

## **COMPULSORY ANNEXES**

### **PACIFIC ISLANDS OCEANIC FISHERIES MANAGEMENT PROJECT**

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## ANNEX A INCREMENTAL COST ANALYSIS

### *Broad Development Goal*

This project aims to address the concerns and issues related to the extensive oceanic transboundary fisheries for pelagic species associated with the Pacific Islands region in relation to the economic importance of this fishery at the global level, the open access to this fishery by distant water fishing nations in the high seas, the potential for over-fishing and mismanagement, and the concomitant threats and impacts to the biodiversity and general welfare of the associated large marine ecosystem (the Western Tropical Pacific Warm Pool). Most of the marine area concerned falls within national jurisdiction of 15 Pacific SIDS.

Pacific SIDS suffer from specific weaknesses that influence their quality of life, level of development, and potential for sustainable economic growth and resource management. These weaknesses, which are common to many islands, include political and economic instability, weaknesses in governance and low levels of private sector development, slow progress in economic reforms, inadequate technology and economic infrastructure, and increasing levels of unemployment, socio-economic hardships and vulnerability to poverty. The small size, scattered nature, remoteness from major centres of production and consumption, and ecological and economic vulnerability are constant cause for concern to their leaders and senior policy makers.

It is noteworthy that the small land areas of many of the Pacific Islands are contrasted by their extremely large sea areas. For example, Kiribati has a sea area which is over 5,000 times its land area. On average, the ratio of sea area to land area of the Pacific SIDSs is 1:54. Within these vast sea areas the Islands have access to resources of immense value. However, they seriously lack the capacity or skills to harvest these resources, and face many challenges in ensuring that harvesting by others in their waters and in adjacent high seas is effectively monitored and controlled.

The 15 island countries participating in this project have demonstrated a significant degree of cooperation and mutual concern regarding issues such as trade, economy, development and environment. In 2001 the Pacific Island Countries signed the Pacific Island Trade Agreement and the Pacific Agreement on Closer Economic Relations. Furthermore, in various high-level regional policy meetings over the past few years, Ministers of the Pacific Islands have identified the strong inter-relationship between global and regional economic trends and the economic performance of Pacific Island countries; noted the need to strenuously address internal economic weaknesses in Pacific Island countries so as to better place them to both withstand international economic downturns and to take advantage of global growth; and now recognize the importance and need for support of the broader economic reforms being pursued in the island countries of the Pacific region.

At the 35<sup>th</sup> Pacific Islands Forum meeting, Pacific Island leaders also noted the progress in implementing the Pacific Islands Regional Ocean Policy, the development of the Pacific Islands Regional Ocean Forum - Integrated Strategic Action Framework, and the inclusion of the Policy and the Framework for consideration in the Pacific Plan. Leaders also noted that the Policy and Framework will be submitted to the ten year review of the Barbados Programme of Action for Small Island Developing States as a major regional initiative for funding and the development of partnerships.

Most importantly, at the same policy level the Pacific Islands leaders are now accepting that sustainable development requires integrated economic, environmental and social policies and practices. They have formally noted that declining environmental conditions can adversely affect economic performance and living standards. Furthermore, they have adopted the understanding that mainstreaming of environmental issues into physical and economic planning and budgeting processes allows the economic impact of these concerns to be realised and addressed (Text from the Forum Economic Action Plan as discussed and agreed at the Pacific Forum Economic Minister's Meeting in Port Vila, Vanuatu, July, 2002).

The plans for sustainable development of the Pacific SIDS are heavily focused on gains from agriculture, tourism and fisheries. Marine related recreational activities are an important component of planning for tourism growth. Coastal fisheries have been important for food security and for income generation, but the commercialisation of these resources has created pressure from systematic over-exploitation. Offshore commercial fisheries are also of critical importance to these countries, both with regard to the overall quantity of fish harvested from the Pacific SIDS national waters and adjacent high seas areas, and in respect of the potential income from the licensing and control of these fisheries. Catches of transboundary oceanic fish in the waters of the Pacific SIDS are estimated at around \$840 million in ex-vessel prices, and much higher than this after processing. There is potential to increase the benefits that Pacific SIDS receive from these resources through careful expansion of catches of some species, through increased participation by Pacific Islanders in these fisheries, and through more complete

integration of oceanic fishing operations into the domestic economies of Pacific Island countries. But there are also risks because as major fisheries elsewhere reach their limits, pressure will continue to increase to exploit the oceanic fish stocks of the Pacific Islands region at unsustainable levels and in unsustainable ways, including ways that threaten to damage other elements of regional marine ecosystems.

As a recent ADB report noted:<sup>1</sup>

*“...it is inevitable that the presently under-exploited tuna resources of the region will assume an importance much greater than at present. Quite simply, in most countries, there are few, if any, alternatives to tuna.*

*Population pressure and the fully exploited nature of inshore/coastal fisheries indicate that the food security of the region will depend heavily on its tuna resources.*

*The poorest Pacific island countries have considerable tuna resources which could be developed using technology available today. This “capital for development” will undoubtedly become more important in the future. Considering the fully-exploited nature of most of the world’s fishery resources, this “tuna capital” will become increasingly more valuable in the future, highlighting the need for effective conservation and management of the region’s tuna.”*

In this situation, the economic importance of the oceanic fisheries of the region has been an important factor in the attachment of a high priority by Pacific Island Countries to the protection of International Waters, because as the SAP put it:

*“The success of national development planning for our SIDS is wholly dependent on the continued health of our International Waters.”*

Therefore, the **broad development goal** of the project is:

*to assist the Pacific Island States to improve the contribution to their sustainable development from improved management of transboundary oceanic fishery resources, and from the conservation of oceanic marine biodiversity generally.*

### **Global Environmental Goals**

Concerns related to the International Waters of the Pacific Islands region are not only transboundary in the sense that they are shared by, and common to Pacific Island Countries, but they are also, because of the scale and importance of the waters, global concerns. The Pacific Islands region, and the WTP LME which is its defining feature, are vast - covering around 40 million sq. km. These waters support the most important oceanic fisheries in the world for tuna and related species, but this vast and complex marine system also contains an enormous array of diversity. This rich biodiversity includes the most extensive and biologically diverse reefs in the world, the deepest ocean trenches, deep-sea minerals, the world’s largest tuna fishery, as well as an array of globally threatened species such as sea turtles and dugongs. The many thousands of islands are, with the exception of some larger Melanesian Islands, entirely coastal in nature, often with limited freshwater resources, and surrounded by a rich variety of ecosystems including mangroves, sea grass beds, estuarine lagoons and coral reefs.

As Pacific Island Countries expressed it in the SAP:

*“We see ourselves as the custodians of one-sixth of the earth’s surface, of which less than 2% is land, and which harbors unique, diverse and fragile forms of life on that land and in its waters. The Pacific Island region covered by this SAP is arguably the largest regional water system on earth. This system is internationally shared not only by us, the participants in this SAP, but also by fourteen other states and territories in the Pacific region. This water system is also vital to the continued health of the planet as a whole. It is likely to be at risk from our priority concerns; viewed in terms of their effect on International Waters as a system, these concerns are interdependent and mutually exacerbating nationally, regionally, and so, inexorably, globally”.*

On this basis, Pacific SIDS have made substantial commitments over a ten year period, working with the GEF, to prepare an IW SAP, design and implement the IW SAP Project and now prepare the Pacific OFM Project in a way described in the opening section of the SAP as an effort to::

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<sup>1</sup> Tuna Importance in the Pacific Islands, ADB, October 2000

*“integrate our national and regional sustainable development priorities with shared global environmental concerns for protecting International Waters.”*

The analysis of the SAP identified the ultimate root cause of the threats to International Waters in the Pacific Islands region as **deficiencies in management**. The deficiencies were seen as fitting into two groups: - a lack of understanding and weaknesses in governance. These deficiencies fit the situation with respect to oceanic fisheries and the regional oceanic marine ecosystems in exactly the same way as they apply to management of activities in coastal and nearshore areas.

Further analysis of the concerns, threats and root causes related to oceanic fisheries and the WTP LME undertaken for the design of the Pacific OFM Project identified the following areas relating to transboundary oceanic fisheries as national, regional and global concerns as described in the section of the Project Document on Global Significance:

- Impacts on Target Transboundary Oceanic Fish Stocks
- Impacts on Non-Target Fish Stocks
- Impacts on Other Species of Interest (especially turtles, seabirds, marine mammals and sharks)
- Impacts of Fishing around Seamounts
- Impacts on Food-webs
- Impacts on Biodiversity

The same analysis characterised the two groups of deficiencies in management identified by the SAP as they relate to oceanic fisheries as follows:

a) **Lack of understanding** can be traced to weaknesses in the quality and range of information available on oceanic fish stocks and fishing and on the WTP LME; and to a lack of awareness of the kinds of measures that need to be adopted at national and regional levels to ensure sustainability. The pelagic fishery itself is a complex area to understand, and linkages between predator-prey species, water quality, other oceanographic parameters, cyclic physico-chemical fluctuations, climate change, etc. are critical but remain poorly understood.

b) **Weaknesses in governance** can be seen at both national and regional levels, but include in particular the lack of legally binding regional institutional arrangements applying to all parties involved in fishing in the region, especially in the high seas.

Taken together, these deficiencies mean that, despite the remarkable global biological significance of this region, the effect that any deterioration in ecosystem function and water quality would have on this biodiversity and human welfare, and the extent to which the present and future well-being and economic development of the region is dependent on the welfare of this LME and its marine resources, its management and conservation have been significantly inadequate.

The primary response by the 15 participating Pacific SIDS to the pattern of concerns, threats and management deficiencies noted above has been their substantial commitment to participation in the process of creating new global and regional arrangements for the conservation and management of fish stocks which occur in the high seas and for the protection of the oceanic marine environment from large scale fishing. At the global level, they played a full role in the negotiation of the UN Fish Stocks Agreement, providing 7 of the 30 ratifications which brought the Agreement into force in 2001. Then they led the development of the WCPF Convention which is the first major regional application of the provisions of the UN Fish Stocks Agreement in ways described more fully in the Project document, providing 11 of the 13 ratifications (with Australia and New Zealand) which brought the Convention into force on 19 June 2004.

The central element of the Convention is the establishment of the WCPF Commission, empowered to adopt conservation and management measures that apply throughout the range of the oceanic fish stocks of the region, and are legally binding on Members of the Commission and any others involved in fishing. In this form, the Convention and the Commission fill the gap in regional institutional arrangements that has long been identified as the key weakness in arrangements for the management of regional fisheries and for controlling the impact of oceanic fisheries on the marine environment – and provide real hope for the long-term management and sustainability of this important fishery area and its associated marine ecosystems.

GEF has already been actively engaged in assisting the Pacific SIDS to participate in the development process for this important Convention through its International Waters project entitled ‘Implementation of the Strategic

Action Programme of the Pacific Islands'. The current project has derived directly from this process and the identified need to implement the requirements of the Convention and support and assist the Pacific SIDS in meeting these requirements, and in taking an active and effective role in the implementation of the Convention and the establishment and early stages of operation of its Commission.

Pacific Island leaders have warmly welcomed the coming into force of the Western and Central Pacific Fisheries Convention (statement from the 35<sup>th</sup> Pacific Islands Forum meeting) and the first seating of the WCPF Commission in December 2004 in Pohnpei, Federated States of Micronesia.

These developments at regional level are fully consistent with the relevant aspects of global initiatives related to sustainable development, and especially to elements related to SIDS. The recommendations coming out of WSSD made several references to the status and special needs of SIDS. In particular, the Summit adopted the following resolutions, which are directly pertinent to the GEF assistance and support to this current project:

- *Implement further sustainable fisheries management and improve financial returns from fisheries by supporting and strengthening relevant regional fisheries management organizations, as appropriate, such as the recently established Caribbean Regional Fisheries Mechanism and such agreements as the Convention on the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean;*
- *Assist small island developing States, including through the elaboration of specific initiatives, in delimiting and managing in a sustainable manner their coastal areas and exclusive economic zones and the continental shelf, including, where appropriate, the continental shelf areas beyond 200 miles from coastal baselines, as well as relevant regional management initiatives within the context of the United Nations Convention on the Law of the Sea and the regional seas programmes of the United Nations Environment Programme.*

The latest GEF Business Plan (2003) recognises the concerns and requirements highlighted during WSSD. GEF notes that the International Waters focal area will place greater emphasis on implementation while expanding coverage of GEF assistance to other transboundary water bodies. In particular certain strategic priorities represent an evolution of the international waters programme. These include (a) Catalyze Financial Resource Mobilization - to implement stress reduction measures and policy/legal/institutional reforms agreed through TDA-SAP or equivalent processes; (b) Expand Global Coverage to Other Transboundary Waterbodies - to undertake crosscutting and foundational capacity building needed to facilitate initial multicountry collaboration and complement this with targeted learning; (c) Undertake Innovative Demonstrations – to reduce contaminants and address water scarcity issues. These GEF policies are very relevant in the development of the current project objectives and outputs.

The present Project will address all of the above strategic priorities through:

- Assisting the countries to develop and recommend stress reduction measures in relation to regional pelagic fisheries and the LME
- Mobilising resources to undertake policy, legal and institutional reforms
- Undertaking capacity building within national foundation agencies responsible for fisheries and ecosystems (in an integrated and cross-cutting manner)
- Facilitating multinational collaboration within the context of fisheries and the LME
- Developing targeted learning, capture of best practices and transfer of lessons
- The overall project itself will provide an innovative demonstration of GEF IW assistance and support to sustainable global fisheries management

Therefore the **global environmental goal** of the Project is

*to achieve global environmental benefits by enhanced conservation and management of transboundary oceanic fishery resources in the Pacific Islands region and the protection of the biodiversity of the Western Tropical Pacific Warm Pool Large Marine Ecosystem.*

## ***Baseline***

The baseline scenario can be summarised as follows. Without the WCPF Convention and Commission and associated GEF support, Pacific SIDS seek to manage the oceanic fish stocks of the region and to protect the biodiversity of the WTP LME from impacts from fishing essentially independently through improving national management regimes. The national efforts are supplemented by informal cooperative arrangements among Pacific SIDS, and with less well developed arrangements with other states involved on the region's oceanic fisheries. However, the success of these efforts is limited by constraints in human and institutional capacities that characterise small island states; by a lack of funding; by a lack of political and public will to take hard decisions on limiting fishing; by inconsistencies between national management frameworks; and most centrally by a lack of formal institutional arrangements which leaves fishing in the high seas essentially unregulated in a way that allows IUU fishing to continue and undermines national efforts to manage and conserve. The management frameworks and efforts are inadequate to cope with the increasing pressure from markets to expand catches of transboundary oceanic species and key stocks become depleted. Controls on the use of destructive fishing methods and practises are weak, and there are increasing and serious impacts from fishing on other species, including turtles, seabirds, marine mammals and sharks. These outcomes significantly reduce the prospects for sustainable development in most Pacific SIDS and contribute to increased vulnerability to poverty.

In the baseline situation, Pacific SIDS rely heavily on established regional cooperative arrangements, centred on the Pacific Islands Forum with its Secretariat in Fiji, and its Forum Fisheries Agency based in the Solomon Islands; the Secretariat of the Pacific Community based in New Caledonia, with its Oceanic Fisheries Programme; and the Pacific Regional Environment Programme based in Samoa. The marine activities of these and other relevant regional organisations are coordinated through the Marine Sector Working Group of the Council of Regional Organisations of the Pacific. The existence of these collaborative arrangements in fisheries and marine environmental management is a response by Pacific SIDS to the relatively huge size of their marine jurisdiction coupled with the importance and value of the associated marine resources and the broader marine environment. They are part of a broader pattern of multisectoral cooperation which the Pacific SIDS have developed as part of an instinctive strategy for economic survival in the face of their common and shared problems, constraints and opportunities. The roles of the organisations noted above that are relevant to the Pacific OFM Project include the following.

**The Forum Fisheries Agency (FFA)** is an intergovernmental agency with membership from the 15 Pacific SIDS along with Australia and New Zealand. The mandate for this agency has evolved from originally assisting in the control of foreign vessels in the region, then to placing a greater emphasis on assisting member countries to develop fishing industries, and now to a more current emphasis on conservation and management of fish stocks. Financing for FFA's programmes come from donor funding, fees from foreign vessels, and membership charges as well as contributions from member countries. Its principal programmes are currently addressing fisheries management (preparation of plans and advice on regional issues); monitoring, control and surveillance (vessel registry, monitoring and compliance); and assistance in negotiation of foreign access agreements, marketing and industrial development; and legal services.

At the scientific and technical level, the **Oceanic Fisheries Programme** of the **Secretariat of the Pacific Community (SPC/OFP)** provides technical advice, training and research aimed at the sustainable management of fisheries, particularly those that exploit tuna, bill-fish and related species. SPC's ocean fisheries programmes currently address studies of the biology and behaviour of commercial pelagic fish species within the context of their ecosystem; monitoring of species catch and fishing effort along with collection and analyses of associated statistics; and stock assessment linked to modeling, especially population dynamics models. This work is largely funded by a range of donors, with some funding from the SPC core budget financed by contributions of Members.

**The Pacific Regional Environment Programme (SPREP)** aims to promote cooperation and provide assistance in order to protect and improve the regional environment and to ensure sustainable development for present and future generations in the Pacific Islands region. Its major technical programmes are in areas of terrestrial and coastal and marine ecosystems: species of special interest; monitoring and reporting; climate change and atmosphere; waste management and pollution control; and environmental planning. The SPREP Convention, and the Action Plan that it provides for, has effectively been adopted as the programme of work for activities under the Regional Seas Programme among Pacific SIDS. It is the GEF's key partner in the region, and is the executing agency for the South Pacific SAP Project.

In the baseline scenario, legal, compliance and economic cooperation between Pacific SIDS is coordinated through FFA, with the FFA MCS Working Group also serving to coordinate air and sea patrol activities with cooperating partners including Australia, France, New Zealand and the United States. Fishery monitoring and scientific analysis are undertaken by SPC/OFP. Broader issues related to the marine environment are coordinated through SPREP. Pacific SIDS maintain capable national licensing authorities and continue to strengthen their compliance functions through stronger sea and air patrols and the use of VMS, but national oceanic fisheries management functions continue to remain relatively poorly resourced. There is little analysis of scientific information nationally.

In terms of economic performance, this pattern of cooperation provides benefits to Pacific SIDS as long as fishing pressure is not been excessive. Pacific SIDS continue to build their own harvesting capacity as their private sectors strengthen, particularly in the accumulation of capital, skills and technology. They also continue to earn moderate increases in the value of fees from licensing foreign vessels, as the value of catches increases with shortening global supplies of fish from the oceans, albeit within the limits that vessels can fish for free and without regulation in the high seas and that the capacity to enforce national laws over large maritime zones is limited. But this baseline scenario is critically flawed by the lack of a mechanism for ensuring the conservation of regional fish stocks throughout their entire range, in national waters and in high seas, and for protecting the health of the ecosystem from the impacts of fishing.

In this scenario, Pacific SIDS can exercise some fisheries management functions independently within this framework of cooperation as outlined above, but there is an absence of cooperation with other states in the region, and with the distant water fishing nations. The effectiveness of any controls over fishing for conservation purposes by the Pacific SIDS is restricted and curtailed by the absence of a coherent regional framework, and a lack of control over vessels operating outside of national jurisdiction on the high seas. Some Pacific SIDS begin to apply limits to fishing within their waters but the effectiveness of these efforts is undermined by the lack of any coherent regional framework for those limits, and by the knowledge that vessels limited from fishing in national waters can operate freely in the high seas without limits or other controls. There is a mixed response regarding cooperation with fisheries management measures on the part of the large fishing states and distant water fleet nations (including reluctance or refusal to accept voluntary measures such as data provision on high seas fishing). Consequently, high seas fishing remains unregulated and substantially unreported. Funding for regional science and monitoring programmes related to fisheries and ecosystem management relies on donor programmes, which could be used to support efforts to promote sustainable development in Pacific SIDS in other sectors, instead of this burden being transferred to those who benefit from the exploitation of the fish stocks. A lack of reliable data on fisheries generally within the region continues to frustrate the development of effective and justifiable management policy. There is no systematic progress in introducing ecosystem considerations into the management of oceanic fisheries in the region. The basic processes of the WTP LME remain poorly understood. There are no reliable estimates of the levels of mortality caused by fishing on non-target species, including turtles, seabirds, marine mammals and sharks, as well as marlins and other large billfish and several species of fish bycatch that are important for local food security. Without basic data on the impacts of fishing on these species, and appropriate regional institutional arrangements, the lack of control on impacts to species and ecosystem support functions within the LME threatens the long-term well-being of an area of globally significant biodiversity.

In the end, in this scenario, despite a number of positive efforts and initiatives, the Pacific SIDS are not able to meet the commitments and requirements necessary to achieve effective fisheries and marine environmental management within their jurisdiction, and the existing pattern of cooperative arrangements among Pacific SIDS and with others involved does not provide an adequate basis for controlling fishing in the high seas. Fishing pressure increases to a point where key stocks are depleted, and the impacts of fishing on other elements of the ecosystem are dangerous. Available scientific information indicates that fishing pressure is approaching this level.

Without the proposed intervention which is detailed within this project, the baseline will continue to fail to meet the requirements necessary to sustainably manage the fishery and to protect biodiversity in a globally important LME.

To measure the costs of supporting the baseline, the Project Development phase undertook a detailed analysis of the national and regional baseline figures for the project activities through a substantial consultative and national reporting process. The baseline figure for the entire project amounts to **US\$73.4 million**. Table A.1 provides a breakdown of the baseline by component relative to the various countries, agencies and regional bodies. The

major contributions to the baseline costs are the ongoing costs of national science, monitoring, fisheries management and compliance programmes of Pacific SIDS and their regional organisations. These are underpinned by a valuable contribution from several partner countries in the provision and support of air and sea surveillance services – the countries involved include Australia, France, New Zealand and the United States.

**TABLE A.1. ESTIMATES OF NATIONAL AND REGIONAL BASELINE COSTS BY COMPONENT FOR THE 5 YEARS OF THE PROJECT (US\$)**

COUNTRIES	COMPONENT 1 Scientific Assessment and Monitoring	COMPONENT 2 Policy, Legislation and Compliance	COMPONENT 3 Information, Coordination and Participation	ALL COMPONENTS
ORIGIN	BASELINE	BASELINE	BASELINE	BASELINE
Cook Islands	\$225,498	\$1,135,803	\$96,000	\$1,457,301
Fed. States of Micronesia	\$550,000	\$6,550,000	\$96,000	\$7,196,000
Fiji	\$460,680	\$2,544,629	\$160,000	\$3,165,309
Kiribati	\$175,000	\$2,135,000	\$64,000	\$2,374,000
Marshall Islands	\$780,000	\$3,135,000	\$96,000	\$4,011,000
Nauru	\$158,153	\$882,140	\$64,000	\$1,104,292
Niue	\$10,988	\$103,863	\$64,000	\$178,851
Palau	\$75,000	\$4,100,000	\$64,000	\$4,239,000
Papua New Guinea	\$1,887,770	\$4,701,698	\$160,000	\$6,749,468
Samoa	\$880,307	\$1,744,247	\$160,000	\$2,784,554
Solomon Islands	\$335,544	\$535,643	\$160,000	\$1,031,187
Tonga	\$170,982	\$2,600,838	\$96,000	\$2,867,820
Tokelau	\$40,000	\$145,000	\$64,000	\$249,000
Tuvalu	\$69,206	\$825,431	\$64,000	\$958,637
Vanuatu	\$105,476	\$1,010,816	\$96,000	\$1,212,292
FFA		\$10,888,039	\$1,921,419	\$12,809,458
SPC	\$3,052,780		\$339,198	\$3,391,978
Regional Stakeholders		\$1,000,000	\$200,000	\$1,200,000
Fishing State Costs		\$1,250,000		\$1,250,000
Surveillance		\$15,200,000		\$15,200,000
<b>TOTAL</b>	<b>\$8,977,384</b>	<b>\$60,488,145</b>	<b>\$3,964,616</b>	<b>\$73,430,146</b>

#### *GEF Project Activities – The GEF Alternative*

Pacific SIDS have long understood the impact of the weaknesses in their existing institutional arrangements that characterise the baseline scenario. They set out the basis for an alternative scenario when they recognised in the FFA Convention of 1978 that:

*“...effective co-operation for the conservation and optimum utilisation of the highly migratory species of the region will require the establishment of additional international machinery to provide for co-operation between all coastal states in the region and all states involved in the harvesting of such resources.*

It has taken 25 years to conclude arrangements for the establishment of the additional international machinery. The reasons for the delay included differences between Pacific SIDS and fishing states over the exercise of national jurisdiction over highly migratory species, and weaknesses in the framework of international law governing the management and conservation of high seas fish stocks. In addition, Pacific SIDS needed time as a group including some of the smallest states in the world, to develop their own fisheries and marine environmental capacities before they faced the world’s largest economic powers in negotiations that would critically affect their destiny. Now the international legal framework has been strengthened by the conclusion of the UN Fish Stocks Agreement, Pacific SIDS have found the capacity and confidence to enter into the necessary negotiations, and the

Pacific SIDS and other states involved have successfully concluded the WCPF Convention establishing the necessary “*additional international machinery.*”

The alternative scenario is based on the effective implementation of the this Convention, including the successful development of the WCPF Commission and improved national management and conservation programmes with GEF support for participating Pacific SIDS. The initial 3 years will see the establishment of technical programmes addressing science and compliance, with a view to adopting greater control over illegal and unregulated fishing on the high seas, and developing a greater understanding of fish stocks. After the first 3 years this should lead on to the identification of key management issues, and the options for addressing these issues. This would include advancing knowledge on the WTP LME, and identifying methodologies for better ecosystem monitoring. Effective support to the Commission will require active facilitation of the participation by Pacific SIDS. Sustainability will need to be met through increased resource allocation from member governments of the Commission, and by capturing some of the benefits accrued by the fishing nations from the exploitation of the fisheries resource.

Under the incremental GEF alternative, policy, legislation and institutional capacity will be reviewed and improved to strengthen both the national and regional capacity to manage fisheries in national waters and in the high seas. Policy and decision-making related to management measures such as catch limits, licensing, etc. will be supported through a programme of information gathering and data processing including stock assessments. Information related to the LME *per se* will be gathered and analysed both as a means to better understand fisheries management requirements within the LME, and to gain a better insight into the biological interrelationships between species and habitats within the LME, for overall ecosystem management purposes. This support will be targeted specifically at the national level where capacities needs are most critical, but using a regional approach through the coordination of national activities and their relationship with the Commission and the Convention.

To achieve the incremental GEF alternative support, the project has been designed with three Components. Each Component further subdivides into more specific delivery of GEF objectives through a series of sub-components.

## **1. SCIENTIFIC ASSESSMENT AND MONITORING ENHANCEMENT**

This Component will focus on fisheries monitoring, stock assessment and data monitoring/analysis. The emphasis will be on building national capacities, as well as strengthening the quality, compatibility and availability of data, to enable the Pacific Island States to respond to Convention requirements. The Convention itself is scheduled, by 2005 to be funding the core stock assessment and data management/analysis functions for the regional fisheries. One core activity will be the preparation of National Oceanic Fisheries Status reports for the SIDS. Assistance will also be given to the SIDS to ensure a detailed understanding of the scientific issues as a means to assisting them in the development of national policy positions within the Commission. The Component will also aim to develop and promote implementation of the principles of an ecosystem-based approach to management of resources within the LME, in line with GEF and WSSD policy. As part of this ecosystem-focused effort, specific attention will be given to seamounts within the LME, which are expected to harbour high levels of biodiversity, and may perform an important ecosystem function within the regional fishery. The overall objective will be to provide reliable and credible data upon which to base the activities of component 2, which addresses the legal and administrative measures necessary for effective management. This Component also meets the aims of the GEF 2003 Business Plan to undertake the crosscutting and foundational capacity building needed to facilitate multi-country collaboration, and to complement this with targeted learning.

## **2. LAW, POLICY AND INSTITUTIONAL REFORM, REALIGNMENT AND STRENGTHENING**

GEF inputs under this component will concentrate on providing technical assistance and training to Pacific SIDS to reform and amend the legal, policy and institutional base in terms of oceanic fisheries management at the national level in response to regional and global commitments, and to establish the WCPF Commission and support its early stages of identification, consideration and adoption of conservation and management measures. Legal reforms will capture national commitments to the UN Fish Stocks Agreement as well as the WCPF Convention and other fisheries and marine ecosystem related treaties and protocols. The Component will also develop a mechanism for the provision of legal advice on the development of the Commissions’ programmes and on national legislative and policy development. Policy reform will be a key objective, and Component 2 will provide analyses of policy implications arising from the stock assessments, data collection and ecosystem analyses undertaken under Component 1. Furthermore, support will be provide to national governments for the reform and realignment of their administrative procedures and institutions to create a more intersectoral and

participatory approach to fisheries and related ecosystem management. This component meets the 2003 GEF Business Plan objectives to implement stress reduction measures and policy/legal/institutional reforms.

### 3. COORDINATION, PARTICIPATION AND INFORMATION SERVICES

This Component focuses primarily on effective project management and delivery to meet the aims and time-schedules of the GEF assistance initiative. A key emphasis will be on identifying and capturing global best lessons and practices in fisheries management, and the transfer of lessons and practices at the regional level between national entities. In this context, the Component will develop effective national and regional information processing, handling and dissemination mechanisms. Monitoring will extend beyond just GEF project delivery (procurement, expenditure, reporting, etc) to encompass development of long-term monitoring processes for the actual Convention objectives (including stress reduction measures and environmental status indicators related to the fisheries and the ecosystem). This component will also ensure that there is a greater degree of non-government stakeholder involvement in the development and implementation of such management, so as to evolve a more participatory approach in the interests of long-term support and sustainability among all stakeholders.

The incremental sum from GEF that is required to support the aims, objectives and outcomes of these 3 components is **US\$10.946 million**. The breakdown of this sum by Component is presented in Table A.2.

**TABLE A.2: GEF PROJECT FUNDING BY COMPONENT (US\$)**

COMPONENT TITLE	GEF
<b>1. Scientific Assessment and Monitoring Component</b>	
1.1 Fishery Monitoring	1,260,000
1.2 Stock assessment	880,000
1.3 Ecosystem Analysis	2,551,000
Data processing/management	150,000
SPC Project Support	306,250
Sub-total	<b>5,147,250</b>
<b>2 Law, Policy and Compliance Component</b>	
2.1 Legal Reform	679,000
2.2 Policy Reform	1,849,000
2.3 Institutional Reform	392,000
2.4 Compliance Strengthening	729,000
FFA Project Support	234,850
Sub-total	<b>3,883,850</b>
<b>3. Coordination, Participation and Information Services Component</b>	
3.1 Information Strategy	35,000
3.2 Monitoring and Evaluation	280,000
3.3 Stakeholder Participation & Awareness Raising	400,000
3.4 Project Management & Coordination	1,101,000
FFA Project Support	99,120
Sub-total	<b>1,915,120</b>
<b>GRAND TOTAL</b>	<b>10,946,220</b>

In terms of co-funding, governments and other stakeholders are estimated to provide around **US\$79 million** to co-finance activities within the GEF project components, as well as other activities associated with support to the new Convention, meeting the requirements of that Convention, the effective and sustainable evolution of the Commission, and the development of management and conservation measures in the Western and Central Pacific over the life of the Project.

Of this total, \$39.6 million is to be confirmed by the participating governments, organisations involved in execution of the Project and New Zealand Aid (see endorsements in Annex D). This amount includes:

- \$31.7 million to be committed by Pacific SIDS and their regional organisations for the strengthening of their national oceanic fisheries management institutions and programmes, their direct financial contributions to the

Commission, and their costs of participating in Commission activities. The national incremental co-funding contributions were estimated by rigorous country-by-country assessments of national budgets and plans during the national missions. The co-financing by the regional organisations represents levels of funding committed by the participating countries through FFA and SPC for Convention-related activities financed by contributions from member countries of the organisations and by donors;

- \$610,000 for in-kind research cruise costs arranged by IUCN;
- \$400,000 for a series of Convention-related workshops planned to be financed by New Zealand;
- \$400,000 in conditional co-funding of activities with regional environmental and industry NGOs; and
- \$6.5 million for the estimated cost of contributions to the Commission by Commission Members other than the participating Pacific Island Countries confirmed on the basis of the scheme of financial contributions adopted by the Commission at its first meeting and the budget for the early years of the Commission drawn up by the WCPF Preparatory Conference

The balance of the \$79 million of estimated co-funding includes:

- Contributions to the cost of implementation of the Convention by fishing states in the form of the costs of improved science, monitoring and control programmes that they will be required to develop to meet their obligations under the Convention. The estimated incremental costs to fishing states related to activities for the two main technical components of the Project are estimated as follows:

#### **Component 1: Scientific Assessment & Monitoring**

Costs for Additional National Research and Additional Regional Research	\$8,500,000
Incremental Costs for Data Collection	\$3,000,000
<b>TOTAL COMPONENT 1: SCIENTIFIC ASSESSMENT &amp; MONITORING</b>	<b>\$11,500,000</b>

#### **Component 2: Policy, Legislation & Compliance**

Incremental Operating Costs for VMS, observers & vessel register	\$18,250,000
Incremental costs of reporting to the Commission	\$2,500,000
<b>TOTAL COMPONENT 1: POLICY, LEGISLATION &amp; COMPLIANCE</b>	<b>\$20,750,000</b>
<b>TOTAL ESTIMATED INCREMENTAL COSTS FOR FISHING STATES</b>	<b>\$32,250,000</b>

These estimates are based on an earlier World Bank study<sup>2</sup>.

- Co-funding from those partner countries involved in supporting regional air and sea surveillance programmes to extend the coverage of those programmes to monitor compliance with the new framework for regulation of fishing in the high seas. The incremental costs are based on an estimated 300 additional hours of air patrol annually using a mix of the P3 Orion, C-130 and Guardian aircraft used for cooperative maritime patrols with Pacific SIDS by Australia, France, New Zealand and the United States.

It should be noted that these co-funding estimates do not include the incremental private costs that will be incurred by boatowners in both the Pacific SIDS' and fishing states' fleets. These costs range from the costs of the additional effort required to provide more data, secure and carry new forms of authorisation for high seas fishing, and accept boarding and inspection on the high seas to the direct costs of installing new satellite-based monitoring equipment and providing food and accommodation for onboard observers. These costs can not be estimated with sufficient reliability to include them formally in the table below, but they are considerable.

Based on information from the participating states and associated regional stakeholder institutions and agencies, and the World Bank report referred to above, estimates of co-funding by Component are presented in Table A.3 below:

<sup>2</sup> 'Working Apart or Together' The case for a Common Approach to Management of the Tuna Resources in Exclusive Economic Zones of Pacific Island Countries: Gert van Santen & Philipp Muller, World Bank, March 2000

**TABLE A.3: ESTIMATES OF NATIONAL AND REGIONAL INCREMENTAL COSTS BY COMPONENT FOR THE 5 YEARS OF THE PROJECT (US\$)**

COUNTRIES	COMPONENT 1 Scientific Assessment and Monitoring	COMPONENT 2 Policy, Legislation and Compliance	COMPONENT 3 Information, Coordination and Participation	TOTAL ALL COMPONENTS
ORIGIN	CO-FUNDS	CO-FUNDS	CO-FUNDS	CO-FUNDS
<b>A. Co-Funding Confirmed in Writing</b>				
Cook Islands	\$343,025	\$1,037,960	\$48,000	\$1,428,984
Fed. States of Micronesia	\$300,000	\$3,397,000	\$48,000	\$3,745,000
Fiji	\$307,120	\$845,976	\$80,000	\$1,233,096
Kiribati	\$105,000	\$402,500	\$32,000	\$539,500
Marshall Islands	\$375,000	\$765,000	\$48,000	\$1,188,000
Nauru	\$70,290	\$174,696	\$32,000	\$276,986
Niue	\$85,358	\$204,318	\$32,000	\$321,676
Palau	\$150,000	\$450,000	\$32,000	\$632,000
Papua New Guinea	\$234,805	\$2,147,455	\$80,000	\$2,462,260
Samoa	\$421,560	\$480,556	\$80,000	\$982,116
Solomon Islands	\$175,956	\$473,035	\$80,000	\$728,991
Tonga	\$175,761	\$282,492	\$48,000	\$506,253
Tokelau	\$60,000	\$390,000	\$32,000	\$482,000
Tuvalu	\$320,801	\$771,363	\$32,000	\$1,124,164
Vanuatu	\$158,215	\$905,339	\$48,000	\$1,111,554
Beneficiary In-kind	\$251,000	\$234,000	\$39,000	\$524,000
FFA		\$6,401,755	\$1,129,722	\$7,531,477
SPC	\$6,235,470		\$692,830	\$6,928,300
IUCN	\$540,000	\$35,000	\$35,000	\$610,000
NZAid		\$400,000		\$400,000
Other Com Contributions	\$1,945,673	\$3,242,788	\$1,297,115	\$6,485,576
Regional Stakeholders			\$400,000	\$400,000
<b>Sub-Total</b>	<b>\$12,255,033</b>	<b>\$23,041,233</b>	<b>\$4,345,667</b>	<b>\$39,641,932</b>
<b>B. Other Estimated Co-Funding</b>				
Fishing State Costs	\$11,500,000	\$20,750,000		\$32,250,000
Surveillance		\$7,200,000		\$7,200,000
<b>Sub-Total</b>	<b>\$11,500,000</b>	<b>\$27,950,000</b>	<b>\$0</b>	<b>\$39,450,000</b>
<b>TOTAL</b>	<b>\$23,755,033</b>	<b>\$50,991,233</b>	<b>\$4,345,667</b>	<b>\$79,091,932</b>

## ANNEX B LOGICAL FRAMEWORK ANALYSIS

This Annex presents the Logical Framework Matrices for the overall project objectives and then for each Component. The outcome from the overall objectives and then for each component heads each table. The LogFrame identifies the results which would verify the objectives of each outcome and activity, how this will be realistically measured and ascertained as part of an effective monitoring process, and what assumptions this process makes and the potential risks which might present barriers to the process. After each Component the assumptions and risks are reviewed and explanations given as to how the project intends to resolve or bypass such assumptions or risks.

### LOGFRAME MATRIX: OVERALL PROJECT OBJECTIVES

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
<p><b>Global Environmental Goal</b> To achieve global environmental benefits by enhanced conservation and management of transboundary oceanic fishery resources in the Pacific Islands region and the protection of the biodiversity of the Western Tropical Pacific Warm Pool Large Marine Ecosystem.</p> <p><b>Broad Development Goal</b> To assist the Pacific Island States to improve the contribution to their sustainable development from improved management of transboundary oceanic fishery resources and from the conservation of oceanic marine biodiversity generally</p>	<p>WCPF Commission has adopted measures to regulate fishing in the high seas, and has formulated and assessed proposals for the conservation and management of fishing for globally important transboundary oceanic stocks throughout their range. These proposals include measures to address the impacts on other species in the globally important WTP LME. PacSIDS have undertaken reforms to implement the WCPF Convention and related multilateral environmental agreements (MEAs) and have strengthened the management of fishing for transboundary oceanic fish in their waters.</p>	<p>Legally binding Commission resolutions establishing controls over fishing in the high seas including catch and effort reporting, boarding and inspection, satellite-based monitoring, and regulation of transshipment adopted by the end of the Project. Commission reports showing that the Commission has by the end of year 4 i) identified the major concerns relating to sustainability of transboundary oceanic fisheries; ii) considered proposals for management measures to address those concerns, and those proposals address ecosystem-based aspects; iii) undertaken scientific and technical analyses of the effects of the proposals; and iv) is considering the adoption and implementation of measures throughout the range of the stocks. Project documentation showing systematic reform and strengthening of oceanic fisheries management by PacSIDS including improved consultative processes with stakeholders.</p>	<p>Commission Members make good faith efforts to implement the WCPF Convention and other relevant MEAs. PacSIDS have the capacity to effectively participate in the Commission, and to support the development and operation of the Commission in a way that fulfils the WCPF Convention. PacSIDS governments and civil societies have the necessary awareness and commitment to take the hard decisions involved in limiting fishing in their waters.</p>

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
<b>Information and Knowledge Objective</b> To improve understanding of the transboundary oceanic fish resources and related features of the Western and Central Pacific Warm Pool Large Marine Ecosystem.	Improved information on the biology and ecology of target fish stocks, including their exploitation characteristics and fishery impacts, the fishery impacts on non-target, dependent and associated species and on the pelagic ecosystem as a whole. Substantially improved understanding of Seamount ecosystems, especially their relation to migratory pelagic fisheries.	Reports from the scientific structure of the Commission show improved information and assessment methods are providing a credible basis for the formulation and assessment of conservation and management measures, including measures to address broader ecosystem effects. Commission reports and project documentation show that the information is being used in the Commission; is reaching a broad range of stakeholders; and is contributing to improved awareness and understanding of issues associated with transboundary oceanic fisheries conservation and management.	Commission Members can establish, resource and manage effective data and research programmes. Project mechanisms contribute effectively to raising awareness and improving understanding within PacSIDS about oceanic fisheries management.
<b>Governance Objective</b> To create new regional institutional arrangements, and reform, realign and strengthen national arrangements for conservation and management of transboundary oceanic fishery resources	The WCPF Commission established and functioning. PacSIDS amend their domestic laws and policies and strengthen their national fisheries institutions and programmes, especially in the areas of monitoring and compliance, to implement the WCPF Convention and apply the principles of responsible and sustainable fisheries management more generally.	Commission reports document the development of the Commission, its Secretariat and its compliance and science structures. Project documentation, including an independent review, shows measurable progress in PacSIDS national capacities in oceanic fisheries management.	The WCPF Convention is ratified by sufficient states to make the Commission effective. PacSIDS are able to secure financing and sufficient political commitment to make necessary legal, institutional and policy changes.

**LOGFRAME MATRIX: COMPONENT ONE - SCIENTIFIC ASSESSMENT AND MONITORING ENHANCEMENT**

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
<b>COMPONENT OUTCOME:</b> Improved quality, compatibility and availability of scientific information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the WTP warm pool LME, with a particular focus on the ecology of seamounts in relation to pelagic fisheries, and the fishing impacts upon them. This information being used by the Commission and PacSIDS to assess measures for the conservation and management of transboundary oceanic fishery resources and protection of the WTP LME. National capacities in oceanic fishery monitoring and assessment strengthened, with PacSIDS meeting their national and Commission-related responsibilities in these areas.		Substantial, relevant and reliable information collected and shared between stakeholders with respect to transboundary oceanic fish stocks and related ecosystem aspects, (particularly for seamounts). The Commission using this information as the basis for its discussions and policy decisions on WCPF management. National technical capacity and knowledge greatly improved	Commission Reports, especially from the Scientific Committee show that the Commission has access to, and is using, on-going reliable statistics and scientific advice/evidence by end of project to formulate and amend policy on oceanic fisheries management within the WCPF system boundary. These reports show particular progress in relevant ecosystem analysis, including results of the seamount-related work undertaken in the Project. The reports also show that the results of the ecosystem analysis are being used to begin to operationalise an ecosystem approach to conservation and management. PacSIDS national scientific capacities improved to level whereby each national lead agency can supply relevant and effective data to SPC and the Commission, and can interpret and apply nationally results of regional data analyses and scientific assessments.	Commission membership prepared to accept scientific findings and statistical evidence in formulating what may be difficult policy decisions on management of the fisheries, and difficult management proposals for the ecosystems. Sufficient sustainability available or identified through project to support national capacity improvements in technical and scientific functions as well as to support continued regional data coordination and analyses.
1.1	<b>Fishery Monitoring, Coordination and Enhancement</b>			
	A template for national integrated monitoring programmes and provision of data to the Commission	Database and associated software developed. Reporting modules available for Commission data.	Project documentation shows software and training to implement regional template made available to all PacSIDS by end of 3rd year.	

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	National monitoring systems based on the regional template for integrated monitoring, customised to meet national needs	National monitoring systems, including port sampling and observer programmes in place. All PacSIDS reporting regularly to Commission.	Commission compliance reports show all PacSIDS meeting Commission standards for provision of monitoring data within 2 years of the standards being adopted by the Commission.	National commitment sufficiently strong to ensure allocation of staff
	A regional monitoring coordination capacity, to develop regional standards such as data formats, and to provide a clearing house for information on fishery monitoring	Common data formats made available to PacSIDS, and adopted by each country to provide comparable data. Information on fishery monitoring including best practice examples, being shared between stakeholders through newsletters, website and regional workshops.	Reports on data quality to Scientific Committee Statistics WG, DCC and PCU show effective regional coordination of monitoring, including provision and use of common data reporting formats by end of year 3; Newsletter distributed to all stakeholders at least annually Reports from Workshops (minimum 2) available by year 3.  Website running and accessed by end of year 1. Newsletters, workshop reports and website provide evidence of networking between stakeholders on fishery monitoring	All countries can agree on data reporting formats (some may have to change existing formats). Staff available to maintain website. Countries willing to network with Commission on a regular basis, and each country agrees on a focal point for this networking.
	Training of national monitoring staff, particularly monitoring coordinators, observers and port samplers	In-country Courses and training activities conducted. Two regional workshops undertaken. National monitoring personnel attached to SPC/OFP	Reports of in-country observer and port sampling training activities, and attachments provided to PCU (2 national courses and 2 national monitoring personnel attached to SPC/OFP per year)	Countries can afford to release staff for training and attachments.
1.2	<b>Stock Assessment</b>			
	National oceanic fisheries status reports prepared collaboratively with national scientific staff	Collaborative work undertaken on National Tuna Fishery Status in 6 countries annually, including presentations at in-country national workshops.	National Status Reports; staff national mission reports and Workshop reports filed with PCU show work completed in 6 countries per year.	Countries have scientific and technical staff available and willing to undertake national fishery status reports and workshops (with GEF funding assistance)

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Advice to Pacific SIDS on scientific issues in the work of the Commission	Advice on scientific issues provided in briefing papers to PacSIDS before each meeting of the Scientific Committee and the Commission, and presented to PacSIDS preparatory meetings.	Reports of PacSIDS consultative meetings record consideration of scientific briefing papers. Reports of the meetings of the Scientific Committee and Commission record PacSIDS contributions reflecting the scientific briefing papers.	PacSIDS able to find the financial human resources to participate effectively in the scientific processes of the Commission
	Training of national technical and scientific staff to understand regional stock assessment methods, and interpret and apply the results; and to use oceanographic data	Regional Workshops carried out. National technical and scientific staff trained through attachments and in-country counterpart training.  Technical and scientific counterparts producing independent technical and scientific analyses by the end of the Project.	Reports from Regional Workshops available – the first one by end of year 2. Reports of attachments of 3 national technical staff each year.	PacSIDS can afford to release staff for training and attachments (national human resource limitations)
1.3	<b>Ecosystem Analysis</b>			
	Observer sampling and analysis of commercial fishery catches to determine trophic relationships of pelagic species in the WTP LME	Observer-based data collections and lab analyses undertaken in accordance with a workplan for the ecosystem analysis component established in year 1.	OFP technical reports, and reports to the Ecosystem & Bycatch Working Group of the Commission reflect the contribution to ecosystem analysis from data from observers and lab analyses	National and regional observer programmes, including a Commission programme, are running and providing data for ecosystem analysis. Sufficient observers available.

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Collection and analysis of information on seamounts in the WTP warm pool	Seamount planning and review workshops carried out. Seamounts described, historical fishing patterns around seamounts analysed, and seamounts selected as sites for field work. Field data collected at selected seamounts, including tagging, trophic sampling and analysis - 2 cruises per year in years 2, 3, plus 1 cruise to research benthic biodiversity. Participation by national scientists in field work supported (2 participants per cruise). Reports on seamount-associated field data prepared.	Report from workshop on seamount activity planning and review available by end year 1. Descriptive report on seamounts and historical fishing activities available by end of 18 months. Cruise reports within 12 months of completion of cruises.	Sufficient sea-time available to be able to undertake surveys and complete reports effectively and on-time. National scientists available to take part (human resource limitation issues)
	Model-based analysis of ecosystem-based management options	Data incorporated into ecosystem models. Models enhanced and used to assess management options, including options related to fishing around seamounts.	Documentation for meetings of the Scientific Committee and its Ecosystem & Bycatch WG including reports on ecosystem data and model refinement, and on ecosystem model-based assessment of specific management options.	Agreement can be reached on realistic options for management to be assessed. Effective models available and sufficient data collected to drive models and reach a scientifically justifiable conclusion

**LOGFRAME MATRIX: COMPONENT TWO - LAW, POLICY AND INSTITUTIONAL REFORM, REALIGNMENT AND STRENGTHENING**

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
<b>COMPONENT OUTCOME:</b> The WCPF Commission established and beginning to function effectively. Pacific Island nations playing a full role in the functioning and management of the Commission, and in the related management of the fisheries and the globally-important LME. National laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries reformed, realigned and strengthened to implement the WCPF Convention and other applicable global and regional instruments. National capacities in oceanic fisheries law, fisheries management and compliance strengthened		WCPF Commission operating with a formally adopted framework of rules and regulations. Commission Secretariat has been established and the core science and compliance programmes and Committee structures are operational. PacSIDS are participating effectively in provision of information and in decision-making and policy adoption process for WCPF fisheries management. National institutions and supportive laws and policies have been reformed effectively to support national roles in Commission and to meet national commitments both to WCPF Convention, and to other relevant MEAs, and global treaties and conventions.	Reports of the Commission and its Committees show that within 30 months of the Project inception the Commission is functioning with a full programme of work in compliance and science. Commission reports show PacSIDS are effectively participating in Commission decision-making processes. Independent assessments show that national capacities significantly improved to meet commitments to Convention and to undertake MCS responsibilities.	Commission remains effective throughout project lifetime and beyond. Countries continue to meet financial commitments to Commission to ensure its sustainability. Enormous Convention area and project system boundary can be effectively monitored to ensure compliance. Programmes of information collection and data analyses can be sustained throughout and beyond project lifetime. PacSIDS able to participate in the Commission effectively.
2.1	<b>Legal Reform</b>			
	A strategy and workplan for activities on regional and national legal issues	Legal and technical reviews (regional and national) undertaken and results available to regional Legal Consultation. Consultation carried out.	Report of initial Legal Consultation (including review of national and regional legal status and structures) distributed to participants by month 20.	Appropriate legal consultants available within timescale.
	New draft laws, regulations, agreements & license conditions in line with WCPF Convention prepared and shared with PacSIDS	Templates for legal provisions necessary to implement Convention provided to PacSIDS. Legal reviews undertaken in PacSIDS which have not already updated their legislation.	Reports of national legal reviews show regional templates amended to reflect different national situations being applied for implementation of the WCPF Convention.	Country commitment to legal reviews (consultants cannot be effective without national support and transparency)

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Proposals for the Commission from Pacific SIDS for legal arrangements to implement the Convention	Legal reviews and studies on Commission and Convention issues undertaken and legal briefs for discussion in Commission and related bodies prepared and lodged with countries. Briefs discussed in PacSIDS consultations (see 2.1.1)	Briefs on WCPF legal issues provided to PacSIDS by 30 months. Reports from regional Legal Consultations available by month 20. Records of PacSIDS consultations document discussion of Briefs and conclusions on PacSIDS policy for discussion of legal issues in Commission meetings.	Countries willing to share national legal position and information with Commission. PacSIDS prepared to make submissions to Commission on legal policy issues following this consultative process
	Training of policy makers and legal personnel in oceanic fisheries management legal issues	National and Regional legal training workshops carried out and assessed. Legal staff attached to relevant institutions and participating in analyses.	Reports of 2 regional legal workshop reports. Reports of 3 National legal training workshops carried out in each year of project, and 2 national legal staff attached to relevant institution per year.	Countries willing to host and participate in workshops. Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)
2.2	<b>Policy Reform</b>			
	National oceanic fisheries management plans, policies and strategies	Plan/policy/strategy documents prepared, implemented and reviewed based on feedback and lessons	Management plans and policy/strategy documents prepared or revised in at least 6 PacSIDS by month 30. Project documentation shows significant policy reforms in at least 50% of PacSIDS by end of Project.	Fisheries Management Adviser appointed to oversee the Policy Reform sub-Component. National policy-makers accept and adopt strategies and prepared to make necessary reforms to implement.
	Strategies and specific proposals for the overall development of the Commission, including its Secretariat and technical programmes, and for Commission conservation and management measures	Briefing papers provided to PacSIDS on establishment of the commission and on regional conservation and management measures. Regional consultations and workshops on Fisheries Management undertaken annually.	Reports of PacSIDS consultations show i) advice provided to PacSIDS on the development of Commission Secretariat and programmes annually in the first 3 years, and ii) advice provided annually to PacSIDS on regional conservation and management measures. Reports of Commission meetings document PacSIDS playing a major role in decisions relating to establishment of Commission Secretariat and programmes, and adoption of regional conservation and management measures.	Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Identification of possible management options for seamounts, including compliance options	Technical studies on management of oceanic fisheries related to seamounts undertaken completed and circulated to stakeholders. Workshops undertaken for stakeholders on seamount management issues. Proposals based on outcomes of seamount policy and technical analyses considered by PacSIDS, and if appropriate, the Commission.	Reports of technical studies sent to stakeholders by month 24. Reports of regional workshops document consideration of proposals for seamount-related management measures by end of year 4.	Technical capacity available to undertake studies within timeframe. Commission continues to operate effectively. Pac SIDS Stakeholders can agree on management measures in order to make proposals.
	Training of policy makers, technical personnel and other Pacific SIDS stakeholders to increase understanding of sustainable and responsible fisheries	Regional Policy Consultation workshops carried out. TSC/USP training course developed and on offer. National Fisheries Management Seminars available and workshops carried out. Fisheries Management personnel on attachment to FFA. Study tours arranged to other Fisheries Commissions. Support given to relevant Ministerial meetings.	Regional workshops completed by end of year 2. At least 4 training courses subscribed to by end of year 3. 6 National workshops and/or seminars on fisheries management completed by end of year 3. Project progress reports and technical reports lodged with PCU show 4 national fisheries management personnel attachments undertaken with FFA by end of year 3; 6 study tours completed to other fisheries commissions by end of year 4; and 2 Ministerial meetings relevant to Fisheries Management supported by end of year 4.	Countries willing to host and participate in workshops. Appropriate national personnel permitted to attend. National specialists available to take part (human resource limitation issues)
2.3	<b>Institutional Reform</b>			
	Strategies, plans and proposals for the reform, realignment and strengthening of national oceanic fisheries management administrations	Review the lessons and best practices in institutional reform carried out. Reviews of national fisheries management institutions carried out. National institutional reform workshops prepared and undertaken.	Report made available to PacSIDS and to PCU on lessons and best practices in institutional reforms along with reviews of national institutions by end of month 30. Reports of 2 national reform workshops completed per year.	Conditions in PacSIDS are sufficiently common for national best practices to be replicable.

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Processes for national consultation between stakeholders in oceanic fisheries management	National consultative process carried out between stakeholders. National ENGOs and INGOs given support to empower their participation in oceanic fisheries management	NCC reports show some form of consultative process in place in all PacSIDS by the end of the Project. Feedback from ENGOs and INGOs confirm that their participation has been strengthened in 50% of PacSIDS by end of year 3,	PacSIDS govts prepared to continue to improve transparency. National ENGOs & INGOs exist & have the capacity to participate. Consultation fatigue does not unduly constrain their participation
2.4	<b>Compliance Strengthening</b>			
	Strategies, plans and proposals for realigning and strengthening national oceanic fisheries compliance programmes	Review the national compliance implications inherent in the Convention, and identify strengthening requirements for national compliance to meet these implications	Report on national compliance implications of the Convention circulated to PacSIDS and presented to MCS WG by month 18. National reports provided to MCS WG show strengthening of compliance programmes in at least 50% of PacSIDS by end of Project.	PacSIDS willing to provide transparent information on compliance procedures and data.
	Arrangements for regional coordination of monitoring, control and surveillance activities	Regional consultations to coordinate patrols (air and sea). Advice given on MCS coordination between PacSIDS and other stakeholder countries. Niue Treaty subsidiary arrangements prepared	Reports available of annual MCS WG meetings showing work on MCS coordination. Technical reports lodged with PCU document proposals for application of the Niue Treaty on MCS cooperation.	Sufficient regional capacity and willingness to undertake an effective level of air and sea patrols
	Strategies and proposals for regional compliance measures and programmes	Technical studies undertaken on compliance issues relevant to Convention. Meetings of PacSIDS MCS Working Group held. Reports on regional compliance issues prepared and presented to PacSIDS. PacSIDS follow up those reports with proposals in the Commission & its Technical & Compliance Committee.	Technical reports on compliance submitted annually to PacSIDS MCS WG. Reports of meetings of the PacSIDS MCS WG, the Technical and Compliance Committee and the Commission document PacSIDS participation in establishing Commission compliance arrangements.	Commission Members can find basis for agreement on compliance measures to regulate fishing in the high seas

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Training of national compliance staff, especially in inspection and VMS	National courses and training on inspection, VMS and other MCS issues undertaken. National compliance staff attached to FFA and/or other established PacSIDS compliance and monitoring agencies.	Reports provided to the PCU of 3 national courses provided each year on MCS issues, and 2 national staff attachments each year.	Appropriate national personnel available for attachments and permitted to attend. National specialists available to take part (human resource limitation issues)

**LOGFRAME MATRIX: COMPONENT THREE - COORDINATION, PARTICIPATION AND INFORMATION SERVICES**

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
<b>COMPONENT OUTCOME:</b> Effective project management at the national and regional level. Major governmental and non-governmental stakeholders participating in project activities and consultative mechanisms at national and regional levels. Information on the project and the WCPF process contributing to increased awareness of oceanic fishery resource and ecosystem management. Project evaluations reflecting successful and sustainable project objectives.		Project achieving its objectives. Project implementation and management is fully participatory with appropriate involvement of stakeholders at all levels. Information access is transparent and simple. Information available is relevant and significant. Public awareness raising at national and regional policy level is effective. High project evaluation ratings.	Project Implementation Reviews and Project Performance Evaluations provide justification that project is successfully achieving its objectives and deliverables. These are supported by findings of the Independent Evaluations (Mid and Terminal). Stakeholders confirm transparent participation in the project, and improvements in knowledge and awareness across all levels and sectors.	National commitment needs to be high to ensure fully participatory involvement in project over lifetime. Stakeholder commitment also needs to be high to ensure continued contributions, sometimes at own cost. Policy-makers are receptive to awareness-raising information and presentations.
<b>3.1</b>	<b>Project information System</b>			
	Project Information System for capture, storage and dissemination of project data, lessons and best practices, and provision of information products	Project branding, webpage and document catalogue system developed. Webpage operational and updated. Project information materials available.	Webpage operational by month 6. Document catalogue functional on webpage by month 8. Webpage updated at least quarterly thereafter. Information downloadable from webpage.	Staff available to operate and update website, Sufficient interest among stakeholders to make website effective means of communication and information dissemination
	Knowledge management process identifying innovative, best practice and replicable ideas within the Project and relevant to the Project	Knowledge management strategy prepared and adopted.	Steering Committee reports show knowledge management strategy adopted by Steering Committee in year 2. Best practices etc, available on website by month 30.	Sufficient information and examples of best practices to drive a knowledge management strategy, or resources available to develop them.
<b>3.2</b>	<b>Monitoring and Evaluation</b>			
	Measures of, and reports on, overall project performance and delivery, including independent evaluations of the Project	Regular assessment and evaluations of performance and delivery as per UNDP and GEF requirements	Annual Review reports available. Independent evaluation in progress by end of year 3.	PCU adheres to reporting and evaluation requirements (responsibility of IA)

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Analysis of process, stress-reduction, and environmental status indicators as per the GEF International Waters Operational Strategy	Process, Stress Reduction and Environmental Status indicators adopted. National review and assessment mechanisms in place by end of year 1.	IW indicators assessed at national and regional level on annual basis. Information used in relevant reports to Commission to assist in assessment of national capacity building and response to Convention needs.. IW Indicator assessment reviewed by Independent Evaluators by end of year 3.	IW indicators developed for project are effective and comprehensive. Sufficient national and regional capacity to collect information on status of IW indicators. Effective support from project.
<b>3.3</b>	<b>Stakeholder Participation and Awareness Raising</b>			
	ENGO participation and awareness raising in Convention-related processes	Co-financing agreements in place with Pacific ENGO. An ENGO participating in Commission. Information packages circulated to ENGOs (including access to website). National and regional ENGO workshops carried out. Public Awareness materials developed and distributed. National fora for civil society participation organised.	LoAs agreed and signed with ENGO by end of first year. ENGO participating in Commission by end of year 1. Distribution lists for project information include ENGOs, and ENGOs and given access to website. Reports available for 2 ENGO workshops completed in year 2 and year 3. Public awareness material prepared by end of year 2 in coordination with ENGOs (and with their 'in-kind' input). 2 National meetings per year (after year 1) to involve civil society in oceanic fisheries management	Commission members agree to ENGO participation. ENGO identified that is appropriate willing to participate. Civil society has sufficient interest in oceanic fisheries to participate.
	Support industry participation and awareness raising in Convention-related processes	Co-financing agreements in place with Pacific Industry NGO. An INGO participating in Commission. Information packages circulated to INGOs (including access to website) and national/regional INGO workshops carried out as appropriate.	LoAs agreed and signed with INGO by end of first year. Reports of Commission meetings show INGO participating in Commission by end of year 1. Distribution list for project information includes INGO and INGO and given access to website. Reports available for 2 INGO workshops completed in year 2 and year 3.	Commission members agree to INGO participation. INGO identified that is appropriate willing to participate.
<b>3.4</b>	<b>Project Management and Coordination</b>			

SUMMARY		OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTIONS AND RISKS
	Project Coordination Unit staffing and office	Project Coordinator and other PCU staff appointed. Necessary PCU support equipment procured.	Project Progress reports show Project Coordinator hired by end of month 3 of project implementation; all project staff on-board or hiring plan-strategy agreed ready for appropriate time by end of month 6; and equipment procurements agreed and processed (as appropriate and in accordance with budget) by end of month 6.	Effective and acceptable Project Coordinator identified within timeframe Project staff hired at appropriate time to suit workplan (and not too late to be of use). Realistic equipment procurement plan developed and adopted by PCU at earliest opportunity. IA and EA efficient in authorising expenditure of funds for procurement.
	Arrangements for coordination between Implementing and Executing Agencies	Initial EA/IA consultations carried out. Necessary LoA finalised between EAs and IA. On-going consultations between EAs and IA throughout project lifetime	LoAs signed by end of month 3. Records show regular communication between EAs and IAs as necessary on a day-to-day basis, including regular meetings of EAs and IAs in association with Steering Committee meetings	Appropriate EAs and IAs in project. Clear understanding of importance of on-going consultative process
	Regional Steering Committee Meetings and Reports	Inception workshop carried out to begin project. Regular Steering Committees thereafter	Report of Inception workshop held within 4 months of project signature. Reports of annual Project Steering Committee meetings	All attendees committed to attending Inception Workshop. Appropriate presentations to ensure good understanding of project process.
	National Consultative Committee Meetings and Reports	National Focal Points nominated and approved. National Consultative Committees active	PCU records confirm nomination of NFPs and advice of membership of NCCs NCC records also show NCCs meeting annually or more as required by each country.	Appropriate NFPs adopted by countries. Country commitment to NCCs. Appropriate level of membership on NCCs.
	Reports on Project implementation, workplan and finances	Regular reporting as required by GEF, IAs and Steering Committee	UNDP and PCU records confirm timely preparation of Project Reports in accordance with project requirements	PCU fully aware of reporting requirements (assisted and advised effectively by IA)

## **ANNEX C     RESPONSE TO REVIEWS**

(with responses included in Italics)

### **A.     STAP REVIEW AND RESPONSE**

Technical Review of GEF Project Proposal

Pacific Oceanic Fisheries Management Project

**By Martin Esseen, 9<sup>th</sup> December 2004.**

#### **Introduction and general issues**

On first reading, this project appears to be huge, complex and difficult– fifteen separate countries are involved across a vast area of ocean, along with the implicit involvement of many other countries and organisations, as participants in the Western and Central Pacific Fisheries Commission (WCPFC), as partners or co-financers of the Project and as high-seas fishing countries. However, on subsequent reading, it is obvious that it is only because of its size and boldness that it is a worthwhile and achievable project, and one that addresses difficult and wide ranging issues that are far easier to ignore.

The project documents are comprehensive, clearly organised and elegantly written. Where there is doubt about quality of information or certainty of outcome this is clearly addressed and project activities are designed to remedy these situations. The project sensibly builds on existing co-operation and understanding between the target countries and their heavy dependence on oceanic fisheries resources as a major part of national income. It is a logical extension of existing projects, policies and activities in the region, takes on board the relevant conventions that apply to fisheries, both regionally and internationally and, if successful, would provide a model for the rationalisation of a number of wide-ranging international fisheries issues, particularly those involving fishing in international waters and the increasing problem of Illegal, Unregulated and Unreported (IUU) Fishing.

This project is driven by the concern of Pacific SIDS about unsustainable use of the transboundary oceanic fish stocks of the Pacific Islands region, and unsustainable levels and patterns of exploitation in the fisheries that target those stocks. The origins of the Project, its preparation, its objectives and its structure all address those concerns. These are transboundary concerns that apply especially to the impacts of unregulated fishing in the areas of high seas in the region, but also apply more generally across all waters of the region.

At the centre of these concerns is the transboundary nature of the stocks. The stocks are mostly highly migratory, with their range extending through waters under the jurisdiction of around 20 countries and into large areas of high seas. Each of the countries within whose waters the stocks occur has responsibilities under international law to adopt measures for the conservation and management of these stocks. But without a coherent and legally binding framework to establish and apply measures throughout the range of the stocks, including the high seas, the efforts made by individual countries in their own waters can be undermined by unregulated fishing on the high seas and by inconsistencies in measures in different national zones.

The GEF South Pacific Strategic Action Plan (SAP) identified the ultimate root cause underlying the concerns about, and threats to, International Waters in the region as deficiencies in management, and identified two major areas of deficiency – the governance of and the understanding of the fisheries resources. These are the main issues which the project addresses.

## Scope of the review

The review is structured (where appropriate) according to the STAP Terms of Reference for Technical Review of GEF Project Proposals, and the Annotations to these ToR that are applicable to International Waters Projects. The time allocated (2 days) for reviewing this large project is inadequate for a comprehensive review; consequently some details of the text may have been overlooked, and if unwarranted criticism is made of any aspects of the project proposal or if anything relevant has been omitted then the reviewer's apologies are due.

The acronyms used in this review are expounded in the relevant annex of the main project document.

Key issues:

### **1. Scientific and technical soundness of the project**

#### *Scientific Basis and Proposed technologies*

- 1.1 The scientific basis of the project is fundamentally sound, in that it aims to improve the quality, compatibility and availability of scientific data necessary for transboundary stock assessment and fisheries management from across the whole Western Central Pacific region and from vessels of all states who fish in the region. The project aims to assist the management of fish stocks according to established conventions (UNCLOS, UN Fish Stocks Agreement, World Summit on Sustainable Development Plan of Implementation, and the WCPF Convention among others). Current information and data will be assessed and built on by the WCPF Commission which will be extensively assisted by the project, by means of assisting the Pacific SIDS in enhancing national capacity for data collection and legal reform. Few details of the actual data to be collected are given, but it is assumed that the competent authority (WCPF Commission) will request the relevant data from the Pacific SIDS; the project will assist the SIDS in providing this data. In addition the Monitoring, Control and Surveillance (MCS) capacity of the SIDS will be standardised and enhanced and legal provision will be made for MCS interventions on the high seas.
- 1.2 The approach to data collection is comprehensive and will include port monitoring, observer activity on fishing vessels, satellite Vessel Monitoring Systems (VMS), logbooks and other data collection activities. Intensive training will be given at national level and national databases will be established to a standard format.
- 1.3 The project is built around the two primary concerns identified by the original Strategic Action Plan. The SAP identified the ultimate root cause underlying the concerns about, and threats to, International Waters in the region as deficiencies in management, and grouped the deficiencies into two linked subsets: A. Weaknesses in governance of oceanic fisheries management at both the regional and national and national levels, B. Lack of understanding and knowledge in relation to awareness (at many levels) and gaps in information. The main thrust of the project is to resolve these issues through training, capacity building and sectoral reform.
- 1.4 The issue of inter-compatibility of data has been thoroughly addressed. A standard WCPF Commission template for data collection will be developed and all Commission members will deliver data to the Commission in the required format. Where necessary, training will be given to Pacific SIDS to use and develop this standardised data collection system.

- 1.5 The interlinkages between water related environmental issues and root causes behind the environmental problems are straightforward and essentially related to poorly controlled (and in some cases excessive) fishing activities throughout much of the region.
- 1.6 The reviewer understands that the TDA and SAP process was undertaken at an earlier stage in project development. The primary findings of the SAP have been incorporated directly into the design and objectives of this Project.
- 1.7 A major component of the project is to ensure that ecological carrying capacity is not exceeded.
- 1.8 The scope of the project is vast and wide reaching and attempts to address some of the most serious problems that affect International Waters globally.
- 1.9 Very little in the way of technology is proposed in the project, and that which is (VMS, stock assessment modeling and database use) is adequate for the socio-economic profile of the region. Where necessary training in the use of appropriate technology will be provided under the project.
- 1.10 The proposed technologies pose virtually no environmental threats.

#### *Institutional arrangements*

- 1.11 **There exists a high level of inter-country co-operation at all levels across the Pacific SIDS, primarily through the auspices of the Secretariat of the Pacific Community (SPC) and the Forum Fisheries Agency (FFA), with the latter having a long term scientific presence in the region. The scientific capacities of national institutions was thoroughly assessed during project preparations and extensive training is proposed in the project to bring all relevant institutions in the recipient countries up to an equivalent standard necessary for the collection of data required by the Commission. The sustainability of these institutions is enhanced by the setting up of the Commission as this releases more funds for national capacity enhancement by the removal of much the financial burden of management of national waters by the Pacific SIDS.**
- 1.12 A large component of the project is to be achieved through assistance to the legal institutions of the Pacific SIDS to update and standardise national law and policy to aid the effective working of the WCPF Commission. Although the reviewer is not qualified to comment on arrangements for this component, it would appear to be thoroughly covered in the project documentation, of which the relevant sections were researched and written by a competent legal specialist.
- 2. Identification of the global environmental benefits and/or drawbacks of the project**
- 2.1 The global environmental goal of the Project is to achieve global environmental benefits by enhanced conservation and management of transboundary oceanic fishery resources in the Pacific Islands region and the protection of the biodiversity of the Western Tropical Pacific Warm Pool Large Marine Ecosystem. This will include not only stocks of commercially important fish (mostly tuna) but also by-catch and non-target species (including marine mammals, birds and reptiles) and species associated with seamounts in the region.
- 2.2 No significant negative environmental effects are anticipated.
3. How the project fits within the context of the goals of GEF, as well as its operational strategies, programme priorities, GEF Council guidance and the provisions of the relevant conventions

The following extracts from the Project Brief would seem to answer the above question:

*The proposed project fits exactly with the objectives, approach, scope and strategic thrust of the GEF in the International Waters focal area. In addressing the conservation and management of shared oceanic fishery resources in a SIDS region, the Project can contribute substantially to the objectives of the SIDS component of GEF OP9, the Integrated Land and Water Multiple Focal Area Operational Program, also providing benefits under the Large Marine Ecosystem Component of OP 8, the Waterbody-Based Operational Program.*

*The proposal is also consistent with the GEF Business Plan for FY 2004-2006, falling within all 3 IW Strategic Priorities.*

In terms of compliance with relevant conventions and agreements, the project aims to assist the Pacific SIDS in:

- *implementation of the oceanic fisheries management aspects of the SAP of the Pacific Islands Region;*
- *implementation of the WCPF Convention, including the establishment of the WCPF Commission which is the core element of the Convention;*
- *application in the Pacific Islands Region of the principles of the relevant provisions of the UN Convention on the Law of the Sea, the UN Fish Stocks Agreement and the WSSD fisheries targets;*
- *acceleration of the implementation in Pacific SIDS of the actions to promote sustainable development for SIDS set out in the Barbados Programme of Action and the WSSD Plan of Implementation*
- *the achievement of legal, policy and institutional reforms in Pacific SIDS for the implementation of the UN Fish Stocks Agreement and the WCPF Convention;*

Further details of the degree and means of compliance with the various conventions is to be found in the project document.

#### **4      *Regional context***

It is difficult to envisage a project with a wider regional context than this one. Fifteen separate countries across a huge area of the Western and Central Pacific Ocean are the direct recipients of project activities and funds. Through the auspices of the WCPF Commission, all countries with a stake in the region's fisheries are involved directly in the in the co-financing and the successful outcome of the project. The fishing industry and some environmental groups are involved in the work of the Commission and thus will be indirectly influenced by project activities.

#### **5.      *Replicability of the project (added value for the global environment beyond the project itself)***

If the project is successful in its proposed outcomes, many of the mechanisms developed through project intervention and through the work of the WCPF Commission could be applied to International Waters situations globally. The resolution of fisheries problems and conflicts (such as IUU fishing, high seas fishing and fishing on seamounts) in International Waters is of global concern and this project aims to tackle many of the associated problems. Project outcomes may be particularly replicable in other SIDS (e.g. Indian Ocean, Caribbean).

The component relating to dissemination of information generated through the project (Component 3) will assist in the replicability process.

#### **6      *Sustainability of the project***

Due to the high value of the fish resources to each of the Pacific SIDS, it is in their long term interests for these resources to be managed sustainably. Hence it is in their interest for project outcomes to be continued long after project completion.

The project aims to assist in the sustainable management of the fish resources of the region through assistance with data collection and legal reform. The critical points for sustainability are the enhancement of national capacity and sustainable financing after project support has ceased.

The former is addressed through enhancement of national capacity across the Pacific SIDS and through support to the WCPF Commission. The potential weakness of human resources in the Pacific SIDS is recognised in the project documents – some of these are very small countries and have few resources to contribute towards project activities. The Project addresses this constraint, in that GEF funding will not provide hardware, or fund capital items or recurrent budget items but will invest in knowledge, ideas, training and institutional change and will assist in developing financing processes that will enable more people to work on oceanic fisheries management issues.

The sustainable financing of the SIDS participation in the Commission has been addressed adequately in the project design:

- The initial levels of annual contributions paid in aggregate by all the SIDS is estimated at approximately \$190,000; this is a very low and affordable level of contribution. It may rise over time as the SIDS domestic fleets take a larger share of the catch, thereby attracting a higher share of the Commission's costs, but any increase in catch proportion should be seen as a positive benefit by the SIDS.
- Costs of participating in the work of the Commission have been kept deliberately low (especially in comparison to the Atlantic and Eastern Pacific Tuna Commissions). The WCPF Commission has been designed to operate with 2 annual sessions, thereby cutting both time and costs involved in the SIDS participation. Uniquely for such organisations, travel costs for Pacific SIDS and other developing states will be met from the Commission's core budget.
- Experience with the other regional tropical oceanic fisheries commissions indicates that while there are problems with non-payment of financial contributions by some Members, this has not threatened the sustainability of the organisations – the Eastern Pacific Commission has been operating since 1946 and the Atlantic Commission since 1969.
- Given the scope for recovering much of the incremental costs from vessel owners, the level of incremental costs seems reasonably sustainable, though there may be some countries for which the sustainability of their funding for these activities is less certain. The Project will address this issue by assisting Pacific SIDS to develop cost recovery programmes for fisheries management programmes.

The level of private sector involvement in the project is small but significant, and although many of the costs associated with project outcomes may inevitably fall on the private sector, the long-term sustainability of the fisheries resources should be sufficient to encourage their continued participation. A slight concern is that private sector entities from non-regional countries who have a significant fishing presence in the region may not feel as involved in the issues, but their national government's presence on the WCPF Commission should help to ensure compliance.

In general, the issues of sustainability are extensively and adequately addressed in the project documents.

## 7 Secondary issues

### 7.1 *Linkages to other focal areas*

This project is inevitably linked to Biodiversity.

### 7.2 *Linkages to other programmes and action plans at regional or sub-regional levels*

The project aims to assist the Pacific SIDS in

- implementation of the oceanic fisheries management aspects of the SAP of the Pacific Islands Region;
- implementation of the WCPF Convention, including the establishment of the WCPF Commission which is the core element of the Convention.

However, little detail was given in the documents available for review and the reviewer is not in a position to adequately judge the full extent of linkages to other programmes and action plans. There should be some discussion in the text on how this proposed project will coordinate between and dialogue with other related initiatives in the area (both the thematic and geographic area) and indeed with other fisheries initiatives throughout the world so as to share lessons and best practices as well as to avoid overlap and duplication.

**Response: A new section entitled “relationship to other programmes, projects & action plans” has been included in section i within the main project document**

### 7.3 *Other beneficial or damaging environmental effects*

Increased food security for Pacific SIDS may have the effect of reducing land degradation and pressure on inshore marine resources (especially reef systems) in the region. No damaging environmental effects are anticipated from this project, though if project outcomes were to indirectly increase the level of tourism in the region then this would have its associated problems.

### 7.4 *Degree of involvement of stakeholders in the project*

In the region generally, public sector stakeholder participation in oceanic fisheries management processes has been strong, but non-government stakeholder participation, up until now, has been weak.

The issue of stakeholder participation is adequately addressed in the project design (Section G) and it is anticipated that levels of participation by the fishing industry and NGOs will be relatively high in the WCPF Commission.

The high level of co-funding that has been offered for the project also suggests a high commitment from the stakeholder body.

The widespread dissemination of the project outcomes should encourage stakeholders in continuing participation.

### 7.5 *Capacity-building aspects*

As a major part of the project is about capacity building, this is obviously addressed extensively in the project document.

### 7.6 *Innovativeness of the project.*

While there is little about this project that is innovative in a scientific or technical sense, it is highly innovative that the Pacific Island Countries have developed a formal agreement with the Distant Water Fishing Nations and are taking control not only of their territorial waters and

EEZs vis-à-vis international fishing efforts, but are also taking fairly unprecedented steps in protecting the high seas in between against over-exploitation. Additionally, the concern about seamounts and how they relate to these migratory fisheries is an important and politically sensitive issue. Nothing else has been done on this within the Pacific, and it is probably a wise move that these oases of high diversity (particularly in relation to endemic species) are being given some attention in relation to their role in high seas fisheries, as well as the potential need to manage their exploitation more effectively.

### ***Potential issues or problems***

The following issues might constructively be addressed:

#### ***1. Historical data for Stock assessment***

Although the standardisation and improvement of fisheries data collection is a major thrust of the project, the quality of existing fisheries data is unclear; if it is of dubious or variable quality, then this will have an effect on preliminary stock assessment outputs. This issue should be addressed at an early stage of the project.

***Response:*** *The project is fortunate to have available to it an extensive database, maintained by SPC/OFP of historical fisheries statistics. As noted on p. 14 of the Project Brief, this database “currently includes historical records of approximately 2.7 million fishing operations by more than 9,000 different fishing vessels, and covers most of the fishing conducted in the region over the past 25 years”. In addition to these operational data, the OFP has compiled historical catch and effort data at 5 degree (longline) or 1 degree (purse seine and pole-and-line) square and month resolution for all major fishing nations. These data cover both areas of high seas and areas under national jurisdiction. Other data essential for stock assessment, such as size frequency and tagging data have also been compiled by the OFP. A comprehensive catalogue of all historical data held by the OFP is available at: <http://www.spc.int/oceanfish/html/statistics/datacat/datacat.htm>.*

*These data allow tuna stock assessments routinely conducted by the OFP to extend back to 1950, thus covering the entire period of industrial-scale tuna fishing in the region.*

#### ***2 Quality of data collection in non-recipient countries***

The data collection systems of some of the poorer non-recipient countries should be assessed at an early stage in the project to see if they have the capacity to collect data to the standard required by the Commission. Any shortfall in overall data standards will have a negative effect on the use of the data collected by the Pacific SIDS as an outcome of this project. However, it will be the responsibility of the Commission and not the Project to address any shortcomings found.

***Response:*** *The major fishing countries that are not recipients of this project are Japan, Korea, China, Taiwan, United States, Philippines and Indonesia. Detailed historical data for the fleets of these countries fishing in the EEZs of pacific island countries and territories are currently held by the OFP. These data have been collected by the coastal states under the conditions of access. As noted in the previous section, complete data are also provided in summary form by most of these fishing countries covering both EEZs and high seas. The OFP also receives data from the French and us territories in respect of fishing in these waters. The main problem area concerns the domestic fisheries in Philippines and Indonesia. The only data available from these countries are highly aggregated estimates of total catch by species. Effort and size frequency data are not consistently available. To remedy this, a commission-sponsored project (entitled “Philippines and Indonesia data collection project”) to review data collection methods and institute new sampling programs has*

*recently been initiated. This project will see the establishment of catch monitoring and sampling programs in these countries that will provide data to the commission's standards.*

### 3 *Relations between fishing industry and ENGOs*

While the bringing together of the fishing industry and the environmental groups is a necessary step, historically the relationships between some sectors of the fishing industry and some environmental groups have been very poor. Care should be taken by all parties to improve these relationships and avoid polarisation, and a sound and professional project management team should be able to assist in this process.

**Response:** *The reviewer's point is well made and well taken. The thrust of the project in this area is not so much to bring the fishing industry and ENGOs together as to support them to develop their capacities to enhance the discourse about oceanic fisheries management at national and regional levels within their own constituencies. This reflects broad experience that decisions taken by governments, in this case on oceanic fisheries management, will be sounder and more effectively implemented when they are informed by a rich dialogue involving key stakeholders, even when those stakeholders have conflicting interests. Differences in point of view between industry and ENGOs are to be expected, but in general, locally-based fishing businesses have a greater interest in maintaining resource abundance than distant water fishers because they do not usually have the same ability to roam over large areas seeking better fishing conditions as abundance declines.*

### 4 *Definitions of principles*

Unless accepted definitions exist elsewhere that are applicable to this project, the project documentation should include firm definitions of such concepts as the "Precautionary Approach" and the "Ecosystem Approach", in order to avoid differing interpretations of these concepts by the various parties involved in the project.

**Response:** *References to relevant definitions of these principles have been included as footnotes to the first use of these terms in Section A.*

### 5 *Scientific names*

The reviewer considers that the scientific names of fish and other marine species mentioned in the text should be included along with their common names, either in the text body or as an annex. This will eliminate any possible confusion over regional variations in the use of common names.

**Response:** *A helpful suggestion. A list of scientific names of fish and other marine species mentioned in the text has been attached to the document.*

### ***General conclusions***

The Pacific Oceanic Fisheries Management Project is a bold and far reaching undertaking. Project preparation has been extensive and effective and the resulting document is, although large, well organised and well written. Although specific details of project activities are not always included, this is inevitable at this stage of project planning, and the reviewer is confident that with a good project management team and with the high level of co-operation and co-ordination expected between the project and the WCPF Commission, the details will be adequately addressed.

As with any project there are risks to the success of the project and to its future sustainability; these have been comprehensively addressed. The project builds on the current atmosphere of cooperation

among the Pacific SIDS, particularly pertaining to fisheries issues, and on the establishment of the Commission, whose inaugural meeting is taking place as this review is being written. The project's support for the activities of the Commission will be a great help in its initial years.

Although the reviewer has little experience in the legal system and cannot comment in depth on the proposals for legal and policy changes it would seem, from reading the project documents that a lot of thought and expertise has been put into developing this section of the proposal.

A high degree of co-financing has been promised, both in cash and kind, and this is a sign of the widespread acceptance of the need for such a project. The public sector, private sector and NGOs all have a role to play in the creation of a forward looking management system for one of the larger LMEs on earth and one of the most productive in terms of the value of its fisheries.

The reviewer has no hesitation in recommending this project for funding.

## **B. RESPONSE TO COMMENTS FROM SECRETARIAT AND OTHER AGENCIES**

### **B1. RESPONSE TO COMMENTS FROM THE GEF SECRETARIAT**

The GEF Secretariat requested two improvements in the project submission:

- 1) To attach a summary of the evaluation of the completed oceanic fisheries component of the initial IW SAP project; and
- 2) To provide more information on co-finance.

#### **Terminal Evaluation of the OFM Component of the IW South Pacific SAP Project**

The GEF Secretariat requested that: *“A summary of the evaluation of the completed oceanic fisheries component of the initial IW project should be utilized in preparation and should be appended to the project brief per Council instructions.”*

**Response:** *as set out on pages 38 & 39 of the Project Brief, the Terminal Evaluation report of the IW SAP Project provided much of the basis for the design of the new Pacific Islands OFM Project. A summary of the evaluation report has been appended to the project brief as Annex E in the Compulsory Annex volume.*

#### **Co-Finance Information**

The GEF Secretariat indicated that the provision of *“more specificity in co finance would be useful at project brief stage.”*

Specifically the GEF Secretariat requested Pacific SIDS:

1. *To clarify the nature and allocation of the 39 million co-financing from fishing states and surveillance partners.; and*
2. *In the executive summary's presentation of project component outcomes: add information about GEF funding and co-funding for each component*

**1) Response On The \$39 Million Co-Financing From Fishing States:** *the estimate of \$39 million includes \$32,250,000 estimated costs of additional requirements to be met by fishing states arising from the Commission and \$7,200,000 additional costs for cooperative surveillance costs from countries supporting Pacific SIDS through the provision of air patrols.*

*The incremental costs for fishing states have been estimated as follows using data from the World Bank Report 'Working Apart Or Together' The Case For A Common Approach To Management Of The Tuna Resources In Exclusive Economic Zones Of Pacific Island Countries: Gert Van Santen & Philipp Muller, March 2000*

#### **Component 1: Scientific Assessment & Monitoring**

<i>Costs for additional national and regional research</i>	<i>\$8,500,000</i>
<i>Incremental costs for data collection</i>	<i>\$3,000,000</i>

<b>Total Component 1:</b>	<b>\$11,500,000</b>
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#### **Component 2: policy, legislation & compliance**

<i>Operating costs for VMS, observers &amp; vessel register</i>	<i>\$18,250,000</i>
<i>Costs of reporting to the commission</i>	<i>\$2,500,000</i>

<b>Total component 2:</b>	<b>\$20,750,000</b>
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*Total estimated incremental costs for fishing states*

**\$32,250,000**

*The total of \$32,250,000 is an increase of \$ 1 million over that in the draft submitted for review by the GEF Secretariat. This revision has been made to align the estimates precisely with those in the World Bank report. For the same reason the allocation of the total between the two project components set out above is a revision of the data in the original submission.*

*The estimated co-funding from those partner countries involved in supporting regional air and sea surveillance programmes to extend the coverage of those programmes to monitor compliance with the new framework for regulation of fishing in the high seas was estimated based on an additional 300 hours of air patrol annually using a mix of the P3 Orion, C-130 and Guardian aircraft used for cooperative maritime patrols with Pacific SIDS by Australia, France, New Zealand and the United States.*

*This explanation has now been included in the incremental cost analysis attached to the Project Brief and to the executive summary; a summary of this information has also been included in Section 3 of the Executive Summary; additional information on the sources of co-funding has been included in Section 2 (b) of the Executive Summary and Section E of the Project Brief and the estimated co-funding has been revised throughout the documentation submitted*

**2) response on the presentation of information on GEF funding and co-financing for each project component:** *A breakdown of the project funding for each component in terms of the GEF grant and co-financing has been included in the discussion of each project component in the Executive Summary, with information outlining the major elements financed by GEF and the major sources of co-financing for each component*

## **B2. RESPONSE TO COMMENTS FROM WORLD BANK**

The World Bank commented on several aspects of the Project submission, concluding that:

the Bank fully supports the project, although our impression is that while the project will supply the basis for future detailed management recommendations, it may not pay sufficient attention to how these recommendations may be implemented at the LME level. Our impression is also that the necessary balance between the economic and the biological (people and fish) is skewed in favour of the biological. It is possible that both of these concerns could be addressed during implementation.

The 6 specific issues raised in the Bank comments have been addressed as follows:

1. the tracking of benefits accruing to both the SIDS and the distant water fleets.

**Response:** *representatives of the Bank and FFA met in Sydney on 9 February 2005 and agreed to give priority in cooperation between the Bank and FFA to support for the development of indicators of economic performance in the Western and Central Pacific oceanic fisheries.*

2. giving more attention to economic factors as the drivers of over-exploitation

**Response:** *a reference to analysis of economic factors contributing to over-exploitation has been included in the description of sub-component 2.2: policy reform in the Project Brief*

3. the need to give attention to issues related to resource allocation

**Response:** *a reference to the provision of advice on the principles of allocation of access to resources has been included in the description of sub-component 2.2: policy reform in the Project Brief*

4. the need to consider: (a) means of measuring and verifying purse seine vessel fishing capacity, particularly with respect to the use of FADs; and (b) means of ensuring compliance with possible WCPFC regulations regarding limits on the use of FADs in time, or area closures, both on the high seas and in the EEZs.

**Response:** *at its first meeting, the WCPF Commission called for its scientific committee to provide advice on measures to mitigate the catch of juvenile bigeye and yellowfin including controls on setting on floating objects; and for its technical and compliance committee to provide advice on effective implementation of possible conservation and management measures including time/area closures or alternative measures to control sets on floating objects. In response the project will provide scientific and technical advice to Pacific SIDS on FAD-related issues under sub-components 1.2; stock assessment and 2.4: compliance strengthening*

5. the importance of analysing MCS costs and possible new technologies for MCS

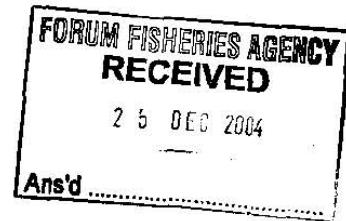
**Response:** *a reference has been included in the description of sub-component 2.4 compliance strengthening to work on MCS costs and new technologies for MCS.*

6. strengthening of fisher associations, including bringing SIDS and distant water fishing associations together

**Response:** *the Project design attaches priority to strengthening participation by stakeholders, including fishers in the implementation of the WCPF Convention and the project. As documented in the project submission, fishers associations in Pacific SIDS are relatively weak and have had relatively little participation in the process of preparation of the WCPF Convention. The project is designed to support the establishment and strengthening of fishers' associations in Pacific SIDS and their participation in regional fisheries affairs through sub-components 2.3: institutional reform and 3.3: stakeholder participation and awareness raising. This work could include support for joint fora of Pacific SIDS and distant water fishing associations if that is identified by Pacific SIDS fishers as a priority. Consultations with Pacific SIDS fishers during the design phase of the project have already stimulated the formation of a regional association of Pacific Islands fishing industry interests.*

ANNEX D ENDORSEMENTS FROM GEF OPERATIONAL FOCAL POINTS AND OTHER CONTRIBUTORS

085:9 901/52/21



**MINISTRY OF FOREIGN AFFAIRS AND IMMIGRATION**  
GOVERNMENT OF THE COOK ISLANDS

Ref No: 204.317  
Letter No: 414

24 December 2004

Mr. Frank Pinto:  
Executive Coordinator

Fax: (1) 212 9066998

UNDP-GEF  
FF-916

1 UN Plaza  
New York, NY 10017

**ENDORSEMENT OF REQUEST FOR GEF ASSISTANCE: PACIFIC ISLANDS  
OCEANIC FISHERIES MANAGEMENT PROJECT**

I am writing as the GEF National Focal Point to advise that the Government of the Cook Islands supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of the Cook Islands appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours Sincerely

  
Edwin Pittman

**SECRETARY OF FOREIGN AFFAIRS & IMMIGRATION AND  
GEF NATIONAL FOCAL POINT**

cc: Mr Feleti.P.Teo, FFA Director, Fax (677) 23995

*Foreign Affairs: PO Box 105, Rarotonga, Cook Islands Telephone: (682) 29347 Fax: (682) 21247  
Please address all correspondence to the Secretary of Foreign Affairs and Immigration*

100

ND.907

FOREIGN AFFAIRS + 23995

09:57

24/12/2004



**DEPARTMENT OF ECONOMIC AFFAIRS**

Federated States of Micronesia

P. O. Box PS-12

Palikir, Pohnpei FM 96941

29 December 04

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 10017

Fax: 1 212 9066998

**Subject: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project**

I am writing as the GEF National Focal Point to advise that the Government of the Federated States of Micronesia supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of the Federated States of Micronesia appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours Sincerely,

A handwritten signature in black ink, appearing to read "John Mooteb", is written over a circular stamp.

John Mooteb  
GEF Operational Focal Point

cc: Mr. Feleti P. Teo, FFA Director  
Mr. Bernard Thoulag, NORMA Executive Director



## MINISTRY OF LOCAL GOVERNMENT, HOUSING, SQUATTER SETTLEMENT AND ENVIRONMENT

LOCAL GOVERNMENT AND HOUSING  
PO Box 2131, Government Buildings,  
Suva.  
Telephone: (679) 330 4364  
Fax: (679) 330 3515  
E-mail: [camatulloma@connect.com.fj](mailto:camatulloma@connect.com.fj)

DEPARTMENT OF ENVIRONMENT  
PO Box 2131, Government Buildings,  
Suva.  
Telephone: (679) 331 1699  
Fax: (679) 331 2879  
E-mail: [enasome@govnet.gov.fj](mailto:enasome@govnet.gov.fj)

DEPARTMENT OF TOWN & COUNTRY PLANNING  
PO Box 2350, Government Buildings,  
Suva.  
Telephone: (679) 330 5336  
Fax: (679) 330 4840

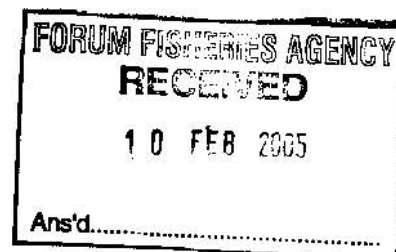
Fiji FA House, 4 Gladstone Road, Suva, Fiji Islands

OUR REF. NO.:

YOUR REF. NO.:

1 February, 2005

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York  
NY 10017



Fax: 1 212 906-6998

Re: **ENDORSEMENT OF REQUEST FOR GEF ASSISTANCE: PACIFIC ISLANDS  
OCEANIC FISHERIES MANAGEMENT PROJECT**

I am writing as the GEF National Focal Point to advise that the Government of Fiji supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of Fiji appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

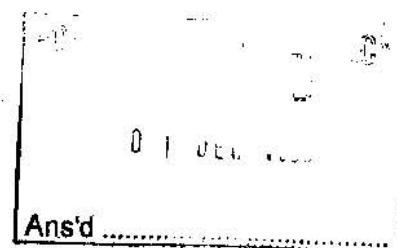
Yours sincerely,

Manasa Sovaki  
Principal Environment Officer  
For **CHIEF EXECUTIVE OFFICER FOR LOCAL GOVERNMENT, HOUSING, SQUATTER  
SETTLEMENT & ENVIRONMENT**

cc Mr. Feleli P. Teo, FFA Director, Fax (677) 23995

01/12/2003 11:26 68628334  
01/12/2003 12:21 FAX 68628334

MESD



**GOVERNMENT OF KIRIBATI**  
**MINISTRY OF ENVIRONMENT, LANDS & AGRICULTURAL DEVELOPMENT**  
**P.O BOX 234, BIKENIBEU TARAWA**

Telephone Number: (686) 28211, Fax Number (686) 28334

File ref: -----

Date: 28 November 2003

Mr Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 10017

Fax: 1212 9066998

Dear Sir,

**Subject: Endorsement of Request for GEF Assistance**

The purpose of this letter is to advise that the Government of Kiribati supports the request to the Global Environment Facility for assistance in the preparation of the project Oceanic Fisheries Management. Implementations of the Strategic Action Programme of the Pacific SIDS (Pacific SAP ID, and endorses the application for a PDF-13 grant for the preparation of this Project.

The Government of Kiribati appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours sincerely,

A handwritten signature in dark ink, appearing to read 'Karibaiti'.

Karibaiti Taoaba (Mrs)  
GEF Focal Point for the Government of Kiribati

Cc: Director, Forum Fisheries Agency, Honiara, Solomon Islands (677) 23318



*Republic of the Marshall Islands*  
**OFFICE OF ENVIRONMENTAL PLANNING AND POLICY  
COORDINATION (OEPPC)  
OFFICE OF THE PRESIDENT  
Majuro 96960**

Ph: (692)625-7944 Fax: (692)625-7918 Email: [oeppc@ntamar.net](mailto:oeppc@ntamar.net)

---

**UNDP/GEF/ PACIFIC ISLANDS OCEANIC FISHERIES MANAGEMENT  
PROJECT**

**LETTER OF ENDORSEMENT OF GEF PROJECT**

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
1 UN Plaza  
New York, NY 10017

Feb 04, 2005

Fax: 1 212 9066998

*Re: Letter of Endorsement for the UNDP/GEF/Pacific Islands Oceanic Fisheries  
management project*

Dear Mr. Pinto,

In my capacity as Global Environment Facility (GEF) operational focal point for the Republic of the Marshall Islands, I hereby endorse the Pacific Islands oceanic fisheries management project which will be executed by UNDP. .

The project would greatly assist in our present efforts to strengthen our fisheries sector and institutional capacity to address sustainable development issues.

The Government of the Republic of the Marshall Islands considers this project to be a valuable exercise in our on-going efforts to protect the global environment, while working to achieve our national sustainable development goals. We appreciate the continuing support of UNDP and the Global Environment Facility in this important work.

Ms. Yumi Crisostomo, Director and GEF OFP  
Office of Environmental Planning and Policy Coordination  
Office of the President



**UNDP/GEF/PACIFIC ISLANDS OCEANIC FISHERIES MANAGEMENT  
PROJECT**

**LETTER OF ENDORSEMENT OF GEF PROJECT**

**14<sup>th</sup> December 2004**

**Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 10017**

Dear Sir,

**Subject: Endorsement of Request for GEF Assistance – Pacific Islands Oceanic Fisheries Management Project**

I am writing as the GEF National Focal Point to advise that the Government of Nauru supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project, which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the Project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of Nauru appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours sincerely,

**A/Secretary for Island Development and Industry  
As GEF National Focal Point for Nauru**

Cc : Mr. Feleti Teo, Director, Pacific Islands Forum Fisheries Agency,  
Honiara, Solomon Islands, Fax (677) 23995

Hon. Marcus Stephen, Chairman, NFMRA, Nauru, Fax 4443812



**GOVERNMENT OF NIUE**

**Office for External Affairs**

**Premier's Department**

P O Box 40, Alofi, NIUE - Ph: (683) 4200 - Fax: (683) 4151/4206

Email: [external@mail.gov.nu](mailto:external@mail.gov.nu)

24 December 2004

Mr Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-016  
1 UN Plaza  
New York, NY 10017



Fax: 1 212 9066998

Dear Sir,

**Re: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project**

I am writing as the GEF National Focal Point to advise that the Government of Niue supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of Niue appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours sincerely

**Crossley Tatui**  
**GEF Operational Focal Point**

**CC: Mr Feleti P Teo, FFA Director, Fax: (677) 23995**



**United Nations**  
**Operational Focal Point**

Climate Change Convention  
Kyoto Protocol  
Biological Diversity  
Convention  
Biodiversity Protocol  
Desertification Convention  
Ozone Convention  
Montreal Protocol - Ozone  
World Heritage

**Operational Focal Point**

Global Environment Facility  
International Wetland  
Programme

**Contact Focal Point**

U.S. Coral Reef Taskforce

**Secretariat**

National Environmental  
Protection Council

**Co-Secretariat**

International Coral Reef  
Initiative (ICRI)

**Contact**

P.O. Box 7086  
Koror, PW 96940  
Republic of Palau

Phone: +(680) 488-6950  
ext. 235, 241, 243, 249,  
and 250

Fax: +(680) 488-8638

Email:  
admin@palau-oerc.net

WEB:  
www.palau-oerc.net

www.palau.biodiv-chm.org

**Office of Environmental Response and Coordination**  
*Office of the President of the Republic of Palau*

Serial No: OERC/OFP/04-005

December 17, 2004

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GRF  
FF-916  
1 UN Plaza  
New York, NY 10017

Fax: 1 212 9066998

**Subject: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project**

I am writing as the GEF National Operational Focal Point to advise that the Government of the Republic of Palau supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project, which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of the Republic of Palau appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours Sincerely,

Ms. Youlsau Bells  
National Environment Planner/GEF Operational Focal Point

Cc: Mr. Feleti P. Teo, FFA Director, Fax (677) 23995  
Minister Temmy Schmall, Minister of State  
Mr. Silas D. Orrukem, Director, Bureau of Oceanic Fishery Management



**DEPARTMENT OF ENVIRONMENT AND CONSERVATION**  
**OFFICE OF THE SECRETARY**

7<sup>th</sup> Floor Bomber Foundation  
P O Box 6601  
BOROKO, NCD  
Papua New Guinea

Telephone: (675) 3250180  
Facsimile: (675) 3250182  
Email: odir@dairon.com.pg

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 100017

Date: 02/02/2005

**SUBJECT: ENDORSEMENT OF REQUEST FOR GEF ASSISTANCE:  
PACIFIC ISLANDS OCEANIC FISHERIES MANAGEMENT  
PROJECT**

I am writing as the GEF National Focal Point to advise that the Government of Papua New Guinea supports the request to the Global Environment Facility for assisting for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

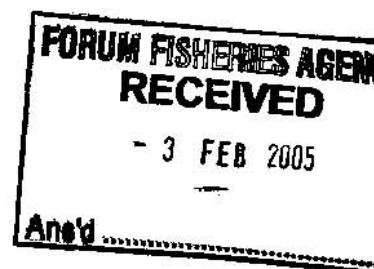
We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of Papua New Guinea appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours Sincerely,

**DR. WARI IAMO**  
GEF National Focal Point

Cc: Mr. Feleti P. Teo, Director  
FFA  
P O Box 629  
Honiara, Solomon Islands



24/12/2004 14:13 +068521504

23-DEC-2004 16:06

FROM-MINISTRY OF FOREIGN AFFAIRS AND TRADE

+068521504

T-682 P.001/001 F-

OUR REF: FA/ 6/1/3  
YOUR REF:

Telephone: (685) 21-171  
Facsimile: (685) 21-504



Government of Samoa  
MINISTRY OF FOREIGN  
AFFAIRS & TRADE

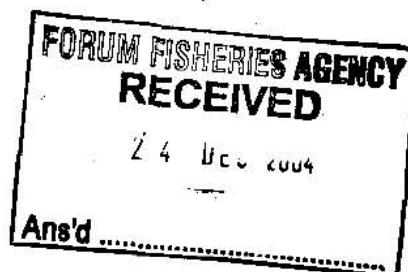
Postal: P O Box L1859  
E-mail: mfa@mfa.gov.ws

*Faf/2122*

Please address all  
correspondence to the  
CEO, Foreign Affairs &  
Trade

23/12/2004

Joyce Yu,  
Resident Representative,  
UNDP  
APIA



Dear Ms Yu,

Oceanic Fisheries Management Project

As GEF Operational Focal Point, I wish to convey Samoa's support and endorsement of the Full size Project Brief for the Oceanic Fisheries Management Project, to be executed by FFA.

Thank you.

Yours sincerely,

Aiono Mose Pouvi Sua  
Chief Executive

Cc: Director, Forum Fisheries Agency  
✓ Solomon Islands

✓ : Mr Frank Pinto, UNDP-GEF Executive Coordinator  
New York.  
✓ Fax: 1 212 906 6998

FAXE



SOLOMON ISLANDS  
GOVERNMENT

## MINISTRY OF NATURAL RESOURCES

Department of Forests, Environment & Conservation  
P O Box G24  
HONIARA  
Solomon Islands

Tel: (677) 28611/22453

---

20 December 2004

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 10017

Fax: 1 212 9066998

**Subject: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project**

I am writing as the GEF National Focal Point to advise that the Government of Solomon Islands supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of Solomon Islands appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours sincerely

  
Steve-Daniel Likaveke  
Permanent Secretary  
Department of Forests, Environment & Conservation

To: UNDP GEF Executive Coordinator

Cc: Mr. Feleit.P.Teo, FFA Director, Fax (677) 23995



**KINGDOM OF TONGA**

**DEPARTMENT OF ENVIRONMENT**

Address: P.O. Box 917  
Nuku'alofa  
TONGA

Telephone: (676) 25-050  
Fax: (676) 25-051

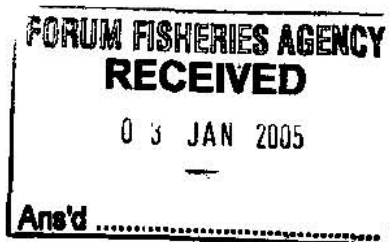
**UNDP/GEF/PACIFIC ISLANDS OCEANIC FISHERIES MANAGEMENT PROJECT**

**LETTER OF ENDORSEMENT OF GEF PROJECT**

Date: 3<sup>rd</sup> January 2005

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FR-916  
1 UN Plaza  
New York, NY 10017

Fax : 12129066998



**Subject: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project.**

I am writing as the GEF National Focal Point to advise that the Government of Tonga supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of Tonga appreciates the continuing support of UNDP and Global Environment Facility in this important work.

Yours Sincerely,

  
.....  
GEF National Focal Point



To: UNDP GEF Executive Coordinator  
Cc: Mr. Feleti . P. Ten, FFA Director ,Fax (677)23995



**OFFICE OF THE COUNCIL FOR THE ONGOING  
GOVERNMENT OF TOKELAU**

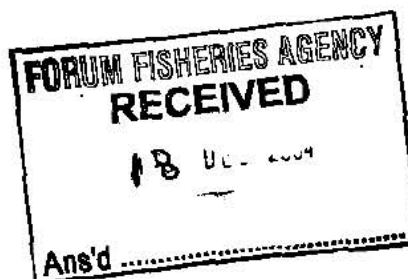
*Ofiha o te Fono a te Malo Fakaaauau o Tokelau*

Suite D, Nia Mall  
Saleufi, Samoa  
Telephone: +685 32 325

PO Box 3298  
Apia, Samoa  
Fax: +685 32 328

Date: 13 December 2004

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 10017



Fax: 1 212 9066998

**Subject: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project.**

I am writing as the GEF National Focal Point to advise that the Government of Tokelau supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project, which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Government of Tokelau appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours Sincerely,



Palani I Aukuso

General Manager, National

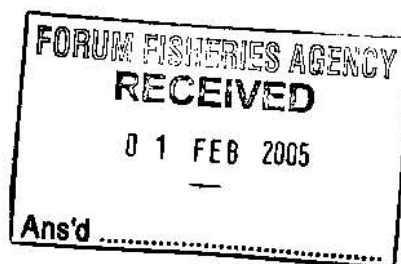
Cc: Mr Feleti.P.Teo, FFA Director, Fax (677) 23995



**TUVALU GOVERNMENT**  
**MINISTRY OF NATURAL RESOURCES**  
PRIVATE MAIL BAG, VAIAKU, FUNAFUTI, TUVALU.  
Phone: (688) 20066 20836 Fax: (688) 20826  
Email: [mnre@tuvalu.tv](mailto:mnre@tuvalu.tv)

February 1, 2005

Mr. Feleti P Teo  
Director  
Forum Fisheries Agency  
Honiara  
Solomon Islands



FAX No: (677) 23995

Dear Sir,

**Re: GEF request for Pacific Islands Oceanic Fisheries Management Project**

I would like to acknowledge receipt of your letter dated 30<sup>th</sup> November 2004 to the Secretary to Government, Tuvalu on the above. The letter was received by the Office of the Prime Minister on the 19 January 2005 and finally got to this office on the 21<sup>st</sup> January 2005.

Tuvalu is in support of the project and despite the problem of mailing, the letter of endorsement for the project of which copy is attach was send to Mr. Frank Pinto by the Tuvalu GEF Focal Point of Contact on the 26 January 2005.

I would very much appreciate if you could take note of the above.

Regards.

A handwritten signature in cursive script, appearing to read 'M. Tihala'.

M. Tihala  
Acting Secretary for Natural Resources & Lands





P O Box 629  
Honiara, Solomon Islands  
Tel: (677) 21124  
Fax: (677) 23995  
Email: info@ffa.int  
www.ffa.int.

**FAX SENT**

No: 28

DATE: 07/01/05

TIME: 11:08 am

BY: Dannia

7 January 2005  
File Ref: GG/24.2.7

Mr Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 10017

Fax (1) 212 9066998

Dear Mr Pinto,

**Subject: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project.**

I am writing to advise that the Pacific Islands Forum Fisheries Agency supports the request to the Global Environment Facility for assistance of the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

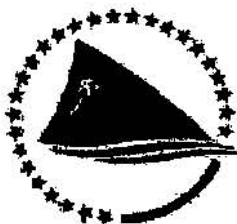
We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents the Pacific Islands Forum Fisheries Agency's intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

In addition, the Pacific Islands Forum Fisheries Agency agrees that the estimated costs of contribution to the Western and Central Fisheries Commission and the co-financing by regional Non-governmental organisations (NGOs), which have yet to be identified are accurately represented in the project document.

The Pacific Islands Forum Fisheries Agency appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours sincerely,

Feleti P. Teo  
**DIRECTOR**

**SECRETARIAT OF THE  
PACIFIC COMMUNITY**BPD5  
98848, Noumea Cedex  
New CaledoniaTELEPHONE: +687 26.20.00  
FAX: +687 26.38.18  
E-mail: spc@spc.int**SECRÉTARIAT GÉNÉRAL DE LA  
COMMUNAUTÉ DU PACIFIQUE**BPD5  
98848 Nouméa Cedex  
Nouvelle-CalédonieTÉLÉPHONE: +687 26.20.00  
TÉLÉCOPIEUR: +687 26.38.18  
Mél : spc@spc.int**To: Feleti Teo (FFA)**

Date: 31/12/2004

Organisation: Forum Fisheries Agency

Page 1 of 1

Country Code: 677

File Ref: ORG 30

Fax Number: 23995

**From: Dr Tim Adams**

Title: Acting Director General

Email: tima@spc.int

**Subject: (cc) Letter of Endorsement of GEF project****(cc) LETTER OF ENDORSEMENT OF GEF PROJECT**Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 10017

Fax: 1 212 9066998

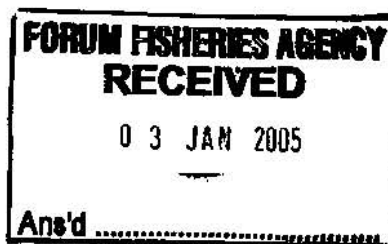
**Subject: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project.**

I am writing to advise that the Secretariat of the Pacific Community supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intended commitment to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

The Secretariat of the Pacific Community appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours sincerely

Dr. Tim Adams  
Acting Director General

Cc: Mr Feleti.P.Teo, FFA Director, Fax (677) 23995



22 December 2004

AID/PAC/5/2

Mr Feleti Teo  
Executive Director  
Forum Fisheries Agency  
PO Box 629  
Honiara  
Solomon Islands

Dear Feleti

#### **FUTURE FUNDING OF FISHERIES MANAGEMENT WORKSHOPS**

This letter briefly outlines New Zealand's views on the Forum Fisheries Agency's (FFA) regional fisheries management workshops.

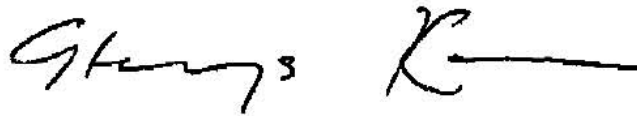
In October 2004 FFA convened a management options workshop aimed at equipping FFA members to fulfil their obligations and utilise their rights under the Western and Central Pacific Fisheries Convention, with a focus on the types of fisheries management options that FFA members may wish to pursue in the Commission.

The workshop was successful in progressing discussion amongst FFA members on management options for the western and central Pacific tuna fishery and assisted the preparation of FFA Secretariat's briefing material for the first meeting of the Western and Central Pacific Fisheries Commission. The workshop also highlighted the fact that there is still a lot of work and discussion to be undertaken on the issue of management options, at national, sub-regional and regional levels.

The workplan approved by Forum Fisheries Committee in May 2004 proposes another regional fisheries management workshop being held in 2005. This decision indicates the value and priority FFA members place on such workshops, provided they are well run and have useful outcomes. NZAID will continue to support such initiatives while they remain a priority for members and are treated as such in FFA annual workplans.

We look forward to discussing in more detail our support for FFA priorities during our consultations early next year.

Yours sincerely

A handwritten signature in black ink, appearing to read "Glenys Karran". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Glenys Karran  
Team Leader – Pacific Group

**UNDP/GEF/ PACIFIC ISLANDS OCEANIC FISHERIES MANAGEMENT  
PROJECT**

**LETTER OF ENDORSEMENT OF GEF PROJECT**

Date: 13 December 2004

Mr. Frank Pinto  
Executive Coordinator  
UNDP-GEF  
FF-916  
1 UN Plaza  
New York, NY 10017

Fax: 1 212 9066998

**Subject: Endorsement of Request for GEF Assistance: Pacific Islands Oceanic Fisheries Management Project.**

I am writing to advise that IUCN - The World Conservation Union supports the request to the Global Environment Facility for assistance for the Pacific Islands Oceanic Fisheries Management Project which will be executed by UNDP.

We have reviewed the Project, its Budget and the associated Incremental Cost Assessment and are in agreement that it accurately represents our intent to commit to the project, and to the concept of Regional Oceanic Fisheries Management within the Pacific Islands Region.

IUCN - The World Conservation Union appreciates the continuing support of UNDP and the Global Environment Facility in this important work.

Yours Sincerely,



Dr. William Jackson  
Director - Global Programme  
IUCN - The World Conservation Union

To: UNDP GEF Executive Coordinator

**ANNEX E SUMMARY OF THE TERMINAL EVALUATION REPORT OF THE OFM  
COMPONENT OF THE IW SAP PROJECT**

**The Strategic Action Programme for International Waters  
of the Pacific Small Island Developing States  
with the assistance of GEF/UNDP**

**TERMINAL EVALUATION  
OF THE  
OCEANIC FISHERIES MANAGEMENT COMPONENT  
(RAS/98/G32)**

**Philip Tortell and Sandra Tarte**

**March 2004**

# EXECUTIVE SUMMARY

## The Project

The UNDP/GEF-supported International Waters Project (IW-Project) for the Pacific Small Island Developing States inception and development spanned a period of five years. This included the preparation of a Strategic Action Programme (SAP) and the formulation of a project document covering the Oceanic Fisheries Management (OFM) and the Integrated Coastal and Watershed Management (ICWM) components. This Terminal Evaluation is concerned only with the OFM Component/Project which was executed by the Forum Fisheries Agency (FFA) and the Secretariat for the Pacific Community (SPC) and which targeted the following outcomes : sustainable ocean fisheries; improved national and regional management capability; stock and by-catch monitoring and research; and, enhanced national and regional management links.

## Project design and logic

The ProDoc was built on the SAP which had identified the problems of the region and their root causes. However, the ProDoc fell short of expectations. It did not provide adequate guidance to those implementing the OFM project; it did not build on past achievements and learn from past experiences; project design did not seem to identify problem situations adequately and their root causes; it was weak in terms of strategic planning, preparatory work and implementation strategies; having identified some risks it provided no risk management strategies; it failed to unify the two components and no synergies were planned.

The root causes identified in the SAP were not the same as those in either the text or the LogFrame Matrix of the ProDoc. While the FFA attempted to cope with this confusion by reverting to the root causes in the SAP for guidance, the Evaluation Team adopted the ProDoc, and particularly the LogFrame Matrix, as the framework for the evaluation and the root causes were determined to be *“Lack of monitoring and enforcement of regulations”* and *“Lack of trained staff for surveillance.”*

The objectives, outputs and activities of the broader IW-Project (including the OFM Component) went through a series of changes during the course of its implementation and the latest version which was made available to the Evaluation Team in the form of a LogFrame Matrix, was dated as recently as September 2003. It is usual and desirable to reflect changing circumstances, lessons learnt and experience gained during the implementation of a project, by reviewing and revising the various outputs and activities, usually by revising the LogFrame Matrix. However, in the case of the OFM Project, it would seem that many of the changes were necessitated by the inconsistencies between the SAP, the Project Concept and the ProDoc, and the low level of consultation with prospective stakeholders (FFA and SPC) at the project formulation stages leading to weak project design. There is also a feeling that some of the changes were a means of adapting the outputs and activities to fit what was taking place anyway, rather than the other way round. When the work of the executing agencies did not reflect the agreed Activities of the UNDP/GEF OFM Project, it was the Project Activities that were changed to fit.

The indicators adopted in the original LogFrame Matrix are a mixture of outputs, means of verification and some true indicators. However, even the latter are difficult to verify objectively since they are not adequately targeted. The revised LogFrame Matrix includes the original indicators which are not very useful but on the whole it is more helpful and there are some indicators among them which could be

objectively verifiable, with minor refinements. However, the majority of adopted indicators in the list are still impossible to verify, objectively or otherwise.

## **Consultation and participation**

Among the changes that have taken place in the wording, etc, of the Objectives, Outputs and Activities of the OFM Component, is the removal of all reference to public participation activities.

The consultation process surrounding the SAP and the extent of participation by stakeholders in its adoption was very satisfactory even though the focus of these consultations was more on the issues surrounding the coastal and inshore environments of the region than in the area of oceanic fisheries resources. But the level of participation by stakeholders did not follow through into the formulation phase of the Project and the development and adoption of the ProDoc. Neither has the implementation phase of the OFM Project been strong on stakeholder involvement or any other participation at country level.

The low level of stakeholder involvement and the almost total absence of participation by the public, NGOs and the private sector have been acknowledged by both the FFA and the SPC, as executing agencies and there is a commitment that the follow-up project will involve civil society in a manner which reflects local mores, culture and sensitivities.

## **Implementation and monitoring arrangements**

The pivotal role of SPREP in project implementation is spelled out clearly in the ProDoc without any distinction between the two components. The Project Manager, located in the Project Coordination Unit (PCU), has responsibility for day-to-day Project implementation. The PCU is established as a 'distinct unit' within SPREP, with the Project Manager reporting directly to the Director of SPREP and to the UNDP Resident Representative. With respect to the OFM component, the ProDoc provides that this will be implemented largely by FFA and SPC, according to a Memorandum of Understanding signed with SPREP. This subsequently took the form of Letters of Agreement between SPREP and FFA and between SPREP and SPC according to which FFA and SPC are the Executing Agencies for the OFM component and all OFM staff are located at the two agencies. The extent and effectiveness of collaboration and coordination between FFA and SPC are a subject of much pride for the two organizations. They have a tradition of working together and of supplementing each other's efforts and there is no doubt that this positive situation has served the OFM Project well.

Monitoring and evaluation for the OFM Component were undertaken mainly by FFA and SPC and 'in-house' even though independent audits were also initiated by the two organizations. There was no formal response to audit reports from the implementing agencies and therefore there was no adaptive management in project implementation, in response to monitoring. The Evaluation Team does not believe that M&E has been used effectively as a management tool in directing the implementation of the OFM Component and cannot recommend this approach for any future project support.

## **Financial aspects**

The FFA share of the OFM component funded by GEF was \$1.915 million. The largest proportion (56.22%) of this amount was allocated to International Meetings – to support Pacific Island countries' participation in the MHLC (two meetings) and the PrepCon process (five meetings). This category also covers participation at regional workshops and at meetings of other Regional Fisheries Management

Organizations. The second largest share (34.01%) was used to fund consultancies, namely the work of the Fisheries Management Advisor. The other allocations were for Administration (1.53%), Equipment (0.77%) and Training (7.46%). The Evaluation Team feels that the budget allocated to the FFA has been spent appropriately and while only a small proportion was spent ‘in-country’, it was almost totally spent for the benefit of the countries. As noted by the PCU, while the benefits of this project have arguably been most effectively delivered through the focus on support to FFA and SPC, national engagement has still been significant although in-country expenditure has been relatively low.

The SPC budget allocation of US\$1.526 million has been used to support three positions in the Oceanic Fisheries Programme of SPC and the expenditure on these three positions amounted to 46% of the total budget. When allocations for their travel and research support are added to the salaries amount, the total spent on these three positions is equivalent to 74% of the total budget. The only other tangible output, namely Enhanced National Capacity, has an allocation of 20%.

A feature of the SPC expenditure is the extremely low proportion of the total budget that has been, or will be, spent ‘in-country’ or directly for in-country beneficiaries. However, the Evaluation Team believes that as long as the unspent funds earmarked for “Enhanced National Capacity” are indeed spent for those activities, and as long as the overspent equipment budget is supplemented from within the “Support to FFA/SPC” component, the funds allocated to SPC would have been spent appropriately.

By “investing” its resources in an organization like SPC whose OFP had on-going research activities directly related to the aims and objectives of the OFM Project; and in the FFA whose fisheries management activities mirrored and extended those proposed under the OFM Project, GEF has benefited from a broader input of expertise and resources which would not have been available otherwise. It has therefore obtained an incremental result, broader than it would have been able to achieve on its own with its available resources, even though this result is somewhat more difficult to extract and quantify on its own.

## **Results achieved, sustainability and replicability**

Stakeholders and beneficiaries agree that this was a good project. It may not have been very visible, and its results may not be very distinguishable, but it is recognized as having contributed a very essential element to what the Pacific Island countries have managed to achieve in terms of a regional management regime for a regional resource of global dimensions.

The Evaluation Team feels that the original OFM objective could not have been expected to be achieved by this project since its dimensions went beyond the boundaries of the project. On the other hand, the Evaluation Team believes that the new objective has been achieved, even though there is a feeling that it might have been retrofitted to an existing and/or developing situation.

The results achieved have contributed to the GEF objective of achieving global environmental benefits and a well designed project may have been able to achieve more with the same resources and effort. Hopefully, this shortcoming can be remedied in the proposed follow-up project.

Capacity building has been the most significant benefit of the OFM Project. But in spite of the impressive nature of the results, their sustainability is not assured since it may not be easy retaining the trained, skilled personnel in government. Inadequate resources are being made available by Governments to develop fisheries management and research capacity. Instead, there is a tendency to rely extensively on regional assistance programmes, mainly from SPC and FFA who are themselves constrained in their efforts to meet the numerous requests for assistance from member countries. This reliance on external funding support is untenable in the long term since the fisheries sector is a major

revenue earner for the Governments and it makes sense to reinvest some of this revenue in the administration and management of the sector to ensure its control and sustainability.

The Evaluation Team sees the OFM Project as a unique intervention in the Pacific region and there is neither the potential nor the need to replicate it in the region. SPREP agrees that the extent of replicability in the region is minimal. However, there are definite global replication possibilities in other island regions supporting significant tuna fisheries. Where distant water fishing nations and coastal states are expected to collaborate on tuna resources management, the processes and strategies applied in the OFM Component set global precedents. In addition, the processes employed in the oceanic fisheries sector do demonstrate best practice that could usefully be applied to coastal resources management, and some aspects of the OFM Component (particularly the linkages between science and management) have potential for replication in integrated coastal management processes.

UNDP believes that the process leading up to and the actual establishment of the Tuna Commission is considered a best practice and can have replicability globally.

## **Conclusions and lessons learnt**

- On the GEF and global environmental objectives -

The OFM Component can be said to have contributed to the objective of GEF OP#8 but with the divorce practised between the OFM and the ICWM components and the fact that the ‘ecosystem’ approach to the LME has yet to be applied, this contribution has been very limited. The Evaluation Team sees the need for better understanding of GEF processes, objectives, procedures, etc, among current and prospective stakeholders.

- Root causes and imminent threats identified in the ProDoc -

The Root Causes were determined in the LogFrame Matrix to be “*Lack of monitoring and enforcement of regulations*” and “*Lack of trained staff for surveillance*” and the OFM Project would have been expected to focus on monitoring, enforcement of regulations and capacity building (mainly training) for surveillance. There is no denying that the OFM Project did indeed address these aspects, however, they were not its main focus and it centred predominantly on preparation for and participation in the MHLCS and the PrepCons together with scientific research for management.

- Project design -

Project design was weak, necessitating significant changes to the Objective, Outputs and Activities. It is evident that this was an amalgam of two distinct initiatives brought together purely as a matter of convenience. No synergies between the two components were planned and none were created during implementation. There was no evident logical development of the OFM Component from the identification of problems to the determination of their root causes, the setting of an objective, the selection of outputs and the planning of activities which ultimately would have addressed the root causes of the identified problems.

- The Project Document -

The ProDoc fell short of expectations. It did not provide adequate guidance to those implementing the OFM project; it did not build on past achievements and learn from past experiences; project design did not seem to identify problem situations adequately and their root causes; it was weak in terms of strategic planning, preparatory work and implementation strategies; having identified some risks it provided no risk management strategies; it failed to unify the two components and no synergies were planned.

- The Logical Framework Matrix -

Both the original and the revised LogFrame Matrices, have created confusion with their loose use of terminology and the lack of logical structure. The majority of the performance indicators adopted for the OFM Component in both versions of the LogFrame Matrix were not verifiable objectively and they were not much help either to those implementing the project or to this Evaluation Team.

- Achievement of planned objectives and outputs -

The original objective for the OFM Component could not have been expected to be achieved by this project since its dimensions went beyond the boundaries of the project. On the other hand, the new, revised objective has been achieved, even though there is a feeling that it might have been retrofitted to an existing and/or developing programme of work of the executing agencies. Outputs were not clearly identified and were in fact referred to as Activities. However, both FFA and SPC believe that the outputs/activities have been achieved and the Evaluation Team agrees that these outputs have indeed been obtained.

- Adaptive responses to changing circumstances

Many project Activities, as well as the Project Objective and Outputs for the OFM Project, changed substantially during implementation. But this was not as much in response to changing circumstances, as it was in response to faulty project design. It is also possible that the changes came about from a desire by the executing agencies to support their on-going or planned activities. Audits, regular reports and other results of monitoring by FFA and SPC did not elicit any formal reactions from either SPREP or UNDP, therefore no adjustments were thought to be needed.

- Financial resources -

Budgets allocated to the FFA and SPC have been spent appropriately as long as the SPC unspent funds earmarked for “Enhanced National Capacity” are indeed spent for those activities, and as long as the overspent equipment budget is supplemented from within the “Support to FFA/SPC” component. By “investing” its resources in organizations such as SPC and FFA, GEF has benefited from a broader input of expertise and resources which would not have been available otherwise. It has therefore obtained an incremental result, broader than it would have been able to achieve on its own with its available resources, even though this result is somewhat more difficult to extract and quantify on its own.

- Roles and responsibilities -

The OFM Project had a multiplicity of hierarchical layers and it was therefore essential that roles and responsibilities were defined clearly, and this appears to have been the case. The pivotal role of SPREP in project implementation is spelled out clearly in the ProDoc and the roles and relationship between FFA and SPC themselves as executing agencies are also clearly delineated in a Memorandum of Agreement between the two organizations. Benefits accrued from the good level of communication and cooperation between the Executing Agencies, based on a strong record of working together and clear delineation of mandates.

- Partnerships with other donors -

The OFM Component did not involve partnerships with any third-party donors. Funds came from GEF, FFA and SPC. However, there was a high degree of complementarity between the activities of the OFM Component and other activities being undertaken by FFA and SPC but funded by other donors.

- Public participation and stakeholder involvement -

Stakeholder involvement in the OFM Project has been fairly weak in most aspects of the Project and both the FFA and the SPC acknowledge the low level of stakeholder involvement and the almost total absence of participation by the public, NGOs and the private sector. There is a commitment that the

follow-up project will involve civil society in a manner which will reflect local mores, culture and sensitivities.

- Implementation and coordination by the implementing and executing agencies -

Implementation of the OFM Component was comparatively smooth and effective. The views of stakeholders and beneficiaries on implementation arrangements have been positive in the main. But while implementation appears to have been satisfactory, coordination has not been strong and apart from the handling of financial reports and cash advances, neither SPREP nor the PCU made enough effort to coordinate the two components of the IW-Project at the implementation level.

- Beneficiaries -

The principal beneficiaries were expected to be government policymakers engaged in the management of the oceanic fisheries resources (from Fisheries, Foreign Affairs and Legal Ministries and Departments). The ProDoc identified “*secondary target beneficiaries*” which included intergovernmental organisations (namely SPC, FFA and SPREP) and the private sector. However, FFA and SPC have been very much primary target beneficiaries in view of the capacity building and funding support they have received from the OFM Project.

- Sustainability and replicability of project outcome -

In spite of the impressive nature of the capacity building results, their sustainability is not assured. Some of the barriers to sustainability have been identified and those that are within the Project’s competence are proposed to be addressed during the follow-up project. While there is neither the potential nor the need to replicate the OFM Project in the region, there are definite global replication possibilities in other island regions supporting significant tuna fisheries.

- Monitoring and evaluation -

Monitoring and evaluation have not been used effectively as a management tool to obtain accountability or measure progress or to direct the implementation of the OFM Component. What monitoring and evaluation were undertaken were left to FFA and SPC ‘in-house’ efforts even though independent audits (commissioned by the organizations) were also carried out and an excellent baseline study and update were very useful exercises.

## **Recommendations**

**1** That UNDP/GEF accept that although the OFM Project may not have addressed the identified root causes fully or exclusively, the benefits obtained through the activities undertaken justify this departure and the Project has been very successful in strengthening the institutional framework, the knowledge base and the stakeholders capacity for managing this unique tuna resource which is of global significance.

**2** That UNDP/GEF confirm their support for a follow-up project as the best way of ensuring the sustainability of the benefits obtained from this Project.

**3** That UNDP/GEF organize a GEF Workshop or series of workshops in the region, for GEF National Focal Points and others, to raise awareness and improved understanding of GEF processes, objectives, procedures and the GEF focus on global environmental benefits.

**4** That those responsible for the formulation of the follow-up project place great emphasis on the design of the project which should reflect the root causes of the problems and be structured according to the logic of – the setting of an objective, the selection of outputs and the planning of activities which ultimately would have addressed the root causes of the identified problems, and for this logic to be

evident in a robust Logical Framework Matrix which includes objectively verifiable indicators that can guide those implementing the project.

**5** That in designing the project, the approach should be a participatory one involving as many as possible of the prospective stakeholders and beneficiaries at regional, government, private sector and community levels.

**6** That the project design should include a strategy for monitoring and evaluation that depends on a feedback loop between those implementing the project and a project steering committee made up of knowledgeable individuals able to appreciate the issues being brought before them and provide the feedback, advice and direction necessary for the effective implementation of the project.

**7** That the prime benefit that should be targeted from the follow-up project is the framework, capacity and functioning of the proposed Tuna Commission so that it can undertake its crucial role of providing the management context for the tuna resource and its ecosystem in a manner which will provide the greatest benefits to the Pacific Island countries and their citizens on a sustainable basis.

**8** That an equally important target of the follow-up project is the further building of capacity and capability of the Pacific Island region, at regional, government, private sector and community levels so that each sector can participate meaningfully in the management of the tuna resource and its ecosystem.

**9** That the follow-up project places emphasis on the realignment, restructuring and strengthening of national fisheries laws, policies, institutions and programmes to take up the new opportunities that the Convention has created and discharge the new responsibilities that it requires.

**10** That fisheries management capacity at country level be enhanced for data collection and analysis, stock assessment, MCS and enforcement and the development and application of contemporary fisheries management tools, through a strategy that views capacity building and training as a continuing activity rather than a one-off exercise to overcome the problem of capacity retention.

**11** That Pacific Island countries that have adopted Tuna Management Plans and are having difficulties with implementation, be assisted to identify and address the barriers that are hindering implementation.

**12** That the regionally based pool of expertise provided by the FFA and SPC will remain a cost-effective means of underpinning the implementation of an effective fisheries management framework, for the foreseeable future.

**13** That USP be encouraged and supported to establish relevant programmes in fisheries science, oceanography, ecosystem management, fisheries administration and law, etc, to provide an important ingredient for the capacity building effort and that Pacific Island Governments as well as the private sector be encouraged to support such studies through the awarding of scholarships to promising nationals.

**14** That national Colleges of Fisheries and similar institutions be assisted to start offering courses for observers, monitors and similar technical positions leading to a recognized qualification.