

United Nations Development Programme

Country: Costa Rica

PROJECT DOCUMENT¹



Project Title:	Global Sustainable Supply Chains for Marine Commodities
GEF Project ID: 5271	GEF Agency Project ID: 4754
UNDAF Outcome(s):	Costa Rica: UNDAF Outcome 4.1.: Public and private sectors and civil society have reached the incorporation and implementation of public policies and national strategies that consider the environmental quality management and the natural resources integral management, as well as the valuation of environmental and goods services, the protection, conservation and sustainable use of biodiversity.
UNDP Strategic Plan Environment and Sustainable Development <u>Primary Outcome:</u> Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. 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. Indicator 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.	
Expected CP Outcome(s):	Costa Rica: UNDAF Direct Outcome 4.1. CPD Outcome: To 2017, the Government has incorporated in its Development Strategy, the territorial planning, the nature heritage protection and a risk management mainstreaming approach.
Expected CPAP Output (s):	Costa Rica: UNDAF Direct Outcome 4.1. CPAP Direct Outcome: Improved national capacities with respect to a responsible and a sustainable environmental management of watersheds, biodiversity and land and marine protected areas.
Executing Entity/Implementing Partner:	Ministry of Agriculture and Livestock of Costa Rica
Implementing Entity/Responsible Partner:	UNDP

¹ For UNDP supported GEF funded projects as this includes GEF-specific requirements

Brief Description

Overexploitation of marine fisheries is a major global issue and a key driver of changes in the marine environment. Excessive fishing is caused by a variety of inter-acting factors, including the growing global demand for seafood. This project contributes to address key aspects of the market forces that drive overfishing. The project will add to the transformation of the seafood market by mainstreaming sustainability in the value chain of important commodities from developing countries, improving emerging tools such as corporate sustainable purchase policies, sustainable marine commodities platforms, and fisheries improvement projects (FIP), developing national capacities, and generating learning to be shared worldwide. The project will allocate GEF resources strategically to (1) engage major seafood buyers in the main world markets (EU, Japan, US) into responsible sourcing, providing tools to prepare and implement sustainable seafood sourcing policies, (2) adapt the concept of green commodities platforms (currently used in agriculture) to the seafood value chain, implement public-private sustainable marine commodities platforms in Costa Rica, Ecuador, Indonesia and Philippines to generate experience that could be used in other countries, (3) support the stakeholders of these platforms to develop practical experience with fisheries improvement projects and upgrade existing tools for FIP implementation and monitoring, and (4) upgrade existing information platforms to facilitate access to reliable material to value chain stakeholders in support of sound decision making, and capturing, documenting and disseminating the learnings of the project. The project target fisheries include tuna fisheries in the Pacific Ocean, mahi mahi and large pelagic fish in the Eastern Pacific Ocean, Indonesian snapper, Filipino octopus, and blue swimming crab fisheries in Indonesia and The Philippines. The project is an inter-regional intervention. Market engagement and knowledge management are global components. The sustainable marine commodities platforms and FIPs will be implemented, using a participatory approach, in Costa Rica, Ecuador, Indonesia and Philippines.

COSTA RICA

Programme Period: 2016-2020	Total allocated resources	39,863,683
Atlas Award ID: 00083713	GEF (Costa Rica NIM) (US\$)	505,974.19
Project ID: 00092047	GEF (administered by other projects) (US\$)	4,994,025.81
PIMS # 4754	Costa Rican Government (in kind) (US\$)	2,500,000
Start date January 2016	Other Governments (US\$)	10,450,000
End date January 2020	SFP (US\$)	12,500,000
Management Arrangements NIM	MSC (US\$)	2,500,000
PAC Meeting Date	MBAq (US\$)	4,900,000
	NFI-CC (US\$)	1,500,000
	GCP (US\$)	200,000

Agreed by (Government):

Date/Month/Year

Agreed by (Executing Entity/Implementing Partner):

Date/Month/Year

Agreed by (UNDP):

Date/Month/Year

United Nations Development Programme

Country: Ecuador

PROJECT DOCUMENT²



Project Title:	Global Sustainable Supply Chains for Marine Commodities
GEF Project ID: 5271	GEF Agency Project ID: 4754
UNDAF Outcome(s):	Ecuador: UNDAF Outcome 5: To 2014, relevant public institutions and local stakeholders Foster – and social stakeholders (men and women) have strengthened skills and tools to ensure their rights to- a healthy and safe environment and environmental sustainability, including biodiversity conservation, integrated natural resource management and environmental management.
UNDP Strategic Plan Environment and Sustainable Development Primary Outcome: Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. 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. Indicator 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.	
Expected CP Outcome(s): Ecuador: UNDAF Direct Outcome 5. CPD Component: Sustainable and Equitable Management of the Environment: Institutional reform and increase the capacity from the authorities and from other respective entities to assign priorities and incorporate into the national program for social development, aspects related to conservation, access and the sustainable use of biological biodiversity and the arrangement of the environment.	
Expected CPAP Output (s): Ecuador: UNDAF Direct Outcome 5: CPAP Direct Outcome 3: Prioritization of conservation and the equitable and sustainable management of biodiversity in the development agenda.	
Executing Entity/Implementing Partner: Ministry of Agriculture, Livestock, Aquaculture and Fisheries of Ecuador	
Implementing Entity/Responsible Partner: UNDP	

² For UNDP supported GEF funded projects as this includes GEF-specific requirements

Brief Description

Overexploitation of marine fisheries is a major global issue and a key driver of changes in the marine environment. Excessive fishing is caused by a variety of inter-acting factors, including the growing global demand for seafood. This project contributes to address key aspects of the market forces that drive overfishing. The project will add to the transformation of the seafood market by mainstreaming sustainability in the value chain of important commodities from developing countries, improving emerging tools such as corporate sustainable purchase policies, sustainable marine commodities platforms, and fisheries improvement projects (FIP), developing national capacities, and generating learning to be shared worldwide. The project will allocate GEF resources strategically to (1) engage major seafood buyers in the main world markets (EU, Japan, US) into responsible sourcing, providing tools to prepare and implement sustainable seafood sourcing policies, (2) adapt the concept of green commodities platforms (currently used in agriculture) to the seafood value chain, implement public-private sustainable marine commodities platforms in Costa Rica, Ecuador, Indonesia and Philippines to generate experience that could be used in other countries, (3) support the stakeholders of these platforms to develop practical experience with fisheries improvement projects and upgrade existing tools for FIP implementation and monitoring, and (4) upgrade existing information platforms to facilitate access to reliable material to value chain stakeholders in support of sound decision making, and capturing, documenting and disseminating the learnings of the project. The project target fisheries include tuna fisheries in the Pacific Ocean, mahi mahi and large pelagic fish in the Eastern Pacific Ocean, Indonesian snapper, Filipino octopus, and blue swimming crab fisheries in Indonesia and The Philippines. The project is an inter-regional intervention. Market engagement and knowledge management are global components. The sustainable marine commodities platforms and FIPs will be implemented, using a participatory approach, in Costa Rica, Ecuador, Indonesia and Philippines.

ECUADOR

Programme Period: 2016-2020	Total allocated resources	39,863,683
Atlas Award ID: 00083706	GEF (Ecuador NIM) (US\$)	431,870.08
Project ID: 00092045	GEF (administered by other projects) (US\$)	5,068,129.92
PIMS # 4754	Co-financing	
Start date January 2016	▪ Ecuadorian Government (in kind) (US\$)	3,750,000
End date January 2020	▪ Other Governments (US\$)	9,200,000
Management Arrangements NIM	▪ SFP (US\$)	12,500,000
PAC Meeting Date	▪ MSC (US\$)	2,500,000
	▪ MBAq (US\$)	4,900,000
	▪ NFI-CC (US\$)	1,500,000
	▪ GCP (US\$)	200,000

Agreed by (Government):

Date/Month/Year

Agreed by (Executing Entity/Implementing Partner):

Date/Month/Year

Agreed by (UNDP):

Date/Month/Year



Empowered lives.
Resilient nations.



United Nations Development Programme

Country: Indonesia

PROJECT DOCUMENT³

Project Title:	Global Sustainable Supply Chains for Marine Commodities
GEF Project ID: 5271	GEF Agency Project ID: 4754
UNDAF Outcome(s):	Indonesia: UNPDF Outcome 5: Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities.
<p>UNDP Strategic Plan Environment and Sustainable Development <u>Primary Outcome:</u> Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. 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. Indicator 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.</p>	
<p>Expected CPD Outcome(s): Indonesia: Outcome 3. Sustainable natural resource management and increased resilience.</p>	
<p>Expected CPD Output (s): Indonesia: 3.3 National/local governments have improved policies, systems, and partnerships with non-state actors to protect biodiversity and endangered species.</p>	
<p>Executing Entity/Implementing Partner: Ministry of Marine Affairs and Fisheries of Indonesia</p>	
<p>Implementing Entity/Responsible Partner: UNDP</p>	

³ For UNDP supported GEF funded projects as this includes GEF-specific requirements

Brief Description

Overexploitation of marine fisheries is a major global issue and a key driver of changes in the marine environment. Excessive fishing is caused by a variety of inter-acting factors, including the growing global demand for seafood. This project contributes to address key aspects of the market forces that drive overfishing. The project will add to the transformation of the seafood market by mainstreaming sustainability in the value chain of important commodities from developing countries, improving emerging tools such as corporate sustainable purchase policies, sustainable marine commodities platforms, and fisheries improvement projects (FIP), developing national capacities, and generating learning to be shared worldwide. The project will allocate GEF resources strategically to (1) engage major seafood buyers in the main world markets (EU, Japan, US) into responsible sourcing, providing tools to prepare and implement sustainable seafood sourcing policies, (2) adapt the concept of green commodities platforms (currently used in agriculture) to the seafood value chain, implement public-private sustainable marine commodities platforms in Costa Rica, Ecuador, Indonesia and Philippines to generate experience that could be used in other countries, (3) support the stakeholders of these platforms to develop practical experience with fisheries improvement projects and upgrade existing tools for FIP implementation and monitoring, and (4) upgrade existing information platforms to facilitate access to reliable material to value chain stakeholders in support of sound decision making, and capturing, documenting and disseminating the learnings of the project. The project target fisheries include tuna fisheries in the Pacific Ocean, mahi mahi and large pelagic fish in the Eastern Pacific Ocean, Indonesian snapper, Filipino octopus, and blue swimming crab fisheries in Indonesia and The Philippines. The project is an inter-regional intervention. Market engagement and knowledge management are global components. The sustainable marine commodities platforms and FIPs will be implemented, using a participatory approach, in Costa Rica, Ecuador, Indonesia and Philippines.

INDONESIA

Country Programme Period	: 2016-2020
Strategic Plan Outputs (2014-2017)	: Output 2.5
Atlas Award ID	: 00083791
Project ID	: 00092095
PIMS #	: 4754
Start date	: January 2016
End Date	: January 2020
PAC Meeting Date	: TBC
Management Arrangements	: NIM

Total allocated resources (UNDP Managed funds)	:USD 1,002,880.19
• Donor (GEF)	USD 1,002,880.19
•	
Parallel Funding:	: USD 4,500,000
• Government of Indonesia	: USD 4,500,000

Agreed by Implementing Partner:

Sjarief Widjaja

Secretary General, Ministry of Marine Affairs & Fisheries

Date/Month/Year

Agreed by Ministry of Finance:

Robert Pakpahan

Director General of Budget Financing & Risk Management,
Ministry of Finance

Date/Month/Year

Agreed by UNDP:

Christophe Bahuet

Country Director, UNDP Indonesia

Date/Month/Year

United Nations Development Programme

Country: Philippines

PROJECT DOCUMENT⁴



Project Title:	Global Sustainable Supply Chains for Marine Commodities
GEF Project ID: 5271	GEF Agency Project ID: 4754
UNDAF Outcome(s):	Philippines: UNDAF Outcome 4: Resilience Towards Disasters and Climate Change: Adaptive Capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters and climate change
UNDP Strategic Plan Environment and Sustainable Development Primary Outcome: Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. 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. Indicator 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.	
Expected CP Outcome(s):	Philippines: UNDAF Direct Outcome 4. CPD Component: Resilience Towards Disasters and Climate Change: Adaptive Capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters and climate change
Expected CPAP Output (s):	Philippines: UNDAF Outcome 4 CPAP Output 4.3 Increased capacities of key duty bearers to provide enabling environment for claimholders' improved access to an enhanced natural resource base, sustainable energy and cleaner environment.
Executing Entity/Implementing Partner:	Bureau of Fisheries and Aquatic Resources of Philippines
Implementing Entity/Responsible Partner:	UNDP

⁴ For UNDP supported GEF funded projects as this includes GEF-specific requirements

Brief Description

Overexploitation of marine fisheries is a major global issue and a key driver of changes in the marine environment. Excessive fishing is caused by a variety of inter-acting factors, including the growing global demand for seafood. This project contributes to address key aspects of the market forces that drive overfishing. The project will add to the transformation of the seafood market by mainstreaming sustainability in the value chain of important commodities from developing countries, improving emerging tools such as corporate sustainable purchase policies, sustainable marine commodities platforms, and fisheries improvement projects (FIP), developing national capacities, and generating learning to be shared worldwide. The project will allocate GEF resources strategically to (1) engage major seafood buyers in the main world markets (EU, Japan, US) into responsible sourcing, providing tools to prepare and implement sustainable seafood sourcing policies, (2) adapt the concept of green commodities platforms (currently used in agriculture) to the seafood value chain, implement public-private sustainable marine commodities platforms in Costa Rica, Ecuador, Indonesia and Philippines to generate experience that could be used in other countries, (3) support the stakeholders of these platforms to develop practical experience with fisheries improvement projects and upgrade existing tools for FIP implementation and monitoring, and (4) upgrade existing information platforms to facilitate access to reliable material to value chain stakeholders in support of sound decision making, and capturing, documenting and disseminating the learnings of the project. The project target fisheries include tuna fisheries in the Pacific Ocean, mahi mahi and large pelagic fish in the Eastern Pacific Ocean, Indonesian snapper, Filipino octopus, and blue swimming crab fisheries in Indonesia and The Philippines. The project is an inter-regional intervention. Market engagement and knowledge management are global components. The sustainable marine commodities platforms and FIPs will be implemented, using a participatory approach, in Costa Rica, Ecuador, Indonesia and Philippines.

PHILIPPINES

Programme Period: 2016-2020	Total allocated resources	39,863,683
Atlas Award ID: 00083787	GEF (Philippines NIM) (US\$)	505,974.19
Project ID: 00092092	GEF (administered by other projects) (US\$)	4,994,025.81
PIMS # 4754	Philippine Government (in kind) (US\$)	2,200,000
Start date January 2016	Other Governments (US\$)	10,750,000
End date January 2020	SFP (US\$)	12,500,000
Management Arrangements NIM	MSC (US\$)	2,500,000
PAC Meeting Date	MBAq (US\$)	4,900,000
	NFI-CC (US\$)	1,500,000
	GCP (US\$)	200,000

Agreed by (Government):

Date/Month/Year

Agreed by (Executing Entity/Implementing Partner):

Date/Month/Year

Agreed by (UNDP):

Date/Month/Year

United Nations Development Programme
Country: Costa Rica, Ecuador, Indonesia and Philippines
Implementing Partner: Sustainable Fisheries Partnership
PROJECT DOCUMENT⁵



Project Title:	Global Sustainable Supply Chains for Marine Commodities
GEF Project ID: 5271	GEF Agency Project ID: 4754
UNDAF Outcome(s):	<p>Costa Rica: UNDAF Outcome 4.1.: Public and private sectors and civil society have reached the incorporation and implementation of public policies and national strategies that consider the environmental quality management and the natural resources integral management, as well as the valuation of environmental and goods services, the protection, conservation and sustainable use of biodiversity.</p> <p>Ecuador: UNDAF Outcome 5: To 2014, relevant public institutions and local stakeholders Foster – and social stakeholders (men and women) have strengthened skills and tools to ensure their rights to- a healthy and safe environment and environmental sustainability, including biodiversity conservation, integrated natural resource management and environmental management.</p> <p>Indonesia: UNPDF Outcome 5: Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities</p> <p>Philippines: UNDAF Outcome 4: Resilience Towards Disasters and Climate Change: Adaptive Capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters and climate change</p>
UNDP Strategic Plan Environment and Sustainable Development Primary Outcome: Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance. 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. Indicator 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.	
Expected CP Outcome(s):	<p>Costa Rica: UNDAF Direct Outcome 4.1. CPD Outcome: To 2017, the Government has incorporated in its Development Strategy, the territorial planning, the nature heritage protection and a risk management mainstreaming approach.</p> <p>Ecuador: UNDAF Direct Outcome 5. CPD Component: Sustainable and Equitable Management of the Environment: Institutional reform and increase the capacity from the authorities and from other respective entities to assign priorities and incorporate into the national program for social development, aspects related to conservation, access and the sustainable use of biological biodiversity and the arrangement of the environment.</p>

⁵ For UNDP supported GEF funded projects as this includes GEF-specific requirements

Indonesia: UNPDF Expected CPAP Outcome 2.1 Responsible national institutions and relevant stakeholders are more effective in managing environmental resources and addressing environmental pollution.

Philippines: UNDAF Direct Outcome 4. CPD Component: Resilience Towards Disasters and Climate Change: Adaptive Capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters and climate change

Expected CPAP Output (s):

Costa Rica: UNDAF Direct Outcome 4.1. CPAP Direct Outcome: Improved national capacities with respect to a responsible and a sustainable environmental management of watersheds, biodiversity and land and marine protected areas.

Ecuador: UNDAF Direct Outcome 5: CPAP Direct Outcome 3: Prioritization of conservation and the equitable and sustainable management of biodiversity in the development agenda.

Indonesia: UNPDF 2.1.2 Government, private sector and CBO partners have coherent and effective policy frameworks, action plans, implementing arrangement and funding arrangement to sustainably manage coastal and marine ecosystems.

Philippines: UNDAF Outcome 4 CPAP Output 4.3 Increased capacities of key duty bearers to provide enabling environment for claimholders' improved access to an enhanced natural resource base, sustainable energy and cleaner environment.

Executing Entity/Implementing Partner:

Sustainable Fisheries Partnership

Implementing Entity/Responsible Partner: UNDP and SFP

Brief Description

Overexploitation of marine fisheries is a major global issue and a key driver of changes in the marine environment. Excessive fishing is caused by a variety of inter-acting factors, including the growing global demand for seafood. This project contributes to address key aspects of the market forces that drive overfishing. The project will add to the transformation of the seafood market by mainstreaming sustainability in the value chain of important commodities from developing countries, improving emerging tools such as corporate sustainable purchase policies, sustainable marine commodities platforms, and fisheries improvement projects (FIP), developing national capacities, and generating learning to be shared worldwide. The project will allocate GEF resources strategically to (1) engage major seafood buyers in the main world markets (EU, Japan, US) into responsible sourcing, providing tools to prepare and implement sustainable seafood sourcing policies, (2) adapt the concept of green commodities platforms (currently used in agriculture) to the seafood value chain, implement public-private sustainable marine commodities platforms in Costa Rica, Ecuador, Indonesia and Philippines to generate experience that could be used in other countries, (3) support the stakeholders of these platforms to develop practical experience with fisheries improvement projects and upgrade existing tools for FIP implementation and monitoring, and (4) upgrade existing information platforms to facilitate access to reliable material to value chain stakeholders in support of sound decision making, and capturing, documenting and disseminating the learnings of the project. The project target fisheries include tuna fisheries in the Pacific Ocean, mahi mahi and large pelagic fish in the Eastern Pacific Ocean, Indonesian snapper, Filipino octopus, and blue swimming crab fisheries in Indonesia and The Philippines. The project is an inter-regional intervention. Market engagement and knowledge management are global components. The sustainable marine commodities platforms and FIPs will be implemented, using a participatory approach, in Costa Rica, Ecuador, Indonesia and Philippines.

UNDP ECUADOR LEAD OFFICE/ SUSTAINABLE FISHERIES PARTNERSHIP

Programme Period: 2015-2019	Total allocated resources	39,863,683
Atlas Award ID: 00090199	GEF (Sustainable Fisheries Partnership) (US\$)	3,053,301.35
Project ID: 00096079	GEF (administered by other projects) (US\$)	2,446,698.65
PIMS # 4754	Costa Rican, Ecuadorian, Indonesian and Philippine Governments (US\$)	12,950,000
Start date January 2016	SFP co-financing (US\$)	12,500,000
End date January 2020	MSC (US\$)	2,500,000
Management Arrangements: NGO Execution	MBAq (US\$)	4,900,000
PAC Meeting Date	NFI-CC (US\$)	1,500,000
	GCP (US\$)	200,000

Agreed by (Implementing Partner):

Date/Month/Year

Agreed by (UNDP):

Date/Month/Year

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LIST OF ACRONYMS

AA	Artisanal-advance vessel in Costa Rica
AIDCP	Agreement on the International Dolphin Conservation Program
AM	Artisanal-medium vessel in Costa Rica
APR	Annual Project Review
ASOEXPEBLA	Association of Whitefish Exporters of Ecuador
ATUNEC	Association of Tuna Boat Owners ⁶ of Ecuador
BET	Biegye Tuna
BFAR	Bureau of Fisheries and Aquatic Resources of Philippines
BSC	Blue Swimming Crab
BSCMP	Philippine Blue Swimming Crab Management Plan
BTOR	Back to Office Report
CCA	Common Country Assessment
CEIPA	Chamber of Tuna Processors ⁷ of Ecuador
CMMs	Conservation and Management Measures
CNP	National Chamber of Fisheries of Ecuador
CO	UNDP Country Office
CPD	Country Programme Document
CRI	Costa Rica
DPS	Direct Project Services
ECU	Ecuador
EEZ	Exclusive Economic Zone
ENSO	El Niño Southern Oscillation
EPO	Eastern Pacific Ocean
ERC	UNDP Evaluation Office Evaluation Resource Centre

⁶ Asociación de Atuneros del Ecuador.

⁷ Cámara Ecuatoriana de Industriales y Procesadores Atuneros.

EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FECOP	Costa Rican Fisheries Federation
FIP	Fishery Improvement Project
GCP	UNDP's Green Commodities Programme
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEF-ID	Project Identification Number of the GEF Secretary
GNI	Gross National Income per capita
HDI	Human Development Index
IA	GEF Implementing Agency
IATTC	Inter-American Tropical Tuna Commission
IDN	Indonesia
INCOPESCA	Costa Rican Institute for Fisheries and Aquaculture
INP	National Fisheries Institute of Ecuador
IP	Implementing Partner of the project
IPC	International Project Coordinator
IPCU	International Project Coordination Unit
IPNLF	International Pole & Line Foundation
ITF	Industrial Tuna Fisheries
IUU	Illegal, Unregulated and Unreported Fishing
IW	GEF International Waters focal area
IW:LEARN	Global Environment Facility's International Waters Learning Exchange and Resource Network
IWC	International Waters Conference
LGUs	Local Government Units of Philippines
LME	Large Marine Ecosystem

LOA	Letter of Agreement
LPF	Large Pelagic Fish ⁸
M&E	Monitoring and Evaluation
M&E-O	Monitoring and Evaluation Officer
MAE	Ministry of Environment of Ecuador
MAG	Ministry of Agriculture and Livestock of Costa Rica
MAGAP	Ministry of Agriculture, Livestock, Aquaculture and Fisheries of Ecuador
MBAq	Monterey Bay Aquarium
MDG	Millennium Development Goals
MINAE	Ministry of Environment and Energy of Costa Rica
MMAF	Ministry of Marine Affairs and Fisheries of Indonesia
MPA	Marine Protected Area
MSC	Marine Stewardship Council
MTE	Mid-Term Evaluation
NA	Not available
NFA	National Fisheries Authority
NFI-CC	National Fisheries Institute Crab Council
NFRDI	National Fisheries Research and Development Institute of Philippines
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NM	Nautical mile
NPC	National Platform Coordinator
NSC	National Steering Committee
PACPI	Philippine Association of Crabs Processors

⁸ Excludes tuna. Includes mahi mahi, wahoo, swordfish, marlins.

PAN-Dorado	National Action Plan for the conservation and management of Dorado in Ecuador
PAT-EC	National Action Plan for the conservation and management of sharks in Ecuador
PHL	Philippines
PIMS	UNDP-GEF Project Information Management System
PIR	Project Implementation Report
PIW	Project Inception Workshop
PSC	Project Steering Committee
PST	Purse Seine Tuna Fishery
RBM	Rights-Based Management
RCU	Regional Coordinating Unit
RFMO	Regional Fisheries Management Organisation
RSC-LAC	UNDP Regional Centre in Panama
SBAA	Standard Basic Assistance Agreement
SEA	Best Practice Code for Ecuadorian Tuna Sustainability
SFAP	Sustainable Fisheries Action Plan
SFP	Sustainable Fisheries Partnership Foundation
SGMC	Undersecretary of Marine and Coastal Management of Ecuador
SINAC	National System of Conservation Areas of Costa Rica
SMCP	Sustainable Marine Commodities Platform
SNAP	National System of Protected Areas of Ecuador
SOFIA	State of World Fisheries and Aquaculture
TAG	Technical Advisory Group
TOR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFSA	United Nations Fish Stocks Agreement

US	United States of America
VAP	Viceministry of Aquaculture and Fisheries of Ecuador
WCPFC	Western and Central Pacific Fisheries Commission
WHO	World Health Organization
WWF	World Wide Fund for Nature

GLOSSARY

ATLAS	The Enterprise Resource Planning system used by UNDP and other UN agencies. UNDP uses ATLAS to manage projects, finances, human resources, inventory and procurement. Atlas also forms the basis for UNDP's internal control and accountability framework.
Billfish	Fish belonging to the family Istiophoridae which includes marlins, sailfishes, and spearfishes.
Certification	Procedure by which a third party gives written or equivalent assurance that a product, process or service conforms to specified requirements. Certification may be, as appropriate, based on a range of inspection activities which may include continuous inspection in the production chain ⁹ .
Chain of custody	The set of measures which is designed to guarantee that the product put on the market and bearing the ecolabel logo is really a product coming from the certified fishery concerned. These measures should thus cover both the tracking/traceability of the product all along the processing, distribution and marketing chain, as well as the proper tracking of the documentation (and control of the quantity concerned) ¹⁰ .
Co-financing	Resources that are additional to the GEF grant and that are provided by the GEF Partner Agency itself and/or by other non-GEF sources that support the implementation of the GEF-financed project and the achievement of its objectives ¹¹ .
Commodity	A reasonably homogeneous good or material, bought and sold freely as an article of commerce.
Conservation and management measures	Measures to conserve or manage one or more species of living marine resources that are adopted and applied in accordance with the relevant rules of national and international law. Such measures may be adopted either by national authorities or by global, regional or subregional fisheries organizations, subject to the rights and obligations of their members, or by treaties or other international agreements ¹² .
Ecolabel	A market-based tool to promote the sustainable use of natural resources. Ecolabels are seals of approval given to products that are deemed to have fewer impacts on the

⁹ FAO (2009).

¹⁰ FAO (2009).

¹¹ GEF Policy FI/PL/01 issued on 30 June 2014.

¹² Adopted from the "Agreement to promote compliance with international conservation and management measures by fishing vessels on the high seas", approved on 24 November 1993 by Resolution 15/93 of the Twenty-Seventh Session of the FAO Conference.

environment than functionally or competitively similar products¹³. The goal of ecolabelling programmes is to create market-based incentives for better management of fisheries and aquaculture by creating consumer demand for seafood products from well-managed stocks and aquaculture farms¹⁴.

Ecolabelling scheme	Ecolabelling schemes entitle a fishery product to bear a distinctive logo or statement which certifies that the seafood has been harvested in compliance with conservation and sustainability standards. The logo or statement is intended to make provision for informed decisions of purchasers whose choice can be relied upon to promote and stimulate the sustainable use of fishery resources ¹⁵ .
FAO Fish Price Index	An aggregate of fish prices, based on trade statistics, with a base of the 2002–2004 average set to 100 ¹⁶ .
Fish trader	A person or company that buy and sell seafood. This group includes exporters and importers of seafood, as well as wholesalers and retailers.
Fisheries Improvement Project	It is a collaboration between relevant stakeholders to influence policies and management practices and to improve the sustainability of fishing operations.
Fishmonger	A person that sell seafood to the public in a shop or fish market and has special skills for handling, displaying, merchandising and selling seafood products.
Food security	Food security exists when all people, at all times, have physical, social and economic access to sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life (Committee on World Food Security).
Full assessment	The process by which a fishery undergoes a detailed assessment against the principles and criteria of a particular standard. A full assessment will result in a decision whether or not to award a compliance certificate. Some schemes allow time-bound conditions to be attached to the award of the certificate ¹⁷ .
Human Development Index	A composite index measuring average achievement in three basic dimensions of human development—a long and healthy life, knowledge and a decent standard of living.
Pre-assessment	The process by which a fishery undergoes a broad assessment against the principles and criteria of a particular

¹³ Wessells, et al., (2001) and Washington & Ababouch (2011).

¹⁴ Wessells, et al., (2001).

¹⁵ Adapted from FAO (2009).

¹⁶ See Tveteras et al., (2012) for an explanation of the index.

¹⁷ UNEP (2009).

standard. The purpose of the pre-assessment is to identify the weaknesses of a fishery in order to judge whether to invest in a full assessment¹⁸.

Primary processing	Primary processing prepares the seafood for secondary processing by cleaning it, and cutting it to suit the purpose of the secondary process. Primary processes include: bleeding, gutting, heading, gilling, washing, cleaning, chilling, peeling, picking, cutting and filleting.
Processing	Processing is materially changing the seafood. To prepare seafood for eating, marketing, storage, packaging or further processing, or to add value to the seafood product.
Project target fisheries or target fisheries	Refer to tuna fisheries in the Pacific Ocean, mahi mahi fisheries in the EPO, large pelagic fish in the EPO, Ecuadorian hake, Indonesian snapper, Filipino octopus, and blue swimming crab fisheries in Indonesia and The Philippines. The specific target fisheries are: (1) artisanal mahi mahi fishery in Costa Rica, (2) large pelagic fish fishery in Costa Rica, (3) industrial purse seine tuna fishery in Ecuador, (4) artisanal mahi mahi fishery in Ecuador, (5) artisanal bigeye tuna fishery in Ecuador, (6) artisanal tuna fishery in Indonesia, (7) artisanal snapper fishery in Indonesia, (8) artisanal blue swimming crab in Indonesia, (9) artisanal blue swimming crab in Philippines, and (10) artisanal octopus fishery in Philippines.
Retail	Selling seafood to members of the public.
Seafood	Any form of sea life regarded as food by humans.
Seafood commodity	Any product derived from seafood, including parts, products or by-products that traded in the market.
Secondary processing	Secondary processing changes the nature of the flesh itself in order to reduce spoilage, extend shelf life, change flavour or add value to the product. Secondary processes include: filleting, salting, brining, smoking, freezing, canning, cooking, breading, battering, packaging, production of ready meals.
Standard for certification	Document approved by a recognized organization or arrangement, that provides, for common and repeated use, rules, guidelines or characteristics for products or related processes and production methods, with which compliance is not mandatory under international trade rules. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a product, process or production method ¹⁹ .

¹⁸ UNEP (2009).

¹⁹ FAO (2009).

Sustainable Marine Commodities Platform	A forum formed by multi-stakeholder groups, conducted at national level and led and chaired by government. A platform develops concrete actions to mitigate the negative impacts of production of marine commodities at the systemic level. It offers coordination, analysis and advisory services regarding the priority areas of the targeted sector ²⁰ .
Traceability	The ability to follow the movement of a food through specified stage(s) of production, processing and distribution ²¹ .
Value addition	To add value in products through some type of processing methods, essentially converting raw seafood to a resulting finished or semi-finished product that has more value in the market place.
Value chain	A network of product-related business enterprises through which products move from the point of production to consumption, value-chains add incremental value to the product in the nodes of a chain either by value addition or value creation.
Value creation	To obtain incremental value in the marketplace by differentiating the products from similar goods based on product attributes (e.g., geographical location, eco-labelling, fair trade, food safety).
Wholesale	Buying and selling seafood in large quantities to be retailed by others.

²⁰ Adapted from UNDP (2012).

²¹ Codex Alimentarius Commission Procedural Manual (Joint FAO/WHO Food Standards Programme, 2013).

SECTION I. ELABORATION OF THE NARRATIVE

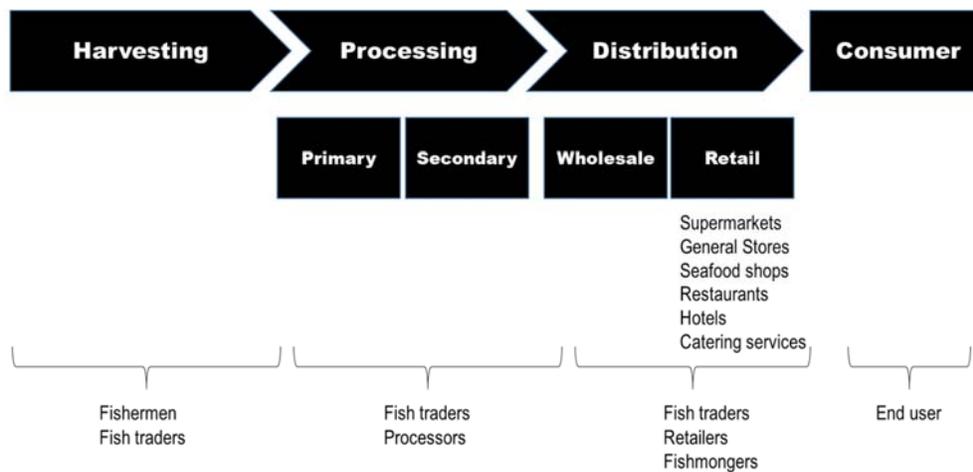
PART I. SITUATION ANALYSIS

Part IA: Context

1. Seafood is a nutritious and healthy aliment that has been consumed by mankind since ancient times. The first records of seafood gathering and consumption by early humans date back to ca., 150,000 years BC (Jerardino & Marean, 2010; Marean, 2010; Cortés-Sánchez et al., 2011). Seafood is both the core of traditional culture and gastronomy of coastal communities, and the basis of international avant-garde cuisine.
2. Seafood consumption is recommended for a healthy diet. Increased seafood intake is associated with a decreased risk of cardiovascular events, also maternal seafood consumption have beneficial effects on child development (Kris-Etherton et al., 2002; Hibbeln et al., 2007; Nesheim & Yaktine, 2007; Brouwer, 2008; Thorsdottir & Ramel, 2008; FAO/WHO, 2011). The American Heart Association recommends to include at least two servings of fish per week to reduce the incidence of cardiovascular disease (Kris-Etherton et al., 2002). An increased intake of seafood is recommended in the US, it is also suggested that seafood must constitute about 20% of the ingestion of protein foods (USDA & HHS, 2010). Accordingly, many countries are implementing campaigns to increase seafood consumption (e.g., US, Australia, EU's SEAFOODplus Integrated Programme, Fast Fish campaign in Japan).
3. Global human consumption of seafood has increased steadily in the past decades. World per capita apparent seafood consumption was on average 9.9 kg per year in the 1960s, it increased to an average of 17.1 kg in the period 2008-2010, further increased to an average of 19.2 kg in the period 2011-2013, and it is projected to reach 20.9 kg in 2023 (OECD/FAO, 2011; FAO, 2014; OECD/FAO, 2014). The growing demand for seafood is driven by complex interactions of several factors, including population growth, diet diversification in industrialized countries, growing emphasis on seafood as a healthy and nutritious food, rising income and a related change in diet preferences in developing countries, rapid urbanisation and the associated increase in demand of more processed and higher value added products, increased trade, improved distribution channels, and transformations in the food distribution and retail sectors (OECD/FAO, 2011; M&A International, 2013; OECD/FAO, 2014). Developed countries have higher levels of consumption but the gap is being reduced. OECD/FAO (2014) estimate that future growth patterns of apparent per capita seafood consumption will be uneven, with major increases in Brazil, Saudi Arabia, Eastern European countries and China.
4. Seafood is a highly perishable commodity that requires processing and proper handling to ensure it arrives in optimum condition to the end user. The seafood value chain has three primary activities: harvesting, processing and distribution (Figure 1.1). Seafood is heavily traded internationally, the entire value chain can develop within a single country or across a number of countries. Tuna is a good example, most of the yellowfin tuna (*Thunnus albacares*) that is caught in the Eastern Pacific Ocean (EPO) by the Mexican purse-seine fleet is processed and consumed in Mexico, which is the fourth largest canned tuna market. On the other hand, the tuna captured by the purse-seine Ecuadorian fleet can be processed up to frozen pre-cooked tuna loins that are exported to the European Union for final processing and distribution, or processed to canned tuna that is exported to several international markets or distributed into the Ecuadorian market. FAO (2014) indicates that the major driving forces behind the more globalized seafood value chain are: (i) a dramatic decrease in transport and

communication costs, (ii) outsourcing of processing to countries with lower production costs, (iii) increasing consumption of seafood commodities, (iv) favourable trade liberalization policies, (v) more efficient distribution and marketing, (v) and continuing technological innovations, including improvements in processing, packaging and transportation.

5. Some sectors of the seafood industry are highly vertically integrated (e.g., tuna). However, in recent years more sectors have moved into vertical integration to have better control over production cost and supply, as well as more control over the value chain to address the increasing need for seafood traceability (M&A International, 2013). FAO (2014) highlights that supermarket chains and large retailers are emerging as important players in setting requirements for the products they buy and influencing the growth of international distribution channels.



Adopted from: Gudmundsson et al., (2006) and M&A International (2013).

Figure 1.1. Simplified seafood value chain scheme.

6. Seafood is supplied by commercial fishing and aquaculture. World production from marine capture has remained stable at around 80 million tonnes per year since the mid-1980s (Figure 1.2) because most stocks are overfished or at the limit of production (Figure 1.3) (Garcia & Rosenberg, 2010; FAO, 2014). Global capture from marine fisheries was 82.6 million tonnes in 2011 and 79.7 million tonnes in 2012 (FAO, 2014).

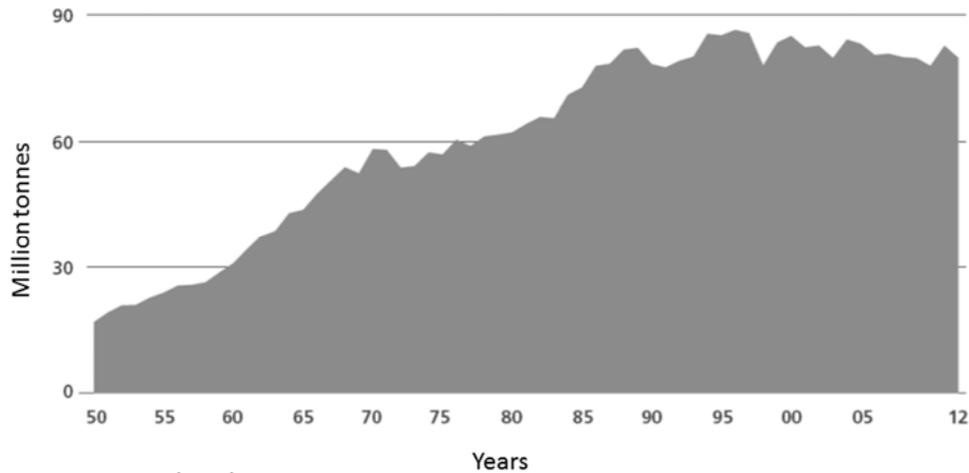


Figure 1.2. World capture from marine waters.

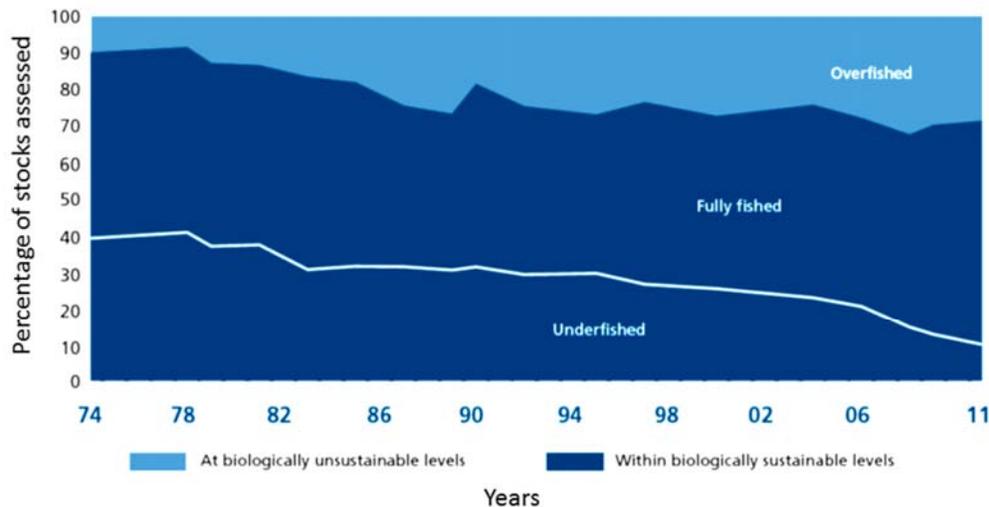


Figure 1.3. Global trends in the state of world marine fish stocks (1974–2011).

7. Aquaculture has developed to bridge the gap between supply and demand. Farmed food production increased from 13.4% of the production by capture fisheries in 1990 to 25.7% in 2000, and to 42.2% in 2012 (FAO, 2014). Food production from aquaculture was 66.6 million tonnes in 2012, of which 24.7 million tonnes were seafood (Table 1.1). It is foreseen that aquaculture production will continue to increase but at a lower rate due to higher production costs and other barriers (Bostock et al., 2010; OECD/FAO, 2014). However, there is a marked preference for coastal and marine wild caught species and current aquaculture technology cannot produce a number of important seafood commodities (e.g., tuna).

Table 1.1. World fisheries and aquaculture production and utilization.
Source: FAO (2014).

	2007	2008	2009	2010	2011	2012
<i>(Million tonnes)</i>						
PRODUCTION						
Capture						
Inland	10.1	10.3	10.5	11.3	11.1	11.6
Marine	80.7	79.9	79.6	77.8	82.6	79.7
Total capture	90.8	90.1	90.1	89.1	93.7	91.3
Aquaculture						
Inland	29.9	32.4	34.3	36.8	38.7	41.9
Marine	20.0	20.5	21.4	22.3	23.3	24.7
Total aquaculture	49.9	52.9	55.7	59.0	62.0	66.6
TOTAL WORLD FISHERIES	140.7	143.1	145.8	148.1	155.7	158.0
UTILIZATION¹						
Human consumption	117.3	120.9	123.7	128.2	131.2	136.2
Non-food uses	23.4	22.2	22.1	19.9	24.5	21.7
Population (<i>billions</i>)	6.7	6.8	6.8	6.9	7.0	7.1
Per capita food fish supply (<i>kg</i>)	17.6	17.9	18.1	18.5	18.7	19.2

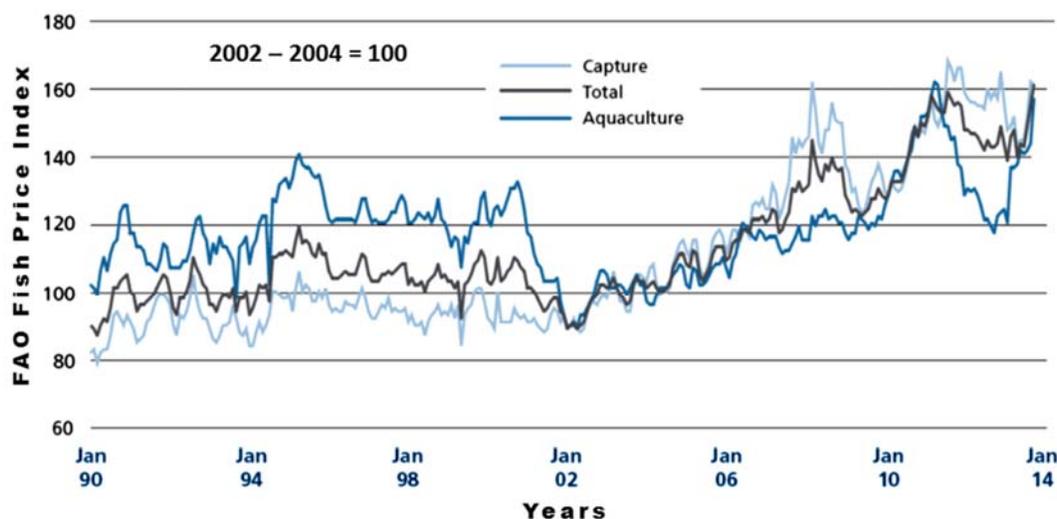
Note: Excluding aquatic plants. Totals may not match due to rounding.

¹ Data in this section for 2012 are provisional estimates.

8. The supply limitation from finite fishery resources and other factors (e.g., higher energy costs) has motivated rising prices of seafood (real value). The FAO Fish Price Index shows a continuous increase for capture products (Figure 1.4) (Tveteras et al., 2012; FAO, 2014). In turn, the higher prices (i) increase the pressure on the fishery resources (in particular of highly demanded commodities such as tuna or sea cucumbers), (ii) incentive poaching from protected areas and illegal fishing, and (iii) limit the access to affordable protein in developing countries (Peterson & Fronc, 2007; Garcia & Rosenberg, 2010).
9. There are a number of examples of how the market forces have been a major driver of overfishing and fisheries collapse when natural resources management is deficient (Hennessey & Healey, 2000; Toral-Granda et al., 2008; Schwerdtner Mañez & Ferse, 2010; Rhodes et al., 2011). However, the same market forces can promote sustainable fisheries if the demand focuses on seafood from sustainable sources and therefore pull improvement along the value chain. Therefore, a number of market tools have been explored, from consumer education and awareness, to ecolabelling.
10. The first seafood ecolabel was used to identify dolphin-safe tuna (Teisla et al., 2002). Key developments were the creation of the Marine Stewardship Council (MSC) in 1997 and the adoption of the FAO guidelines for the ecolabelling of fish and fishery products from marine capture fisheries²² in 2005 (FAO, 2009). Currently there are a number of ecolabels for wild-caught seafood and their products such as the AIDCP dolphin safe, Friend of the Sea, KRAV,

²² The guideline were adopted by the 26th session of the Committee on Fisheries (COFI) in 2005 and amended in the 28th session of the COFI in 2009.

MSC and Naturland. WWF (2009) presents a comparative analysis of the ecolabelling schemes.



Data source: Norwegian Seafood Council.
Source: FAO (2014).

Figure 1.4. FAO Fish Price Index between January 1990 and January 2014.

11. At the moment, MSC is the largest fisheries certification scheme. By the end of 2012, 188 fisheries had been certified, representing about 7% of the global wild capture (MSC, 2013). MSC was created as a joint project of the World Wildlife Fund (WWF) and UNILEVER. Afterwards, the founding partners withdrew from the organization and in 1999 MSC became an independent NGO. MSC developed a certification and ecolabelling scheme for sustainable fisheries and their products. The Alaska salmon fishery was the first to receive the MSC certification in September 2000. Currently MSC has two standards²³ that are in line with the FAO guidelines. Agnew et al., (2014) summarise and review the experience of the MSC. A core element of the MSC theory of change is to incentive fisheries improvement (MSC, 2011; Agnew et al., 2014). In the case of fisheries that are certified with a conditional pass they prepare and implement actions to address the gaps and improve their score. Similarly, fisheries interested in MSC certification implement improvement actions before entering the assessment process. The MSC certification has been praised (Gutierrez et al., 2012; Martin et al., 2012; Wiedenfeld, 2012; Agnew et al., 2014), but also criticized (Jacquet et al., 2010; Froese & Proelß, 2012; Christian et al., 2013).
12. Despite the value of certification and ecolabelling a number of fisheries, mainly from developing countries, cannot enter this scheme for a number of reasons such as:
 - a. The costs of entry and maintaining the certification (re-certification) are beyond the financial means of certain fisheries, particularly small scale fisheries from developing countries that are data deficient and have minimal management schemes, and fisheries that supply local markets where certification is not rewarded by consumers. This may be

²³ (i) MSC environmental standard for sustainable fishing and (ii) MSC chain of custody standard for seafood traceability.

reflected in the fact that in 2012 fisheries from developing countries were about 8% of the total MSC certified fisheries (MSC, 2013).

- b. The MSC standard entail that a sound fisheries management scheme is in place. For fisheries in developing countries, this might be beyond their technical and political means, because it requires direct intervention and investment of national fisheries authorities (NFA), and in the case of shared resources of Regional Fisheries Management Organizations (RFMO), to improve fisheries management. This can be a barrier if the NFAs and RFMOs do not perceive benefits from the certification and public – private dialogue and collaboration is weak.
 - c. In general, fishermen do not obtain a price premium. Washington (2008) found that producers assume most of the costs of ecolabelling but retailers appear to obtain most of the rewards.
13. To bridge this gap Sustainable Fisheries Partnership (SFP) and WWF initiated the concept of fisheries improvement projects (FIPs). A FIP is a collaborative effort of the value chain stakeholders (from fishermen to retailers) to improve the sustainability of the fishery. FIPs give an opportunity to fisheries that cannot be certified or do not wish to be certified to benefit from their efforts. SFP describe FIPs as a pragmatic, stepwise approach to enhancing the sustainability of a fishery, encouraging harvesting to continue, while continual improvements are achieved (SFP, 2014). FIPs can be complementary to MSC certification by supporting fisheries improvement before entering the assessment process.
14. The FIP is a novel concept and tool that is advancing. In 2012 SFP launched guidelines to form, implement and evaluate FIP progress (SFP, 2012), it also has an online toolkit²⁴ and provide public information in two websites FishSource²⁵ and FIP directory²⁶. In 2013, the Conservation Alliance for Seafood Solutions convened guidelines for supporting FIPs (CASS, 2013). Also in 2013, WWF issued guidelines for developing FIPs aimed at MSC certification²⁷ (WWF, 2013), and in 2014 MSC launched a benchmarking and tracking tool (BMT) to evaluate FIP progress with respect to the MSC standard (MSC, 2014).
15. The FIP concept has been well received by the stakeholders of the seafood value chain. A number of FIPs are being implemented around the world²⁸ and the Food Marketing Institute²⁹ has recently launched guidance for FIP involvement of retailers (Bartholomew, 2014). However, there are three key elements that need to be addressed:
- First, FIPs require strong collaboration among stakeholders. Major buyers, through their sourcing policies and purchasing decisions, can pull the value chain and motivate fishermen, fish traders and processors to engage in fisheries improvement. But, support from fisheries authorities (e.g., fisheries monitoring, advance in regulations and policies, fisheries control and enforcement) and public – private dialogue are essential to seriously advance in fisheries improvement.

²⁴ <http://www.sustainablefish.org/fisheries-improvement/fip-toolkit/fip-toolkit-overview>

²⁵ www.fishsource.org. FishSource present information about specific fisheries. Among other information, it includes a set of five scores (measured on a 1 to 10 scale, 10 being the maximum) to indicate the level of sustainability of the fishery, and the level of advance of the FIP (in case there is one).

²⁶ fisheryimprovementprojects.org.

²⁷ WWF present the information of the FIPs they support in the following web site: <https://sites.google.com/site/fisheryimprovementprojects/home>

²⁸ FIP information can be found at <http://fisheryimprovementprojects.org/view-fips/>

²⁹ The Food Marketing Institute is an organization of the food retail industry. See the following website for more information: www.fmi.org.

- Second, FIPs have to be credible and produce tangible results. FIPs could be seen as a dubious intent to obtain market access by producers and processors or green-washing of major buyers. Therefore, it is fundamental that there are strong tracking / rating and reporting tools and transparent information sharing.
 - Third, the first generation of FIPs focus on the sustainability of fishery resources. However, the livelihood of fishermen has not yet been integrated. Responsible seafood trade is fundamental for fishermen in developing countries that often face low living conditions and receive a limited share of the distributional benefits of the value chain (Kurien, 2005; Doddema, 2012; Lem, 2013). It has been highlighted the need to strongly link seafood trade with fisheries management and development opportunities (FAO, 2007; FAO, 2009a).
16. Finally, information on the status of fish stocks and fisheries is crucial to support sustainable seafood purchasing decisions by major buyers. SFP collates and facilitates actionable information to seafood businesses by means of FishSource and Metrics. FishSource is a freely available site with information about the status of fish stocks and fisheries in the form of fishery profiles. The fishery profiles include, among other information, sustainability scores (Cannon, 2007) and ongoing FIPs. The Seafood Metrics System (in short Metrics) is a software tool to advise corporate partners about the sustainability status of the seafood they are buying and to measure their progress in sustainable sourcing.
17. The present project will contribute to mainstream the engagement of the value chain stakeholders to promote sustainable fisheries in developing countries and to increase both the demand and the supply of seafood from sustainable sources. Practical experience will be developed in Costa Rica, Ecuador, Indonesia³⁰ and Philippines (Figure 1.5), and the lessons learned will be disseminated for the benefit of other countries. At the regional level the project will work with the tuna fisheries of Pacific Ocean and the fisheries for mahi mahi (*Coryphaena hippurus*) in the Eastern Pacific Ocean (EPO) and for blue swimming crab (*Portunus pelagicus*) in Asia.



Figure 1.5. Participating countries.

³⁰ While in the case of Ecuador, Costa Rica and the Philippines, FIPs will be developed and managed by one of the initiators of this concept, SFP; however, in Indonesia the project, will scale-up and/or adjust existing three FIPs to meet targeted market requirements.

I.1. Environmental context

18. The present project includes fisheries in both the Pacific and Indian oceans. Costa Rica and Ecuador are located on the Eastern Pacific Ocean, Philippines is located on the Western Pacific Ocean, and Indonesia is located between the Pacific and Indian Oceans. The four countries have exceptional marine biodiversity.

The Pacific Ocean

19. The Pacific is the largest world ocean (i.e., 169.2 million km²). It contains a high diversity of coastal and marine habitats such as shallow corals, mangroves, kelp forests and hydrothermal vents. The southeast Pacific is a very rich area because of the presence of a strong upwelling generated by the Humboldt Current.
20. El Niño Southern Oscillation (ENSO) is a world climate event that develops in the Pacific. The usual pattern is prevailing trade winds that push the warm surface water from South America westward towards Australia and Indonesia. During El Niño the westward trade winds decline and therefore the current direction of the water changes, therefore warm nutrient-poor surface water flow from the western Pacific towards the South American coast. El Niño has strong effects in the world climate, marine biodiversity and fisheries.
21. The Pacific Ocean produces most of the world wild capture. The harvest in 2003 was 46.7 million tonnes (58.6% of the world marine capture), in 2011 and 2012 the capture was 50.8 (61.5%) and 47.3 (59.3%) million tonnes, respectively (FAO, 2014). The most productive area is the Pacific Northwest (FAO fishing area 61), which produced 26.9% of the marine capture in 2012. The Pacific Ocean also produces most of the world tuna. In the early 1950s the catch of tuna in this ocean was approximately 80% of the global tuna catch, declining afterwards to fluctuate around 65% for several decades. In 2011, about 68% of the total tuna capture was from the Pacific (FAO, 2014). Eastern and western fisheries of the Pacific Ocean are roughly separated by the longitude 150°W. About 3/4 of the tuna is harvested in the western and central Pacific.

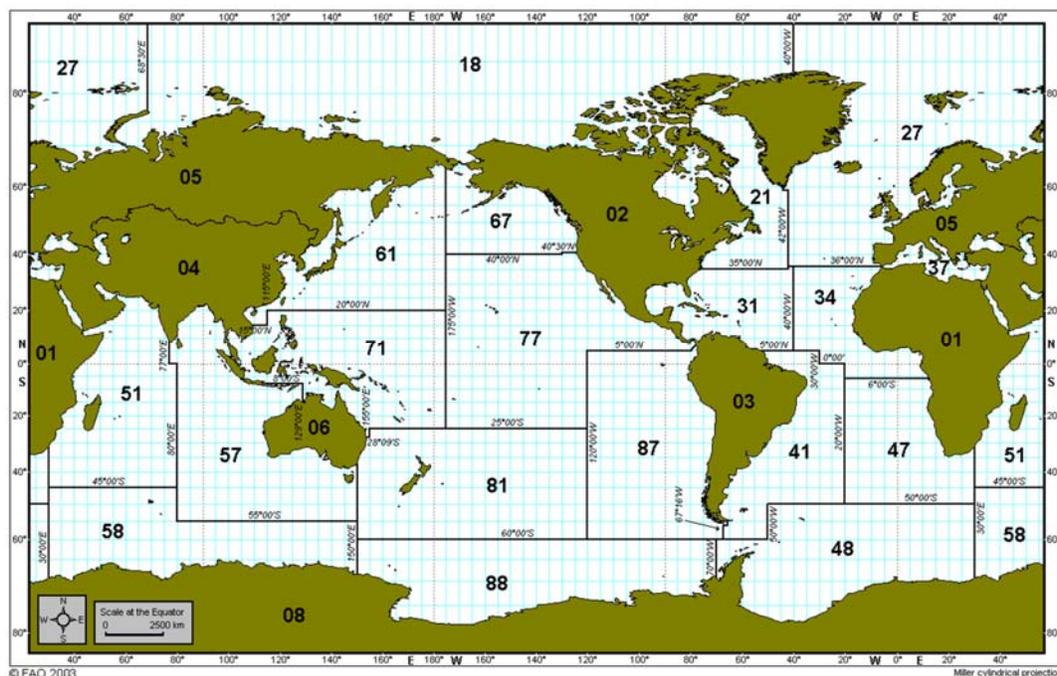


Figure 1.6. FAO fishing areas.

The Indian Ocean

22. The Indian Ocean is the third largest ocean of the world, covering 73.5 million km². It contains 30% of the global coral reef cover, 40,000 km² of mangroves, some of the world's largest estuaries, and nine large marine ecosystems (Wafar et al., 2011). The ocean is landlocked to the north, the resultant differential heating of the landmass and the sea gives rise to a wind circulation that reverses direction, and entrains a corresponding reversal in surface circulation, twice a year (Wafar et al., 2011).
23. The Indian Ocean produced 9.7 million tonnes of marine capture in 2003, the harvest increased to 11.3 million tonnes in 2011 and 11.9 million tonnes in 2012 (14.9% of the world marine capture) (FAO, 2014). The capture in the eastern Indian Ocean had an increase of 17% from 2007 to 2011, but the increase in harvest may be based on expansion to new fishing areas or new species (FAO, 2014).

Table 1.2. MPAs in Costa Rica, Ecuador, Indonesia and Philippines.

Country	Number of MPAs	Total Surface under MPAs (km ²)	Marine territory in MPAs (%)	Authority responsible for MPAs	Other forms of conservation of marine areas
Costa Rica	21	14,291	2.4	National System of Conservation Areas ³¹ (SINAC)	9 Marine Areas for Responsible Fisheries ³²
Ecuador	16	142,359	12.94	Ministry of Environment	Mangrove concessions
Indonesia ³³	131	157,685.69	2.72	Ministry of Environment & Forestry; Ministry of Marine Affairs and Fisheries Local/District Government	None
Philippines ³⁴	985	14,943	0.5% of the marine municipal waters of Philippines 3.4% of the total coral reef area	Local Government Units Bureau of Fisheries and Aquatic Resources Department of Environment and Natural Resources	There is a goal to have 15% of artisanal waters under protection

Costa Rica

24. The Republic of Costa Rica has coastal and marine areas in both the Pacific Ocean and the Caribbean Sea, the marine area of the country is about 10 times the total landmass (i.e., 589,683 km²). The Pacific coast has 1,254 km of irregular coastline with a number of coastal islands, peninsulas, bays, and a tropical fjord (Golfo Dulce). An important feature is the Cocos Island located about 480 km from the mainland. It is an area of very rich marine biodiversity, including 45 endemic species (Cortés, 2012). Cocos Island is a national park and a UNESCO World Heritage site. Also, Cocos Island is among the world areas that have a high percentage of endemism and high concentration of endemics per unit area of coral reef fish (Allen, 2008). There are 21 MPAs and nine Marine Areas for Responsible Fisheries (AMPR) (Table 1.2).
25. AMPRs are areas with important biological, fishery or sociocultural features, in which fishery activity is regulated to ensure the long term use of fisheries and for which INCOPECSA is able to count with the support of coastal communities and/or other institutions and stakeholders for their conservation, use and management. AMPRs were created by Decree 35502 of the Ministry of Agriculture (1 October 2009) to comply with the principles and guidelines of the FAO Code of Conduct for Responsible Fisheries. The first AMPR was created in 2009 in the

³¹ Under MINAE

³² See Salas et al., (2012) for a review of AMPRs.

³³ See Table 1.4 for details.

³⁴ Source: Weeks et al., (2009).

Gulf of Nicoya. Today, there are nine AMPRs covering ca., 1,000 km², all of them on the Pacific coast. Each AMPR has a fishery management plan whose implementation is the responsibility of an inter-institutional committee with fishermen participation. The National Coast Guard Service is responsible for the control and surveillance of the area, but fishermen also contribute to this activity with local committees. AMPRs do not provide right-based fishing access.

26. Costa Rica contains about 3.5% of the world marine biodiversity (Wehrtmann & Cortés, 2009) as is part of the Pacific Central-American Coastal Large Marine Ecosystem. Also, Costa Rica is part of the eastern tropical Pacific seascape. This seascape covers about two million square kilometres, and integrate the marine areas of Costa Rica, Panamá, Colombia and Ecuador. Marine biota, like sharks, large pelagic fish and sea turtles migrate along this area (Seminoff, et al., 2008; Bessudo et al., 2011).
27. The coast is an important nesting area of marine turtles, the leatherback (*Dermochelys coriacea*) nest mainly on small beaches in Las Baulas National Park and olive ridleys (*Lepidochelys olivacea*) nest in arribada beaches. The main natural event that affects the Costa Rican marine biodiversity is the ENSO. It has been documented massive death of marine invertebrates during strong ENSO events (Glynn, 1990; Jiméneez & Cortés, 2001; Jiméneez & Cortés, 2003).

Ecuador

28. The Republic of Ecuador has 2,859 km of continental coastline formed by cliffs, tide pools and beaches. The most notable coastal geographical feature is the Gulf of Guayaquil, an estuarine system, which houses the largest concentration of mangroves in the country and numerous islands and islets. The Galapagos Islands are located about 972 km from the mainland. It is a volcanic archipelago composed by 128 islands, including 13 large islands, six small islands and 42 islets; it has 1,688 km of coastline. The marine area of the country is ca., 1,100,000 km², about four times the total landmass. Ecuador is also part of the eastern tropical Pacific seascape.
29. Both the continental and archipelagic areas are rich in coastal and marine biodiversity. Until 2003, a total of 1,859 marine species had been identified in Ecuador (Cruz et al., 2003). About 20% of the marine biota in Galapagos is endemic, including 51% of isopods (Brusca, 1987), the Galapagos barnacle blenny (*Acanthemblemaria castroi*), the marine iguana (*Amblyrhynchus cristatus*), the Galapagos penguin (*Spheniscus mendiculus*), the flightless cormorant (*Phalacrocorax harrisi*) and the waved albatross (*Phoebastria irrorata*).
30. The Ecuadorian mainland has 21 of the 27 marine and coastal ecosystems globally recognized (10 of the 14 marine and 11 of the 13 coastal ecosystems) (Salm et al., 2000). In part, the diversity is due to the fact that the Ecuadorian mainland is at the confluence of two large marine ecosystems (i.e., Pacific Central-American Coastal and Humboldt Current). Here the cold waters of the Humboldt Current meet the warm waters of the Panama Bight, forming the equatorial front, which moves seasonally depending on the strength of the currents. The multiplicity of environments is used by diverse biota, including globally significant biodiversity.

Table 1.3. Marine Protected Areas in Ecuador.

Marine Protected Areas	Land Area (km ²)	Marine Area (km ²)
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MARINE RESERVES		
Reserva Marina Galera San Francisco	546.00	
Reserva Marina El Pelado	0.966	130
Reserva Marina Galápagos		141,100
NATIONAL PARKS		
Parque Nacional Machalilla	417.54	144.3
Wildlife Refuges		
Refugio de Vida Silvestre Manglares Estuario Rio Muisne	31.73	
Refugio de Vida Silvestre Manglares Estuario Rio Esmeraldas	2.42	
Refugio de Vida Silvestre Isla Corazón Islas Fragatas	7.00	
Refugio de Vida Silvestre y Marino Costera Pacoche	50.44	85.86
Refugio de Vida Silvestre Manglares del Morro	100.30	
Refugio de Vida Silvestre Isla Santa Clara	0.05	
ECOLOGICAL RESERVES		
Reserva Ecológica Manglares Cayapas Mataje	513.00	
Reserva Ecológica Manglares Churute	500.68	
OTHER CATEGORIES		
Reserva de Producción de Fauna Manglares el Salado	52.17	
Área Nacional de Recreación Isla Santay	22.14	
Área Nacional de Recreación Playas de Villamil		24.78
Reserva de Producción de Fauna Marino Costera Puntilla de Santa Elena	1.77	472.78
TOTAL		142,359

31. The Galapagos has a particular oceanographic pattern, the archipelago is located at a point where major ocean currents converge, merging nutrient rich cool waters from the Humboldt current with warm water from the north, and a deep cold subsurface current from the west (i.e., Cromwell Current) (Christensen, 1971; Banks, 2002). This create atypical conditions for a tropical archipelago, there are five marine bioregions. The islands of the extreme north have marine species characteristic of the indo-pacific biota. Whereas the western part has species characteristic of cold water, including endemic species not found in other parts of the archipelago (Danulat & Edgar, 2002). Galapagos is among the world areas with high percentage of endemism of coral reef fish (Allen, 2008). The Galapagos National Park (established in 1959) and the Galapagos Marine Reserve (established in 1998) are protected areas and UNESCO World Heritage site. The marine reserve covers 133,000 km².

32. Ecuador has 16 MPAs with a total marine surface of 142,359 km². The largest MPA is the Galapagos Marine Reserve (Table 1.3). Most of the MPAs are coastal with important land area which includes beaches, mangroves and other coastal habitats. Since 2000 the Ministry of Environment (MAE) has issued 10-year mangrove concessions³⁵ to organised traditional

³⁵ The proper name is “acuerdos de conservación y uso sustentable del manglar” (agreements for the conservation and sustainable use of mangroves).

user groups. These areas are not considered part of the national system of protected areas. At the beginning of 2014 there were 49 concessions (590 km²). The main use of mangrove concessions is to secure areas to harvest mangrove crabs (*Ucides occidentalis*) and cockles (*Anadara tuberculosa* and *A. similis*), they have functioned as an instrument for rights-based management.

33. The main natural event that affect the Ecuadorian marine biodiversity is the ENSO. There are positive effects for some marine biota like increased recruitment of mahi mahi and shrimps, but there major detrimental impacts in the coastal and marine ecosystems. During El Niño the biological productivity of the euphotic zone decline causing negative impacts on the survival of higher trophic levels. For example, strong El Niño (e.g., 1982/1983, 1997/1998) reduced food availability produce mortality of the marine iguanas (Cooper & Laurie, 1987; Laurie, 1990; Wikelski & Thom, 2000), and severe decline of the populations of the Galapagos penguin and the flightless cormorant (Valle et al., 1987; Valle & Coulter, 1987). El Niño also has caused severe decline of the abundance of subtidal fish in Galapagos like *Acanthemblemaria castroi*, *Azurina eupalama* and *Cottoclinus canops* (McCosker et al., 2003).

Indonesia

34. The Republic of Indonesia is an archipelago comprising 13,466 islands and a total coastline of 54,716 km. Indonesia is part of the Coral Triangle³⁶ recognized as a global centre of marine biodiversity and a top priority for marine conservation (Allen, 2007; Hoeksema, 2007). The Coral Triangle contain ca., 76% of the world's coral species and ca., 37% of the world's coral reef fish species. Indonesia has the highest coral reef fish diversity of the world (Allen & Adrim, 2003; Allen, 2008) and is one of the 20 global priorities for marine biodiversity conservation (Selig et al., 2014).
35. Indonesia is part of several LMEs: the Bay of Bengal LME, the Indonesian Sea LME, the South China Sea LME, and the Sulu-Celebes Sea LME (Sherman & Hempel, 2009). However the majority of the country marine area is part of the Indonesian Sea LME and the Sulu Celebes Sea LME. The Indonesian Sea Large Marine Ecosystem, is an area of ca., 400,000 km² located at the confluence of the Pacific and Indian Oceans. This LME has complex ocean-atmospheric dynamics (Wyrcki, 1958). The Indonesian Throughflow is an important current that allows the passage of warm shallow water from the Pacific Ocean into the Indian Ocean and is part of the Great Ocean Conveyor Belt; it has a pivotal role in climate regulation (Schneider, 1998; Lee et al., 2002; Gordon, 2005; Wyrcki, 2005; Sprintall & Révelard, 2014). The Indonesian Throughflow is related to the development of the ENSO (Lee et al., 2002; Sprintall, 2014). Almost all of Indonesia is drier than usual during most El Niño event.
36. Wafar et al., (2011) report 10,855 marine species, including 3,215 species of fish, 2,500 species of molluscs, 1,512 species of crustacean and 1,150 species of cnidarian. To conserve this vast marine biodiversity there are 131 MPAs, the majority are managed by the Ministry of Marine Affairs and Fisheries (MMAF) (Table 1.4).

Table 1.4. Marine protected areas in Indonesia in 2013.

Type of MPA	Number	Size (km ²)
A Managed by Ministry of Environment & Forestry (Directorate General of Natural Resources Conservation and Ecosystem)	32	46.949,48

³⁶ The Coral Triangle cover about 5.7 million square kilometres of tropical marine waters of Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands and Timor-Leste.

1	Marine National Park	7	40.435,41
2	Marine Ecotourism Park	14	4.912,48
3	Marine Sanctuary	5	56,78
4	Marine Natural Preservation	6	1.544,80
B	Managed by Ministry of Marine Affairs and Fisheries (Directorate General of Marine, Coastal and Small Islands) and Local/District Government	99	110.736,22
1	Taman Nasional Perairan/Marine National Park	1	35.211,30
2	Suaka Alam Perairan/Marine Sanctuary	3	4.456,30
3	Taman Wisata Perairan	6	15.410,40
4	District Marine Conservation Area	89	55.658,22
	TOTAL	131	157.685,69
	Jurisdiction waters	5.8 million km ²	
	Percentage included in protected areas	2,72%	

Source: Ministry of Marine Affairs and Fisheries.

Philippines

37. The Republic of Philippines is an archipelago comprising 7,107 islands and a total coastline of 36,289 km. The country is also part of the megadiverse Coral Triangle. Carpenter & Springer (2005) found a peak of marine biodiversity in the central Philippine Islands and a secondary peak between peninsular Malaysia and Sumatra. The highest concentration of coral reef fish species extends from south-eastern Indonesia to the central Philippines (Allen, 2008).
38. The country has a large marine biodiversity. There are about 5,000 species of molluscs (Springsteen & Leobrera, 1986), 488 species of corals (Nemenzo, 1982) and 2,824 marine fish species. The Philippines is one of the 20 global priorities for marine biodiversity conservation (Selig et al., 2014). The country has 985 MPAs, the main strategy used has been community-based MPAs. No-take areas cover 0.5% of municipal waters and about 2.7 - 3.4% of the coral reef area (Weeks et al., 2009).
39. Philippines is part of the South China Sea LME, the Sulu-Celebes LME and the Indonesian Sea LME. The Sulu-Celebes LME cover ca., one million square kilometres. It contains, respectively, 6.17% and 0.22% of the world's coral reefs and sea mounts (Sherman & Hempel, 2009). This area has a complex oceanography caused by strong currents, deep sea trenches, seamounts and active volcanic islands.
40. Seasonal rainfall in the Philippines is known to be modulated by the ENSO. During the warm event almost all the country is drier than usual during and during the cold event excessive rainfall occur (Harger, 1995; Lyon et al., 2006; Lyon & Camargo, 2008).

I.2. Socio-economic context

41. Fisheries are an important component of the culture, economy and food security of the four countries.

Costa Rica

42. The country had 4,301,712 people in 2011³⁷. Costa Rica has a high human development level, the Human Development Index (HDI) has continuously increased from 0.605 in 1980 to 0.763 in 2013 (rank 68) (UNDP, 2014). In 2013, the Gross National Income per capita (GNI) was US\$13,012 (UNDP, 2014).
43. Costa Rica has a high per capita consumption of seafood. NMFS (2012) reports 10.0 kg (2007-2009 average) and FAO (2014a) report 12.62 kg (2000-2010 average). However, fisheries and aquaculture are a small element of the Gross Domestic Product (GDP) (i.e., 1.4%) (FAO, 2014a), the commercial fisheries sector has contracted in the last decades³⁸. The percentage of people employed in agriculture and fisheries has steadily declined since the 1970s (Salazar, 2013), and the marine capture dropped from 44,908 t in 2000 to 27,797 in 2009³⁹ (FAO, 2014a). Most of the marine fisheries are artisanal and operate along the Pacific region, mainly beyond the territorial sea. About 95% of the fleet operate in the Pacific Ocean and 97% of the capture is landed on the Pacific coast. The main fisheries port is Puntarenas.
44. Costa Rica has no certified fisheries and is not implementing fisheries improvement projects (Annex 1).
45. The main fisheries are tuna (60.5% of the 2009 capture) and whitefish⁴⁰ (37.8% of the 2009 capture) (FAO, 2014a). Employment in the value chain has been estimated in 72,817 posts in 2012, of this 23% concentrate on harvesting, 72% concentrate in processing, and 6% concentrate in distribution (FAO, 2014a).
46. Tuna is captured by industrial and artisanal fleets. Most of the industrial capture comes from foreign purse-seiners that operate in Costa Rica's Pacific Exclusive Economic Zone (EEZ) under licenses issued by INCOPESCA⁴¹. The capture of large pelagic fish (LPF) is also important, and the Costa Rican Fisheries Federation (FECOP) has proposed to exclude tuna purse-seiners from the EEZ to allow (i) local longline fishers to benefit from the tuna and large pelagic fish resources, and (ii) recreational fishing to benefit from the use of billfish (FECOP, 2013).
47. Longline fishing is executed by vessels of various sizes that operate beyond the territorial sea. The Pacific fleet has 515 vessels, mainly based in Puntarenas (314), Guanacaste (79), Quepos (75) and Golfito (47) (Annex 2). Until 2013 there was a foreign longline fleet of 27 vessels (>20 m length) based in Puntarenas that targeted sharks and billfish. Most of the fleet has left Costa Rica, about four vessels remain in the country.
48. The vessels are classified, accordingly to the Law on Fisheries and Aquaculture, into artisanal-medium (AM) and artisanal-advanced (AA). AM vessels can operate up to 40 NM offshore, and AA can operate beyond the 40 NM limit. Their operation has many similarities: (i) they target tuna, sharks, mahi mahi and swordfish (*Xiphias gladius*), (ii) the incidental catch include billfish and wahoo, and (iii) the bycatch include rays, manta rays, and marine turtles.

³⁷ X Censo Nacional de Población y VI Censo Nacional de Vivienda de Costa Rica.

³⁸ In contrast to sport fishing that represent ca., 2.3% of the GDP (FAO, 2014a).

³⁹ Reconstructed data indicate that the catch increased from 1,480 t in 1950 to a maximum of 66,509 t in 1986 and afterwards steadily declined to 31,171 t in 2004 and finally increased to 34,207 t in 2008 (Trujillo et al., 2012).

⁴⁰ This is "pesca de escama" a general term used to refer to bony fish.

⁴¹ Costa Rica does not have tuna vessels, but is a founding member of the Inter-American Tropical Tuna Commission (IATTC).

The main difference is the gear and its use. AM vessels mainly use surface longline that capture mainly mahi mahi, AA vessels use both surface and mid-water longlines.

49. Recent landing statistics are not available. However it is known that the annual landings of the longline fleet are about 6,500 t of LPF, 2,000 t of sharks and 4,000 t of mahi mahi. About 58% of the mahi mahi, LPF and sharks are processed for export. The main export market for Mahi mahi⁴² and tuna is the US. Tuna is also exported to Guatemala, El Salvador, Honduras, Nicaragua, and Panamá. Frozen sharks are exported mainly to Mexico and Taiwan, and shark fins are exported to Hong Kong. Shark finning is banned in Costa Rica, but there are implementation problems.
50. The present project will support the improvement of longline fishing and the related value chain. A Sustainable Marine Commodities Platform will be initiated and FIPs will be organised and launched for the mahi mahi and tuna fisheries. There might be interest to initiate the process leading to MSC certification.

Ecuador

51. The country had 14,483,499 people in 2010, the growth rate has steadily declined from a maximum of 3.10% in 1974 to 1.95 in 2010. Ecuador has a high human development, the HDI has continuously increased from 0.605 in 1980 to 0.711 in 2013 (rank 98) (UNDP, 2014). In 2013, the GNI was US\$ 9,998 (UNDP, 2014).
52. Fisheries are an important element of the country's culture and economy. However Ecuador has a low per capita consumption of seafood. NMFS (2012) reports 7.5 kg (2007-2009 average), similar to the 7.0 kg reported by FLACSO & MIPRO (2011).
53. There are very old fisheries, archaeological studies have found (i) fishing activities dating back about 5,000 years, (ii) the use of fishing gear such as shell fish-hooks (Holm, 1989), (iii) consumption of croakers and catfish (Bearez, 1994), (iv) harvesting of mangrove cockles and other bivalves (Idrovo, 1994), and (v) fabrication of beads from *Spondylus* and *Pinctada mazatlanica* (Mester, 1985; Blower, 2001; Guinea, 2006; Castro, 2009).
54. The marine capture fisheries are quite diverse and range from manual collection of mangrove cockles (*Anadara tuberculosa* and *A. similis*), to artisanal oceanic fisheries for mahi mahi and LPF using mother ships (i.e., nodrizas), and industrial purse-seine tuna fisheries using fish aggregating devices (FADs). Some species are sold fresh without processing – for example mangrove cockles, mangrove crab (*Ucides occidentalis*), and blue crab (*Cardisoma crassum*) --, but most of the landings are processed and enter the value chain. Processing can be artisanal, mainly for the national market (e.g., frozen crab meat, iced fish fillets), or industrial for both the national and international markets (e.g., canned tuna, breaded fish fillets, tuna burgers).
55. Marine capture⁴³ increased from an average 56,106 t/year in the 1960s (average 1961-1970) to 328,724 t/year in the 1970s (average 1971-1980), then jumped to 661,720 t/year in the 1980s and declined to 434,044 t/year in the 1990s and 440,740 t/year in the 2000s. The peak capture was 1,055,809 t in 1985, mostly based on small pelagic fish. Between 2000 and 2012 the capture has fluctuated between a minimum of 318,854 t in 2002 and a maximum of 596,114 t in 2000. The capture in 2012 was 513,264.

⁴² Costa Rica account for ca., 3.5% of US imports of mahi mahi (Hunter, 2013).

⁴³ Source: FAO fisheries global information system (FIGIS).

56. The main Ecuadorian fisheries operate in the EEZ and international waters. The fisheries of the Galapagos are small, and because they develop within a marine protected area (MPA), are subject to special regulation under the jurisdiction of the Ministry of Environment (MAE).
57. In terms of volume and value, the main capture fisheries are tuna and LPF. Ecuador is a major world player in the tuna industry. In the EPO, Ecuador has the largest purse seine fleet⁴⁴, the main capture⁴⁵ and the biggest processing capacity⁴⁶. The main fishing method of the Ecuadorian fleet is setting on FADs⁴⁷, therefore the main species captured is skipjack tuna (*Katsuwonus pelamis*). Most of the tuna is exported processed (i.e., cans and pouches) or as pre-cooked tuna loins for secondary processing (mainly for Spain and Italy). In value of exports, tuna is the second seafood commodity after shrimp that is mainly produced by aquaculture. The main tuna markets are the EU and the US. The tuna industry is a major employer, direct employment is estimated in ca., 30,000 posts (Prieto, 2010), a major component are women that work in the processing plants. Indirect employment is estimated in ca., 100,000 posts.
58. The tuna fishery in the EPO is managed by the IATTC. A major concern for the Ecuadorian industry has been the impact of fishing on FADs and the consequent impact on other tuna and marine species (Bromhead et al., 2000; Marsac et al., 2000; Hallier & Gaertner, 2008; Gilman & Lundin, 2009; Morgan, 2011; Baske et al., 2012; Dagorn et al., 2012; Dagorn et al., 2012a; Gerrodette et al., 2012). The industry has been proactive and has supported research on an excluding device and FAD improvement. Also, the Ecuadorian tuna industry has explored in the past the possibility of MSC certification, but had discouraging results mainly because regional fisheries management does not establish target and limit reference points and well-defined harvest control rules⁴⁸ and the growing market interest in FAD-free fishing. The Chamber of Tuna Processors (CEIPA) has led the development of a national ecolabel (called SEA⁴⁹) that, in addition to conservation of stocks and marine biodiversity, incorporate social and production considerations along the entire value chain. The present project will collaborate with the Ecuadorian tuna industry to advance in the development and implementation of SEA and to engage market leverage for sustainable tuna purchasing by major buyers.
59. There is also an industrial longline fishery aimed at tuna and LPF. Ecuador has 25 large longline vessels (>24 m length) listed in the IATTC Regional Vessel Register. Friend of the Sea has in the list of fisheries approved (i.e., products originating from those fisheries are certified) tuna from the vessel Altar 21 (IATTC Vessel Number 4823).

⁴⁴ Ecuador has the largest tuna fleet with 106 active purse seiners, followed by Mexico with 57 vessels (source: IATTC regional vessel register).

⁴⁵ The estimated retained catch in 2010 and 2011 was 152,627 t and 212,096 t, respectively (IATTC, 2012).

⁴⁶ Ecuador has 14 tuna processors with a total processing capacity of 1,510 t/day. Mexico has the second place with 12 processors and a combined processing capacity of 775 t/day. In comparison, Thailand has the largest world processing capacity with 2,770 t/day. Philippines and Indonesia are also major players with processing capacities of 640 t/day and 500 t/day, respectively (McGowan & McClain, 2010).

⁴⁷ A vestigial pole and line fishery exist in Ecuador. The remaining seven vessels operate from Manta, capture less than 1,000 t / year, capture yellowfin tuna and skipjack tuna (rough ratio 3:1) and sell the capture to the local market. The fishermen (associated in the Cooperativa Cañeros de Manta) are interested in a MSC certification due to the growing demand for pole and line tuna. A pre-assessment was conducted in 2013 and a FIP will start implementation in 2014 with support of Conservation International and IPNLF (IPNLG, 2014). The present project will not work directly with this FIP, however pole and line fishermen will participate in the Sustainable Marine Commodities Platform (SMCP).

⁴⁸ For a recent overall assessment see Powers & Medley (2013).

⁴⁹ Código de Buenas Prácticas de la Sustentabilidad Ecuatoriana Atunera (SEA) = Best Practice Code for Ecuadorian Tuna Sustainability.

60. The artisanal fishery for LPF is very diverse, there are vessels that operate individually mainly within 100 NM and groups of boats that operate with a wooden mother ship⁵⁰ within the EEZ and in international waters (Herrera et al., 2009). They use longlines⁵¹, gillnets and handline⁵². There are two main fishing seasons, during the warm months (December to April) the main target is mahi mahi, and during the cold months (May to November) the main target are tuna and LPF. There is a specific hand-line fishery aimed at bigeye tuna to be exported fresh and frozen mainly to the US. These fisheries interact with important marine biodiversity such as sharks, sea turtles and seabirds. There is important advance in preventing bycatch, mainly with the use of circular hooks and gear modifications, and the regulation of shark capture and landings⁵³. The use of circular hooks has been well accepted in the longline fisheries for tuna and LPF, however they have not been convenient in the fishery for mahi mahi. The project will contribute to improve the artisanal fisheries for bigeye tuna and LPF. A Sustainable Marine Commodities Platform will be established, to integrate the stakeholders of this value chain and to promote responsible sourcing. In addition, the project will support the preparation and start-up of a FIP for these fisheries.
61. Mahi mahi (called dorado in Ecuador) is an important food fish. The world capture is about 104,000 t/year, of which the harvest in the EPO range between 47% and 70% (Aires-da-Silva et al., 2014). The major players are Peru (ca., 73% of the EPO capture) and Ecuador (ca., 12% of the EPO capture). Other countries of the region jointly capture ca., 13% and the bycatch of the purse seine tuna fleet is about 3% (Aires-da-Silva et al., 2014). In Ecuador, mahi mahi account for ca., 65% of the landings of LPF and is the main export of whitefish⁵⁴ (ca., 40%). The core market for fresh and frozen mahi mahi is the US⁵⁵. At the regional level the IATTC is advancing in establishing a common management framework. A starting point was a joint review of existing information (Aires-da-Silva et al., 2014) and the initiation of a regional collaborative effort (expected to take about three years) to execute a stock assessment and the development of conservation and management rules. The first meeting will be held in Manta (Ecuador) on 14-16 October 2014. At the national level, the Ecuadorian fisheries authority (1) has a monitoring and research programme (Martínez-Ortiz & Zúñiga-Flores, 2012), (2) has adopted a fisheries management plan⁵⁶ (SRP, 2011), (3) has established a public-private committee with the key stakeholders⁵⁷, and (4) is implementing a FIP with technical support from WWF but mainly funded by VAP. An MSC pre-assessment was executed in 2009 and FIP implementation started on January 2010. The FIP is very advanced, aiming for a full MSC assessment between 2015 and 2016. A major limitation for certification is that knowledge of the status of the stock is limited and there are no regional CMMs. The project will contribute to (i) the further development of the *Consejo Consultivo del*

⁵⁰ The use of a mother ship (called balandra) initiated around 1992 – 1993. The mother ship has a stationary engine and pull between four and nine boats with outboard engines to the fishing grounds. There the boats fish and use the balandra to store the capture. The trip usually last between 15 and 18 days.

⁵¹ Surface longline (called espinel fino) when aiming mahi mahi and mid-water longline (called espinel grueso) when aiming for tuna and LPF (Castro, 2012).

⁵² Handline is used to capture bigeye tuna (*Thunnus obesus*) for high quality fresh and frozen fish.

⁵³ The VAP maintain landing controls and a monitoring and research programme. The National Action Plan for the conservation and management of sharks in Ecuador (PAT-EC) was adopted in 2006 (MICIP, 2006) and is currently in its second generation.

⁵⁴ In Ecuador the term “pesca blanca” is used to refer to sea fish used for human consumption. This include all kind of fish, like bony fish, sharks, demersal fish and pelagic fish.

⁵⁵ Hunter (2013) reports that Ecuadorian mahi mahi account for 26% of total imports into the US. Peru account for 24% of US imports. Most of the Peruvian mahi mahi is consumed in the local market.

⁵⁶ Plan de Acción Nacional para la Conservación y el Manejo del Recurso Dorado en Ecuador (PAN-Dorado).

⁵⁷ The Consejo Consultivo del Dorado (i.e., Dorado Advisory Council) was established in 2011 (Acuerdo 055 signed on 15 April 2011). The objective is to provide advice to the Minister on strategies and policies to strengthen the management and sustainability of the mahi mahi value chain.

Dorado to strengthen public-private dialogue and integrate international stakeholders of the value chain, and (ii) support the regional process for the development of conservation and management measures (CMMs).

62. Finally, it is worth mentioning that a component of the shrimp trawl fishery, which initiated in 1952 and was an important component of the Ecuadorian fisheries, was closed on 01 October 2012⁵⁸. The fishery had two components, a fleet that fished Pacific white shrimp (*Litopenaeus vannamei*) and other shrimps⁵⁹, and a fleet aimed at pomada (*Protrachypene precipua*) and similar shrimps⁶⁰.
63. To compensate the closure of the trawl fishery for Pacific white shrimp the NFA offered the option of two new industrial fisheries: hake (*Merluccius gayi*) and punctuated snake-eel (*Ophichthus remiger*). The fisheries were initiated in 2013 with CMMs that include limited fishing effort, quota and minimum capture size. The stakeholders of the hake fishery are interested in further develop it as a sustainable source of fishery products. In 2013 the hake capture was 13,024 t (51% of the total allowable catch) and was mainly exported as frozen fillets to Russia (42%), Venezuela (32%), Ukraine (17%), Brazil (8%) and Holland (1%). The project will contribute to establish, as part of the Sustainable Marine Commodities Platform, a working group to engage the hake value chain stakeholders.
64. The pomada fishery remains under new regulation⁶¹. This fishery continue to operate from a single port (i.e., Posorja) with ca., 30 vessels that trawl in the marine area of the Gulf of Guayaquil. Landings range from about 5,000 t/year to 7,500 t/year. Most of the capture (ca., 80%) is exported to the US and the EU. These fishermen have initiated a FIP and aim to obtain an MSC certification (Annex 1). The project will not contribute to this FIP.
65. The ENSO strongly affect Ecuadorian fisheries. The El Niño, on the one hand, reduces the availability of tuna, but on the other hand it generates strong recruitment of mahi mahi. This, however, produces a collapse of the price of mahi mahi and negatively affects the economic viability of the fishery.

Indonesia

66. In 2010, Indonesia had 237,641,326 million people, being the fourth most populated country of the world. The population has doubled with respect of 1971 (i.e., 119.2 million), however the growth rate has steadily declined from 2.39% in 1980 to 1.43 in 2010. Indonesia has a medium human development, the HDI has continuously increased from 0.471 in 1980 to 0.684 in 2013 (rank 108) (UNDP, 2014). In 2013, the Gross National Income per capita (GNI) was US\$ 8,970 (UNDP, 2014).
67. Fisheries are an important element of the country's culture, food intake, employment and economy. Indonesia has a high per capita seafood consumption. The 2007-2009 average was 24.7 kg (NMFS, 2012), but in 2013 the consumption was 35.14 kg per capita per year (MMAF, 2014). About 54% of Indonesia's animal protein supply comes from fish and seafood.
68. Indonesia is a major player of world fisheries. Marine capture⁶² has steadily increased from an average 662,915 t/year in the 1960s (average 1961-1970) to 1,055,930 t/year in the 1970s

⁵⁸ Acuerdo 020 published in Registro Oficial 660 of 13 March 2012.

⁵⁹ *Litopenaeus stylirostris*, *L. occidentalis*, *Farfantepenaeus californiensis*, *F. brevisrostris*, *Solenocera agazzissi* and *S. mutador*.

⁶⁰ *Trachypenaeus byrdi*, *T. faoea*, *T. similis pacificus*.

⁶¹ Acuerdo 426/A published in Registro Oficial 863 Suplemento of 5 January 2013, and Acuerdo 019 signed on 6 February 2013.

⁶² Source: FAO fisheries global information system (FIGIS).

(average 1971-1980), to 1,813,187 t/year in the 1980s, to 3,120,626 t/year in the 1990s and 4,373,934 t/year in the 2000s. Between 2000 and 2012 the capture increased from 3,674,192 to 5,298,629. The majority of the capture is fish (90% in 2010), skipjack tuna is the main species (ADB, 2014). The second component of the 2010 capture were crustaceans (6%), the three main species were mangrove mud crab (15.5%), blue swimming crab (14.3%), and spiny lobster (13.6%) (ADB, 2014).

69. Most of the marine capture is marketed fresh (ca., 58%), there is also capture of live reef food fish to supply the demand in Hong Kong and southern China (Dirhamsyah, 2012; ADB, 2014). A small part (ca., 3.5%) is processed (e.g., canning, freezing, fish meal) mainly for export, the rest is processed using traditional methods (e.g., salting, drying, fermentation, smoking) for the domestic market (ADB, 2014).
70. Fishing and trading of fish have been an integral part of many coastal communities in Indonesia. The total number of fishing households in Indonesia is 2,857,627 hh in 2013 (MMAF 2014). There is no indicative number of fishers involved in Tuna, BSC and Snapper fisheries. However, there are women fishers also in coastal areas in Eastern Indonesia (Fitriana and Stacey 2012). At the processing Stage, the number of women involved at the processing stage was 6,781,990 women, who contributed to 68% of labour at processing stage in 2011 (P2HP). Women also act as local traders. In the case of the BSC industry, more women worked at miniplant.
71. About 95% of the country's fishery production comes from artisanal fishers that use a variety of fishing gears. The marine fishing fleet has ca., 570 thousand vessels. Women are vital in fisheries, apart from helping their siblings to prepare for the fishing trip, mend nets, process and sell the seafood (Siason et al., 2001), women are also involved in capturing fish in the intertidal waters especially in eastern part of Indonesia (Fitriana & Stacey, 2012). Therefore, this Project implements an equal opportunity policy to ensure positive impacts on both men and women and will ensure the project will not result in negative impacts to women.
72. To administer the fisheries, the government has established 11 fishery management areas – called wilayah pengelolaan perikanan -- covering Indonesia's territorial sea and EEZ.
73. Indonesia has no MSC certified fisheries, but there are 10 ongoing FIPs (many focused on MSC certification) (Annex 1). Friend of the Sea has in the list of fisheries approved (i.e., products originating from those fisheries are certified) shrimp captured with trammel nets from the company PT Panca Mitra Multi Perdana.
74. The project will support the implementation of a Sustainable Marine Commodities Platform to facilitate public – private collaboration for the transformation of the seafood value chain. In direct connection, the project will support the advance of the ongoing fisheries improvement projects that work on artisanal fisheries for tuna, snapper and blue swimming crab (BSC).
75. There are two ongoing tuna FIPs. The “Indonesia longline tuna FIP”⁶³ (PT Intimas Surya) operates in the Indian Ocean and target yellowfin tuna, bigeye tuna and albacore (*Thunnus alalunga*). The other tuna FIP target bigeye tuna, skipjack tuna, and yellowfin tuna with a variety of gears in the Indian Ocean and the Western Central Pacific⁶⁴. The project will foster collaboration and synergy between these FIPs.

⁶³ <http://www.sustainablefish.org/fisheries-improvement/tuna/indonesia-yellowfin-tuna>

⁶⁴ <https://sites.google.com/site/fisheryimprovementprojects/home/indonesia-tuna-fip>

76. The ongoing snapper FIP⁶⁵ focus on *Lutjanus malabaricus* and *L. sebae*. Snappers are the main target for traditional, small-scale and semi-industrial fisheries and are captured by a variety of fishing gear.
77. BSC is an important fishery and export commodity in Asia (e.g., Philippines, Vietnam, Thailand, India) that covers the US demand for swimming crabs after the collapse of the Chesapeake Bay fishery (Paolisso, 2007). About 50% of the Indonesian harvest of BSC is exported to the US. The ongoing blue swimming crab FIP⁶⁶ focuses on the artisanal fisheries for *Portunus pelagicus*.

Philippines

78. The country had 92,337,852 people in 2010, it is the twelfth most populated country of the world. Philippines has a medium human development, the HDI has continuously increased from 0.566 in 1980 to 0.660 in 2013 (rank 117) (UNDP, 2014). In 2013, the Gross National Income per capita (GNI) was US\$ 6,381 (UNDP, 2014).
79. Fisheries are an important element of the country's culture, food intake, employment and economy. Fish is the primary source of protein in the Filipino diet, it accounts for 70% of total animal protein intake and 30% of total protein intake (ADB, 2014a). Philippines has a high per capita seafood consumption of 35.9 kg (NMFS, 2012).
80. Philippines is a major player of world fisheries. Marine capture⁶⁷ has steadily increased from an average 647,671 t/year in the 1960s (average 1961-1970) to 1,198,737 t/year in the 1970s (average 1971-1980), to 1,536,121 t/year in the 1980s, to 1,788,999 t/year in the 1990s and 2,231,733 t/year in the 2000s. Between 2000 and 2012 the capture increased from 1,835,216 t to 2,199,363 t. There was a peak of 2,493,881 t in 2010, followed by a slight decline afterwards.
81. The capture fisheries are classified in (i) commercial fisheries (i.e., use boats >3 gross tonnage) and (ii) small-scale (municipal) fisheries that use smaller boats. Small-scale fisheries harvest ca., 54% of the total capture, the rest is harvested by commercial fisheries. It is estimated that about one million people work in the seafood value chain (ADB, 2014a).
82. The main fisheries are tuna, small pelagic fish and demersal species. Tuna accounts for about 12% of the total fisheries harvest (ADB, 2014a). About half of the tuna capture is harvested by small-scale fisheries. The three main species are skipjack tuna, yellowfin tuna and bigeye tuna. Small pelagic fish is the most affordable source of animal protein for lower-income Filipinos. Sardines comprise the major commercial group of small pelagic fish, the main species are *Sardinella fimbriata* and *S. lemuru*. Demersal coastal fish are an important resource, but their abundance has declined. Stobutzki et al., (2006) estimated that current biomass, in different bays and fishing grounds, ranged between 12% and 64% of the original estimates.
83. BSC (locally known as kasag, lambay, masag, and alimasag) is a commodity with high demand. Before the 1970s it was a subsistence fishery, afterwards it expanded because of increased demand, including the US demand after the collapse of the Chesapeake fishery in the 1990s (Ingles, 2004). This is a fishery that uses a variety of gears, operates along the entire archipelago, and has an important and valuable export component. However, about 70% of the harvest is consumed in the local market. Processing employ mostly women, but

⁶⁵ <http://fisheriesimprovementindonesia.org/snapper-kbt/>

⁶⁶ <http://www.apri.or.id/>

<http://fisheryimprovementprojects.org/fip/indonesian-blue-swimming-crab-fishery-improvement-project/>

⁶⁷ Source: FAO fisheries global information system (FIGIS).

they have low salaries and poor working conditions. The fisheries management of BSC is limited. Key issues include (i) current status of the stocks is unknown, (ii) excessive fishing effort, (iii) capture of undersized individuals, (iv) illegal fishing and (v) high bycatch (e.g., sponges, other crab species, molluscs, juvenile fish). The administration of the blue swimming crab resources is under the responsibility of the local government. There is a “Philippine blue swimming crab management plan” (adopted in 2013), however, governance and management are weak. There is an ongoing FIP since 2009⁶⁸.

84. The project will support the development and implementation of a Sustainable Marine Commodities Platform with two working groups focused on the BSC and the octopus fisheries. In direct connection the project will support the advance of the ongoing BSC FIP and the preparation and initial implementation of a FIP for the octopus fishery.
85. *Octopus cyanea* is harvested from coral reefs along the country. It is assumed that this is the main export species, but there are at least 13 different species of shallow-water octopuses in the Philippines. Octopus has been harvested in local and subsistence fisheries throughout the country, and sold as both fresh and dried. The fishery is not managed and there is very scarce information. BFAR classifies the octopus as a “municipal fishery”, which includes fishing done in coastal and inland waters with or without the use of boats of three gross tons or less. Octopus is exported, about 6,000 t were exported in 1991, then increased to a plateau of about 12,000 t, and later decreased to about 6,000 t in 2010 (Yau, 2011). The Philippines is the single most important source of imported octopus in the US market. In 2010, the US imported 3,410 t of octopus from the Philippines (about 28% of total imports of octopus into the US) (Yau, 2011). The Monterey Bay Aquarium (MBAq) recommends to avoid consumption of octopus from the Philippines mainly because there is no fisheries management.

1.3. Institutional context

Regional Fisheries Management Organisations

86. Tuna fisheries in the Pacific Ocean are administered by the Inter-American Tropical Tuna Commission (IATTC) and Western and Central Pacific Fisheries Commission (WCPFC). Northern albacore (*Thunnus alalunga*) and pacific bluefin (*T. orientalis*), which are found in both Convention areas, are assessed by the International Scientific Committee for Tuna and Tuna-like Species in the North Pacific Ocean (ISC). Conservation and management recommendations by the ISC are reviewed by both IATTC and WCPFC, and efforts are made to harmonize management measures for these common stocks if adopted.

Inter-American Tropical Tuna Commission

87. The IATTC is the oldest tuna RFMO and has a long history of fisheries research and management. The IATTC was created by the Convention for the Establishment of an Inter-American Tropical Tuna Commission, signed between the United States of America and Costa Rica on 31 May 1949. The convention came into force in 1950 and was open to adherence by other governments whose nationals fish for tropical tunas and tuna-like species in the EPO. Under this provision Panama adhered in 1953, Ecuador in 1961, Mexico in 1964, Canada in 1968⁶⁹, Japan in 1970, France and Nicaragua in 1973, Vanuatu in 1990, Venezuela

⁶⁸ <http://www.committedtocrab.org/projects/philippine-blue-swimming-crab-fishery-improvement-project/>
<http://fisheryimprovementprojects.org/fip/philippines-blue-swimming-crab-fishery-improvement-project/>

⁶⁹ Canada withdrew from the IATTC in 1984.

in 1992, El Salvador in 1997, Guatemala in 2000, Peru in 2002, Spain in 2003, the Republic of Korea in 2005, and Colombia in 2007 (IATTC, 2013).

88. In 2003 the parties adopted⁷⁰ the Convention for the Strengthening of the Inter-American Tropical Tuna Commission Established by the 1949 Convention between the United States of America and the Republic of Costa Rica (known as the Antigua Convention). The Antigua Convention entered into force on 27 August 2010.
89. The members of the IATTC are: Belize, Canada, China, Colombia, Costa Rica, Ecuador, El Salvador, European Union, France, Guatemala, Japan, Kiribati, Korea, Mexico, Nicaragua, Panama, Peru, Chinese Taipei, United States of America, Vanuatu and Venezuela. The cooperating non-members are: Bolivia, Honduras, Indonesia and the Cook Islands.
90. The IATTC provides the Secretariat for the Agreement on the International Dolphin Conservation Program (AIDCP) and, among other functions, manages the international on-board observer of the fleet of purse-seine vessels that operates in the EPO. The following parties have ratified or acceded to the AIDCP: Belize, Colombia, Costa Rica, Ecuador, El Salvador, European Union, Guatemala, Honduras, Mexico, Nicaragua, Panama, Peru, United States, and Venezuela. Bolivia and Vanuatu are applying the AIDCP provisionally.

Western and Central Pacific Fisheries Commission

91. The Commission was established by the Convention for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (WCPFC Convention) which entered into force on 19 June 2004. The WCPFC initiated operations in 2005.
92. The objective of the Convention is to ensure, through effective management, the long-term conservation and sustainable use of highly migratory fish stocks in the western and central Pacific Ocean in accordance with the 1982 United Nations Convention on the Law of the Sea (UNCLOS) and the 1995 UN Fish Stocks Agreement. The highly migratory fish are the species listed in Annex I of UNCLOS.
93. The members of WCPFC are Australia, China, Canada, Cook Islands, European Union, Federated States of Micronesia, Fiji, France, Indonesia, Japan, Kiribati, Republic of Korea, Republic of Marshall Islands, Nauru, New Zealand, Niue, Palau, Papua New Guinea, Philippines, Samoa, Solomon Islands, Chinese Taipei, Tonga, Tuvalu, United States of America, and Vanuatu.
94. Participating Territories are American Samoa, Commonwealth of the Northern Mariana Islands, French Polynesia, Guam, New Caledonia, Tokelau, Wallis and Futuna.
95. WCPFC Cooperating Non-members are Belize, Democratic People's Republic of Korea, Ecuador, El Salvador, Mexico, Panama, Thailand, and Vietnam,

Costa Rica

96. The Ministry of Agriculture and Livestock of Costa Rica (MAG) is the national authority responsible for agricultural and rural development. Two government institutions are responsible for Costa Rica's fishery sector: (1) the Ministry of Environment and Energy (MINAE) which manages inland fishery resources restricting their use to sport and

⁷⁰ Resolution C-03-02, resolution on the adoption of the Convention for the Strengthening of the Inter-American Tropical Tuna Commission Established by the 1949 Convention between the United States of America and the Republic of Costa Rica. Complementary, resolution C-03-09 invited Chinese Taipei to express its commitment to abide by the terms of the Convention.

subsistence fishing, and (2) the Costa Rican Institute for Fisheries and Aquaculture (INCOPECSA) which manages marine fisheries and aquaculture.

97. INCOPECSA⁷¹ is the national authority responsible for implementing the Fisheries and Aquaculture Law⁷², the sectorial policy of MAG, and the Fisheries and Aquaculture Development Plan. INCOPECSA coordinates the fisheries and aquaculture sector, administers fisheries and aquaculture, and regulates fisheries and their use⁷³.

98. MINAE is the national environment authority. In the near future this ministry will adopt responsibility on water and seas⁷⁴. MINAE administers the national system of conservation areas (SINAC), including marine protected areas.

Ecuador

99. The Ministry of Agriculture, Livestock, Aquaculture and Fisheries of Ecuador (MAGAP) is the national authority responsible for the agriculture and fishery sectors. The Viceministry of Aquaculture and Fisheries is the line authority that implements the fisheries policy. VAP has two undersecretaries that administer inland and marine fisheries and aquaculture. The National Fisheries Authority establishes, through ministerial agreements, exploitation conditions to regulate fisheries (e.g., tuna, mahi mahi, sharks) and protective measures for sensitive species (such as whales, rays, whale sharks, sea turtles), and adopts plans for the conservation and management of specific species (i.e., sharks and mahi mahi). The National Council for Fisheries Development was created under the fisheries law⁷⁵ (article 11) and integrates public and private stakeholders; the chair of the council is the Viceminister of Aquaculture and Fisheries. The council adopts and guides the fisheries policy and reviews the proposed fisheries regulations. The National Fisheries Institute (INP) is responsible for fisheries research and food safety in the seafood value chain.

100. The Ministry of Environment (MAE) is the National Environmental Authority and is the State's agency responsible for designing environmental policies and coordinating strategies, projects and programs for the protection of ecosystems and the sustainable use of natural resources. The MAE administers the National System of Protected Areas (SNAP), the Undersecretary of Marine and Coastal Management (SGMC) administers the network of marine protected areas, mangroves areas and coastal and marine biodiversity. Fisheries within MPAs are administered by MAE under the forestry and wildlife law⁷⁶.

Indonesia

101. Ministry of Marine Affairs and Fisheries is the principal agency responsible for marine and fisheries sector planning, management and administration. The MMAF mission, functions, organizational structures and its position in the cabinet are determined by Presidential Decree issued in 23 November 2000. The Presidential decree 09 of 2005, stipulated that the main mission of MMAF is "To Assist the President (of the Republic of Indonesia) in holding the process of governance in the Marine and Fisheries sector". MMAF formulates and implements

⁷¹ INCOPECSA was created by Law 7384 published in La Gaceta 62 of 29 March 1994.

⁷² Law 8436 published on 25 April 2005

⁷³ Article 14 of the Fisheries and Aquaculture Law.

⁷⁴ MINAE has created the Viceministry of Water and Seas

⁷⁵ Ley de Pesca y Desarrollo Pesquero. Codificación 2005-007 published in Registro Oficial 15 of 11 May 2005.

⁷⁶ Codificación a la ley forestal y de conservación de áreas naturales y vida silvestre (Ley 2004-017 published in Registro Oficial S-418 of 10 September 2004).

the national policy in the marine and fisheries sector, and implements governance affairs in this sector.

102. Responsibility for local-level marine fisheries management rests with Provincial and District / City authorities. According to Law No. 22/1999 on Regional Administration, local authorities are responsible for the management, use and conservation of marine resources in their own territory, within territorial waters. According to Act No. 32/2004 on Regional Government, the provincial government has authority and responsibility to manage the fishery resources up to 12 nautical miles, while District / City Government has authority and responsibility to manage fish resources to one third from provincial authorities (i.e, four nautical miles). According to Government Regulation No. 54/2002 on Fisheries Business, the Provincial Government is authorized to issue fishing permits for vessels between 10 and 30 gross tonnage, and District / City Government is authorized to issue fishing permits for vessels less than 10 gross tonnage. Fishing vessels less than 5 GT are not required to have a fishing permit, but shall registered in the District / City Office.
103. The authority and responsibility of the Province and District / City Government include the management, conservation, development, protection and utilization of fish resources in the area of management within their own authority. To carry out its authority, the Province and District / City can formulate fishery management policy and develop a local legislation as necessary to realize the goal of fisheries management. Local laws shall comply with the policies, laws and regulations stipulated by the Central Government.

Philippines

104. Fisheries management rests jointly on two authorities: the Bureau of Fisheries and Aquatic Resources (BFAR) that has regional offices in each of the 16 Philippine regions, and the local government units (LGUs) that operate under the Local Government Code of 1991. Perez et al., (2012) explain the institutional arrangements for fisheries management in small-scale fisheries.
105. BFAR is the government agency responsible for the development, improvement, management and conservation of the country's fisheries and aquatic resources. It was reconstituted as a line bureau by virtue of Republic Act 8550 (Philippine Fisheries Code of 1998). The bureau is under the Department of Agriculture. BFAR has overall jurisdiction over fisheries and aquatic resources management, except those within municipal waters. The National Fisheries Research and Development Institute (NFRDI) is the research branch of BFAR. NFRDI execute a national stock assessment programme.
106. Small-scale fisheries are managed by LGUs through three types of entities: (1) village (barangay), (2) municipal / city and (3) provincial. The municipal (and city) governments have the mandate to manage the resources within their territories.

I.4. Policy and legal context

107. At the international level the project will address the 2013 United Nations General Assembly Resolution A/RES/68/71 that recalls the commitment to ensure access to fisheries and the importance of access to markets by subsistence, small-scale and artisanal fisherfolk and women fish workers, as well as indigenous peoples and their communities, particularly in developing countries. The resolution also urges countries to adopt and implement internationally agreed market-related measures to prevent, deter and eliminate IUU. In addition, the resolution requests to develop more effective measures to trace fish and fishery products to enable importing States to identify fish or fishery products caught in a manner that

undermines international conservation and management measures. Finally, the resolution urged the identification and mainstreaming of strategies that further assist developing countries in developing their national capacity to conserve, sustainably manage and realize the benefits of sustainable fisheries, including through improved market access for fish products from developing countries.

Regional Fisheries Management Organisations

108. Conventions for both IATTC and WCPFC mandate the two commissions to conserve associated and dependent species (Gilman et al., 2014). Thus, both organizations have modern mandates that are consistent with the new responsibilities assigned to RFMOs under the United Nations Fish Stocks Agreement (UNFSA) (United Nations, 1995). WCPFC is the youngest tuna RFMO, established after UNFSA and the third Law of the Sea Convention. The commissions are treaty-based organizations. Their resolutions are mandatory to its members.
109. Limit reference points have been adopted for most of the main tuna stocks under IATTC and WCPFC, which is set above the level at which there is appreciable risk of impairing reproductive capacity. However, target reference points have not been adopted for these stocks and limit and target reference points have not been defined or adopted for elasmobranch species. Target reference points should be adopted that are designed to maintain the stock at a level consistent with B_{MSY} or similar and accounts for precautionary issues such as ecological role.
110. In general, the two tuna RFMOs have not adopted harvest strategies for the covered tuna stocks that are responsive to the state of the stock and achieve management objectives reflected in biological reference points. There is also a lack of systems in place to assess efficacy of harvest strategies, and there is a lack of evidence that harvest strategies are achieving objectives. Harvest control rules (through binding conservation and management measures) and associated tools are largely not consistent with a harvest strategy, and do not call for reducing the fishing mortality rate as a limit reference point is approached. There is a lack of evidence that the harvest control tools are effectively achieving exploitation levels required by the harvest control rule.
111. There has been some progress at IATTC and WCPFC in adopting bycatch control measures for vulnerable taxa. Many of the measures, unfortunately, fall short of best practices, including in the areas where they are required, allowing relatively ineffective gear technology measures as options, and allowing exclusions for certain vessel classes (Gilman, 2011; Gilman et al., 2014).
112. Over the years the IATTC has taken a number of fisheries management measures, most of them have concentrated on limiting the total catch of the purse seine fishery. Key issues to be addressed are adopt harvest strategies, reduce excess fishing capacity, regulate the use of FADs, improve management of bycatch, and develop management strategies for other pelagic fish that are exploited in the EPO (e.g., mahi mahi, billfish).

Costa Rica

113. The project is in line with the Costa Rican legal framework including:
 - a. The Fisheries and Aquaculture Law⁷⁷ of 2005 (published in La Gaceta 78 of 25 April 2005).

⁷⁷ This law specifically prohibit the capture of cetacean, pinniped and chelonid, as well as shark finning.

- b. Regulation of the Fisheries and Aquaculture Law issued by Decreto Ejecutivo 36782-MINAET-MAG-MOPT-TUR-SP-S-MTSS, published in La Gaceta 188 of 30 September 2011.
- c. Specific agreements of INCOPECA Board⁷⁸.
- d. National Fisheries and Aquaculture Development Plan issued by Decreto Ejecutivo 37587-MAG of 25 January 2013.
- e. National Ocean Policy issued by Decreto Ejecutivo 38014-MINAE-MAG-SP-MOPT-RE-MIVAH-TUR, published in La Gaceta 41 of 27 February 2014.

Ecuador

114. The Project is in line with the Ecuadorian legal framework including:

- a. The fisheries law⁷⁹.
- b. The forestry and wildlife law⁸⁰.
- c. The National Action Plan for the conservation and management of sharks in Ecuador and the corresponding regulations regarding shark conservation and management.
- d. National Action Plan for the conservation and management of Dorado in Ecuador and the corresponding regulations regarding mahi mahi conservation and management.
- e. The regulations for tuna, LPF and hake.

Indonesia

115. The Project is in line with the Indonesian legal framework including:

- a. The Fisheries Law No. 31/2004 which regulate fisheries and aquaculture at the national level and underscores the importance of sustainable use of aquatic resources in the development of fisheries. This law was amended by Act No. 45/2009 on fisheries.
- b. The law No. 27/2007 amended by Law No. 1/2014 on the management of coastal zones and small islands which regulates the use of marine and coastal zones and underscores the role of district and national governments in encouraging the community to benefit the marine and coastal resources on an environmentally friendly manner.
- c. Law No. 23/2014 on Regional Administration by which Provincial Governments is held responsible for the management, use and conservation of marine resources in their own territory, within territorial waters.
- d. Law No. 21/2009 on the ratification of 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.
- e. The Minister of Marine Affairs and Fisheries Decree No. 26/2014 on Fish Commission, which declares the Tuna sub-commission to provide advice to government on tuna industry in Indonesia.

⁷⁸ The Fisheries and Aquaculture Law of 2005 Board of INCOPECA

⁷⁹ Ley de Pesca y Desarrollo Pesquero. Codificación 2005-007 published in Registro Oficial 15 of 11 May 2005.

⁸⁰ Codificación a la ley forestal y de conservación de áreas naturales y vida silvestre (Ley 2004-017 published in Registro Oficial S-418 of 10 September 2004).

Philippines

116. The Project is in line with the Filipino legal framework including:
- a. Acts of Parliament like the Philippine Fisheries Code of 1998 (R.A. 8550) for fisheries, and the Local Government Code of 1991.
 - b. Presidential Decrees – no longer in use, but until the 1998 Fisheries Code was enacted, PD 704 was the primary fisheries legislation.
 - c. Executive Orders like the EO 240, establishing Fisheries and Aquatic Resource Management Councils (FARMCs).
 - d. Administrative Orders
 - e. Fisheries Administrative Orders (FAOs) issued by BFAR pursuant to the Fisheries Code.

Part IB: Baseline Analysis

I.5. Threats to biodiversity

117. Overexploitation of marine fisheries is a major global issue and a key driver of changes in the marine environment. Fisheries have changed the trophic structure of ecosystems and disturbed predator – prey relationships (Pauly et al., 1998; Jackson et al., 2001; Pauly & Palomares, 2005; Pauly et al., 2005). In addition, some fisheries affect non-target species by destroying habitats and capturing organisms that have no commercial use (e.g., sponges, marine worms), including species with high conservation value and endangered species. Also, strong fishing pressure can cause the fish to alter their genetic composition and life-history traits (this is called fisheries-induced evolution) with consequences in the marine ecosystems and the fisheries (Kuparien & Hutchings, 2012; Eikeset et al., 2013; Belgrano & Fowler, 2013). In 2011, 28.8% of world fish stocks were overfished and 61.3% of stocks were fully fished (FAO, 2014). Human dependence on marine resource for food and income is high, especially in developing countries. Therefore, fisheries collapse is a serious threat for both biodiversity and society.
118. Overfishing is caused by several interacting factors, including among others, excessive fishing pressure, open access to fishery resources, destructive fishing practices, increased demand for seafood, insufficient scientific knowledge, lack of awareness by fishermen and consumers, inappropriate subsidies, and insufficient enforcement (UNEP, 2006; MARIBUS, 2010).
119. This project specifically focuses on one of these factors, the demand for seafood as a driver for overexploitation of marine resources. The harvest of marine seafood has reached a plateau of about 80 million tonnes, but the demand continues to increase. The underlying causes of the increase in seafood demand are many, among them the expansion of the world population, increased income in developing countries, increased urbanization and the associated demand of value-added nutritious products, and larger international trade.
120. The growing demand for seafood puts pressure on the entire value chain and therefore fishermen increase the harvest of valuable resources (Figure 1.7). Most of the demand comes from developed countries, but also from some developing countries (e.g., China), that have high purchasing power and cannot supply their demand with local sources. Export commodities are attractive because they command a higher price, but there are products with high value and demand in the local markets. The access to the fishery resources is regulated by national fisheries authorities, and by RMFOs in the case of shared stocks or highly

migratory species. However, high prices and increased demand, coupled with insufficient conservation and management measures and ineffective control, can motivate overcapacity, illegal fishing, use of destructive fishing gear and practices, and seafood fraud.

121. There are a number of initiatives and tools to motivate that the demand focus on seafood from sustainable sources. In addition to consumer education and awareness, industry engagement, certification and ecolabelling have shown promising results. However, despite interest from major buyers and members of the fishing industry, the amount of seafood from sustainable sources is still a small fraction of the total supply. A proxy are the MSC certified landings, in 2012 this was 6.5 million tonnes equivalent to about 8% of the marine capture in the same year (MSC, 2013; FAO, 2014).

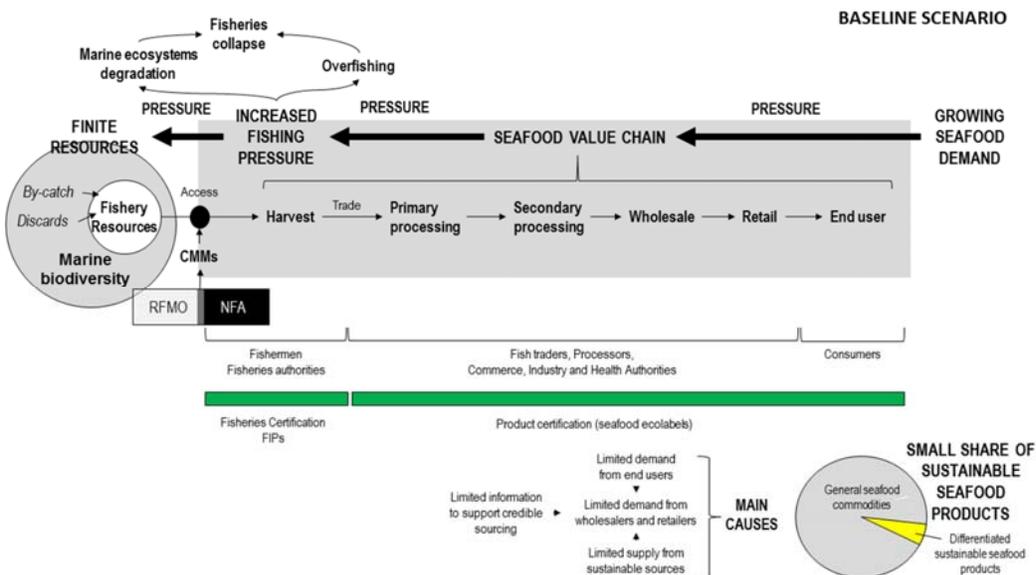


Figure 1.7. Effect of growing seafood demand on marine fisheries and biodiversity.

I.6. Long-term solution

122. The market forces are strong and can pull the seafood value chain to motivate sourcing from sustainable sources and, therefore, an improved management of the fishery resources. The long-term solution is a transformation of the market in which sustainable seafood is adequately valued⁸¹ by consumers, there are public policies and instruments to support sustainable fisheries, and the stakeholders of the value chain, public and private, contribute to this end.

I.7. Barrier Analysis

123. The main barriers that limit achieving the long term solution are:

⁸¹ This should not imply more costly seafood products. It entail that consumers, and society at large, give appreciate sustainability and incorporate the concept and practice in daily live.

Barrier 1. Limited demand from end users.

124. There are a number of important efforts to inform and educate consumers about the consequences of inadequate fisheries and to assist them to make more informed decisions. These efforts include, for example, seafood guides in various formats and languages (including mobile apps) from a number of organizations like WWF, Seafood Choices Alliance, Marine Conservation Society, and Monterey Bay Aquarium. These guides orient consumers and businesses (e.g., restaurants, catering services, fishmongers) to choose seafood from sustainable sources. These efforts are mainly focused in developed countries (e.g., US, UK, Germany, Spain, and Australia).
125. In a number of market studies it has been found that awareness has increased and that sustainable seafood is a rising trend among consumers, restaurants, retailers and wholesalers. However, the demand from end users is not yet sufficient to drive the industry.
126. The main limitations that have been identified are⁸²:
- a. Consumer confusion because of the range of information, often contradictory, about seafood products (e.g., different forms of evaluation, differing ranking systems).
 - b. Lack of evidence of improved conservation status of the resources that are protected.
 - c. Environmental concerns are secondary to quality and price as a purchase criteria.
 - d. In some markets, there is a strong concentration on a few species, offer and demand for less common fish species are weak
 - e. Consumers are not willing to pay an increase of more than 10% for sustainable seafood.
 - f. Consumer awareness and education has concentrated on developed countries. Consumers from producing countries and emerging markets (e.g., Latin America) are not included in the existing initiatives.
127. Despite the importance of this barrier, the present project will not contribute to consumer education and awareness. The project will concentrate on the relationship among the other members of the value chain, from fishermen to retailers.

Barrier 2. Limited demand from wholesalers and retailers.

128. Because of the limited demand from end users, many retailers and wholesalers do not see market opportunities in sustainable seafood. Organizations like SFP and WWF have concentrated efforts in engaging major buyers by providing information and advice. This has resulted in corporate commitment by major buyers to purchase from sustainable sources (e.g., Walmart, McDonalds).
129. In 2008, the Seafood Choice Alliance (2008) found that US restaurants, retailers, and wholesalers consider overfishing as a top threat to seafood sustainability. However, for these groups, like for consumers, environmental concerns are secondary to quality and price. The same study found that (i) retailers were uncertain about the percentage of sustainable seafood that they managed, and (ii) the misperception of wholesalers that the majority of their seafood was already sustainable.
130. The main limitations to further increase the engagement of mayor buyers are:
- a. Insufficient availability of accurate and up-to-date information of the seafood stocks and sources, in a form that is meaningful to support decision making for sustainable sourcing.

⁸² See Schmitt (2011), Jacquet et al., (2010a), Seafood Choice Alliance (2007), Seafood Choice Alliance (2008).

SFP has advanced on this matter with FishSource⁸³ and Metrics, but maintaining this type of system is complex and costly.

- b. Limited information and practical tools to prepare and implement corporate policies and procedures for responsible sourcing of seafood.
 - c. Lack of traceability systems that guarantee that the providers are actually delivering sustainable seafood and do not incur in seafood fraud.
 - d. Inadequate monitoring and tracking systems about the conservation status of the fishery stocks.
131. The project will contribute to address this barrier by (i) developing tools to assist retailers, wholesalers and processors to prepare and implement sustainable seafood sourcing policies and to better capture sourcing information, (ii) direct work to increase the number of major buyers that demand sustainable seafood from the Pacific Ocean -- mainly tuna, mahi mahi, large pelagic fish and blue swimming crab --, and (iii) mobilize market leverage to request CMMs for tuna in the WCPFC and the IATTC.

Barrier 3. Limited supply from sustainable sources.

132. As mentioned before the supply of certified seafood is ca., 8% of the total world production. There are a number of important seafood commodities that are not certified (e.g., mahi mahi) or have serious limitations to be certified (e.g., blue swimming crab). Therefore, if more wholesalers and retailers want to buy sustainable seafood they will not have sufficient supply.
133. In general, certification of sustainable fisheries and fishery products seem overwhelming to fishermen in developing countries. On the one hand, fishermen and producers in developing countries still do not have sufficient information to make an informed decision about the convenience of certification. On the other hand, certification schemes are indeed complex and expensive, especially for small-scale fisheries and those fisheries that harvest shared resources and highly migratory fish. Also, producers in developing countries usually do not have the technical and financial resources required to endure the certification process and sustain the certification afterwards⁸⁴. In addition, certified seafood do not necessarily command a price premium for the fishermen. Existing information indicate that producers benefit from improved market access and not from price premiums (FAO, 2014b; FAO, 2014c), as indicated before there is often little consumer awareness of certifications, which is a major reason why price premiums don't always follow certification. FIPs have been used to bridge this gap, and SFP promote industry-driven FIPs that finance improvement with the revenues of the fishery. However, there are doubts about the actual sustainability of the fisheries involved and the level of genuine advance in improving the management of the fishery. Often the national policies and instruments for fisheries management are insufficient. For example, the Philippines BSC FIP was initiated in 2008, and is rated as "exceptional progress" in FishSource. However, in these years the status of the stocks has not been assessed, CMMs have not been adopted and the agreed annual improvements have not been

⁸³ FishSource provide scores about five aspects of fishery sustainability:

Score 1: Is the management strategy precautionary?

Score 2: Do managers follow scientific advice?

Score 3: Do fishers comply with managers decisions?

Score 4: Is the fish stock healthy?

Score 5: Will the fish stock be healthy in future?

Cannon (2007) explain the FishSource scores and how they are calculated.

⁸⁴ This is why the certification of this kind of fishery has depended on contributions from NGOs and other donors.

met. The Monterey Bay Aquarium Seafood Watch recommend to “avoid” BSC from Philippines (Taylor, 2013).

134. None of the four participating countries have MSC certified fisheries. Ecuador, Indonesia and Philippines have FIPs in different stages of development. Costa Rica does not have ongoing FIPs, but both the national fisheries authority and the fishermen have interest in exploring this tool.
135. The main limitations to further increase the supply of sustainable seafood are:
 - a. Limited understanding on the actual market benefits from fisheries certification and ecolabelling for fisheries from developing countries.
 - b. The cost of certification and sustaining it afterwards could be beyond the means of artisanal fishermen in developing countries.
 - c. Uncertainty about the quality of FIPs, the actual progress in fisheries improvement, and the traceability of the products.
 - d. Lack of strong tools to measure progress of fisheries improvement projects.
 - e. Limited capacities for sustainable fisheries management (e.g., legal, technical, financial).
 - f. Limited governmental support for fisheries improvement.
 - g. Limited dialogue and collaboration among public and private stakeholders of the value chain.
 - h. Scarce pressure from major buyers to national fisheries authorities and RFMOs to promote sound fisheries management and stricter CMMs.
136. The project will address this barrier by developing practical experience with Sustainable Marine Commodities Platforms in the four participating countries. The platforms will be based on the experience of the UNDP Green Commodities Programme in agriculture products. The purpose of the platforms will be to facilitate coordination and collaboration among the stakeholders of the value chain of selected fisheries and to promote the development of national capacities for sound fisheries management, as well as to increase understanding of current trends in sustainable seafood sourcing and demand, fisheries improvement processes, certification of fisheries and fishery products, and ecolabelling. Each SMCP will have working groups to focus on specific value chains.
137. The SMCPs will be complemented with corresponding FIPs to facilitate practical learning on fisheries improvement and the change of inadequate fishing practices. The project FIPs will test the improved guidelines and tracking tools.

Barrier 4. Limited information to support credible sourcing and fisheries improvement.

138. Information is crucial to facilitate changes along the value chain. But different stakeholders have different interests and specific requests of information. There is a major need for reliable information about the status of seafood stocks and the availability of supply from certified sources or credible FIPs. Information is currently dispersed, in a range of formats and not readily available to all stakeholders. In the case of FIPs, an important advance has been the

information in FishSource⁸⁵, the recent launch of FIP Directory⁸⁶ and a website that congregates information of WWF supported FIPs⁸⁷. However, information is mostly colloquial, progress is presented in different formats and it is not necessarily reliable. Also, knowledge and learnings of current FIPs is not being captured and shared for the benefit of interested parties.

Table 1.5. Working groups of the Sustainable Marine Commodities Platforms and Fisheries Improvement Projects to be implemented in the participating countries.

Country	Value chain working groups	Fisheries Improvement Projects
Costa Rica	<ol style="list-style-type: none"> 1. Mahi mahi⁸⁸ 2. Large pelagic fish⁸⁹ 	<ol style="list-style-type: none"> 1. Longline mahi mahi fishery 2. Longline LPF fishery
Ecuador	<ol style="list-style-type: none"> 3. Industrial purse seine tuna fishery⁹⁰ (PST) 4. Artisanal LPF fisheries⁹¹ 5. Hake fishery 	<ol style="list-style-type: none"> 3. Industrial purse seine tuna 4. Handline and longline bigeye tuna fishery 5. Mahi mahi⁹² (supported by WWF)
Indonesia	<ol style="list-style-type: none"> 6. Tuna⁹³ 7. Blue swimming crab 8. Snapper 	<ol style="list-style-type: none"> 6. Indonesia longline tuna FIP (Indian Ocean) (supported by SFP) 7. Indonesia Skipjack Tuna – Western Central Pacific FIP (supported by WWF) 8. Indonesia Yellowfin Tuna – Indian Ocean FIP (supported by WWF)

⁸⁵ FishSource include information about the level of advance of FIP with relation to a six-stages process:

Stage 0: Scoping and Early Engagement

Stage 1: The FIP is being launched

Stage 2: The FIP has formed

Stage 3: The FIP is encouraging improvements

Stage 4: The FIP is delivering improvements in policies and/or fishing practices

Stage 5: The FIP is delivering improvements in the water

Stage 6: MSC Certification (Optional)

There are specific indicators to identify the level of advance of each FIP. The following link has more information about this tool to track the advance of FIPs:

<http://www.fishsource.com/faqs?group=Fishery+Improvement+Projects>

⁸⁶ <http://fisheryimprovementprojects.org/>

⁸⁷ <https://sites.google.com/site/fisheryimprovementprojects/>

⁸⁸ The Costa Rican platform will concentrate on the longline fishery for mahi mahi and LPF.

⁸⁹ Includes tuna, mahi mahi, billfish, sharks and other LPF (Annex 2).

⁹⁰ Includes skipjack tuna, yellowfin tuna and bigeye tuna (Annex 4).

⁹¹ Includes longline, gillnet and handline.

⁹² Implement strategic action in support of the ongoing FIP.

⁹³ Annex 7 has details of the proposed working groups.

Country	Value chain working groups	Fisheries Improvement Projects
		9. Indonesia Blue Swimming Crab FIP (supported by SFP) 10. Indonesia snapper – grouper FIP in Arafura, Aru and Timor Seas (supported by SFP)
Philippines	9. Blue swimming crab 10. Octopus	11. Blue swimming crab FIP (supported by SFP) 12. Octopus

139. The project will address this barrier by improving existing information systems and tailor them to the needs of the stakeholders (e.g., fishermen, national fisheries authorities, processors, buyers). The novel experience with seafood platforms will be documented and disseminated for the benefit of a worldwide audience. In addition, based on the practical experience with project FIPs, tools will be developed to systematically capture lessons from improvement projects and certification processes (i.e., Ecuador mahi mahi) to serve worldwide audiences.

Project concept to address key barriers

140. The project cannot address all existing barriers. Therefore, it will focus on a multi-level intervention in the seafood chain to generate learnings to be shared globally. The project will concentrate on the development of enabling conditions for the engagement of major buyers in key markets (i.e., EU, Japan, US) by facilitating practical tools, information, and opportunities to exchange knowledge and experience among peers. It will also explore, in the four participating countries, the use of public-private platforms to facilitate dialogue and collaboration among stakeholders to address sustainability issues and to motivate policy changes to sustain fisheries improvement. Complementarily, practical experience in measuring and reporting progress as well as capturing lessons will be developed in FIPs that range from industrial (i.e., tuna purse seine in Ecuador) to very small-scale fisheries (e.g., blue swimming crab in Indonesia and Philippines). In addition, information needs will be addressed by developing guidelines and protocols, and fostering synergy among existing platforms and websites. Finally, the learnings and lessons of the project will be captured and widely disseminated worldwide.

I.8. Stakeholder Analysis

141. The project involves a wide range of interested parties that integrate the value chain (Figure 1.1). The project will support fishermen in four developing countries to develop capacities and practical experience to improve fisheries management and participate in sustainable seafood value chains. The management strategies, the Sustainable Fisheries Action Plans (SFAP) and the FIPs to be developed with project support may in the short term imply some cost to the fishermen. However, in the mid-term, the same groups will benefit from improved harvest and better market access. The project will make specific provisions to ensure that fishermen are adequately represented and actively participate in the sustainable marine commodities platforms.

142. Four NGOs will contribute to the project. Two international NGOs will directly collaborate in project execution. Sustainable Fisheries Partnership, will be an Implementing Partner in charge of component 1 project side and components 3 and 4 in Costa Rica, Ecuador and the Philippines; and will collaborate with Indonesian counterparts to support implementation of components all components. SFP will (i) engage major buyers in key markets, (ii) provide technical advice, training and support to the sustainable marine commodities platforms and FIPs, and (iii) facilitate information and knowledge management. Also, the Marine Stewardship Council will implement raising awareness activities and provide training on sustainable seafood certification and MSC standards for sustainable fishing and chain of custody. In addition, the National Fisheries Institute Crab Council will continue to provide funding to support the BSC FIPs in Indonesia and the Philippines, and the Monterey Bay Aquarium will collaborate through its ongoing work in building the demand for sustainable seafood

Costa Rica

143. In Costa Rica, the sustainable marine commodities platform will focus on the longline fishery for LPF, and will integrate public and private interested parties. The fishermen are organized in four chambers and one federation⁹⁴, but there are independent fishermen that do not integrate into these organizations. The project will make provisions to ensure that independent fishermen also participate in the platform and the FIPs.

144. Fish traders, processors and exporters include local companies (i.e., MARTEC, PMT, FRUMAR, Inversiones Cruz) and the National Chamber of Exporters of Fishery Products⁹⁵ (CANEPP). Inversiones Cruz is the main exporter of shark meat to Brazil and Mexico. Processors and exporters are crucial to pull improvements in the value chain. CANEPP and individual companies have expressed interest in developing fisheries improvement projects.

145. The main wholesalers are mainly based in the US (i.e., Fortune Fish, Incredible Fish, Seasource Importers and Sea delight). Their participation is vital because through their procurement policies can contribute to align the provision of mahi mahi and LPF.

146. Retailers are both global and local. Global retailers like Walmart-International and Tesco are directly involved with the Costa Rica longline fishery. Walmart Mexico and Central America, Automercado, Mas por Menos and Maxibodegas are retail chains that could leverage improvement for the proportion of the captures oriented to the domestic market or the export of shark meat (Central America and Mexico). In addition, the integration of hotels and restaurants is important because they can promote sustainable seafood in the local market. The tourist sector is organised in three chambers⁹⁶.

147. Key institutional stakeholders for the project are MAG (the Implementing Partner in Costa Rica), which administers the fisheries sector, MINAE, which administers biodiversity, and the Ministry of the President which has facilitated the inter-sectorial dialogue to introduce a new

⁹⁴ These organizations are:

1. Cámara Nacional de la Industria Palangrera (CNIP);
2. Cámara de Pescadores de Quepos;
3. Cámara de pescadores artesanales de Puntarenas;
4. Cámara de Pescadores de Guanacaste;
5. Federación Nacional de Sector Pesquero (FENAPES)

⁹⁵ Cámara Nacional de Exportadores de Productos Pesqueros.

⁹⁶ Cámara Nacional de Turismo (CANATUR), Cámara Nacional de Ecoturismo (CANAECO), and Cámara Costarricense de Hoteles (CCH).

zoning and management scheme for tuna fisheries (FECOP, 2013). The Ministry of the President will initiate the platform by convening public and private stakeholders.

148. In addition, it will be vital the participation of:

- a. INCOPESCA, the project executing agency, which is the line agency responsible for fisheries administration and managing the Marine Areas for Responsible Fisheries (Table 1.2). Its marketing department is central, because it supports improvement of the seafood value chains and is developing a traceability system for the domestic market.
- b. The National Service for Animal Health⁹⁷ (SENASA), under MAG, is the agency responsible for food safety. It's Directorate for Food Safety of Animal Products (DIPOA⁹⁸) inspects and approves seafood processing plants and grants the sanitary certificate.
- c. The Viceministry of Water and Oceans, under MINAE, responsible for sustainable use of coastal and marine resources.
- d. The National System of Conservation Areas (SINAC), under MINAE, responsible for the administration of marine protected areas (Table 1.2).

149. The project will also involve participation of local universities and NGOs. Some NGOs, like WIDECAST, PRETOMA and Conservation International, have had campaigns against longline fishing. On the other hand, the Costa Rican Fisheries Federation (FECOP) represent the Costa Rican tourism and sport fishing sector and has promoted the ban of purse seine tuna fishing in the EEZ (FECOP, 2013).

Ecuador

150. The National Council for Fisheries Development will be the basis to initiate the work on sustainable marine commodities platforms. From there, specific working groups will be established to address the specific aspects of the industrial purse seine tuna fishery, the artisanal LPF fishery and the hake fishery (Table 1.5).

151. The key institutional stakeholders are:

- a. MAGAP (the IP in Ecuador), through VAP, will lead project activities, establish the platform and the corresponding working groups, support the FIPs, adopt the sustainable fisheries action plans and issue regulations that will be necessary to mainstream sustainability within the seafood value change and to improve the target fisheries. Also under MAGAP, INP will provide technical advice and scientific research.
- b. The Ministry of Foreign Commerce will participate in the platform and the working groups. Its involvement is vital because it promotes exports and trade, and the development of new markets for Ecuadorian products.
- c. MAE, through SGMC will participate in the platform⁹⁹. The project will not implement activities within MPAs but it will be essential to the integration of fisheries management with marine conservation.
- d. SENPLADES will be informed of project progress. This Secretary coordinates national planning and public investment, and oversees implementation of the National Development Plan. The involvement of SENPLADES will be vital to ensure that the target value chains and FIPs are integrated into national planning scheme.

⁹⁷ Servicio Nacional de Salud Animal (SENASA).

⁹⁸ Dirección de Inocuidad de Productos de Origen Animal (DIPOA).

⁹⁹ The SGMC represent the Ministry of Environment in the National Council for Fisheries Development.

152. For the work with the industrial tuna fishery, the private sector stakeholders are members of three organizations: (i) the Association of Tuna Boat Owners (ATUNEC), (ii) the National Chamber of Fisheries (CNP), and (iii) the Chamber of Tuna Processors (CEIPA). ATUNEC integrate independent tuna boat owners, CNP incorporate mainly processors that have their own tuna fleets, and CEIPA integrate most tuna processors. The tuna industry is vertically integrated, therefore these organisations include most of the producers, processors, exporters and traders related to the Ecuadorian fishery (e.g., Starkist, NIRSA, SALICA). CEIPA will be a key partner because it has developed the SEA which will be used as a basis for the industrial purse seine tuna FIP. The project will also include participation of NGOs, mainly WWF, Conservation International and the International Seafood Sustainability Foundation (ISSF). WWF has been advocating sustainable tuna fisheries in the EPO and works directly with the Ecuadorian tuna industry. Conservation International has minor direct involvement with the industrial tuna sector, but supports MPA management in Ecuador and the entire eastern tropical Pacific seascape. Finally, ISSF promotes improvement of global tuna fisheries to become MSC certified. ISSF actively work with the Ecuadorian tuna industry and participates in the meetings of the IATTC. Major players of the Ecuadorian tuna industry are members of ISSF.
153. The work with artisanal LPF fisheries will advance from the experience of the Dorado Advisory Council. The platform will include two working groups to address the specific aspects of the mahi mahi and LPF fisheries. The key private stakeholders are (i) the Fisheries Cooperatives of Manta, San Mateo and Santa Rosa (the main landing ports), (ii) the Association of Artisanal Boat Owners of Manta¹⁰⁰, and (iii) the Association of Whitefish Exporters (ASOEXPEBLA¹⁰¹), which integrates the main processors and exporters. There are independent fishermen that do not integrate the fisheries cooperatives, the project will make provisions to ensure that these fishermen also participate in the platform, the working groups and the FIPs. Major buyers from the US will be invited to participate in the platform and the fishery-specific working groups. Their participation is central because through their sourcing policies they can contribute to align the provision of mahi mahi and LPF. WWF is the main NGO to be involved. It has stimulated gear modifications to reduce bycatch, promoted MSC certification of the mahi mahi fishery, and supported the ongoing FIP. WWF also is strongly promoting rights-based management in Ecuadorian fisheries. The mahi mahi FIP is mature, therefore the project will contribute with a few strategic actions¹⁰²: (i) conduct an independent performance evaluation of the PAN-Dorado, (ii) update the research component of the PAN-Dorado, and (iii) document the learnings and lessons of the FIP and disseminate them worldwide. A new FIP will be organized with the key stakeholders, focused on the handline and longline fisheries for bigeye tuna.
154. For the work with the hake fishery, the key private stakeholders are the industrial boat owners that have fishing authorizations, the artisanal fishermen that fish hake, and the processors and exporters (i.e., COBUS and CEPROMAR). At the moment there is no market leverage from the major buyers in Rusia and Venezuela to mainstream sustainable practices within the value chain, but during project implementation SFP will conduct market intelligence research to identify opportunities for sustainable procurement of hake.

¹⁰⁰ Asociación de Armadores Artesanales de Manta.

¹⁰¹ Asociación de Exportadores de Pesca Blanca (ASOEXPEBLA).

¹⁰² Requested by VAP.

Indonesia

155. The Ministry of Marine Affairs and Fisheries is the Implementing Partner in Indonesia. They will provide project oversight to ensure effective execution of project component 2, 3 and 4. A Project Management Unit (PMU) will be established to support day-to-day project management. MMAF will also coordinate with Provincial and District/City administrations, which by Law No.22/1999 have authority over fisheries in their territories, and provide assistance to Fisheries Offices at Provincial and District / City level.
156. The national platform will integrate multi-stakeholder groups and will be led by government. The basis for the platform will be the fisheries for tuna, snapper and BSC, with working groups for two cross-cutting issues: marketing and regional initiatives. The key stakeholders are listed in Annex 7.
157. The work on tuna will be built on the basis of previous experience with tuna FIPs (Annex 1, Annex 10) and the preparation of the Indonesia National Tuna Management Plan (MMAF, 2012). The coordination with Provincial and District / City authorities will be built on the existing mechanism of an annual meeting of the Coordination Forum for Fisheries Resource Management and Utilization at provincial / regional and national levels. The project will take provisions to ensure participation of fishermen organizations and fishing and processing companies. The project will include participation of WWF, which is the main NGO that has promoted sustainable tuna fisheries and has supported the ongoing tuna FIPs. It will also be important the participation of the IPNLF which actively promotes pole and line fishing in the region.
158. The work on BSC will be structured on the basis of the ongoing FIP (Annex 1, Annex 8). The participation of the National Fisheries Institute Crab Council¹⁰³ of the US (NFI-CC) is vital because the sourcing policies of its members can pull processors and producers to comply with conservation and management measures. NFI-CC also fund BSC fisheries improvement projects in Asian countries¹⁰⁴. Another key stakeholder is the Indonesia Blue Swimming Crab Processors Association (APRI), which congregates processors and has actively participated in fisheries improvement. Both NFI-CC and APRI will continue their support to improving the BSC fishery. There are many independent fishermen that capture the BSC. Therefore, the project will take provisions to ensure their participation in the platform and FIP. SFP launched the FIP and MMAF will use the learnings of existing FIPs to recommend expansion to other fisheries and regions. The project will promote synergies between the stakeholders of the BSC value chain and the FIPs in Indonesia and The Philippines.
159. The work on snapper will also be organized on the basis of the ongoing FIP for Indonesian snapper and grouper in Arafura, Aru and Timor Sea (Annex 1, Annex 9). The project will take provisions to ensure participation of independent fishermen, the fishing and processing companies¹⁰⁵ and the major international buyers. SFP launched the FIP and MMAF will use the learnings of existing FIPs to recommend expansion to other fisheries and regions. The project will include participation of LINI¹⁰⁶, a local NGO that supports the ongoing snapper FIP.

¹⁰³ NFI-CC represent the majority of BSC importers / buyers in the US, the main export market for Asian BSC.

¹⁰⁴ i.e., Indonesia, Philippines, Sri Lanka, Thailand, and Vietnam.

¹⁰⁵ Eleven processors / exporters manage about 75% of the total snapper exports to the US market. Indonesia is the second supplier of snapper to the US market.

¹⁰⁶ www.lini.or.id.

Philippines

160. The main government stakeholders are BFAR and the LGUs:

- a. BFAR is the Implementing Partner in Philippines and will lead project activities, establish the platform and the corresponding working groups, support the FIPs, adopt the corresponding sustainable fisheries action plans, and issue fisheries regulations that will be necessary to improve the target fisheries. BFAR will also coordinate with the LGUs where target fisheries operate. NFRDI will provide technical advice and scientific research in support of improved fisheries management.
- b. The LGUs will manage fishery resources and implement activities in their territories, in close coordination with BFAR.

161. The BSC working group will be structured on the basis of the ongoing FIP (Annex 1, Annex 11) and the Philippine Blue Swimming Crab Management Plan (BSCMP) (BFAR, 2013). Key private stakeholders are the Philippine Association of Crabs Processors (PACPI) and the NFI-CC. PACPI is an industry organization which congregates most processors and exporters¹⁰⁷ (e.g., Blue Star, Central Seafood, Heron Point, PUFFI, RGE Agridev Inc., and Sigma International), and has actively participated in BSC fisheries improvement. PACPI will continue its contribution to BSCMP implementation. The participation of the NFI-CC is vital because the sourcing policies of its members (e.g., Phillips Foods, Chicken of the Sea Frozen Foods, Bumble Bee, and Carrington Foods) can pull processors and producers to comply with conservation and management measures. In addition, NFI-CC sponsor BSC FIPs in Asia. Both PACPI and NFI-CC will continue their support to improving the BSC fishery. Most fishermen and local traders are independent. Also there are independent picking plants not associated to the main exporters. The engagement of these groups is fundamental for improving the enforcement of fishery regulations (e.g., minimum capture size, ban on the capture of berried females). Therefore, the project will encourage that processors/exporters, domestic retailers and wholesalers impose product control mechanisms (e.g., minimum size) to incentive fishermen, local traders and independent picking plant to engage into improving the fishery. SFP is the NGO that launched the FIP and will continue its role of facilitator of an industry-driven FIP. The project will promote synergies between the BSC platforms and FIPs in Indonesia and The Philippines.

162. The new octopus working group will be based on the experience with the BSC fishery. The key players will be the LGUs because octopus is a municipal fishery. However, LGUs have limited capabilities and BFAR will be crucial to provide technical assistance. Fishermen, local traders, processors and exporters are not associated. Therefore, the project will take provisions to engage this groups and motivate, at least, basic organization schemes. SPF will identify major US buyers and work to (i) engage them into responsible sourcing, (ii) promote participation in the national platform, and (iii) provide technical and financial resources for the FIP.

¹⁰⁷ There are eight processors/exporters in the Philippines, six of them are members of PACPI.

PART II: STRATEGY

Project Rationale

163. Overfishing is in part the result of market pressure because of growing seafood demand. Market tools have been used to motivate that the demand focuses on sustainable sources, however sustainable seafood products are still a small share of the market (Figure 1.7). The project will contribute to the transformation of the market by mainstreaming sustainability in the value chain of important seafood commodities from developing countries, improving emerging tools such as corporate sustainable purchase policies and FIPs, motivating changes in national fisheries policy for improved fisheries administration, and generating learnings to be shared worldwide.

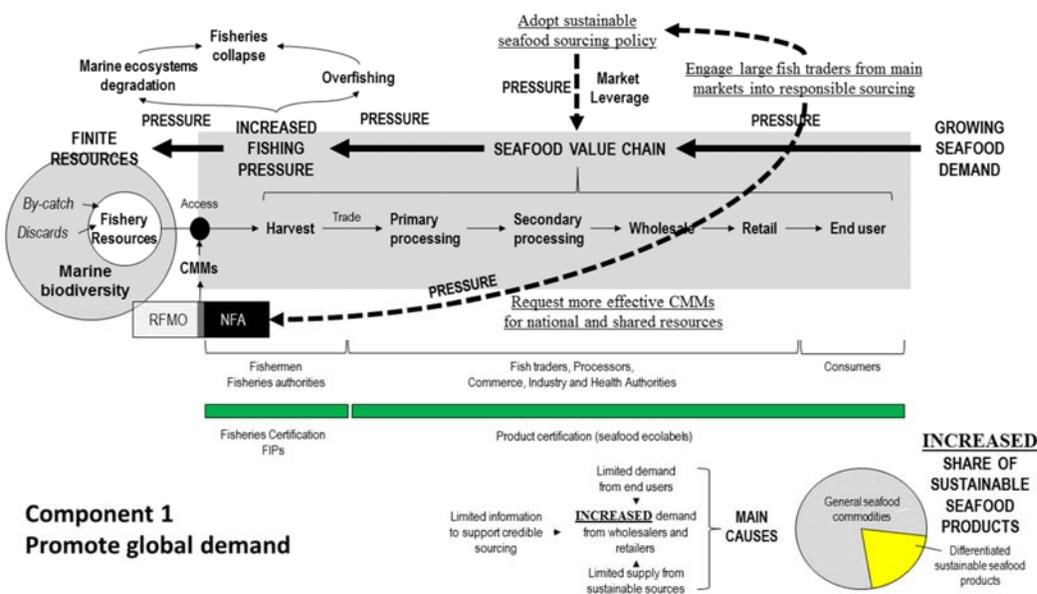


Figure 2.1. Expected influence in the baseline scenario from component 1 of the project.

164. The project consists of a multi-level intervention. Component 1 will concentrate on a major expansion in the number of large buyers and their suppliers from the main markets (EU, Japan, US) that internalize sustainable seafood sourcing. This will create market leverage to pull the seafood value chain into sustainable sourcing and disincentive IUU. In addition, the project will motivate major buyers to directly request national fisheries authorities and RFMOs the implementation of more effective conservation and management measures (Figure 2.1), particular emphasis will be given to tuna fisheries under WCPFC and IATTC. Ultimately, component 1 will focus on generating increased demand for sustainable seafood from major buyers from the EU, Japan and the US.

165. Component 2 will concentrate on establishing enabling conditions to improve the supply of sustainable seafood from developing countries. The project will implement demonstrations in Costa Rica, Ecuador, Indonesia and Philippines to generate experience that could be used in other countries. The core element of component 2 is the novel approach of developing sustainable marine commodities platforms that integrate the public and private stakeholders of the value chain with the common goal to supply sustainable seafood. It is expected that the

market leverage generated in component 1 will motivate the engagement of the value chains. On the EPO, the project will work in Costa Rica and Ecuador with the value chains for tuna, mahi mahi, and large pelagic fish, and the Ecuadorian value chain for hake. In Asia, the project will work with the Indonesian value chains for tuna, snapper and blue swimming crab, and the Filipino value chains for blue swimming crab and octopus. The platforms will motivate changes is public policy to generate an enabling environment for the operation of sustainable value chains.

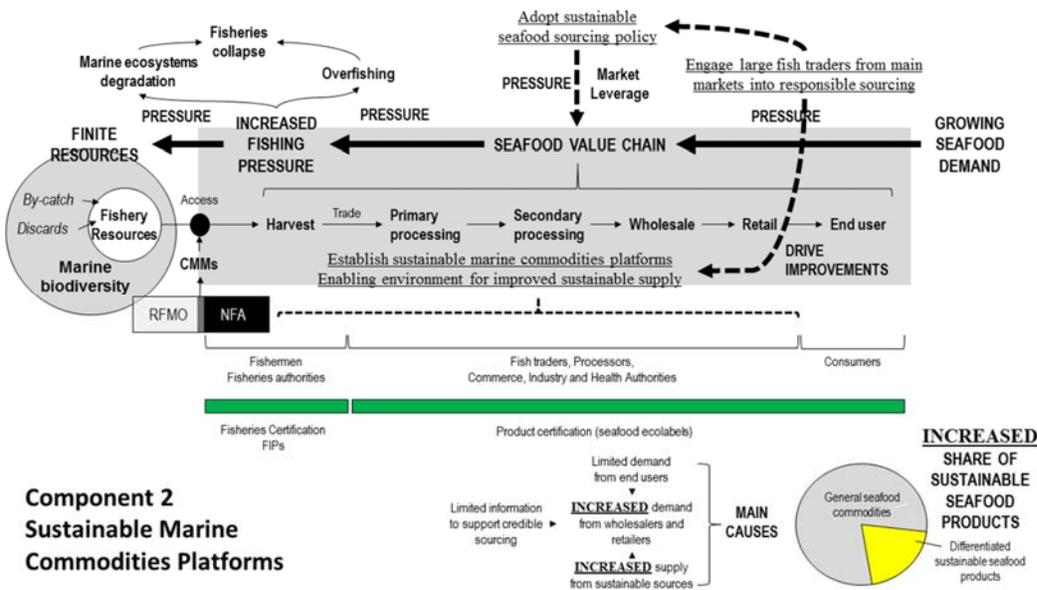


Figure 2.2. Expected influence in the baseline scenario from component 2 of the project.

166. In Component 3, the stakeholders of the platforms will develop practical experience with fisheries improvement projects (Figure 2.3). The project will work with FIPs in different stages of development, from very mature FIPs like mahi mahi in Ecuador and blue swimming crab in Indonesia and Philippines, to new endeavours like octopus in Philippines. Ongoing FIPs will be evaluated to identify key learnings and improvements for the FIP process. Complementarily, the tracking tools will be upgraded to secure that the stakeholders have credible information about FIP progress. The aim is to strengthen industry-driven FIPs in Costa Rica, Ecuador and the Philippines, and to support nationally-driven FIPs in Indonesia.
167. Finally, Component 4 will concentrate in information and knowledge sharing (Figure 2.4). A key element will be to update the existing information platforms (e.g., FishSource, FIP Directory, Metrics) to facilitate credible sourcing of sustainable seafood. Also project learnings will be disseminated to facilitate the development of sustainable marine commodities platforms and FIPs in other countries and contexts.

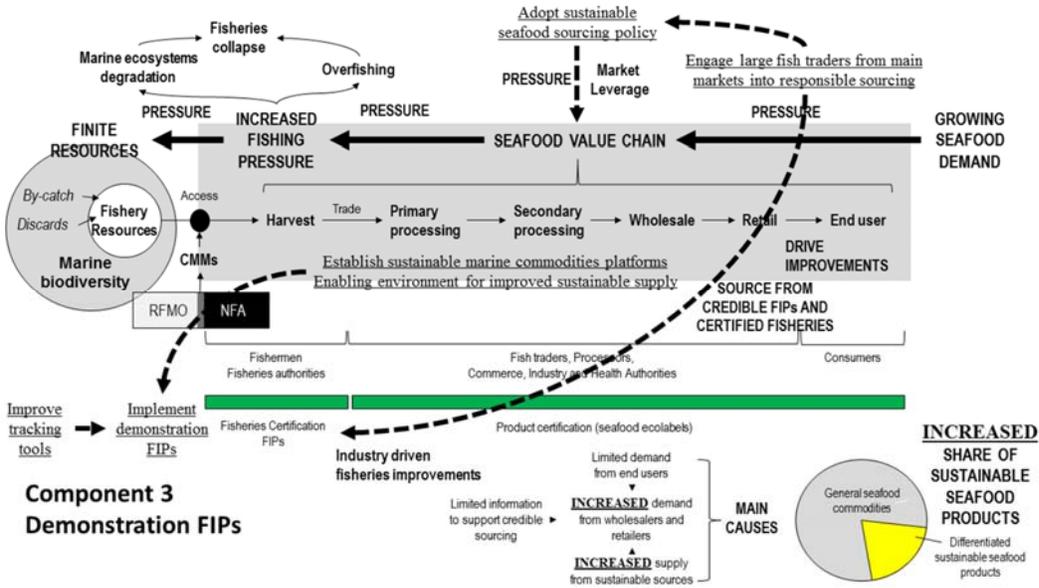


Figure 2.3. Expected influence in the baseline scenario from component 3 of the project.

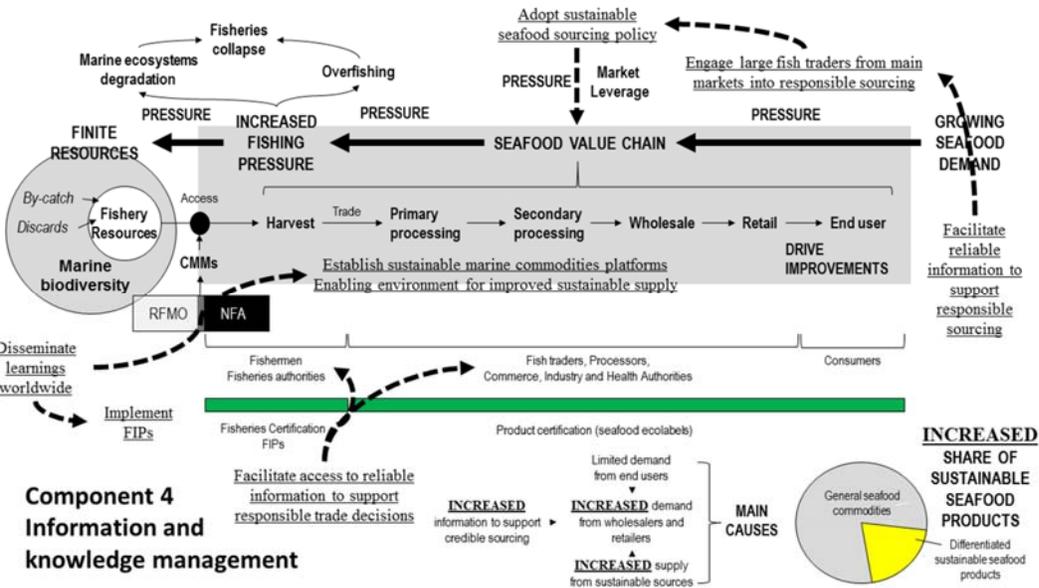


Figure 2.4. Expected influence in the baseline scenario from component 4 of the project.

Policy conformity

168. The four countries signed and ratified the Convention on Biological Diversity (Table 2.1). Conditions in Costa Rica, Ecuador, Indonesia and Philippines are highly favourable for the application of the approach proposed in this project: (i) there are government investments in fisheries management and monitoring, (ii) Governments are strongly supportive of fisheries improvement and seafood certification, (iii) the project will complement and build upon a well-developed portfolio of other projects supported by GEF.

Table 2.1. Dates of signature and ratification of the Convention on Biological Diversity.

Country	Date of signing	Date of ratification
Costa Rica	13 June 1992	26 August 1994
Ecuador	09 June 1992	23 February 1993
Indonesia	05 June 1992	23 August 1994
Philippines	12 June 1992	08 October 1993

169. In Costa Rica, the project contributes to the general objective of the National Fisheries and Aquaculture Development Plan that promotes productivity, competitiveness and the proper distribution of wealth in fishing activities. This plan was formalized in 2013, and defines the vision and key strategic directions to guide the fishing sector over the next 10 years. The project will contribute in particular to 6 of the 8 called “Structural Areas” (A. Research; B. Institutional strengthening; C. Management; D. International Management; E. Markets consolidation; F Fishery Infrastructure), and the “Oceanic fishery Operational Area” that seeks to recover and maintain populations of all species of pelagic fish, and to ensure the sustainability of this fishery resources for present and future generations, and to allow the development of responsible and competitive fishing. At present, the National Development Plan (2015-2018) for the new Administration is under development. However, it is anticipated that the project will contribute to Government’s pillar 1 “to boost economic growth and create more and better jobs”, and in particular to the objectives of Sector 3 rural and agricultural development, which includes fishery activities, and Sector 6 environment, energy and land use and marine spatial planning.
170. In Ecuador, the project contributes to Objective 10 of Ecuador’s national development plan, the “Plan Nacional del Buen Vivir” 2013-2017, “to incentive the transformation of the productive matrix”, an in particular policy 10.4 “to promote sustainable production and productivity and social inclusion and redistribution in the farming, aquaculture and fisheries sectors”.
171. In Indonesia, the project contributes to priorities 5 and 9 of Indonesia Medium-Term Development Plan (RPJMN) 2010-2014. In Priority 5, food resilience, in particular the fishery sector sub section 4, numbers 23 to 27 to strengthen the fishing industry by providing good environment for investment, improve production, processing and marketing aspects, as well as the facility for fishing industry. In Priority 9, “environment and disaster management”, with priority theme is to conserve and benefit the natural resources to support the economic growth and people’s welfare, with better disaster management to anticipate climate change, an in

particular section on promoting effective coordination among national institutions and relevant stakeholders and effective policy in managing coastal and marine ecosystem.

172. In Philippines, the project contributes to Chapter 4 of the Philippine Development Plan (2011-2016) - Competitive and Sustainable Agriculture and Fisheries Sector. In particular, Sector Outcome A: productivity in Agriculture and Fisheries sector increased, where strategies include increased investments in Research, Development and Extension (RD&E) through updated databases and information systems, strengthening of extension services through complementation of national, local and private sector entities. The project will also contribute to Sector Outcome B: forward linkage with the Industry and Services Sectors increased; wherein strategies will be implemented to promote value-adding of Agriculture and Fisheries products and agribusiness development; expanding existing markets and exploring new markets and linking farmers and fisherfolks to value-chains and commodity industry clusters.

Project structure

173. The objective of the project is to mainstream sustainability into seafood supply chains through market and policy mechanisms and partnerships with the overarching goal of rebuilding and protecting fish stocks and livelihoods. This will contribute to mitigate overfishing and degradation of marine ecosystems. To do this, there will be a multilevel intervention of the seafood value chains of target fisheries in four countries. This in turn will generate knowledge and learnings that will be useful worldwide.

174. The project will be executed in 50 months. The entire project intervention will concentrate in four years, and the final two months will be used for project closure.

175. This project will generate six outcomes:

Outcome 1. Increased global market demand for sustainable certified marine commodities and associated reduction of IUU fisheries.

Outcome 2. Increased pressure on RFMOs and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains.

Outcome 3. Increased synergy and involvement of national and international players (i.e., retailers, traders, processors, fishermen and fisheries authorities) in sustainable seafood value chains.

Outcome 4. Increased sustainability scores of marine commodities purchased from project fisheries.

Outcome 5. Reliable and verifiable information of target marine commodities is publicly available and is used by value chain stakeholders for decision making and engagement in fishery improvement projects.

Outcome 6. Better knowledge management on mainstreaming sustainability into seafood value chains

176. Activities are arranged into four closely-integrated and interdependent components to deliver the set of interrelated outputs that collectively meet this challenge (Figure 2.5).

177. This is an inter-regional project, the components, outcomes and outputs described below will be delivered in collaboration among the five Implementing Partners -- MAG in Costa Rica, MAGAP in Ecuador, MMAF in Indonesia, BFAR in Philippines and SFP as the Implementing Partner responsible for the international components and FIPs in Costa Rica, Ecuador and the Philippines. There will be an International Project Coordination Unit (IPCU) that will oversee the entire project. The members of the IPCU will be contracted with GEF resources.

Component 1. Promotion of global demand for sustainable marine commodities

178. This is a global component focused on increasing the number of major seafood buyers from the main international markets (i.e., EU, Japan, US) that demand and purchase seafood from sustainable sources (i.e., certified fisheries or credible FIPs). This in turn will contribute to increase the global demand for sustainable marine commodities. In August 2014 there were 270 seafood buyers (e.g., retailers, wholesalers, fish traders) that had internalised sustainable seafood purchasing policies (e.g., McDonalds, Tesco, Walmart). The project will engage at least 15 additional major buyers, with particular emphasis in buyers of tuna, sharks, mahi mahi, large pelagic fish, snapper, blue swimming crab, and octopus.

179. This component will be performed by SFP in coordination with the local fisheries authorities of the four countries, and with national project management teams. A Market Engagement Specialist will oversee and facilitate the activities of this component. This specialist will be contracted by SFP with counterpart resources. In addition, MSC will support market engagement through their ongoing programmes as in-kind co-financing.

Outcome 1. Increased global market demand for sustainable certified marine commodities and associated reduction of IUU fisheries.

180. To achieve this outcome the following outputs will be produced through the following activities:

Output 1.1. Improved seafood purchasing policies and targets to increase sourcing of certified goods of 15 major supply chain partners (retail and buyers) from EU, Japan and US which are following sustainability guidelines.

181. This is a delicate matter because it addresses corporate policies and decisions of seafood companies. SFP will work with existing partners (e.g., Walmart, ASDA, Tesco, Sainsbury's, McDonald's, Sobeys, and Publix) to strengthen their sourcing policies and purchase targets using the toolkit for sustainable seafood sourcing (see output 1.2). Though direct communication major buyers will be informed and "educated" into responsible sourcing. Major buyers will be approached through (1) seafood fairs¹⁰⁸ and meetings (e.g., Seafood Expo) in major markets, (2) sector group roundtables, (3) supplier roundtables, and (4) face to face meetings with major buyers (wholesale, retail) and processors. The intended target is that at least 15 major supply partners, mainly focused on the project target fisheries, strengthen their existing sourcing policies and increase their demand for sustainable seafood products.

¹⁰⁸ Information about responsible seafood sourcing will be presented and distribute in major events such as Seafood Expo Global, Seafood Expo North America, Seafood Expo Asia, and Boston Seafood Festival.

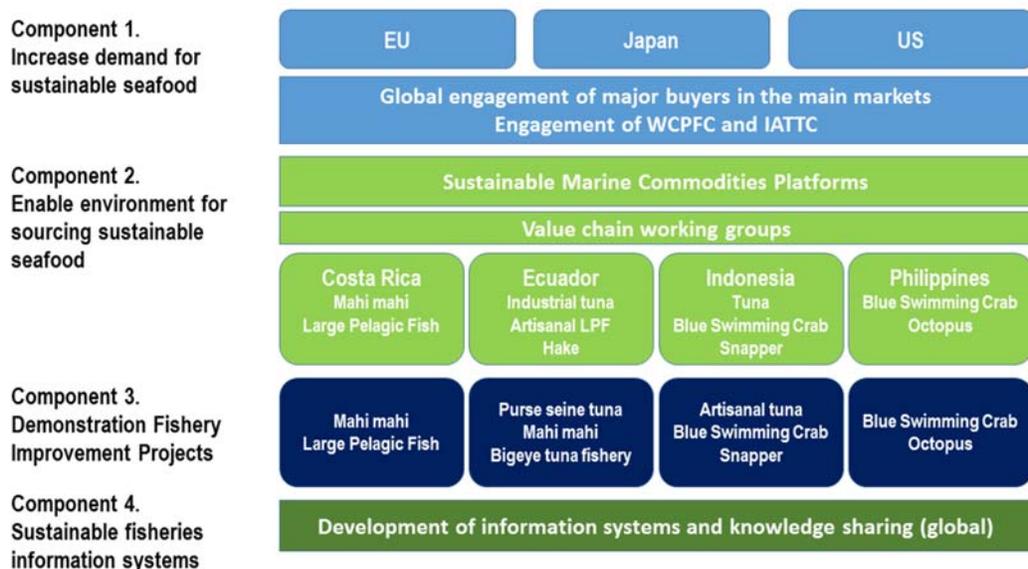


Figure 2.5. Project components and elements.

Output 1.2. Sustainable seafood sourcing policy guidance toolkit for retailers, wholesale buyers and processors.

182. Based on current experience and knowledge, a toolkit on sustainable seafood sourcing will be prepared for retailers, wholesalers and processors. The toolkit will provide guidance for the preparation and implementation of the corporate responsible sourcing policy. However, it is acknowledged that companies, while using these common resources and tools, will adapt them to their particular situation and corporate culture.

183. Key elements of the seafood sourcing policy will be:

- To apply the FAO Code of Conduct for Responsible Fisheries
- To adopt a model of continuous improvement (e.g., create and implement work plans to improve source fisheries rather than avoiding sourcing from them).
- To engage peers in supply chain in continuous improvement efforts.
- To include sustainability covenants and publish the policy online.
- To use ratings and information systems in order to measure and monitor progress in responsible sourcing.
- To request that the seafood supply sector implement traceability schemes and avoid seafood from illegal sources (IUU) and seafood fraud.
- To prefer certified seafood products or products from reliable FIPs.
- To consider the initial negative economic impact to fishermen from poorly managed fisheries and to incorporate positive incentives to motivate their engagement into responsible fishing.
- To include considerations of ecosystem-based management, ENSO and climate change.

184. A draft will be prepared by SFP, submitted to a consultation process with key stakeholders, and finally published and widely distributed in electronic format. The toolkit will be available

in, at least, English, Japanese and Spanish. All the activities of this output will be funded with GEF resources.

Output 1.3. At least 15 new supply chain partners from EU, Japan and US adopt purchase policies to incentivize sourcing only from fishermen and traders who provide sustainable seafood.

185. Market intelligence will be used to identify potential candidates, followed by a direct approach to provide information on responsible sourcing and present the toolkit. SFP will engage new partners through major seafood events, sector groups roundtables (tuna, BSC, LPF, whitefish), supplier roundtables, and face to face meetings with major buyers (wholesale, retail) and processors. GEF funds will be used to finance the Japan engagement specialist.

Outcome 2. Increased pressure on RFMOs and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains.

186. To achieve this outcome the following outputs will be produced through the following activities:

Output 2.1. At least four position statements of major international seafood buyers or their suppliers in support of more effective CMMs for tuna, sharks and LPF in IATTC and WCPFC.

187. SFP will establish long-term communication channels with major buyers of tuna, sharks and large pelagic fish from the Pacific Ocean. The project team will follow the array of meetings, processes and decisions of IATTC and WCPFC. This information will be compiled, systematised, and provided to major buyers to increase awareness and motivate interest in sustainable sourcing. There will be strong advocacy work with the major buyers to increase pressure on the RFMOs and their Contracting Parties to adopt science-based practices and conservation and management measures. The work will be closely coordinated with other international NGOs that also advocate sustainable tuna fisheries in the Pacific Ocean (e.g., ISSF, WWF), the UNDP/FAO/GEF project on Pacific Oceanic Fisheries Management¹⁰⁹ (GEF-ID 4746), and the FAO/GEF project Sustainable Management of Tuna Fisheries and Biodiversity Conservation in the Areas Beyond National Jurisdiction (GEF-ID 4581).

188. The target is that, during the 50 months of the project, major buyers issue at least four position statements requesting IATTC and WCPFC to adopt harvest control rules, reduce excess fishing capacity, regulate the use of FADs, improve management of bycatch, and develop management strategies for other pelagic fish that are exploited in the Pacific Ocean.

Output 2.2. Draft regional management rules for mahi mahi presented to IATTC Scientific Advisory Committee

189. The lack of regional management has been a major constraint for the MSC certification of the mahi mahi fishery in the EPO. Currently there are ongoing mahi mahi FIPs in Ecuador, Panama and Peru. Therefore, GEF resources will be used to support the IATTC process to perform a regional stock assessment and to develop regional management rules for mahi mahi. The first technical meeting of this process will be held in Manta (Ecuador) on October

¹⁰⁹ The full Project name is "Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS)". This is a second part of the Pacific Islands Oceanic Fisheries Management Project, which was implemented by UNDP with GEF funding.

2014¹¹⁰; the process is expected to last at least three years and will require a number of additional workshops.

190. The project will support the participation of Costa Rican and Ecuadorian delegations in the technical meetings, including groundwork (i.e., preparatory meetings¹¹¹, travel expenses, technical advice). In addition, GEF funds will be available to co-sponsor regional technical meetings in Costa Rica and Ecuador¹¹². The results of the meetings and the advances will be summarised and provided to major mahi mahi retailers, buyers and processors in Costa Rica, Ecuador and the US to increase awareness and motivate support for sound management rules. Also, SFP will maintain permanent education work with major US buyers and retailers. It is expected that a draft document with management rules will be ready by year 3, to be analysed by the IATTC Scientific Advisory Committee¹¹³. The project cannot guarantee that the Commission will issue management decisions for mahi mahi until year 4.

Component 2. Enabling environments for sustainable marine commodities supply chains

191. This component will be executed locally. It is focused on the design and development of sustainable marine commodities platforms in Costa Rica, Ecuador, Indonesia and Philippines. The purpose of the platforms is to convene and coordinate the public and private sectors to promote sustainable production of specific marine commodities and changes in the policy context. The platforms will have fishery specific working groups in each country (Figure 2.5) with technical assistance from the UNDP Green Commodities Programme.

192. A Global Fisheries Platform Advisor will oversee and guide the activities of this component. This specialist will be contracted by UNDP with GEF resources.

Outcome 3. Increased synergy and involvement of national and international players (i.e., retailers, traders, processors, fishermen and fisheries authorities) in sustainable seafood value chains

193. To achieve this outcome the following outputs will be produced through the following activities:

Output 3.1. National sustainable marine commodities platforms established in 4 countries to assist suppliers and buyers to coordinate planning improvements in the environmental performance of target supply chains.

194. In Indonesia, there will be four working groups based on three commodities (Tuna, Snapper and Blue Swimming Crab) and cross-cutting issues. The project will take specific provisions to ensure that non-associated fishermen are adequately represented and actively participate in the national platform activities.

195. In each country a National Platform Coordinator and a Partnership Advisor (in Indonesia, a Marine Commodities Supply Chain Advisor), both contracted by each Implementing Partner,

¹¹⁰ <https://www.iattc.org/Meetings/Meetings2014/OCT/1stTechnicalMeetingDoradoENG.htm>

¹¹¹ These could be meetings of public and private stakeholders on each country and on-line meetings between Costa Rican and Ecuadorian delegations.

¹¹² The IPC will ensure that all events sponsored by the project comply with the UN guidelines for green meetings and sustainable events (UNEP, 2009; UNEP, 2012).

¹¹³ The Scientific Advisory Committee was established by the Antigua Convention (article XI), and is composed of one representative designated by each member of the Commission.

will facilitate the design and development of the platforms. These posts will be funded with GEF resources during the first three years of the project. It is expected that afterwards the management of the platforms will be institutionalised in each country (except in the case of Indonesia, which plans to keep these positions for the fourth year as more activities will be implemented nationally).

196. With GEF resources in-depth sector analyses will be prepared in each country¹¹⁴. These analyses will be the basis for the design of the platforms. The specific stakeholders will be approached and invited to integrate the platforms. The project will take specific provisions to ensure that non-associated fishermen are adequately represented and actively participate in the process. There will be information meetings and training workshops¹¹⁵. In each country there will be at least the following training workshops: (i) sustainable seafood value chains, (ii) sustainable seafood certification, (iii) introduction to fisheries improvement projects, (iv) seafood traceability systems, (v) measures to deter IUU and seafood fraud, (vi) MSC standards for sustainable fishing and chain of custody, (vii) effects of climate change on fisheries, and (viii) effects of ENSO on fisheries. Each platform will have fishery specific working groups:

- Costa Rica: Mahi mahi and large pelagic fish.
- Ecuador: Industrial fisheries for tuna, artisanal fisheries for large pelagic fish, and hake.
- Indonesia: Tuna, blue swimming crab, and snapper.
- Philippines: Blue swimming crab and octopus.

197. With assistance of the project the stakeholders of each platform will prepare and adopt a five years strategic plan. Key elements to address during the preparation phase will be (i) the possible negative initial impacts of entering into responsible fishing and sourcing, (ii) the probable effects of ENSO and climate change on the fisheries, and (iii) sustaining the platform in the long-term¹¹⁶. The project will provide initial support during the start-up (e.g., market information, meetings with international major buyers, training). The project will monitor and assess the development of each platform. The learnings will be documented and disseminated (see component 4).

Table 2.2. Sustainable fisheries action plans to be prepared and the corresponding source of funding.

Country	SFAP funded by GEF	SFAP funded by national counterpart
Costa Rica	Large pelagic fish.	None
Ecuador	Mahi mahi ¹¹⁷	Hake

¹¹⁴ These analyses will include the identification of the initial negative impacts to fishermen and the value chain that might be generated by embarking into responsible fishing (e.g., reduction of income or landings).

¹¹⁵ The IPC will ensure that all meetings and training events comply with the UN guidelines for green meetings and sustainable events.

¹¹⁶ The platform will require, at a minimum, a facilitator / coordinator and funding for hosting meetings and technical advisory services.

¹¹⁷ Update of existing plan (i.e., PAN-Dorado).

	Purse seine tuna fishery	
	Bigeye tuna artisanal fishery	
Indonesia	Snapper	Artisanal tuna fisheries ¹¹⁸
	Blue swimming crab.	
Philippines	Octopus.	Blue swimming crab ¹¹⁹

Output 3.2. Sustainable fisheries action plans (SFAP) in place for best practices in fish harvesting in at least 9 fisheries

198. The project will facilitate the preparation of 10 sustainable fisheries action plans that will be officially adopted by the corresponding NFA. Seven plans will be prepared with GEF resources (Table 2.2). Each action plan will be prepared by a working group formed by stakeholders of the corresponding platform¹²⁰. In each case, a specialist will be hired to prepare a situation analysis of the fishery and the corresponding value chain¹²¹. Based on this diagnostic a participatory planning process will be developed to prepare the SFAP. The plan will be based on the FAO Code of Conduct for Responsible Fisheries¹²² (FAO, 2011) and will implement the precautionary approach to fisheries management. Ecuador has extensive experience in the preparation and implementation of SFAPs that could be used for South-South Cooperation.
199. The plan will be validated with the stakeholders and finally adopted by the NFA¹²³. Implementation, in all cases, will be funded with counterpart resources.
200. Ecuador, Indonesia and Philippines already have action plans for mahi mahi (SRP, 2011), tuna (MMAF, 2012) and BSC (BFAR, 2013). In these cases, the project will invest GEF resources to have an external independent performance evaluation of each plan and, based on these results, to update the corresponding instrument. The project, using GEF resources, will monitor and assess the implementation of each SFAP. The learnings will be documented and disseminated (see component 4).

Component 3. Demonstration fisheries improvement projects (FIP)

201. This component will focus on the design and implementation of FIPs to allow platform stakeholders to gain practical experience in fisheries improvement and to increase the supply of sustainable seafood products. In addition, experience and learnings of FIPs will be documented and disseminated worldwide.
202. This component will be executed by SFP (which has specialised expertise on FIPs and market engagement) in coordination with the local fisheries authorities and the corresponding SMCP, in the case of Costa Rica, Ecuador and the Philippines. In the case of Indonesia, this

¹¹⁸ Update of the corresponding part of the existing plan (i.e., Indonesia National Tuna Management Plan).

¹¹⁹ Update of existing plan (i.e., The Philippine Blue Swimming Crab Management Plan).

¹²⁰ In the case of Indonesia, the Snapper and BSC working groups will develop Snapper and BSC action plans as well as management unit of BSC to manage harvest control rules.

¹²¹ The situation analysis must include (i) the probable negative initial impacts to be generated by embarking into responsible fishing and sourcing, (ii) the known effects of ENSO on the fishery, and (iii) the foreseeable effects of climate change.

¹²² The Code of Conduct for Responsible Fisheries was adopted on 31 October 1995 by the FAO Conference.

¹²³ The SFAPs will be public and accessible through the grid of websites of the project.

component will be executed by the project team under direct supervision of the MMAF. A Fisheries Improvement Specialist will oversee and facilitate the activities of this component. This specialist will be contracted by this Implementing Partner with counterpart resources for three of the participating countries (Ecuador, Costa Rica and the Philippines). In Indonesia, three FIP Facilitators will be hired to oversee the activities for each of the FIPs in the country. In addition, MSC will have a subcontract to provide training on fisheries certification to fisheries officials, fishermen, fish traders and processors in each of the four countries.

203. In Costa Rica, Ecuador and the Philippines, a National FIP Coordinator (contracted by SFP) will facilitate the design and development of the FIPs. These posts will be funded with GEF resources during the first three years of the project. It is expected that afterwards the management of the FIPs will be industry driven. In the case of Indonesia, the FIP facilitators (contracted by UNDP using GEF resources) will also undertake these roles, for four years.

Outcome 4. Increased sustainability scores of marine commodities purchased from project fisheries.

204. To achieve this outcome the following outputs will be produced through the following activities:

Output 4.1. Updated guidelines for developing responsible FIPs and progress classification instrument (tracking tool).

205. The existing instruments used to measure the advance of FIPs have major limitations and need to be updated. For example, the Filipino BSC fishery is currently rated “A” exceptional progress, but there has been minor advance in implementing appropriate management measures.

206. In the first year of the project, using GEF resources the existing instruments will be evaluated to clearly identify its limitations. Then an updated version of the guidelines and tracking tool will be prepared and tested¹²⁴. The draft instruments will be submitted to a consultation process with key stakeholders, and finally published and widely distributed in electronic format. The updated guidelines and tracking tool will be available in, at least, English and Spanish.

¹²⁴ The PHI BSC fishery will be one of the FIPs used for validation.

Output 4.2. Implement at least 10 FIPs amongst the four countries¹²⁵.

207. The project will work with 10 FIPs (Figure 2.5). In the case of the five ongoing FIPs¹²⁶, GEF resources will be invested to perform external independent evaluations and to update the FIP plans¹²⁷¹²⁸. A common methodology for assessing the socio-economic performance of a fishery, focusing on the livelihoods of fishers and wellbeing of fishing communities, is being developed by SFP and will be used by the project to guide a standardized National FIP Coordinators implementation of this analysis across all project fisheries.

208. In the case of the five new FIPs¹²⁹, the project will facilitate that the value chain stakeholders (including major buyers) establish an agreement to implement the improvement project. The agreement will indicate the responsibilities of the parties, as well as the expected results and performance indicators. Then, using GEF resources, a MSC pre-assessment and a FishSource profile will be prepared. Finally, the FIP plan¹³⁰ will be prepared and adopted by the stakeholders. The FIP plan will be publicly available.

209. In all cases, during the entire project, FIP stakeholders will receive training and technical support to enable an improved understanding of FIPs and the certification process. The project will take specific provisions to ensure that non-associated fishermen, fish traders and processors are adequately represented and actively participate in the FIP process. Training

¹²⁵ In Indonesia, the FIP will be organised per product. The work on Tuna will be built based on previous experiences. As Indonesia has no MSC certified fisheries, but there are on going FIPs and several institutions facilitate the process to get the MSC, therefore this project will contribute to assess the bottleneck and challenges in improving the FIPs. The project will invite the participation of organisations who have on going FIPs to be assessed. The project will also contribute to address bait problem for pole and line fishing method. As Pole and line fishing method is one possible fishery to get MSC, however no tuna from pole and line is certified by MSC. One reason is that MSC requires fisheries management in place which beyond individual institution intervention, including bait management which has been major problem in pole and line fishing method. More integrated approach is needed, therefore this project will address this issue as one step to enter the MSC. The study will be conducted by P4KSI as the agency for marine research center with support from NGOs such as WWF Indonesia, MdPI, and SFP.

The work on Snapper will be based on maintaining the health of fish stock and fishery management. The project will support the fishery management by conducting a study on harvest control rule on snapper by P4KSI-MMAF, Marine Research Center in the MMAF. The study will support to enter MSC and the result of the study will recommend on the Rules and management plan of Snapper. Possible locations are: Banggai, Arafura-Timor as these two areas are the main fishing grounds for snapper.

Similarly, BSC will conduct a study on harvest control rule on Snapper by P4KSI, marine Research Center of MMAF. The study will support to enter MSC certification. Possible locations are: Lampung, North Java and Kendari. The result of the study will recommend on the Rules and management plan of Snapper. This project will ensure the participation of relevant stakeholders and the results benefit wider stakeholder. With all of these, finally, the number of MSC certified fisheries is expected to increase during the project.

¹²⁶ The ongoing FIPs are: ECU - mahi mahi, IDN – tuna, snapper and BSC, PHI – BSC.

¹²⁷ The updated plans will include provisions to address the probable social and economic costs for fishermen that adopt responsible fishing. A methodology for assessing the socio-economic performance of a fishery, focusing on the livelihoods of fishers and wellbeing of fishing communities, is being developed by SFP. An initial experimental version of this methodology will be used in the first three or four months of the project to create a very preliminary socio-economic baseline for the targeted fisheries, which will then be used to help assess the socio-economic impact of fishery improvement efforts and management policies on fishers and whether mitigation strategies should be developed to address this impact.

¹²⁸ As Indonesia will work under a different logic, it will not create/update the FIP plans as described here, but FIP facilitators will prepare alternative planning instruments based on the existing FIP plans. Performance evaluations will be carried out as in the other countries in years 2 and 4.

¹²⁹ The new FIPs to be designed and launched are: CRI – tuna and mahi mahi, ECU – BET and PST, PHI – octopus.

¹³⁰ The FIP plan will be based on the FAO Code of Conduct for Responsible Fisheries and will apply the precautionary approach to fisheries management. The plan will also include provisions to address the trade-offs faced by fishermen when adopting responsible fishing (e.g., initial reduction of catch and income). The FIP plan will be public and accessible through the grid of websites of the project.

on the MSC standards for fisheries and chain of custody will be provided by the Marine Stewardship Council under a subcontract with SFP. Training on FIPs and the updated guidelines and tracking tool will be provided by Sustainable Fisheries Partnership¹³¹.

210. GEF resources will be invested for launching the new FIPs, however it is expected that the improvement projects will become fully funded by the industry. SFP will advocate to the major buyers of the target fisheries to invest in FIP implementation.
211. The project will monitor FIP implementation and prepare progress reports that will be publicly available. The sustainability scores of the FIPs are expected to increase during the project. It is predictable that by year 3 at least three FIPs are rated A, using the SFP progress rating system, and that by the end of the project at least eight FIPs are rated A. In addition the FishSource scores of the fisheries are expected to increase¹³². It is estimated that by year 3 at least 50% of the target fisheries have increased their scores and that by the end of the project at least 80% fisheries have increased their scores.
212. Finally, the number of MSC certified fisheries is expected to increase during the project. At the moment none of the project target fisheries have MSC certification (Annex 1). The Ecuadorian mahi mahi FIP is very advanced and is it expected to enter MSC full assessment in 2015. However, the major limitation for certification is the lack of a regional management system (see output 2.2). For those fisheries interested in MSC certification, the Marine Stewardship Council will provide support to enter fishery assessment. It is estimated that by year 3 at least 2 fisheries will have entered the MSC process¹³³ and that by the end of the project an additional fishery will have entered the process.

Component 4. Sustainable marine commodities information and knowledge management systems

213. This component will concentrate on (1) facilitating access to reliable information to value chain stakeholders in support of sound decision making, and (2) capturing, documenting and disseminating the learnings of the project
214. This is an international component which will be executed by SFP¹³⁴, which has specialised expertise on fisheries information management, in coordination with local fisheries authorities and value chain stakeholders, in Costa Rica, Ecuador and the Philippines. In Indonesia, this component will be managed by the PMU. A Communication Specialist and a Monitoring & Reporting Specialist will be hired to oversee and facilitate the activities of this component. This specialist will be contracted by this Implementing Partner, with GEF resources.
215. The project will use a grid of platforms to facilitate information access to value chain stakeholders. The grid is composed by FishSource, Metrics, FIP Directory, MSC website, GCP website, MMAF website, the project website and IW LEARN. The project website will have individual webpages for each SMCP and their corresponding fishery-specific working groups.

¹³¹The project will ensure that all meetings and workshop comply with the UN guidelines for green meetings and events.

¹³² The baseline FishSource scores will calculated at the beginning of year 1.

¹³³ Meaning that the fishery has either (i) entered the process, (ii) is undergoing the process, or (iii) has been certified.

¹³⁴ Except in the case of Indonesia.

Outcome 5. Reliable and verifiable information of target marine commodities is publically available and is used by value chain stakeholders for decision making and engagement in fishery improvement projects.

216. To achieve this outcome the following outputs will be produced through the following activities:

Output 5.1. Profiles of all project target fisheries are developed and maintained in fisheries sustainability databases.

217. SFP has profiles of about 1,800 fisheries in its database, this information is publicly accessible through FishSource. Metrics is a private system used by companies to support their purchasing decisions and track their targets. For this project, SFP will run a gap analysis to identify information needs for the target fisheries. In the case of Indonesia, the PMU team will support development of the profiles and share to Fishsource in accordance to the FishSource standard. Profiles will be prepared and published on FishSource. In addition, SFP will install Metric on each company that participates in the project FIPs and train the users to make the best use of the tool.

218. The fishery profiles, and the corresponding FishSource scores and FIP ratings (using the updated progress classification instrument, see output 4.1), will be frequently updated. The level of satisfaction and quality level of the profiles will be measured as part of a continuous improvement strategy.

Output 5.2. Scientific working groups for key commodities (BSC, mahi mahi, BET, ITF, snapper, octopus) are created, SFP coordinators appointed, and work plans implemented in support of expert networks.

219. SFP has successfully created sector-based scientific working groups to carry out profile development for salmon and shrimp and will use the same approach in the present project. Also, SFP has learned that any database useful for and trusted by both researchers and industry cannot be sustained through voluntary (free of charge) contributions. It requires funding the right experts to compile and manage the data. Therefore, GEF funds will be invested to establish the seven working groups corresponding to the target fisheries and sustain their work until the fourth year of the project. Afterwards, the scientific working groups will be funded with counterpart funds. In the case of Indonesia, the three targeted fisheries will work under National Fisheries Platform, managed by PMU team.

Output 5.3. Information systems tailored to help industry stakeholders adopt proper procurement policies, provide them with advice on improvement actions in problematic fisheries, and track improvements being made toward set goals (i.e., FishSource, FIP Directory, project website).

220. SFP will identify specific information needs of stakeholders of the target fisheries in Costa Rica, Ecuador and Philippines. Three audiences will be evaluated: scientists, industry and general audience. Based on the former results, the protocols for information gathering, validation and publication will be adjusted to tailor information to the specific needs and formats required by the stakeholders. Then, the protocols will be implemented to facilitate relevant and reliable information through FishSource, project website and FIP Directory. Using GEF resources the fishery profiles and FIP information of the target fisheries will be translated to Bahasa Indonesia and Spanish to facilitate access to local audiences. Indonesia PMU

Team will ensure development of information system in coordination with global project team and partners.

Outcome 6. Better knowledge management on mainstreaming sustainability into seafood value chains.

Output 6.1. Best practices documented and experiences shared with other projects to incentivize change in other fisheries through IW:LEARN and project website.

221. All the activities of this output will be funded with GEF resources. In the first trimester of year 1 a bilingual (i.e., English and Spanish) project website will be established. The project website will have linkages and interaction with the following online platforms: IW:LEARN, Green Commodities Programme, Sustainable Fisheries Partnership, Marine Stewardship Council, FIP Directory, the Costa Rican Institute for Fisheries and Aquaculture, the Viceministry of Aquaculture and Fisheries of Ecuador, the Ministry of Marine Affairs and Fisheries of Indonesia, and the Bureau of Fisheries and Aquatic Resources of Philippines. The project website will have specific webpages for each SMCP and their corresponding working groups.

222. The project learnings and best practices will be documented and distilled in years 2 and 4 following the strategy¹³⁵ outlined in Figure 2.6. In the last trimester of year 2, national two-day workshops will be organised in each country. The stakeholders of the SMCPs and FIPs will participate in these workshops to document advances, best practices and lessons. The memoirs of the workshops will be translated to English and Spanish for the benefit of a wider audience and published in the project website. Then, the results of the national workshops will be presented in one-day online regional workshops (i.e., America and Asia). These workshops will allow the exchange of experience among stakeholders and to identify commonalities in best practices and lessons. The memoirs of these workshops will also be translated to English and Spanish and published in the project website. Also, a one-day international online workshop will be held to present regional findings, exchange experiences and document best practices and lessons. This workshop will have simultaneous translation to facilitate participation of all the stakeholders. The memoirs of the international workshop will be in English, with an extended summary in Spanish to facilitate access to local audiences. Finally, one page communication briefs will be prepared, in Spanish and English, to share specific best practices and lessons. The briefs will be in electronic format and will be widely disseminated. In addition, it will be translated in Bahasa Indonesia and printed for selected target beneficiaries.

223. In the last trimester of year 2 a mid-term external evaluation will provide additional insights about the learnings of the project.

224. In the third trimester of year 4 a similar step-wise process will be conducted to document the project learnings.

225. Finally, in the last trimester of year 4, based on the results of the strategy (Figure 2.6), the project team will prepare three electronic publications documenting the experience, best practices and lessons in the fields of sustainable seafood value chains, SMCP, and FIPs. The proposed titles are:

¹³⁵ The IPC will ensure that all meetings and workshops comply with the UN guidelines for green meetings and sustainable events.

- a. The role of the wholesale and retail sector in promoting sustainable seafood value chains.
 - b. Sustainable Marine Commodities Platforms: lessons from America and Asia.
 - c. Fisheries Improvement Projects: lessons from America and Asia.
226. The publications will be in English with extended summaries in Bahasa Indonesia, Spanish and Tagalog. Complementarily, one page communication briefs will be prepared to share specific best practices and key lessons. The briefs will also be in the three languages and will be widely distributed worldwide.
227. The workshop memoirs, evaluation reports and publications will be publically available through a network of platforms (Figure 2.7).
228. The International Project Coordinator will present project learnings in the International Water Conferences of 2015 and 2017 (i.e., IWC8 and IWC9). With GEF resources the project will cover the participation of one delegate from each country to these conferences.

Project Indicators, Risks and Assumptions

229. The project has established a set of indicators that are detailed in the Section II of the present document. The expected long-term global impact will be a reduction in the number of overfished marine stocks caused by a major swift in the value chains towards sustainable seafood. In the mid-term this change could be seen in an increase of certified fisheries, the main proxy is MSC¹³⁶ certified landings.
230. Most indicators are outcome indicators, but measuring them is a complex exercise. Outcomes 5 and 6 have mainly process indicators also because measuring improvements in information access and knowledge management is difficult.
231. The project risk table was revised during project preparation. The updated Risk Matrix is attached below (Table 2.3).

Incremental Reasoning and Expected Global, National and Local Benefits

232. This project will result in global environmental benefits in the form of improved management of finite fishery resources. The project will contribute to a transformation of the market and to pull the seafood value chain into responsible sourcing. Positive market leverage will motivate improved fisheries management and therefore will reduce pressure on marine biodiversity (Figures 1.7, 2.1, 2.2., 2.3 and 2.4). The project will also contribute to improve fisheries in areas of high conservation value like the Coral Triangle (Selig et al., 2014). Furthermore, the project will contribute to the development of CMMs for mahi mahi in the EPO. This could have a high impact because the approval of management measures for this species will facilitate MSC certification of mahi mahi fisheries in several countries. Finally, the learnings generated by the project will be replicable and useful worldwide.
233. At the national level, the project will contribute to mainstream sustainability into key seafood value chains, strengthen public – private dialogue and collaboration, and motivate policy changes in support of sustainable fisheries administration. For Costa Rica this will be

¹³⁶ Taking into account that the MSC standard is the major certification scheme available at the moment.

the first experience with FIPs and fisheries certification. In Ecuador, Indonesia and Philippines the project will contribute to improve management of highly valuable fisheries like tuna, mahi mahi, and blue swimming crab.

234. At the local level, fishermen will benefit from access to a growing market, long-term alliances with seafood chain stakeholders and, in the mid-term, an increased harvest.

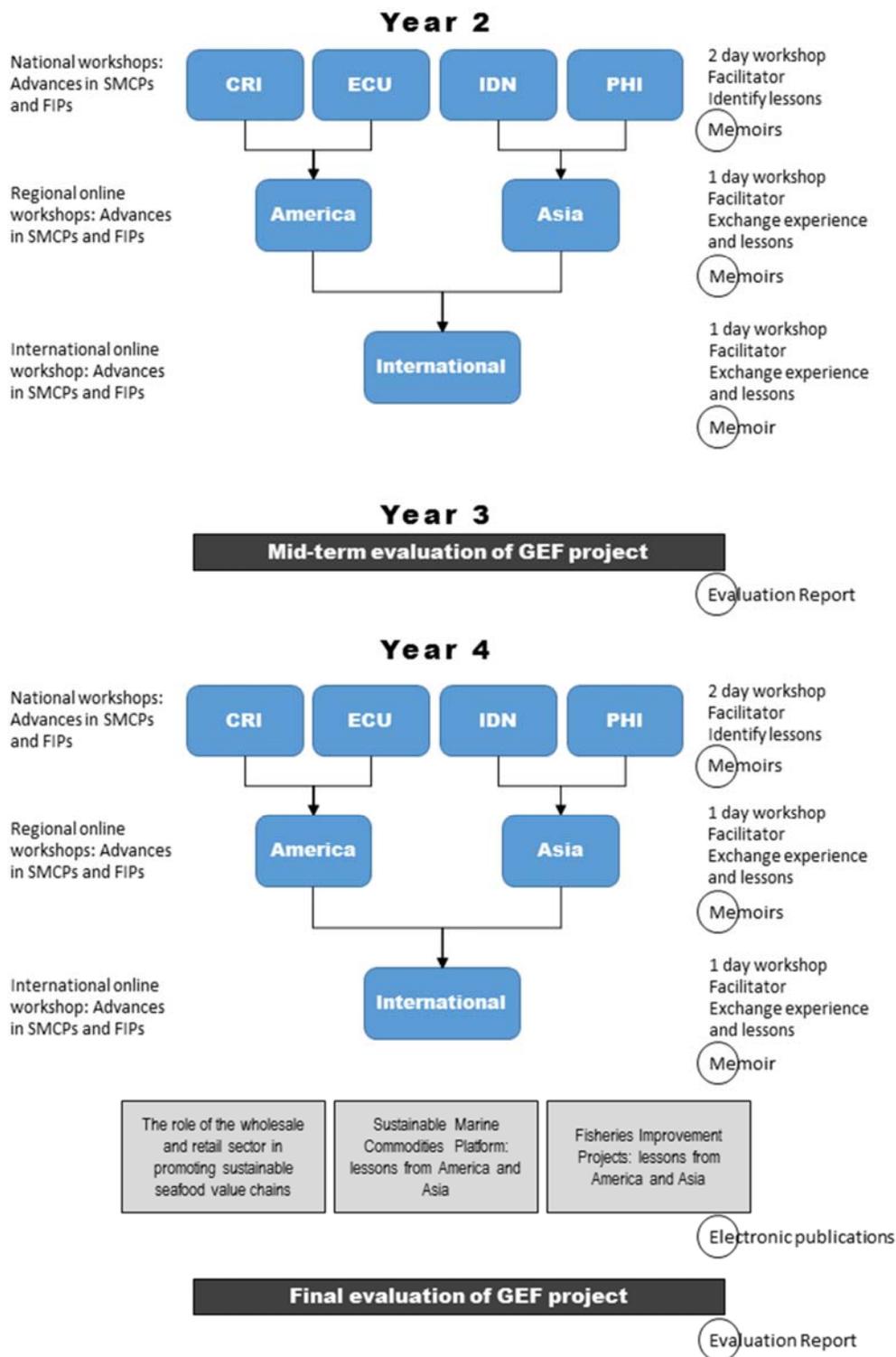


Figure 2.6. Strategy to document and capture learnings and best practices.

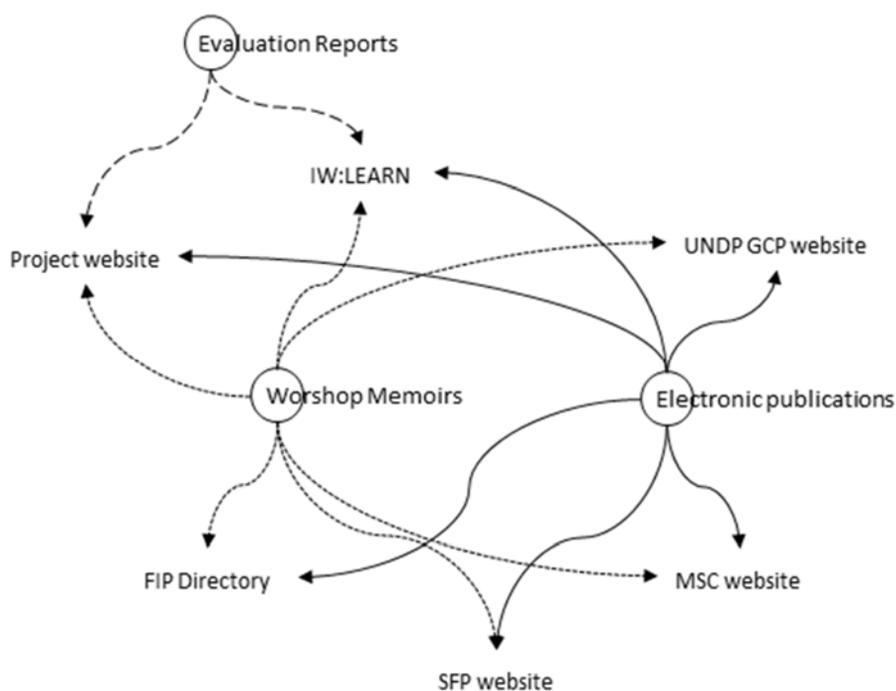


Figure 2.7. Network of electronic platforms to be used to disseminate the best practices and learnings of the project.

Table 2.3. Risks and Proposed Mitigation Measures to the project.

Risks	Rating	Risk mitigation strategy
<p>NATURAL. The ENSO. It is well documented that the warm and cold phases of the ENSO strongly affect the fisheries of the four countries. The chance of an El Niño 2014-2015 was 65% on 07 August 2014. It is very probable that an ENSO will develop during project implementation. This will affect the availability of key species like tuna and mahi mahi, therefore influencing the interest of the stakeholder to continue participating / investing in the SMCP and FIPs. Also, El Niño may damage vital infrastructure in coastal areas.</p>	High	At the start of the project the situation will be assessed and the work plan will include provisions in case of an ENSO. The project has mainstreamed this topic in seafood sourcing policies, marine commodities platforms and FIPs. In case of an ENSO, the project will motivate the stakeholders to include mitigation measures in their plans and activities.

Risks	Rating	Risk mitigation strategy
POLITICAL. Changes in political administrations in target countries affect the continuity of the national platforms, strategy development, and implementation of joint action plans.	Medium	All the countries will have elections during project implementation ¹³⁷ . The project will strengthen cooperation mechanisms among stakeholders to ensure continuity during transition periods.
NATURAL. Climate change. Between 1970 and 2004, sea surface temperature around the planet rose between 0.2-1.0 °C with a mean increase of 0.6 °C. The pH of world oceans has decreased by 0.1 units. The tropics and eastern boundary upwelling ecosystems such as the Humboldt Current System are among those ecosystems that are particularly vulnerable to changes in pH. These trends may affect migration patterns of pelagic species (like tuna, mahi mahi and LPF) and primary productivity.	Medium	It is not foreseen that in the following five years climate change will dramatically modify the target fisheries. However, the project has mainstreamed this topic in seafood sourcing policies, marine commodities platforms and FIPs. The project will motivate that the value chain stakeholders include climate change in their plans and decisions.
SOCIAL. Fishermen and processors in developing countries do not perceive advantages in certification	Medium	It is known that certification, in general, does not command a price premium. The project will provide information and training on sustainable seafood certification to support informed decisions. Also the project will support the use of credible FIPs as a mechanism to establish commercial links among the members of the seafood chain.
POLITICAL. Limited interest by WCPFC and IATTC to adopt stronger CMMs for tuna, sharks and large pelagic fish. Decision making is a very political and complex process in both tuna RFMOs.	Medium	The project will bring to the table some of SFP's major retail partners to work with RFMOs and their Contracting Parties in order to create and adopt more effective CMMs for both target and non-target species, and to enhance data collection efforts. The project will coordinate efforts with other entities that advocate stronger CMMs like ISSF and WWF.
POLITICAL. Limited interest by national fisheries authorities to strengthen fisheries monitoring, and advance in stock assessment, regulations and policies, and fisheries control and enforcement.	Medium	The project will maintain permanent communication with the NFAs to motivate support for improved fisheries management of the target fisheries. Also, the project will motivate major buyers to request more effective CMMs. Finally, the project will coordinate efforts with other entities that advocate improved fisheries management in the participating countries.

¹³⁷ Costa Rica just had elections in 2014, and will have the next elections in 2018. Ecuador will have elections in 2017. Indonesia just had elections in 2014 and will have the next elections in 2019. Philippines will have elections in 2016.

Risks	Rating	Risk mitigation strategy
SOCIAL. Limited motivation to share information between institutions in public and private sectors at national levels ¹³⁸	Medium	The project will strongly promote open collaboration to create trust among the stakeholders. Signed agreements will be used to guarantee information flow and property (when applicable).
SOCIAL. Reduction of the global demand for seafood	Low	The demand for seafood has continued to grow despite the increase in prices. The project cannot influence the world demand for seafood.
SOCIAL. Major buyers and retailers show little knowledge or interest in changing purchasing policies for marine commodities.	Low	The current trend is that major buyers and retailers from developed countries are making strong commitments to purchase sustainable seafood. In component 1, the project will implement a major effort to engage new major buyers. A key message will be that to stay in business it is necessary to establish long-term partnerships with their suppliers and to have a sustainable source of seafood.
SOCIAL. FIPs, partnering buyers with fishers, fail to make the latter incorporate best practices.	Low	The project will incentivize buyers to offer increasingly good price premiums and enhance market access to those fishers who may adopt changes towards sustainable harvesting. It will also encourage fish buyers to avoid purchasing from exporters who are suspected of trading IUU fish or incur in seafood fraud.
POLITICAL. The current commitment to cooperate at national level is diminished.	Low	The project will aim to mediate existing conflicts between marine commodities supply chain stakeholders and public institutions to ensure long-term cooperation and joint action to increase adoption of best practices in the harvesting of target fisheries. Also, the project will work to facilitate, and increase, when appropriate, cooperation between the agencies responsible for biodiversity protection (e.g., ministries of the environment) and national fisheries authorities in each country.

¹³⁸ It is well known that access to relevant and reliable information is a key request of value chain stakeholders to support their day-to-day and strategic decisions. However, it is common that public and private actors are reluctant to share their information.

Coordination with other GEF related initiatives

235. Of particular importance will be coordination with the following initiatives:

236. The project will seek to use the results of the UNDP/GEF funded project Sulu-Celebes Sea Sustainable Fisheries Management Project (GEF-ID 3524) under implementation with Indonesia, Malaysia and Philippines in the Coral Triangle. Of particular interest will be the Transboundary Diagnostic Analysis to identify the priority actions that are relevant for the target fisheries.

237. The project will be implemented in coordination with the FAO/GEF funded project Sustainable Management of Tuna Fisheries and Biodiversity Conservation in the Areas Beyond National Jurisdiction (GEF-ID 4581) under implementation in the five tuna RFMOs. Of particular interest will be that:

- a. The current project promotes that major buyers pressure IATTC and WCPFC to adopt the measures of the regional action plans¹³⁹ to be prepared by the FAO/GEF initiative.
- b. The work in Costa Rica, Ecuador and Indonesia incorporate the advances in bycatch mitigation in tuna fisheries to be developed by the FAO/GEF initiative.
- c. The current project makes sure that training activities do not duplicate those of the FAO/GEF initiative.

238. The project will establish coordination with the recently approved regional UNDP/FAO/GEF funded project Implementation of Global and Regional Oceanic Fisheries Conventions and Related Instruments in the Pacific Small Island Developing States (SIDS) (GEF-ID 4746) to be implemented in countries¹⁴⁰ of the WCPFC. Of particular interest will be:

- a. The development of ecosystem-based CMMs for tuna and non-target species in the WCPFC.
- b. The broad multi-stakeholder involvement into sustainable oceanic fisheries management.

239. The project will establish synergies and linkages with the recently approved UNDP/GEF funded project Sustainable Management of Highly Migratory Fish Stocks in the West Pacific and East Asian Seas (GEF-ID 5393) to be implemented in Indonesia, Philippines, and Vietnam. Of particular interest will be:

- a. The mainstreaming of climate change concerns into national fisheries policy in Indonesia and the Philippines.
- b. The work with market-based approaches to promote sustainable tuna fisheries. Coordination will be crucial because this new initiative will also promote fisheries improvement and certification.
- c. The development of a regional knowledge platform. It will be necessary to link the efforts of both projects on this field to ensure that information, best practice and lessons are easily accessible.

240. The project will coordinate with the recently approved UNEP/GEF funded project Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand (GEF-ID 5401) to be implemented in Cambodia, Indonesia,

¹³⁹ The regional action plans will contain conservation and management measures, harvest control rules and reference points for priority stocks.

¹⁴⁰ Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu.

Philippines, Thailand, Malaysia and Vietnam. An initial action will be to identify the relationship of the fisheries refugia with the target fisheries of the present project to establish synergies.

241. The project will also coordinate with the proposed Conservation International/GEF funded project Improving mangrove conservation across the Eastern Tropical Pacific Seascape (ETPS) through coordinated regional and national strategy development and implementation (GEF-ID 5771). An initial action will be to identify linkages with target fisheries in Costa Rica and Ecuador to establish collaborations.

242. The proposed project will coordinate closely with FAO-led global program Coastal Fisheries Initiative, which is a program (GEF-ID 9060) that has pilot projects in Indonesia (GEF-ID 9129) and in Peru & Ecuador (GEF-ID 9124), as well as with the also FAO-led global program “Sustainable fisheries management and biodiversity conservation of deep-sea living marine resources and ecosystems in the areas beyond national jurisdiction (ABNJ)” (GEF-ID 4660), and the project “Enabling transboundary cooperation for sustainable management of the Indonesian seas” (GEF-ID 5768) . The FAO-led global programmes are of relevance to two of the four country interventions proposed in this program (Ecuador and Indonesia), while the ABNJ is relevant for the entire project and the four participating countries and the Indonesian seas is pertinent to what the Global Marine Commodities is proposing for Indonesia. There is complementarity and no duplication between the proposed GMC project and the FAO programs as the latter are focusing on either i) finding a new paradigm for coastal fisheries management, or ii) to support the development, management and sustainability of deep sea fisheries and associated biodiversity conservation in the ABNJ; or iii) facilitating the implementation of ecosystem approaches to fisheries management in Indonesia, while the proposed UNDP project is focusing on mainstreaming sustainability into seafood supply chains through market and policy mechanisms and partnerships with the overarching goal of rebuilding and protecting fish stocks and livelihoods.

Cost Effectiveness

243. The project will ensure cost-effectiveness of the GEF resources by:

- a. Allocating GEF funds to deliverables that are strongly catalytic such as:
 - i. The preparation of a toolkit to facilitate the preparation and implementation of sustainable seafood purchasing policies,
 - ii. The update of guidelines for developing credible FIPs and the tools for measuring FIP progress, and
 - iii. Electronic platforms to facilitate the access to key information to support informed decision-making.
- b. Building on the learnings from the current practice on responsible sourcing, public-private sustainable commodities platforms, fisheries improvement projects, and information management.
- c. Transferring the management of the marine commodities platforms and the FIPs to the stakeholders. It is foreseen that until year 3 the platforms will be institutionalised and the FIPs will be industry-driven.

- d. Supporting the development of best practices and learnings that are highly replicable worldwide.

244. In summary, the cost-effectiveness of the project is reflected by the fact that future major changes in the seafood value chains could be obtained with a relatively small investment in key strategic actions, with a high degree of synergy and replicability.

Sustainability

Environmental sustainability

245. The project incorporates the precautionary approach to fisheries management in key elements like the seafood sourcing policy guidelines, the sustainable fisheries action plans, and the FIPs. Processors and fish traders have to comply with the environmental requirements of their respective countries.

Social sustainability

246. The project incorporates a participatory approach and has maximized the involvement of all the stakeholders of the seafood value chains. The project will take provisions in each country to ensure that non-associated fishers, fish traders and processors are adequately represented and actively participate in the sustainable marine commodities platforms and the FIPs. Also, to prevent a language barrier, the fishery profiles and FIP information of the target fisheries will be available in English and Spanish to facilitate access to local audiences. Project publications will be in English with extended summaries in Bahasa Indonesia, Spanish and Tagalog.

Institutional sustainability

247. The project is anchored on the national fisheries authorities of the four countries. The commitment of the NFAs is reflected in their contribution of important resources to co-finance the project. In addition, project activities will contribute to strengthen the role of the NFAs, but will also include participation of other actors of the national institutional framework that are part of the seafood value chains.

Financial sustainability

248. GEF resources will be used to fund strategic actions. Major endeavours, like increase market engagement and provision of information to stakeholders, will continue with their existing financing mechanisms. The running of the sustainable marine commodities platforms will be institutionalised on each country and the FIPs will be designed to be funded by the industry.

Replicability

249. The project is highly replicable. The GEF funding has been strategically allocated to activities that have a high potential for triggering catalytic effects. Also, the project incorporates specific actions to document and to disseminate worldwide the best practices and learnings (see outcome 6). The lessons learned will have immediate application worldwide in a range of contexts.

PART III. MANAGEMENT ARRANGEMENTS

Institutional arrangements

250. This is an inter-regional project to be implemented under the National Implementation Modality (NIM) in Costa Rica, Ecuador, Indonesia and Philippines. The United Nations Development Programme will be the **GEF implementing agency (IA)** and therefore will be ultimately responsible to GEF for the channeling of resources to the executing agencies in accordance with UNDP rules and regulations. The **implementing partners (IPs)** will be the Ministry of Agriculture and Livestock of Costa Rica (MAG), the Ministry of Agriculture, Livestock, Aquaculture and Fisheries of Ecuador (MAGAP), the Ministry of Marine Affairs and Fisheries of Indonesia (MMAF), and the Bureau of Fisheries and Aquatic Resources of Philippines (BFAR). The international NGO Sustainable Fisheries Partnership Foundation will be an additional **implementing partner (IP)** in charge of implementing components 1, 3 and 4 of the project¹⁴¹.

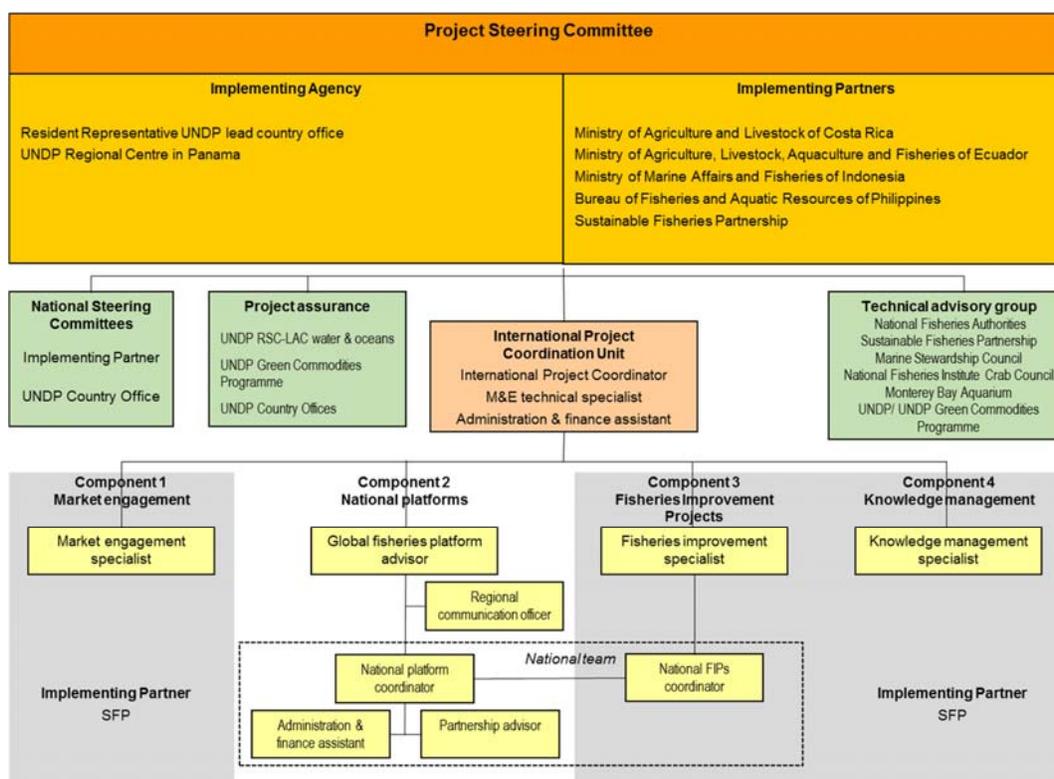


Figure 3.1. Project organisation structure¹⁴².

¹⁴¹ As mentioned before, SFP will be fully responsible of the development of components 1 project wide, and components 3 and 4 in three of the participating countries: Costa Rica, Ecuador and the Philippines. In the case of Indonesia, SFP will coordinate with officials contracted in the country for components 2, 3 and 4 and participate and support the activities that are mutually agreed between SFP, UNDP and MMAF at project start (it will be discussed during the project Inception Meeting).

¹⁴² In regards to the Project Organization Structure, it varies in the case of Indonesia, as more components will be executed nationally and hence the national team varies (and SFP will not be the Implementing Partner in charge of the components mentioned in the figure).

251. A **Project Steering Committee** (PSC) will be instituted to provide oversight and strategic guidance to the project. The PSC will integrate representatives of the IPs and the IA. In addition, there will be a **National Steering Committee** on each country to provide strategic guidance and a **Technical Advisory Group** (TAG) to support project implementation by providing technical advice and recommendations to the project partners. The project organisation structure is presented in Figure 3.1.

Implementation arrangements

Implementing Agency

252. UNDP will be the implementing agency, and as such will provide project cycle management services as quality assurance and oversight of project implementation. UNDP will be responsible for monitoring and evaluation of project interventions, achieving project outputs, and for the effective use of GEF resources. UNDP shall provide project cycle management services as defined by the GEF Council (described in Annex 12), that will include the following:

- a. Providing financial and audit services to the project.
- b. Overseeing financial expenditures against project budgets.
- c. Ensuring that activities including procurement and financial services are carried out in strict compliance with UNDP/GEF procedures.
- d. Ensuring that the reporting to GEF is undertaken in line with the GEF requirements and procedures.
- e. Facilitate project learning, exchange and outreach within the GEF family.
- f. Contract the project mid-term and final evaluations and trigger additional reviews and/or evaluations as necessary and in consultation with the project counterparts.

253. The project will be implemented under the NIM modality through the respective national institutions with support from UNDP country offices (CO) in Costa Rica, Ecuador, Indonesia and Philippines. There will be three NIM arrangements for component 2, one for each country. In the case of Indonesia, there will be a NIM arrangement for component 2, 3 and 4. Ecuador as the host country will also be responsible for the inter-regional components of the project with the support of the UNDP Lead CO Ecuador). This project will also require participation of the UNDP Green Commodities Programme (GCP), and the UNDP Regional Centre in Panama (UNDP RSC-LAC).

254. At the request of the Governments of Costa Rica, Ecuador CO as lead country office, Indonesia and Philippines, UNDP can also provide Direct Project Services (DPS) specific to project inputs according to its policies and convenience. In this case, the IP will subscribe a Letter of Agreement (LOA) specifying the services to be provided and the corresponding costs. In accordance with GEF requirements, the costs of these services will be part of the executing entity's Project Management Cost allocation identified in the project budget. UNDP and the Governments of Costa Rica, Ecuador CO as lead country office, Indonesia and Philippines acknowledge and agree that these services are not mandatory and will only be provided in full accordance with UNDP policies on recovery of direct costs.

255. UNDP will provide **project assurance** in support of the PSC by carrying out objective and independent project oversight and monitoring functions. This role ensures that appropriate project management milestones are managed and completed. Project assurance will be executed by (1) the water and oceans group of UNDP RSC-LAC, (2) GCP, and (3) the UNDP

Country Offices in Costa Rica, Ecuador, Indonesia and Philippines. The project assurance team will review and analyse the project reports and the draft annual plan and budget before it is presented to the steering committee, and make recommendations to improve project performance.

256. Ecuador CO as lead country office will contract the members of the International Project Coordination Unit (IPCU) and oversee their technical, administrative and financial performance. GCP will provide technical advice and oversee implementation of component 2 of the project.

Implementing Partners

257. In each country there will be an agency with lead responsibility for execution of agreed activities and will also be the National Focal Point. The implementing partners will be the national fisheries authorities of Costa Rica, Ecuador, Indonesia and Philippines; and also Sustainable Fisheries Partnership. Each IP will be responsible for the implementation of the activities in its country, and in the case of Sustainable Fisheries Partnership, of the implementation of components 1 project wide, and of components 3 and 4 in Costa Rica, Ecuador and the Philippines; and to collaborate with the implementation of all components in Indonesia. The IPs could request the service of the UNDP CO for the provision of DPS. In this case, the IP must subscribe a LOA specifying the services to be provided and the corresponding costs.

258. The Implementing Partners are:

- I. The **Ministry of Agriculture and Livestock** of Costa Rica, which is the national authority responsible for agricultural and rural development. The MAG determines the fisheries policy and is a member of the board of INCOPESEA, which is the institution responsible for implementing the Fisheries and Aquaculture Law and the National Plan for Fisheries and Aquaculture.
- II. The **Ministry of Agriculture, Livestock, Aquaculture and Fisheries** of Ecuador, which manages the fisheries sector through the Viceministry of Aquaculture and Fisheries.
- III. The **Ministry of Marine Affairs and Fisheries** of Indonesia, which is the authority that administers the marine and fisheries sector.
- IV. The **Bureau of Fisheries and Aquatic Resources** of Philippines, which is the government agency responsible for the development, improvement, management and conservation of the country's fisheries and aquatic resource
- V. **Sustainable Fisheries Partnership**, an NGO with wide experience in fisheries and which will be in charge of components 1 project wide, and components 3 and 4 in Costa Rica, Ecuador and the Philippines, and will provide technical support, as mutually agreed, for all components in Indonesia as a member of national fisheries platform working groups. This NGO will manage a total of USD\$1,874,836.94, during the project lifetime.

Steering Committee

259. A **Project Steering Committee** will be instituted to provide oversight and strategic guidance to the project. The PSC will be integrated by (1) official delegates of MAG, MAGAP, MMAF, BFAR, and SFP (2) the Resident Representative of the Ecuador CO as lead country office, and (3) an official delegate of the UNDP Regional Centre in Panama. The members of

the PSC will select the Chair during their first meeting. The International Project Coordinator (IPC) will serve as secretary of the committee. The PSC will meet once a year by teleconference.

260. The PSC will be responsible for making decisions about the overall management of the project and for maintaining the strategic focus of the project components. The PSC will (1) oversee project implementation, (2) approve the annual budget and work plan as supplied by the International Project Coordinator, (3) examine the annual progress report and provide comments and recommendations, (4) approve any major changes in project plans or strategy, (5) be responsible for the overall evaluation of the project, analyse the mid-term and final evaluation reports and provide comments and recommendations, and (6) arbitrate any conflicts which might arise. The PSC may be convened extraordinarily by the Chair, on the request of individual members.

National Steering Committee

261. In each country there will be a **National Steering Committee** (NSC) to provide oversight and strategic guidance to the implementation in the country. The NSC will be integrated by an official delegate of the Implementing Partner and the Resident Representative of the UNDP Country Office. The NSC will meet every six months.

262. The NSC will (1) oversee project implementation at the national level, (2) make executive decisions for the project in the country, (3) facilitate inter-ministerial coordination, (4) approve the national annual budget and work plan, (5) examine the annual progress report and provide comments and recommendations, (6) approve any major changes in the national plans or strategy, (7) arbitrate any conflicts which might arise at the national level. The NSC may be convened extraordinarily by request of individual members.

Technical Advisory Group

263. A **Technical Advisory Group** will support project implementation by providing technical advice and recommendations to the project partners. The TAG will facilitate interaction among technical representatives of government agencies, NGOs and private companies. By request of the PSC or the International Project Coordinator, the TAG will analyse technical issues and provide recommendations and advice. In addition, the TAG will facilitate and promote the discussion and analysis of technical matters and the exchange of learnings among countries and project partners.

264. The TAG will be integrated by technical representatives of the national fisheries authorities of the four countries, SFP, GCP, UNDP (COs and/or Regional), MSC, NFI-CC, MBAq and private companies (e.g., McDonald's, Walmart).

265. The TAG will have a semiannual meeting by teleconference. In the first meeting, the TAG members will nominate a Chair and establish the rules of operation. The IPC will serve as secretary of the meetings.

Implementing Partner for components 1, 3 and 4

266. The international NGO Sustainable Fisheries Partnership Foundation will be the **Implementing Partner** for the delivery of the outputs of components 1, 3 and 4 of the project (in Costa Rica, Ecuador and the Philippines), under the NGO Execution Modality based on a Project Cooperation Agreement. SFP is a not-for-profit organization, founded in 2006 and registered in the United States of America under Internal Revenue Service Section 501(c)(3).

The mission of SFP is to engage and catalyse global seafood supply chains in rebuilding depleted fish stocks and reducing the environmental impacts of fishing and fish farming. SFP improves access to information to guide responsible seafood sourcing, and enhances the ability of seafood companies and partners to influence policies and management practices to improve fisheries. SFP works to improve fisheries through Fishery Improvement Projects that bring together fishermen, regulators, fish buyers and conservationists to address the key issues of the fishery and make management sustainable. SFP works directly with leading companies to motivate that they actively engage in FIPs. Its main method for change is to catalyse industry-led improvement projects.

267. This arrangement is particularly useful since it will maximize the delivery of SFP technical expertise in highly specialized matters for specific project activities and to ensure the necessary administrative/accounting capacity for management and for tracking and reporting expenditures. The advantage of this type of arrangement is that the NGO will have full practical control over the aspects of the project for which it is responsible (subject to oversight by the International Project Coordinator and the PSC), and can use its own supply channels for recruitment and procurement, provided that these processes do not contravene the principles of the Financial Regulations and Rules of UNDP and are based on “best value for money”. In addition, SFP will search for co-funding from private companies and donors to complement the implementation of all project components (if available). SFP will subcontract MSC to execute raising awareness activities, provide training on sustainable seafood certification and MSC standards for sustainable fishing and chain of custody, and support demonstration fisheries to enter MSC fishery assessment.
268. SFP was chosen as implementing partner in view of the (i) technical expertise in seafood market transformation and fisheries improvement, and (ii) the capacity assessment of SFP undertaken by UNDP according to the Capacity Assessment Tool guidelines and which confirms that SFP is best suited to provide the technical and financial management for the project.
269. The micro-evaluation of the capacities for financial management of SFP, carried out by UNDP, made the following recommendation: SFP should follow guidelines established in the UNDP Framework for Cash Transfers to Implementing Partners to clarify some procedure regarding cash advances, which should be liquidated within three months. Figure 3.2 shows a summary of responsibilities for Cash Transfers.
270. UNDP will ensure that these recommendations are applied, prior to making the first disbursement of funds to SFP.
271. On the basis of this evaluation, and in accordance with the modalities of UNDP for the transfer of funds, it was recommended that an Agreement of Cooperation be entered into, in which norms should be set out for advancing funds in accordance with the agreement with each of the other Implementing Partners, to cover approved costs set out in the budget and to account for expenditures once made, in the formats, under the conditions and within the timeframes that are agreed. This Agreement should contain general guidelines for the provision of advances, and dates for accounting for expenditures, integrating UNDP norms in these regards. It will also contain the agreed outputs to be delivered through this agreement. The division of the responsibilities for delivering different project outputs is indicated below.
272. To ensure coherence of the entire project, there will be continuous communication, coordination, and collaboration between SFP, the IPCU, the IPs and UNDP.
273. For the execution of project activities SFP will appoint one **Project Coordinator**, three **Component Specialists** (to be located in SFP facilities around the world) and three **National**

FIP Coordinators (to be located one on each participating country). The component specialists will be financed with co-funding resources and the project coordinator and the national FIP coordinators will be financed with GEF resources.

274. The **SFP Project Coordinator** will oversee all the elements executed by SFP and will make sure that all activities and deliverables are executed according to the work plan. The SFP Project Coordinator will closely harmonize his/her activities with the International Project Coordinator. The SFP coordinator will not be responsible over the activities carried out in Indonesia under components 2, 3 and 4 but will coordinate with the official in the country in charge of overseeing these components¹⁴³. The SFP Project Coordinator will prepare SFP related annual workplans and budgets.

275. The **Market Engagement Specialist** will coordinate the promotion of global demand for sustainable marine commodities (component 1), the **Fisheries Improvement Specialist** will coordinate the demonstrations of sustainable supply chains for marine commodities (component 3), and the **Knowledge Management Specialist** will coordinate the sustainable marine commodities information and knowledge management systems (component 4). The components specialists will be SFP staffers funding through co-financing and will work with the SFP Project Coordinator to closely coordinate their activities with the International Project Coordinator and will be responsible for:

- a. Ensuring prompt delivery of project outputs and the generation of project outcomes.
- b. Maintaining proper communication and collaboration with key stakeholders.
- c. Maintaining proper collaboration and coordination with the other members of the project team

276. In addition, the Fisheries Improvement Specialist will have close coordination with the Global Fisheries Platform Advisor and will guide the work of the four national FIP coordinators.

277. The detailed TOR for the component specialists and the national FIP coordinators will be prepared at project start by SFP in collaboration with the International Project Coordinator.

International Project Coordination Unit

278. The project will have a small IPCU integrated by an International Project Coordinator, a Monitoring and Evaluation Officer (M&E-O), and an Administration and Finance Assistant. The IPCU will run the project on a day-to-day basis. The salary scale for the project staff is presented in Table 3.1.

International Project Coordinator

279. The IPC will be contracted for 50 months with GEF resources. The IPC will run the project on behalf of the IPs to ensure that the project produces the outputs and outcomes specified in the project document to the required standard of quality and within the specified constraints of time and cost. She/he will work in close cooperation with, and oversee, the SFP team.

Table 3.1. Salary scale for the project¹⁴⁴.

Post	Salary
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¹⁴³ Also with FIP facilitators, as relevant and if previously agreed between MMAF and SFP.

¹⁴⁴ This may vary for some posts in Indonesia (e.g. the Partnership Advisor is Marine Commodities Supply Chain advisor and receives a different salary). For more details please refer to the budget and its notes.

	(US\$/month)
International Project Coordinator	5,016
SFP Project Coordinator	4,950
Component coordinator (i.e., Global Fisheries Platform Advisor, Fisheries Improvement Specialist, Knowledge Management Specialist)	4,500
National Coordinator (i.e., National Platform Coordinator, National FIP Coordinator)	4,000
Communication Officer	1,667
Partnership Advisor	2,500
Monitoring and Evaluation Officer	1,900
Administration and Finance Assistant	1,700

280. The IPC will:

- a. Be the signing authority of requests to UNDP for disbursements of project funds.
- b. Ensure the logistical, administrative and financial effectiveness of the IPs in fulfilling its roles set out above
- c. To this end, provide monitoring, supervision and guidance to the country teams.
- d. Promote incidence in and coordination with the IPs, SFP, GCP and the donor agencies that are supporting them.

281. In addition, the IPC -- with the assistance of SFP for components 1, 3 and 4 -- will manage the following:

- a. Preparation of project reports, work plans, budgets and accounting records,
- b. Drafting of TOR, technical specifications and other documents,
- c. Identification of consultants and supervision of consultants and suppliers,
- d. Overseeing the implementation of project activities in a timely and efficient way,
- e. Supervise and provide administrative support to the national platform coordinators.
- f. Maintaining contacts with project partners at the national and international level.
- g. Organization of seminars, workshops and field trips, which are linked to project activities.

282. The IPC in close coordination with SFP and UNDP will produce in a timely fashion annual work plans and budgets to be approved by the PSC and quarterly operational and annual progress reports for submission to the Project Steering Committee. The reports will provide details about the progress made, any shortcomings and the necessary adjustments made to achieve project outcomes. The IPC will also be responsible for any national or international service provider and the recruitment of specialist services.

The Monitoring and Evaluation Officer

283. The M&E-O will be contracted for 48 months with GEF resources. The M&E-O will monitor the advance of the project to ensure that the outputs and outcomes are delivered within the specified constraints of time and cost. The M&E-O will (1) compile and systematize the information of the project indicators to be provided by various sources (e.g., SFP, NPC), (2)

verify that the activities are being implemented according to the annual work plan and budget at the international and national levels, and (3) prepare quarterly reports with recommendations for the IPC. The M&E-O will be supervised by the IPC.

The Administration and Finance Assistant

284. The Administration and Finance Assistant will be contracted for 50 months with GEF resources. This person will provide administration, logistics and finance support to the IPC and the national teams. Under supervision of the UNDP administrative team of the lead country office Ecuador, this assistant will prepare financial and operational information and consolidate accounting information. The Administration and Finance Assistant of the IPCU will provide direct support to the Ecuadorian national team and will oversee and closely coordinate with the administration and finance assistants to be located in Costa Rica, Indonesia and Philippines.

The component specialists

285. To ensure consistency of the intervention, there will be a specialist to guide and coordinate implementation of each of the four components of the project:

- A **Market Engagement Specialist** to be responsible for component 1,
- A **Global Fisheries Platform Advisor** to be responsible for component 2,
- A **Fisheries Improvement Specialist** to be responsible for component 3, and
- A **Knowledge Management Specialist** to be responsible for component 4.

286. The four component specialists will closely coordinate their activities with the IPC and among themselves.

287. The market engagement, fisheries improvement and knowledge management specialists will be appointed by SFP and will be financed with co-funding resources. The Global Fisheries Platform Advisor will most probably be based in the IPCU (definitive location will be decided at project start), will be hired by the UNDP, and will be financed with GEF resources for four years.

288. The four component specialists will be responsible for:

- a. Ensuring prompt delivery of project outputs and the generation of project outcomes.
- b. Maintaining proper communication and collaboration with key stakeholders.
- c. Maintaining proper collaboration and coordination with the other members of the project team.
- d. Identifying and documenting best practices and learnings.
- e. Coordinating with national officers in charge of different project outcomes, as relevant.

289. In addition, the **Global Fisheries Platform Advisor** will facilitate the implementation of the Sustainable Marine Commodities Platform in each country and will guide the work of the four **National Platform Coordinators** (NPC), the **Partnership Advisors**, and the two regional **Communication Officers**. In addition to the responsibilities outlined above, this specialist will:

- a. Maintain fluid communication with the IPC, the three component specialists, and GCP,

- b. Provide strategic guidance and advice to the National Platform Coordinators and the Implementing Partners,
 - c. Facilitate collaborative work among the National Platform Coordinators, and
 - d. Motivate and facilitate close collaboration and coordination of the National Platform Coordinators with the National FIP Coordinators.
290. The **Fisheries Improvement Specialist** will orient the FIPs and guide the work of the **National FIP Coordinators** in Costa Rica, Ecuador and the Philippines. In addition to the responsibilities outlined above, this specialist will:
- a. Provide strategic guidance and advice to the National FIP Coordinators and the Implementing Partners,
 - b. Facilitate collaborative work among the National FIP Coordinators, and
 - c. Motivate and facilitate close collaboration and coordination of the National FIP Coordinators with the National Platform Coordinators¹⁴⁵.

The national teams

291. In Costa Rica, Ecuador and the Philippines, there will be a national team integrated by a National Platform Coordinator (contracted by the national Implementing Partner), a National FIP Coordinator (contracted by SFP), a Partnership Advisor (contracted by the IP) and an Administration and Finance Assistant (contracted by the national IP). The national team will be based in facilities provided by each of the IPs.
292. In Indonesia, there will be a national team integrated by: a National Platform Coordinator, a Marine Commodities Supply Chain Advisor/Partnership Advisor, three FIP Facilitators (who will focus on each of the targeted fisheries in the country), a Monitoring and Reporting Consultant (for knowledge products) and an Administration and Finance Assistant. All will be contracted by MMAF as national IP, through UNDP under COSS arrangement.
293. During project execution, efforts will be undertaken to institutionalize in each country the management of the Sustainable Marine Commodities Platforms and the Fisheries Improvement Projects. Therefore, GEF resources will fund national positions in Costa Rica, Ecuador and the Philippines during the first three years. The role of FIP coordination will be transitioned to industry leadership, and it is expected that FIPs will be fully industry driven at the end of year 3. In the case of Indonesia, as there will be a stronger national execution, of more activities, GEF funding is requested for four years for all positions except the Assistant¹⁴⁶.
294. The **National Platform Coordinators** will facilitate the inception and implementation of the national sustainable marine commodities platforms. These specialists will be trained by GCP and will receive guidance and advice from GCP staff and the Global Fisheries Platform Advisor. The NPCs will
- a. Ensure prompt implementation of the annual work plan to the required standard of quality and within the specified constraints of time and cost.

¹⁴⁵ And will coordinate with FIP facilitators in Indonesia if previously agreed between MMAF and SFP.

¹⁴⁶ Nonetheless, salaries will be adjusted in the case of this country according to UNDP (Indonesia) proforma costs of hiring Service Contract (SC) and Individual Contract (IC) consultancy fee rate, hence the budget allocated will generally be similar to that allocated to the other countries.

- b. Facilitate the organisation of the national platform and the corresponding working groups¹⁴⁷.
 - c. Organise tailor made training of the platform stakeholders.
 - d. Coordinate the preparation of the platform five years strategic plan.
 - e. Motivate the institutionalisation of the platform to become self-sustained.
 - f. Provide coordination and technical support for the operation of the national platform¹⁴⁸.
 - g. Monitor implementation and prepare progress reports.
 - h. Maintain proper communication and collaboration with the Implementing Partner and key stakeholders.
 - i. Closely collaborate and coordinate with the national FIPs coordinator.
 - j. Maintain proper collaboration and coordination with the other members of the project team.
 - k. Prepare the country's draft annual work plan and budget for component 2¹⁴⁹.
295. The detailed TOR for the NPCs will be prepared by the IPC in coordination with the IPs, UNDP/ GCP.
296. The **National FIP Coordinators** will facilitate the implementation of the fisheries improvement projects in Costa Rica, Ecuador and the Philippines.
297. The national FIP coordinators will:
- a. Ensure prompt implementation of the annual work plan to the required standard of quality and within the specified constraints of time and cost.
 - b. Facilitate the preparation and signing of FIP agreements among stakeholders.
 - c. Organise tailor made training for FIP stakeholders.
 - d. Coordinate the preparation of the FIP plans.
 - e. Provide technical support during initial FIP implementation.
 - f. Facilitate that the stakeholders assume FIP management so that it becomes self-driven.
 - g. Monitor FIP implementation and prepare progress reports.
 - h. Maintain proper communication and collaboration with the Implementation Partner and key stakeholders.
 - i. Closely collaborate and coordinate with the National Platform Coordinator.
 - j. Maintain proper collaboration and coordination with the other members of the project team.
 - k. Prepare the country's draft annual work plan and budget for component 3.

¹⁴⁷ In the case of Indonesia, "facilitate the design and development of the national platform, including involvement of private sector to promote sustainable production of marine commodities".

¹⁴⁸ And in the case of Indonesia, also the corresponding working groups.

¹⁴⁹ In the case of Indonesia, prepare the country's draft annual work plan and budget for components 2, 3 and 4.

298. The detailed TOR for the National FIP Coordinators will be prepared at project start by SFP in coordination with the IPC, the IPs, and UNDP/GCP.
299. The **FIP Facilitators** in Indonesia, as the National FIP coordinators in the other three countries, will:
- a. Ensure prompt implementation of the annual work plan to the required standard of quality and within the specified constraints of time and cost.
 - b. Facilitate the preparation and signing of FIP agreements among stakeholders.
 - c. Assess training need assessment for each FIP stakeholder in cooperation with global team.
 - d. Organise/design tailor made training for FIP stakeholders.
 - e. Coordinate the preparation of the FIP plans.
 - f. Provide technical support during initial FIP implementation.
 - g. Facilitate that the stakeholders assume FIP management so that it becomes self-driven.
 - h. Monitor FIP implementation and prepare progress reports.
 - i. Maintain proper communication and collaboration with the Implementation Partner and key stakeholders.
 - j. Closely collaborate and coordinate with the National Platform Coordinator and relevant project team/consultants.
 - k. Maintain proper collaboration and coordination with the other members of the project team.
 - l. Prepare the country's draft annual work plan and budget for component 3.
300. The detailed TOR for the National FIP Coordinators will be prepared at project start by the IPC, the IPs, and UNDP/GCP.
301. The **Partnership Advisor** (Costa Rica, Ecuador and Philippines) will organise meetings and facilitate cooperation and coordination among the stakeholders of the national platform and their corresponding working groups. The detailed TOR for the Partnership Advisor will be prepared by the IPC in coordination with the IPs, SFP and UNDP/GCP.
302. The **Marine Commodities Supply Chain Advisor** in Indonesia will provide technical advice and work closely with National Platform Coordinator to ensure government and stakeholders' buy-in of the national platform. The advisor will ensure technical quality of the produced action plans and facilitate development of management unit operational guidelines in coordination/consultation with global team and UNDP/GCP. The detailed TOR for the Advisor will be prepared by the IPC in coordination with the IP and UNDP/GCP.
303. The **Monitoring and Reporting** consultant in Indonesia will contribute to the effective implementation of the evaluation policy, ensure that minimum monitoring and evaluation requirements for projects are met, and participates in the conduct of thematic and cross-cutting evaluations which, at minimum adheres to Fishsource outputs. The Consultant will also track results and apply the monitoring framework as set up in the project document in line with prevailing internal monitoring guidelines, ensuring that reporting arrangements and requirements are in place and are being implemented in a timely manner. The Consultant will work closely with Communication Officer and Project team both at national and global levels

and contribute in producing Project knowledge products. SFP Coordinator will coordinate closely with the Monitoring and Reporting consultant who oversee Component 4 in Indonesia. The detailed TOR for the Monitoring and Reporting consultant will be prepared at the project start by MMAF and UNDP Indonesia in coordination with IPC and GCP.

304. There will be two **Communication Officers** to support the work of the national teams. One Communication Officer will assist the work of the Costa Rican and Ecuadorian national teams, and the other will support the work of the Indonesian and Filipino national teams. The first officer (for Costa Rica and Ecuador) will be contracted by UNDP using GEF resources during years two, three and four of the project, and will be overseen by the Global Fisheries Platform Advisor and will have close coordination with the Knowledge Management Specialist. The latter officer (for Indonesia and Philippines) will be contracted by UNDP Indonesia on behalf of MMAF, using GEF resources, during years two, three and four of the project; he/she will also be overseen by the Global Fisheries Platform Advisor and will have close coordination with the Knowledge Management Specialist and the Monitoring and Reporting consultant in Indonesia. The location of the first Communication Officer will be at the IPCU and the second Communication Officer will be decided during the Inception Workshop. . These officers will (1) facilitate information of the project to national and international stakeholders, (2) prepare material for the press, (3) write content and news for the website (including project website and FIP Directory), (4) maintain social media accounts that could be useful to the key stakeholders (e.g., twitter), and (5) organize and communicate project events (e.g., meetings, workshops). They will prepare fishery-specific strategies to reach and engage independent fishermen, fish traders and processors .The Communication Officers will ensure that all project activities comply with the UN guides for green events and meetings (UNEP, 2009; UNEP, 2012). The detailed TOR for these officers will be prepared at project start by the IPC in coordination with GCP/UNDP, SFP, and MMAF¹⁵⁰.
305. The national **Administration and Finance Assistant** will provide administration, logistics and finance support to the national team. This person will keep the required records and will prepare the financial and operational information required by the IPCU. Each of these assistants will be hired for the first three years of the project with GEF resources.

Linkages to ongoing related activities

306. Overlapping and double funding will be avoided at all times. It is important to emphasize and encourage a close and permanent coordination with similar initiatives within the areas of intervention with the intention of capitalizing the impact of this project.

Administrative Costs

307. Costs associated with project cycle management services will be covered by the standard GEF Implementing Agency fee and the internal division of these with CO will follow current UNDP procedures. On the other hand, Direct Project Services will be charged using the “Universal Price List for Direct Project Services” in case IPs decide to request administrative and financial support from UNDP for implementing project activities.

¹⁵⁰ The latter only for the work of the Communication Officer in Indonesia.

Contribution of the implementing Partners

308. The IPs will provide in-kind contributions to this initiative. The IPs will ensure the active participation of their technical staff particularly from the national fisheries authorities and the fisheries monitoring and research associated to the target fisheries in each country. The IPs will also provide office facilities and basic services (i.e., electric energy, water supply, internet access, landline telephone) to the national teams. Finally, the IPs will institutionalise the running of the Sustainable Marine Commodities Platforms and the Fisheries Improvement Projects.

Agreement on intellectual property rights and use of logo on the project's deliverables

309. In order to accord proper acknowledgement to GEF for providing funding, a GEF logo should appear on all relevant GEF project publications, including among others, project hardware and vehicles purchased with GEF funds. Any citation on publications regarding projects funded by GEF should also accord proper acknowledgment to GEF.

Property of Equipment and Goods

310. The goods and equipment purchased as part of this project will belong to UNDP CO during the implementation phase, and transfer to national beneficiaries will be undertaken in accordance to UNDP procedures and policies and subject to agreement with the Implementing Partners. Only national organizations will be considered as beneficiaries.

Audit

311. According to UNDP's general corporate audit regulations, internal and external audits will be carried out individually to each responsible party, and these costs will be covered by the project.

312. The IPs will provide the corresponding UNDP Resident Representative with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of UNDP (including GEF) funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted by a special and certified audit firm. UNDP will be responsible for making audit arrangements for the project in communication with the IPs.

313. UNDP and the IPs will provide audit management responses and the International Project Coordinator and project support team will address audit recommendations.

314. As a part of its oversight function, UNDP will conduct audit spot checks at least two times a year. UNDP shall have the right, at its own expense, to audit or review such project-related books and records as it may require and to have access to the books and record of SFP, as necessary

Collaborative arrangements with related projects

315. To ensure the maximum benefit of the programmatic approach promoted by this project, a number of coordination mechanisms will be established with these and other emerging initiatives, including the following:

- The TAG, which will play a key role in advising the IPCU on, and facilitating, coordination.

- Annual planning meetings between the relevant GEF projects and selected projects from other funding sources.
- Participation in the GEF Biennial International Waters Conferences to be held in 2015 and 2017.
- Protocols of understanding in which specific meetings are scheduled by each project on a regular basis to discuss and explore project findings of relevance to marine conservation

Prior obligations and Prerequisites

316. None

Cash Transfer Modalities

317. National Execution (NEX) advances consist of cash transferred to a national implementing partner (IP) – or executing agent for non-harmonized programmes for commitments and expenses to be made by the implementing partner in support of activities agreed in Annual Work Plans (AWPs) – or project documents for non-harmonized programmes. Requests for advances should be prepared in line with the project or annual work plan, and must be signed by the authorized signatories of the implementing partner. The funds advanced to the project are under the total responsibility of the implementing partner and must only be used for the activities and inputs stated in the annual work plan, and following UNDP's policies and procedures as referred to in the project document.

318. SFP, as the Implementing Partner for international components, must have a good system of recording accounting transactions with and appropriate filing of financial documentation on the project noting that all payments against advance funds must be supported with POs (for procurement reaching PO level), original quotations and invoices, and good received notes and original signed payment vouchers. All these documents must be kept by the Finance Officer in their original forms and made available to the auditor and/or UNDP monitoring team when they request them during project audit and monitoring visits respectively.

319. This modality requires a close monitoring from the country office (CO) in order to verify the correct use of the advanced funds for achieving of immediate results and expected outputs. The country office must also monitor the amounts to be advanced to the project, according to the planned activities in any period (at least quarterly). If the balance at the end of the period is too high, the country office must determine what the problem is and, together with the implementing partner, implement necessary corrective actions.

320. SFP, as an NGO selected as an Implementing Partner for some components of this project, can receive cash advances in accordance to its ability to manage cash, as defined by the evaluation that was carried out by UNDP, of its the capacities for financial management. Then, the NGO will receive the funds through advances, based on its financial reporting. After first instalment, the second and subsequent instalments will be advanced to the NGO quarterly (based on agreed work plan detailed planning of expenses to be made by the project) to SFP, who will in turn report back expense through Funding Authorization and Certification of Expenses (FACE) forms for harmonized programme countries (See FACE workflow below). Note that the recording of expenses, from requisition through to disbursement, occurs in the books of the NGO. . UNDP is pre-funding the activities with advances of cash.

321. In order to receive the funds advanced by UNDP, SFP as Implementing Partner will follow the recommendations of the micro-evaluation of the capacities for financial management of SFP, carried out by UNDP.

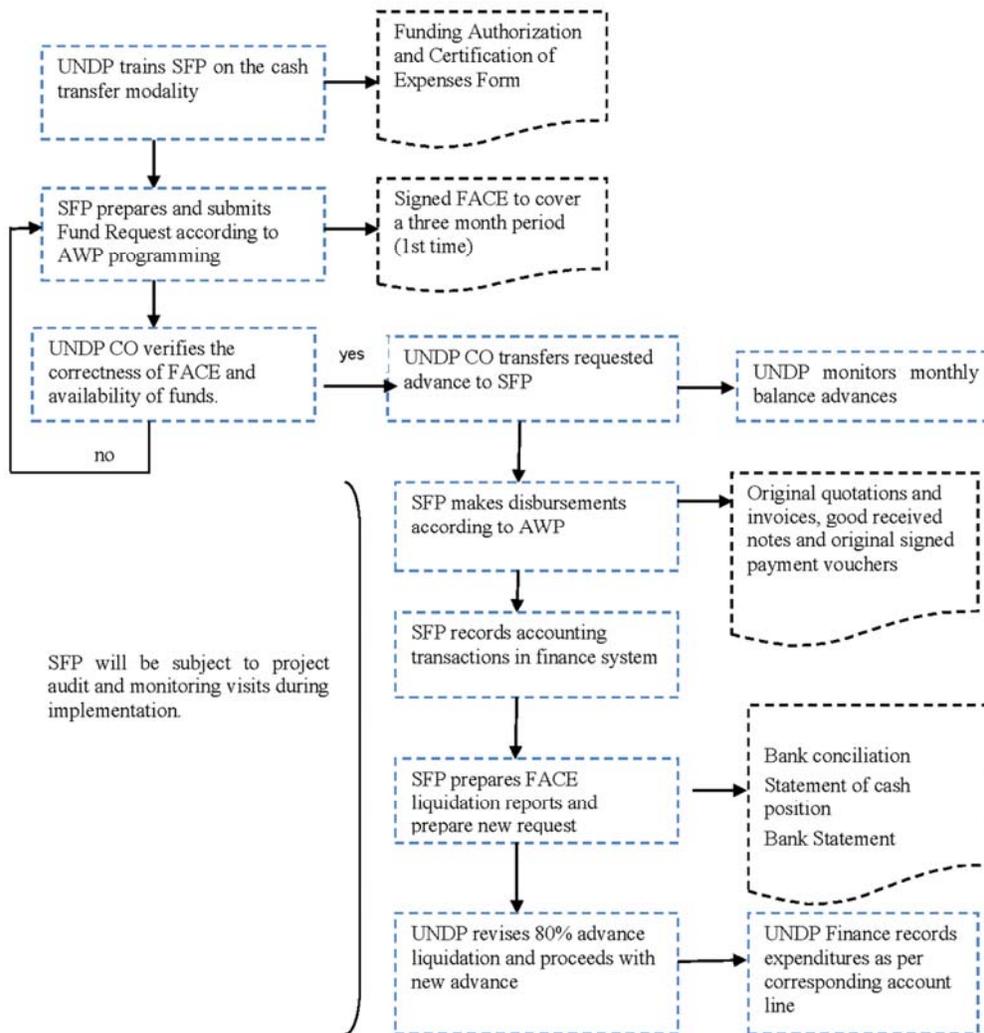


Figure 3.2. Cash Transfer Modality Workflow.

PART IV. MONITORING FRAMEWORK AND EVALUATION

322. The project will be monitored through the following monitoring and evaluation (M&E) activities.

Project start

323. A **Project Inception Workshop** (PIW) will be held within the first two months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible 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. For the present project the PIW will include a workshop on each of the four countries and a teleconference with all the IPs and the COs..

324. The Inception Workshop should address a number of key issues including:

- a. Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b. Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- c. Provide a detailed overview of reporting, monitoring and evaluation requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- d. Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- e. Plan and schedule the meetings of the Steering Committee. Roles and responsibilities of all project organization structures should be clarified and meetings planned. The first meeting of the Steering Committee should be held within the first 12 months following the inception workshop.

325. 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.

Quarterly

1. Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
2. Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).

3. Based on the information recorded in ATLAS, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
4. Other ATLAS logs can be used to monitor issues, lessons learned etc... The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

Annually

326. **Annual Project Review / Project Implementation Reports (APR/PIR).** This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines both UNDP and GEF reporting requirements.
327. The APR/PIR includes, but is not limited to, reporting on the following:
- Progress made toward project objective and project outcomes - each with indicators, baseline data, and end-of-project targets (cumulative)
 - Project outputs delivered per project outcome (annual).
 - Lesson learned/good practice.
 - AWP and other expenditure reports
 - Risk and adaptive management
 - ATLAS QPR
 - Portfolio level indicators (i.e., GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

Periodic Monitoring through site visits

328. The COs and the UNDP RCU will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Steering Committee may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP RCU and will be circulated no less than one month after the visit to the project team and members of the PSC.

Mid-term of project cycle

329. The project will undergo an independent **Mid-Term Evaluation (MTE)** at the mid-point of project implementation (last trimester of year 2). The Mid-Term Evaluation will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this MTE will be prepared by the Ecuador CO as the lead country office based on guidance from the Regional Coordinating Unit and UNDP-GEF. The management response and the evaluation will be uploaded to UNDP corporate systems, in particular the UNDP Evaluation Office Evaluation Resource Center (ERC).

330. The relevant GEF Focal Area Tracking Tools will also be completed during the mid-term evaluation cycle.

End of Project

331. An independent **Final Evaluation** will take place three months prior to the final meeting of the PSC and will be undertaken in accordance with UNDP and GEF guidance. It is expected that the Final Evaluation will be executed in the last trimester of year 4. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the Ecuador CO as the lead country office based on guidance from the Regional Coordinating Unit and UNDP-GEF.

332. The Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to ERC.

333. The relevant GEF Focal Area Tracking Tools will also be completed during the final evaluation.

334. During the last three months (i.e., months 48 to 50), the project team will prepare the **Project Terminal Report**. 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.

Learning and knowledge sharing

335. Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

336. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

337. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

M&E work plan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ Project Manager ▪ Ecuador CO lead CO ▪ UNDP COs, UNDP GEF 	Indicative cost: US\$10,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> ▪ Oversight by Project Manager ▪ Project team 	To be determined as part of the Annual Work Plan's preparation.	Annually prior to APR/PIR and to the definition of annual work plans
APR/PIR	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG 	None	Annually
Periodic status/ progress reports	<ul style="list-style-type: none"> ▪ Project manager and team 	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP lead CO ▪ UNDP COs ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team) 	Indicative cost: US\$45,000	At the mid-point of project implementation.
Final Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP lead CO ▪ UNDP CO ▪ UNDP RCU ▪ Implementing partners ▪ External Consultants (i.e. evaluation team) 	Indicative cost : US\$45,000	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP lead CO ▪ UNDP CO ▪ Implementing partners ▪ local consultant 	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project manager and team ▪ Implementing partners 	Indicative cost per country: US\$3,750. Total:15,000	Every year during the project lifetime
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP CO ▪ UNDP RCU (as appropriate) ▪ Government representatives 	For GEF supported projects, paid from IA fees and operational budget	Yearly
Dissemination of lessons learnt	<ul style="list-style-type: none"> ▪ Project Coordination Unit 	0	At least three months before the end of the project
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		US\$ 115,000 (+/- 2% of total budget)	

PART V. LEGAL CONTEXT

338. 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 SBAs 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 SBA with UNDP, attached hereto and forming an integral part hereof.
339. This project will be implemented by the Ministry of Agriculture and Livestock of Costa Rica, the Ministry of Agriculture, Livestock, Aquaculture and Fisheries of Ecuador, Ministry of Marine Affairs and Fisheries of Indonesia, the Bureau of Fisheries and Aquatic Resources of Philippines, and the Sustainable Fisheries Partnership Foundation ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of 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 UNDP shall apply.
340. The responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. The Implementing Partner 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; (b) assume all risks and liabilities related to the Implementing Partner'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.
341. The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the 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 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>.
342. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Agreement On Intellectual Property Rights And Use Of Logo On The Project's Deliverables

343. In order to accord proper acknowledgement to GEF for providing funding, a GEF logo should appear on all relevant GEF project purchases, including among others, project hardware and vehicles purchased with GEF funds. Any citation on publications regarding projects funded by GEF should also accord proper acknowledgement to GEF.

SECTION II. PROJECT RESULTS FRAMEWORK

<p>This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:</p> <p>Costa Rica: UNDAF 4.2: The public, private and civil society sectors will progress in adopting and implementing policies and strategies to consider environmental quality management and integrated natural resource management and in the valuation of environmental goods and services, the protection, conservation and sustainable use of biodiversity.</p> <p>Ecuador: UNDAF Direct Outcome 5: CPAP Direct Outcome 3: Prioritization of conservation and the equitable and sustainable management of biodiversity in the development agenda.</p> <p>Indonesia: UNPDF 2.1.2 Government, private sector and CBO partners have coherent and effective policy frameworks, action plans, implementing arrangement and funding arrangement to sustainably manage coastal and marine ecosystems. CPAP Outcome 2.1: Responsible national institutions and relevant stakeholders are more effective in managing environmental resources and addressing environmental pollution.</p> <p>Philippines: UNDAF Outcome 4 CPAP Output 4.3 Increased capacities of key duty bearers to provide enabling environment for claimholders' improved access to an enhanced natural resource base, sustainable energy and cleaner environment.</p>
<p>Country Programme Outcome Indicators:</p> <p>Costa Rica: Number of "green" companies and initiatives.</p> <p>Ecuador: Number of financial sustainability mechanisms designed, agreed with stakeholders' participation, men and women, and implemented.</p> <p>Indonesia: Condition of coral reefs in Indonesia.</p> <p>Philippines: Percentage of degradation rates of critical environmental and natural resources; percentage decrease in mortalities, morbidities and economic losses from natural hazards and environmental degradation.</p>
<p>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. Indicator 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.</p>
<p>Applicable GEF Strategic Objective and Program: IW Objective 2: Catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change</p>
<p>Applicable GEF Expected Outcomes: IW Outcome 2.3: Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measureable results</p>
<p>Applicable GEF Outcome Indicators: IW Indicator 2.3: Measurable results for reducing land-based pollution, habitat, and sustainable fisheries from local demonstrations</p>

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
Project Objective ¹⁵¹ (equivalent to output in ATLAS) To mainstream sustainability into seafood supply chains through market and policy mechanisms and partnerships with the overarching goal of rebuilding and protecting fish stocks and livelihoods	MSC certified landings	2012: 6.5 million tonnes (8% of marine capture)	>7.0 million tonnes	MSC Global Impacts Report FAO SOFIA	The end-users and the stakeholders of the seafood value chains have an increased interest in sustainable seafood.
Outcome 1 ¹⁵² Increased global market demand for sustainable certified marine commodities and associated reduction of IUU fisheries	1a. Number of fisheries for the targeted commodities (tuna, large pelagics, blue swimming crab) that are sourced by SFP partners and their suppliers and that are either in a FIP or MSC certified.	Tuna 17 (11 FIP, 6 MSC) LPF 7 (5 FIP, 2 MSC) BSC 3 (all FIP)	Year 2. >10% increase Year 4. >20% increase	Annual report from SFP through its Metrics system (used by all retail/buyer partners and their suppliers) APR/PIR	Supply of seafood products from certified fisheries and FIPs. Growing demand from end buyers for seafood products from sustainable sources
	1b. Number of international seafood buyers ('buyers' = SFP partners plus suppliers to SFP partners) with sustainable seafood purchasing policies	270 (August 2014)	Year 3. >279 Year 4. >285	Annual report from SFP APR/PIR	There is sufficient supply of seafood products from certified fisheries and FIPs. Buyers are interested in sourcing from sustainable fisheries

¹⁵¹ Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

¹⁵² All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
Outcome 2 Increased pressure on RFMOs and their Contracting Parties to adopt more sustainable and science-based practices for shark and tuna conservation and management measures through engagement of international value chains	2. Number of buyers ('buyers' = SFP partners plus suppliers to SFP partners) with procurement policies for tuna that include support of more effective CMMs for tuna, sharks and LPF in IATTC and WCPFC	0	Year 2: >2 (IATTC = 1; WCPFC = 1) Year 4: >4 (IATTC = 2; WCPFC = 2)	Annual report of IATTC and WCPFC meetings APR/PIR	International seafood buyers are willing to issue position statements to the OROPs.
Outcome 3 Increased synergy and involvement of national and international players (i.e., retailers, traders, processors, fishermen and fisheries authorities) in sustainable seafood value chains	3a Number of Sustainable Marine Commodities Platforms	0	Year 2: >6 Year 3: 9	APR/PIR	There is sufficient market leverage to promote engagement of the seafood value chain of target fisheries. Fisheries authorities support SMCPs. The members of the seafood value chain have interest in participating in the SMCPs.
	3b. Number of Sustainable Fisheries Action Plans under implementation	4 ¹⁵³	Year 3: >8 Year 4: 10	Legal instruments adopting the SFAPs APR/PIR	There is sufficient market leverage to promote engagement of the seafood value chain. The fisheries authorities and the members of the seafood

¹⁵³ Costa Rica: 0. Ecuador: PAN-Dorado, PAT-EC. Indonesia: Indonesia National Tuna Management Plan. Philippines: The Philippine Blue Swimming Crab Management Plan.

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
					value chain support and participate in SFAPs.
Outcome 4 Increased sustainability scores of marine commodities purchased from project fisheries	4a. Number of FIPs rated 'A' (exceptional progress ¹⁵⁴)	1 (PHI BSC)	Year 3: >3 Year 4: >8	Annual report from SFP APR/PIR	Buyers prefer seafood products from credible FIPs and certified fisheries Fishermen and processors see market opportunities in FIPs and certification.
	4b. Private investment in FIPs	US\$250,000/year	Year 3: ≥US\$1,500,000/year		
	4c. Number of fisheries in certification process (have entered process, undergoing assessment, or have been certified)	Fisheries entered into certification process: 0	Year 3: >2 Year 4: >3		

¹⁵⁴ Refer to SFP's FIP progress rating system. A: exceptional progress, B: good progress, C: some recent progress, D: some past progress, E: negligible progress.

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	4d. MSC & FishSource scores	<p>CRI mahi mahi (stock level) http://www.fishsource.com/site/goto_profile_by_uuid/3ce5df58-e0e3-11e1-8650-40406781a598 score 1: <6; score 2: <6; score 3: <6; score 4: ≥6; score 5: ≥6</p> <p>CRI tuna – Yellowfin - score 1: ≥6; score 2: ≥6; score 3: ≥8; score 4: 7.3; score 5: 8.0</p> <p>Bigeye – score 1: ≥6; score 2: ≥6; score 3: ≥8; score 4: 8.3; score 5: 8.2</p> <p>Skipjack - score 1: ≥6; score 2: ≥6; score 3: ≥8; score 4: 9.2; score 5: ≥8</p> <p>ECU mahi mahi http://www.fishsource.com/site/goto_profile_by_uuid/0374001c-08b9-11e0-9d10-40406781a598 score 1: <6; score 2: <6; score 3: <6; score 4: ≥6; score 5: ≥6</p> <p>ECU BET http://www.fishsource.com/site/goto_profile_by_uuid/80772932-0895-11e0-92d6-40406781a598 (note that this profile is differentiated by jurisdiction, being under EC rather than IATTC, and by using longline gear; for the stock-based Eastern Pacific bigeye tuna profile under IATTC, the scores are exactly the same - see</p>	<p>Year 1: baseline FishSource scores for all fisheries</p> <p>Year 3: For 50% of the target fisheries (50% = 5 fisheries) there is an improvement of at least one level (levels = <6, ≥6, and ≥8) in 2 of the 5 FishSource scores (assuming not ≥8)¹⁵⁵</p> <p>Year 4: For 80% of the target fisheries (80% = 8 fisheries) there is an improvement of at least one level (levels = <6, ≥6, and ≥8) in 2 of the 5 FishSource scores (assuming not ≥8)</p>		

¹⁵⁵ As noted, we will identify THREE levels of FS scores: <6, ≥6, and ≥8. If a score is 8 or above– and we do have scores in the range of 9 and 10 – it will count the same as a score of 8 exactly.

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
		<p>http://www.fishsource.com/site/goto_profile_by_uuid/49dba91e-f42a-11de-8bc6-daf105bfb8c2)</p> <p>score 1: ≥6; score 2: ≥6; score 3: ≥8; score 4: 8.3; score 5: 8.2</p> <p>ECU PST http://www.fishsource.com/site/goto_profile_by_uuid/2582166e-d6fb-11e1-b0bb-40406781a598</p> <p>score 1: ≥6; score 2: ≥6; score 3: ≥8; score 4: 9.2; score 5: ≥8</p> <p>IDN tuna http://www.fishsource.com/site/goto_profile_by_uuid/8b60feaf-0a39-11e0-910f-40406781a598</p> <p>score 1: ≥8; score 2: ≥6; score 3: <6; score 4: 9.0; score 5: 9.2</p> <p>IDN BSC http://www.fishsource.com/site/goto_profile_by_uuid/97f035f0-2e53-11dd-87d8-daf105bfb8c2</p> <p>score 1: <6; score 2: <6; score 3: NA; score 4: NA; score 5: <6</p> <p>IDN snapper http://www.fishsource.com/site/goto_profile_by_uuid/8087c27e-fcc2-11e1-b533-40406781a598</p> <p>score 1: <6; score 2: NA; score 3: <6; score 4: NA; score 5: <6</p> <p>PHI BSC http://www.fishsource.com/site/goto_profile_by_uuid/4298031c-2e58-11dd-87d8-daf105bfb8c2</p> <p>score 1: ≥6; score 2: ≥6; score 3: <6; score 4: NA; score 5: <6</p> <p>PHI octopus -- no FishSource profile/scores at present</p>			

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<p>Outcome 5</p> <p>Reliable and verifiable information of target marine commodities is publically available and is used by value chain stakeholders for decision making and engagement in fishery improvement projects</p>	5a. Number of registered users	<p>FishSource: 2270 (individuals)</p> <p>Metrics: 472 (Number of companies subscribed – the number of registered individuals/employees for each company will vary by company size and their management structure)</p>	<p>FS Year 3: >15% increase</p> <p>FS Year 4: >25% increase</p> <p>Metrics Year 3: >10% increase</p> <p>Metrics Year 4: >20% increase</p>	<p>Annual report from SFP</p> <p>APR/PIR</p>	<p>Industry and research/NGO audiences see increased value in registering for FishSource to access features not available to public users.</p> <p>Industry partners to SFP see increased value in assessing their sustainability commitments using Metrics risk ratings.</p>
	5b. Number of visitors (average visitors per month to the site)	<p>FishSource: 1,875</p> <p>FIP Directory: 282</p> <p>MSC website: NA</p>	<p>Year 3: >15% increase</p> <p>Year 4: >30% increase</p>	<p>Google Analytics- Annual report from SFP</p> <p>Annual report from MSC</p> <p>APR/PIR</p>	<p>Industry and research/NGO audiences see increased value in obtaining fishery information from FishSource.</p> <p>Industry and research/NGO audiences see increased value on obtaining information on FIPs through FIP Directory.</p>
	5c. Level of satisfaction (in terms of meeting user expectations) of information users for each site (exceeds expectations =3; meets expectations = 2; below expectations = 1; averaging scores for all areas)	<p>FishSource: NA¹⁵⁶</p> <p>Metrics: NA</p> <p>MSC: NA</p> <p>FIP Directory: NA</p>	<p>Year 1: baseline for all sites.¹⁵⁷</p> <p>Year 3: average = 2</p> <p>Year 4: average = 2.5</p>	<p>Survey report from SFP</p> <p>APR/PIR</p> <p>Survey report from MSC</p>	<p>Users of all these sites are increasingly satisfied (in terms of meeting or exceeding their expectations) with the information content, organisation, and navigation.</p>

¹⁵⁶ No user satisfaction data has been collected yet.

¹⁵⁷ We cannot differentiate visitors to the websites or their satisfaction level by marine commodities, only by the site itself (overall)

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	5d. Quality level for the profiles for each group/sector (e.g., quality of tuna profiles), based on review by independent experts, with each sector graded A, B or C.	0	Year 1: baseline for all target marine commodities Year 4: One grade level increase by group/sector (assuming not grade A)	Review report from SFP APR/PIR	Independent experts evaluate FishSource profiles highly for the target marine commodity sectors.
Outcome 6 Better knowledge management on mainstreaming sustainability into seafood value chains	6a Number of visitors of best practice documents	0	Year 3: >750 total Year 4: >1500 total	Survey reports from SFP, GEF APR/PIR	Best practice information shared by the project is increasingly accessed by IW:LEARN users.
	6b Level of utility of best practice documents (exceeds expectations =3; meets expectations = 2; below expectations = 1; averaging scores for all areas)	0	Year 3: 2 average ¹⁵⁸ Year 4: 2.5 average	Survey report from SFP APR/PIR	Users of best practice information increasingly find that it meets or exceeds their expectations.

Output	Activities
1.1. Improved seafood purchasing policies and targets to increase sourcing of certified goods of 15 major supply chain partners (retail and buyers) from EU, Japan and US which are following sustainability guidelines	<ul style="list-style-type: none"> a. Seafood expo stand (US, EU, Japan) b. Sector group roundtables (tuna, BSC, LPF) c. Supplier roundtables (tuna, BSC, LPF) d. Face to face meetings with major buyers (wholesale, retail) and processors.
1.2. Sustainable seafood sourcing policy guidance toolkit for retailers, wholesale buyers and processors	<ul style="list-style-type: none"> a. Prepare draft b. Consultation with stakeholders c. Electronic publication and distribution

¹⁵⁸ Three point scale: 3: exceeds expectations, 2: meets expectations, 1: below expectations

Output	Activities
1.3. At least 15 new supply chain partners from EU, Japan and US adopt purchase policies to incentivize sourcing only from fishermen and traders who provide sustainable seafood.	<ul style="list-style-type: none"> a. Present policy guidance toolkit in sector group roundtables (tuna, BSC, LPF) b. Present policy guidance toolkit in supplier roundtables (tuna, BSC, LPF) c. Face to face meetings with major buyers (wholesale, retail) and processors.
2.1. At least four position statements of major international seafood buyers or their suppliers in support of more effective CMMs for tuna, sharks and LPF in IATTC and WCPFC	<ul style="list-style-type: none"> a. Follow meetings and decisions of IATTC and WCPFC b. Establish long-term communication channels with major buyers of species covered by both RMFOs c. Advocate to major buyers for them to request more effective CMMs
2.2. Draft regional management rules for mahi mahi presented to IATTC	<ul style="list-style-type: none"> a. Support participation of ECU and CRI delegations b. Follow meetings and decisions and disseminate briefs to stakeholders c. Advocate to major US buyers to press for sound management rules d. Advocate to major ECU and CRI processors and retailers to support sound management rules
3.1. National sustainable marine commodities platforms established in 4 countries to assist suppliers and buyers to coordinate planning improvements in the environmental performance of target supply chains	<ul style="list-style-type: none"> a. In-depth sector analysis. b. Engage sector specific stakeholders c. Information meetings and training workshops on (i) sustainable seafood value chains, (ii) sustainable seafood certification, (iii) introduction to fisheries improvement projects, (iv) seafood traceability systems, (v) measures to deter IUU and seafood fraud, (vi) MSC standards for sustainable fishing and chain of custody, (vii) effects of climate change on fisheries, and (viii) effects of ENSO on fisheries.. d. Platform establishment. e. Prepare five years strategic plan f. Platform support (market information, meetings with major buyers, roundtables, training) g. Monitoring and evaluation
3.2. Sustainable fisheries action plans (SFAP) in place for best practices in fish harvesting in at least 9 fisheries [CRI: LPF - ECU: mahi mahi, BET, PST, hake – IDN: tuna, BSC, snapper – PHI: BSC, octopus]	<ul style="list-style-type: none"> a. Establish working group b. Situation analysis of fishery and value chain c. Participatory planning d. Adopt SFAP e. Support SFAP implementation f. Monitoring and evaluation
4.1. Updated guidelines for developing responsible FIPs and progress classification instrument (tracking tool)	<ul style="list-style-type: none"> a. Evaluate the performance and limitations of existing instruments b. Prepare proposed updates and trial run c. Consultation d. Prepare final instruments e. Electronic publication and dissemination
4.2. Implement at least 10 FIPs amongst the four countries [CRI: tuna, mahi mahi - ECU: mahi mahi, BET, PST - IDN: tuna, BSC, snapper – PHI: BSC, octopus]	<ul style="list-style-type: none"> a. For ongoing FIPs, conduct external performance evaluation and update FIP plan. b. For new FIPs: <ul style="list-style-type: none"> i. Establish FIP agreement among stakeholders (fishermen, processors, buyers, fisheries authority) ii. Conduct pre-assessment and FishSource profile iii. Prepare FIP plan and make all information publicly available

Output	Activities
	<ul style="list-style-type: none"> c. Training and support for suppliers, fishermen, and regulators to enable an improved understanding of FIPs and the certification process (guidelines for developing credible FIPs and tracking tool) d. Implement FIP e. Monitor FIP implementation and prepare progress reports f. For fisheries interested in MSC certification, encourage and support demonstration fisheries to enter MSC fishery assessment when FIP tracking indicates it is ready.
<p>5.1. Profiles of all project target fisheries are developed and maintained in fisheries sustainability databases (i.e. FishSource.com; MSC.org) based upon reliable, publicly available, up-to-date information on stock status, management quality, and environmental & biodiversity impacts of fishing activities</p>	<ul style="list-style-type: none"> a. Gap analysis to identify information needs for target fisheries. b. Gather additional information. c. Validate information with SFP improvement team d. Complete fisheries profile with up-to-date information e. Publish fisheries profile in FishSource f. Install Metrics system on each company that participate in the project FIPs g. Train new Metric users h. Update fishery profiles and the corresponding scores and FIP ratings
<p>5.2. Scientific working groups for key commodities (BSC, mahi mahi, BET, ITF, snapper, octopus) are created, SFP coordinators appointed, and work plans implemented in support of expert networks</p>	<ul style="list-style-type: none"> a. Identify experts for working groups (3-5 scientists per group x 7 target fisheries) b. Contract experts with specific terms of reference c. Appoint SFP coordinators to oversee the working groups d. Prepare working group work plans e. Implement working group work plans
<p>5.3. Information systems tailored to help industry stakeholders adopt proper procurement policies, provide them with advice on improvement actions in problematic fisheries, and track improvements being made toward set goals (i.e. FishSource, FIP Directory)</p>	<ul style="list-style-type: none"> a. Identify specific information needs of stakeholders from target fisheries (scientific, industry and general audiences). b. Adjust protocols for information gathering, validation and publication in FishSource and FIP Directory. c. Implement updated protocols. d. Monitor and evaluate satisfaction of target audiences.
<p>6.1. Best practices documented and experiences shared with other projects to incentivize change in other fisheries through IW:LEARN and project website</p>	<ul style="list-style-type: none"> a. Establish and maintain bilingual project website (i.e., English and Spanish). b. Establish and maintain linkages and interaction with IW LEARN, GCP, SFP, MSC, FIP Directory, and the platforms of the NFAs. c. Document and distil learnings through coordinated national, regional and international workshops in years 2 and 4. d. Participate in IWC8 and IWC9. e. Prepare three electronic publications with project learnings (with extended summaries in Bahasa Indonesia, Spanish and Tagalog). f. Midterm external independent evaluation on year 2 (final quarter) and final external independent evaluation on year 4 (last quarter).

SECTION III. BUDGET AND WORK PLAN

COSTA RICA

Award ID:	00083713	Project ID	00092047	PIMS: 4754	GEF: 5271						
Award Title:	Global Sustainable Supply Chains for Marine Commodities										
Business Unit:	CRI10										
Project Title:	Global Sustainable Supply Chains for Marine Commodities										
PIMS no.	4754										
Implementing Partner (Executing Agency)	Ministry of Agriculture and Livestock										
GEF Outcome/ Atlas Activity	Responsible party	Fund ID	Source of funds	ERP/ATLAS Budget Description/ Input	Atlas Code	Year 1	Year 2	Year 3	Year 4	Total	Budget notes
						US\$	US\$	US\$	US\$	US\$	
1.Promotion of global demand for sustainable marine commodities	GEF subtotal outcome 1										
2. Enabling environments for sustainable marine commodities supply chains	MAG	62000	GEF	Contractual Services - Individual	71400	98,400	98,400	98,400		295,200	7
				Travel	71600	15,725	15,725	15,725		47,175	9
				Contractual services - companies	72100	22,525	17,525			40,050	10
				Communications	72400	1,887	1,887	1,887		5,661	34
				Training	75700	41,725	30,725	14,725		87,175	11
GEF subtotal outcome 2						180,262	164,262	130,737		475,261	
3. Demonstration fisheries improvement projects (FIPs)	GEF subtotal outcome 3										
4. Sustainable marine commodities information and knowledge management systems.	GEF subtotal outcome 4										
Project Management	UNDP	62000	GEF	Audit services	74100	937.50	937.50	937.50	937.50	3,750	36
				Direct project costs	74598	8,187.64	8,032.93	6,034.35	4,708.27	26,963.19	39
				GEF subtotal outcome 5				9,125.14	8,970.43	6,971.85	5,645.77
GEF total						189,387.14	173,232.43	137,708.85	5,645.77	505,974.19	

ECUADOR

Award ID:	00083706	Project ID	00092045	PIMS: 4754	GEF: 5271						
Award Title:	Global Sustainable Supply Chains for Marine Commodities										
Business Unit:	ECU10										
Project Title:	Global Sustainable Supply Chains for Marine Commodities										
PIMS no.	4754										
Implementing Partner (Executing Agency)	Ministry of Agriculture, Livestock, Aquaculture and Fisheries										
GEF Outcome/ Atlas Activity	Responsible party	Fund ID	Source of funds	ERP/ATLAS Budget Description/ Input	Atlas Code	Year 1	Year 2	Year 3	Year 4	Total	Budget notes
						US\$	US\$	US\$	US\$	US\$	
1.Promotion of global demand for sustainable marine commodities	GEF subtotal outcome 1										
2. Enabling environments for sustainable marine commodities supply chains	MAGAP	62000	GEF	Contractual Services - Individual	71400	78,000	78,000	78,000		234,000.00	7
				Travel	71600	15,725	15,725	15,725		47,175.00	9
				Contractual services - companies	72100	30,180	27,525			57,705.00	12
				Training	75700	38,129.08	30,725	14,725		83,579.08	11
				Communications	72400	1,887	1,887	1,887		5,661.00	34
GEF subtotal outcome 2						163,921.08	153,862.00	110,337.00		428,120.08	
3. Demonstration fisheries improvement projects (FIPs)	GEF subtotal outcome 3										
4. Sustainable marine commodities information and knowledge management systems.	GEF subtotal outcome 4						c				
Project management ¹⁵⁹	UNDP	62000	GEF	Audit service	74100	937.50	937.50	937.50	937.50	3,750	36

¹⁵⁹ DPC for Ecuador is covered from the international component.

	GEF subtotal outcome 5		Total		937.50	937.50	937.50	937.50	3,750	
	GEF total				164,858.58	154,799.50	111,274.50	937.50	431,870.08	

INDONESIA

Award ID:	00083791	Project ID	00092095	PIMS: 4754	GEF: 5271						
Award Title:	Global Sustainable Supply Chains for Marine Commodities										
Business Unit:	IND10										
Project Title:	Global Sustainable Supply Chains for Marine Commodities										
PIMS no.	4754										
Implementing Partner (Executing Agency)	Ministry of Marine Affairs and Fisheries										
GEF Outcome/ Atlas Activity	Responsible party	Fund ID	Source of funds	ERP/ATLAS Budget Description/ Input	Atlas Code	Year 1	Year 2	Year 3	Year 4	Total	Budget notes
						US\$	US\$	US\$	US\$	US\$	
1.Promotion of global demand for sustainable marine commodities	MMAF	62000	GEF	Contractual Services-Individual	71400	4,690	4,690	4,690	4,690	18,760	6
	GEF subtotal outcome 1						4,690	4,690	4,690	4,690	18,760
2. Enabling environments for sustainable marine commodities supply chains	MMAF	62000	GEF	Contractual Services - Individual	71400	79,160	79,160	79,160	58,760	296,240	8
				Travel	71600	6,000	24,500	8,500	2,500	41,500	9
				Contractual services - companies	72100	15,000	20,000			35,000	13
				Communications	72400	1,200	1,200	1,200		3,600	34
				Training	75700	38,000	31,000	15,000		84,000	11
	MMAF for Indonesia and Philipines component			International Consultants	71200		20,000	20,000	20,000	60,000	15
GEF subtotal outcome 2						139,360	175,860	123,860	81,260	520,340	
3. Demonstration fisheries improvement projects (FIPs)	MMAF	62000	GEF	Local Consultants	71300	49,825	49,825	49,825	49,825	199,300	17
				International Consultants	71200		7,000		7,000	14,000	18
				Travel	71600	10,450	10,450	10,450		31,350	22
				Miscellaneous Expenses	74500	13,200	13,200	13,200		39,600	23
				Training	75700	16,500	16,500			33,000	24
GEF subtotal outcome 3						89,975	96,975	73,475	56,825	317,250	
4. Sustainable marine commodities information and	MMAF	62000	GEF	Local Consultants	71300	14,025.50	14,025.50	14,025.50	14,025.50	56,102	26
				Miscellaneous Expenses	74500	1,279	1,279	1,279	1,278	5,115	27

knowledge management systems.			Travel	71600	10,900	12,900	10,900	10,000	44,700	28	
			International Consultants	71200		3,300	3,300	3,300	9,900	31	
	GEF subtotal outcome 4				26,204.50	31,504.50	29,504.50	28,603.60	115,817		
Project Management											
				Direct project costs	74598	8,187.64	8,032.93	6,034.35	4,708.27	26,963.19	39
				Audit services	74100	937.50	937.50	937.50	937.50	3,750	36
	GEF subtotal project management			Total		9,125.14	8,970.43	6,971.85	5,645.77	30,713.19	
GEF total					269,354.64	317,999.93	238,501.35	177,024.37	1,002,880.19		

PHILIPPINES

Award ID:	00083787	Project ID	00092092	PIMS: 4754	GEF: 5271							
Award Title:	Global Sustainable Supply Chains for Marine Commodities											
Business Unit:	PHL10											
Project Title:	Global Sustainable Supply Chains for Marine Commodities											
PIMS no.	4754											
Implementing Partner (Executing Agency)	Bureau of Fisheries and Aquatic Resources											
GEF Outcome/ Atlas Activity	Responsible party	Fund ID	Source of funds	ERP/ATLAS Budget Description/ Input	Atlas Code	Year 1	Year 2	Year 3	Year 4	Total	Budget notes	
						US\$	US\$	US\$	US\$	US\$		
1.Promotion of global demand for sustainable marine commodities												
GEF subtotal outcome 1												
2. Enabling environmentsfor sustainable marine commodities supply chains	BFAR	62000	GEF	Contractual Services - Individual	71400	98,400	98,400	98,400		295,200	7	
				Travel	71600	15,725	15,725	15,725		47,175	9	
				Contractual services - companies	72100	22,525	17,525			40,050	10	
				Communications	72400	1,887	1,887	1,887		5,661	34	
				Training	75700	41,725	30,725	14,725		87,175	11	
GEF subtotal outcome 2							180,262	164,262	130,737		475,261	
3. Demonstration fisheries improvement projects (FIPs)												
GEF subtotal outcome 3												
4. Sustainable marine commodities information and knowledge management systems.												
GEF subtotal outcome 4												
Project Management	UNDP	62000	GEF	Direct project costs	74598	8,187.64	8,032.93	6,034.35	4,708.27	26,963.19	39	
				Audit services	74100	937.50	937.50	937.50	937.50	3,750	36	
				GEF subtotal project management							9,125.14	8,970.43
GEF total							189,387.14	173,232.43	137,708.85	5,645.77	505,974.19	

ECUADOR UNDP INTL & SUSTAINABLE FISHERIES PARTNERSHIP

Award ID:	00090199	Project ID	00092047	PIMS: 4754				GEF: 5271			
Award Title:	Global Sustainable Supply Chains for Marine Commodities										
Business Unit:	ECU10										
Project Title:	Global Sustainable Supply Chains for Marine Commodities										
PIMS no.	4754										
Implementing Partner (Executing Agency)	Sustainable Fisheries Partnership										
Project Component GEF Outcome/ Atlas Activity	Responsible party	Fund ID	Source of funds	ERP/ATLAS Budget Description/ Input	Atlas Code	Year 1	Year 2	Year 3	Year 4	Total	Budget notes
						US\$	US\$	US\$	US\$	US\$	
1	SFP	62000	GEF	International Consultants	71200	79,200	79,200	19,800	19,800	198,000	2
				Contractual Services - Individual	71400	12,249.60	12,249.60	12,249.60	12,249.60	48,998.40	3
				Travel	71600	29,700	29,700	16,500	16,500	92,400	4
				Workshops	75700	24,200	24,200			48,400	5
	UNDP			Contractual Services - Individual	71400	19,638.40	19,638.40	19,638.40	19,638.40	78,553.60	1
	GEF subtotal outcome1						164,988	164,988	68,188	68,188	466,352
2	UNDP	62000	GEF	Contractual Services - Individual	71400	18,848	18,848	18,848	18,848	75,392	14
				International Consultants	71300	74,000	74,000	74,000	54,000	276,000	15
				Training	75700	24,000				24,000	11
				Travel	71600	20,000	2,500	18,500	2,500	43,500	9
	GEF subtotal outcome 2						136,848	95,348	111,348	75,348	418,892
3	SFP	62000	GEF	International Consultants	71200	22,550	22,550	14,850	14,850	74,800	16
				Local Consultants	71300	158,400	158,400	158,400		475,200	19
				Contractual Services - Individual	71400	6,124.80	6,124.80	6,124.80	6,124.80	24,499.20	20
				Travel	71600	31,350	31,350	31,350		94,050	21
				Miscellaneous Expenses	74500	30,800	30,800	30,800		92,400	23
	Training	75700	38,500	38,500			77,000	24			
UNDP	62000	GEF	Contractual Services - Individual	71400	18,848	18,848	18,848	18,848	75,392	1	

GEF subtotal outcome 3					306,572.80	306,572.80	260,372.80	39,822.80	913,341.20			
4	SFP	62000	GEF	International Consultants	71200	105,551.49	91,801.49	41,801.49	41,801.49	280,955.96	25	
				Contractual Services - Individual	71400	12,249.60	12,249.60	12,249.60	12,249.60	48,998.40	3	
				Miscellaneous Expenses	74500	76,271	72,421	72,421	72,422	293,535	27	
				Travel	71600	8,800	4,000	8,800	4,000	25,600	29	
	UNDP			Contractual Services - Individual	71400	19,638.40	64,638.40	19,638.40	64,638.40	168,553.60	1	
				Travel	71600	53,600	67,600	43,600	66,000	230,800	28	
				Audio Visual&Print Prod Costs	74200	6,600	6,600	6,600	6,600	26,400	30	
GEF subtotal outcome 4					282,710.49	319,310.49	205,110.49	267,711.49	1,074,842.96			
					Year 1	Year 2	Year 3	Year 4	Year5	TOTAL	BN	
Project management	UNDP	62000	GEF	Contractual Services - Individual	71400	26,419.20	26,419.20	26,419.20	26,419.20	13,432	119,108.80	32
				Travel	71600	3,000	3,000	3,000	3,000		12,000	33
				Communications	72400	1,200	1,200	1,200	1,200	200	5,000	38
				Equipment and Furniture	72200	5,491.20					5,491.20	35
				Supplies	72500	600	600	600	600		2,400	40
				Audio Visual&Print Prod Costs	74200				8,910		8,910	37
				Direct Project Costs	74598	8,187.64	8,032.93	6,034.35	3,878.93	829.34	26,963.19	39
	GEF subtotal project management					44,898.04	39,252.13	37,253.55	44,008.13	14,461.34	179,873.19	
TOTAL GEF					936,017.33	925,471.42	682,272.84	495,078.42	14,461.34	3,053,301.35		

Budget note

Budget Note	Details per responsible party
1	<p>International Project Coordinator (total salary US\$5,016/month). The coordinator will assign about 20% of time to oversee component 1, 25% to component 2, 25% to component 3, 20% to component 4, and 10% to project management. In the last two months of the project (months 49 and 50) the IPC will entirely concentrate on project closure. The value presented here corresponds to the fraction of his/her time assigned to this particular outcome.</p> <p>Monitoring and evaluation officer (M&E-O) US\$1,900/month x 48 months. This person will assign a similar portion of time to each of the six outcomes.</p> <p>Mid-term independent external evaluation in year 2 (last quarter) and final independent external evaluation in year 4 (last quarter). US\$45,000/evaluation. The mid-term evaluation will provide insights about the learnings of the project and will be an input for the actions to document lessons and best practices to be executed in year 4.</p>
2	<p>SFP project coordinator (total salary US\$3,712.5/month) coordinate all SFP activities. This person will assign 1/3 of time to oversee each of the components run by SFP (i.e., components 1, 3 and 4), in Ecuador, Costa Rica and the Philippines.</p> <p>a) This cost corresponds to the fraction of his/her time assigned to outcome 1 (22.20% aprox.) USD\$ 79,200 in four years. This value includes 10% administration cost of SFP.</p> <p>b) Subcontract with MSC for training in fisheries and value chain certification (in support of national platforms and FIP stakeholders) and advice to fisheries interested in MSC certification in the four countries. The details of the products will be defined at project start. US\$4,500/month x 24 months = US\$108,000. SFP administration cost 10% = US\$10,800. Grand total US\$118,800 in two years.</p>
3	<p>SFP project coordination accounting and staff support for coordinating all SFP activities. US\$2,320/month x 48 months = US\$111,360 + 10% administration cost of SFP (US\$11,136) = US\$122,496 in total (four years). This person will assign 20% of time to each of the five outcomes run by SFP (i.e., outcomes 1, 2, 4, 5 and 6). This value correspond to the fraction of his/her time assigned to this outcome (20%) = US\$ 24,499.20.</p>
4	<p>Travel costs of Costa Rican and Ecuadorian delegations (experts) to participate in technical meetings of the IATTC process to perform a regional stock assessment and to develop regional management rules for mahi mahi. Two delegations one trip per year (years 1 and 2). US\$6,000 delegation⁻¹ year⁻¹. Total travel grants US\$24,000 + 10% administration fee US\$2,400.</p>

	For years 1 to 4, SFP travel to participate in technical meetings and in RFMO meetings. US\$5,500/year, including 10% administration fee. The details of travel will be defined in each annual work plan.
5	<p>In years 1 and 2, preparatory meetings, groundwork and/or technical advice of Costa Rican and Ecuadorian delegations to participate in technical meetings of the IATTC's process to perform a regional stock assessment and to develop regional management rules for mahi mahi. Lump sum US\$3,500 delegation⁻¹ year⁻¹ + 10% SFP administration fee. The details for the use of the fund will be defined in each annual work plan.</p> <p>Fund to co-finance the hosting of technical meetings in Costa Rica and Ecuador (one meeting per country) of the IATTC's process to develop regional management rules for mahi mahi. US\$7,500 meeting⁻¹ country⁻¹ + 10% administration fee. The fund will be used to cover part of the cost of hosting the meeting in the country, for example simultaneous translation, travel cost of invited scientists, coffee breaks. The specific use of the fund will be decided with each national fisheries authority.</p>
6	Marine Commodities Supply Chain Advisor (partnership advisor) to be hired in Indonesia (US\$ 1954.167/month). He/she will assign 20% of the time to work in Component 1 corresponding to \$18,760. Total for Component 1: US\$ 18,760
7	National Platform Coordinator for three years (US\$4,000/month) in Costa Rica, Ecuador and Philippines. Partnership Advisor for three years (US\$2,500/month); in Costa Rica, Ecuador and the Philippines (Total: USD\$702,000) Administration and Finance Assistant to support national team in Costa Rica and Philippines. The Ecuadorian national team has the support from the Administration and Finance Assistant of the IPCU. US\$1,700/month x 36 months per country (total: USD\$183,600)
8	<p>National Platform Coordinator in Indonesia for four years US\$40000/year (US\$ 3333.33/month).</p> <p>Marine Commodities Supply Chain Advisor (partnership advisor) to be hired in Indonesia (US\$1954.167/month). He/she will assign 70% of the time to work in component 2 and 10% to work in supervising knowledge products (this involves coordination with SFP for activities under component 4) . Total for Component 2: US\$ 75,040.</p> <p>Administration and Finance Assistant to support national team in Indonesia. The Ecuadorian national team has the support from the Administration and Finance Assistant of the IPCU. US\$1,700/month x 36 months.</p>
9	Travel expenses of National Platform Coordinator for three years (US\$6,000 per country per year). Travel cost (airplane ticket + per diem) of national delegations from Ecuador and Costa Rica to fish shows/fairs to meet with major buyer in side events organized by SFP (US\$9,725 per country per year)

	<p>Travel fund for communication officers to visit the other country. US\$2,500 officer a year, starting year 2. Total US\$15,000. Note: Indonesia will manage the fund for the IND-PHI communicator nationally. UNDP Ecuador lead office \$7,500 and Indonesia \$7,500. Travel cost (airplane ticket + per diem) of national delegations to fish shows/fairs in years 2 and 3 to meet with major buyer in side events organized by SFP. In year 2 Indonesia (2 person/country) x US\$4,000/person = US\$16,000. Indonesia will manage the amount assigned to the IND-PHI trip nationally.</p> <p>Study tour in year 1 to visit ongoing green commodities platforms (the trip might be changed to year 2 depending on the situation at project start). Trip to Costa Rica: 5 people from Ecuador x 3 days x US\$200 per diem = US\$3,000 + 5 airplane tickets x US\$1,000/ticket = US\$5,000 + US\$2,000 for local travel – Total cost of the study tour = US\$10,000. Trip to Indonesia: 5 people from Philippines x 3 days x US\$200 per diem = US\$3,000 + 5 airplane tickets x US\$1,000/ticket = US\$5,000 + US\$2,000 for local travel – Total cost of the study tour = US\$10,000. Grand total study tour = US\$20,000.</p>
10	<p>In year 1, contract of in-depth sector analysis for the country (US\$12,525) and the preparation of five-year strategic plan for the platform (US\$10,000). In year two, contract the preparation of one sustainable fisheries action plan (US\$17,525), for Costa Rica and Philippines</p>
11	<p>Training workshops for stakeholders of the value chain. Topics to be covered: (i) sustainable seafood value chains, (ii) sustainable seafood certification, (iii) introduction to fisheries improvement projects, (iv) seafood traceability systems, (v) measures to deter IUU and seafood fraud, (vi) MSC standards for sustainable fishing and chain of custody, (vii) effects of climate change on fisheries, and (viii) effects of ENSO on fisheries. US\$4,000/workshop x 8 workshops = US\$32,000 (4 workshops in year 1 and 2 respectively).</p> <p>Platform meetings during the first three years of the project. Lump sum of US\$25,725 in the first year for Costa Rica and Philippines. Lump sum of \$22,129 for Ecuador. Afterwards US\$14,725/year in years 2 and 3, to cover various items such as consumables. The locales will be provided by each Implementing Partner. The details for the use of the annual fund will be included in the work plan.</p> <p>For Indonesia: Platform meetings during the first three years of the project. Lump sum of US\$16,000 in the first year, afterwards US\$15,000/year in years 2 and 3, to cover various items. The venues will be provided by each Implementing Partner. The details for the use of the annual fund will be included in the work plan.</p> <p>Training of Global Fisheries Platform Advisor and National Platform Coordinators (five people in total). Course cost US\$2,500/person; five days per diem (US\$300/day); Airplane ticket at US\$2,000 each. The IPCU will manage the funds for four people: US\$ 2500x4= US\$ 10000 + US\$ 1500x4= US\$ 6000 + US\$ 2000x4= US\$8000; IPCU Total= US\$24,000.</p> <p>Indonesia will implement the amount assigned to its National Platform Coordinator nationally (US\$6,000).</p>

12	In year 1, contract of in-depth sector analysis for the country (US\$20,000) and the preparation of five-year strategic plan for the platform (US\$10,180). In year 2, contract the preparation of three sustainable fisheries action plans (US\$9175/plan x 3 plans = US\$27,525).
13	In year 1, contract of in-depth sector analysis for the country (US\$10,000) and the preparation of five-year strategic plan for the platform (US\$5,000). In year 2, contract the preparation of two sustainable fisheries action plans (US\$10,000/plan x 2 plans = US\$20,000).
14	International Project Coordinator (total salary US\$5,016/month). The coordinator will assign about 20% of time to oversee component 1, 25% to component 2, 25% to component 3, 20% to component 4, and 10% to project management. This cost correspond to the fraction of his/her time assigned to component 2 (national platforms). Monitoring and evaluation officer (M&E-O) US\$1,900/month x 48 months. This person will assign a similar portion of time to each of the six outcomes.
15	a) Global Fisheries Platform Advisor (total salary US\$4,500/month), oversees component 2 (i.e., outcome 3), funded by GEF for four years. Total US\$216,000 in four years. This specialist will probably be based in the IPCU, but definitive location will be decided at project start. Communication Officer for three years to support Costa Rica and Ecuador (based on the IPCU), US\$1,666.67/month. Total US\$ 60000. b) Communication Officer for three years to support Indonesia and Philippines (based in Indonesia and managed by Indonesia), US\$ 1,666.67/month. Total US\$ 60000.
16	SFP project coordinator (total salary US\$3,712.5/month) coordinate all SFP activities. This person will assign 1/3 of time to oversee each of the components run by SFP (i.e., components 1, 3 and 4) in Ecuador, Costa Rica and the Philippines. This cost correspond to the fraction of his/her time assigned to this outcome (\$14850) each year. This value includes 10% administration cost of SFP. Performance evaluation and update FIP plans for existing FIPs – ECU: mahi mahi – PHI: blue swimming crab. US\$7,000 per evaluation & plan update. In year 1, update one FIP plan (=US\$7,000). In year 2, update one FIP plans (US\$7,000). Total = US\$14,000 + US\$1,400 administration cost of SFP. Grand Total= 15,400.
17	Three FIP facilitators (Tuna, BSC, Snapper) to work in Indonesia for Component 3. Salary US\$ 1384.0278/month. Total/year: US\$ 49825. Grand Total: US\$ 199,300.
18	In Indonesia, performance evaluations will be conducted in year 2 and 4 of the project for tuna, blue swimming crab and snapper FIP with performance reviewed using the same methodology as in the other 3 countries, total= US\$ 14000

19	National FIP coordinator. US\$4,000 person ⁻¹ month ⁻¹ x 3 coordinators x 3 years = US\$432,000. SFP administration cost (10%) = US\$43,200. Grand total = US\$ 475,200.
20	SFP project coordination accounting and staff support for coordinating all SFP activities. US\$2,320/month x 48 months = US\$111,360 + 10% administration cost of SFP (US\$11,136) = US\$122,496 in total (four years). This person will assign 20% of time to each of the five outcomes run by SFP (i.e., outcomes 1, 2, 4, 5 and 6). This value correspond to the fraction of his/her time assigned to this outcome (20%).
21	For years 1 to 3, travel expenses for national FIP coordinator (domestic travel). US\$6,000 per country per year + 10% SFP administration cost. There will be a national management of the resources assigned to Indonesia under this line. For years 1 to 3, travel expenses for international experts to support FIPs (international travel). US\$3,500 per country per year + 10% SFP administration cost. There will be a national management of the resources assigned to Indonesia under this line. GRAN TOTAL EVERY YEAR \$10,450 x country: \$31,350
22	For years 1 to 3, travel expenses for Indonesia national FIP coordinator (domestic travel). US\$6,000 per year. For years 1 to 3, travel expenses for international experts to support FIPs (international travel). US\$4,450 per country per year
23	For SFP, in years 1 to 3, miscellaneous costs in support of FIP implementation (e.g., hooks, experimental fishing). US\$4,000 per FIP per year x 7 FIPs = \$28,000. \$28,000 x 3 years = US\$84,000 + 10% SFP administration costs. SFP Total = 92,400. The details for the specific use of funds on each FIP will be presented in the annual work plan. In Indonesia, miscellaneous costs for FIPs= US\$4,400 per FIP per year x 3 FIPs x 3 years= US\$ 39,600, there will be a national management of these resources. In Indonesia, miscelanous expenses in years 1 to 3, an amount of US\$1,279 and US\$1,278 in year 4.
24	In years 1 and 2, training to FIP participants. 7 FIPs x 2 workshops per FIP x US\$5,000/workshop = US\$70,000 + 10% SFP administration cost. SFP total = US\$77,000. In Indonesia, training for FIP participants= 3 FIPs x 2 workshops x US\$ 5500/workshop = US\$ 33,000; there will be a national management of these resources.
25	SFP project coordinator (total salary US\$3,712.5/month) coordinate all SFP activities in Costa Rica, Ecuador and the Philippines. This person will assign 1/3 of time to oversee each of the components run by SFP (i.e., components 1, 3 and 4). This cost correspond to the fraction of his/her time assigned to this outcome (16.67%) in four years. This value includes 10% administration cost of SFP.

	<p>SFP experts: Update FIP guidelines and tracking tool for Costa Rica, Ecuador and the Phillipines. Includes: (i) validation and consultation with stakeholders in the four countries and (ii) translation into Spanish (US\$100,000 over two years). SFP experts maintain up-to-date FishSource profiles for project related fisheries (US\$2,200x7)/year. This value includes 10% administration cost of SFP.</p> <p>SFP experts maintain up-to-date FIP Tracker information for project related fisheries (from Costa Rica, Ecuador and the Phillipines) and seafood sectors (US\$1,650x7)/year. This value includes 10% administration cost of SFP.</p> <p>In year 1, prepare FishSource profile for new FIPs: (1) mahi mahi and tuna (Costa Rica), (2) bigeye tuna and purse seine tuna (Ecuador), (3) octopus (Phillippines). US\$2,500 per FishSource profile x 5 profiles = US\$12,500 + 10% SFP administration cost. Grand total = US\$13,750.</p> <p>Fraction of his/her time assigned to outcome 3 and 4 (15.15% aprox). US\$ 29,700.00 in four years. This value includes 10% administration cost of SFP.</p>
26	<p>In Indonesia, a project monitoring & reporting consultant will be hired to produce knowledge products and its management; in collaboration with the communications officer. GEF contribution to salary: US\$ 1,168.792. Total per year: US\$ 14,025.5. Grand total= US\$ 56,102.</p>
27	<p>In year 1 establish seven scientific working groups (one per target fishery). Afterwards, sustain them with GEF funding until year 4. US\$9,000 year⁻¹ group⁻¹ x 7 groups = US\$63,000 per year + 10% administration cost US\$6,300 = US\$69,300 per year. Invested in years 1 to 4. Grand total = US\$277,200.</p> <p>In year one translate target fisheries FishSource profiles and FIPs to Bahasa Indonesia and Spanish. Ten target fisheries x 25 pages per fishery = 250 pages. Translation cost: English to Bahasa Indonesia or Spanish US\$30/page x 250 pages = US\$6,971 includes 10% administration cost. Afterwards, each year update elements of the profiles and FIPs, lump sum for translation US\$3,121 / years 1 and 2, and USD\$ 3722 for year 3, includes 10% administration cost. There will be a national management of the resources assigned to Indonesia under this line (for 3 fisheries).</p>
28	<p>Participation in IWC8 (2015) and IWC9 (2017). International Project Coordinator + one delegate per country (five people). Airline tickets and per diem (about US\$8,000 person⁻¹ trip⁻¹). US\$40,000 in year 1 (2015) and US\$40,000 in year 3 (2017). Grand total US\$80,000 two trips. Four people x \$8,000: \$32,000 (UNDP Intl Year 1). Indonesia will manage the amount for its representative (US\$16000 per two years) nationally (See Indonesia budget).</p> <p>Participation of Global Fisheries Platform Advisor and National Platform Coordinators (five people in total) in GCP community of learning. Each trip: 5 person x US\$300 per diem x 3 days = US\$4,500 + 5 airplane tickets x US\$2,000/ticket = US\$10,000. Total per trip US\$ 14,500. One trip per year during years 1, 2 and 3. UNDP Intl Year 1 \$11,600. Grand total US\$43,500. Indonesia will manage the amount for its representative (US\$2900 per two years) nationally (See Indonesia budget).</p>

	<p>National two-day workshops to document advances, best practices and lessons in years 2 and 4 (last trimester of year 2 and third trimesters of year 4). Each workshop includes site, facilitator, video recording, coffee breaks, lunch, and memoirs in English and Spanish. US\$10,000/workshop. The IPCU will manage the funds for 6 workshops x US\$ 10,000/workshop = US\$60,000 (US\$30,000 in year 2 and US\$30,000 in year 4). Indonesia will implement its workshops nationally with SFP funds: 2 workshops x US\$ 10,000= US\$ 20000 (US\$10,000 in year 2 and US\$10,000 in year 4).</p> <p>One-day online workshops to exchange experiences and distil best practices and lessons per region in years 2 and 4 (last trimester of year 2 and third trimesters of year 4). Each workshop includes video-conference facilities, facilitator, video recording, coffee breaks, lunch, and memoirs in English and Spanish. US\$8,000/workshop. Two workshops in year 2 (US\$16,000) and two workshops in year 4 (US\$16,000). Grand total US\$32,000.</p> <p>One-day online international workshop to exchange regional experiences and distil best practices and lessons in years 2 and 4 (last trimester of year 2 and third trimesters of year 4). Each workshop includes sites with video-conference facilities, facilitator, simultaneous translation (Spanish – English), video recording, coffee breaks, lunch, and memoirs in English with extended summary in Spanish. US\$10,000/workshop x 2 workshops in total.</p> <p>IPC visit all participating countries and key stakeholders. Travel to Costa Rica, Indonesia and Philippines in the last semester of years 1 and 4. US\$10,000/trip (airplane tickets + per diem) x two trips= US\$ 20,000</p>
29	SFP Participation in IWC8 (2015) and IWC9 (2017) - 2 trips x US\$8,800 / trip (includes 10% administration cost). In the other years US\$4,000 / year for other Knowledge Sharing related travel (includes 10% administration cost).
30	Establish and maintain bilingual project website (i.e., English and Spanish) with linkages with IW:LEARN, GCP, SFP, MSC, FIP Directory, and the platforms of the NFAs. The website will include individual webpages for each national platform; the content of these webpages will be updated by the two Communication Officers. US\$6,600/year. Total= US\$ 26,400.
31	Knowledge products for Indonesia in charge of its Communications officer to support the country with Component 4.
32	<p>International Project Coordinator (total salary US\$5,016/month). During years 1 to 4 the coordinator will assign about 20% of time to oversee component 1, 25% to component 2, 25% to component 3, 20% to component 4, and 10% to project management. The last two months of the project (months 49 and 50) the IPC will entirely concentrate on project closure (100% of his/her time).</p> <p>Administration and finance assistant. US\$1,700/month x 50 months. The last two months (months 49 and 50) this assistant will entirely concentrate on project closure jointly with the IPC.</p>

33	Local travel in Ecuador host country (tickets + per diem) of members of the IPCU. US\$3,000/year.
34	In years 1 to 3, high-speed internet connection service in each project office (Costa Rica, Ecuador and Philippines). US\$1,887 per office per year. In Indonesia, US\$ 1,200 per year.
35	For International Project Coordination Unit: (1) three computers (US\$4,691.20) and (2) one multifunction printer (US\$800).
36	Audit in years 1 to 4. US\$ 937.5 per country per year.
37	In year 4, three electronic publications documenting best practices and lessons learned in the fields of sustainable seafood value chains, SMCP, and FIPs. The publications will be prepared by the project staff (no extra cost). Cost of editing US\$2,870/publication (total US\$8,610). Cost of translation of four pages (extended summary) from English into Bahasa Indonesia, Spanish and Tagalog = US\$25/page x 12 pages = US\$300. Grand total = US\$8,910.
38	High-speed internet connection service for the IPCU. US\$1,200 per year x 4 years, and US\$200 for year 5.
39	Direct project costs according to UNDP Universal Price List.
40	Office supplies for IPCU.

SECTION IV. ADDITIONAL INFORMATION (SEE SEPARATE FILES)

- Annex 1. Existing FIPs and certified fisheries in Costa Rica, Ecuador, Indonesia and Philippines (June 2014). Information for all FIPs and certified fisheries of the country.
- Annex 2. Feasibility analysis for a fisheries green commodities platform in Costa Rica.
- Annex 3. Feasibility analysis for large pelagic fish longline FIPs in Costa Rica.
- Annex 4. Status of national and international fisheries arrangements in Ecuador and national platforms roadmap.
- Annex 5. Prioritizing FIPs' roadmaps in Ecuador.
- Annex 6. Information on Ecuadorian fisheries.
- Annex 7. Situation analysis of tuna, blue swimming crab and snapper and national sustainable marine product platforms roadmap in Indonesia.
- Annex 8. FIP Feasibility Analysis blue swimming crab Indonesia
- Annex 9. FIP Feasibility Analysis snapper and grouper Indonesia
- Annex 10. FIP Feasibility Analysis tuna Indonesia
- Annex 11. The Philippines' Blue swimming crab (BSC) Fisheries Industry and FIP.
- Annex 12. Project cycle management services.
- Annex 13. Terms of reference for the International Project Coordinator
- Annex 14. GEF tracking tool
- Annex 15. UNDP environmental and social screening
- Annex 16. Letters of endorsement and co-financing

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