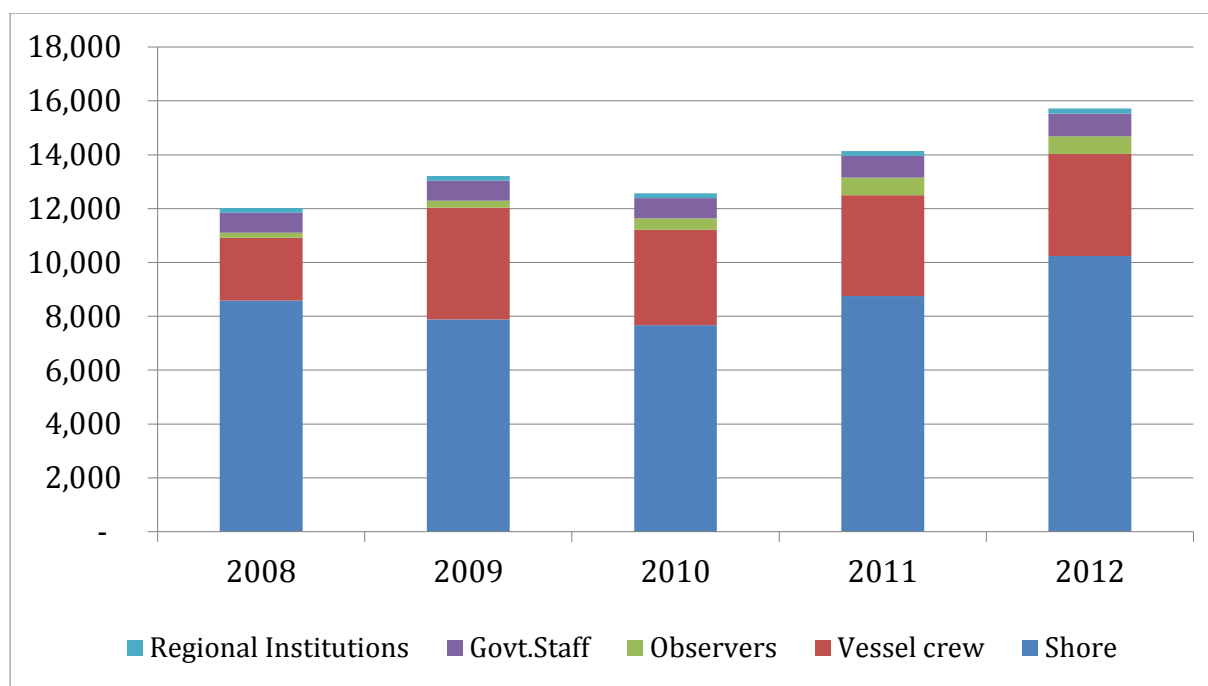


Figure 6. Pacific SIDS Tuna Fishery Employment (2008-12).

A series of FFA and SPC studies on gender and tuna/oceanic fisheries since 2006, most recently an EU-funded SPC study on gender in fisheries science and management, have assessed gender related issues. At the broad socioeconomic level, improving the management of the region's most valuable single natural resource offers improved food security, public services and income earning opportunities. In terms of gender participation, the 2011 report sees three ways to increase women's participation in fisheries - raising the profile of fisheries as a potential career as well as the profile of women already working in the sector; providing a support network for women in fisheries and strengthening the institutional level (work environment and conditions). At the industry level, the differences in gender participation are reflected in employment of men almost completely onboard and largely of women in onshore processing facilities. From the employment patterns, 65-75% of the new industry jobs noted above are likely to be filled by women, but even then senior and technical positions will be largely held by men. However, perceptions are changing, as women gain access to education and communication technologies through gender-equity policies across societies and economies, and the preceding Project has been able to successfully use as role models the small but increasing numbers of women in senior commercial and technical positions.²²

Recently, contributions to Pacific SIDS government revenues from access fees are estimated to have remained stable at around US\$70-80m but there are prospects for sharp increases in fee levels over the next five years if the purse seine cap and trade management systems can be fully and effectively implemented. A recent World Bank-funded study has projected fees from the purse seine fishery could increase by US\$60-70 million annually if management can be improved, and the ADB has

²² See for example <http://www.ffa.int/gef/files/gef/OFMP%20Profile%201.pdf>

reported²³ improvements in licensing revenue receipts in PNA member countries in late 2012/early 2013 as new higher fee levels work through into revenue streams. If zonal rights-based systems similar to the PNA purse seine VDS can be implemented for the longline fisheries, there should be substantial additional socio-economic gains.

The new arrangements are also shifting the burden of financing the management of regional stocks. Before the establishment of the WCPFC, the cost of managing oceanic fish stocks was largely financed by Pacific SIDS, either directly or through the use of donor funds that could have been used for other activities of benefit to Pacific SIDS. The major cost component was the cost of national monitoring, which was largely financed by national budgets and compliance programs, heavily supported by donor and partner country contributions to sea and air patrol costs. Regional programmes have been financed by a mix of financial contributions from Pacific SIDS and other countries that are Members of FFA and SPC, donors and cost recovery from vessel owners for some FFA compliance programs. The financing arrangements for the WCPFC place the major cost burden for the direct work of the Commission and its Secretariat on states that fish, especially developed states, representing a major shift in financing to a “beneficiary-pays” regime. This includes funding by the Commission of research activities at SPC that have previously been donor-funded, including by UNDP/GEF. In addition, all states fishing in the high seas are now required to finance the management and control of fishing by their vessels in the high seas, where fishing has previously been unregulated. Boatowners have also faced an increasing burden associated with monitoring, especially with additional costs from carrying observers and VMS, but the tightening of control over the purse seine fishery has also seen global prices for most species for canning material rise, effectively allowing much of the burden of conservation and management to be passed on to consumers.

Notwithstanding this shift in the burden of financing conservation and management programmes, Pacific SIDS still face increasing costs for core fisheries management and management tasks which cannot all be recovered from industry, especially in countries with lower levels of benefits from fishing in their waters. And even in Pacific SIDS where revenues have increased, the competition for government budgetary resources from the major social sectors has constrained the availability of funds to meet the increased costs of conservation and management.

1.4 PACIFIC ISLANDS OCEANIC FISHERIES MANAGEMENT PROJECT-I:

This Project follows on from the first phase of the Pacific Islands Oceanic fisheries Management Project (PIOFMP-I). The PIOFMP-I was designed to support the foundational institutional and capacity building at the regional and national levels necessary to address the concerns, threats and root causes identified in the SAP. It had two immediate objectives:

- i) an ***Information and Knowledge*** objective - to improve understanding of the transboundary oceanic fish resources and related features of the WTPWP LME and

²³ See for example <http://www.adb.org/publications/pacific-economic-monitor-december-2012>

ii) a **Governance** objective - to create new regional institutional arrangements and reform, realign and strengthen national arrangements for conservation and management of transboundary oceanic fishery resources.

PIOFMP-I activities were financed by a GEF grant of US\$10.9 million, with co-financing of these and other complementary activities from an estimated US\$79.0 million, largely from the regional organisations and participating SIDS. The Terminal Evaluation found that at the outcomes level, the PIOFMP-I “proved successful and effective, with outcomes likely to result in durable impacts in line with the environmental and development objectives that guided the project’s design”, noting in particular the contribution of the PIOFMP-I to establishing the WCPFC and enhancing SIDS capacities to participate in the WCPFC.

The PIOFMP-II is built substantially on the successful approach of PIOFMP-I, following advice from the PIOFMP-I Terminal Evaluation on lessons learned, and supporting Pacific SIDS as they move from foundational capacity-building to implementation of measures at regional, sub-regional and national levels to achieve practical on-the-water changes in behaviour to promote sustainable fisheries in the oceanic fisheries of the WTPWP LME.

1.5 BASELINE PROGRAMMES

The GEF Agencies and executing partners - UNDP, FAO, FFA, SPC, PNA, TVM, WWF and PITIA are all implementing programmes in oceanic fisheries in the Pacific Islands region at the regional, subregional and national levels which this Project will build on.

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

FAO has long been involved in oceanic fisheries activities in the Pacific Islands region, offering support and advice in a variety of areas including providing direct secretariat and technical support to the negotiation and implementation of the WCPFC Convention. It has delivered in its key focus areas of training and capacity building often in collaboration with FFA and SPC particularly on the implementation of the Code of Conduct for Responsible Fisheries; implementation of the Model Scheme on Port State Measures; the development and implementation of national plans of action to combat IUU fishing; the development of the regional plan on sharks; the preparation of negotiation positions for the SPRFMO; the implementation of the FAO Port State Measures Agreement; addressing fisheries statistics in support of fisheries management and the ecosystem approach to fisheries; legal assistance to review and strengthen fisheries and aquaculture legislation; conducting tuna studies; and the implementation of the precautionary approach. Within the UN SIDS Context and the post 2015 Sustainable Development agenda the FAO together with UNDP and regional partners

SPC, FFA and PNA are committed to supporting Pacific SIDS in their common goals to manage tuna fisheries sustainably and thereby contribute to healthy oceans and improving the livelihoods and economic wellbeing of Pacific SIDS²⁴.

FFA is supporting FFA Members through its Fisheries Management, Fisheries Development and Operations Programmes. FFA Members play a major role in the WCPFC, making up more than half of its members, and also cooperate directly in the implementation of arrangements including the Niue Treaty on Cooperation in Fisheries Surveillance and Law Enforcement and the Harmonized Minimum Terms and Conditions for Fishing which have largely set the standard for many of the WCPFC requirements. The FFA hosts the WCPFC VMS, and the WCPFC Regional Observer Programme is largely comprised of the national programmes of FFA Pacific Island Countries. FFA received the Pacific Oceanscape Leadership Award in 2013 for its work in improving tuna fisheries management in the Pacific Islands region. FFA is also an executing partner in the FAO-GEF ABNJ tuna project and a member of the ABNJ PSC. The FFA budget is around US\$24m annually, excluding GEF financing.

The SPC Oceanic Fisheries Programme both provides scientific services relating to oceanic (primarily tuna) fisheries management assistance directly to SPC Members and related organisations, and acts as the scientific and data services provider to the WCPFC, through programmes in four main areas – fisheries monitoring, stock assessment and population modelling, ecosystem monitoring and analyses (including the impacts of climate change) and data management. The SPC hosts the collective regional tuna database accessed directly by SPC Members for national use including reporting obligations to the WCPFC. The database is also used by SPC and FFA for national, sub-regional and regional analyses and includes WCPFC data holdings. SPC are also a partner in the ABNJ tuna project and a member of the ABNJ PSC. The SPC/OFP budget is around US\$8m annually, excluding GEF financing.

The PNA has moved on from being a political grouping of frontline states in dealing with distant water fleets to being a globally recognized contributor to the development of sustainable tuna fisheries, with a separate secretariat and programmes centred around the purse seine vessel day scheme, and a range of other measures applied through Implementing Arrangements to the Nauru Agreement.²⁵ More recently, PNA has become engaged in programmes related to MSC certification of the PNA free school purse seine fishery, including maintaining the chain of custody on certified catch, and the establishment of a harvest control rule and reference points for the PNA skipjack fishery to meet MSC conditions. The PNA are also a partner in the ABNJ tuna project and a member of the ABNJ PSC. The PNAO Budget is about \$2.0m annually.

TVM is focusing in its early stages on establishing rights to south Pacific fisheries (longline and purse seine) within regional fora, and establishing innovative arrangements that enable TVM participants to maximise benefits from these rights. Such arrangements will specify fisheries management services, and include enhanced MCS.

²⁴ Brief prepared for the Regional Preparatory Meeting for the Pacific on Small Island Developing States. Nadi, Fiji. 10-12 July 2013.

²⁵ See for example, <http://online.wsj.com/article/SB10001424127887324103504578373740328432494.html>

With its membership covering 14 Pacific Island countries and several national industry associations, the Pacific Islands Tuna Industry Association (PITIA) provides information and services to its members to encourage information and engagement of industry in key policy decisions affecting their businesses, including the processes of the WCPFC. PITIA (and its industry members, including the Fiji Tuna Boat Owners Association) is also involved in the FAO-GEF ABNJ tuna project.²⁶

WWF South Pacific is engaged in baseline activities through its established Offshore Fisheries programme which focuses on advocacy and awareness, fisheries certification and tuna bycatch reduction.

The baseline investments of the Pacific SIDS are described in the National Reports in Annex F. Those reports describe the legal, policy, monitoring, compliance and scientific and data programmes of SIDS, including recent progress and further development plans and needs.

The annual costs of the baseline oceanic fisheries management programmes funded by the Pacific SIDS governments in the year in which the WCPFC was established was around US\$7.9m as shown in the table below²⁷.

The table also shows the estimated annual incremental costs of oceanic fisheries management to SIDS for 2012 at US\$9.6m. Around half of this amount (\$4.8m) is the costs of the observer programmes which have been established since 2004, largely cost recovered from boatowners. The other elements are the costs to SIDS governments for 73 new posts established for oceanic fisheries management which are further discussed below, the costs of meeting participation, SIDS annual financial contributions to the WCPFC (around US\$1.1m and increasing), and research spending, including support for WCPFC tuna tagging programmes.

These national oceanic fisheries operations and programmes are national investments, largely funded at this point by national governments with some limited donor support, generally cost recovered from charges on fleets, and operating without GEF funding. GEF investments have contributed in the past to the establishment and strengthening of the programmes involved, and PIOFMP-II will provide further support in that direction, but will not finance the operating costs of the programmes.

COUNTRIES	ESTIMATED ANNUAL BASELINE 2004	ESTIMATED ANNUAL INCREMENTAL COSTS 2012
Cook Islands	291,460	105,193
Fed. States of Micronesia	1,439,200	1,685,144
Fiji	633,062	222,119
Kiribati	474,800	471,164
Marshall Islands	802,200	1,208,902

²⁶ Output 2.2.1 Pilot trials of electronic observer systems aboard tuna longline vessels successfully completed in Fiji with lessons learned and best practices disseminated to sub regional organizations and t-RFMOs for upscaling.

²⁷ These exclude SIDS costs associated with the establishment of the WCPFC, including costs of legal reforms to ratify the WCPFC Convention, participation in WCPFC-related meetings and strengthening of monitoring programmes in preparation for the startup of WCPFC monitoring and reporting requirements.

Nauru	220,858	154,598
Niue	35,770	61,836
Palau	847,800	216,354
Papua New Guinea	1,349,894	3,917,990
Samoa	556,911	214,901
Solomon Islands	206,237	314,162
Tonga	573,564	166,608
Tuvalu	191,727	202,026
Vanuatu	242,458	614,497
TOTAL	US\$7,865,942	US\$9,555,495

The table below provides additional detail on the 73 posts established by Pacific SIDS to strengthen their oceanic fisheries management programmes. The new posts are mainly related to management of onboard observers and other data and monitoring programmes, but also include posts to strengthen legal, policy, management and compliance programmes.

NEWLY ESTABLISHED POSTS BY PACIFIC SIDS		
Country	No. of Posts	Posts
Cook Islands	2	Data Entry Clerk, Asst National Tuna Data Coordinator
FSM	2	Observer Chief, Manager VMS/Compliance
Fiji	3	Senior Fisheries Officer, Observer Debriefing, Data Coordinator
Kiribati	4	Senior Data Technician, 3 Data techs
Marshall Islands	4	1 VMS Officer, 1 Compliance Officer, 2 Data entry officers
Nauru	2	Catch Data Officer, Asst Catch Data Officer
Niue	5	VMS Officer, Data Manager, 3 part-time Fisheries Officers
Palau	5	5 Fisheries Posts, 3 Monitoring Posts (Data Entry Clerk, Asst National Tuna Data Coordinator,
PNG	9	3FMOs, 3 Data Entry, 1 Enforcement, 2 Audit CU
Samoa	9	MCS - 1 VMS officer, 1 compliance officer and 1 Senior compliance officer; Tuna Data, 1 senior fisheries officer, fisheries officer and two port samplers, & Fisheries Management, 1 principal fisheries officer and 1 senior fisheries officer)
Solomon Islands	6	Deputy Director-Offshore, 2*Policy staff, Data Coordinator, Observer Coordinator, VMS SFO
Tonga	3	Legal Officer, 2 Data entry
Tuvalu	2	Legal Officer, Data Officer
Vanuatu	17	Legal Officer, Data Officer, Legal Officer, Manager Compliance, Principal Compliance Officer, Snr Compliance Officer, Principal Data Coordinator, Snr Data Officer, Observer Coordinator, Ass Observer Coordinator, Port Samplers (x3), Data Entry (x3)
Total	73	

The programmes of fishing states that undertake most of the fishing in SIDS' waters are also an important component of the baseline. The data and scientific programmes of fishing states are described in their Part I reports to the WCPFC²⁸.

The programmes described above present a greatly enhanced baseline compared to the baseline for the POFMP-I in 2005, substantially removing the risk of severe declines in stocks as noted by the Future of Fisheries in the Pacific Islands report. However, as that report also noted, these enhanced baseline programmes will still fall short of optimising the levels of fishing for the major target species, and will not adequately address the impacts of oceanic fisheries on non-target species. Additional incremental actions are needed for these purposes.

²⁸ The 2012 reports can be found at <http://www.wcpfc.int/node/4587>

2. STRATEGY

2.1 PROJECT RATIONALE

GEF has been supporting Pacific SIDS in their implementation of the IW Pacific Islands SAP, including:

- a) a pilot phase of support, which underpinned successful efforts to conclude and bring into force the WCPFC Convention, and
- b) the PIOFMP-I, which focused on the early stages of establishment of the WCPFC and the reform, realignment, restructuring and strengthening of SIDS national fisheries laws, policies, institutions and programmes to take up the new opportunities which the WCPFC Convention created and discharge the new responsibilities which the Convention placed on Pacific SIDS.

Now, GEF assistance is sought for a new Pacific Islands OFMP-II Project to support Pacific SIDS as they move on from the foundational, institutional capacity-building activities into an implementation phase to achieve systematic, sustained changes in fishing patterns and on-the-water behaviour. This is the source of the title of this Project:

Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS);

and its objective:

To support Pacific SIDS in meeting their obligations to implement and effectively enforce global, regional and sub-regional arrangements for the conservation and management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries;

with the emphasis on implementation.

2.2 POLICY CONFORMITY

2.2.1 Conformity with GEF Policy and Objectives

The Project directly addresses the updated **IW Goal for GEF-5** of:

Promotion of collective management for transboundary water systems and subsequent implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services.

It also follows exactly the **IW strategy for GEF-5**, building on the foundational capacity building catalysed in GEF-3 centred on establishment of the WCPFC and national institutional strengthening, and moving on to scale-up national action, and catalyze implementation of WCPFC CMMs, in the

circumstance where the WCPFC is probably globally the most prominent multi-State LME institutional outcome of previous GEF operations.

In particular, it will contribute significantly to achievement of the IW GEF5 Objective 2: *catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change* and associated outcomes and indicators as summarised in the table below.

Expected IW Outcomes for Objective 2	Indicators	Contributions of Proposed Project
Outcome 2.1: Implementation of agreed Strategic Action Programmes (SAPs) incorporates ecosystem-based approaches to management of LMEs, ICM principles, and policy/legal/institutional reforms into national/local plans	Indicator 2.1: Adoption or implementation of national/local reforms; functioning of national inter-ministry committees	National reforms and successful management measures will be delivered in Pacific SIDS in the WTPWP LME to ensure sustainability of the oceanic fishery resources.
Outcome 2.2: Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability	Indicator 2.2: Cooperation frameworks agreed and include sustainable financing	The WCPF Convention and the Commission were agreed and established with GEF support implemented by UNDP through FFA. The Commission is now financially self-sustaining; the proposed project will strengthen WCPFC further by supporting countries meet their obligations to the Convention to ensure long-term sustainability. In addition, the project will support the PNA who have the most productive tuna fishing grounds, to strengthen their subregional organization and management.
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 measureable results	Indicator 2.3: Measurable results for reducing land-based pollution, habitat, and sustainable fisheries from local demonstrations, including community benefits (disaggregated by gender)	There will be measurable results from innovative management arrangements including rights-based cap and trade management systems, enhanced compliance and enforcement schemes including port state controls and catch tracking, and by-catch mitigation arrangements. These results will include increased benefits for Pacific SIDS.
Outcome 2.4: Climatic variability and change at coasts and in LMEs incorporated into updated SAP to reflect adaptive management and ICM principles	Indicator 2.4: Updated SAPs and capacity development surveys	OFM aspects of the Pacific Islands IW SAP will be updated based on a new diagnostic analysis taking into account climate change and achievements in strengthening regional and sub-regional management arrangements

Importantly, the Project can be expected to provide one of the 5-6 examples of multi-state cooperation in an LME where 50% of the States adopt or implement national reforms and successfully demonstrate technologies and measures for sustainable fisheries while considering climatic variability and change, that is the **key target in the LME area for IW in GEF-5**

More broadly, the project will be a strong expression of the GEF commitment to support SIDS, being the clearest response of the global community, the UN system and the GEF in particular to:

- a) the commitment in the Rio+20 Outcome document to assist SIDS in “developing their national capacity to conserve, sustainably manage and realize the benefits of sustainable fisheries”;

- b) the call in the WSSD JPOI for actions to assist SIDS in fisheries, including to :

“Further implement sustainable fisheries management and improve financial returns from fisheries by supporting and strengthening relevant regional fisheries management organisations, and such agreements as the Convention on the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean”; and

- c) the agreement in the Mauritius Strategy to a range of assistance in fisheries to SIDS including:

To promote the full participation of small island developing States in regional fisheries management organizations;

It derives even greater significance as the project will support specific sub-regional groups of SIDS to achieve global environmental benefits through the management of fisheries on their shared oceanic fishery resources, which provide around a third of the worlds’ catches of tuna and related species, and over half of the world’s supplies for canned tuna.

Moreover, the project will enhance the achievement of a range of MDG targets through direct contributions to MDG 1 (Eradicate Extreme Poverty and Hunger) and MDG7 (Ensure Environmental Sustainability).

2.2.2 Conformity with FAO and UNDP policy

The proposed project is consistent with the UNDAF for the Pacific Sub-region (2013-2017) covering the Pacific SIDS except PNG. The UNDAF 2013-2017 was prepared by the UN agencies based in Fiji and Samoa, including UNDP and FAO and strives to make a difference in the Pacific by showing that *“the different members of the UN system and PACIFIC SIDS are on the same page as to development priorities, in-line with the imperatives and opportunities expressed in the Secretary-General’s Five Year Action Agenda of 2012; and by fully recognizing the diversity of PACIFIC SIDS it will work as a catalyst for addressing interrelated development challenges by approaching them from different, but complementary angles.”* The planned project outputs are directly aligned with the corresponding UNDAF Outcome Area 1 on Environmental management, climate change and disaster risk management, and Outcome Area 3 on Poverty reduction and inclusive economic growth, with the following sub-outcome statements:

- a) *Outcome 1.1:* By 2017, the most vulnerable communities across the PICTs are more resilient and select government agencies, civil society organizations and communities have enhanced

capacity to apply integrated approaches to environmental management, climate change adaptation/mitigation, and disaster risk management; and

- b) *Outcome 3.1:* By 2017, inclusive economic growth is enhanced, poverty is reduced, sustainable employment is improved and increased, livelihood opportunities and food security are expanded for women, youth and vulnerable groups and social safety nets are enhanced for all citizens.

The project also fits with the UNDAF for PNG (2012-2015) outcome related to Environmental Management which targets “having regulatory frameworks in place to protect its natural resources and biodiversity for the effective benefit of current and future generations. It also links with UNDP Strategic Plan, specifically Output 2.5 “Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation, and the indicator for Output 2.5.3 “Number of countries implementing national and sub-national plans to protect and restore the health, productivity and resilience of oceans and marine ecosystems”. This programme was prepared jointly by the UN agencies in PNG, including UNDP and FAO.

The project also fits with FAO’s Strategic Framework 2010 – 2019 which, identified among other challenges, the significant pressures on natural resources (including aquatic resources and biodiversity) while, at the same time, noted the existence of a number of opportunities to address these challenges. These included the following specifically relevant to the Project: (i) global governance mechanisms to address issues common to countries (including the loss of biodiversity and declining fish stocks); (ii) increased public awareness of the environmental dimensions of food production, including the importance of making food supply chains more environmentally friendly; and (iii) the role of technological development in addressing environment problems. More specifically, the Framework highlighted the importance of ensuring long term sustainability of fishery resources through management regulations and institutional measures that address IUU fishing and the need for adoption and implementation of an ecosystem based approach to fisheries.

To guide the Organization’s response to priorities identified in the Framework a series of Strategic Objectives (SOs²⁹) were formulated including one on “Increasing and improving provision of goods and services from agriculture, forestry and fisheries in a sustainable manner. Specifically the Project supports FAO’s SO-2 through promoting the implementation of various aspects of FAO’s Code of Conduct for Responsible Fisheries including: (i) strengthening regional and national regulatory frameworks that call for the effective management and conservation of fisheries; (ii) ensuring the conservation of aquatic biodiversity and health and productivity of ecosystems supporting fishery resources; and (iii) implementation of the ecosystem approach, Port State Measures and international guidelines on bycatch management and discards.

2.2.3 Conformity with Pacific SIDS Policy and Objectives

The Pacific Plan is the highest level regional policy instrument for Pacific SIDS. Adopted in 2005 and based on the Leaders’ Vision, progress on the Plan and on fisheries issues more generally is

²⁹ Reviewed Strategic Framework and outline of the Medium Term Plan 2014-17. FAO Council Document CL145/4

reviewed by Pacific Islands Leaders at their Annual Forum meeting. In the communique from the 2102 Forum:

Leaders called for science-based management action to address overfishing, including the adoption of appropriate management measures by the Western and Central Pacific Fisheries Commission.

and

welcomed the positive outcomes from Rio +20 on the conservation and sustainable use of oceans and fisheries, and agreed to use these outcomes to build global consensus on the importance of sustainable development of the Pacific Ocean for the benefit of the peoples of the Pacific.

The PIOFMP-II Project addresses this regional priority closely and also fits neatly with the FFA Regional Tuna Management and Development Strategy and the FFA Regional Monitoring, Control and Surveillance Strategy which elaborate strategies for achieving the Pacific Plan goal for fisheries.

2.3 DESIGN PRINCIPLES AND STRATEGIC CONSIDERATIONS

The Project design builds on the successful design strategy of PIOFMP-I, with some additional elements in that:

- it will continue the catalytic and transformational role of the GEF in the management of oceanic resources in the region;
- it will build on the findings of the PIOFMP-I terminal evaluation report, which noted that the predecessor project has empowered the Pacific SIDS in their engagement with much larger countries and with international organizations. Even with such empowerment, however, the Pacific SIDS will be met with challenges as they negotiate their positions to ensure the conservation of and obtain sustainable benefits from their oceanic resources at the WCPFC and other relevant forums– but this time the focus shifts to the capacities needed to implement measures on the water;
- following the recommendations of the mid-term and terminal evaluations, there will be a shift in the Project balance from regional to sub-regional and national activities, although incremental regional activities will still be supported;
- at national level, the Project will focus on the need to ensure the sustainability of project outcomes through capacity-building, with the GEF grant financing the full range of capacity-building mechanisms (including workshops, courses, fellowships training of trainers, preparation of guidelines and best practices, and south-south technical cooperation with consideration of opportunities for the use of a Community or Communities of Practice), twinning technical activities with capacity-building and providing specific support in areas such as cost recovery to ensure the availability of financial resources to sustain Project-supported activities, as well as securing long term engagement by regional organisations and coordination with other donors, especially those involved in institutional strengthening;
- to execute the sub-regional activities, there will be new partnerships with PNA, MSG and TVM, and possibly other sub-regional arrangements. There will be a new focus in the sub-regional activities on supporting the certification of fisheries as sustainable;
- the implementation strategy will follow from the terminal report findings which highlighted *“the bringing together of a well-designed project, GEF funding, UNDP implementation, and*

the happy marriage of regional specialist delivery organizations that are specifically empowered by their PacSIDS membership to provide services to those same PacSIDS”;

- this time FAO with its considerable global experience in the promotion of ecosystems approaches to responsible fisheries management, is joining the partnership to provide even stronger assistance to the Pacific SIDS ;
- there will be powerful synergies with the outputs of the ABNJ global tuna project, and potentially also with outputs of the regional Oceanscape programme;
- a strengthened PITIA and WWF South Pacific will ensure quality NGO inputs and add value to efforts to increase outreach and understanding; and
- the design process has again included detailed consultations with SIDS administrations and broader stakeholders as reflected in the national reports set out in Annex F.

2.4 INCREMENTAL REASONING

This Project is designed to contribute to the incremental costs to Pacific SIDS of meeting their obligations under the UN Fish Stocks Agreement³⁰, the WCPF Convention, and other relevant global and sub-regional instruments, for the conservation and management of the oceanic fisheries resources of the WTPWP LME and protection of the LME from the impacts of oceanic fisheries.

Pacific SIDS played a full role in the preparation of the call in Rio Agenda 21 for an inter-governmental conference on high seas fishing, and in the negotiation of the UN Fish Stocks Agreement that was prepared by that conference. As a result of the Fish Stocks Agreement Pacific SIDS were committed to establishing new arrangements for the highly migratory fish stocks in the Western and Central Pacific Ocean. Their Leaders took the initiative in 1997 of calling on all States with a real interest in those stocks to participate in a conference to negotiate a new conservation and management arrangement which became the WCPF Convention. That Convention was brought into force largely by Pacific SIDS far more swiftly and with far greater participation by fishing states than expected, with GEF assistance.

The Commission created by the Convention has been established with substantial investments in science and compliance programmes, and its financial viability apparently assured under an arrangement where most of the Commission’s budget is paid by those who fish.

This has been a costly process, and the costs continue to be burdensome, particularly for SIDS and especially for the smaller SIDS. Those include the costs of:

- legal and institutional reforms that had to be undertaken before SIDS could become party to the UN Fish Stocks Agreement and the WCPF Convention;
- financial contributions to the Commission: the WCPFC budget is now several times higher than originally projected when it was established, with SIDS projected to contribute \$4.4 m over the 4-year Project life. The increase is largely due to a shift in approach among

³⁰ The United Nations Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (in force as from 11 December 2001)

Commission members from a minimalist “coordinating” WCPFC function to agreement on much greater direct WCPFC involvement in science, monitoring and compliance;

- participation in WCPFC-related activities: in a precedent-setting arrangement for RFMOs globally, the WCPFC budget funds one person from each SIDS to each meeting of the WCPFC and its sub-committees. While this arrangement is important, substantial costs are still incurred by SIDS in the preparation for and participation in WCPFC-related activities because the complexity of most meetings requires more than a single person delegation and because of the substantial staff time involved;
- strengthening of SIDS national legal, policy, monitoring, scientific and compliance programmes, one measure of which is the creation of over 70 permanent new posts in SIDS fisheries administrations and over 450 additional monitoring staff; and
- the economic costs of conservation and management actions to SIDS fleets and to foreign fleets fishing in their waters, which is reflected in reduced financial and economic benefits to SIDS. This is particularly important in terms of incremental costs where conservation actions for target and target stocks are largely focused on protection of juveniles found largely in spawning and nursery areas in the tropical and sub-tropical waters of Pacific SIDS, for the support of stocks occurring over much wider areas including large areas of global commons in the high seas.

The actions Pacific SIDS are taking to fulfill their obligations under the Fish Stocks Agreement and the WCPF Convention can be expected to create global benefits in several forms;

- i) by improving the conservation and management of globally important stocks of oceanic fishery resources targeted by the tuna fleets in the WCPO and non-target species adversely impacted by those fleets especially of sharks, seabirds and sea turtles;
- ii) by improving understanding at a broader level of the effects of oceanic fisheries on the WTPWP LME, providing a basis for ecosystem-based management of fishing in this LME that takes account of climate change and variability; and
- iii) by continuing to establish global precedents for innovative measures for oceanic fisheries management, precedents which are particularly powerful because they are being established by some of the world’s smallest countries.

Without the GEF assistance provided through this Project, Pacific SIDS will not be able to maintain progress in improving regional and national oceanic fisheries management. They will continue the substantial commitments they have been making, and this should avoid the potentially severe declines in the stocks of the region’s most valuable tuna species. But they are struggling to maintain the current level of commitments, and these efforts will still fall short of optimising the levels of fishing for the major target species and will not adequately address the impacts of oceanic fisheries on non-target species.

With the GEF assistance provided through this Project, Pacific SIDS will be supported and assisted to take additional steps to strengthen oceanic fisheries management in the WCPO, in particular through moving on from the strengthening of institutional, legal, policy making and monitoring programmes to the implementation of comprehensive measures to change on-the-water behavior; and through rights-based management, fishery certification, and transferring costs to fishers and consumers to ensure that the gains that are being made are sustainable beyond the life of the project.

In this context, the \$10 million GEF grant for this Project, and the associated leveraged co-financing, is an important contribution to support the incremental costs to Pacific SIDS of their efforts to reform and strengthen oceanic fisheries management in the WCPO, in accordance with their obligations under the Fish Stocks Agreement, the WPFC Convention and other relevant instruments.

2.5 PROJECT GLOBAL ENVIRONMENTAL BENEFITS AND OBJECTIVE

Global Environmental Benefit

The planned global environmental benefit for the Project is conservation of the globally important transboundary stocks of tunas, billfish and other large pelagic species, and the protection of the associated transboundary non-target species, especially of sharks, seabirds and sea turtles in the WTPWPLME, while considering climatic variability and change. This conforms closely with the IW GEF5 Objective 2: *catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change.*

It also matches closely with the following elements of the planned IW global environmental benefits:

- multi-state cooperation to reduce threats to international waters;
- restored and sustained marine ecosystems goods and services, including globally relevant biodiversity; and
- reduced vulnerability to climate variability and climate-related risks

The project impact on these planned benefits will be measured by the status of key tuna stocks and key non-target species. The key tuna stocks are bigeye, skipjack, south Pacific albacore and yellowfin tunas, which make up over 95% of the commercial catch in SIDS waters. The key non-target species include 13 species of sharks impacted by fishing, 5 species of sea turtles, seabirds and cetaceans.

The best way to assess the status of these stocks is by formal stock assessments, but even if assessments on all 4 key tuna stocks were conducted in the last year of the Project, which is unlikely, the most recent reliable estimates of fishing mortality would only be for year 2 of the Project, given data lags and uncertainty in the assessments, and the results would not adequately reflect the impacts of measures taken during the Project life. However, SPC undertakes scientific projections of the status of key tuna stocks, which are the main tool used by the WCPFC itself to assess management options and frame CMMs on these stocks. These projections will be used as the indicator of the sustainability of fishing under the CMMs, with provision for follow up using the stock assessments in year 8 – beyond the Project life.

Project Objective

The Project Objective is:

To support Pacific SIDS in meeting their obligations to implement & effectively enforce global, regional & sub-regional arrangements for the conservation & management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries

As explained in Section 2.1, this objective has its origin in the development of the relationship in oceanic fisheries between the GEF and Pacific SIDS, which began with a pilot phase that supported Pacific SIDS to conclude and bring into force the WCPF Convention, and then through the PIOFMP-I supported Pacific SIDS as they worked on the establishment of the WCPFC and the reform, realignment, restructuring and strengthening of their national oceanic fisheries laws, policies, institutions and programmes to take up the new opportunities created and discharge the new responsibilities which the Convention placed on them. Against that background, the objective of this Project is to support Pacific SIDS as they take the next step, and move on from foundational, institution-building activities to meeting their obligations to put in place regional, sub-regional and national conservation and management measures designed to change on-the-water behaviour in directions that both conserve and protect, creating global environmental benefits, and sustainably increase economic benefits to Pacific SIDS from these transboundary resources. Indicators of achievement of this objective focus on the extent of compliance by Pacific SIDS with their WCPFC obligations, and the levels of economic benefits they secure in terms of access revenues and employment.

2.6 PROJECT COMPONENTS, OUTCOMES, AND OUTPUTS

To achieve the Global Environmental Benefits and Objective described above, the Project has three technical components, which are specifically designed to address the project objective with outcomes at three levels, regional, sub-regional and national, plus a component designed to provide for stakeholder participation and knowledge management, and a project management component as follows:

Component 1: Regional Actions for Ecosystem-Based Management,

Component 2: Sub-regional Actions for Ecosystem-Based Management,

Component 3: National Actions for Ecosystem-Based Management,

Component 4: Stakeholder Participation and Knowledge Management; and

Component 5. Project Management.

Structured in this way, the Project:

- a) supports Pacific SIDS as the major bloc at the WCPFC to adopt regional conservation and management measures, through Component 1;
- b) supports the innovative approaches being developed by Pacific SIDS at sub-regional level as they collaborate in fisheries of common interest through Component 2; and
- c) assists SIDS to apply measures nationally in their own waters and to their fleets through Component 3, which is the major component of the Project.

A fourth technical component targets enhanced stakeholder participation, including industry participation in oceanic fisheries management processes, and improved understanding and awareness generally of the challenges and opportunities facing Pacific SIDS in oceanic fisheries management.

Component 1: Regional Actions for Ecosystem-Based Management

With the WCPFC established and the early stages of its scientific and compliance framework largely in place, Component 1 will support the implementation at regional level of conservation and management measures to effect real on-the-water changes in how fishing activities impact on the target stocks and non-target species.

The major focus of Component 1 is on the adoption and implementation of measures by the WCPFC. The Pacific SIDS are the major single group of Members of the WCPFC, making up 14 of the 25 Members of the Commission, with over 60% of the WCPO catch in their waters, and much of the balance in adjacent high seas. Working with other like-minded Commission Members, especially Australia and New Zealand as FFA Members, and cooperating more broadly with other Commission members, Pacific SIDS have largely set the agenda at the WCPFC, with many of the WCPFC measures based on extending measures adopted collectively by Pacific SIDS for their waters into ABNJ and the national waters of other Commission members.

The component has two expected outcomes and five planned outputs. Expected Outcome 1.1 targets the adoption by the WCPFC of stock-related conservation and management measures and legal/compliance related conservation and management measures. Expected Outcome 1.2 is targeted at assisting the adaptation to climate change and variability of Pacific SIDS oceanic fisheries management strategies and the maintenance of their fisheries jurisdictions in the face of sea level rise. The Pacific Islands TDA and IW SAP will be updated to reflect improved understanding of issues related to climate change and variability and other relevant institutional and economic developments, particularly the establishment of the WCPFC.

Expected Outcome 1.1: *A comprehensive set of innovative on-the-water conservation and management measures (CMMs) adopted and applied by the WCPFC for stocks of the WTPWP LME, incorporating rights-based and ecosystem-based approaches in decision-making and informed by sound scientific advice and information.*

Two outputs will contribute to this outcome. Output 1.1.1 will support the preparation of stock-related CMMs and Output 1.1.2 will support the preparation of CMMs related to the legal framework and compliance. The outputs will be implemented by FAO and executed by FFA. The planned outputs are:

Output 1.1.1: *Ecosystem-based CMMs to control fishing mortality for the 4 major target stocks & to mitigate fishing impacts on key non-target species reflecting global best practices supported by all Pacific SIDS are submitted to WCPFC for adoption:*

GEF funding, substantially co-financed by FFA and SPC, will support Pacific SIDS participation through regional workshops and technical advice in the adoption of a comprehensive set of practical CMMs by the WCPFC for target stocks and non-target species. The initial priority of this work will be on measures to reduce overfishing of bigeye tuna, conserve albacore tuna and optimize the value of the purse seine fishery for skipjack. More generally, it will include:

- a) establishing measures based on reference points and harvest control rules for key target stocks, building on the work on the application of the precautionary approach and management strategy frameworks that will be supported by the ABNJ Project; and

- b) longer term measures for protection of non-target species based on the best available scientific information to replace the current ad hoc measures, including species-specific measures for the conservation and management of sharks, which will be strengthened by the work on sharks that will be supported through the ABNJ Project.

A major element of this work is support for Pacific SIDS preparation for the WCPFC Scientific Committee, TCC and Commission sessions, including the presentation of briefs at preparatory working groups before these sessions, meeting support for these sessions, and annual Management Options Consultations on key WCPFC issues. The Consultations are timed to enable FFA Members to be able to prepare proposals for adoption by the annual sessions of the WCPFC. This stream of support will contribute to placing Pacific SIDS in a position to substantially influence the WCPFC consideration of conservation and management measures. This area was identified in the national consultations as one of the two main country priorities for PIOFMP-II. Targets include having CMMs reflecting global best practices submitted to the Commission and supported by SIDS for conservation and management of south Pacific albacore, bigeye, skipjack and yellowfin tuna, and protection of all key non-target species; and 80% participation maintained by SIDS in all relevant WCPFC meetings, with SIDS personnel holding senior offices in the WCPFC and its subsidiary bodies. GEF financing is planned to provide for specialist technical advice and support for one annual technical consultation of Pacific SIDS.

In addition, GEF financing is planned to support a Train-Sea-Coast (TSC) course on Responsible Fisheries, which FFA will arrange to be delivered by an appropriate academic institution. The TSC Programme is part of a larger United Nations system-wide capacity-building initiative that promotes global cooperation in training development and implementation through the creation of training networks made up of interested academic and other institutions from both developed and developing countries. The TSC courses include units specifically developed for use by GEF IW Projects, including IW LME Projects. A Pacific Islands version of the TSC course developed previously will be updated to provide senior fisheries management officials and legal personnel with a comprehensive understanding of the current global and regional legal and policy frameworks for responsible fisheries. Indicators for this output include the extent of submission of proposals for WCPFC CMMs by Pacific SIDS on key tuna stocks and key non-target species; and SIDS participation in WCPFC sessions.

Output 1.1.2: WCPFC & other regional legal arrangements and compliance mechanisms in 8 key areas to implement CMMs effectively & deter IUU fishing prepared and/or supported by all Pacific SIDS

Whereas Output 1.1.1 is aimed at delivering stock-specific conservation measures, the Output of 1.1.2 is aimed at securing the legal and compliance framework for ensuring that the stock-related measures are effectively applied. GEF funds, heavily co-financed by FFA will provide technical assistance from legal and compliance specialists (emphasizing the use of regional personnel) to support Pacific SIDS participation in the development and strengthening of WCPFC legal arrangements and compliance mechanisms to implement CMMs effectively and deter IUU fishing in 8 key areas as follows:

- i) Vessel Monitoring System (VMS)

- ii) Regional Observer Programme (ROP)
- iii) Compliance Monitoring Scheme (CMS)
- iv) High Seas Boarding & Inspection (HSBI)
- v) Port State Measures
- vi) Catch Tracking/Documentation Scheme (CDS)
- vii) FFA Harmonised Minimum Terms and Conditions (MTCs)
- viii) Niue Treaty Implementing Arrangements

including ensuring the effectiveness of the existing WCPFC VMS, observer, IUU listing, transshipment regulation, and high seas boarding and inspection programmes and adopting new WCPFC port state and CDS measures in a way that will complement the work of the ABNJ Project supporting implementation of the FAO PSM at national level and preparation and application of best practices for traceability/catch tracking/CDS.

The focus of the work is on the preparation and implementation of proposals for WCPFC Technical and Compliance Committee (TCC), noting that the direct costs of Pacific SIDS participation in TCC meetings are met from the Commission budget, and supporting consultations and workshops on other regional legal arrangements and compliance mechanisms, including the FFA Harmonised Minimum Terms and Conditions for Access and the Niue Treaty.

Expected Outcome 1.2: *Adaptive management of oceanic fisheries in the Western Tropical Pacific Warm Pool LME is put in place through better understanding of the impacts of climate change*

The outputs for this outcome are aimed at the systematic inclusion of considerations related to climate variability and change in oceanic fisheries management decisions and policy-making, and in an updated SAP. The planned outputs are described below. Outputs 1.2.1 and 1.2.2 will be implemented by FAO and SPC. Output 1.2.3 will be implemented by UNDP, which was involved with FFA in the preparation of the original TDA and SAP.

Output 1.2.1: *Climate change forecasts and vulnerability of the Pacific SIDS region assessed in relation to 4 key target stocks and 6 key bycatch species assessed and results and recommendations communicated to managers of potential impacts on oceanic fisheries:*

An ecosystem modelling specialist, based at SPC, will use SEAPODYM, a spatial ecosystem and population dynamics model, to forecast impacts of climate change on target species, and begin assessment of impacts on key bycatch species as a basis for providing advice on impacts of climate variability and change on oceanic fisheries. A central element of the work is to establish a programme of analysis of samples of stomach contents collected by onboard observers that will provide long-term time series data on proportions and distribution of small fish and squid which have a major influence on tuna distribution and abundance. The results will be presented at regional scientific and policy meetings, and will be published. A concluding analytical report will provide advice with recommendations to assist Pacific SIDS to adapt their oceanic fisheries management strategies to climate change and variability.

Output 1.2.2: Sea level rise impacts on fisheries jurisdictions assessed for 14 Pacific SIDS & Pacific SIDS governments informed on priority areas of action and policy options, with related initiatives and related training of at least 45 personnel:

The activities of this output are fully co-financed by FAO, FFA and Pacific SIDS. The assessments will consider the impacts of climate changes on fisheries jurisdictions, especially EEZs, including concepts for preserving the sovereign rights over fishery resources and associated benefits of peoples who face the complete loss of their home islands. Activities will include:

- National and regional capacity to assess the impacts of sea level rise on jurisdictional claims enhanced through training
- review of economic, technical and legal issues related to the potential loss of current/declared fisheries jurisdictional claims due to sea level rise, and options for the retention of current claims in terms of socio-economic impacts and sound oceanic fisheries management;
- assessment of the implications of these issues for individual Pacific SIDS, especially those most vulnerable to sea level rise;
- assessment of the broader implications of these issues for cooperative management of the transboundary oceanic fish stocks; and
- consultation meetings for presentation of findings of technical and legal issues to relevant policy makers/decision makers at the national and regional levels, and development of strategies to present common Pacific SIDS positions regarding the impact of climate change on fisheries jurisdictions in relevant regional and global fora.
- Knowledge hub established

Output 1.2.3: Updated TDA for oceanic fisheries and updated oceanic fisheries management aspects of the Pacific Islands IW SAP.

UNDP and FFA will collaborate to support refreshing the TDA and SAP as starting points for the partnership between the GEF and Pacific SIDS in oceanic fisheries. FFA will undertake the preparation of updated oceanic fisheries management aspects of the TDA and SAP with regional specialists. With the WCPFC in place, the major management deficiency identified in the SAP has been addressed, and the TDA needs to be redone and the SAP updated to reflect this progress. Concerns arising from the impacts of climate change and variability, the effects of greatly increased fishing pressure on target stock status and non-target species and information, and other institutional changes including the emergence of the sub-regional organisations and arrangements also need to be incorporated into the TDA and SAP. The work will include:

- review of the oceanic fisheries aspects of the original TDA, drawing on the Regional Tuna Management and Development Strategy adopted by FFA Members
- consideration of the updated oceanic fisheries aspects of the TDA for endorsement by Pacific SIDS,
- review of the oceanic fisheries management aspects of the Pacific Islands IW SAP
- consideration of the updated oceanic fisheries aspects of the of the Pacific Islands IW SAP for endorsement by Pacific SIDS through the RSC and adoption by FFA Ministers

Component 2: Sub-regional Actions for Ecosystem- Based Management

Component 2 will support the strengthening of sub-regional management arrangements among Pacific SIDS. The component will be implemented by FAO, and executed by FFA, who will arrange the provision of support to PNA, TVM, MSG and other sub-regional organizations or arrangements as appropriate.

Expected Outcome 2.1 is: *Sub-regional CMMs are operationalized and enforced, including rights-based cap and trade arrangements for in-zone tuna fisheries, enhancing ecosystem sustainability and incentivized by sustainable fishery certifications.*

There are three planned outputs relating separately to the PNA, TVM and other sub-regional arrangements, most likely to be focussed on MSG, respectively as outlined below.

Output 2.1.1: *Recommendations of the external review of the PNA VDS being implemented and applied to 1 million tonnes of catch annually in the EEZs of 7 of the 9 participating SIDS, including 10,000 tonnes marketed as MSC-certified*

The PNA VDS for the purse seine fishery has recently been described as the world's leading multilateral rights-based cap and trade management arrangement for tuna fisheries, covering fishing with an annual landed value of catches of over \$3 billion, providing up to 50% of national government revenue for some Pacific SIDS. The VDS has become centrally important in the conservation and management of tropical species in WCPO, and at the same time is in the process of increasing access fees to Pacific SIDS PNA Members by double and more. However the Scheme is in the earliest stages of its development, and needs to be made more effective in terms of both stock and fishery sustainability and economic returns to the SIDS involved. In addition, the PNA free school skipjack fishery is the largest tuna fishery globally to be certified as sustainable by the Marine Stewardship Council (MSC), largely on the basis of the VDS. However the certification is subject to a demanding set of conditions, which require improving the overall management of the purse seine fishery including the adoption of reference points and harvest control rules, improved bycatch mitigation, and improved transparency in decision-making, and to chain of custody requirements to ensure that only fish caught in accordance with the certification conditions is marketed as certified by the MSC. In an innovative addition, PNA have also established a global marketing venture, PACIFICAL, through which PNA tuna businesses can trade the MSC-certified product at a premium. The certification requires tracking of catch from the vessels through processing to markets. The support provided under Output 2.1.1 is designed to enable the PNA Pacific SIDS to take the purse seine VDS and the PNA free school certification to a stage where they are self-financing.

One set of activities under this output will support the PNA Office work with Pacific SIDS PNA Members to strengthen the purse seine VDS. GEF financing is planned to support:

- policy studies, consultations and workshops to strengthen the purse seine VDS, building on the outcomes of the VDS External Review planned to be undertaken under the GEF/FAO ABNJ Project. This will include the preparation of a workplan in response to the VDS External Review, preparation and implementation of proposals to strengthen the VDS, high level meetings to review the External Review outcomes and proposed responses, enhancing the VDS Fisheries Information and Management System, and technical and scientific

consultations workshops to implement VDS reforms and advance related measures to strengthen the management of the PNA fisheries, including the adoption of target reference points and harvest control rules for skipjack. This work will be a major element of the Project as a whole, and the target is to have the recommendations of the Review being implemented and applied to 1 million tonnes of catch in the EEZs of 7 of the 9 SIDS participating in the VDS, allowing for some realistic differences in the speed of progress of SIDS in implementing the recommendations;

- finalizing arrangements for implementation of a longline VDS, and providing advice on implementation of longline VDS
- attachments and study visits of national personnel involved with VDSs to FFA, PNAO and other VDS participant countries.

A second set of activities will support the PNA Office in assisting Pacific SIDS PNA members to meet the MSC conditions for certification of the sustainability of the PNA free school skipjack fishery, including the annual auditing of PNA compliance with the certification conditions and chain of custody requirements; and will provide training on MCS certification chain of custody requirements.

A regional fisheries management specialist will be appointed to the PNAO to lead this work.

Output 2.1.2: National harvest rights established and monitored for the 5 SIDS TVM participants:

The recently established TVM Group has taken a leading role in working with other Pacific SIDS and territories and fishing states to establish enhanced conservation and management arrangements for the fisheries for south Pacific albacore. Support to Pacific SIDS TVM Members will be aimed at establishing national harvest rights for albacore, and other national harvest rights, including for the purse seine fishery; and establishing systems and operational activities to support TVM rights-based management through consultations and workshops, and technical advice.

Output 2.1.3: Enhancements to other sub-regional management arrangements: this element has been included to provide some flexibility for the Project to respond to other emerging sub-regional arrangements, particularly under the MSG, the members of which are responsible for substantial catches across several oceanic fisheries. It will also provide for possible support through workshops and technical advice to other emerging innovative sub-regional management arrangements, such as sub-regional trading and pooling arrangements that are currently under consideration.

Component 3: National Actions for Ecosystem-Based Management

Component 3 addresses national actions for ecosystem-based management. This is the major Project component, with almost half the budget for Project technical activities. Two outcomes are separately targeted:

- i) effective on-the-water application of conservation and management measures by SIDS, and

- ii) development of integrated data and information systems for science, policy-making, monitoring and compliance, and provision of scientific analysis to support the application of CMMs.

The two outcomes work together in that the national scientific and data analysis supports the adoption of CMMs at regional, sub-regional and national levels, and then provides a flow of information on fishing activities and catches which contributes to ensuring that the CMMs are being effectively applied.

Expected Outcome 3.1: *Innovative ecosystem-based on-the-water conservation and management measures (CMMs) being effectively applied by Pacific SIDS in accordance with national plans and policies and with international, regional and sub-regional commitments and other relevant instruments*

Three outputs are designed to contribute to this outcome. Output 3.1.1 is aimed at seeing regional and sub-regional CMMs, supplemented by national CMMs adopted at national level and included in national plans and policies. Output 3.1.2 supports SIDS in the next step of translating measures in plans and policies into binding legal requirements in national laws, regulations and licence conditions, and having these followed up through enhanced monitoring, control and surveillance. A 3rd output focuses on the application of CMMs for bycatch management because of the current importance of bycatch mitigation.

This outputs for this outcome will be implemented by UNDP and executed by FFA, with substantial co-financing by FFA and Pacific SIDS. The planned outputs are:

Output 3.1.1: *9 new national oceanic fisheries management plans and/or policies in support of ecosystem-based management adopted with enhancement of fisheries management skills of 60 SIDS fisheries management personnel in all 14 SIDS*

Country-driven, prioritised programmes of work at national level to strengthen national institutions, plans, policies, programmes and projects will be established and updated through facilitation by the FFA. Based on these programmes, the Project Fisheries Management Advisor, supported by the CTA/Project Coordinator and Project-funded consultants, and coordinating with other FFA staff will support in-country activities to strengthen national fisheries management institutions, plans, policies, programmes and projects through technical advice and national workshops and consultations. SIDS will identify appropriate individuals for attachments and study visits of national management planning and policy personnel to FFA and other SIDS that will support the in-country activities. The targets are to have new national oceanic fisheries management plans and/or policies adopted in at least 9 SIDS in support of ecosystem-based management, national capacity building and awareness raising activities conducted in all 14 Pacific SIDS, and at least 60 management personnel in 14 SIDS trained in fisheries management, planning and policy. The target of 9 SIDS adopting new plans and/or policies is based on an analysis of existing Services Level Agreements (SLAs) between FFA and each of its Pacific SIDS Members identifying needs for assistance over the period 2014-2017, including needs for assistance in the development of new oceanic fisheries management plans and policies..

Output 3.1.2: *11 revised national laws and regulations, and/or strengthened MCS programmes, and updated licence conditions in all 14 SIDS to operationalise WCPFC CMMs and other relevant conservation and management instruments with support through skills enhancement of law and compliance in 14 SIDS:*

Programmes of national legal and MCS work will be established and updated to support national legal and MCS reviews and preparation of NPOA-IUUs, including consultations, workshops, participation in FFA MCS working group meetings and attachments and study visits. Templates will be prepared to assist the implementation of WCPFC CMMs, and other regional and sub-regional arrangements in national laws, regulations and licensing arrangements. Targets include having revised national laws, regulations, license conditions and strengthened MCS programmes in at least 11 SIDS, and at least 55 legal and 320 fisheries compliance officers trained to implement WCPFC CMMs, FFA MTCs and national laws. The target of 11 SIDS revising their national laws and regulations and/or strengthened national MCS programmes is based the analysis of needs for assistance over the period 2014-2017 referred to in the description of Putout 3.1.1 above. This work will be led by legal and MCS specialists co-financed by FFA. GEF financing will support annual legal and MCS consultations and workshops, in-country legal and MCS courses and workshops, and legal and MCS attachments and study visits between Pacific SIDS and to FFA.

Output 3.1.3: *Mitigation measures for key bycatch species, including key shark species, integrated into national management planning processes by at least 11 SIDS.*

A review of the pattern of implementation by Pacific SIDS of sub-regional and regional bycatch measures, including those emerging from the WCPFC on sharks, and global bycatch instruments will be undertaken by the FFA in coordination with the CTA and Project Fisheries Management Adviser. This will guide the provision of advice and assistance to Pacific SIDS by the Fisheries Management Adviser and FFA specialists supported by Project-funded consultants to prepare National Plans of Action and National Management Plans for bycatch, and revise laws, regulations and licence conditions related to bycatch. This work will be enhanced by the establishment of a shark data inventory and assessment catalogue and additional Pacific shark stock assessments, and the strengthening and globalization of the WCPFC Bycatch Management Information System to be undertaken by the FAO ABNJ Project.

Expected Outcome 3.2 is: *Integrated data and information systems and scientific analysis being used nationally for reporting, policy-making, monitoring and compliance,*

The outputs for this outcome will be implemented by UNDP and executed by SPC, with substantial co-financing by SPC. The planned outputs are:

Output 3.2.1: *Upgraded national data & information management systems developed & operationalized in 10 SIDS with training for around 350 personnel:*

The National Tuna Fisheries Database Management System (TUFMAN) is a database tool developed for Pacific SIDS to manage their tuna fishery data. It provides for data entry, data management, data quality control, administration, and reporting. The system is basically the same throughout the region

but is set up specifically for the needs of each of the individual countries. The current system supports data related to licensing, port sampling, logsheets, and observer trips. VMS is providing a valuable new source of real time data about vessel operations that is useful in the first instance, as the name implies, for vessel monitoring, but VMS data also provides opportunities for real-time estimation of catch and effort. Currently, most national data systems are nationally hosted, with data entry occurring locally. The data are periodically and manually synched with regional databases. The national consultative missions for project design identified the inclusion of VMS and unloadings data in TUFMAN as important elements in improving oceanic fisheries management and MCS in particular. They also requested improved integration of all elements of data related to oceanic fisheries.

To achieve this output, TUFMAN will be upgraded to include enhanced use of VMS data for catch and effort estimation, and comprehensive unloading data collection. Support will be provided for national Fisheries Information Management Systems (FIMS), including the integration of data used for science, monitoring and management, to develop/support national data warehouses. The TUFMAN Audit System will be enhanced and in-country data audits will be conducted. A web-based TUFMAN reporting system will be developed which can access both local and cloud-based national databases. The objective is for all national data (with some specific exceptions for confidentiality reasons) ultimately to be synched to a “cloud”-based platform, to allow efficient remote access to data by national staff and incorporation into regional databases. As the system develops, some countries may opt for direct entry and routine access to data via the cloud, depending on internet band width and national policies. However, regardless of whether national systems are national-based or cloud-based, all appropriate data will be integrated into regional databases and available for analysis by regional agencies according to their mandates.

Targets for this output include upgraded data and information systems in place and used in 10 SIDS; comprehensive integrated data and information systems being put in place and used in at least 4 SIDS, and training provided to around 350 national monitoring & data personnel. This work will be led by a GEF-financed National Information Systems Analyst/Developer based at SPC.

Output 3.2.2 National scientific analysis and support for ecosystem-based management of oceanic fisheries provided to all 14 Pacific SIDS, with training for around 120 personnel

A National Scientific Support Specialist based at SPC will lead the preparation of national assessments of regional, sub-regional and national management issues. Country-specific assessments will be prepared collaboratively with SIDS national staff for all Pacific SIDS and presented through reports, presentations, and national web pages that support fisheries management decision making at a national level, and through participation in in-country Tuna Management Planning consultations and stakeholder workshops. This work will be closely coordinated with the activities undertaken under Output 3.1.1, with the scientific analyses contributing to and underpinning the preparation of national fisheries management plans and policies.

Training will be provided to around 120 national scientific and technical staff in stock assessment and ecosystem analysis, including through GEF-funded capacity building workshops to enhance SPC members understanding and use of stock assessment information, and online stock assessment

training revision exercises to consolidate participants understanding of regional stock assessments. The workshops will be supplemented by attachments of national fishery scientific and technical staff to SPC Headquarters to enhance capacity to interpret and analyse national fisheries data and information. Advice will be provided on scientific aspects of WCPFC issues, including within briefs, preparatory sessions for Pacific SIDS for WCPFC Scientific committee meetings, and regional management consultations organised by the FFA under Output 1.1.1.

Component 4: Stakeholder Participation and Knowledge Management

There has been a massive increase in interest and participation by broader stakeholders and national, regional and international media generally in WCPO oceanic fisheries affairs driven largely by developments at the WCPFC, and by some of the more prominent Pacific SIDS' initiatives, especially the PNA purse seine VDS. The development of knowledge management processes and information systems was an area of weakness in PEOFMP-I that was picked up in the Mid-term Evaluation and subsequently enhanced. Component 4 will further increase multi-stakeholder participation including greater fisheries industry engagement and greater awareness with respect to oceanic fisheries management. This component will be implemented by FAO and executed by FFA, in close collaboration with UNDP and the other executing partners.

Expected Outcome 4.1 is: *Greater multi-stakeholder participation in the work of the national and regional institutions with respect to oceanic fisheries management, including greater fisheries industry engagement and participation in Project, FFA, WCPFC and sub-regional activities.*

The planned outputs for this outcome are:

Output 4.1.1 *Broader stakeholder (Pacific SIDS, regional institutions, fishing industry and business sector, environmental NGOs, local NGOs, civil society, among others) awareness and involvement:*

Partnerships will be formally established with PITIA and WWF South Pacific. The partnership with PITIA will be aimed at both improving industry understanding of oceanic fisheries conservation and management issues, and enhancing the industry contribution to oceanic fisheries decision-making at regional, sub-regional and national levels, including supporting PITIA participation in WCPFC and FFA processes, internal PITIA dialogue, publishing of material relating to the socio-economic value of sustainable tuna fishery industries to Pacific SIDS communities and the benefits the importance of conservation and management actions, and broader engagement with private sector bodies generally (such as Chambers of commerce) on tuna development and management issues. The partnership with WWF includes supporting WWF participation in WCPFC and FFA processes, with follow up in-country workshops and development and use of materials to promote advocacy for sustainability in fisheries and marine environmental awareness.³¹

³¹ See for example http://www.wwfpacific.org.fj/what_we_do/offshore_fisheries/fact_sheets/

Output 4.1.2: *Increased awareness and coordination through project workshops and meetings contributing to wider support for national, sub-regional and regional project activities with increased participation by women:*

Activities contributing to this output include an Inception workshop led by the GEF Agencies for the purposes of ensuring that the roles and responsibilities for project implementation are well understood. Pacific SIDS will nominate individuals as National Focal Points (NFPs) who will take responsibility for their countries' representation at the project's Regional Steering Committees that will be coordinated by the PMU and held annually for the purposes of oversight of the project and its progress. These individuals are also key for the establishment of National Consultative Committees (NCCs) in each country at which country specific project related matters are raised. A challenge for the PMU will be to ensure that GEF and GEF Agency branding is prominent particularly for activities that will be delivered through the work programmes of the FFA and SPC and involve other funding sources.

The functions of the RSC include promotion of coordination with other projects and relevant initiatives, particularly the FAO-implemented ABNJ Tuna Project where there is a specific need for effective communication and collaboration during planning as well as implementing phases of the work program.

Output 4.1.3 *Effective project implementation through monitoring and evaluation with feedback mechanisms utilizing the regional and sub-regional arrangements and existing national mechanisms:*

Monitoring and evaluation arrangements are further described in Section 7. They include a baseline study as early as possible at project start of the project coordinated by the PMU. An independent mid-term evaluation and terminal evaluation coordinated by the GEF Agencies will be undertaken at the midpoint and within months of the close of the project, respectively.

Expected Outcome 4.2 is: *Increased awareness of oceanic fisheries resource and ecosystems management and impacts of climate change*

The planned output for this outcome is:

Output 4.2.1 *Knowledge management and information systems that support communications and advocacy efforts by Pacific SIDS for the best management of their oceanic fisheries resources, including creation of a project website, publications, participation in relevant UNDP, FAO and GEF events and information exchanges particularly in IW:LEARN*

The CTA/Project Coordinator will be responsible for the activities in this area, supported by technical specialists from FFA and consultants. The work will be guided principally by the development and early adoption of a Project Knowledge Management and Information System Strategy, based on the Strategy adopted for PIOFMP-I. The Strategy is to be principally targeted at addressing the lack of understanding by Pacific Islanders about their own oceanic fisheries resources and their importance to international waters management and global biodiversity, while also improving awareness and understanding of the Project and sharing Project outcomes globally. The dissemination of information and best practices will occur through activities that include design and preparation and

use of logos and other Project identifiers, Project Website, Project Document Cataloguing System, webpage operations, links with IWLearn, Project information materials, including CDs, papers, videos, pamphlets, newsletters, interviews, press releases, and Project and SIDS representation at biennial IW conferences and the communication of best practices and experience notes at IW Learn events and other regional and international meetings on oceans.

Component 5: Project Management

The intended outcome of the Project Management Component is:

Outcome 5.1 *Project effectively managed and coordinated between implementing and executing agencies and other participants in the Project; effective participation in Project management and coordination by stakeholders; reports on Project progress and performance flowing between Project participants and being used to manage the Project.*

The Project Management component will be implemented by UNDP, in close collaboration with FAO, and executed by FFA. The day-to-day project management is the responsibility of the PMU from providing technical advice project participants to ensuring there is effective project coordination, participation by stakeholders and progress and performance reporting in the respective GEF Agency formats. As the project secretariat the PMU will organize facilities and administrative requirements for regional workshops and meetings related to the Project and administer disbursements in accordance with UNDP and FAO rules and procedures. Independent financial audits will be coordinated by the GEF Agencies.

3. PROJECT RESULTS FRAMEWORK:

Applicable GEF Strategic Objective and Program: IW GEF5 Objective 2: *catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change*

PIOFMP-II can be expected to provide one of the 5-6 examples of multi-state cooperation in an LME where 50% of the States adopt or implement national reforms and successfully demonstrate technologies and measures for sustainable fisheries that is the key target in the LME area for IW in GEF-5 while considering climatic variability and change

Applicable GEF Expected Outcomes:	Applicable GEF Outcome Indicators:	Contributions of Proposed Project
Outcome 2.1: Implementation of agreed Strategic Action Programmes (SAPs) incorporates ecosystem-based approaches to management of LMEs, ICM principles, and policy/legal/ institutional reforms into national/local plans	Indicator 2.1: Adoption or implementation of national/local reforms; functioning of national inter-ministry committees	National reforms and successful management measures will be delivered in all Pacific SIDS in the WTPWP LME to ensure sustainability of the oceanic fishery resources.
Outcome 2.2: Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM frameworks demonstrate sustainability	Indicator 2.2: Cooperation frameworks agreed and include sustainable financing	The WCPFC Convention and the Commission were agreed and established with GEF support implemented by UNDP through FFA. The Commission is now financially self-sustaining; the proposed project will strengthen WCPFC further by supporting countries meet their obligations to the Convention to ensure long-term sustainability. In addition, the project will support the PNA who have the most productive tuna fishing grounds, to strengthen their subregional organization and management.
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 measureable results	Indicator 2.3: Measurable results for reducing land-based pollution, habitat, and sustainable fisheries from local demonstrations, including community benefits (disaggregated by gender)	There will be measurable results from innovative management arrangements including rights-based cap and trade management systems, enhanced compliance and enforcement schemes including port state controls and catch tracking, and by-catch mitigation arrangements. These results will include increased benefits for Pacific SIDS.
Outcome 2.4: Climatic variability and change at coasts and in LMEs incorporated into updated SAP to reflect adaptive management and ICM principles	Indicator 2.4: Updated SAPs and capacity development surveys	OFM aspects of the Pacific Islands IW SAP will be updated based on a new diagnostic analysis taking into account climate change and achievements in strengthening regional and sub-regional management arrangements

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
Planned Global Environmental Benefits from the Project Conservation of the globally important transboundary stocks of tunas, billfish and other large pelagic species, and the protection of the associated transboundary non-target species, especially of sharks, seabirds and sea turtles in the WTPWPLME, while considering climatic variability and change	Status of 4 key ³² WCPO tuna stocks	3 of the 4 key tuna stocks not subject to overfishing, but fishing mortality is rising on those 3 stocks, measures are needed to maintain sustainability.	Scientific projections indicate that fisheries on the major target stocks expected to result under the CMMs are sustainable	SC Reports	WCPFC CMMs, PNA VDS & Implementing Arrangements & other regional & sub-regional arrangements are effectively complied with
	Status of key ³³ WCPO non-target species	Status of stocks of non-target species largely unknown. WCPFC has adopted mitigation measures to reduce mortalities of key non-target species, and requirements for species-specific reporting of catches of sharks and sea turtles, captures of seabirds and interactions with cetaceans.	Reductions in catches and/or fishing mortalities of key non-target species.		WCPFC can control fishing in the high seas Agreement on CMMs can be reached in the WCPFC with other Commission Members
Project Objective To support Pacific SIDS in meeting their obligations to implement & effectively enforce global, regional & sub-regional arrangements for the conservation & management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries	Number of Pacific SIDS meeting WCPFC obligations	Principal legislative & policy framework aligned with WCPFC obligations for most Pacific SIDS. But subsidiary legislation, policy instruments and licence conditions need updating.	All Pacific SIDS' subsidiary legislation, policy instruments and licence conditions aligned with WCPFC requirements & systematic processes in place in all Pacific SIDS for adoption of new measures.	TCC Reports	
	Level of benefits to Pacific SIDS, including: a) access fee revenue & b) employment by gender	<ul style="list-style-type: none"> • 13,803 directly employed in fishing and processing (2010) • Access fees estimated at \$111³⁴ million in 2010 	<ul style="list-style-type: none"> • Employment in SIDS growing by up to 5% per year. with increasing proportion of women • Access fees increasing by up to 10% per year 	FFA Economic Indicators Report	

³² Includes bigeye, skipjack, south Pacific albacore and yellowfin tunas, which make up over 95% of the commercial catch in SIDS waters

³³ Includes 13 species of sharks impacted by fishing, 5 species of sea turtles, seabirds and cetaceans

³⁴ FFA Economic Indicators Update, October 2011

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
Component 1 Regional Actions for Ecosystem- Based Management					
Outcome 1.1: Comprehensive set of innovative on-the-water conservation & management measures (CMMs) adopted and applied by the Western & Central Pacific Fisheries Commission (WCPFC) for stocks of the Western Tropical Pacific Warm Pool (WTPWP) LME, incorporating rights-based and ecosystem-based approaches in decision-making & informed by sound scientific advice & information	Number of key target stocks to which comprehensive WCPFC CMMs are applied in EEZs	Two Interim CMMs in place focusing on bigeye and south Pacific albacore, and both have been identified as insufficient. No systematic measures for management of other major target stocks	Comprehensive CMMs applied to all four key target stocks in EEZs by 2017.	WCPFC Reports, including reports of Commission sessions, the Scientific Committee (SC) & the Technical & Compliance Committee (TCC)	Differences between WCPFC Members do not result in gridlock in the Commission WCPFC is financially sustainable WCPFC SC & scientific work is adequately resourced & functions effectively
	Number of key non-target species impacted by WCPO tuna fisheries to which WCPFC CMMs are being applied	Four preliminary CMMs in place for protection of cetaceans, whale sharks, seabirds & marine turtles, as well as controls on shark finning, & very recently adopted CMMs to protect some shark species but their effectiveness is not known	CMMs reflecting Scientific Committee advice & best practice among tuna RFMOs in place for protection of all key non-target species		
Output 1.1.1 Ecosystem-based CMMs to control fishing mortality for the 4 major target stocks & to mitigate fishing impacts on key ³⁵ non-target species reflecting global best practices supported by all Pacific SIDS are submitted to WCPFC for adoption	Extent of submission of proposals for CMMs on target & non-target species by SIDS, & support for proposed CMMs on target & non-target species by SIDS	Partial & interim CMMs are in place on only two of the key target species (south pacific albacore & bigeye tuna), and both have been identified as insufficient. CMMs in place to reduce the impact of fishing on turtles, seabirds, whale sharks, oceanic whitetip sharks, & cetaceans	CMMs reflecting global best practices submitted to the Commission & supported by SIDS for conservation & management of key tuna species, & protection of all key non-target species	WCPFC Reports, including reports of Commission sessions, the SC & TCC, & the Finance & Administration Committee Reports of WCPFC External Reviews	Limits of SIDS institutional & human resources capacities do not prevent them from participating effectively in the WCPFC SIDs are able to maintain positions of regional solidarity in the face of pressure from DWFNs on preparation of proposals & support for WCPFC CMMs
	Percentage of SIDS participating in WCPFC sessions including proportion of representation & office holding, including those	Baseline study will quantify the level of participation by SIDS at WCPFC sessions & SIDS personnel are beginning to become office holders.	80% participation maintained by SIDS in all relevant WCPFC meetings, with SIDS personnel holding senior offices in the WCPFC & its subsidiary bodies. Gender	FFA briefs for WCPFC meetings Reports of FFA Management Options	

³⁵ See footnote 33

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
	by gender in SIDS delegations		target to be established by the baseline study	Consultations & other relevant ad hoc consultation	
	Number of briefs prepared & preparatory working groups facilitated to support SIDS for relevant WCPFC meetings	Processes developed in Phase I for preparation of Briefs & common SIDS positions	All request for briefing documents and preparatory working groups are completed and improved participation of Pacific SIDS		
Output 1.1.2 WCPFC & other regional legal arrangements & compliance mechanisms in 8 key areas (see EOP target) to implement CMMs effectively & deter IUU fishing prepared &/or supported by all Pacific SIDS	Status of key WCPFC & other regional legal arrangements & compliance mechanisms operationalized.	WCPFC Vessel Monitoring System (VMS), Regional Observer Programme (ROP) and high Seas Boarding I Inspection Programme (HSBI) in early phase of partial implementation, Compliance Monitoring Scheme (CMS) under trial, no Port State Measure or Catch Tracking FFA MTCs out of date. Niue Treaty Implementing Arrangements developed but not in effect.	WCPFC VMS, ROP & HSBI operational, CMS operational & Port State & Catch Tracking CMMs adopted. FFA MTCs updated Niue Treaty Implementing Arrangements in effect Reporting to WCPFC streamlined/automated Cooperative surveillance & enforcement enhanced under Niue Treaty	WCPFC Reports, including reports of Commission sessions & the Technical & Compliance Committee	Distant water fishing members of the WCPFC are not able to obstruct efforts to deter IUU fishing
	Extent of preparation & support of proposals for WCPFC & other regional legal arrangements & compliance mechanisms by SIDS	Progress on CMS is constrained, & progress on Port state & Catch Documentation CMMs is severely constrained by considerations related to SIDS capacities	SIDS submit, or support proposals for CMS & relevant CMMs, including CMMs for Port State & Catch Tracking, & streamlined/automated procedures for reporting to the WCPFC		
	Patterns of participation by SIDS in WCPFC & TCC sessions including extent of representation & office holding, including participation by gender in SIDS delegations	There is a high level of participation by SIDS at TCC sessions & SIDS personnel are beginning to become TCC office holders.	At least 85% participation by SIDS in all TCC meetings, with SIDS personnel holding senior offices in the Commission & its subsidiary bodies		
Outcome 1.2: Adaptive management of oceanic fisheries in the Western Tropical Pacific Warm Pool (WTPWP) LME is put in place through better understanding of the impacts	Extent to which understanding of impacts of CC is reflected in management arrangements, including impacts on jurisdiction	There is a general understanding of the expected overall impacts but the information available has not been sufficiently specific to be reflected in management arrangements	Management arrangements including jurisdictional arrangements have been reviewed to take into account effects of CC	Project Reports FFA, PNA, TVM & WCPFC Records	Analysis of impacts of CC demonstrates need for management to be adapted

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
of climate change (CC)					
Output 1.2.1 CC forecasts & vulnerability of the Pacific SIDS region assessed in relation to 4 key target stocks and 6 key bycatch species & results & recommendations communicated to managers of potential impacts on oceanic fisheries	Forecasts of sub-regional CC impacts on major target species made available and accessible	WCPO-wide forecasts prepared for skipjack & bigeye tuna	Forecasts of sub-regional CC impacts on 4 major target species available by year 3	Project reports SPC scientific reports	Appropriate technical experts can be recruited Available data supports finer scale (sub-regional) forecasts & analysis)
	Number of assessments of CC impacts on key bycatch species	No information	Preliminary assessments of CC impacts for 6 key bycatch species by year 4		
Output 1.2.2 Sea level rise impacts on fisheries jurisdictions assessed for 14 Pacific SIDS & Pacific SIDS governments informed on priority areas of action and policy options, with related initiatives & related training of at least 45 personnel	Scope & quality of technically sound information made available by the Project on the implications of sea level rise/CC on jurisdictional claims, including country-specific information	Some general legal and academic analyses undertaken, but no country-specific or SIDS region-specific work known	Analyses available of legal, political & economic implications of sea level rise/CC for the Pacific SIDS on their jurisdictional claims & sovereign rights with policy and strategy options, with priority to SIDS most vulnerable to inundation.	Project reports, including reports of national & regional consultations	SIDS attach priority to addressing the effect of sea level rise on fisheries jurisdiction SIDS can reach agreement on a regional approach
	Availability of national country assessments and technical reports including impact studies and the regional strategy through a knowledge hub		These analyses available through a knowledge hub		
	No. of SIDS personnel trained in relevant fields.	No record of training in these areas	At least 45 policy, legal and maritime boundaries personnel trained in legal and socio-economic implications of climate change for oceanic fisheries jurisdiction.		
	Increased awareness of jurisdictional implications of CC demonstrated	Broad concerns held but no real awareness of possible responses	Jurisdictional implications of CC addressed at appropriate regional & global fora	Reports of regional & global fora, including the Pacific Islands Forum, & media coverage	Relevant global fora attended by Pacific SIDS high level government representatives

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
Output 1.2.3 Updated TDA for oceanic fisheries & updated oceanic fisheries management aspects of the Pacific Islands IW SAP	Status of the revised TDA endorsement and implementation	Transboundary issues analyses undertaken in 1997	Revised TDA including climate variability and change adopted by the end of Year 2	Updated TDA finalized & endorsed by Pacific SIDS	Technical expertise can be sourced to update the technical elements of the TDA & SAP
	Status of the revised SAP endorsement and implementation	South Pacific SAP adopted in 1997	Revised SAP incorporates new information on stock status, institutional & economic developments, & climate variability and change prepared by the end of Year 2	Ministerial level adoption of a declaration to update relevant sections of the SAP by year 3	SIDS have time in a crowded regional calendar to consider the updated TDA & SAP elements

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
Component 2 Sub-regional Actions for Ecosystem- Based Management					
Outcome 2.1 Sub-regional conservation & management arrangements are operationalized & enforced, including rights-based cap & trade arrangements for in-zone tuna fisheries, enhancing ecosystem sustainability & incentivized by sustainable fishery certifications	Status of Sub-regional conservation & management arrangements	PNA purse seine VDS in early stages of implementation, other sub-regional arrangements broadly agreed or emerging but not yet implemented	Sub-regional arrangements, including cap & trade arrangements in purse seine & longline fisheries & eco-certification arrangements are in operation & contributing to fishery sustainability	Project records Records of PNA, TVM & other sub-regional groupings	Sub-regional & arrangements strengthen, & do not undermine sustainable development of oceanic fisheries SIDS remain committed to sub-regional management arrangements
Output 2.1.1 Recommendations of the external review of the PNA VDS being implemented and applied to 1 million tonnes of catch annually in the EEZs of 7 of the 9 participating SIDS, including 20,000 tonnes of MSC-certified catch	Status of rights-based cap & trade vessel-day schemes, & other PNA management arrangements	PNA purse seine VDS beginning to operate with acknowledged weaknesses External review of the purse seine VDS planned PNA longline VDS in trial phase	VDS recommendations implemented and applied to catch of 1 million tonnes in the EEZs of 7 of the 9 participating SIDS Longline VDS in operation. Other PNA management arrangements in operation	PNA Records MSC Audit reports	PNA Members maintain solidarity on key issues
	Volume of MSC-certified catch supplied to the market	PNA free school purse seine skipjack fishery certified but no catch marketed	20,000 tonnes of MSC-certified catch supplied to the market annually		Industry find it attractive to provide certified catch
Output 2.1.2 National harvest rights established and monitored for the 5 SIDS TVM participants	Status of harvest rights & related management regimes for TVM fisheries	No formal national harvest rights established for TVM tuna fisheries	National Harvest rights for TVM longline & purse seine fisheries agreed & beginning to be used	TVM, FFA & WCPFC (TCC & Commission meeting) records	TVM & other SIDS able to agree on compatible in-zone management arrangements DWFNs prepared to cooperate in management of key stocks occurring in the high seas
	Status of monitoring arrangements & operational activities for TVM fisheries	Monitoring arrangements are operational at national level, but these need to be applied to monitoring harvest rights	Monitoring of use of harvest rights for TVM tuna fisheries beginning to be implemented		
Output 2.1.3 Enhancements to other sub-regional management arrangements	Status of other sub-regional management arrangements	Additional sub-regional management arrangements are emerging. MSG FTAC operations initiated, but limited in impact to date	Technical capacity of FTAC strengthened, outcomes and outputs mainstreamed for implementation. Other sub-regional arrangements contributing to sustainable development of oceanic fisheries where appropriate	Project Records Records of other sub-regional management arrangements	SIDS perceive other sub-regional arrangements as contributing to sustainable development of oceanic fisheries

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
Component 3. National Actions for Ecosystem-Based Management					
Outcome 3.1 Innovative ecosystem-based on-the-water CMMs being effectively applied by Pacific SIDS in accordance with national plans & policies & with international, regional & sub-regional commitments & other relevant instruments	Number of Pacific SIDS applying ecosystem-based CMMs in accordance with new or revised management plans, fisheries policies, MCS plans & laws/regulations	Almost all Pacific SIDS have revised national laws to include obligations associated with the WCPFC Convention, but substantial lags exist in implementation of agreed arrangements through national plans, regulations and licence conditions, particularly for bycatch	At least 11 Pacific SIDS applying ecosystem-based CMMs in accordance with new or revised management plans, fisheries policies, MCS plans & laws/regulations	FFA Work Programme & Technical Reports WCPFC Reports	
Output 3.1.1 9 new national oceanic fisheries management plans and/or policies in support of ecosystem-based management adopted with enhancement of fisheries management skills of 60 SIDS fisheries management personnel in all 14 SIDS	Number of Pacific SIDS that have adopted new or revised oceanic fisheries management plans and/or policies	9 SIDS have been identified as requiring assistance to enhance national plans and policies	New national management plans and/or policies adopted in at least 9 SIDS in support of ecosystem-based management	FFA Work Programme & Technical Reports	SIDS remain committed to regional & sub-regional management arrangements Countries willing to host & participate in workshops & make staff available for attachments.
	Number of fisheries management institutional & human resources capacity building activities by SIDS	New skills needed as management arrangements become more comprehensive, sophisticated & complex	National capacity building & awareness raising activities conducted in all 14 Pacific SIDS	Project progress reports	
	Number of fisheries management planning & policy personnel trained by SIDS & gender	Large number of new management personnel appointed during Phase I requiring training	At least 60 management personnel in 14 SIDS trained in fisheries management, planning & policy	Training/ workshop/ attachment reports	
Output 3.1.2 11 revised national laws and regulations, &/or strengthened MCS programmes, and updated licence conditions in all 14 SIDS to operationalise WCPFC CMMs & other relevant conservation & management instruments with support through skills enhancement of law and compliance in 14 SIDS	Number of Pacific SIDS that have adopted new or revised national laws, regulations, license conditions & strengthened MCS programmes	Almost all national laws revised to include obligations associated with becoming Party to the WCPFC Convention, but 11 SIDS identified as requiring assistance to include in national laws & regulations additional requirements arising from WCPFC CMMs & other sub-regional & regional instruments. Related improvements needed in licensing conditions in all	Revised national laws, regulations &/or strengthened MCS programmes adopted in at least 11 SIDS (to apply WCPFC CMMs, & regional & sub-regional arrangements including PNA Implementing Arrangements, MTCs, & the Niue Treaty subsidiary arrangement). Updated licence conditions in	FFA Work Programme & Technical Reports	Appropriate national personnel able to participate National specialists available to take part

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
		14 SIDS	all 14 SIDS		
	Number of national legal & MCS reviews, consultations & workshops by SIDS	New skills needed as CMMs & MCS arrangements become more comprehensive, sophisticated & complex, & the threat of IUU fishing increases	National legal & MCS reviews, consultations & workshops conducted in all 14 SIDS		
	Number of legal, MCS & enforcement training activities & personnel trained by SIDS & gender	Large numbers of new legal & MCS personnel requiring training	At least 55 legal & 320 compliance officers trained to implement WCPFC CMMs, FFA MTCs & national laws	Training Reports	
Output 3.1.3 Mitigation measures for key ³⁶ bycatch species, including key shark species, integrated into national management planning processes by at least 11 SIDS	Number of National Plans of Action & National Management Plans for bycatch, & revisions to national laws, regulations & license conditions related to bycatch	Known shortfalls & delays in SIDS implementation of monitoring of bycatch, especially key shark species, & bycatch mitigation measures. Weak regional standards for shark conservation	At least 11 SIDS have integrated bycatch mitigation into national management planning processes at the national level & aligned national requirements with relevant sub-regional or regional measures or global instruments. Better understanding of potential contribution of bycatch to food security	Project documentation WCPFC Compliance Monitoring reports	Sufficient priority attached to bycatch mitigation Improved information on bycatch rates & mortalities becomes available Resources available for bycatch mitigation monitoring & research

³⁶ See footnote 33

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
Outcome 3.2 Integrated data & information systems & scientific analysis being used nationally for reporting, policy-making, monitoring & compliance	Use of oceanic fisheries data and scientific analysis by Pacific SIDS.	Most SIDS have operational monitoring, licensing & MCS (VMS) data systems in place, but their use is limited gaps, weaknesses & lack of integration of data systems. Phase I outputs, including National Tuna Fisheries Status Reports, national scientific webpages & scientific inputs into ecosystem-based management plans provide a basis with enhanced skills for increased use of scientific advice in Phase II	Enhanced oceanic fisheries data and scientific analysis being used by all 14 Pacific SIDS, reflecting upgraded data & information systems in at least 10 Pacific SIDS, and newly integrated systems in at least 4 SIDS.	Project records FFA, SPC WCPFC Reports	SIDS capacity constraints do not unduly constrain their participation in data & scientific work
Output 3.2.1 Upgraded national data & information management systems developed & operationalized in 10 SIDS with training for around 350 personnel	Level of development of SIDS national integrated data & information systems	Most SIDS have operational monitoring, licensing & MCS (VMS) data systems in place, but with some gaps & weaknesses & they are not integrated.	Upgraded data & information systems in operation in 10 SIDS.	Project reports	Countries can afford to release staff for training & attachments.
	Number of monitoring & data staff trained in each SIDS & gender balance in participation	Large number of new monitoring & data personnel requiring training	Training provided to around 350 national monitoring & data personnel		
Output 3.2.2 National scientific analysis & support for ecosystem-based management provided to all 14 Pacific SIDS, with training for around 120 personnel	Number of comprehensive scientific advice provided to all Pacific SIDS	Basic stock assessment work now financed by the Commission, allowing a shift in emphasis to providing national advice building on Phase I progress.	Scientific advice & analysis on oceanic fisheries applied by all 14 SIDS	SPC Reports Project reports	All SIDS seek national scientific advice
	Number of participation by SIDS in SC sessions including extent of representation & office holding, including participation by gender in SIDS delegations	There is a high level of participation by SIDS at WCPFC & SC sessions & SIDS personnel are beginning to become office holders.	85% participation maintained by SIDS in SC meetings, with SIDS personnel holding senior offices in the SC	SC reports	Limits of SIDS technical & scientific capacities do not prevent them from participating effectively in the SC
	Number of technical & scientific staff trained in each SIDS by gender	Regional workshops, attachments & in-country training in Phase I have	Around 120 national technical & scientific personnel trained in stock assessment methods &	Project reports SPC presentations to SIDS for WCPFC &	Countries can afford to release staff for training & attachments.

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
		established the foundation for scientific analyses.	interpretation & ecosystem assessment & monitoring	SC meetings, & relevant SPC & FFA meetings	
Component 4. Stakeholder Participation & Knowledge Management					
Outcome 4.1 Greater multi-stakeholder participation in the work of the national & regional institutions with respect to oceanic fisheries management, including greater fisheries industry engagement & participation in Project, FFA, WCPFC & sub-regional activities	Percentage of participation by industry & other civil society stakeholders in Project, FFA, WCPFC & sub-regional activities, including INGO & ENGO participation	PITIA & WWF participated in Phase I & both have recently strengthened their programmes in oceanic fisheries management Major progress under Phase I in external communications by the Project needs to be built on	Greater understanding of the need for management & the issues involved with proactive contributions from industry & other elements of civil society to the conservation effort	Project reports PITIA & WWF websites PITIA, WWF, FFA/FFC, SPC & WCPFC reports	High degree of political commitment to transparency & inclusivity Project activities & outcomes are effective in contributing to focusing increased attention on oceanic fisheries, especially management & conservation issues
	Number of national consultative or advisory processes/committees created or strengthened & operational	National consultative & advisory processes are variable & often weak if they exist at all	Formal advisory committees established & operational in at least 10 SIDS		
Output 4.1.1 Broader stakeholder (Pacific SIDS, regional institutions, fishing industry & business sector, environmental NGOs, local NGOs, civil society, among others) awareness & involvement	Pacific Island tuna industry contribution to oceanic fisheries management	PITIA has begun to play a fuller role in 2012.	Widespread understanding among industry of the oceanic fisheries management issues important to the Pacific Islands tuna industry PITIA providing info on the value of Pacific fisheries to national economies & the importance of management & conservation efforts	PITIA website Media statements made through agreed collective industry positions PITIA promotional material Reports of PITIA meetings	PITIA remains active & able to participate in Project activities PITIA able to use the knowledge & expertise of its Board & members to contribute to this process
	Extent of WWF & other ENGO engagement in oceanic fisheries management	WWF has recently strengthened its engagement in WCPO tuna fisheries Growing interest by ENGOS generally in WCPO tuna fisheries management	Activities of WWF & other ENGOS contribute to improved oceanic fisheries management, including through raising awareness & supporting eco-certification	Websites of WWF & other ENGOS ENGO media statements & promotional material	WWF & other ENGOS able to maintain a focus on WCPO tuna fisheries
Output 4.1.2 Increased awareness &	No. of SIDS participating in Project Meetings	Level of participation in PIOFMP-I	Full participation by SIDS	Reports of Project activities and	Senior SIDS personnel can find time to

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
coordination through project workshops & meetings contributing to wider support for national, sub-regional & regional project activities with increased participation by women	Percentage of participation of women in such events based on sex-disaggregated data	Level of participation in PIOFMP-I	Increasing nos. of women participating as SIDS representatives	Meetings Project Gender Analysis	participate in the Inception Workshop & RSC meetings
	Key FFA and FAO staff from PIOFMP-II and ABNJ Tuna Projects participate in respective PSCs, where PIOFMP-II/ABNJ Tuna Project coordination is discussed	Key FFA, SPC and FAO personnel have been involved in the development of the PIOFMP-II and ABNJ Tuna Projects	FFA CTA attends Tuna ABNJ Project PSC FAO Tuna Project LTO attends PIOFMP-II RSC PIOFMP-II/Tuna ABNJ coordination is discussed at respective PSCs		
Output 4.1.3 Effective project implementation through M&E with feedback mechanisms utilizing the regional & sub-regional arrangements & existing national mechanisms	Use of M&E Information	N/A	M&E information being used to ensure effectiveness of project activities & being fed into regional fisheries processes	RSC, FFC & SPC Heads of Fisheries Reports Mid-term and Final Evaluation Reports	SIDS participate effectively in M&E processes
Outcome 4.2 Increased awareness of oceanic fisheries resource & ecosystems management & impacts of climate change	Level of media coverage of relevant issues	Phase I & the early period of operation of the WCPFC have generated greatly increased interest, focused on iconic non-target species, especially sharks. Awareness of associated with target stocks is inadequate in relation to their regional & global importance	Widespread, well informed coverage in Pacific Islands media of issues associated with conservation management of target & non-target species, & CC impacts	Internet searches Project documentation Technical Reports & media coverage	Project activities & outcomes are effective in contributing to focusing increased attention on oceanic fisheries, especially management & conservation issues
	No. of communiques from relevant regional fora, including Pacific Island Leaders' meetings covering oceanic fisheries	General awareness of the expected impacts of CC on oceanic fish stocks & fisheries, but key institutional & legal aspects have not been raised.	Oceanic fisheries management regularly addressed in Leaders' communiques	Communiques from Pacific Leaders' meetings & other regional fora	
	Continuing donor interest in funding oceanic fisheries agencies & projects	Donors, including the ADB & World Bank shied away from fisheries as catches approached their limits because of perceived lack of potential development gains.	Success in this Project & related activities encourages increased donor interest in Pacific Islands oceanic fisheries, attracted by the scope for increasing value through better management,	Donor reports	
Output 4.2.1	KM & IS strategy	Phase I strategy provides a	Strategy developed in year 1	KM & IS	Skilled media expertise

	Indicators	Baseline	End of project target	Sources of verification	Assumptions
Knowledge management (KM) & information systems (IS) that support communications and advocacy efforts by Pacific SIDS for the best management of their oceanic fisheries resources, including creation of a project website, publications, participation in relevant UNDP, FAO and GEF events and information exchanges particularly in IW;LEARN	developed and adopted	basis but needs further development	and implemented by Year 2	strategy documentation	can be attracted to work with the Project
	Project website established and launched in Year 1	Website from Phase I still in operation, but needs updating	Website is in operation by Year 2, and routinely updated, capturing results from Project activities, and providing links to key sources of information on regional oceanic fisheries	Measures of website use	Sufficient interest among stakeholders to make website \effective means of communication & information dissemination
	Number of Pacific SIDS using quality promotional materials	Some experience in Phase I, with some successes, that can be built on, but this was an area identified as needing greater priority in PIOFMP-II	Project promotional materials being used by all 14 SIDS	Project CDs, pamphlets, videos, publications & giveaways	
	Number of staff participation in relevant UNDP, FAO & GEF events (especially IW:LEARN)	Partnership developed with UNDP & GEF now needs to be complemented by association with FAO	Number of Project staff & counterparts participating in GEF, UNDP & FAO events especially biennial IW Conferences	Project Documents including travel reports	Counterparts available to participate in these events

4. FINANCING AND WORKPLAN

All values in this section are in US\$

4.1 FINANCING

4.1.1 Summary Budget

COMPONENT TITLE	CO-FUNDING	GEF	TOTAL
1. Regional Actions for Ecosystem-Based Management	21,242,808	1,603,900	22,846,708
2. Sub-regional Actions for Ecosystem-Based Management	8,645,967	2,000,000	10,645,967
3. National Actions for Ecosystem-Based Management	49,543,205	4,451,200	53,994,405
4. Stakeholder Participation and Knowledge Management	3,369,685	1,469,900	4,839,585
5. Project Management	2,132,710	475,000	\$2,607,710
TOTALS	84,934,375	10,000,000	94,934,375

4.1.2 FAO/UNDP Split

COMPONENT/OUTCOME TITLE	UNDP	FAO	GEF TOTAL
1. Regional Actions for Ecosystem-Based Management			
Outcome 1.1: WCPFC CMMs	0	807,850	807,850
Outcome 1.2 Climate change impacts	73,800	722,250	796,050
Component 1 Total	73,800	1,530,100	1,603,900
2. Sub-regional Actions for Ecosystem-Based Management			
Outcome 2.1: Sub-regional conservation & management arrangements	0	2,000,000	2,000,000
Component 2 Total	0	2,000,000	2,000,000
3. National Actions for Ecosystem-Based Management			
Outcome 3.1: National conservation & management arrangements	2,289,800	0	2,289,800
Outcome 3.2: Integrated data & information systems	2,161,400	0	2,161,400
Component 3 Total	4,451,200	0	4,451,200
4. Stakeholder Participation & Knowledge Management			
Outcome 4.1; Stakeholder Participation	0	831,080	831,080
Outcome 4.2: Knowledge Management	0	638,820	638,820
Component 4 Total	0	1,469,900	1,469,900
Project Management	475,000	0	475,000
PROJECT TOTAL	5,000,000	5,000,000	10,000,000

4.1.3 Consolidated Total Budget (UNDP Format)

GEF Outcome/Atlas Activity	Atlas Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)
OUTCOME 1.1:	71200	International Consultants	120,000	125,000	125,000	62,500	432,500
Comprehensive set of innovative on-the-water CMMs adopted and applied by the WCPFC for stocks of the WTPWP LME, incorporating rights-based and ecosystem-based approaches in decision-making & informed by sound scientific advice & information	75700	Training, Workshops and Conferences	75,000	135,000	75,000	37,500	322,500
		Management Support Services ³⁷	13,650	18,200	14,000	7,000	52,850
		Totals Outcome 1.1:	208,650	278,200	214,000	107,000	807,850
OUTCOME 1.2:	71200	International Consultants	73,800	0	0	0	73,800
Adaptive management of oceanic fisheries in the WTPWP LME is put in place through better understanding of the impacts of climate change	71400	Contractual Services - Individual	200,000	205,000	210,000		615,000
	71600	Travel	20,000	20,000	20,000	0	60,000
		Management Support Services	15,400	15,750	16,100	0	47,250
		Totals Outcome 1.2:	309,200	240,750	246,100	0	796,050
OUTCOME 2.1:	72100	Contractual Services-Companies	25,000	85,000	85,327	0	195,327
Sub-regional conservation & management arrangements are operationalized & enforced, including rights-based cap & trade arrangements for in-zone tuna fisheries, enhancing ecosystem sustainability & incentivized by sustainable fishery certifications	71400	Contractual Services - Individual	80,000	105,000	110,000	115,000	410,000
	71200	International Consultants	145,000	130,000	100,000	100,000	475,000
	72200	Equipment & Furniture		20,000	20,000	20,000	60,000
	75700	Training, Workshops and Conferences	235,000	235,000	160,000	125,000	755,000
		Management Support Services	28,000	32,900	25,923	17,850	104,673
		Totals Outcome 2.1:	513,000	607,900	501,250	377,850	2,000,000
OUTCOME 3.1:	71200	International Consultants	42,800	53,500	53,500	42,800	192,600

³⁷ Indicative management Support services for FAO-executed elements

GEF Outcome/Atlas Activity	Atlas Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)
Innovative ecosystem-based on-the-water CMMs being effectively applied by Pacific SIDS in accordance with national plans and policies and with international, regional and sub-regional commitments and other relevant instruments	71300	Local Consultants	53,500	64,200	64,200	32,100	214,000
	71400	Contractual Services – Individual	214,000	220,688	227,375	234,062	896,125
	71600	Travel	69,550	69,550	69,550	48,150	256,800
	72800	Information Technology Eqpt	16,050	16,050	16,050	8,025	56,175
	73200	Premises Alternations	5,350	5,350	4,280	2,140	17,120
	75700	Training, Workshops and Conferences	165,850	192,600	165,850	132,680	656,980
		Totals Outcome 3.1:	567,100	621,938	600,805	499,957	2,289,800
OUTCOME 3.2:	71200	International Consultants	321,000	331,700	342,400	353,100	1,348,200
Integrated data & information systems & scientific analysis being used nationally for science, policy-making, monitoring & compliance	71300	Local Consultants	128,400	128,400	128,400	64,200	449,400
	71600	Travel	21,400	21,400	21,400	21,400	85,600
	72800	Information Technology Eqpt	10,700	0	10,700	0	21,400
	75700	Training, Workshops and Conferences	64,200	64,200	64,200	64,200	256,800
		Totals Outcome 3.2:	545,700	545,700	567,100	502,900	2,161,400
OUTCOME 4.1:	71200	International Consultants	30,000	95,550	0	50,000	175,550
Greater multi-stakeholder participation in the work of the national & regional institutions with respect to oceanic fisheries management, including greater fisheries industry engagement & participation in Project, FFA, WCPFC & sub-regional activities	72100	Contractual Services-Companies	70,000	70,000	70,000	70,000	280,000
	71400	Contractual Services - Individual	32,000	33,000	34,000	35,000	134,000
	71600	Travel	12,000	12,000	12,000	12,000	48,000
	75700	Training, Workshops and Conferences	65,000	35,000	35,000	32,000	167,000
		Management Support Services	9,730	5,600	5,670	5,530	26,530
		Totals Outcome 4.1:	218,730	251,150	156,670	204,530	831,080
OUTCOME 4.2:	71200	International Consultants	30,000	35,000	35,000	15,028	115,028
Increased awareness of oceanic fisheries resource & ecosystems management & impacts of climate change	71400	Contractual Services - Individual	64,000	66,000	68,000	70,000	268,000
	71600	Travel	24,000	39,000	24,000	24,000	111,000
	72500	Supplies	20,000	20,000	20,000	10,000	70,000

GEF Outcome/Atlas Activity	Atlas Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)
	75700	Training, Workshops and Conferences	8,000	10,000	10,000	5,000	33,000
		Management Support Services	10,220	11,900	10,990	8,682	41,792
		Totals Outcome 4.2:	156,220	181,900	167,990	132,710	638,820
Project Management Unit	71400	Contractual Services - Individual	50,290	52,162	54,035	55,908	212,395
(This is not to appear as an Outcome in the Results Framework and should not exceed 5% of project budget)	71600	Travel	20,330	20,330	20,330	14,445	75,435
	75700	Training, Workshops and Conferences	5,350	0	2,675	0	8,025
	71200	International Consultants	16,050	16,050	10,700	0	42,800
	74500	Miscellaneous Expenses	5,350	5,350	5,350	2,595	18,645
	72500	Supplies	21,400	10,700	0	0	32,100
	74100	Professional Services	21,400	21,400	21,400	21,400	85,600
		Total Management	140,170	125,992	114,490	94,348	475,000
		PROJECT TOTAL	2,658,770	2,853,530	2,568,405	1,919,295	10,000,000

Note: Management Support Services refer to FAO costs.

4.1.4 UNDP Budget

GEF Outcome/Atlas Activity	Impl Agent	Fund	Donor	Atlas Code	ATLAS Budget Description	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Total	Budget Notes
OUTCOME 1.2:	FFA	62000	GEF	71200	Int. Consultants	73,800	0	0	0	73,800	1
					Totals Outcome 1.2:	73,800	0	0	0	73,800	
OUTCOME 3.1:				71200	Int. Consultants	42,800	53,500	53,500	42,800	192,600	2
Innovative ecosystem-based on-the-water CMMs being effectively applied by Pacific SIDS in accordance with national plans and policies and with international, regional and sub-regional commitments and other relevant instruments	FFA	62000	GEF	71300	Local Consultants	53,500	64,200	64,200	32,100	214,000	3
				71400	Contractual Services - Individual	214,000	220,688	227,375	234,062	896,125	4
				71600	Travel	69,550	69,550	69,550	48,150	256,800	5
				72800	IT Equipment	16,050	16,050	16,050	8,025	56,175	6
				73200	Premises Alternations	5,350	5,350	4,280	2,140	17,120	7
				75700	Training, Workshops, Conferences	165,850	192,600	165,850	132,680	656,980	8
					Totals Outcome 3.1:	567,100	621,938	600,805	499,957	2,289,800	
OUTCOME 3.2:				71200	Int. Consultants	321,000	331,700	342,400	353,100	1,348,200	9
Integrated data & information systems & scientific analysis being used nationally for reporting, policy-making, monitoring & compliance	FFA	62000	GEF	71300	Local Consultants	128,400	128,400	128,400	64,200	449,400	10
				71600	Travel	21,400	21,400	21,400	21,400	85,600	11
				72800	IT Equipment	10,700	0	10,700	0	21,400	12
				75700	Training, Workshops, Conference	64,200	64,200	64,200	64,200	256,800	13
					Totals Outcome 3.2:	545,700	545,700	567,100	502,900	2,161,400	
Project Management Unit				71400	Contractual Services - Individual	50,290	52,162	54,035	55,908	212,395	14
	FFA	62000	GEF	71600	Travel	20,330	20,330	20,330	14,445	75,435	15
				75700	Training, Workshops & Confer	5,350	0	2,675	0	8,025	16
				71200	Int. Consultants	16,050	16,050	10,700	0	42,800	17
				74500	Misc. Expenses	5,350	5,350	5,350	2,595	18,645	18
				72500	Supplies	21,400	10,700	0	0	32,100	19
				74100	Prof. Services (Audit)	21,400	21,400	21,400	21,400	85,600	20
					Total Management	140,170	125,992	114,490	94,347	475,000	
TOTAL BUDGET FOR UNDP-EXECUTED ELEMENTS						1,326,770	1,293,630	1,282,395	1,097,205	5,000,000	

4.1.5 Budget Notes on UNDP Budget

Note No.	Contents
Outcome 1.2:	
1	(Output 1.2.3) - Technical support to update TDA and IW SAP; international regional oceanic fisheries policy and technical specialists; lump sum fees including travel costs
Outcome 3.1	
2	(Output 3.1.3) - Technical support to SIDS national bycatch management policies, plans and regulations, including preparation of NPOAs for sharks, seabirds and turtles; international bycatch management specialists; lump sum costs as for (1)
3	(Output 3.1.1) - Contract cost for specialist Fisheries Management Adviser for 4 years, and 25% of the 4 year cost of the CTA/Project Coordinator for technical support to SIDS for national oceanic fisheries management plans and policy development (costs based on standards of the Council of Regional Organisations of the Pacific (CROP))
4	(Output 3.1.2) - Technical support to SIDS national management plans and policies in support of ecosystem-based management; national fisheries management and technical specialists; lump sum costs as for (1)
5	(Output 3.1.1) - Travel costs for Fisheries Management Adviser, and pro rata share of the travel costs of the CTA/Project Coordinator, including international flight costs, terminal expenses and accommodation
6	(Output 3.1.1) - Computer for the Fisheries Management adviser (\$5,000); and - Information Technology equipment to meet critical needs for oceanic fisheries management purposes in smaller SIDS oceanic fisheries administrations
7	(Output 3.1.1) - Critically needed improvements in facilities for smaller SIDS oceanic fisheries administrations as part of broader oceanic fisheries management institutional strengthening programmes
8	(Output 3.1.1) - Policy and Planning attachments/fellowships (20 over 4 years) - National policy and planning workshops (in 11 SIDS) (Output 3.1.2) - Regional Legal Consultations on oceanic fisheries legal issues (6 over 4 years) - Legal attachments/fellowships (10 over 4 years) - Annual regional MCS working groups (4) - National MCS courses (10 over 4 years)

	- MCS attachments/fellowships (10 over 4 years)
Outcome 3.2	
9	(Output 3.2.1) - National Information Systems Analyst/Developer (48 months), costs based on CROP standards (Output 3.2.2) - National Scientific Support Specialist (48 months), costs based on CROP standards
10	(Output 3.2.1) - National monitoring support personnel (35 p/years in 10 SIDS)
11	(Output 3.2.1) - Travel costs of National Information Systems Analyst/Developer, including international flight costs, terminal expenses and accommodation (Output 3.2.2) - Travel costs of National Scientific Support Specialist (48 months), including international flight costs, terminal expenses and accommodation
12	(Output 3.2.1) - Computer for National Information Systems Analyst/Developer (Output 3.2.2) - Computer for National Scientific Support Specialist (48 months)
13	(Output 3.2.2) - Annual oceanic fisheries assessment-related workshops (4)
Project Management Unit	
14	Cost of Project Finance and Administrative Officer (4 years) and 15% of the costs of the CTA/Project Coordinator over 4 years
15	Travel for Project Finance and Administrative Officer and pro rata share of the costs of the CTA/Project Coordinator, including international flight costs, terminal expenses and accommodation.
16	Training in project management and financial management systems for the Project Finance and Administrative Officer and the CTA/Project Coordinator
17	Technical support from international specialists in information systems, project management and financial management (lump sum costs as for (1)
18	Miscellaneous costs of the PMU
19	PMU office supplies
20	Annual external audit costs

4.1.6 FAO Budget

Oracle Code	Description (ORACLE)	Expenditure by Component										Expenditure by Year								
		Component 1- Regional Actions for Ecosystem-Based Management					Component 2 - Sub-regional Actions for Ecosystem- Based Management				Component 4 - Coordination & Knowledge Management									
		1.1.1	1.1.2	1.2.1	1.2.2*	Total	2.1.1	2.1.2	2.1.3	Total	4.1.1	4.1.2	4.1.3	4.2.1	Total	Y 1	Y 2	Y 3	Y 4	Totals
5300	Salaries Professional Budget										134,000			268,000	402,000	96,000	99,000	102,000	105,000	402,000
	Chief Technical Adviser/Project Coordinabr (0.6 FTE)										134,000			268,000		96,000	99,000	102,000	105,000	
5570	International Consultants	257,500	175,000	150,000		582,500		180,000	100,000	280,000			0	115,028	115,028	270,000	280,000	280,000	147,528	977,528
	Fisheries Management Experts	257,500														70,000	75,000	75,000	37,500	
	Legal Consultants		87,500													25,000	25,000	25,000	12,500	
	Compliance Consultants		87,500													25,000	25,000	25,000	12,500	
	Longline Fisheries Experts							180,000								45,000	45,000	45,000	45,000	
	Regional Oceanic Fisheries Experts								100,000					115,028		55,000	60,000	60,000	40,028	
	Project reviews Expert													0		0	0	0	0	
	Climate Change modelling Expert			150,000												50,000	50,000	50,000	0	
5650	Contract Budget			465,000		465,000	800,327			800,327	280,000		175,550		455,550	430,000	570,550	455,327	265,000	1,720,877
	Policy Studies						195,000									75,000	60,000	30,000	30,000	
	Baseline Study												30,000			30,000	0	0	0	
	Environmental NGO Participation & Awareness Raising										140,000					35,000	35,000	35,000	35,000	
	Private Sector Participation & Awareness Raising										140,000					35,000	35,000	35,000	35,000	
	Evaluations												145,550			0	95,550	0	50,000	
	Ecosystem Modelling			465,000												150,000	155,000	160,000	0	
	Management Scheme Support						205,000									40,000	52,500	55,000	57,500	
	VDS Development						120,327									0	60,000	60,327	0	
	Certification Support						205,000									40,000	52,500	55,000	57,500	
	MSC Audits						75,000									25,000	25,000	25,000	0	
5023	Training Budget	322,500				322,500	695,000	60,000		755,000				15,000	15,000	310,000	385,000	235,000	162,500	1,092,500
	Consultations/Workshops	262,500					550,000									250,000	250,000	175,000	137,500	
	Train-Sea-Coast Course	60,000														0	60,000	0	0	
	Certification Training						75,000									25,000	25,000	25,000	0	
	Regional Oceanic Fisheries Training							60,000								15,000	15,000	15,000	15,000	
	IW Conference Participation													15,000		0	15,000	0	0	
	Fellowships						70,000									20,000	20,000	20,000	10,000	
5900	Travel			60,000		60,000						215,000		96,000	311,000	121,000	91,000	91,000	68,000	371,000
	Chief Technical Adviser/Project Coordinator											48,000		96,000		36,000	36,000	36,000	36,000	
	Ecosystem Modeling Expert			30,000												10,000	10,000	10,000		
	Climate Change Modeling Expert			30,000												10,000	10,000	10,000		
	Inception Workshop											30,000				30,000	0	0	0	
	Reg. Steering Committee											120,000				30,000	30,000	30,000	30,000	
	National Consultative Committees											17,000				5,000	5,000	5,000	2,000	
6000	Expendable Procurement													103,000	103,000	28,000	30,000	30,000	15,000	103,000
	Publications, DVD, radio production, printing & design													70,000		20,000	20,000	20,000	10,000	
	Media Events													33,000		8,000	10,000	10,000	5,000	
6100	Non Expendable Procurement							60,000		60,000						0	20,000	20,000	20,000	60,000
								60,000								0	20,000	20,000	20,000	
6130	Management Support Services	40,600	12,250	47,250		100,100	104,673			104,673		24,430	2,100	41,792	68,322	77,000	84,350	72,683	39,062	273,095
TOTAL COSTS		620,600	187,250	722,250	0	1,530,100	1,600,000	300,000	100,000	2,000,000	280,000	373,430	177,650	638,820	1,469,900	1,332,000	1,559,900	1,286,010	822,090	5,000,000

4.1.7 Co-Financing Summary

ORIGIN	COMPONENT 1 Regional	COMPONENT 2 Sub- Regional	COMPONENT 3 National	COMPONENT 4 Knowledge Management	COMPONENT 5 Project Management	ALL COMPONENTS
Cook Islands	280,772	0	140,000	0	0	420,772
FSM	355,576	0	1,316,000	0	0	1,671,576
Fiji	582,476	0	306,000	0	0	888,476
Kiribati	546,656	0	1,040,000	0	0	1,586,656
Marshall Islands	1,035,608	0	3,800,000	0	0	4,835,608
Nauru	717,070	0	999,240	0	0	1,716,310
Niue	127,344	0	120,000	0	0	247,344
Palau	195,416	0	670,000	0	0	865,416
PNG	2,326,120	0	13,047,840	0	0	15,373,960
Samoa	419,396	0	440,208	0	0	859,604
Solomon Islands	609,396	0	647,254	0	0	1,256,650
Tonga	366,200	0	300,234	0	0	666,434
Tuvalu	464,104	0	344,000	0	0	808,104
Total SIDS	8,026,134	0	23,170,776	0	0	31,196,910
FFA	11,966,592	5,395,967	18,669,511	2,589,419	2,032,710	40,654,199
SPC	0	0	6,553,000	500,000	0	7,053,000
FAO cash	0	0	500,000	0	0	500,000
FAO in-kind	1,000,000	1,000,000	500,000	0	0	2,500,000
UNDP in-kind	312,500	312,500	0	0	125,000	750,000
PITIA	0	0	0	100,000	0	100,000
PNA	0	2,000,000	0	0	0	2,000,000
WWF	0	0	0	180,266	0	180,266
TOTAL	21,305,226	8,708,467	49,393,287	3,369,685	2,157,710	84,934,375

4.1.8 Workplan

Activity No.	Activity Descriptions	Annual Workplan			
		Yr 1	Yr 2	Yr 3	Yr 4
OUTPUT 1.1.1 Ecosystem-based CMMs to control fishing mortality for the 4 major target stocks & to mitigate fishing impacts on key non-target species reflecting global best practices supported by all Pacific SIDS are submitted to WCPFC for adoption					
1.1.1.1	Prepare briefs on conservation and management of target stocks and non-target species for Pacific SIDS for WCPFC Scientific Committee, TCC and Commission sessions				
1.1.1.2	Hold annual Management Options Consultations and ad hoc workshops and consultations as required at which Pacific SIDS formulate proposals for WCPFC CMMs on conservation and management of target stocks and non-target species for WCPFC CMMs and consider proposals of other Members				
1.1.1.3	Support Pacific SIDS in preparatory working group sessions before meetings of the WCPFC and the Scientific Committee				
1.1.1.4	Hold Train-Sea-Coast course				
OUTPUT 1.1.2 WCPFC & other regional legal arrangements & compliance mechanisms in 8 key areas (see EOP target) to implement CMMs effectively & deter IUU fishing prepared &/or supported by all Pacific SIDS					
1.1.2.1	Prepare briefs on legal and compliance arrangements for Pacific SIDS for WCPFC TCC and Commission sessions				
1.1.2.2	Provide inputs on legal and compliance arrangements at annual Management Options Consultations and ad hoc workshops and consultations as required at which Pacific SIDS formulate proposals on legal arrangements and compliance mechanisms for WCPFC CMMs and consider proposals of other Members				
1.1.2.3	Support Pacific SIDS in preparatory working group sessions before meetings of the WCPFC TCC and Commission sessions, and SIDS participation in WCPFC compliance-related working groups				
1.1.2.4	Support Pacific SIDS in consultations and workshops on other regional legal arrangements and compliance mechanisms, including the FFA Harmonised Minimum Terms & Conditions for Access and the Niue Treaty				
OUTPUT 1.2.1 CC forecasts & vulnerability of the Pacific SIDS region assessed in relation to 4 key target stocks and 6 key bycatch species & results & recommendations communicated to managers of potential impacts on oceanic fisheries					
1.2.1.1	Use of SEAPODYM-CC forecast models to examine sub-regional to national impacts for target species				
1.2.1.2	Begin assessment of CC impacts on key bycatch species for food security				
1.2.1.3	Work on tuna-diet to monitor CC effects on mid-trophic levels				
1.2.1.4	Analytical report on CC impacts on oceanic fisheries with recommendations				
OUTPUT 1.2.2 Sea level rise impacts on fisheries jurisdictions assessed for 14 Pacific SIDS & Pacific SIDS governments informed on priority areas of action and policy options, with related initiatives & related training of at least 45 personnel					
1.2.2.1	National consultation with Pacific SIDS and assessment and reporting of legal and socio-economic implications of sea-level rise on maritime jurisdictional claims of Pacific SIDS				
1.2.2.2	Selected national policy/legal personnel from 14 Pacific SIDS trained on sea-level rise impacts of climate change on Pacific SIDS jurisdictional claims in order to facilitate their effective input to regional strategy and responses				
1.2.2.3	Best policy and legal responses/options for recognition and preservation of jurisdictional claims of Pacific SIDS				

Activity No.	Activity Descriptions	Annual Workplan			
		Yr 1	Yr 2	Yr 3	Yr 4
1.2.2.4	Regional strategy for Pacific SIDS response to legal and socio-economic impacts of sea level rise/climate change drafted and reviewed				
1.2.2.5	Implementation of draft regional strategy launched.				
OUTPUT 1.2.3 Updated TDA for oceanic fisheries & updated oceanic fisheries management aspects of the Pacific Islands IW SAP					
1.2.3.1	Review of the transboundary diagnostic analysis (TDA) for oceanic fisheries				
1.2.3.2	Submit updated TDA for endorsement by Pacific SIDS				
1.2.3.3	Review oceanic fisheries management aspects of the Pacific Islands IW SAP				
1.2.3.4	Submit updated oceanic fisheries management aspects of the Pacific Islands IW SAP for endorsement by Pacific SIDS				
OUTPUT 2.1.1 Recommendations of the external review of the PNA VDS being implemented and applied to 1 million tonnes of catch in the EEZs of 7 of the 9 participating SIDS					
2.1.1.1	Prepare workplan in response to purse seine VDS External Review				
2.1.1.2	Prepare and implement proposals to strengthen purse seine VDS, implement target reference points and harvest control rules for skipjack and other policy studies				
2.1.1.3	Finalise arrangements for implementation of longline VDS				
2.1.1.4	Provide advice on implementation of longline VDS				
2.1.1.5	Hold Technical and Scientific meetings and workshops to build PNA SIDS capacities related to VDS implementation and strengthening				
2.1.1.6	Organise attachments and study visits of national personnel involved with VDSs to FFA, PNAO and other VDS participant countries				
2.1.1.7	Undertake reviews to support Marine Stewardship Council certification, including auditing of the certification				
2.1.1.8	Provide training on MCS certification chain of custody requirements				
OUTPUT 2.1.2 National harvest rights established and monitored for the 5 SIDS TVM participants					
2.1.2.1	Establish TVM national harvest rights for albacore				
2.1.2.2	Establish TVM national harvest rights for the purse seine fishery				
2.1.2.3	Establish other TVM national harvest rights				
2.1.2.4	Establish systems, processes and operational activities to support TVM rights-based management				
OUTPUT 2.1.3 Enhancements to other sub-regional management arrangements					
2.1.3.1	Support for additional emerging sub-regional management arrangements				
OUTPUT 3.1.1 9 new national oceanic fisheries management plans and/or policies in support of ecosystem-based management adopted with enhancement of fisheries management skills of 60 SIDS fisheries management personnel in all 14 SIDS					
3.1.1.1	Establish and update country-driven, prioritised programmes of work at national level to strengthen national institutions, plans, policies, programmes & projects				
3.1.1.2	Support in-country activities to strengthen national fisheries management institutions, plans, policies, programmes and projects through technical advice and national workshops and consultations				
3.1.1.3	Organise attachments and study visits of national management planning and policy personnel to FFA and other SIDS				
OUTPUT 3.1.2 11 revised national laws and regulations, &/or strengthened MCS programmes, and updated licence conditions in all 14 SIDS to operationalise WCPFC CMMs &					

Activity No.	Activity Descriptions	Annual Workplan			
		Yr 1	Yr 2	Yr 3	Yr 4
other relevant conservation & management instruments with support through skills enhancement of law and compliance in 14 SIDS					
3.1.2.1	Establish and update a programme of national legal work				
3.1.2.2	Support national legal reviews, consultations and workshops				
3.1.2.3	Organise attachments and study visits of national legal personnel to FFA and other organisations, including WCPFC				
3.1.2.4	Provide templates for implementation in national laws, regulations and licensing arrangements of WCPFC CMMs, and other regional and sub-regional arrangements.				
3.1.2.5	Hold annual FFA MCS Working Group meetings and ad hoc workshops and consultations on regional legal arrangements and compliance mechanisms				
3.1.2.6	Support national workshops on dockside boarding and inspection, prosecutions and other legal, MCS and enforcement aspects				
3.1.2.7	Organise attachments and study visits of national legal, MCS and enforcement personnel to FFA and other SIDS				
OUTPUT 3.1.3 Mitigation measures for key bycatch species, including key shark species, integrated into national management planning processes by at least 11 SIDS					
3.1.3.1	Undertake a review of the implementation by Pacific SIDS of sub-regional & regional bycatch measures and global bycatch instruments				
3.1.3.2	Provide advice and assistance to Pacific SIDS to prepare National Plans of Action and National Management Plans for bycatch, and revise laws, regulations and licence conditions related to bycatch				
OUTPUT 3.2.1 Upgraded national data & information management systems developed & operationalized in 10 SIDS with training for around 350 personnel					
3.2.1.1	Further development of TUFMAN, including enhanced use of VMS data for catch and effort estimation				
3.2.1.2	Development of comprehensive unloading data collection				
3.2.1.3	Support for national FIMS, including the integration of data used for science, monitoring and management, to develop/support national data warehouses				
OUTPUT 3.2.2 National scientific analysis & support for ecosystem-based management provided to all 14 Pacific SIDS, with training for around 120 personnel					
3.2.2.1	National assessments of regional and sub-regional management issues, and country-specific assessments				
3.2.2.2	Provision of advice on scientific aspects of WCPFC issues				
3.2.2.3	Training, especially in stock assessment and ecosystem analysis				
OUTPUT 4.1.1 Broader stakeholder (Pacific SIDS, regional institutions, fishing industry & business sector, environmental NGOs, local NGOs, civil society, among others) awareness & involvement					
4.1.1.1.	Conclude co-financing agreement with Pacific eNGO and iNGO (WWF & PITIA)				
4.1.1.2	Participation at WCPFC and related processes & regular dialogue with members on relevant issues & where possible a gathering (PITIA)				
4.1.1.3	Printed material demonstrating value of the fishery to SIDs economies and the importance of proper management (PITIA)				
4.1.1.4.	Build relationships with strategic partnerships through other private sector bodies creating awareness of relevant issues (PITIA)				
4.1.1.5	Carry out follow up workshops in-country (WWF)				
4.1.1.6	Develop advocacy/awareness materials (WWF)				
4.1.1.7	Print and Distribute awareness materials (WWF)				
4.1.1.8	Participation of at least 3 CSOs through attendance at a WCPFC forum (WWF)				

Activity No.	Activity Descriptions	Annual Workplan			
		Yr 1	Yr 2	Yr 3	Yr 4
OUTPUT 4.1.2 Increased awareness & coordination through project workshops & meetings contributing to wider support for national, subregional & regional project activities with increased participation by women					
4.1.2.1	Hold Inception Workshop				
4.1.2.2	Hold RSC Meetings				
4.1.2.3	Secure National Focal Point nominations				
4.1.2.4	Support National Consultative Committee meetings				
OUTPUT 4.1.3 Effective project implementation through M&E with feedback mechanisms utilizing the regional & subregional arrangements & existing national mechanisms					
4.1.3.1	Baseline Study				
4.1.3.2	Mid Term Evaluation				
4.1.3.3	Terminal Evaluation				
4.1.3.4	Annual Reviews				
OUTPUT 4.2.1 Knowledge management (KM) & information systems (IS)					
4.2.1.1	Develop a knowledge management and information system strategy				
4.2.1.2	Design logos and other Project identifiers, Project Webpage, Project Document Cataloguing System and progress reports				
4.2.1.3	Webpage Operations & links with IWLearn				
4.2.1.4	Project information materials, including CDs, papers, videos, pamphlets, newsletters, interviews, press releases				
4.2.1.5	Project and Country representation at biennial IW conferences or IW Learn event				
OUTPUT 5.1.1 Project coordination unit and staffing					
5.1.1.1	Appoint the Project Coordinator				
5.1.1.2	Appoint other PMU staff				
5.1.1.3	Procure equipment and other requirements to establish the PMU				
OUTPUT 5.2.1 Arrangements for coordination between implementing agencies & executing agencies					
5.2.1.1	Preliminary UNDP/FAO/FFA/SPC Consultations				
5.2.1.2	Conclude FFA/SPC LOA				
5.2.1.3	UNDP/FAO/FFA Consultations				
OUTPUT 5.3.1 Reports on project implementation work plans and finances					
5.3.1.1	Prepare periodic financial and narrative reports				
5.3.1.2	Prepare annual work plans				
5.3.1.3	Prepare annual project reports				
5.3.1.40	Annual audit				

4.2 FINANCIAL MANAGEMENT AND REPORTING ON GEF RESOURCES (FAO)

Financial Records. FAO shall maintain a separate account in United States dollars for the project's GEFTF resources showing all income and expenditures. Expenditures incurred in a currency other than United States dollars shall be converted into United States dollars at the United Nations operational rate of exchange on the date of the transaction. FAO shall administer the project in accordance with its regulations, rules and directives.

Financial Reports The BH shall prepare six-monthly project expenditure accounts and final accounts for the project, showing amount budgeted for the year, amount expended since the beginning of the year, and separately, the un-liquidated obligations as follows:

1. Details of project expenditures on a component-by-component and output-by-output basis, reported in line with project budget codes as set out in the project document, as at 30 June and 31 December each year.
2. Final accounts on completion of the project on a component-by-component and output-by-output basis, reported in line with project budget codes as set out in the project document.
3. A final statement of account in line with FAO Oracle project budget codes, reflecting actual final expenditures under the project, when all obligations have been liquidated.

The BH will submit the above financial reports for review and monitoring by the FAO GEF Coordination Unit. Financial reports for submission to the donor (GEF) will be prepared in accordance with the provisions in the GEF Financial Procedures Agreement and submitted by the FAO Finance Division.

Budget Revisions. Semi-annual budget revisions will be prepared by the BH in accordance with FAO standard guidelines and procedures.

Responsibility for Cost Overruns. The BH is authorized to enter into commitments or incur expenditures up to a maximum of 20 percent over and above the annual amount foreseen in the project budget under any budget sub-line provided the total cost of the annual budget is not exceeded.

Any cost overrun (expenditure in excess of the budgeted amount) on a specific budget sub-line over and above the 20 percent flexibility should be discussed with the GEF Coordination Unit with a view to ascertaining whether it will involve a major change in project scope or design. If it is deemed to be a minor change, the BH shall prepare a budget revision in accordance with FAO standard procedures. If it involves a major change in the project's objectives or scope, a budget revision and justification should be prepared by the BH for discussion with the GEF Secretariat.

Savings in one budget sub-line may not be applied to overruns of more than 20 percent in other sub-lines even if the total cost remains unchanged, unless this is specifically authorized by the GEF Coordination Unit upon presentation of the request. In such a case, a revision to the project document amending the budget will be prepared by the BH.

Under no circumstances can expenditures exceed the approved total project budget or be approved beyond the NTE date of the project. Any over-expenditure is the responsibility of the BH.

Audit. The project shall be subject to the internal and external auditing procedures provided for in FAO financial regulations, rules and directives and in keeping with the Financial Procedures Agreement between the GEF Trustee and FAO.

The audit regime at FAO consists of an external audit provided by the Auditor-General (or persons exercising an equivalent function) of a member nation appointed by the Governing Bodies of the Organization and reporting directly to them, and an internal audit function headed by the FAO Inspector-General who reports directly to the Director-General. This function operates as an integral part of the Organization under policies established by senior management, and furthermore has a reporting line to the governing bodies. Both functions are required under the Basic Texts of FAO which establish a framework for the terms of reference of each. Internal audits of impress accounts, records, bank reconciliation and asset verification take place at FAO field and liaison offices on a cyclical basis.

4.3 PROCUREMENT

Executing Agencies, in close collaboration with the PMU will procure the equipment and services provided for in the budget and in accordance with the Annual Work Plan and Budget in accordance with the rules and regulations of the GEF agencies. Prior to commencement of procurement, the Executing Agency, in close collaboration with the PMU, will complete the procurement plan in the form prescribed by the GEF agencies for all services and equipment to be procured.

The procurement plan is to be reviewed at the project inception and cleared by the GEF agencies and the PMU. The procurement plan shall be updated by the executing partners as required by the GEF agencies.

5. SUSTAINABILITY OF RESULTS

5.1 SOCIAL SUSTAINABILITY

The potential socio-economic benefits from the sustainable development of oceanic fisheries in the Pacific SIDS region are discussed in Section 1.3.4 on the Socio-economic and financial Landscape above, including the potential gains in government revenue and employment,

That analysis recognizes the differences in impacts of the Project outcomes on men and women. Women have played an important role in PIOFMP-I implementation and in the development and preparation of PIOFMP-II. PIOFMP-II implementation will continue to be undertaken in a participatory and gender-sensitive manner with the stakeholders and target beneficiaries. Gender will also be addressed through the monitoring of participation in Project activities and the Project's public imaging, including ensuring that branding is gender-sensitive and that project posts, recruitment of consultants, formulation of letters of agreement, etc. are all carried out in ways that promote equitable development. Opportunities will be taken to highlight the increasing achievements of women in commercial and technical roles.

5.2 ENVIRONMENTAL SUSTAINABILITY

The Project objective is to support Pacific SIDS in meeting their obligations to implement & effectively enforce global, regional & sub-regional arrangements for the conservation & management of transboundary oceanic fisheries thereby increasing sustainable benefits derived from these fisheries. The target tuna stocks of the Pacific Islands region of the WCPO are relatively healthy. As shown in figure 4, none of the four major stocks are overfished. Only the bigeye tuna stock, which makes up around 6-7% of the total catches of the major tuna species, is subject to overfishing. However, fishing pressure on all the target stocks is increasing and biomasses are declining with all the major target tuna stocks at their historically lowest levels. As discussed in Section 1.2 on Major Areas of Concern above, the effects of fishing on some other species in the Pacific Islands region are more severe. Some billfish stocks are known to be heavily exploited and initial assessments of some shark species indicate that they are seriously depleted. The project targets the sustainability of the regional tuna stocks, the sustainability of the fisheries on these stocks and the sustainability of other species affected by oceanic fisheries through the effective implementation of innovative ecosystem-based on-the-water measures being adopted being the WCPFC and effectively applied by Pacific SIDS in accordance with national plans and policies and with international, regional and sub-regional commitments and other relevant instruments.

5.3 FINANCIAL AND ECONOMIC SUSTAINABILITY

Financial sustainability of the institutional arrangements that the Project will support is an important issue. In PIOFMP-I, the questions of whether the Pacific SIDS individually and collectively would be able to afford to pay their contributions to the WCPFC and incur the other costs of participation in the Commission were centrally important. Beyond the direct costs of participation, there were questions about whether Pacific SIDS would be able to sustainably finance the enhanced compliance, monitoring and science activities that are necessary for effective implementation of conservation and management measures. In addition, there was uncertainty about whether other WCPFC Members would also meet their financial obligations.

The experience since the Commission was established indicates that the financial sustainability of the WCPFC seems reasonably assured. The WCPFC is now the largest RFMO globally in terms of its

budget. The level of contributions is burdensome, especially for smaller SIDS, and the Commission has now effectively capped the amount that smaller Members will pay. However, at the 2013 WCPFC session, it was reported that only one Commission member was outstanding in payment of its financial contribution for 2012.

In addition, as reported above in Section 2.4 on Incremental Reasoning, SIDS have incurred very large financial costs in strengthening national oceanic fisheries programmes, including the cost of 70 permanent new posts in SIDS fisheries administrations and over 450 additional monitoring staff. Much of the costs of these programmes has been recovered from boatowners, as discussed in the Section 1.3.4 on the Socio-Economic and Financial Landscape.

A major factor contributing to the financial and economic sustainability of the Project results has been the greatly increased value of the region's oceanic fisheries. In the five years from 2007 to 2012 the annual value of catches in Pacific SIDS waters more than doubled from US\$1.8 billion to US\$3.9 billion, mostly from increased prices that were largely a result of increased global prices for tuna contributed to by conservation and management measures tightening tuna supplies.

However, the capacity for cost recovery varies among SIDS, and even where large revenues generated from oceanic fisheries are increasing SIDS government budgets, the fisheries sector still has to compete with other sectors for financial resources, especially health and education. In this setting, the Project seeks cost-effective solutions to meeting the increasing demands on oceanic fisheries administrations, while strengthening cost recovery programmes and enhancing fisheries revenues, especially through innovative rights-based fisheries management, such as the Vessel Day Schemes.

5.4 SUSTAINABILITY OF CAPACITIES DEVELOPED

The key constraint to the sustainability of Project results is the lack of skilled people in all aspects of oceanic fisheries management to carry forward and build on those activities and results, especially in some of the smaller SIDS which are large oceanic states. More generally, lack of human resources is the core problem in SIDS sustainable development overall. It is inherent in smallness and accentuated by weaknesses in education and training and loss of skills to migration. The Project addresses this constraint directly by seeking to avoid achieving short term gains through expansions in programmes that are not sustainable. In this direction, GEF funding will not provide significant hardware, or fund capital items or recurrent budget items. Instead, it will invest in knowledge, ideas, training and institutional change and in developing self-sustaining financing processes that will build on the expansion of regional, sub-regional and national programmes, especially in fishery monitoring, that was undertaken in PIOFMP-I

5.5 APPROPRIATENESS OF TECHNOLOGIES INTRODUCED

No technologies are being introduced in the Project. The only significant technology-based element is the support for national Fisheries Information Management Systems (FIMS) under Output 3.2.1. This is a highly appropriate response generally to the need for the handling of large volumes of fisheries information, but it needs to be carefully tailored to the circumstances and needs of individual Pacific SIDS. This tailoring is to be achieved by the development of the national FIMS by module for a small number of Pacific SIDS (initially 4) with a staged transfer to other SIDS over time.

5.6 REPLICABILITY AND SCALING UP

The Project addresses replicability and scaling up at 3 levels.

Firstly, at the regional level, the Project contributes to the already well-established process of harmonization of oceanic fisheries laws, programmes and measures among Pacific SIDS that is both a response to the shared nature of the resources and the attendant problems, and an efficient approach to strengthening of performance by small administrations. This includes a very strong emphasis on shared experience and skills among Pacific SIDS through workshopping and south-south cooperation, with a central role for the regional and sub-regional organisations.

Secondly, the Project supports the process of leveraging gains in the ABNJ through the replication in the ABNJ of strong programmes and high standards established in EEZs. Within the framework of the UN Fish Stocks Agreement and the WCPFC Convention, the important principle of compatibility requires RFMOs, including the WCPFC, to ensure that standards in the ABNJ and EEZs are compatible and in particular to ensure that measures adopted in EEZs are not undermined by Commission measures for the ABNJ. By using this principle to raise the standards of management of oceanic fisheries in the ABNJ, Pacific SIDS have been able to reduce the scope for fishing states to obstruct conservation and management efforts in the ABNJ in order to protect the economic interests of their fleets, which is the single biggest constraint on the effectiveness of the WCPFC. The FAO-implemented ABNJ Tuna Project provides a powerful opportunity to support this process.

Thirdly, the Project promotes the replication of results in the Pacific Islands region in other oceans. The cooperation among Pacific SIDS has long been recognized as providing a global best practice in developing country cooperation in oceanic fisheries management, both in terms of the institutional arrangements, centred around FFA and SPC, and the standards of minimum terms and conditions for licensing which include a number of requirements that have been global precedent-setting as discussed in Section 1.3.1 on the Legal Landscape. More recently, the advances by the PNA Members in rights-based management and sustainability certification have established important new global precedents. The Project will contribute to replication of those outcomes in other appropriate oceanic areas, in collaboration with the ABNJ Project as discussed in Section 6.6 (Communication and Visibility).

6. MANAGEMENT ARRANGEMENTS

6.1 INSTITUTIONAL ARRANGEMENTS

The Project will be jointly implemented by the GEF agencies UNDP and FAO with the former as the lead agency.

The executing partners will be FFA, as the primary executing agency, supported by SPC and also by the MSG, PITIA, PNA, TVM and WWF. A brief description of the partners follows below. Additional detail on the programmes of these partners is set out in the discussion on baseline programmes above.

Pacific Islands Forum Fisheries Agency (FFA): the FFA is the major regional fisheries body for tuna for Pacific SIDS. The Agency was established in 1978 to help countries sustainably manage the fishery resources that fall within their EEZs. FFA is an advisory body providing expertise, technical assistance and other support to its members who make sovereign decisions about their tuna resources and participate in regional decision making on tuna management through agencies such as the WCPFC. The agency has 17 members, including 15 Pacific SIDS, and Australia and New Zealand and is based in Honiara, Solomon Islands. It has a professional staff of around 50, and an annual budget in 2012-13 of US\$24m funded from a mix of Member contributions, donor grants and costs recovered for fisheries management services from Members, the WCPFC and vessel operators.

Secretariat of the Pacific Community (SPC): The SPC is a regional intergovernmental organization whose membership includes both metropolitan and Pacific Island states and territories. Its multi-disciplinary, multisectoral programmes aim to "develop the technical, professional, scientific, research, planning and management capability of Pacific Island people and directly provide information and advice, to enable them to make informed decisions about their future development and well-being." The SPC headquarters is in Nouméa, New Caledonia, which is also the base for the Oceanic fisheries Programme which will provide the SPC contribution to the PIOFMP-II.

Parties to the Nauru Agreement (PNA): The Nauru Agreement Concerning Cooperation in the Management of Fisheries of Common Interest (Nauru Agreement) is a subregional agreement between eight Pacific SIDS who collectively control 25-30% of the world's tuna supply and approximately 60% of the western and central Pacific tuna supply. The PNA have been concerned mainly with the management of tuna purse-seine fishing in the tropical western Pacific. The PNA Office is based in Majuro, Marshall Islands.

Te Vaka Moana (TVM): the Te Vaka Moana Arrangement is an agreement to cooperate in shared fisheries interests between 5 Polynesian SIDS and New Zealand. TVM's work centres on the management and development of shared fisheries resources, to ensure their sustainability, to leverage greater economic benefits, and to protect the important role that fisheries play as a source of food for TVM communities. The TVM Manager and Coordinator is based in Wellington, New Zealand.

Pacific Islands Tuna Industry Association (PITIA): PITIA was established in 2004 to provide a united voice for the domestic tuna industries, promote sustainable use of resources by domestic tuna industries and liaise with other relevant bodies on behalf of its members. The PITIA membership includes 14 Pacific Island countries and several national industry associations, and the secretariat is based in Tonga.

World Wildlife Fund (WWF) South Pacific: WWF is a global conservation organization. The WWF South Pacific programme, based in Suva, Fiji, is largely focused on conservation and natural resource management of the marine environment.

6.2 IMPLEMENTATION ARRANGEMENTS

UNDP and FAO will serve as the GEF Agencies of this project and will each be responsible for 50% of activities funded by the GEF grant, broadly reflecting their patterns of comparative advantage.

FAO and UNDP will provide staff for support, monitoring and supervision of the project. Specifically, the UNDP Fiji Multi-country Office and UNDP Asia Pacific Regional Center (APRC) in Bangkok will provide operational and technical oversight, respectively; the FAO Fisheries and Aquaculture Department and FAO Sub-regional Office for the Pacific Islands (FAO SAP) will support the project.

FAO and UNDP will be responsible for project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes in an efficient and effective manner. FAO and UNDP will report on the project progress to the GEFSEC and provide financial reports to the GEF Trustee in accordance with their respective agreements with the GEF Trustee.

UNDP and FAO will also provide implementation and technical support, as well as carry out supervision missions at least once a year. Administration of the grants will be carried out in compliance with the rules and procedures of FAO and UNDP, respectively, and in accordance with their Letters of Agreements with the GEF Trustee.

The division of responsibility for outcomes and outputs between FAO and UNDP is set out in the table of GEF Agency responsibilities below.

6.2.1 Division of GEF Agency Responsibilities

OFMPII STRUCTURE	Budget	GEF Agencies		Executing Partners		Other Partners
		FAO	UNDP	FFA	SPC	
1.1 : WCPFC CMMs						
1.1.1 CMMs for target stocks and non-target species	620,600	620,600		620,600		
1.1.2 Legal and compliance mechanisms	187,250	187,250		187,250		
1.2 Climate change impacts						
1.2.1 Climate change forecasts & vulnerability assessments	722,250	722,250			722,250	
1.2.2 Fisheries jurisdictional implications of sea level rise	0					
1.2.3 Updated TDA & IW SAP	73,800		73,800	73,800		
Total	1,603,900	1,530,100	73,800	881,650	722,250	
2 Sub-regional Actions for Ecosystem- Based Management						
2.1 Sub-regional conservation & management						
2.1.1 PNA management	1,600,000	1,600,000		1,600,000		PNA

OFMPII STRUCTURE	Budget	GEF Agencies		Executing Partners		Other Partners
		FAO	UNDP	FFA	SPC	
arrangements						
2.1.2 TVM management arrangements	300,000	300,000		300,000		TVM
2.1.3 Other sub regional arrangements	100,000	100,000		100,000		MSG
Total	2,000,000	2,000,000		2,000,000		
3.National Actions for Ecosystem-Based Management						
3.1 National conservation & management arrangements						
3.1.1 National management & policy enhancement	1,590,020		1,590,020	1,590,020		
3.1.2 National laws & MCS enhancement	507,180		507,180	507,180		
3.1.3 National bycatch management	192,600		192,600	192,600		
3.2 Integrated data & information systems						
3.2.1 National monitoring	1,177,000		1,177,000		1,177,000	
3.2.2 National scientific support	984,400		984,400		984,400	
Total	4,451,200		4,451,200	2,289,800	2,161,400	
4. Stakeholder Participation & Knowledge Management						
4.1 Stakeholder Participation						
4.1.1 Stakeholder awareness and involvement	280,000	280,000		280,000		PITIA/WWF
4.1.2 Coordination	373,430	373,430		373,430		
4.1.3 M & E	177,650	177,650		177,650		
4.2: Knowledge Management						
4.2.1 Knowledge management	638,820	638,820		638,820		
Total	1,469,900	1,469,900		1,469,900		
Project Management	475,000		475,000	475,000		
TOTAL	10,000,000	5,000,000	5,000,000	7,116,350	2,883,650	

6.3 EXECUTING ARRANGEMENTS

6.3.1 Relationships Between Executing Agencies

Project execution involves a number of regional institutions. The FFA will be the principal Executing Agency in collaboration with the SPC. Other partners in project execution include PNA, TVM, MSG, the Pacific regional office for WWF and the regional tuna industry body, PITIA. These are shown in the figure below, which illustrates the relationship between the various institutions involved with project funding and delivery.

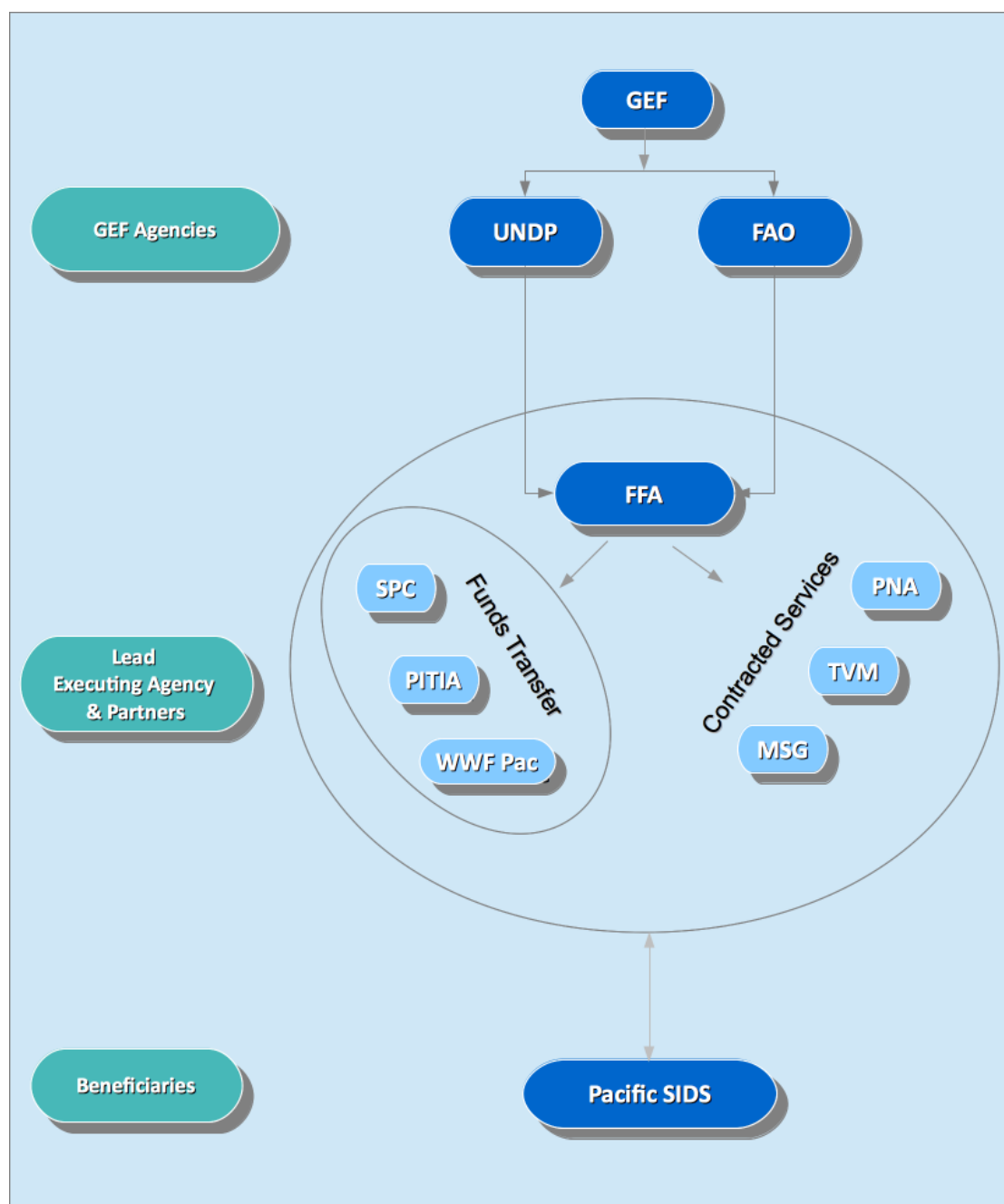


Figure 7. Major Institutional Arrangements for PIOFMP-II

The projected flow of funding associated with this pattern of project delivery is as follows:

- a) FAO and UNDP will each transfer US\$5m of GEF grant funding to FFA
- b) Of the US\$5m provided by FAO:
 - \$722,250 will be transferred by FFA to SPC to fund scientific climate change-related activities in Component 1;
 - \$280,000 will be transferred by FFA to WWF and PITIA (\$140,000 each) to fund stakeholder awareness and involvement activities under Component 4; and
 - the balance of \$3,997,750 is for disbursement on technical activities by FFA; including \$2m for sub-regional technical activities in Component 2 provided for PNA, TVM and MSG.
- c) Of the US\$5m provided by UNDP:
 - \$2,161,400 will be transferred by FFA to SPC to fund national data and scientific-related activities under Component 3;
 - the balance of \$2,838,600 will be used to fund FFA-executed technical activities and project management costs

As the lead Executing Agency, the FFA will seek to ensure that the 14 Project countries work at the same time with the region's other GEF projects, as well as other bilateral and multilateral donor agencies in the region to define and address transboundary priority issues within the framework of their existing responsibilities under the WCPF Convention and other key global fisheries instruments. The Executing Agency will act as a regional platform for exchange of information and the synthesis of experiences and lessons, as well as providing the overall administrative support at the regional level. In order to fulfill these responsibilities, the Executing Agency will establish a Project Management Unit (PMU) with office space at the FFA Headquarters. The PMU will be staffed by a Chief Technical Advisor/Project Coordinator and a Project Finance and Administration Officer. FFA will enter into Memoranda of Understanding (MOUs) with SPC, PITIA and WWF South Pacific that will govern the execution of relevant activities in the Project, which will be shared with UNDP and FAO for comments/no objection prior to signature. The FFA, in consultation with FAO and UNDP, will competitively recruit a full-time CTA/Project Coordinator and other Senior Project Staff consistent with their own and standard FAO and UNDP procedures. FAO and UNDP will participate in the Selection Panel for the CTA/Project Coordinator.

The major roles and responsibilities of the executing partners will be as follows:

FFA will be the major executing agency. All Project funding from the GEF agencies will be provided through FFA. The FFA will establish and host the PMU, and lead the coordination of all Project activities. It will be fully responsible with the national administrations for the execution of regional activities for Outputs 1.1.1 (CMMs for target stocks and non-target species), 1.1.2 (Legal and Compliance Mechanisms) and 1.2.3 (Updated TDA & IW SAP), the national activities for Outputs 3.1.1 (National Management Interventions), 3.1.2 (National laws & MCS), 3.1.3 (National Bycatch Management), and the Coordination and knowledge Management activities for Outputs 4.1.2 (Coordination) and 4.2.1 (Knowledge Management). The FFA will also cooperate with PNA, TVM and MSG in the execution of sub-regional activities for Outputs 2.1.1 (Sub-Regional Arrangements in Equatorial Fisheries), 2.1.2 (Sub-Regional Arrangements in TVM Fisheries) and 2.1.3 (Other Sub Regional Arrangements) in the manner described below; cooperate with FAO in the execution of activities for Output 1.2.2 (Fisheries Jurisdictional Implications of Climate Change), and with FAO and UNDP in the work for Output 4.1.3 (M&E).

SPC will execute the information services and scientific activities for Outputs 1.2.1 (Climate Change Forecasts & Vulnerability Assessments), 3.2.1 (National Monitoring) and 3.2.2 (National Scientific Support) with GEF Project funds disbursed to SPC through FFA in accordance with a LOA between FFA and SPC. SPC will be responsible for the contracting of services and other arrangements necessary for the execution of these activities, reporting back to FAO or UNDP, as appropriate for each Output, through FFA.

PNA, TVM and MSG are planned to lead the execution of activities for Outputs 2.1.1 (Sub-Regional Arrangements in Equatorial Fisheries), 2.1.2 (Sub-Regional Arrangements in TVM Fisheries) and 2.1.3 (Other Sub Regional Arrangements) respectively in collaboration with FFA who will be responsible for the contracting of services and other financial arrangements necessary for the execution of these activities. PNA, TVM and MSG will report back through FFA to FAO on these activities.

PITIA and WWF South Pacific will execute the stakeholder awareness and involvement activities for Output 4.1.1 (Stakeholder Awareness and Involvement) with GEF Project funds disbursed to PITIA and WWF South Pacific by FFA in accordance with a LOAs with FFA.

FAO will execute the activities for Output 1.2.2 (Fisheries Jurisdictional Implications of Climate Change), which is fully financed by co-financing from FAO, supported by FFA and Pacific SIDS.

6.3.2 Internal FAO Implementation Arrangements:

In its role as a GEF Agency for the project, FAO will:

- Manage and disburse the FAO share of the funds from GEF in accordance with the rules and procedures of FAO;
- Enter into an Execution Agreement with the Pacific Islands Forum Fisheries Agency (FFA) as the executing partner for the provision of services to the project;
- Oversee project implementation in accordance with the project document, work plans, budgets, agreements with co-financiers and the rules and procedures of FAO;
- Provide technical guidance to ensure that appropriate technical quality is applied to all project activities;
- Carry out at least one supervision mission per year. Supervision missions will be organized by the GEF Coordination Unit/Investment Centre Division in the Technical Cooperation Department;
- Collaborate with UNDP in the organization of independent mid-term and final project evaluations through FAO's Office of Evaluation; and
- With UNDP taking the lead, report to the GEF Secretariat and Evaluation Office, through the annual Project Implementation Review, on project progress;
- Provide financial reports to the GEF Trustee; and evaluation reports to the GEF Evaluation Office and GEF Secretariat.

FAO will designate a Lead Technical Officer from the Fisheries and Aquaculture Department and a Budget Holder who will be responsible for supporting the project through its lifecycle. The FAO Lead Technical Officer (LTO) will provide technical advice and backstopping to the project and support the project Executing partners on specific technical issues during project execution. Specifically, the LTO will:

- represent FAO in the Regional Steering Committee) and interview and selection panels for key project positions to be financed by GEF resources;
- review and give no-objection to TORs for consultancies and contracts to be performed under the project and to CVs and technical proposals short-listed by the FFA for key project positions/consultancies, goods and services to be financed by GEF resources;
- review procurement and contract documentation;
- assist with review and provision of technical comments to draft technical products/reports as appropriate;
- review and approve project progress reports submitted by PMU in consultation with the Project Task Force, BH and GEF Coordination Unit;
- support the PMU in preparing the results-based AWP/B and clearing it prior to submission to the Project Steering Committee;
- contribute to the preparation of the annual Project Implementation Review report with inputs from FFA and other project partners to be UNDP for incorporation into the PIR; the final consolidated project PIR should be submitted for clearance to the GEF Coordination (TCI)
- carry out technical backstopping and supervisions missions as necessary, but at least once a year;
- review and provide comments on TORs for the mid-term and final evaluations; and
- troubleshoot when complications arise or issues are raised, participate in review missions and, if necessary, collaborate with project partners in drawing up an eventual agreed adjustment plan to mitigate project risk.

The Budget Holder (BH), working in close consultation with the LTO, will be responsible for timely operational, administrative and financial management of the project. Specifically, the BH will:

- authorize the disbursement of FAO's share of the project's GEF resources based on satisfactory reporting on project progress and statement of expenditures;
- review financial reports provided by and supervise FFA's financial management and use of resources, including clearance of Budget Revisions in consultation with the FAO LTO for submission to the TCI/GEF Coordination Unit for approval and uploading on the FPMIS;
- supervision of contracting and procurement processes executed by FFA;
- be responsible for the management of FAO's share of the project resources and all aspects in the agreements between FAO and the various executing partners;
- monitor all areas of work and suggest corrective measures as required;
- submit to the GEF Coordination Unit, the TCID Budget Group and the LTO six-monthly financial reports on the use of FAO's share of the GEF resources (due 31 July and 31 January) that show the amount budgeted for the year, amount expended since the beginning of the year, including un-liquidated obligations (commitments) including details of project expenditures on an output-by-output basis, reported in line with project budget lines as set out in the project budget included in the Project Document;
- ensure that project partners have provided information on co-financing contributed during the course of the year for inclusion in the PIR;
- be accountable for safeguarding resources from inappropriate use, loss, or damage;
- be responsible for addressing recommendations from oversight offices, such as Audit and Evaluation; and
- establish a multi-disciplinary FAO Project Task Force to support the project.

The BH function will be temporarily located at the Regional Office for Asia and the Pacific (RAP) while the LTO/LTU responsibility will temporarily rest with FIRO, FAO HQ. One or both of the BH and LTO functions may be transferred to the FAO Sub-regional Office for the Pacific Islands (SAP), based in Samoa, during the implementation of the project, once the technical and operational capacities of SAP will allow so. The SAP office will be continuously kept informed of the progress of all aspects of the implementation of the project to ensure a smooth transfer, as appropriate.

A multidisciplinary FAO **Project Task Force (PTF)** will be established by the BH and comprised of technical units in the Subregional Office for the Pacific Islands and FAO Headquarters, the Investment Centre Division/GEF Coordination Unit, the Legal Office and others, as necessary. Participating units from across FAO will be involved in supporting the project's work and in ensuring that the project stays on track to achieve its overall objectives and indicators of success. The FAO Investment Centre Division will provide adaptive management support and results-based management oversight and guidance to the LTO and the participating units.

The GEF Coordination Unit (TCI) will, together with UNDP as appropriate, review and approve project progress reports, annual Project Implementation Review, financial reports and budget revisions. The GEF Coordination Unit will provide project oversight, organize annual supervision missions, participate as a member in the FAO Project Task Force and as an observer in the Regional Steering Committee meetings, as necessary. The GEF Coordination Unit will also assist in the organization and be a key stakeholders in the mid-term and final evaluations. It will also contribute to the development of corrective actions in the project implementation strategy in the case needed to mitigate eventual risks affecting the timely and effective implementation of the project. The GEF Coordination Unit will, in collaboration with the FAO Finance Division, request transfer of project funds from the GEF Trustee based on six-monthly projections of funds needed.

The FAO Finance Division will provide annual Financial Reports to the GEF Trustee and, in collaboration with the GEF Coordination Unit, call for project funds on a six-monthly basis from the GEF Trustee.

6.3.3 Internal UNDP Implementation Arrangements:

The project will be implemented by UNDP with the UNDP Fiji Multi-country Office serving as the Principal Project Representative (PPR). FFA will serve as the Implementing Partner of the UNDP elements in accordance to the agreement to be entered into by the two parties. FFA is accountable to UNDP to manage the project and achieve the results defined in the project document.

6.4 PROJECT MANAGEMENT & COORDINATION

The major elements of the Project Management and Coordination Arrangements are illustrated below.

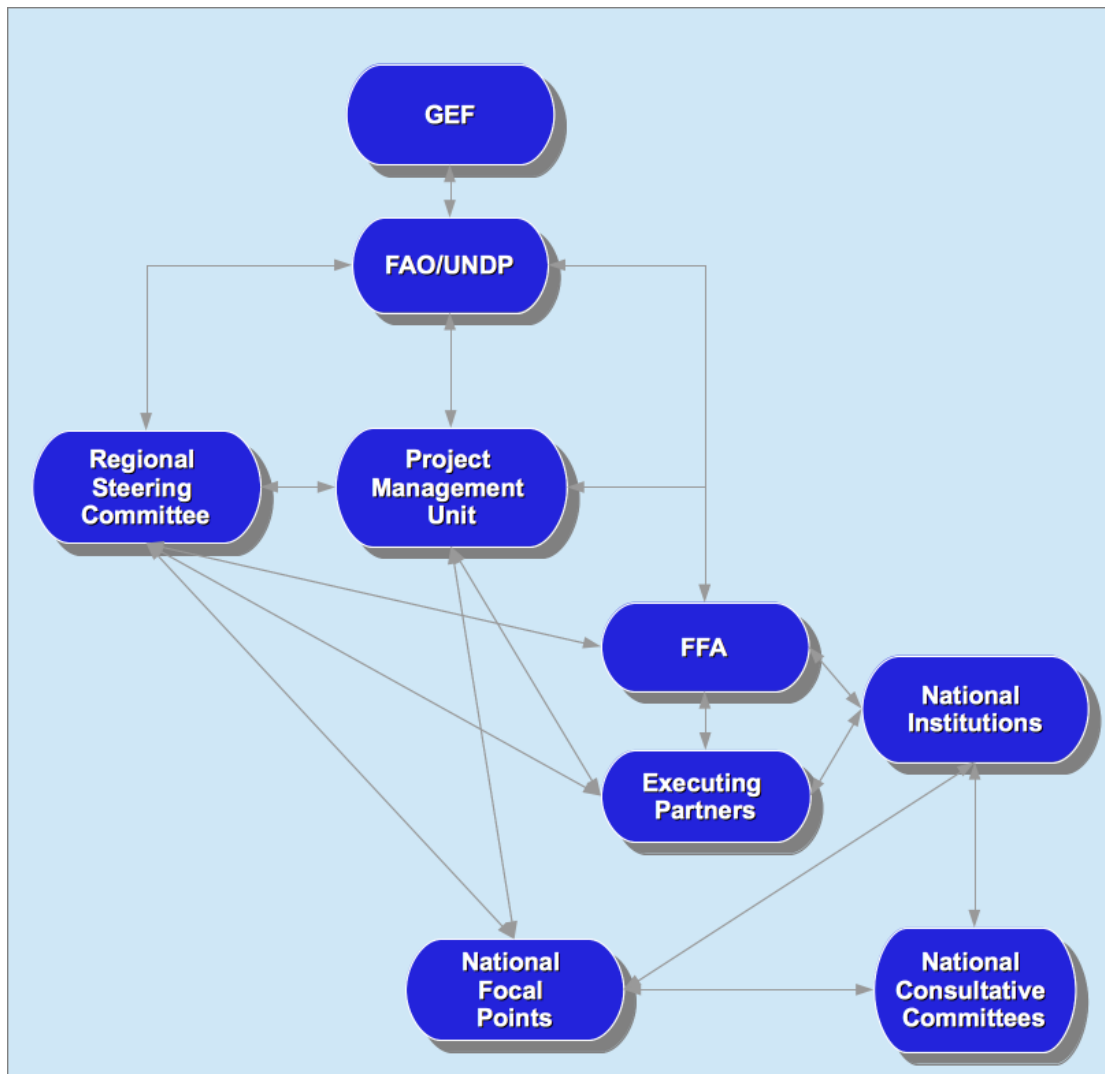


Figure 8. Management and Coordination Arrangements for PIOFMP-II

6.4.1 Project Management Unit (PMU)

Regional coordination and collaboration will be facilitated through the PMU staffed by the Chief Technical Advisor/Project Coordinator and a Project Finance and Administration Officer. The PMU will be established and operated out of the FFA headquarters in Honiara, Solomon Islands. The PMU will undertake all day-to-day project management through the overall responsibility of the Chief Technical Advisor/Project Coordinator. As part of its commitment to the Project and in support of the PMU, FFA will provide appropriate office space to house the PMU staff and equipment. The PMU will act as the Secretariat to the Project and will provide technical advice to all project participants, as well as organizing facilities and administrative requirements for regional workshops and meetings related to the Project. In particular, the PMU will administer disbursements of equipment and finance and undertake recruitment procedures for staff and consultants as appropriate, in accordance with UNDP and FAO rules and procedures, and in close consultation with UNDP and FAO (advice and endorsement/no objection of the GEF Agencies), and the relevant executing partners. The PMU will be directly managed by FFA in close consultation with UNDP and FAO. It will generally report:

- a) to FFA on a day-to-day basis:

- b) to FAO six monthly;
- c) to UNDP quarterly; and
- d) to the RSC annually.

The key functions of the PMU include:

- preparing the results-based Annual Work Plan and Budget;
- being responsible for day-to-day implementation of the project in line with the Annual Work Plan;
- ensuring a results-based approach to project implementation, including maintaining a focus on project results and impact as defined by the Results Framework indicators;
- arranging disbursements to SPC, PITIA and WWF, and manage disbursements on behalf of PNA, TVM and MSG as appropriate
- coordinating contributions by executing partners to project reporting
- coordinating project interventions with other ongoing activities;
- monitoring project progress;
- being responsible for the elaboration of FAO and UNDP Project Progress Reports (PPRs) and the annual Project Implementation Report; and
- facilitating and supporting the MTE and final evaluation of the project which would be managed by UNDP and FAO evaluation offices

6.4.2 Chief Technical Advisor/Project Coordinator

The overall responsibilities of the Chief Technical Advisor/Project Coordinator include:

- a) facilitating the overall execution of project activities;
- b) being responsible, under contract to FFA, for the overall management and supervision of PIOFMP-II, and for the coordination of the day-to-day project activities, including supervision of the PMU, reporting on staff activities and project progress, and external relations for the Project;
- c) being responsible for coordination with organisations involved in the implementation and execution of the Project including GEF, UNDP, FAO, FFA, SPC, PITIA, WWF, PNA, TVM and other executing partners, and liaison with the RSC, NFPs and NCCs over the annual work plan for the project, and with representatives of other relevant projects, programmes and stakeholder groups, and
- d) reporting to the Director, Fisheries Management of FFA, FAO and UNDP and liaising closely with the UNDP Regional Technical Advisor for International Waters in Bangkok and a nominated FAO technical contact

In particular the Chief Technical Advisor/Project Coordinator will:

- manage the activities of the Project Management Unit (PMU), including its staff and budget;
- have general responsibility for the overall coordination, implementation and monitoring of project objectives and activities described in the work plan;
- supervise all activities required for implementation of the objectives and specific activities of the OFM Project;

- prepare the annual work plan of the program, in a format consistent with FFA's budget, monitoring and evaluation procedures and the financial regulations of the FAO and UNDP;
- consult and coordinate with the RSC, NFPs and NCCs;
- act as the Secretary to the RSC;
- facilitate liaison and networking between and among the 14 country participants, relevant regional organizations, other relevant organizations, non-governmental organizations, key stakeholders and other individuals involved in project implementation;
- foster and establish links with other related South Pacific programmes and projects and, where appropriate, with other regional and global GEF International Waters projects, including IW:LEARN and TRAIN:SEA:COAST.
- work closely with FFA, SPC, and other partners involved in the execution of Project-related activities;
- coordinate and oversee the preparation of the substantive and operational reports for Project implementation;
- collect and disseminate information on policy, economic, scientific, and technical issues related to Project implementation;
- promote public awareness and participatory activities necessary for successful Project implementation;
- provide support for the preparation of technical and feasibility studies;
- implement and coordinate the monitoring and evaluation work plan;
- prepare progress reports (including terminal report 3 months prior to project completion) concerning project activities; and
- participate in, and prepare all project reviews required by the UNDP, FAO and GEF.

6.4.3 Regional Steering Committee (RSC)

The RSC should consist of the National Focal Points (NFPs) from each country, GEF Agencies, executing agencies and collaborating partners.

Observers, who may be invited to attend by the RSC, may include regional and national stakeholder representation, including fisheries industry other than PITIA, environmental NGOs regional and international other than WWF South Pacific and other donor agencies, etc. Observer attendance will be agreed by consensus within the Committee membership.

The Committee will be jointly chaired by a national representative (by nomination) and by a representative from one of the GEF Agencies.

The RSC will meet annually, and in conjunction with an existing regional fisheries meeting (e.g. FFC or SPC Heads of Fisheries meeting) wherever possible.

The RSC will be the primary policy-making body for the Project. It will monitor progress in project execution; coordinate between, and discuss implications of, respective project objectives and activities and the functions and progress of the Commission and other global fisheries instruments; promote coordination with other projects and relevant initiatives, particularly the FAO-implemented ABNJ Tuna Project; provide strategic and policy guidance and review and approve annual work plans and budgets; review and endorse all formal monitoring and evaluation reports and findings; provide a regional forum for reviewing and resolving national concerns and for stakeholder participation; provide a platform from which to launch new initiatives related to the Project but requiring separate donor support; and ensure all interested parties for the Project who will be responsible are kept

informed and have an opportunity to make comment. The RSC will also serve as a forum for discussion of the Mid-Term Evaluation and the Terminal Evaluation.

The Project CTA/Coordinator will schedule and report on, and act as Secretary to, the RSC Meetings. Meetings can also be organised *ad hoc* at the request of a majority of the participating countries. The RSC will approve the final results of such meetings. One specific function of the RSC will be to review budget allocations (after the Inception Meeting) for each Project component and to rationalise these allocations where it can be demonstrated that priorities or other circumstances have changed.

Draft TORs for the RSC, based on the TORs from PIOFMP-I are set out in Annex D

6.4.4 National Level Project Management and Coordination

The project has been designed with an emphasis on national level activities and this makes the functioning and effectiveness of the national level management and coordination critical. Each country will be required to designate a National Focal Point (NFP) responsible for establishing a National Consultative Committee (NCC). Where there is already an appropriate national body that functions at the intersectoral level, this could be mandated to take on the role of the NCC in order to avoid creating unnecessary bureaucracy.

The lead institutions for the Project for participating Pacific SIDS are listed below.

List of National Lead Institutions

Country	Lead Institution
Cook Islands	Ministry of Marine Resources Mr Ben Ponia, Secretary: Email b.ponia@mmr.gov.ck
FSM	National Oceanic Resource Management Authority Mr Patrick Mackenzie, Executive Director: Email patrick.mackenzie@norma.fm
Fiji	Ministry of Agriculture, Fisheries & Forestry, Fisheries Division Mr Suresh Chand, Director
Kiribati	Ministry of Fisheries & Marine Resources Development, Ms. Naomi Biribo, Secretary, naomib@mfmrd.gov.ki
Marshall Is.	Marshall Islands Marine Resources Authority Mr Glen Joseph, Director: Email gjoseph@mimra.com gjospph101@gmail.com
Nauru	Nauru Fisheries & Marine Resources Authority Mr Charleston Deiye, Chief Executive Officer: cdeiye@gmail.com
Niue	Dept of Agriculture, Forestry & Fisheries, Fisheries Division Mr Brendon Pasisi, Director: Email brendan.pasisi@mail.gov.nu
Palau	Ministry of Natural Resources, Environment & Tourism, Bureau of Marine Resources Ms Nannette Malsol, Director: Email dilymalsol@gmail.com
PNG	National Fisheries Authority , Mr Sylvester Pokajam, Managing Director, Email spokajam@fisheries.gov.pg
Samoa	Ministry of Agriculture & Fisheries , Fisheries Division Mr Fonoaiva Sealiitu Sesega, Chief Executive Officer: Email fono@maf.gov.ws
Solomon Is.	Ministry of Fisheries & Marine Resources , Dr Christian Ramofafia, Permanent Secretary: Email cramofafia@fisheries.gov.sb
Tonga	Ministry of Agriculture, Food, Forestry & Fisheries , Fisheries Division Mr Vilimo Fakalolo, Acting Head of Fisheries: Email vilimof@tongafish.gov.to vilimo.fakalolo@gmail.com
Tuvalu	Ministry of Natural Resources , Fisheries Department Mr Samasoni Finikaso, Director of Fisheries: Email sfinikaso@gov.tv samfinikaso70@gmail.com
Vanuatu	Ministry of Agriculture, Quarantine, Forestry & Fisheries , Fisheries Department,

6.4.5 National Focal Point (NFP)

The National Focal Point will sit on the NCC and, where appropriate (at the discretion of each country), should act as the country's representative to the Regional Steering Committee). This will firmly establish the National Focal Point as the key focal point for interactions with the Project Coordination Unit. Furthermore, this will help to maintain a focus of action at the national level. From past experience, the NFPs have typically been the Heads of Fisheries.

The National Focal Point should provide the PMU with a summary annual report of the implementation of Project activities from a national point of view, highlighting specific issues that need to be brought to the attention of the Regional Steering Committee.

6.4.6 National Consultative Committee (NCC)

The objective of the NCCs will be to capture the Project concepts and objectives at the national level, to expedite national activities related to the Project components and outputs and to ensure complementary activities between national strategies and policies and project objectives.

The NCCs should consist of senior (policy level) representatives from relevant government agencies/sectors (e.g. Fisheries, Environment, Police, Foreign Affairs, Attorney-General's office, etc.), NGO representatives as appropriate (environmental and industry), relevant funding agencies and community representation.

The NCCs should meet at least once annually and prior to the RSC, so national concerns can be carried forward to regional level in a timely manner.

The functions of the NCCs include endorsing requests for in-country Project activities, monitoring the effectiveness of in-country activities; prepare workplans for in-country Project activities (based on the needs identified in the national missions); and considering project progress and implications at a national level. The NCC should also identify national concerns regarding project activities and delivery; ensure integrated coordination of actions and Project concepts within those Government Departments that have responsibility/accountability for oceanic fisheries-related and WCPFC Convention-related issues; provide a voice for national, non-governmental stakeholders, provide government representatives with an opportunity to update and inform each other and non-government participant, and ensure transparency of process and multisectoral participation.

6.5 RELATIONSHIP TO OTHER PROGRAMMES, PROJECTS AND ACTION PLANS

Efforts to coordinate and maintain links to other programmes, projects or action plans GEF funded and otherwise are to operate at all levels of the Project. The Project and its predecessor OFMPI are projects that flow from the GEF IW South Pacific Strategic Action Programme (SAP) described earlier for which SPREP (Secretariat for the Pacific Regional Environment Programme) was the Executing Agency and GEF's key partner in the region. SPREP provides liaison between the region and GEF through the establishment of a GEF Project Facilitator position based in Samoa.

Also derived from the GEF Pacific IW SAP is a freshwater project implemented jointly by UNDP and UNEP and executed by the Secretariat of the Pacific Community Applied Geosciences and Technical Division (SOPAC). The GEF Pacific IWRM Project "*Implementing Sustainable Water Resources and Wastewater Management in Pacific Island Countries*" has maintained links with the OFMP particularly in showcasing Pacific wins and lessons learnt to a global audience at GEF conferences

and through IWLearn, the GEF mechanism that promotes experience sharing and learning across GEF IW projects online and at biennial IW Conferences. The Conferences have proven to be an opportunity for project participants to share experiences and collaborate with participants in other relevant GEF Project.

The Project has been designed so that the PIOFMP-II and the FAO-implemented ABNJ tuna project complement each other. There is a natural fit between these two projects because the ABNJ Project focusses on the high seas areas outside the EEZs beyond national jurisdiction while the PIOFMP-II focuses on management of fisheries within EEZs. There are also important potential synergies. With the ABNJ Project working globally, global best practices can be identified and enhanced including through WCPO-based trials and demonstrations, such as in the traceability/CDS and MCS training activities; while the PIOFMP-II will be engaged in the systematic application of oceanic fisheries management advances in all Pacific SIDS, including applying global best practices identified through the ABNJ Project, and developing applications which are examples of global best practice, such as the PNA VDS, and the FFA and WCPFC satellite-based VMS – adding value to both Projects. The framework for coordination of activities between the two Projects is further enhanced because key personnel from FAO, FFA, PNA and SPC are engaged in both Projects providing an important bridging function between the EEZ and ABNJ aspects in the WCPO.

In addition:

- a) FFA and SPC are on the ABNJ Tuna Project PSC, and the FFA representative will be the PIOFMP-II CTA;
- b) The LTOs from FAO will be the same for both projects, and will participate in the ABNJ Project PSC and the PIOFMP-II RSC
- c) ABNJ Project/PIOFMP-II coordination will be an agenda item at PIOFMP-II RSC meetings.

In a similar way, FAO, FFA, PNA, SPC and UNDP are Partners in the Global Partnership for Oceans and key personnel involved in the development of the PIOFMP-II are also involved in the development of the World Bank-funded Pacific Islands Regional Ocean Investment Package under the Global Partnership for Oceans.

The Project will be integrated with other regional activities through the Council of Regional Organisations of the Pacific Marine Sector Working Group (CROP MSWG), which is also responsible for the development of the Pacific Oceanscape Initiative with Conservation International, and through FFA and SPC/OFP. Because few donors or technical agencies have the capacity to interact bilaterally with the large number of Pacific SIDS, most relevant donor assistance programmes related to oceanic fisheries management are implemented regionally through FFA or SPC/OFP and Project activities will be well integrated with these programmes. At this level, the major donors are the EU, Australia and New Zealand, with support for some specific programmes from Canada, Chinese Taipei, France, Japan and the United States. NGOs are becoming increasingly important in supporting ocean fisheries management programmes in Pacific SIDS, led by WWF and the Pew Charitable Trusts.

The establishment of the WCPF Commission has created new mechanisms for coordination between projects and programmes in which the Project will be involved. Article 30 of the WCPF Convention addresses the Special Requirements of Developing States. In response, the Commission has established a Special Requirements Fund to assist in WCPFC-related areas. The Special Requirements of Developing States are a standing item on the Commission agenda, and under this

agenda item, Commission Members share information on projects and programmes to assist SIDS in conservation, management and development of oceanic fisheries.

6.6 COMMUNICATION AND VISIBILITY

All necessary measures will be taken within the Project to ensure the visibility of GEF financing. Such measures will be in accordance with the need to give adequate publicity to the action being implemented as well as to the support from the GEF, and the roles of FAO and UNDP and executing partners as appropriate.

These measures will be part of the Project Knowledge Management and Information System Strategy that will be prepared under Output 4.2.1. The Strategy is to be principally targeted at addressing the lack of understanding by Pacific Islanders about their own oceanic fisheries resources and their importance to international waters management and global biodiversity, while also improving awareness and understanding of the Project, including the role of the GEF in supporting the Project and sharing Project outcomes globally. The dissemination of information and best practices will occur through activities that include design and preparation and use of logos and other Project identifiers, Project Website, Project Document Cataloguing System, webpage operations, links with IWLearn, Project information materials, including CDs, papers, videos, pamphlets, newsletters, interviews, press releases, and Project and SIDS representation at biennial IW conferences and the communication of best practices and experience notes at IW Learn events and other regional and international meetings on oceans.

The Strategy will provide inter alia, for the compulsory use of the logo of the GEF, and FAO, UNDP and executing partners as appropriate, on all material, publications, leaflets, brochures and newsletters, websites, business cards, signage, vehicles, supplies and equipment, display panels, commemorative plaques, banners, promotional items, photographs, audiovisual productions, public events and visits and information campaigns. Project branding will apply the GEF's Communication and Visibility Guidelines (see

http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf), UNDP's branding guidelines (see <http://intra.undp.org/coa/branding.shtml>).

7. MONITORING AND EVALUATION FRAMEWORK

7.1 MONITORING FRAMEWORK

Project monitoring and evaluation will be conducted in accordance with the established FAO, UNDP and GEF procedures and will be provided by the PMU, FAO and UNDP delegated offices and supported by other project stakeholders. Monitoring and evaluation (M & E) activities and an indicative M & E work plan and budget are described in Sections 7.2 and 7.3 below.

7.1.1 Project start

A Project Inception Workshop will be held within the first 3 months of project start with those with assigned roles in the project organization structure, FAO and UNDP country office and executing agencies regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop will address a number of key issues including:

- a) Assisting all partners to fully understand and take ownership of the project. The roles, support services and complementary responsibilities of FAO and UNDP CO and PMU staff vis à vis the project team will be detailed. Roles, functions, and responsibilities within the project's decision-making structures will be discussed, including reporting and communication lines, and conflict resolution mechanisms.
- b) Finalizing the first annual work plan. Based on the project results framework and the relevant GEF Tracking Tool if appropriate, indicators and targets and means of verification will be reviewed and agreed, and assumptions and risks will be rechecked.
- c) Providing a detailed overview of reporting, monitoring and evaluation (M&E) requirements for FAO, UNDP and GEF. Agreement should be reached to streamline reporting formats of the two Implementing Agencies to ensure there is no duplication or burdensome reporting. The Monitoring and Evaluation work plan and budget will be agreed and scheduled.
- d) Discussing financial reporting procedures and obligations, and arrangements for annual audit.
- e) Planning and scheduling RSC meetings.

Immediately after the workshop, the PMU will prepare a Project Inception Report in consultation with the FAO and UNDP and other project partners. The report will include a narrative on the institutional roles and responsibilities and coordinating action of project partners, progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation. It will also include a detailed First Year Annual Workplan and Budget, and a plan with all monitoring and supervision requirements.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting. It will be the key reference document for the first meeting of the RSC.

A Baseline study will describe the baseline situation in terms of measures in place at national, sub-regional and regional level for the conservation and management of oceanic fish stocks in the protection of the WTPWP LME from fisheries and climate impacts. This will update the IW Tracking Tools and indicators (stress reduction, process and environmental status framework) which will be monitored by the project. The study will be coordinated by the PMU and the report will be disseminated to all project stakeholders.

7.1.2 Annual Work Plan and Budget.

Following the approval of the Project, the Project's first year work plan and budget (AWP/B) will be adjusted (either reduced or expanded in time) to synchronize it with FAO and UNDP financial reporting requirements. It will be prepared by the PMU in consultation with FAO and UNDP and reviewed at the project Inception Workshop. The Inception Workshop inputs will be incorporated, and the PMU will submit a draft final AWP/B within two weeks of the Inception Workshop to FAO and UNDP. In subsequent years, the AWP/B and budget will follow an annual preparation and reporting cycle, and should be submitted to UNDP and FAO for review by November each year. As part of the AWP/B, a detailed project budget for the activities to be implemented during the year should be included together with all monitoring and supervision activities required during the year.

The AWP/B must be linked to the project's Results Framework indicators so that the project's work is contributing to the achievement of the indicators. The AWP/B should include detailed activities to be implemented to achieve the project outputs and output targets and divided into monthly timeframes and targets and milestone dates for output indicators to be achieved during the year. A detailed project budget for the activities to be implemented during the year should also be included together with all monitoring and supervision activities required during the year. The AWP/B should be approved by the Regional Steering Committee) and uploaded on the FAO FPMIS by the BH and onto ATLAS at UNDP.

7.1.3 Regular Progress Reporting

Project Progress Reports (PPRs). The PMU will submit quarterly PPRs to UNDP and six-monthly PPRs to FAO in accordance with UNDP and FAO procedures. The formats for the quarterly and six-monthly PPRs are largely prescribed by the GEF Agencies. The PPRs will be submitted within one month of the end of the period to which they relate. The reports are used to identify constraints, problems or bottlenecks that impede timely implementation and ensure that appropriate remedial action is taking in a timely manner. PPRs will be prepared based on the systematic monitoring of output and outcome indicators identified in the Project Results Matrix. PPRs will also report on projects risks and implementation of the risk mitigation plan.

An annual Project Implementation Review (PIR) will be prepared in the form required by the GEF to report on progress in the 12 months to 30 June. This will be submitted to FAO and UNDP with the IW Tracking Tool no later than 31 July each year for review and approval. The format for the annual PIR is fixed by the GEF.

7.1.4 RSC Review

Project objectives, outputs and emerging issues will be evaluated annually by the RSC. The RSC will also serve as a forum for discussion of the Mid-Term Evaluation and the Terminal Evaluation

7.1.5 Periodic Monitoring Through Site Visits

FAO and UNDP COs will conduct visits as required to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Their assessments should be made available to the PMU for wider distribution to the relevant project partners and other stakeholders.

7.1.6 Technical Reports.

Draft technical reports should be cleared by project partners responsible for the preparation of the report, and copies should be sent to the PMU. Technical reports that are to be published will be submitted to FAO and UNDP for review and clearance in accordance with FAO and UNDP

7.2 EVALUATION FRAMEWORK

7.2.1 Mid-term Evaluation

An independent Mid Term Evaluation (MTE) will be undertaken after two years of project implementation. The MTE will determine progress being made towards achievement of objectives, outcomes, and outputs, and will identify corrective actions if necessary. It will, inter alia:

- review the effectiveness, efficiency and timeliness of project implementation;
- analyze effectiveness of implementation and partnership arrangements;
- identify issues requiring decisions and remedial actions;
- identify lessons learned about project design, implementation and management;
- highlight technical achievements and lessons learned; and
- propose any mid-course corrections and/or adjustments to the implementation strategy as necessary.

The organization, terms of reference and timing of the MTE will be decided after consultation between the parties to the project document. UNDP will take the lead in organizing the MTE in close consultation with the FAO Evaluation Office (OEDD) and UNDP/GEF Coordination Unit. The Terms of Reference for this MTE will be prepared by FAO and UNDP, with some input from the PMU. UNDP will take the lead in preparing the Management response and ensure that FAO's comments are incorporated. The management response and the evaluation will be uploaded to GEF Agencies' corporate systems, after review by the RSC with responses and agreed actions.

The IW Tracking Tools will also be updated during the MTE.

7.2.2 End of Project:

An independent Terminal Evaluation will focus on similar issues as the MTE but will also look at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. UNDP will take the lead, in close consultation with the FAO Evaluation Office and the UNDP/GEF Coordination Unit, in organizing the final evaluation which should be conducted three months prior to the last RSC. The terms of reference for the Terminal Evaluation will be prepared by FAO and UNDP, with the lead Agency being UNDP, in consultation with the PMU. The management response and the evaluation will be uploaded to GEF Agencies' corporate systems, after review by the RSC with responses and agreed actions.

During the last three months, the project team will prepare the Project Terminal Report in a format decided by the GEF Agencies. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. 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 results. The final version of the Terminal Report will include the findings of the final evaluation as described above. A final Regional Steering Committee) meeting is expected to take place in late 2017.

The IW Tracking Tool will also be updated during the final evaluation.

7.3 MONITORING AND EVALUATION WORKPLAN AND BUDGET

The overall monitoring and evaluation process is summarised in the table below.

Type of monitoring and evaluation activity	Responsible Parties	Budget (USD)	Time frame
Inception Workshop	<ul style="list-style-type: none"> • CTA/Coordinator • FAO & UNDP Country Offices • FAO Rome & UNDP GEF • FFA, SPC & other EAs 	30,000	Within first three months of project start up
Inception Report	<ul style="list-style-type: none"> • CTA/Coordinator • FAO & UNDP Country Offices • SPC other EAs 	0	Immediately following the Inception Workshop
Baseline Study to refine and measure Logframe Indicators	<ul style="list-style-type: none"> • CTA/Coordinator • Consultants as needed 	36,028	3 rd quarter of the Project
Measurement of Means of Verification for Project Progress and Performance	<ul style="list-style-type: none"> • Oversight by CTA/Coordinator • Measurements by FFA, SPC & other EAs 	0	Annually prior to APR/PIR and to the definition of annual work plans
APR and PIR	<ul style="list-style-type: none"> • CTA/Coordinator • FAO & UNDP Country Offices • FAO & UNDP-GEF • SPC & Other EAs • RSC 	0	Annually
RSC Meetings	<ul style="list-style-type: none"> • CTA/Coordinator • FAO & UNDP Country Offices 	120,000	Following Project Inception Workshop and subsequently at least once a year
Periodic progress reports	<ul style="list-style-type: none"> • FFA, SPC & other EAs 	0	As determined by UNDP & FAO Country Offices
Technical reports	<ul style="list-style-type: none"> • FFA, SPC & other EA • trainees • Consultants 	20,000	As required in the Workplan
Mid-term External Evaluation	<ul style="list-style-type: none"> • FAO Fisheries Department, SAPA & UNDP Country Offices • FAO Evaluation Office and GEF Unit & UNDP-GEF Regional Coordinating Unit • External Consultants 	50,000	At the mid-point of project implementation
Final External Evaluation	<ul style="list-style-type: none"> • FAO Fisheries Department, SAPA & UNDP Country Offices • FAO Evaluation Office and GEF Unit & UNDP-GEF Regional Coordinating Units • External Consultants 	95,550	At the end of project implementation
Terminal Report	<ul style="list-style-type: none"> • FFA, SPC & other EAs 	0	At least three months

	• FAO & UNDP Country Offices		before the last RSC
Audit	FAO & UNDP Country Offices	80,000	Annually
Periodic Site Visits	<ul style="list-style-type: none"> • FAO & UNDP Country Offices • FAO Rome & UNDP GEF 	From IA fees & operational budget	Annually
TOTAL indicative COST (Excluding project team staff time and FAO & UNDP staff and travel expenses)		US\$431,578	

7.4 LEARNING AND KNOWLEDGE SHARING

The evaluations will also seek to identify best lessons and practices for GEF projects, which are transferable and replicable. The project's Knowledge Management Strategy through a communication strategy will provide the means by which project progress and results and including branding and messaging will be communicated and shared within and beyond the immediate project environment. Project Executing Agencies will supply regular project related knowledge, including information on relevant scientific studies and discoveries, policy development, workshop and training outcomes and best practices produced and gathered in the framework of the project to be published on the Project website. The project will also communicate and exchange information and knowledge of best practices and experience notes at international conferences and meetings on oceans and the IW: Learn.

The CTA/Project Coordinator will take responsibility for the development of the Knowledge Management Strategy and its implementation.

8. LEGAL CONTEXT

The fourteen Pacific SIDS and FFA will sign a Project Document with UNDP.

For UNDP purposes, this project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in:

- i) the respective signed Standard Basic Assistance Agreements (SBAAAs) for the specific countries; or
- ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof.

The fourteen Pacific SIDS will also sign GCP Agreements with FAO. The GCP Agreements lay out FAO and Government obligations, and shall be counter-signed by FFA for acknowledgement. In addition, FFA will also sign an Execution Agreement/an implementing partner agreement with FAO and UNDP.

The Project will be implemented by the FFA (Implementing Partner) in accordance with its financial regulations, rules, practices and procedures to the extent that they do not contravene the principles of the Financial Regulations and Rules of FAO and UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of FAO and UNDP shall apply.

The responsibility for the safety and security of the FFA and its personnel and property, and of FAO and UNDP’s property in the FFA’s custody, rests with the FFA. The FFA shall:

- (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; and
- (b) assume all risks and liabilities related to the FFA’s security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The FFA agrees to undertake all reasonable efforts to ensure that none of the FAO or UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by FAO or UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

The UNDP Resident Representative in Fiji Multi-Country office and the Investment Centre Division/GEF Coordination Unit are authorized to effect in writing the following types of revision to this Project Document, provided in the case of the UNDP Resident representative that he/she has

verified the agreement thereto by the UNDP Regional Coordinating Unit, and provided that those authorised above are assured that the other signatories to the Project Document have no objection to the proposed changes:

- a) revision of, or addition to, any of the annexes to the Project Document;
- b) revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
- c) mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and,
- d) inclusion of additional annexes and attachments only as set out here in this Project Document

Audit. The project shall be subject to the internal and external auditing procedures in accordance with FAO/UNDP Financial regulation and Rules and Audit policies. For external auditing, the Audit will be conducted by the legally recognized auditor of the Government, or by a commercial auditor engaged by the Implementing Partner.

Responsibility for Cost Overruns (this provision is applied to the FAO managed fund only)

The BH is authorized to enter into commitments or incur expenditures up to a maximum of 20 percent over and above the annual amount foreseen in the project budget under any budget sub-line provided the total cost of the annual budget is not exceeded.

Any cost overrun (expenditure in excess of the budgeted amount) on a specific budget sub-line over and above the 20 percent flexibility should be discussed with the GEF Coordination Unit with a view to ascertaining whether it will involve a major change in project scope or design. If it is deemed to be a minor change, the BH shall prepare a budget revision in accordance with FAO standard procedures. If it involves a major change in the project's objectives or scope, a budget revision and justification should be prepared by the BH for discussion with the GEF Secretariat.

Savings in one budget sub-line may not be applied to overruns of more than 20 percent in other sub-lines even if the total cost remains unchanged, unless this is specifically authorized by the GEF Coordination Unit upon presentation of the request. In such a case, a revision to the project document amending the budget will be prepared by the BH.

Under no circumstances can expenditures exceed the approved total project budget or be approved beyond the NTE date of the project. Any over-expenditure is the responsibility of the BH.

