

**Responses to Comments from the Members of the GEF Council**

**February 2005 Inter-sessional**

**RESPONSE TO GEF COUNCIL COMMENTS**

<b>COUNCIL COMMENTS</b>	<b>RESPONSE TO COMMENTS</b>	<b>LOCATION OF CHANGES IN PRODOC</b>
<b>COMMENTS FROM THE UNITED STATES</b>		
<p>The project seems to have relatively high risks involved in coordinating the policies, laws and regulations of 15 separate countries, but these risks appear to be addressed in the project and the size may be a prerequisite for having the desired impact across such a large area.</p>	<p>In exactly the way the comment identifies, the Project design recognises the difficulty of securing institutional and policy gains across 15 widely dispersed and mostly small administrations. The difficulty is addressed by addressing Project investments towards capacity building; by tapping into the momentum and commitment associated with the coming into force of the new Convention; and by embedding Project delivery within a strong and successful network of existing regional arrangements.</p>	<p>No change in the ProDoc. See Section E for a discussion of the risks identified to Project success, including the risk identified in the United States Comment, and approaches to addressing those risks.</p>
<p>The log frame has process indicators but few data points that we would have preferred to see supported by quantitative milestones of progress. The project will, by the first year, develop indicators related to environmental status of international waters. The project would monitor these indicators and evaluate progress in the third year of the project. Based on the indicators to be developed, can staff provide an indicative baseline with projected and quantitative milestones of progress?</p>	<p>The log frame and the monitoring plan emphasise process indicators as the comment notes because as the Project Document puts it – <i>“since the Project is fundamentally concerned with building new institutions and reforming and realigning existing institutions and programmes, the most discernible progress during the life of the Project and more broadly in the early years of the Commission will be in process indicators.”</i> However, the monitoring plan set out in Annex L also identifies a range of environmental status indicators including <i>“measures of target stock status in relation to agreed management reference points; and measures of status of ecosystem including trophic status and status of key non-target species.”</i> This approach is focused on the adoption by the Commission of stock specific reference points as the basis for application of the precautionary approach in accordance with the Convention.</p>	<p>No change in the ProDoc. See Section J of the ProDoc for a discussion of GEF process, environmental stress and environmental status indicators, and Annex L for a more detailed outline of the structure of GEF indicators to be used in the Project.</p>
<p>Is it the position of staff that sufficient data is simply not available upon which to identify quantifiable measure of environmental stress and targets for sustainability?</p>	<p>The availability of data for environmental stress and status indicators is variable. In general, the available data on the status of non-target stocks and ecosystem status is not adequate to provide quantitative measures or targets. With respect to the main target stocks, the quality of the available data is better, in part as a result of work funded under the previous South Pacific SAP Project. Some of this data is presented and summarized in the introductory section of the Project Document.</p>	<p>No change in the ProDoc. See Section A, pages 16-17 for discussion of the status of stocks</p>

COUNCIL COMMENTS	RESPONSE TO COMMENTS	LOCATION OF CHANGES IN PRODOC
	<p>It broadly indicates that current target stock sizes are at or above levels which can produce maximum sustainable yields, and therefore consistent with WSSD targets, but for 2 species there are risks that the stocks will become overfished if measures are not taken to curb the impact of fishing. This analysis will be the basis for the development of reference points by the Commission and the development of environmental stress and status indicators</p>	
<p>Could staff clarify the role of the private sector? How will the private sector be consulted in the identification of financing mechanisms and eventual regulations?</p>	<p>The Project design encourages private sector participation in oceanic fisheries management policy making at regional and national levels, including decision-making on financing and regulations, in these ways:</p> <ul style="list-style-type: none"> <li>i) it works at national level through National Consultative Committees which will include private sector participation;</li> <li>ii) it includes fishing industry representation in the Regional Steering committee;</li> <li>iii) it provides opportunities for private sector participation in the full range of Project-financed activities; and</li> <li>iv) it specifically provides for a stream of Project activities to be co-financed and executed with a Pacific private industry organisation aimed at <i>“Supporting industry participation and awareness raising in Convention-related processes.”</i> under Output 3.2.2.</li> </ul> <p>An important step in the direction of enhancing industry participation in oceanic fisheries management processes was taken with the establishment of the Pacific Islands Tuna Industry Association as a result of the PDF phase of the Project.</p>	<p>No change in the ProDoc. Section G sets out the approach of the Project to ensuring stakeholder participation including participation by the fishing industry. Section I describes the implementation arrangements, including arrangements for industry participation. The discussion of Output 3.3.2 in Section C describes co-financed activities to be implemented with an industry organisation.</p>
<b>COMMENTS FROM SWITZERLAND</b>		
<p>Given the size of the project, sustainability after project end will certainly be a challenging issue. It might therefore be appropriate to place this issue high on the agenda in all three components from the outset.</p>	<p>Sustainability is certainly a key issue in this project, and high on the agenda for all three components of the Project. As explained in the ProDoc, financial sustainability should be less of an issue than might normally be expected for such a major initiative because the fisheries at the core of the Project are commercial fisheries that should be capable of generating revenues sufficient to support sustainable financing of both the Commission and national programmes required to implement the Convention. The agreed financing structure for the Commission reflects this concern with provision for the commission’s activities to be largely financed by those who fish. The Project will support</p>	<p>No change in the ProDoc. See Section A, sub-section Institutional, for discussion of the financing of the Commission in the description of the WCPF Preparatory Conference, and for discussion of the application of cost recovery for national fisheries management programme financing; the sub-section on Socio-Economic and Financial aspects for information on the economic value of the fishery and further information on the financing of</p>

<b>COUNCIL COMMENTS</b>	<b>RESPONSE TO COMMENTS</b>	<b>LOCATION OF CHANGES IN PRODOC</b>
	<p>efforts to see this formula applied in a way that supports an appropriate level of commission-funded programmes, especially in the areas of science and fishery monitoring. At the national level, the Project addresses as part of the work on policy reform the need to put in place within Pacific Island Countries cost recovery programmes on both foreign fisheries and domestic fleets to finance increased fishery management costs. The key to sustainability therefore appears to lie not so much in financial aspects as in the sustainability of the policy, programme and institutional changes targeted by the Project within the limits of the human resources of small Island countries. The Project design team appreciate the support in the Swiss comment for <i>“the project's focus on knowledge, ideas, training and institutional change in these countries”</i> as a strategy for achieving sustainable change.</p>	<p>the Commission; the description of sub-Component 2.1 in Section C for reference to assistance to provide a legal basis for cost recovery programmes; and Section E for a broad discussion on sustainability, including the issues raised in the Swiss comment.</p>
<p>The sustainability of the project will also depend on whether the project activities will help the Pacific Small Island Developing States to actively participate in the implementation and dialogue on the Western and Central Pacific Fisheries Convention.</p> <p>To steer the project activities during implementation, it might therefore be worthwhile to test applicability of project results by promoting a direct dialogue with Distant Water Fishing Nations from an early project phase on.</p>	<p>This comment goes to the core of the Project - the new WCPF Commission can not be successful without effective participation by Pacific Island Countries. That conclusion was one of the key elements in the approach by Pacific SIDS to the drawing up the Convention that was supported by the GEF. It is reflected in provisions in the rules of the Commission that limit the sessions of meetings of the Commission and its subsidiary bodies, and that finance the travel costs for developing country participants to meetings of the Commission and its subsidiary bodies from the Commission's general budget. It remains a central element of the Pacific SIDS approach to the implementation of the Convention and seems to be broadly shared by major fishing states.</p> <p>The process of development of the WCPF Convention has itself been a process of direct dialogue between the Pacific SIDS, fishing states and other coastal states. The process was initiated by an invitation from Pacific Island leaders for other states to meet with Island delegates to discuss enhanced arrangements for managing the impact of fishing in the Western and Central Pacific. Concluding the Convention text and making arrangements for the new Convention has involved another 13 meetings over a seven year period, with all Pacific SIDS participating in all the sessions. In addition, the Pacific SIDS have annual consultations with the US on fisheries and have had a series of ad hoc dialogues with</p>	<p>No changes in the ProDoc. See Section A, sub-section Institutional Landscape, for information on financing of Pacific SIDS travel costs and the streamlining of the Commission's work to facilitate effective participation by Pacific SIDS.</p> <p>No change in the ProDoc</p>

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	<p>other fishing states, with proposals now being considered for a formal annual consultative process with the EU and other fishing states. The Project will support Pacific Island participation in the dialogue with fishing states through the Commission and in the relevant aspects of the bilateral consultative arrangements.</p>	
<b>COMMENTS FROM GERMANY</b>		
<p>The programme will be engaged in research and management of regional fish stocks in the Western and Central Pacific and is therefore implementing activities in a sector which is crucial for the economy of the Pacific Small Island Developing States concerned.</p> <p>The project will be implemented by UNDP and hosted by the well established and donor supported Pacific Islands Forum Fisheries Agency (FFA)-a set up which is well chosen as it avoids creation of parallel structures.</p> <p>The funding-set up with the huge amount of intended co-financing (79,000.000 US\$) seems complicated and will comprise a challenge to the programme managers.</p>	<p>No response called for.</p> <p>No response called for.</p> <p>The volume of co-financing is large, but the responsibility for managing co-financed activities is distributed among a number of agencies, so that substantial capacity is being directed towards managing these activities.</p>	<p>No change in the ProDoc.</p> <p>No change in the ProDoc.</p> <p>No change in the ProDoc.</p>

**UNDP PROJECT DOCUMENT**

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

United Nations Development Programme  
Pacific Islands Forum Fisheries Agency

**Title: Pacific Islands Oceanic Fisheries Management Project**

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 LME.

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Annex C-1	IA Response to STAP Review
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Annex F	Implementation Arrangements and Project Management
Annex G	Stakeholder and Public Participation Plan
Annex H	Maps of the Project Area
Annex I	Summary of the SAP
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Annex K	National Reports
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## LIST OF ACRONYMS

ADB	Asian Development Bank
APR	Annual Project Review
BPOA	Barbados Programme of Action
C	Centigrade
CIDA	Canadian International Development Agency
CROP	Council of Regional Organisations of the Pacific
DEVFISH	Development Of Tuna Fisheries In Pacific ACP Countries (EU Project)
EEZ	Exclusive Economic Zone
ENGO	Environmental Non-Governmental Organisation
ENSO	El Niño Southern Oscillation
EU	European Union
FAD	Fish Aggregating Device
FAO	United Nations Food and Agriculture Organisation
FFA	Pacific Islands Forum Fisheries Agency
FY	Fiscal Year
GEF	Global Environment Facility
IA	Implementing Agency
ICCAT	International Commission for the Conservation of Atlantic Tunas
ICWM	Integrated Coastal and Watershed Management
INGO	Industry Non-Governmental Organisation
IUCN	The World Conservation Union
IUU	Illegal, Unregulated and Unreported (fishing)
IW	International Waters (focal area of the GEF)
JPOI	Johannesburg Plan of Implementation (of the World Summit on Sustainable Development)
LME	Large Marine Ecosystem
LOA	Letter of Agreement
MCS	Monitoring, Control and Surveillance
MEA	Multilateral Environmental Agreement
MDGs	Millenium Development Goals
MOU	Memorandum of Understanding
MPA	Marine Protected Area

MSWG	Marine Sector Working Group
NAFO	Northwest Atlantic Fisheries Organisation
NCC	National Consultative Committee
NFP	National Focal Point
NGO	Non-Governmental Organisation
OFM	Oceanic Fisheries Management
OFF	Oceanic Fisheries Programme (of the Secretariat of the Pacific Community)
OP	Operational Program (of the GEF)
PACPOL	Pacific Ocean Pollution Prevention Programme
PacSIDS	Pacific Small Island Developing States
PCU	Project Coordinating Unit
PDF	Project Preparation and Development Facility (of the GEF)
PIR	Project Implementation Review
ppt	parts per thousand
PROCFish	Pacific Regional Oceanic and Coastal Fisheries (EU Project)
RSC	Regional Steering Committee
SAP	Strategic Action Programme
SCG	Scientific Coordinating Group (of the WCPF Preparatory Conference)
SCTB	Standing Committee on Tuna and Billfish
SIDS	Small Island Developing States
SOPAC	South Pacific Applied Geoscience Commission
SPC	Secretariat of the Pacific Community
SPREP	Pacific Regional Environment Programme
SPP	South Pacific Programme (of WWF)
STAP	Scientific and Technical Advisory Panel
TDA	Transboundary Diagnostic Analysis
TSC	Train-Sea-Coast
UK	United Kingdom
UN	United Nations
UNCED	United Nations Conference on the Environment and Development
UNCLOS	United Nations Convention on the Law of the Sea
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCC	United Nations Framework Convention on Climate Change

UNFSA	United Nations Fish Stocks Agreement
US	United States
USP	University of the South Pacific
VMS	Vessel Monitoring System
WCPA	World Commission on Protected Areas
WCPF	Western and Central Pacific Fisheries
WCPO	Western and Central Pacific Ocean
WSSD	World Summit on Sustainable Development
WTP	Western Tropical Pacific
WWF	World Wildlife Fund for Nature

## ELABORATION OF THE NARRATIVE

### Identifiers

<b>PIMS Number:</b>	2992
<b>Project Name:</b>	Pacific Islands Oceanic Fisheries Management Project.
<b>Project Duration:</b>	5 years.
<b>Implementing Agency:</b>	United Nations Development Programme.
<b>Executing Agency:</b>	Pacific Islands Forum Fisheries Agency.
<b>Requesting Countries:</b>	Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tokelau, Tuvalu and Vanuatu.
<b>Eligibility:</b>	The countries are eligible under para. 9(b) of the GEF Instrument.
<b>GEF Focal Area:</b>	International Waters.
<b>IW Strategic Priorities:</b>	IW1 - Catalyse financial resource mobilisation for implementation of reforms and stress reduction measures agreed through TDA-SAP or equivalent processes for particular transboundary systems; IW2 - Expand global coverage of foundational capacity building addressing the two key programme gaps and support for targeted learning, specifically the fisheries programme gap.
<b>GEF PROGRAMMING FRAMEWORK:</b>	OP 9, Integrated Land and Water Multiple Focal Area, SIDS Component.

### Summary

Small Island Developing States (SIDS) have special conditions and needs that were identified for international attention in the **Barbados Programme of Action for the Sustainable Development of Small Island Developing States** and in the **World Summit for Sustainable Development's Johannesburg Plan of Implementation**. Throughout these instruments, the importance of coastal and marine resources and the coastal and marine environment to sustainable development of SIDS is emphasised, with the Plan of Implementation specifically calling for support for the Western and Central Pacific Fisheries Convention (the WCPF Convention).

The Global Environmental Facility (GEF) identifies sustainable management of regional fish stocks as one of the major environmental issues SIDS have in common and as a target for activities under the SIDS component of OP 9, the Integrated Land and Water Multiple Focal Area Operational Programme.

In addition, the GEF promotes the adoption of an ecosystem-based approach to addressing environmental problems in Large Marine Ecosystems is through activities under the Large Marine Ecosystem Component of OP 8, the Waterbody-Based Operational Program.

Consistent with this framework, GEF financing for the International Waters (IW) South Pacific Strategic Action Programme (SAP) Project from 2000 supported the implementation of an IW Pacific Islands SAP, including a pilot phase of support for the Oceanic Fisheries Management (OFM) Component, which underpinned successful efforts to conclude and bring into force the WCPF Convention. Now, GEF assistance is sought for a new Pacific Islands OFM Project to support Pacific SIDS efforts as they participate in the setting up and initial period of operation of the new Commission that is at the centre of the WCPF Convention, and as they reform, realign, restructure and strengthen their national fisheries laws, policies, institutions and programmes to take up the new opportunities which the WCPF Convention creates and discharge the new responsibilities which the Convention requires.

The goals of the Project combine the interests of the global community in the conservation of a marine ecosystem covering a huge area of the surface of the globe, with the interests of some of the world's smallest nations in the responsible and sustainable management of resources that are crucial for their sustainable development.

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.

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.

The IW Pacific Islands 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 – lack of understanding and weaknesses in governance. In response, the Project will have two major technical components.

Component 1, the Scientific Assessment and Monitoring Enhancement Component, is aimed at providing improved scientific information and knowledge on the oceanic transboundary fish stocks and related ecosystem aspects of the Western Tropical Pacific Warm Pool Large Marine Ecosystem (WTP LME) and at strengthening the national capacities of Pacific SIDS in these areas. This work will include a particular focus on the ecology of seamounts in relation to pelagic fisheries and the fishing impacts upon them.

Component 2, the Law, Policy and Institutional Reform, Realignment and Strengthening Component, is aimed at assisting Pacific Island States as they participate in the earliest stages of the work of the new WCPF Commission and at the same time reform, realign and strengthen their national laws, policies, institutions and programmes relating to management of transboundary oceanic fisheries and protection of marine biodiversity.

Component 3, the Coordination, Participation and Information Services Component, is aimed at effective project management, complemented by mechanisms to increase participation and raise awareness of the conservation and management of oceanic resources and the oceanic environment.

The design of the Project has involved a substantial consultative process, which has been warmly supported throughout the region. Reflecting outcomes of this process, the Project seeks to apply a regional approach in a way that recognises national needs; to strike a balance between technical and capacity-building outputs by twinning technical and capacity building activities in every area; and to open participation in all project activities to governmental and non-governmental stakeholders.

The structure for implementation and execution of the Project builds on a record of successful collaboration between the United Nations Development Programme (UNDP), regional organisations and Pacific SIDS in past activities in oceanic environmental management and conservation, strengthened by planned new partnerships with The World Conservation Union (IUCN), a regional environmental non-governmental organisation (ENGO) and a regional industry non-governmental organisation (INGO).

## **COSTS AND FINANCING**

<b>GEF:</b>		
Project:	US\$	10,946,220
PDF-B:	US\$	698,065
<b><i>Subtotal GEF:</i></b>	<b><i>US\$</i></b>	<b><i>11,644,285</i></b>
<b>Co-financing (1):</b>		
<b>Confirmed (see endorsements in Annex D)</b>		
Participating Governments (in cash and kind):	US\$	17,286,580
Regional Organisations (in cash and kind):	US\$	14,459,777
New Zealand Aid (cash):	US\$	400,000
IUCN (in kind):	US\$	610,000
NGOs (in cash and kind):	US\$	400,000
Other WCPF Commission Members (Commission contributions):	US\$	6,485,576
<b>Other Estimated Co-financing</b>		
Fishing States (in kind regulation costs):	US\$	32,250,000
Surveillance Partners (in kind):	US\$	7,200,000
<b><i>Subtotal Co-financing:</i></b>	<b><i>US\$</i></b>	<b><i>79,091,933</i></b>
<b>Total Project Cost:</b>	<b>US\$</b>	<b>90,736,217</b>

(1) Project only: excludes PDF co-financing

**IMPLEMENTING AGENCY CONTACTS:**

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## **RECORD OF ENDORSEMENT ON BEHALF OF THE GOVERNMENTS**

### **GEF Operational Points (at November 2004)**

	<b>Dates of Endorsement/ Confirmation</b>
Cook Islands Mr Vaitoti Tupa, Director, Environment Service	Endorsed: 13 October 2003 Confirmed: 24 December 2004
Federated States of Micronesia Mr John Mooteb, Deputy Assistant Secretary Sustainable Development Unit	Endorsed: 6 November 2003 Confirmed: 29 December 2004
Fiji Mr Cama Tuiloma, Chief Executive Officer, Ministry of Local Government, Housing, Squatter Settlement & Environment	Endorsed: 1 March 2004 Confirmed 1 February 2005
Kiribati Mr Tererei Abete-Reema, Deputy Director, Environment and Conservation Division	Endorsed: 28 November 2003
Republic of Marshall Islands Ms Yumiko Crisostomo, Director, Office of Environmental Planning and Policy Coordination	Endorsed: 16 September 2003 Confirmed 4 February 2005
Nauru Mr Joseph Cairn, The Secretary, Department of Industry & Economic Development	Endorsed: 20 October 2003 Confirmed 14 December 2004
Niue Mr Crossley Tatui, Deputy Secretary, Ministry of External Affairs Office	Endorsed: 9 February 2004 Confirmed: 24 December 2004
Palau Ms Youlsau Bells, National Environment Planner, Office of Environmental and Response Coordination	Endorsed: 22 October 2003 Confirmed: 17 December 2004
Papua New Guinea Mr Wari Iamo, Director, Department of Environment and Conservation	Endorsed: 19 February 2004 Confirmed 2 February 2005
Samoa Mr Aiono Mose Pouvi Sua Chief Executive Officer, Ministry of Foreign Affairs and Trade	Endorsed: 17 October 2003 Confirmed: 23 December 2004
Solomon Islands Mr Steve Likaveke, Permanent Secretary, Ministry of Forests, Environment & Conservation	Endorsed: 11 October 2003 Confirmed: 20 December 2004
Tonga Mr Uilou Samani, Director, Department of Environment	Endorsed: 26 January 2004 Confirmed: 3 January 2005
Tokelau Mr Falani Aukuso, Director, Office of the Council of Faipule	Endorsed: 27 February 2004 Confirmed: 13 December 2004
Tuvalu Mr Nelesone Panapasi, Secretary to Government, Office of the Prime Minister	Endorsed: 7 November 2003 Confirmed 1 February 2005
Vanuatu Mr Ernest Bani, The Head, Environment Unit	Endorsed: 17 March 2004

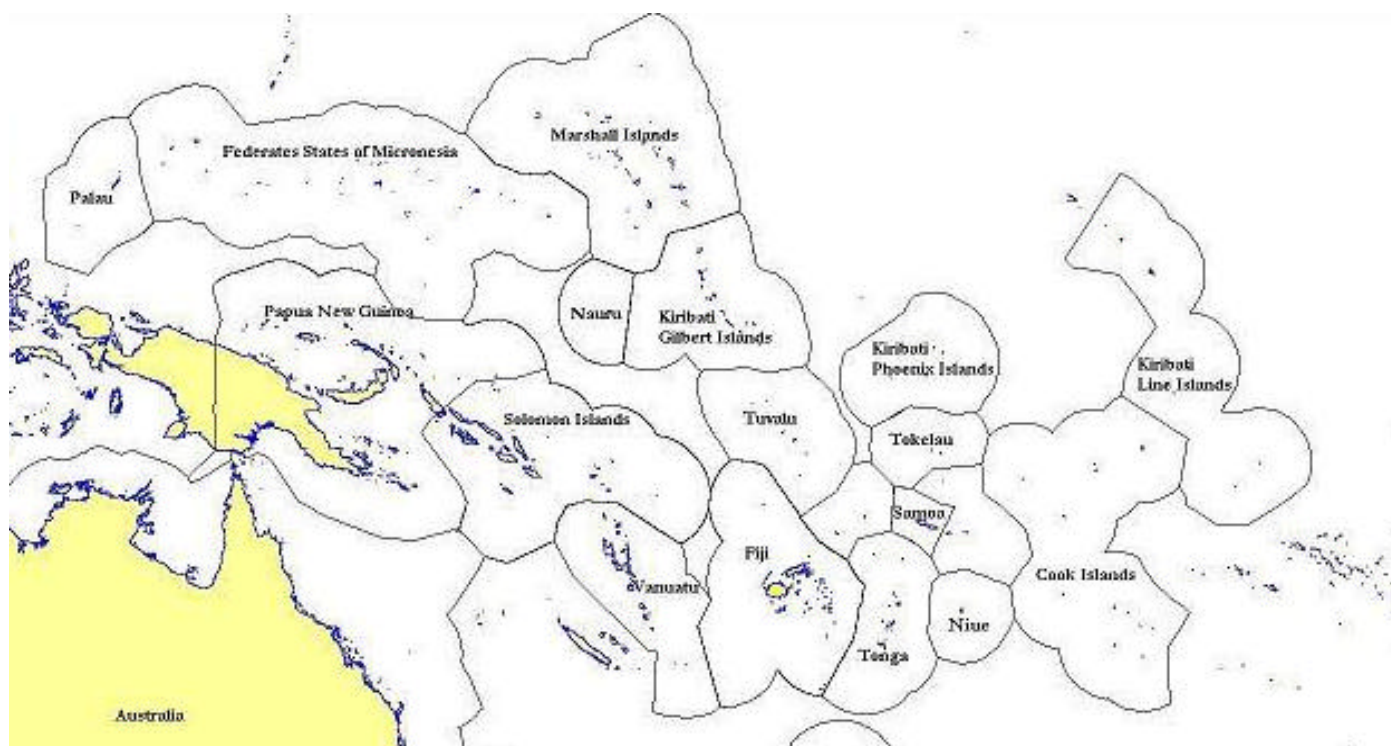


## A. BACKGROUND AND CONTEXT

### GLOBAL SIGNIFICANCE

#### *The Importance of the Waters and Their Management*

The waters of the Pacific Islands region cover an area of around 40 million square kilometres, or over 10 per cent of the Earth's surface and equivalent to about one third of the area of the Earth's land surfaces. As shown in Figure 1, most of this area falls within the national jurisdiction of 15 Pacific SIDS<sup>1</sup>, so that they are custodians of a significant part of the surface of the Earth and, in particular, custodians of a large part of one of the Earth's major international waters ecosystems. These waters at the same time divide Pacific Island communities across huge distances and unite them by substantial dependence on a shared marine environment and shared marine resources.



**Figure 1.** The Pacific Islands region showing Pacific SIDS national waters.

The waters hold the world's largest stocks of tuna and related pelagic species. The waters of the Pacific Islands region provide around a third of the world's catches of tuna and related species – and the broader Western and Central Pacific Ocean region, including Indonesia and Philippines, provides closer to half of the world's tuna catches – around 2 million tonnes annually.

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

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

The importance of the waters in geographical and environmental terms is enhanced by the significance of the management aspects of these waters. Driven by the imperatives of their smallness in relation to the size of their marine jurisdictions and the economic importance of the marine resources to their welfare, the Pacific SIDS have developed a degree of cooperation and forms of working together which are globally important. As they moved to extend their jurisdiction over the waters off their islands in the late 1970s, the Pacific SIDS joined with Australia and New Zealand in agreement on the Pacific Islands Forum Fisheries Agency Convention, committing themselves to cooperation in the management and development of fisheries in the areas within their newly extended jurisdictions. Then, as the global community was concluding the United Nations Convention on the Law of the Sea (UNCLOS) in 1982, the Pacific SIDS met at a Workshop on Harmonisation of Fisheries Policy which was sponsored by the United Nations Food and Agriculture Organisation (FAO). The Workshop provided options and strategies for the development of institutions, programmes and capacities at a national level and initiated a number of regional initiatives designed to support Pacific SIDS as they established their national tuna management regimes. The regional initiatives were directed to science, compliance and development and have since come to form a unique body of collaboration in international fisheries management.

Supported by this framework of cooperation, Pacific SIDS have shown considerable leadership in contributing to the development and application of global instruments for oceanic conservation and management. They led the process of opposition to large-scale driftnetting as it developed in the late 1980s, threatening a high level of destruction of seabirds, marine mammals and juvenile oceanic pelagic fish in areas of high seas beyond national control culminating in UN resolutions calling for a moratorium on large-scale driftnet fishing. 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 below, providing 10 of the 12 ratifications (with Australia and New Zealand) which brought the Convention into force on 19 June 2004.

#### *The Western Tropical Pacific Warm Pool Large Marine Ecosystem*

The defining physical feature of the body of international water shared by Pacific Island communities is the Western Tropical Pacific Warm Pool Large Marine Ecosystem (WTP LME)<sup>2</sup>. The WTP LME comprises a huge body of water, lying to the west of the strong divergent equatorial upwelling in the central equatorial Pacific known as the "cold tongue" and between the sub-tropical gyres in the North and South Pacific<sup>3</sup>. It provides approximately 90% of the catch of tunas and other pelagic species in WCPF Convention Area. The key physical and biological characteristics of the WTP LME are:

- sea-surface temperatures of 28.5 degrees C or greater;
- a relatively deep surface mixed layer, with the Sea Surface Temperature minus 0.5 degree C isotherm typically 100-150 metres depth;
- relatively low salinity (<34.5 ppt) with a very well defined salinity front on the eastern boundary with the cold tongue;

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<sup>2</sup> The WTP LME is not always identified as an LME, but it shares the major characteristics of defined LMEs, differing specifically in that it is essentially oceanic, whereas the LMEs usually listed essentially fringe land masses – and it was accepted on that basis by the GEF as an appropriate target of the efforts towards ecosystem-based management that underpin the SAP of the Pacific Islands region.

<sup>3</sup> See Annex H for maps of the WTP LME in different climatic / oceanographic conditions.

- relatively low primary productivity compared to the cold tongue, but with important El Niño related interannual variability;
- westward-flowing surface currents that infuse primary production from the cold tongue;
- relatively high secondary production characterised by zooplankton and micronekton species with high turnover and metabolic rates due to the warm-temperature environment; and
- high secondary production that in turn supports a complex pelagic ecosystem ranging from zooplankton and micronekton to large apex predators such as tunas, billfishes and sharks.

The health of the International Waters of the WTP LME is critical to the communities and economies of the Pacific Islands. Almost all of the land area of the Pacific SIDS is coastal in character and almost all of the people of the region live and work in ways that are dependent on healthy International Waters. A major strength in looking at the WTP LME as an appropriate management unit is the well-developed political framework of integrated multi-sectoral regional cooperation across this region that derives largely from the high level of shared dependence on International Waters.

### **MAJOR AREAS OF CONCERN**

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 dominantly 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.

These are global concerns. They were important issues in the preparation of the UN Convention on the Law of the Sea (UNCLOS) during the 1970s, particularly in the provisions relating to management of fishing on the high seas and management of fishing for highly migratory species. Then, in 1992 they found expression in the call from the United Nations Conference on the Environment and Development (UNCED) within Agenda 21 for a UN intergovernmental conference on high seas fishing and they are also the key concerns addressed in the UN Fish Stocks Agreement.

Six major aspects of the global, regional and national concerns about unsustainability in fisheries for transboundary oceanic fish stocks are discussed below – some of them are inter-related. They are:

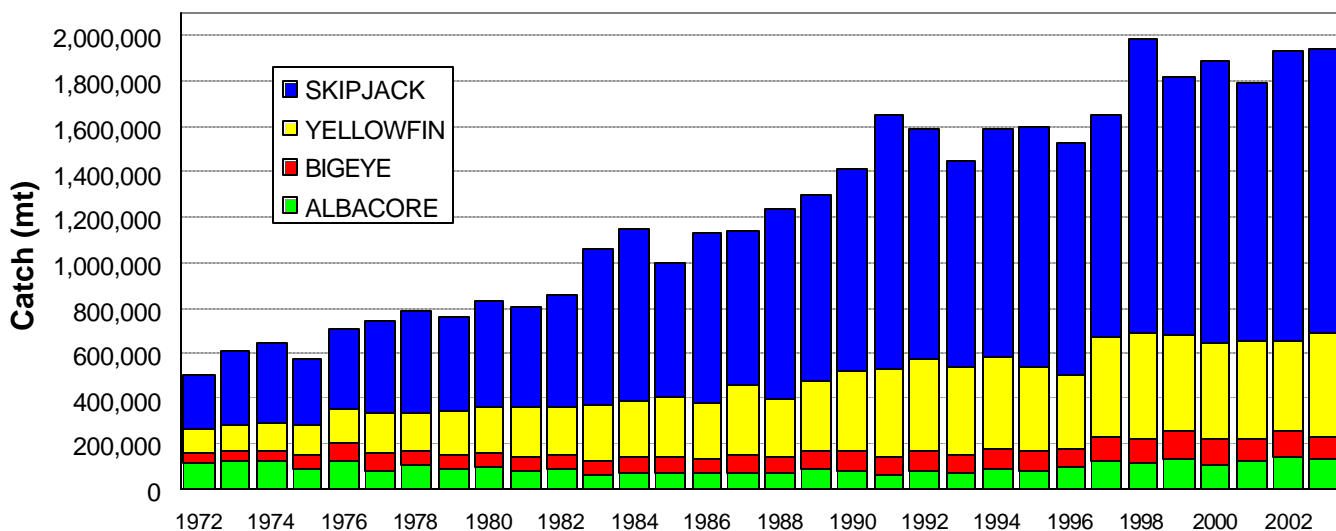
- the impact on target transboundary oceanic fish stocks;
- the impact on non-target fish stocks;
- the impact on other species of interest (such as marine mammals, seabirds and turtles);
- the impact of fishing around seamounts;
- the impact on foodwebs; and

- the impact on biodiversity.

### *Impact on Target Transboundary Oceanic Fish Stocks*

The peoples of the Pacific Islands have always applied practices aimed at conservation of the marine resources on which their livelihoods depend. Even when the earliest formal stock assessments in the early 1980s indicated that the tuna stocks of the region were larger than originally thought, and the largest in the world, it was clear that it was only a matter of time before markets and technology would drive fishing to levels that would threaten the sustainability of these resources. When the Pacific SIDS began to establish the framework for collaboration on the management of these stocks in the late 1970s, they gave priority to establishing databases and research and monitoring programmes, realising that it was only a matter of time before the sustainability of these stocks and the livelihoods that depend on them, would be threatened. That time has come and the results of the programmes will now provide the basis for the scientific work of the new Commission.

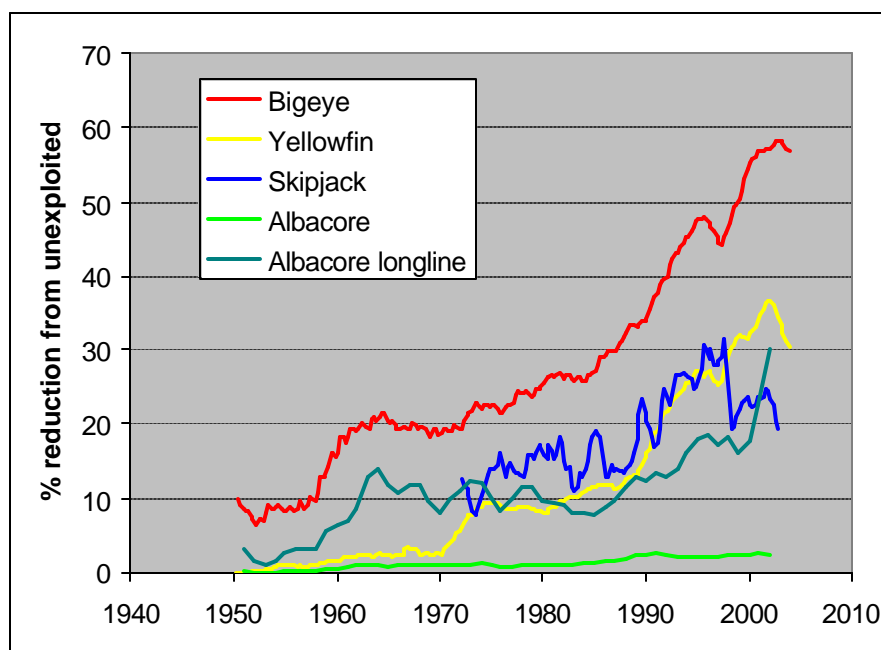
Annual catches of transboundary oceanic fish in the Western and Central Pacific Ocean in recent years have approached 2 million tonnes<sup>4</sup>. Catches have continued to increase over a long period of time (Figure 2) and this trend might be expected to continue in the future unless limits are applied.



**Figure 2. Catches of tuna in the Western and Central Pacific Ocean.**

Assessments of these species are conducted regularly by the Oceanic Fisheries Programme of the Secretariat of the Pacific Community (SPC/OFP). The results of these assessments provide information on the current status of the stocks and the impacts of the fisheries. A convenient means of summarizing this information is shown in Figure 3, which plots the estimated reduction in stock-wide population biomass of each species due to fishing as a percentage of the biomass that would have occurred in the absence of fishing.

<sup>4</sup> Secretariat of the Pacific Community Tuna Fishery Yearbook 2001.



**Figure 3. Impact of fisheries on total stock biomass of skipjack, yellowfin and bigeye tuna in the Western and Central Pacific Ocean and albacore in the South Pacific Ocean.** (“Albacore longline” refers to the impact of fishing on larger albacore exploited by the longline fishery)

To put these estimates in context, a reduction of around 60% from the unexploited level would be equivalent to the biomass at maximum sustainable yield, a commonly used biological reference point. For skipjack tuna, recent impact levels are about 20%, indicating that this stock is currently being fished well within its exploitation potential. For yellowfin tuna, recent stock-wide impact levels are approximately 35%, indicating that this stock is also being fished within its exploitation potential, but nevertheless beginning to approach a point where increased caution in fisheries management is appropriate<sup>5</sup>. For bigeye tuna, recent impacts are approaching 60% or equivalent to the maximum sustainable. For South Pacific albacore, impacts of fishing on the total stock biomass are slight, but are much more significant on that portion of the stock that is exploited by the longline fishery (i.e. larger, older albacore).

Most recently, the report of the August 2004 meeting of the Scientific Coordinating Group (SCG) of the WCPF Preparatory Conference reported the status of the bigeye and yellowfin stocks as follows:

- **Bigeye:** the 2004 assessment indicates that current levels of fishing mortality carry high risks of overfishing and SCG recommended that, as a minimum measure, there be no further increase in fishing mortality for bigeye tuna.
- **Yellowfin:** recent assessments indicate that the stock is likely to be nearing full exploitation and any further increases in fishing mortality would not result in any long-term increase in yield and may move the yellowfin stock to an over-fished state. SCG recommended that to reduce the risk of the yellowfin stock becoming over-fished further increases in fishing mortality (particularly on juvenile yellowfin) in the Western and Central Pacific (WCPO) should be avoided.

<sup>5</sup> However, the majority of the tuna catch is taken from the area of the WTP LME and impact levels here are considerably higher - approximately 50% for yellowfin and higher for bigeye tuna.

The threat to the sustainability of target stocks is due to the increases in fishing effort and catches that have taken place in the region as shown in Figure 2, which are part of a global pattern of expansion by fishing industries. Within the overall pattern of catches in the region however, there are some specific concerns which include:

- the impact of purse seine fishing on juvenile stocks, generally and on juvenile stocks of bigeye tuna in particular, including the discarding of juvenile tuna;
- the particular impact of purse seine fishing using artificial fish aggregating devices (commonly called FADs)/rafts (both anchored and floating) on juvenile tuna stocks;
- the impact of high levels of fishing by longliners on the adult stock of bigeye, particularly in the high seas;
- the impact on stocks in the Pacific Islands region from fishing in adjacent areas, especially Indonesia and the Philippines; and
- the impact of illegal, unregulated and unreported (IUU) fishing.

#### *Impact on Non-Target Fish Stocks<sup>6</sup>*

The impact of fishing for tunas on other fish species is a global concern that is also important in the Pacific Islands region. Much less is known about these stocks and the impact of fishing on them than the target stocks. The target stocks have been the subject of sustained monitoring and research programmes, based, in particular, on detailed daily reporting of catch and effort by vessels. However, the range of data that can be provided from this source is limited and it has not been possible to generate daily catch and effort data with an adequate level of detail on catches on species other than the target stocks. Provision of that data depends largely on reporting by on-board observers, for which coverage levels across the region have been inadequate.

Major elements of the concerns about the impacts of oceanic fisheries targeting transboundary stocks in the region include:

- **Impacts on species that are taken largely as bycatch in the tuna fisheries but are commercially valuable and generally retained.** The major species involved are billfish and some species of sharks.

Some billfish species (striped marlin, swordfish) may be secondary, or even primary targeted species in some longline fisheries, but others (black marlin, sailfish) are more often discarded. Total billfish catches in the WCPO are estimated at over 30,000 tonnes annually. A preliminary assessment of Pacific blue marlin suggests that the stock may be fished at a level approaching the maximum sustainable yield. The status of the other billfish stocks is not known.

Sharks are a common bycatch in the oceanic fisheries in the region and in some cases are targeted. As apex predators, sharks may have an important role in ocean ecosystems in maintaining the ecological balance, in addition to representing a valuable resource. However, they are susceptible to overexploitation since they generally mature at a late age, have low fecundities and long gestation periods and are long lived. Declines in shark populations and the practice of shark finning are both global and regional concerns. Blue shark is the most commonly caught species in the region with catches estimated at around 150,000 blue sharks annually in the longline fishery and it is probably also the widest ranging.

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<sup>6</sup> Much of the information in this and subsequent sections is taken from WCPF Working Paper 9: Review of Ecosystem-Bycatch Issues for the Western and Central Pacific.

A preliminary assessment of North Pacific blue shark indicated that blue shark is not yet seriously impacted by pelagic longline fishing, but further work is necessary on this issue.

- **Impacts on other fish species.** A diverse range of other fish species is taken as bycatch. Some of these species are of considerable commercial value and recreational fishing interest (e.g. wahoo, mahi mahi, opah). Others are of little commercial value but are significant components of the ecosystem (e.g. lancet fish, triggerfish). The catch and biology of nearly all these species, with the exception of a few species such as mahi mahi and wahoo, is virtually unknown.

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

Non-fish marine species are particularly important culturally and economically to Pacific Islanders. Images of marine mammals, seabirds and turtles are important cultural symbols - in everyday life, as traditional symbols and in the flags, crests, stamps and other symbols that convey the modern identities of Pacific Island nations. These creatures are also prominent in others' views of the region, whether as fish consumers, tourists or conservationists.

Most species of whale occur in the waters of the region. Endangered species of cetacean that have been observed in the Western Pacific include the humpback whale, sperm whale, blue whale, fin whale and sei whale – the status of these stocks is highly uncertain, but in most cases, the stocks are still estimated to be at levels below 10 per cent of pre-exploitation levels<sup>7</sup>. National Exclusive Economic Zone Whale Sanctuaries now total more than 10.9 million square kilometres and range from Melanesia in the west to French Polynesia in the east and have been described as a growing bridge to a wider South Pacific Whale Sanctuary.

In the Western Pacific, there is not the same issue of marine mammals, particularly dolphins, being killed in tuna purse seine fishing as there is in the Eastern Pacific, where purse seine vessels set their gear around schools of dolphins, which are known to be associated with tuna schools. There are a few records of pilot whales being encircled during purse seine sets in some areas. Sets around Sei whales and whale sharks are more common in equatorial areas, but these very large animals are usually released unharmed. Marine mammals may occasionally be entangled in longline gear but there appear to be few examples of actual hooking by longline gear. False killer whales and pilot whales, on the other hand, are seen as pests, as they feed from fish caught on longlines, but are rarely if ever caught.

Catches of seabirds by oceanic fisheries, especially longlining, is an important global concern and one that has been particularly important in the northern and southern areas of the Western and Central Pacific Ocean. The available information indicates that seabird fatalities from oceanic fishing, including longlining, are rare in the tropical Pacific Islands region, largely because the bird species most commonly caught in longlining in temperate areas (e.g. albatross and petrels) are rare or absent from tropical areas. However, the quality of the data available is poor. In addition, while the number of species known to be potentially vulnerable to mortality from longlining is low (11 have been identified), a high proportion of these species are internationally classified as "Threatened". In this situation, the issue is likely to be much more serious than the number of birds hooked and seabird mortalities associated with oceanic fisheries remain a significant concern meriting further attention.<sup>8</sup>

The Pacific Islands region is a globally significant area for marine turtle breeding and migration. Marine turtle species feeding in, and migrating through, these waters include the green, the hawksbill, the leatherback, the loggerhead and the Pacific Ridley.

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<sup>7</sup> SPREP website, [www.sprep.org.ws](http://www.sprep.org.ws)

<sup>8</sup> Dick Watling, Environment Consultants, Fiji. Interactions Between Seabirds and Pacific Islands' Fisheries, Particularly the Tuna Fisheries. Report to the 3<sup>rd</sup> SPC Heads of Fisheries Meeting, 2003.





Turtle populations have declined catastrophically throughout the region in the latter half of the 20<sup>th</sup> century, due mainly to habitat degradation and unsustainable harvesting in coastal waters, but the area still supports the world's largest remaining populations of green, hawksbill and loggerhead turtles. Turtle mortalities from oceanic fishing in the region mostly result from turtles being hooked or tangled in longlines. The number of encounters involving turtles caught in longline and purse seine fishing is roughly estimated at around 2,000 annually. Most of the turtles that are caught are released alive, but data on the species composition of turtles hurt or killed by fishing is not reliable. While mortality from oceanic fishing is clearly not a major cause of overall turtle mortality, any level of turtle mortality from oceanic fishing will continue to be a concern.

Large-scale driftnetting represents a particular threat to seabirds, marine mammals and juvenile tuna. It is effectively banned in the region but there have been recent cases of illegal high seas driftnet fishing in the North Pacific and illegal driftnetting remains a potential threat.

### *Impact of Fishing Around Seamounts*

There are a large number of seamounts in the WTP LME. Concern about the impact of fishing around seamounts is a major current global environmental concern. That concern is centred on the destructive effects of deep sea bottom trawling on seamount ecosystems that are characterised by a high degree of endemism and, in particular, the effects of bottom trawling on vulnerable benthic communities like corals and sponges and on long-lived, slow-growing fish species. There is currently no known deep sea bottom trawling in the WTP LME but the potential exists.

The concerns about the impacts of pelagic fishing on sea mounts are very much less than the concerns about trawling because pelagic fishing (using purse seine, longline and pole and line) takes place high in the water column removed from the seamounts. Seamounts are known to aggregate pelagic species and are likely to be target areas for some kinds of pelagic fishing. They are also known to support a mix of pelagic species that differs considerably in species composition compared to the open ocean. Concerns about the impact of pelagic fishing around seamounts include the possibility of higher proportions of juvenile fish in catches; likely higher levels of catches of some bycatch species of special interest such as sharks and billfish, including some species such as wahoo which are locally important for food security; possibly a higher mortality of turtles, seabirds and marine mammals; and the possible sharing of prey between pelagic and demersal species due to vertical migration of some prey species. Despite their importance, the relationships between seamounts, pelagic fishing and the dynamics of tunas and exploitation generally of pelagic species in the WTP LME are not well understood. Considerable historical data exist and their analysis may provide important leads regarding appropriate management strategies for seamounts. However, additional data are required from targeted fishing experiments and tagging in order to quantify population parameters that can be used in predictive models to assess management options in a scientifically rigorous way.

### *Impact on Foodwebs*

The impact of fishing for tunas and related species on pelagic ecosystems through foodweb effects is not well understood. Adult tunas, billfish and sharks are at the apex of pelagic food webs in the WTP LME. Much of the concern regarding the effects of fishing on marine food webs stems from targeting on species lower down in the hierarchy, particularly prey or forage species on which higher level predators rely, rather than species in the upper levels. Studies in the eastern Pacific for example, indicate that fisheries impart top-down influence on some apex predators, but the effects of fishing do not propagate down to the forage species at the middle trophic levels. However, other work points to a growing body of evidence that changes at the tops of food webs are expressed at all trophic levels in a wide variety of aquatic ecosystems.

Application of an Ecopath simulation model to the pelagic ecosystem of the Central Pacific showed that removal of adult yellowfin and skipjack tunas could cause substantial and sustained changes to the structure of the system. In addition to being important and abundant consumers, these fish are among prey items for higher order predators such as billfishes and sharks. More work needs to be done to better understand how the effects of removal of higher predators propagate through the food web, but it is clear that improved knowledge and understanding of the status and ecological significance of the species that are targeted by oceanic fisheries requires improved monitoring of fisheries and better information on diet composition in the WTP LME.

#### *Other Impacts on Biodiversity*

The major concerns about marine biodiversity relate to degradation of habitat and the effect of marine pollution. Since pelagic oceanic fisheries in the Pacific Islands region take place offshore and in the upper layers of the water column in waters of generally great depth, there are no significant concerns about the direct effect of fishing operations on marine habitats in the region. A possible exception to this is the effects of anchoring of Fish Aggregating Devices, which may have some local impact. As noted above, there is no deepsea trawling in the region on banks and seamounts of the kind that is a major global concern in other regions.

There are, however, concerns about the contribution of fishing vessels to marine pollution generally. Fishing vessels and vessels that supply and support them make up a larger than usual share of the international shipping in the Pacific Islands region. In addition to the concerns related to the management of waste and the control of pollution from vessels generally, fishing vessels have been identified by the Pacific Ocean Pollution Prevention Programme<sup>9</sup> (PACPOL) as a potentially significant source of pollution from the dumping of materials from packaging of bait and other supplies. Inshore pollution effects from large-scale transshipment, which often takes place inside lagoons, are a particular concern.

#### *Concerns, Threats, the SAP, the Convention and the Pacific Islands OFM Project*

The concerns and threats set out above are global, regional and transboundary. They are the concerns and threats that have motivated the substantial effort by the global community to strengthen global arrangements for oceanic fisheries management (OFM) over the last 25 years, from UNCLOS through to the UN Fish Stocks Agreement and most recently to the sustainable fisheries component of the World Summit on Sustainable Development (WSSD) Plan of Implementation. They are broadly the same concerns and threats that have motivated the Pacific SIDS in their efforts to integrate biological, environmental and developmental concerns relating to oceanic fisheries into a sustainable whole - from the earliest days of their collaboration in the management of their exclusive economic zones (EEZs); and from the preparation of a joint regional position to UNCED, which was the precursor for the Pacific Islands Strategic Action Programme (SAP); through the preparation of the SAP and participation in the preparation of the UN Fish Stocks Agreement; through ten years of commitment to preparing for, and bringing into force, the WCPF Convention and most recently through the preparation of a Pacific Islands Regional Ocean Policy. It is the root causes of these concerns and threats which are the target of the WCPF Convention and the Pacific Islands OFM Project, as described in the following section.

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<sup>9</sup> PACPOL: Improving Ships' Waste Management in Pacific Island Ports.

## ANALYSIS OF ROOT CAUSES

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 – (i) governance; and (ii) lack of understanding (see below).

### *Governance*

The weaknesses in governance of oceanic fisheries management occur at two levels – regional and national. At the regional level, the critical weakness has been the lack of a legally binding institutional arrangement governing cooperation in the management of the region’s commercial oceanic fisheries. There has been a high level of voluntary cooperation between Pacific SIDS and, at a broader level, a degree of voluntary cooperation of mixed quality in the provision of data and research collaboration by fishing states, however, there has not been a formal collaborative process covering the range of the major stocks. The most serious result of that outcome is that the high seas of the region are the only tropical oceanic areas where fishing by the world’s highly industrialised tuna fleets are completely unregulated. Following a cruise by the Rainbow Warrior in the region in September 2004, Greenpeace reported<sup>10</sup> that:

*“In just one week, Greenpeace documented 30 foreign vessels engaged in unregulated fishing of tuna as they migrated through the high seas, south of Micronesia. This unregulated fishing undermines Pacific attempts.....to limit fishing to sustainable levels.”*

Unregulated fishing on the high seas undermines Pacific SIDS’ efforts to ensure sustainable fisheries, not only because it allows fishing without limits on the high seas at a time when most Pacific SIDS are limiting fishing in their national waters, but because it also provides a “safe haven” from which IUU vessels can operate to fish illegally inside national waters, leaving the high seas outside 200-mile national zones as an area in which vessels can operate without the normal checks of international reporting, boarding and inspection.

At the national level, there are three key weaknesses in governance that contribute to the threat of unsustainable fisheries in the Pacific Islands region. The first is the lack of compatible management arrangements between zones, leaving the risk that an array of independent and different measures at national levels is not able to secure effective conservation outcomes. The second is the risk of a lack of political commitment to taking the necessary decisions to limit fishing and catches. Most Pacific SIDS governments have not so far been tested on their commitment to taking hard decisions on limiting fishing and catches in their waters - these decisions do not come easily to governments in countries where fisheries is the major sector of the economy and where there are major commercial and external influences on fisheries decisions. Fiji is the first country to face up to having to limit the level of fishing, not just by foreign fleets but by vessels under the control of its own nationals. Other Pacific countries will, in time, be in the same position, especially with the Commission in place, and there is an important role for the Project in building the necessary political and public commitment to adopt limits. The third weakness, which is particularly important for Pacific SIDS and for the design of this Project, is the lack of national capacity. The weaknesses in national capacity need to be seen from a broad point of view. It is now around 25 years since most Pacific SIDS declared their 200-mile Exclusive Economic Zones. In the early part of this period, Pacific SIDS’ major priorities related to controlling and benefiting from the substantial levels of foreign fishing operations that were being conducted in the waters that now fell under their jurisdiction; and to developing their own small, medium and large scale domestic oceanic fishing industries – building infrastructure, boat building, marketing and processing operations and supporting industry development

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<sup>10</sup> Greenpeace Australia Pacific, Press release: US\$2 billion Pacific tuna fisheries in trouble, Sept. 2004.

through provision of credit and training. For most of this period, sustainability has been an issue, but not a major issue. As a result, few countries place limits on fishing or have any process for determining and applying limits. Monitoring arrangements have been targeted at monitoring catches by foreign vessels and, until recently, few countries had any systematic monitoring in place for catches, size and species compositions of their growing domestic fleets. Consultative processes with other stakeholders are also relatively weak and certainly not strong enough to provide the forum for dialogue between stakeholders that will be necessary as Pacific SIDS move to take hard decisions about limiting access to oceanic fish resources, not just by foreign vessels, but by their own nationals. Surveillance and compliance capacities in national waters are relatively well developed in the region, benefiting from major levels of support from some metropolitan countries through the provision of air and sea surveillance operations and, in particular, through the Australian Pacific Patrol Boat Programme, but will continue to need strengthening as limits become more generally applied and increase the incentive to illegal fishing.

### *Lack of understanding*

The subset of issues related to lack of understanding has two dimensions. The first is awareness. In general, the level of basic awareness of issues related to oceanic fisheries in the region is very high. In households and among families, among those whose livelihoods depend on fisheries, at local government levels and among academics, business people and public servants, there is a very keen awareness of the regional oceanic fish stocks and the other marine creatures associated with them, of their environmental, economic and social importance and of the threats to their sustainability. What needs to be strengthened is the understanding of the kinds of measures that need to be taken and the legal, policy and institutional reforms that need to be made to ensure sustainability.

The second dimension of the lack of understanding is related to information gaps. Great progress has been made in the last five years on improving information and knowledge about the main target stocks in oceanic fisheries. This has occurred through scientific work conducted mainly by SPC, supported by the pilot activities of the GEF South Pacific SAP Project and based on very substantial databases built up over a 20-year period. However, the stock assessment models being applied are still in an early stage of development and substantial uncertainty remains about some of the results, which is complicated by the lack of data on fishing in neighbouring countries such as Indonesia and the Philippines that fish the same stocks. Data available on non-target species is particularly weak because it usually has to be collected by onboard observers and, in general, the level of observer coverage has not been adequate to provide reliable information on bycatches and incidental mortalities.

In addition, the information available is still largely based on a single species approach. Early stages of work to characterise the WTP LME have been undertaken, but more information and better knowledge of the processes involved, is required to provide a basis for operationalizing an ecosystem-based approach to management of fishing.

### *Other Information Gaps*

Other important information gaps identified in the SAP and prominent again in the consultative process undertaken for design of the Pacific Islands OFM Project are:

- the lack of strategic information presented in an appropriate manner to decision-makers, broader stakeholders and the public at large to enable understanding of the choices and decisions that have to be made and the consequences of those choices and decisions; and
- the lack of timely information on the current status of the major physical features of the WTP LME, something that is particularly important where El Nino phenomena deeply affect not only fishing, fish

and other marine creatures, but bring major changes in weather patterns that touch the lives of families across the region.

To address these root causes of the transboundary concerns related to oceanic fisheries within the broader context of the International Waters of the Pacific Islands region, the Pacific Islands SAP proposed the following approach to oceanic fisheries management:

*“Enhancement of regional fishery management in light of developments with regard to the UN Convention on the Law of the Sea and the UN Implementing Agreement (the UN Fish Stocks Agreement), innovative ecosystem-based management approaches in the context of an LME, research on the status of tuna stocks, examination of by-catch and other components of the ecosystem and the integration of those aspects of oceanic fisheries relevant to overall national and regional International Waters resource management are the principal elements of the OFM approach.”<sup>11</sup>*

This approach was used to design the OFM pilot phase in the South Pacific SAP Project. It proved successful and is the broad approach that has been adopted for the design of the Pacific Islands OFM Project. That approach has been updated to reflect the entry into force of the WCPF Convention and other relevant recent developments. The design of the SAP Project also builds on progress in other aspects, but, with the encouragement of the Terminal Evaluation Report of the Pacific SAP Project OFM component, refocuses project resources on the root causes of the transboundary concerns relating to oceanic fish resources and fisheries identified in the SAP.

## **LEGAL, INSTITUTIONAL, POLICY AND SOCIO-ECONOMIC LANDSCAPE**

### **LEGAL**

The legal setting for managing transboundary oceanic fish stocks is complex because the stocks are shared and typically range both through national waters and through high seas, where rights and responsibilities are far less well defined than they are in national waters. The primary relevant international legal instrument is the UNCLOS, which concluded in 1982. The UNCLOS placed a general obligation on coastal and fishing states to cooperate in the management of transboundary stocks, including through appropriate organisations, but did not elaborate the form of that cooperation, essentially leaving control of fishing in the high seas to flag states. By the early 1990s, systematic problems had developed in the management of oceanic transboundary fisheries, particularly overfishing and the use of destructive fishing practices in the high seas and, in response, the global community made a call in Agenda 21 that:

*“States should convene, as soon as possible, an intergovernmental conference under United Nations auspices, taking into account relevant activities at the subregional, regional and global levels, with a view to promoting effective implementation of the provisions of the United Nations Convention on the Law of the Sea on straddling fish stocks and highly migratory fish stocks.”*

The intergovernmental conference called for in Chapter 17 of Agenda 21 began its work in 1993, concluding in 1995 with the adoption of the UN Fish Stocks Agreement, which came into force in December 2001. The Agreement provided several specific responses to the weaknesses in the legal framework for managing straddling and highly migratory stocks. The responses included a requirement for regional and international fisheries management organisations to be established where they did not already exist; and detailed provisions covering the governing principles, objectives and functions of such

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<sup>11</sup> SAP, p. 48.

organisations and the rights and responsibilities of their members. The agreement also required that non-Parties apply the measures of such organisations to their vessels, or else restrain their vessels from fishing within areas covered by the organisations; and the establishment of compliance programmes that would provide a role for other states in ensuring that flag states properly control their vessels on the high seas, including at-sea and in-port boarding and inspection, reporting, satellite-based vessel monitoring and on-board observers.

In the Pacific Islands region, international oceans law dramatically reshaped the Pacific SIDS and their economic structures when UNCLOS provided for coastal states to extend their jurisdictions over 200 mile EEZs, providing major new opportunities and imposing major new responsibilities in the process. Pacific SIDS played a full role in the negotiation of UNCLOS. Fiji was the first state to ratify UNCLOS and all Pacific SIDS have now ratified it and implemented the requirements of UNCLOS in their national laws. (The last 2 Pacific SIDS to ratify, Kiribati (2003) and Tuvalu (2002), completed their ratification process with GEF assistance during the pilot phase of the South Pacific SAP Project).

In addition, Pacific SIDS established a formal framework for cooperation in conservation and management in fisheries among themselves through the 1979 Forum Fisheries Agency Convention based on UNCLOS. Relevant to implementation of the SAP are:

- adoption of standard forms for data collection and voluntary arrangements to provide these to a centralised database which underpins the establishment of what is probably the largest international fisheries database in the world – the database, managed by SPC/OFP, 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;
- the first compliance-related regional register of fishing vessels (including a regional blacklisting arrangement for vessels committing serious offences), a mechanism now established through the UN Fish Stocks Agreement as a cornerstone of all arrangements for managing fishing in areas including high seas;
- harmonised minimum standards for reporting, vessel identification, boarding and inspection and other monitoring control and surveillance mechanisms applied to all foreign vessels and now being applied to all domestic vessels; and
- the first regional satellite-based Vessel Monitoring System (VMS), now tracking around 950 large scale fishing vessels operating over vast areas of ocean – a mechanism now also required by the UN Fish Stocks Agreement to be applied to all high seas fisheries for highly migratory and straddling stocks.

Pacific SIDS also concluded a number of legally binding treaties and high level Agreements covering cooperation in surveillance and enforcement (the Niue Treaty), control of foreign fishing vessels, management of fisheries of common interest (the Nauru Agreement), limits on licensed purse seine fleet capacity (the Palau Arrangement) and included the requirements for these Treaties and Agreements into their national laws.

A particularly important issue to the Pacific Islands region has been driftnetting. Following the development of large-scale driftnetting in the late 1980s and evidence of the highly destructive nature of large-scale driftnetting, the UN called in 1989 for a moratorium on large-scale driftnetting. The level and impact of driftnetting was greatest in the South Pacific, damaging marine mammal, seabird, juvenile tuna and billfish stocks. In response, the Pacific Islands Forum Fisheries Agency (FFA) members agreed to a regional anti-driftnetting convention under which they agreed to ban the use of driftnets in their waters and transshipment of driftnet catches through their waters, to empower FFA members to prohibit the landing, processing and import of driftnet catches and to close ports to driftnet vessels. These provisions are now installed in national laws.

Pacific SIDS also played a full role in the preparation of the UN Fish Stocks Agreement and, immediately after its conclusion, moved on to take a leading role in the implementation of the provisions of the Agreement in the Western and Central Pacific. Pacific Island Leaders, meeting as the South Pacific Forum in 1994, called for a conference of all states with an interest in the regional oceanic fisheries to work towards the establishment of new legal and institutional arrangements for conservation and management. That began a process of several years of collaborative effort between coastal states and fishing states on a new Convention, one that would also establish a new regional fisheries management organisation. The text of the Convention was agreed in September 2000 and the Convention entered into force in June 2004. The Convention text is set out in Annex J.

Key features of the Convention include the following:

- it is the first major new international fisheries management arrangement established under the UN Fish Stocks Agreement and follows that Agreement very closely, serving as a major precedent for the application of the principles of the Agreement;
- it requires Parties to apply the principles of the Fish Stocks Agreement including the precautionary approach<sup>12</sup> and the principles of ecosystem-based management<sup>13</sup> both to their cooperation through the Commission and to the measures they adopt for conservation and management of oceanic fish stocks in their national waters;
- it establishes a framework for regulating fishing on the high seas;
- it sets up a Commission with decisions that will be legally binding;
- it will be one of the largest international fisheries management organisations so far created globally in terms of the volume and value of catch from the resources to which it applies;
- it is the first international fisheries management arrangement to explicitly include in its charter important new principles of responsible fisheries management, recently adopted by the global community, including the use of reference points and the precautionary approach, adoption of an ecosystem approach, avoidance of incidental bycatch and protection of biodiversity;
- it includes more comprehensive provisions on monitoring, compliance and enforcement for the purpose of deterring illegal, unreported and unregulated fishing, especially in the high seas, than any other such arrangement;
- it provides for action against non-Parties to the Convention, whose vessels undermine the effectiveness of Commission measures;
- it requires Parties to take action to control not just their vessels, but also their nationals, addressing the issue of use of flag of convenience vessels by nationals of Parties;
- it includes strong arrangements for the provision of high quality scientific advice to the Commission and for maintaining the integrity of that advice; and
- it includes major elements of a “new deal” for developing countries in this kind of organisation, including specific provisions for funding of technical assistance within the Commission’s financial arrangements and measures to ensure effective participation by developing countries, especially SIDS.

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<sup>12</sup> As described in Article 6 of the WCPF Convention which is attached in Annex J.

<sup>13</sup> As described in WCPF Working Paper 9, “Review of Ecosystem-Bycatch Issues for the Western and Central Pacific Region”, drawing on the FAO Reykjavik Declaration on Responsible Fisheries in the Marine Ecosystem.

The leading role taken by Pacific SIDS in the preparation of the Convention text, and the work of the Preparatory Conference, is clearly shown in the pattern of ratification of the Convention. Twenty five states that participated in the preparation of the Convention are entitled to become Parties – others must be invited. The first 14 states to become Parties were Members of the FFA – 12 Pacific SIDS, plus Australia and New Zealand. In the weeks before the first meeting of the Commission, three fishing countries (China, Korea and Chinese Taipei) have become Members of the Commission and the EU has also requested an invitation to become a member.

The only global legally binding fisheries instrument, which has not been supported by Pacific SIDS, is the FAO Compliance Agreement. No Pacific SIDS have formally accepted the Agreement, largely because it is seen as being superseded in large part by the UN Fish Stocks Agreement.

Apart from the fisheries instruments, Pacific SIDS have also participated in the development and implementation of a range of other multilateral environmental instruments, including:

Convention for the Protection of the Natural Resources and Environment of the Pacific Islands Region and Associated Protocols (SPREP Convention) is the founding Convention for the South Pacific Regional Environment Programme. The Convention provides a comprehensive umbrella agreement for the protection, management and development of the marine and coastal environment of the Pacific Islands region and addresses pollution from all sources and the need for environmental impact assessments. Protocols under the Convention address anti-dumping and marine pollution emergencies. The Convention serves as the regional convention for the UNEP Regional Seas Programme.;

- United Nations Framework Convention on Climate Change: All Pacific Islands States are party to the Convention. Together with SIDS from other ocean regions, they have played a significant role in international climate change negotiations. This reflects their vulnerability and concerns relating to coastal erosion, habitat loss, inundation and climate induced impacts on the distribution of commercial fish stocks;
- Convention on Biological Diversity: The second Conference of the Parties in Indonesia adopted Decision II/10 on Conservation and Sustainable Use of Marine and Coastal Biological Diversity. The statement, referred to as the Jakarta Mandate, notes the serious threats to marine and coastal biological diversity caused by factors including physical alteration, destruction and degradation of habitats, pollution, invasion of alien species, over-exploitation of living marine and coastal resources and encourages the use of integrated marine and coastal area management as the most suitable framework for addressing human impacts on marine and coastal biological diversity and for promoting conservation and sustainable use of this biodiversity. The Mandate encourages Parties to establish and/or strengthen, where appropriate, institutional, administrative and legislative arrangements for the development of integrated management of marine and coastal ecosystems, plans and strategies for marine and coastal areas and their integration within national development plans. All Pacific Island States are party to the Convention on Biological Diversity.

Table 1 shows the pattern of participation by Pacific SIDS in the major relevant international legal instruments.



**Table 1:** Pattern of participation by Pacific SIDS in the major relevant international legal instruments. A = Acceded; R = Ratified; S = Signed

Instrument	Cook Islands	Fed. State of Micronesia	Fiji	Marshall	Kiribati	Nauru	Niue	Palau	Papua New Guinea	Samoa	Solomon Islands	Tonga	Tuvalu	Vanuatu
WCPF Convention	R	R	R	R	A	R	R	S	R	R	R	R	R	S
UNCLOS	R	R	R	R	R	R	R	R	R	R	R	R	R	R
UN Fish Stocks Agreement	R	R	R	R	R	R	R		R	R	R	R		S
FFA Convention	R	R	R	R	R	R	R	R	R	R	R	R	R	R
Convention on Biodiversity	R	A	R	R	R	R	A	A	R	R	R	A	R	R
SPREP Convention	R	R	R	R		R	R	S	R	R	R	R	R	S
UNFCC	R	R	R	R	R	R	R	R	R	R	R	R	R	R
FAO Compliance Agreement														
Driftnet Convention	R	R	R	S	R	R	R	R	A	A	R		S	S
Niue Treaty on MCS Cooperation	R	R	R	R	R	R	R	R	R	R	R	R	R	R
Nauru Agreement		R		R	R	R		R	R		R		R	

Note: Excludes Tokelau, which does not have the status to become Party to these instruments.

The pace of change of international law relating to oceanic fisheries has imposed a large workload on Pacific SIDS for the establishment and revision of national laws. This began with putting in place the basic framework for the extension of jurisdiction over 200-mile zones arising from UNCLOS, including declarations of maritime boundaries and arrangements for management and control of activities within EEZs. Through the 1980s, these laws were revised to give effect to the various regional Treaties and Agreements between FFA members, including the implementation of the Regional Register, the driftnet Convention and satellite-based vessel monitoring. In the late 1990s, there was a further round of revisions to national laws to provide for implementation of the UN Fish Stocks Agreement. Now, another round of revisions is under way in response to the WCPF Convention. This time, however, the changes are more deep-seated, because the implementation of the Convention is part of a major change in approach to fisheries governance, including at national level. Indeed, the Convention itself not only requires Parties to adopt certain specific new measures to control fishing, especially in the high seas - it also requires Parties to apply principles such as the precautionary approach, the ecosystem-based approach, protection of biodiversity and preservation of long term stock sustainability to the management of oceanic fisheries in their national waters.

Some Pacific SIDS have amended their legislation to provide for implementation of the more specific elements of the UN Fish Stocks Agreement and the WCPF Convention as part of the process of preparation for ratifying the Convention, but most have not completed this process. Good progress was made in this

direction under the South Pacific SAP Project, which made a major contribution to ratification of the Convention. However, this work has stalled since the completion of the pilot legal activities of that Project, due to the critical shortage of skills in international oceans and marine and fisheries law, especially in the smaller countries highlighted in the national mission reports. However, beyond the specific requirements of the Fish Stocks Agreement and the Convention, almost all Pacific SIDS also now need to amend their legislation further to provide for broader changes in principles, policies and institutional arrangements to align their laws more closely with the Convention, or to review regulations, license conditions and access agreements to provide the detailed regulatory framework for implementation of the WCPF Convention.

In addition to the changes in national laws, the Convention may have implications for some of the regional Treaties and agreements which Pacific SIDS have concluded amongst themselves (as listed above) and these will need review.

## **POLICY**

The global, regional and national policy setting for the Pacific Islands OFM Project, which underpins and links the legal framework described above and the institutional framework described below, involves two linked major streams of policy development. These are a policy on sustainable development broadly and, within that, a policy on sustainable fisheries. Both streams have their origins in the UNCED and Agenda 21. Since the Rio Conference, both have made sustainable development a central concept in the public policy process (including the notion of sustainable fisheries) and draw specific attention to the need for a new initiative to improve regulation of the high seas, of which the WCPF Convention is one of the outcomes.

Following the UNCED, the policy framework for sustainable development of SIDS at the global level has been elaborated in the Barbados Programme of Action (BPOA) for SIDS, the goals in the UN Millennium Declaration and the Johannesburg Plan of Implementation (JPOI). These instruments emphasise the importance of coastal and marine resources and the coastal and marine environment to sustainable development of SIDS.

In defining the sustainable development of SIDS as a programme area within Chapter 17, Protection of the Oceans, Agenda 21 included in the basis for action for that area the observations that:

*“Small island developing States and islands supporting small communities are a special case both for environment and development”;*

and that:

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

The SIDS Barbados Conference and its Programme of Action were a response to the call in Chapter 17 of Agenda 21 for *“the first global conference on the sustainable development of small island developing States”*. The BPOA emphasised the importance of coastal and marine resources and environment to SIDS, noting in the basis for action in Chapter IV, Coastal and Marine Resources, that:

*“Sustainable development in small island developing States depends largely on coastal and marine resources, because their small land area means that those States are effectively coastal entities. Population and economic development - both subsistence and cash - are concentrated in the coastal zone. The establishment of the 200-mile exclusive economic zone has vastly extended the fisheries and other marine resources available to small island developing States. Their heavy dependence on coastal and marine resources emphasises the need for appropriate and effective management”;*

and laid out a programme of national, regional and international actions that reflected the importance of coastal and marine resources and environment for the sustainable development of SIDS.

The World Summit on Sustainable Development identified the special needs of SIDS within its Plan of Implementation. Section VII of the JPOI addressed the issue of sustainable development of small-island developing states, recommending actions at all levels to:

*“Accelerate national and regional implementation of the Programme of Action, with adequate financial resources, including through GEF focal areas, transfer of environmentally sound technologies and assistance for capacity-building from the international community;*

*Further implement sustainable fisheries management and improve financial returns from fisheries by supporting and strengthening relevant regional fisheries management organisations, 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.....;*

*Provide support, including for capacity-building, for the development and further implementation of:*

- (i) Small island developing States-specific components within programmes of work on marine and coastal biological diversity...”.*

In the lead up to the 10 Year Review of the Implementation of the BPOA, with the support of SPREP and the United Nations Division of Economic and Social Affairs, Pacific SIDS have met three times with SIDS from the Caribbean and Indian Ocean regions to harmonise issues for discussions during the February 2005 review of the BPOA. Pacific SIDS have based their discussions on individual National Assessment Reports and a subsequent synthesis of issues of common concern to the Pacific Islands region. Key issues for Pacific SIDS include the need to:

- incorporate the sustainable development priorities of the Pacific region in the BPOA+10 outcomes;
- secure and strengthen political support from the international community for programmes and initiatives that are essential to sustainable development of this region's people, their environment and natural resources;
- promote new and existing partnerships beneficial to sustainable development of the region;
- enhance the efficiency of use of existing resources and secure and mobilise resources to build capacity for sustainable development; and
- agree targets by which to measure implementation of the BPOA and to provide input to other reporting requirements, including the integration of those from the Millennium Development Goals (MDGs) and the JPOI.

At the regional level, the most important policy instrument relating to sustainable development and marine resources is the Pacific Islands Regional Ocean Policy. The Ocean Policy aims at an integrated approach to improving understanding of the ocean; sustainable development and management of ocean resource use; and maintaining the health and promoting the peaceful use of the ocean. These aims of the Policy are being pursued through the Pacific Island Regional Ocean Framework for Integrated Strategic Action.

With respect to fisheries, the concept of responsible and sustainable fisheries has been elaborated in the FAO Code of Conduct for Responsible Fisheries. The Code was formulated by FAO to establish, in a non-mandatory manner, the principles and standards applicable to the conservation, management and development of all fisheries in a way, which was consistent with the outcomes of the 1992 International Conference on Responsible Fishing, UNCED and the UN Fish Stocks Agreement. Important elements of the Code have been further detailed and updated in a number of policy instruments, among the most important and relevant of which are:

- the FAO Technical Guidelines for Responsible Fisheries;
- the International Plans of Action - for Reducing Incidental Catch of Seabirds in Longline Fisheries; for the Conservation and Management of Sharks; for the Management of Fishing Capacity; and to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing; and
- the Reykjavik Declaration on Responsible Fisheries in the Marine Ecosystem.

Together with the changes in international law relating to fisheries, the policy approaches in these instruments represent a profound change, which can be characterised as a shift in emphasis from promoting fisheries development through increasing catches, to seeking sustainable fisheries development through enhanced conservation and management. The WCPF Convention brings these approaches to bear in respect of oceanic fisheries throughout the Pacific Islands region. The Convention obliges Contracting Parties to apply the precautionary approach and to take into account ecosystem considerations, not just in their cooperation in the Commission or in respect of the high seas, but also in their national waters. This change involves uncertainty and difficulties for Pacific SIDS, whose aspirations for economic development are heavily based on gains from fisheries and who must now seek these gains, not from higher catches in most cases, but from extracting greater benefits from limited catches. The principles of responsible and sustainable fisheries are beginning to be included in national laws through the legal reforms described above and institutions are being realigned towards these principles through the institutional reform process described below. Operationalizing the new approaches across the 15 Pacific SIDS is a major task. It includes the adoption and implementation of capacity, catch and effort limits; measures to limit incidental mortality from fishing; improvement in monitoring and control capacities and improved scientific knowledge at the national level. These activities will help ensure that conservation measures are effective and inform the inevitably difficult policy dialogue between politicians, government agencies, the private sector and other non-governmental interests and the general public. This task was given impetus under the South Pacific SAP Project, particularly by the preparation of National Management Plans for oceanic fisheries. The progress in the preparation of the Plans is summarised in Table 2.

**Table 2: Status of National Tuna Management Plans for oceanic fisheries, current as at September 2004.**

Country	Status of Tuna Management Planning at September 2004
Cook Islands	Plan proposals developed - need to be considered.
Federated States of Micronesia	Completed in 2001.
Fiji	Completed in 2001; reviewed in 2003, with further review scheduled for early 2005; elements being implemented slowly; support needed for implementation.
Kiribati	Plan completed in 2002 and elements being implemented; support needed for implementation.
Marshall Islands	Plan in preparation.

Nauru	Plan in preparation.
Niue	Plan completed in 1998 and implemented; needs revision.
Palau	Plan completed in 1999.
Papua New Guinea	Plan completed in 1998, implemented and reviewed annually.
Samoa	Policy studies and Plan completed and implemented.
Solomon Islands	Plan completed in 1999, not implemented but reviewed in 2004 and implementation expected in 2005.
Tokelau	Draft plan completed with finalisation expected in early 2005.
Tonga	Plan completed in 2000. Being implemented.
Tuvalu	Draft Plan needs some revisions.
Vanuatu	Plan completed in 2001.

The outputs of the previous work on in-country fisheries management planning were more than just Plan documents because, in most countries, their preparation involved the establishment of the first broadly consultative processes that had been undertaken on oceanic fisheries management. These processes aim to improve liaison between the public sector administrations involved in oceanic fisheries management, including fisheries, environment, commerce, foreign affairs, police and security and justice; and provide a richer process of consultation between the public sector, the fisheries private sector and other stakeholders.

However, the Plans themselves still only represent a very early stage of the process of policy reform that will be needed to operationalise the principles of responsible and sustainable oceanic fisheries in the Pacific SIDS. Some countries, like Papua New Guinea, Samoa and Fiji, where the National Management Plan won a Canadian International Development Agency (CIDA) award for excellence in the field of environmental management, have made good progress in implementing aspects of the Plans, but others have made less progress – typically because of a lack of political and public awareness, a lack of capacity to carry through reforms and a lack of resources to support the necessary capacity building. The fisheries policy reforms that are needed will take far longer than the horizon of a 5 year GEF project, but early progress in policy reforms in Pacific SIDS oceanic fisheries management is fundamental to achieving the WCPF Convention objective of sustainability of oceanic fisheries in the Western and Central Pacific.

## **INSTITUTIONAL**

The Pacific Islands OFM Project is, at its core, a response to the need for enhanced regional institutional arrangements for oceanic fisheries conservation and management and for associated changes at the national level. The major relevant governmental institutions are described below.

### *Pacific Islands Forum and its Secretariat*

The Pacific Islands Forum is an annual meeting of the Heads of Government of all the independent and self-governing Pacific Island countries, Australia and New Zealand. Since 1971, it has provided member nations with the opportunity to express their joint political views and to cooperate in areas of political and economic concern. The Forum established FFA and initiated the process that led to the conclusion of the WCPF Convention, annually reviewing progress in the preparation and implementation of that Convention. The current programmes of the Forum Secretariat, located in Fiji, are aimed at promoting regional cooperation among member states through trade, investment, economic development and political and international affairs.

### *Forum Fisheries Agency*

Established in 1979, the FFA's 17 members are the 15 Pacific SIDS, plus Australia and New Zealand. The FFA was established to assist member countries in the management and development of the fishery resources of their EEZs. The initial emphasis of the FFA's programmes was on controlling foreign vessels and maximizing benefits from their operations. Over time, greater emphasis has been given to assisting member countries to develop their own oceanic fishing industries. More recently, there has been greater priority on assisting member countries in conservation and management and FFA has played a leading role in supporting Pacific SIDS in the preparation and implementation of the WCPF Convention. Its major programmes cover the areas of:

- economics and marketing, including providing assistance in negotiation of foreign access agreement, marketing and industry development;
- fisheries management, including the preparation of fisheries management plans and advice on regional fisheries management issues;
- monitoring, control and surveillance (MCS) including the operation of the FFA vessel monitoring system and vessel register and coordination and strengthening of national compliance programs; and
- legal and Treaty services, including administering regional access arrangements for US vessels and for purse seine vessels of member countries and providing advice on national, regional and legal issues.

The FFA is financed by a mix of donor funds, fees from foreign vessel owners for costs of compliance programs, charges to members deducted from access fees for Treaty services and contributions by member countries. The FFA is expected to provide some services for compliance to the WCPF Commission, including operating the Commission satellite-based vessel monitoring system and the Commission vessel register under contract to the Commission.

The FFA will be the primary executing agency for the Project.

### *Secretariat of the Pacific Community – Oceanic Fisheries Programme*

The SPC is the oldest and largest of the Pacific Islands regional organisations, with membership including metropolitan countries (France, UK and the US) and their territories. It provides technical advice, training and research to develop the capabilities of its members focused in the areas of land and marine resources, health and socio-economics.

The objective of the SPC Oceanic Fisheries Programme is to provide member countries with the scientific information and advice necessary to rationally manage fisheries exploiting the region's resources of tuna, billfish and related species. The three major programmes of the OFP are:

- Statistics and Monitoring, including the maintenance and development of national and regional fishery databases and estimation of fishing catches and effort;
- Ecology and Biology, including the study of the biology and behaviour of tuna and related species, the effect of environmental variability, including climate change on pelagic stocks and the pelagic ecosystem and ecosystem research; and
- Stock Assessment and Modelling, particularly the use of statistical population dynamics models to provide assessments of stocks targeted by fishing in the region and scientific advice on the management of those stocks.

OFP activities are currently funded largely by donors, with some funding from the SPC core budget financed by contributions of Members. The OFP will be the major provider of scientific services to the

WCPF Commission. The cost of these services will progressively be financed by the Commission. The OFP will also be responsible for the bulk of the activities under Component 2 of the Project.

#### *Standing Committee on Tuna and Billfish*

The Standing Committee on Tuna and Billfish (SCTB) has provided an informal annual forum for scientists and others with an interest in the tuna stocks of the western and central Pacific region to meet to discuss scientific issues related to data, research and stock assessment. It is supported by the SPC/OFP. Its aims are to coordinate fisheries data collection, compilation and dissemination; review research on the biology, ecology, environment and fisheries for tunas and associated species; identify research needs and provide a means of coordination to most efficiently and effectively meet those needs; provide assessments of stock status; and provide opinion on various scientific issues related to data, research and stock assessment of western and central Pacific Ocean tuna fisheries. The Standing Committee has provided a venue for scientific collaboration in the areas listed above in the absence of formal intergovernmental arrangements for this purpose. The SCTB met for the last time in August 2004. Its functions will be taken over by the Scientific Committee of the WCPF Commission.

#### *South Pacific Regional Environment Programme*

Based in Apia, Samoa, SPREP's mandate is to promote cooperation and provide assistance in order to protect and improve the 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. SPREP was originally established as a programme of the United Nations Environmental Programme's (UNEP) Regional Seas Programme within SPC. The 1986 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 between Pacific SIDS. It is the GEF's key partner in the region and is the executing agency for the South Pacific SAP Project. SPREP will be a member of the Project Regional Steering Committee (RSC) in order to ensure continuing integration of Project activities with other regional marine environmental activities and with the ongoing coastal and watershed management activities of the South Pacific SAP Project.

#### *Council of Regional Organisations of the Pacific Marine Sector Working Group (CROP MSWG)*

The function of the CROP MSWG is to coordinate regional activities in the marine sector. It brings together the Forum Secretariat, FFA, SPC, SPREP and the South Pacific Applied Geoscience Commission (SOPAC). It provides a forum for coordination and integration of the Project activities with other relevant regional activities. Its most recent initiative in this sector was the preparation of the Pacific Islands Regional Ocean Policy.

#### *WCPF Preparatory Conference*

The WCPF Preparatory Conference was established to prepare for the setting up of the new WCPF Commission in the period before the Convention came into force. The Preparatory Conference has successfully completed most of the work set for it and its final session will be held in December 2004. At that point, it will have prepared recommendations on:

- the administrative arrangements for the Commission, including the Rules of Procedure, Financial Regulations, location of the Headquarters (in Pohnpei, Federated States of Micronesia) and Secretariat staffing structure and conditions;

- the scientific structure of the Commission, including identifying research priorities and scientific data needs; and
- immediate priorities for the Commission's compliance program.

The Conference will also have received interim scientific advice on the status of stocks, identified priority concerns relating to resource sustainability and identified options for the conservation and management of bigeye and yellowfin tuna.

Pacific SIDS have played a central role in the work of the Preparatory Conference with substantial support from the South Pacific SAP Project and have successfully secured a number of important outcomes, including:

- a formula for contributions which will see the major burden for financing the Commission's budget being met by those who fish – with full participation by all potential Parties and agreement, in principle, to the use of cost recovery charges to fund compliance programs. Under this structure, Pacific SIDS would pay around 12% of the expected annual budget of around US\$1.8 million, most of that payable by those Pacific SIDS with relatively large fishing fleets<sup>14</sup>;
- a cost-effective staffing structure making use of the existing capacities of regional agencies; and
- streamlined technical structures based on a capable independent Secretariat with a limit to the number of meetings involving Parties and with a line item in the core budget to fund travel costs of Pacific SIDS and other developing states Parties.

### *The WCPF Commission*

The WCPF Commission was established when the WCPF Convention came into force in June 2004 and will hold its first meeting in December 2004.<sup>15</sup> Its functions and structure follow closely the prescription of the UN Fish Stocks Agreement. The Commission will meet at least annually; will be based in a Pacific SIDS (the Federated States of Micronesia); will be advised by the Scientific Committee (which will have a number of Working Groups, including a proposed Ecosystem and Bycatch Working Group) and the Technical and Compliance Committee; will have a Secretariat staff projected at 13 in the early years and will, in addition, purchase scientific and data services from SPC and certain technical services from FFA. The size of the staff and the level of contracted effort will make the WCPF Commission one of the largest regional fisheries management organisations – with a personnel and contract technical support effort larger than the Northwest Atlantic Fisheries Organisation (NAFO), or the International Commission for the Conservation of Atlantic Tunas (ICCAT). The reason for this is that most regional fisheries management organisations act through coordinating national science and compliance activities, rather than operating through their own technical staff. Having a strong, independent technical secretariat is critical for Pacific SIDS which do not have the scientific, legal and technical staff to participate in the kind of scientific and technical advocacy processes that characterise other fisheries Commissions that depend on coordinated national technical efforts, rather than having their own technical staff<sup>16</sup>.

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<sup>14</sup> WCPF Working Paper 20, Provisional Budget and Scheme of Contributions for the Commission in its First Years of Operation.

<sup>15</sup> The first meeting of the WCPF Commission has subsequently been held. The meeting adopted Rules of Procedure, Financial Regulations (including a scheme of financial contributions) and a budget for 2005, appointed an Executive Director, located its headquarters and set up a programme of work designed to enable the Commission to take its first decisions on management and conservation measures at its 2<sup>nd</sup> meeting in December 2005.

<sup>16</sup> Detailed information on the Convention, the Commission and the Preparatory Conference is available on the website of the WCPF Interim Secretariat at [www.ocean-affairs.com](http://www.ocean-affairs.com)



The likely pace of progress in the Commission is difficult to project. It has taken ten years of effort by the countries and agencies involved to get the Convention concluded and brought into force and the Commission established. The work of the Preparatory Conference has been successful in laying the administrative base for the Commission to start operating and the existing capacities of SPC and OFP provide a good basis for the early development of the Commission's technical science and compliance programs. But there is much at stake – the value of the catches within the Commission's mandate is roughly equal to that of the other four international tuna commissions put together. The Commission's membership is disparate, involving the world's most powerful states with large established fleets operating in the region, and some of its smallest, for whom the resources involved represent their major economic development opportunity. The mandate as set out in the Convention is ambitious and its implementation will set a number of globally important precedents. Against this background, and comparing progress in some other international fisheries commissions, it has to be expected that it will take at least three years to get the Commission and its programmes functioning effectively and, some additional period after that, for comprehensive measures to be considered and adopted.

### *National Fisheries Administrations*

Fisheries administrations across the region are going through a process of major reform and realignment because of the shift in fisheries laws and policies from a focus on promoting fisheries development, to a focus on fisheries management and conservation, as described above. This is most clearly represented by the process leading to the conclusion of the WCPF Convention covering oceanic fisheries, but is also occurring in inshore fisheries. Most Pacific SIDS fisheries administrations initially went through a long period of focus on promoting increased fish production, often through donor-supported government-led initiatives. This resulted in fisheries administrations substantially involved in operating boat-building yards, fishing harbours, fish markets and government fishing, fish farming and fish processing ventures, as well as extension and training programs. Over the last ten years, with the shift in emphasis to fisheries conservation and management, governments have had to find more resources for monitoring, scientific analysis and consultation with stakeholders. This process has been complicated by the fact that many Pacific SIDS have also been going through public sector right-sizing/downsizing exercises, which have resulted in caps, or reductions of up to 50 per cent, in the number of public service posts. To find the additional resources for oceanic fisheries management in this setting, Pacific SIDS have been using a mix of these strategies:

- reducing involvement in commercial operations and shifting the emphasis in promoting fisheries development from government involvement to creating a positive climate for private sector development;
- reducing budgets for inshore fisheries management, particularly through devolving inshore fisheries management to local governments and communities; and
- funding oceanic fisheries activities from cost recovery charges, in some cases going as far as transferring core oceanic fisheries functions to self-financing statutory authorities.

Progress in these directions varies. Some countries such as the Marshall Islands, Papua New Guinea and the Federated States of Micronesia have undergone substantial reform and their administrations only require refinements, particularly in strengthening monitoring programmes to respond to the requirements of the WCPF Convention. These experiences provide models for other Pacific SIDS. In some of these other countries, strategies for institutional reform and realignment have been laid out in oceanic fisheries management plans prepared with GEF support from the South Pacific SAP Project and from other donor, however, progress to implement the plans has been severely constrained by a lack of capacity and resources and is an important priority.

Other major relevant institutions relevant to the Project are:

#### *IUCN - The World Conservation Union*

IUCN - The World Conservation Union is an association of government and nongovernmental organisations and was founded in 1948. Its members, from some 140 countries include 80 States, 114 government agencies and 800-plus NGOs. More than 10,000 internationally-recognised scientists and experts from more than 180 countries volunteer their services to its six global commissions. Its 1,000 staff members in offices around the world are working on some 500 projects.

For more than 50 years this 'Green Web' of partnerships has generated environmental conventions, global standards, scientific knowledge and innovative leadership. IUCN is the only environmental organisation accorded the status of Permanent Observer to the United Nations General Assembly, providing IUCN with access to many meetings closed to non-governmental organisations (NGOs). Its associated commissions, such as the Species Survival Commission, the World Commission on Protected Areas (WCPA) and the Environmental Law Commission, provide IUCN with access to a network of over 10,000 experts. IUCN is perceived as a focal point of knowledge and expertise, a respected and frequently cited source of information and reference.

IUCN's Global Marine Programme has access to global institutions and governments, has the ability to bring good science to bear on discussions, has a high level of credibility and has policy and legal expertise to provide governments with the facts and progressive options that have provided the basis for much of the ongoing discussions on deep sea biodiversity, particularly seamounts. IUCN is working with leading deep sea scientists from around the world to increase knowledge on these little-studied ecosystems and to use that knowledge to put in place effective conservation and management measures as appropriate. The WCPA High Seas Marine Protected Areas Task Force, with its broad-based membership, has become a recognised source of expertise on high and deep seas protection.

#### *Greenpeace Australia Pacific*

Greenpeace opened its Fiji office in 1994, which is now operated under Greenpeace Australia Pacific. Conservation issues in the Western and Central Pacific fisheries are a central element of Greenpeace Australia Pacific's Oceans campaign. The organisation has reported on these fisheries and this year conducted a ten-week fisheries tour of the region with its flagship campaign vessels, the Rainbow Warrior. Greenpeace has participated in meetings of the WCPF Preparatory Conference, has encouraged Pacific Island countries to ratify the WCPF Convention and to work within the Commission to determine an ecologically sustainable catch for the region and strict management controls. The organisation was not able to attend the Project Design Workshop but stated its support for the Pacific Islands OFM Project.

#### *TRAFFIC Oceania*

TRAFFIC, the wildlife trade monitoring network, is a joint programme of WWF and IUCN. TRAFFIC Oceania was established in 1987. Its main focus is to work with governments and other stakeholders to build capacity to implement the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) within the region. Fisheries is one of its focal areas. It has reported on a number of international fisheries including southern bluefin tuna, sharks and toothfish and has had a long and continuous involvement in the regional meetings that led up to the WCPF Convention and in the WCPF Convention. TRAFFIC Oceania is planning to expand its ability to provide assistance at a national level in Pacific island countries, including establishing national offices in a number of Pacific island countries.

## *World Wildlife Fund for Nature South Pacific Programme*

Established in 1990, the World Wildlife Fund for Nature South Pacific Programme (WWF-SPP) works with Pacific communities to protect Pacific biodiversity and culture from a regional office in Fiji and country offices in the Cook Islands, Fiji, Papua New Guinea and Solomon Islands. Marine Conservation is a WWF-SPP focal area. The programme is involved in a three-way partnership with WWF New Zealand and WWF Australia to implement a regional fisheries project to ensure Pacific fishing communities have healthy and well-managed tuna fisheries for the future. The WWF-SPP Tuna Officer was a member of the consultant design team that prepared this Project Document and has participated in the WCPF Preparatory Conference.

At the global level, WWF and TRAFFIC have launched a Global Tuna Conservation Initiative, which aims to protect the world's tuna species by addressing both tuna conservation and the tuna trade.

### **SOCIO-ECONOMIC AND FINANCIAL**

Fish and fishing are, as a recent Asian Development Bank (ADB) report<sup>17</sup> said *“tremendously important to the people of the Pacific Islands. Much of the nutrition, culture and welfare, recreation, government revenue and employment in the region are based on its living marine resources”*; and over 90 per cent of the fish taken is from oceanic fisheries, most of that being tuna. Looking ahead the same report projected that *“tuna will inevitably assume a much larger profile in the Pacific Islands in the medium and long term future. Tuna is likely to increase in a number of sectors, two of which are especially critical: (1) as a foundation for future economic growth; and (2) for food security.”*

Individually, the socio-economic dependence of Pacific SIDS on oceanic fisheries is high. In some countries the level of dependence is similar to that of oil-rich countries on oil. In some cases access fees exceed exports and provide up to 40 per cent of government revenue, in others the value of fish exports is more than the value of all other exports combined. In most countries, levels of fish consumption are among the highest in the world. There is scope for benefits to increase within sustainable limits by increasing the catches of some species that are still under-exploited but, more importantly, by increasing the value of catches and the share that the Pacific Island communities receive from that value. The scope for benefits from oceanic fisheries is particularly important in the poorer Pacific SIDS - most of the Pacific SIDS with the lowest levels of development, as measured by the UNDP Human Development Index, are also the countries with the rich tuna resources.

Financially, the annual value of the catch in the waters of Pacific SIDS is estimated at around US\$840 million at ex-vessel prices. The annual value of the catch by Pacific SIDS vessels is around US\$160 million at ex-vessel prices, including a small volume from the high seas<sup>18</sup>. These figures do not take into account the value of processing which would substantially increase these values. In addition, Pacific SIDS earn around US\$60 million annually in cash from license fees and additional economic benefits from servicing foreign fleets.

The cost of managing oceanic fish stocks has been largely financed by Pacific SIDS, either directly or through the use of donor funds that could have been used for other activities of benefit to Pacific SIDS. The major cost component is the cost of national monitoring, which is largely financed by national budgets increasingly recovered from vessel owners, and compliance programs, which are heavily supported by donor and partner country contributions to sea and air patrol costs. Regional programmes have been financed by a mix of financial contributions from Pacific SIDS and other countries that are Members of the

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<sup>17</sup> ADB: Tuna: A Key Economic Resource in the Pacific.

<sup>18</sup> FFA: Overview of the Western and Central Pacific Ocean Tuna Fishery, Sept 2004.

organisations, donors and cost recovery from vessel owners for some FFA compliance programs. The financing arrangements for the WCPF Commission, which place the major burden on states that fish, especially developed states, represent a major shift in financing to a “beneficiary-pays” regime. This will include funding by the Commission of research activities at SPC that have previously been donor-funded. In addition, all states fishing in the high seas will now be required to finance the management and control of fishing by their vessels in the high seas, where fishing has previously been unregulated, including financing authorisation, logsheet, satellite monitoring and observer programs.

## **THE GEF IW SOUTH PACIFIC SAP PROJECT**

The Pacific Islands OFM Project follows on from the GEF IW South Pacific SAP Project<sup>19</sup>. That Project was designed to address the concerns, threats and root causes identified in the SAP. Targeted actions within the South Pacific SAP Project are being carried out in two complementary consultative contexts: An Integrated Coastal and Watershed Management (ICWM) Component and an Oceanic Fisheries Management (OFM) Component. The Project is being implemented by UNDP and executed by SPREP, in collaboration with FFA and SPC.

At the time the SAP and the South Pacific SAP Project were prepared in 1997-1998, there was substantial uncertainty about the future pattern of management of transboundary oceanic fish stocks in the region. Negotiations had begun on new arrangements for the conservation and management of transboundary stocks of highly migratory species in accordance with the UN Convention on the Law of the Sea and the UN Fish Stocks Agreement, but there were a wide range of proposals tabled and it was not clear what the outcome of the negotiations would be. Because of this uncertainty, the activities of the OFM Programme were funded for only three years as a pilot programme within the broader five-year programme of the South Pacific SAP Project and are now programmed to terminate at the end of 2004.

The key pilot activities of the OFM Component of the South Pacific SAP Project have been:

- providing technical assistance, training and support for Pacific SIDS to participate in the preparation of the WCPF Convention and the WCPF Preparatory Conference, ratify the Convention and prepare national management plans; and
- supporting the improvement of scientific knowledge and information about regional transboundary oceanic stocks and the WTP LME, including analysis of stock-specific reference points; improved flows of information from regional monitoring programmes and databases; and the first stages of work to characterise the WTP LME, through a programme of biological and ecological monitoring, research and analysis.

These activities have been financed by a GEF grant of US\$3.5 million, with co-financing of these and other complementary activities from an estimated US\$6.3 million from the regional organisations.

The Terminal Evaluation of the OFM Component, the Executive Summary of which is included as Annex E, concluded that:

*“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.”*

The Evaluation recommended GEF and UNDP support for a “follow-up” Project, but also drew attention to weaknesses in the South Pacific SAP Project that needed to be taken into account in the design of the

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<sup>19</sup> Full title: Implementation of the Strategic Action Programme for International Waters of the Pacific Islands.

follow-up Project. These included a failure to focus the logic and structure of the Project on root causes; weak stakeholder participation; ineffective monitoring and evaluation and a lack of awareness of the approach of GEF, including its focus on global environmental benefits. In recommending support for a follow-up Project, the Terminal Evaluation proposed:

*“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.*

*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.*

*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.*

*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.*

*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.”*

These proposals and the Terminal Evaluation comments on the weaknesses of the OFM Component of the South Pacific SAP Project provided the basis for the design of the Pacific Islands OFM Project.

## **THE PROJECT DESIGN PROCESS**

The preparation of this Project Document was financed by a GEF PDF-B grant, co-financed with resources provided by the regional organisations and supported by in-kind contributions by Pacific SIDS. The Project design process included the following elements:

- discussions among Pacific SIDS at several meetings of the Forum Fisheries Committee on the Terminal Evaluation Report, the Concept Paper and PDF-B application. These meetings were mostly held prior to meetings of the WCPF Preparatory Conference and the discussions provided substantial guidance on key aspects of design of the Project;
- assembly and preparation of a Consultant design team including experts with substantial background at a national and regional level, a staff member of WWF, a fisheries business person supported by staff of the regional organisations and by a national technical assistant in each country;
- two-person missions to 14 of the Pacific SIDS<sup>20</sup>. The purposes of the missions were to:
  - make national assessments of the implications of the WCPF Convention;

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<sup>20</sup> A visit could not be made to Tokelau. Consultations with representatives of Tokelau were held in Apia, Samoa.

- o analyse the national incremental costs activities related to the Convention. This was done by analyzing the budgets and future plans of national agencies involved in oceanic fisheries management;
- o identify and consult with stakeholders with interests in the regional oceanic fisheries resources. In each country, there were consultations with primary stakeholders on the design of the Project and broader public forums on the WCPF Convention;
- o identify, with stakeholders, the assistance needed to support the national implementation of the WCPF Convention and relevant national consultative mechanisms;
- o collect information on indicators of performance in areas related to the WCPF Convention and on the financial sustainability of national participation in the Commission; and
- o promote awareness of the WCPF Convention, the South Pacific SAP and Pacific Islands OFM Projects and the role and approach of the GEF. Media coverage of the national missions was extensive, including coverage of the stakeholder consultations and public forums as well as interviews with national officials and consultants and publication of press releases in national and regional media.

The reports of the national missions are set out in Annex K. Overall, the missions were highly successful, both in gathering the information necessary for Project design and in increasing awareness of the Project and the WCPF Convention.

- a Regional Synthesis Meeting to draw together the conclusions of the national missions and regional analyses and prepare an outline of the Project; and
- a Project Design Workshop with participants from countries, donors and regional stakeholders, which ensured that key stakeholders fully understood the approach of the Project and the rationale for the GEF support for it and provided a further opportunity for key stakeholders to consider the structure of the Project, including its objectives, outputs, incremental cost analysis, components, activities, budgets, implementation arrangements and the plan for stakeholder participation.

In addition, Project design team members facilitated a Canadian-funded workshop organised by the University of the South Pacific on the Implications of the WCPF Convention for the private sector, which resulted in the establishment of a regional association of private sector interests in oceanic fisheries (the Pacific Islands Tuna Industries Association) and included discussion on the participation of private sector stakeholders in the Pacific Islands OFM Project.

In addition to funding these design activities, the PDF-B grant supported the provision of legal and technical advice to Pacific SIDS, which contributed to speedy ratification of the Convention by Pacific SIDS and to the effective conclusion of the work of the Preparatory Conference; and assisted Pacific SIDS to prepare for the first meeting of the Commission, at which the basic administrative arrangements for the Commission are expected to be adopted.

## B. RATIONALE AND OBJECTIVES

### RATIONALE FOR GEF SUPPORT

The global concerns addressed by the GEF in activities in the focal area include:

*“Excessive exploitation of living and nonliving resources due to inadequate management and control measures (for example, overfishing...)”<sup>21</sup>;*

and the overall strategic thrust of GEF-funded IW activities is:

*“to meet the agreed incremental costs of (a) assisting groups of countries to better understand the environmental concerns of their International Waters and work collaboratively to address them; (b) building the capacity of existing institutions (or, if appropriate, developing the capacity through new institutional arrangements) to utilise a more comprehensive approach for addressing transboundary water-related environmental concerns; and (c) implementing measures that address the priority transboundary environmental concerns.”<sup>22</sup>*

Within the GEF IW focal area:

- sustainable management of regional fish stocks is identified as one of the major environmental issues that SIDS have in common and a target for activities under the SIDS component of OP 9, the Integrated Land and Water Multiple Focal Area Operational Program; and
- the adoption of an ecosystem-based approach to addressing environmental problems in Large Marine Ecosystems is promoted through activities under the Large Marine Ecosystem Component of OP 8, the Waterbody-Based Operational Program.

Consistent with this framework, GEF financing for the South Pacific SAP Project has been supporting the implementation of an IW Pacific Islands SAP, including a pilot phase of support for the OFM Component, which underpinned successful efforts to conclude and bring into force the WCPF Convention.

Now, GEF assistance is sought for a new Pacific Islands OFM Project to support Pacific SIDS efforts as they participate in the setting up and initial period of operation of the new Commission that is at the center of the WCPF Convention and as they reform, realign, restructure and strengthen their national fisheries laws, policies, institutions and programmes to take up the new opportunities which the WCPF Convention creates and discharge the new responsibilities which the Convention requires.

The rationale for GEF support for the Pacific Islands OFM Project includes the following elements:

- The Project will provide a contribution towards meeting the incremental costs of implementation by Pacific SIDS of the WCPF Convention, which is the first major regional application of the UN Fish Stocks Agreement.
- The Project will support Pacific SIDS in taking a leading role in the establishment of the new WCPF Commission. The establishment of the Commission will put an end to the situation where there is no regulation of fishing in the high seas of the Western and Central Pacific. With most of the Pacific SIDS’ major trade and aid partners involved in the Commission as fishing states, it is important for the Pacific SIDS to be able to look to an independent multilateral agency for support in this work.

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<sup>21</sup> Ch. 4. Operational Strategy of the GEF.

<sup>22</sup> as for 21 above.

- The Project will also support Pacific SIDS in making the necessary national legal, policy and institutional reforms for the implementation of the SAP and the WCPF Convention. With much of the catch and fishing in the WTP LME occurring in the waters of the Pacific SIDS, and an increasing share of the high seas catches being made by vessels of Pacific SIDS, successful implementation of the oceanic fisheries management component of the SAP and of the WCPF Convention depends heavily on the commitment and capacity of Pacific SIDS to apply conservation and management measures in their waters that are compatible with arrangements for the high seas and to exercise control over their vessels fishing on the high seas. All Pacific SIDS will have to make substantial efforts to upgrade and realign their oceanic fisheries management regimes and programmes to meet the responsibilities and standards arising from the establishment of the new Commission. For many, this will require reforms of institutional structures to make the necessary incremental resources available at a time of general restraint on levels of core public service funds and posts. GEF is the most appropriate agency to support this effort. It has the necessary capacity and mandate to assist these vital reforms and to provide the necessary support to capacity enhancement and the sustainability of input from the Pacific SIDS.
- The Project will provide support to give effect to the adoption of the principles of the ecosystem approach in the new arrangements for transboundary oceanic fish stock management in the WTP LME. In the pilot phase of the OFM component of the South Pacific SAP Project, GEF support allowed work to begin in this crucial area. Following the design of an appropriate approach to biodynamic modelling of the WTP LME, biological sampling of ecosystem components, food web analysis and trophic level determination have been initiated as a first step in what will be a long-term effort. This pilot activity was also successful in leveraging additional complementary funding for collaborative ecosystem research on a Pacific basin scale over a longer time frame. GEF support for activities related to the operationalisation of an ecosystem-based approach will ensure that ecosystem analysis is given a high priority from the earliest stages of the establishment of the Commission. Through collaboration with IUCN, the ecosystem analysis will be broadened to support the first systematic efforts in the region to look at seamount-related aspects of an ecosystem-based approach.
- The implementation of the Convention will mobilise a major increase in resources for conservation and management from those who use the fishery resources of the region. Implementation of the Convention will see the establishment of substantial technical, compliance and science programmes under the Commission, also to be financed largely by those who use the region's fishery resources as well as requiring the commitment of resources to expanded compliance and science programmes at national level by those involved in fishing, especially in high seas fishing. In addition to increasing the resources committed for these purposes, this will reduce the burden on Pacific SIDS who have, until now, carried the major burden for research and monitoring of oceanic fisheries with funding from donors that could have been used for other socio-economic purposes.
- The approach of the Project closely matches the GEF approach to IW Projects noted above. It has its origins in the preparation of a SAP that identified transboundary concerns, the associated threats and their root causes. The Project itself is aimed at addressing the root causes identified in the SAP and it will assist Pacific SIDS to utilise the full range of technical, economic, financial, regulatory and institutional measures needed to operationalise sustainable development strategies for oceanic fisheries in the international waters of the Pacific Islands region. It will help them to better understand the transboundary environmental concerns related to oceanic fisheries and to work collaboratively to address them; to build a new regional Commission and strengthen the capacity of existing national institutions to utilise a more comprehensive approach for addressing those transboundary concerns; and to implement at regional and national level measures that address the priority transboundary environmental concerns identified in the SAP.



- The Project will contribute to achievement of IW Strategic Priorities for the period FY04-06 through its support for SAP-based management reforms, its SIDS focus and its LME and fisheries applications.
- GEF support for the Project will be the first tangible response by the global community to the call in Section VII of the WSSD JPOI for actions to:

*“Further implement sustainable fisheries management and improve financial returns from fisheries by supporting and strengthening relevant regional fisheries management organisations, 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”;*

and supports the other relevant parts of the WSSD Plan of Implementation relating to SIDS noted above.

- There is a good basis for expecting that the Project will be effective. The SAP is in place and remains appropriate. The WCPF Convention was concluded and has come into force earlier than expected, assisted by the South Pacific SAP Project advisory and training activities - these have also led to some Pacific SIDS completing ratification of the UN Fish Stocks Agreement and the UN Convention on the Law of the Sea. The WCPF Commission has therefore been established and provides a very clear focus for much of the Project’s proposed activities. The pilot phase of the OFM Component of the South Pacific SAP Project is widely regarded as successful. There is an excellent collaborative relationship between UNDP, FFA and SPC as executing agencies and the participating governments arising out of their collaboration in the South Pacific SAP Project. The team of organisations involved in implementation and execution of the Project will be further strengthened by the participation of IUCN, regional environmental and industry NGOs. There is an excellent Terminal Evaluation Report of the OFM Component of the South Pacific SAP Project, which has been endorsed by the participating Governments. That Report sets out the strengths and weaknesses of the OFM Component and provides a very strong basis for the design and implementation of the new Project. Very substantial attention has been given in the Project Preparation and Development Facility (PDF) phase of the Project to addressing the key weaknesses identified in the OFM Component Terminal Evaluation Report – the lack of stakeholder involvement and the lack of understanding of the approach and processes of the GEF. The emphasis given to broad consultation in the PDF work has paid dividends not only in addressing these two weaknesses, but has been successful generally in refreshing the constituency for a further phase of enhancement of oceanic fisheries management – helped by the coincidence in timing that saw the WCPF Convention enter into force while the PDF National Missions were visiting countries, with the associated widespread media attention adding to awareness of the Convention and GEF involvement.

The baseline and alternative scenarios summarised below illustrate the changes that the Project seeks to bring about and provide the basis for the structure of the Project goals, objectives, outcomes, outputs and activities. The Incremental Cost Analysis set out in Annex A describes how the GEF-funded and co-financed activities will be integrated to pursue the outcomes described in the GEF-supported alternative scenario and contribute to the Project goals and objectives.

## **BASELINE SCENARIO**

In the baseline scenario, Pacific SIDS continue to manage the transboundary oceanic fish stocks in their waters, essentially independently, although within a framework of cooperation between themselves at the regional level, executed through FFA for economic, legal and compliance aspects and through SPC for fisheries data collection and management, biological and ecosystem research and stock assessment. While there is well-developed cooperation between Pacific Island SIDS, there is relatively little cooperation,

particularly in non-scientific areas, with other states in the region including Indonesia, the Philippines and the French and US territories.

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. 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. Pacific SIDS encourage large fishing states to cooperate on a voluntary basis in providing information and controlling vessels operating on the high seas, but response to this approach remains mixed – some states respond well, others decline to cooperate with voluntary measures including data provision on the high seas. High seas fishing remains unregulated and largely unreported. Vessels operating from the high seas make illegal incursions into national waters, undermining national efforts at conservation and management. Lacking detailed comprehensive data especially on catches and effort from the high seas and Indonesia and Philippines, substantial uncertainty in stock assessment results and about the levels of bycatches and incidental mortalities weaken the basis for management action as key stocks are threatened by over-exploitation and harmful impacts on sharks, billfish, turtles, marine mammals and other associated species increase. Lack of a legally-binding mechanism applying to all participants in the fisheries also substantially weakens the scope for effective conservation and management measures. Essential regional science and monitoring programmes remain funded on an ad hoc basis by donors increasingly uneasy about long-term use of development assistance monies for this purpose, instead of the programmes being funded by those who are benefiting from fishing on the stocks. There is no systematic progress in ecosystem analysis.

#### **ALTERNATIVE SCENARIO**

The alternative scenario is based on the implementation of the SAP and the WCPF Convention with GEF support. Pacific SIDS are joined by key fishing states as Parties to the Convention. The WCPF Commission begins to operate based on Rules of Procedure and Financial and Staff Regulations, which are able to be adopted fairly quickly following the work of the Preparatory Conference. A Secretariat is appointed, headquarter facilities are established and there is a financing plan to maintain the financial sustainability of the Secretariat.

Within three years of the first Commission meeting, key Commission technical programmes are established in science and compliance based on an agreed workplan. These programmes include: arrangements for the establishment of a register of authorised vessels; vessel marking; boarding and inspection on the high seas; provision of catch and effort data and establishment of databases; and regional observer, vessel monitoring and port sampling programs. They lead to an end to unregulated fishing on the high seas and improvement in data and reduction in uncertainty associated with assessments of key stocks. Advice on the status of key stocks is being provided to the Commission. The core technical programmes of the Commission are being financed by financial contributions from Commission Members based on the principle that those who benefit from fishing should pay the costs of management.

Within three years of its inception, the Commission has identified key management issues and is at least considering options to address these management issues. The WTP LME has been described and methodologies for ecosystem monitoring (including by-catch and discards monitoring) devised. Agreements have been reached as to how ecosystem issues will be considered in management of the fishery. Limits to fishing are increasingly being applied in national waters and are at least under consideration for the high seas.

IUU fishing is at low levels and does not threaten conservation and management efforts.

Arrangements for the Commission include provisions to facilitate effective participation by Pacific SIDS. Pacific SIDS are having to collaborate with large powerful countries with great economic interests at stake in the outcomes of the Commission and are developing the necessary capacities to participate effectively in the Commission.

Member countries of the Commission, including Pacific SIDS, increase the resources committed to management of the oceanic resources of the WTP LME. Nationally, Pacific SIDS undertake legal and policy reforms necessary for ratification of the Convention and implementation of measures applied by the Commission; and realignment and strengthening of the institutions and programmes responsible for oceanic fisheries management, especially in the areas of statistics, observers, port sampling, inspection and vessel monitoring. Pacific SIDS are able to finance the increase in resources required from greater returns from oceanic fish stocks which have been made more valuable by the enhanced conservation and management regime.

With the alternative scenario structured in this way, the GEF-financed activities of the Project are a major and essential, but not dominant, component of the overall pattern of activities being undertaken to implement the WCPF Convention and the SAP. Pacific SIDS are committing substantial resources from their own sources, including charges on boat owners and from bilateral development assistance, and continue to direct their regional organisations to commit a substantial share of their budgets towards implementation of the WCPF Convention and the SAP. Other donors also support activities directed towards implementation of the WCPF Convention.

Overall, however, the largest contributions to financing the incremental costs of enhancing the conservation and management of the oceanic resources of the WTP LME through the implementation of the WCPF Convention are being made by the governments and owners of the fishing vessels operating in the region, especially developed countries. These include: costs incurred by governments for financial contributions to the Commission; the costs of expanded national science and compliance programmes relating to fishing by their vessels; costs incurred by boatowners to comply with new regulations including direct costs of marking of vessels, installation and operation of vessel tracking devices; collection and provision of more detailed data; support for onboard activities by inspectors, port samplers and observers, including provision of accommodation and food for observers; and the indirect costs from the effects on operations and catches of measures such as closed seasons, closed areas, size limits, live release of bycatches etc.

## **PROJECT GOALS**

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.***

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.***

The Project pursues these goals through:

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

- iii) application in the Pacific Islands Region of the principles of the relevant provisions of the UN Convention on the Law of the Sea, the FAO Code of Conduct for Responsible Fisheries, the UN Fish Stocks Agreement and the WSSD fisheries targets for 2010 and 2015;
- iv) 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;
- v) the achievement of legal, policy and institutional reforms in Pacific SIDS for the implementation of the UN Fish Stocks Agreement and the WCPF Convention;
- vi) improving information and knowledge about the WTP LME, transboundary oceanic fish stocks and the impacts of fishing on these stocks, including the relationship between pelagic fisheries and seamounts;
- vii) the building of additional national capacity in relation to fishery monitoring and science in Pacific SIDS to enable the more effective discharge of responsibilities under the UN Fish Stocks Agreement and the WCPF Convention; operationalisation of an ecosystem-based approach to the conservation and management of the major transboundary resources and related species of the WTP LME; and
- viii) the leveraging of substantially increased resources for conserving and managing transboundary stocks and related species from the governments and fishing industries of states involved in using these resources, especially developed states, but also including Pacific SIDS.

## **PROJECT OBJECTIVES**

The immediate objectives of the Project address the two root causes of the threats to the sustainability of use of the region's oceanic fish resources identified in the SAP. Recalling that the SAP identified the root causes underlying the concerns about, and threats relating to, oceanic fisheries in the International Waters in the region as lack of understanding and weaknesses in governance, the two immediate objectives of the Project are:

The *Information and Knowledge* objective:

*to improve understanding of the transboundary oceanic fish resources and related features of the Western and Central Pacific Warm Pool Large Marine Ecosystem.*

The *Governance* objective:

*to create new regional institutional arrangements and reform, realign and strengthen national arrangements for conservation and management of transboundary oceanic fishery resources.*

## C. PROJECT COMPONENTS, OUTCOMES, OUTPUTS AND ACTIVITIES

### PROJECT COMPONENTS

The Project has two technical components, which are specifically designed to address the two immediate objectives and the two root causes, as follows:

**Component 1. *Scientific Assessment and Monitoring Enhancement***, aimed at the Knowledge and Information Objective; and

**Component 2: *Law, Policy and Institutional Reform, Realignment and Strengthening***, aimed at the Governance Objective;

and a third component,

**Component 3. *Coordination, Participation and Information Services***, designed to support and enhance the outcomes of the two technical components.

These components are described below:

### PROJECT ACTIVITIES

The design of the activities for the Project reflects four important factors:

- integration of national and regional levels of focus: to succeed, the Project has to be effective at both the national and regional levels and so the activities are generally designed to have both a national and a regional focus;
- generation of technical and capacity-building outputs: in the short term, important technical outputs are needed such as proposals and programmes for the Commission, better information and analytical results, amended laws, management plans. However, in many cases the effectiveness and sustainability of these technical gains will be limited by human and institutional capacity constraints, so the Project design consciously seeks to twin technical and capacity building activities in every area;
- application of a regional approach in a way that recognises national needs: the participating countries share common opportunities, problems and constraints to sustainable development. However, they are also very different – their populations range from over 3 million to under 2,000; and the areas of their ocean jurisdiction range from over 3.5 million sq. kilometres to 120,000 sq. kilometres. For example, larger countries generally have more fully developed national capacities and place less priority on direct technical assistance; they give priority to in-country activities which can reach a larger number of people; they value attachments which allow them to send staff to work in a learning environment for a sustained period and they generally have better organised NGOs. Smaller countries place a higher priority on direct technical assistance; they particularly value regional contacts, but are constrained in how much time key players can be out of the country; they generally can't make people available for sustained attachments; they have less capacity to sustain national intersectoral consultative arrangements and the roles of governments are relatively large, with relatively weak NGOs. Irrespective of size, the countries are also at different stages in the development of their oceanic fisheries management capacities. Some have fairly complete and up to date legal frameworks but little or no monitoring capacity; some have undertaken very rigorous institutional restructuring, while others have not begun to address that need. The Project activities are designed to address the common and shared regional needs in a way that reflects national differences in priorities; and

- openness to non-governmental stakeholder participation: in general, all activities are open to public sector and non-governmental participants. The National Consultative Committee will play the key role in determining national priorities for participation and for in-country activities.

## **COMPONENT 1: SCIENTIFIC ASSESSMENT AND MONITORING ENHANCEMENT**

In the South Pacific SAP Project, GEF grant funds supported stock assessment and scientific monitoring work that contributed to laying a platform of knowledge about the status of regional stocks and the impact of fishing which had a profound affect in advancing the conclusion and bringing into force the WCPF Convention. The Project also supported initial phases of ecosystem analysis to characterise the WTP LME.

From 2005, the core stock assessment and scientific monitoring work will begin to be funded by the WCPF Commission. With the Commission now scheduled to fund the core stock assessment and data management and analysis, the emphasis in the stock assessment and data/monitoring activities in this Component will be shifted to building national capacities to enable Pacific SIDS to respond to the requirements of the WCPF Convention.

In the area of ecosystem analysis, Component 1 will advance the operationalisation of an ecosystem-based approach to management to provide the basis for the application, in time, of an ecosystem-based approach to oceanic fisheries management by the Commission and the Pacific SIDS. The ecosystem analysis will include a new focus on seamounts, which will be developed in association with IUCN. Seamounts have been identified as potential critical habitat for pelagic species and their role in the overall WTP LME and their potential for targeted management measures will be investigated. The Sub-Component activities will be closely integrated with the broader science and monitoring programmes of the SPC Oceanic Fisheries Programme, including those activities funded by the Commission and other donors, particularly the EU; and with the other Project components.

**Component 1 Outcome:** 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 impacts of fishing upon them; this information being used by the Commission and Pacific SIDS to adopt and apply 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 Pacific SIDS meeting their national and Commission-related responsibilities in these areas.

### **Sub-Component 1.1. Fishery Monitoring, Coordination and Enhancement**

The assessment of needs conducted by the national missions showed that the most important short-term priority for Pacific SIDS in meeting their obligations as Members of the WCPF Commission is the enhancement of their capacities to monitor oceanic fisheries activities for which they are responsible. Under the Convention, national and regional monitoring responsibilities are multi-faceted - as **coastal states**, Pacific SIDS are responsible for monitoring fishing in their waters, generally through the collection of catch and effort data from logsheets and by onboard observers; as **flag states** they are responsible for monitoring the fishing and catches by their vessels, including port sampling – it is generally more difficult and expensive to monitor the activities of the larger number of smaller vessels which make up the local fleets; and as **port states** they have responsibilities to monitor landing and transshipment in their ports. Data then needs to be provided to the Commission for science and compliance purposes in accordance with standards to be adopted by the Commission. At this point, all Pacific SIDS have monitoring programmes in place which are designed to meet national needs, but no Pacific SIDS has the capacity to provide data in the form, and of the quality, that will be required by the Commission. At the regional level, low quality of some data contributes to levels of uncertainty about stock assessment results that undermine the use of

those results for decision-making – the quality of data from Pacific SIDS fleets is a particular area of weakness despite improvements during the Pacific SAP project.

Sub-Component 1.1 will develop a template for a national monitoring programme that will integrate logsheet, observer, port sampling, landing data, provide data in the form to meet Commission requirements and support the application of that template nationally. The template will be based on a standardised database and associated software, which can be customised to meet different national needs and relate to different national capacities and will include a reporting module for the generation of data and data products to be provided to the Commission. The template will be made available to other Commission Members, particularly developing state members.

National monitoring coordinators will oversee the application of the template at a national level, supported by technical advice and regional and in-country training. This will improve understanding of changes in the fisheries at a national level and will strengthen national fisheries compliance programs, improve the quality, compatibility and availability of data for the scientific and compliance work of the Commission and enable Pacific SIDS to be better informed in adopting national positions in the work of the Commission.

There will be a link with elements of Component 2 to ensure that laws are reformed and compliance capacities are strengthened to enforce mandatory fishery monitoring activities.

The intended outcome of the Fishery Monitoring, Coordination and Enhancement Sub-Component is:

**Outcome 1.1.** Integrated and economically sustainable national monitoring programmes in place including catch and effort, observer, port sampling and landing data; Pacific SIDS providing data to the Commission in the form required; national capacities to process and analyse data for national monitoring needs enhanced; improved information on fishing in national waters and by national fleets being used for national policy making and to inform national positions at the Commission. Enhanced quality and accessibility of fisheries information and data leading to more effective development and improvement of the Commission’s policy and decision-making process.

The intended outputs and indicative activities of the Fishery Monitoring, Coordination and Enhancement Sub-Component are:

**Output 1.1.1.** **A template for national integrated monitoring programmes including logsheet, observer, port sampling and landing data collection and management; and provision of national data to the Commission.**

Activity 1.1.1.1. Develop database and associated software.

Activity 1.1.1.2. Develop reporting module for Commission data.

**Output 1.1.2.** **National monitoring systems based on the regional template for integrated monitoring and customised to meet national needs.**

Activity 1.1.2.1. Support establishment and enhancement of national databases and software.

Activity 1.1.2.2. Support establishment and enhancement of national port sampling and observer programs.

Activity 1.1.2.3. Support the coordination of national monitoring programs.

**Output 1.1.3.** **A regional monitoring coordination capacity to develop regional standards such as data formats and to provide a clearing house for information on fishery monitoring.**

- Activity 1.1.3.1. Develop and make available common data formats.
- Activity 1.1.3.2. Hold Regional Workshops on regional and national fishery monitoring.
- Activity 1.1.3.3. Distribute newsletters, webpage and other forms of information exchange.
- Output 1.1.4. Training of national monitoring staff, particularly monitoring coordinators, observers and port samplers.**
- Activity 1.1.4.1. Organise and hold in-country observer and port sampling courses and other training activities.
- Activity 1.1.4.2. Regional training courses in integrated fishery monitoring.
- Activity 1.1.4.3. Attach national monitoring personnel to SPC/OFP.

## **Sub-Component 1.2. Stock Assessment**

The quality of stock assessment on major regional stocks has advanced rapidly in the last five years and there is an improving understanding of the overall impact of fishing on regional stocks. However, the national needs assessments showed a gap between the strength of this work at a regional level and, the level of understanding and use of stock assessment methods and results nationally. That gap in understanding reduces the effectiveness of dialogue at a national level about regional conservation measures and of participation by Pacific SIDS in the WCPF process and reduces the capacity of policy makers to frame appropriate national conservation and management policies and measures. A particular aspect of the gap in understanding relates to the impact of oceanographic change. Sub-component 1.2 will develop and apply an approach to stock assessment, including oceanographic factors, that can be used to assist technical staff, policy makers and other stakeholders to provide a better basis for national management policies, to enrich national dialogue about regional conservation and management measures and to enable Pacific SIDS to participate more effectively in the scientific work of the Commission. The core activity under this sub-component will be the preparation of National Oceanic Fisheries Status Reports for 6 countries annually. These reports will be prepared collaboratively by national scientific counterparts and SPC/OFP scientific staff (one of whom will be funded by the Project). The collaborative nature of report preparation and presentation will generate capacity-building spin-offs at the national level. The reports will be aimed at providing the best scientific information available as a basis for national oceanic fisheries management policies and measures. Under the Sub-Component, assistance will also be given to the Pacific SIDS to ensure a detailed understanding of the scientific issues so that they can be better prepared to develop positions and proposals within the Commission on such issues as data needs, research priorities, resources needed for science, scientific methods, etc.

The intended outcome of the Stock Assessment Sub-Component is:

- Outcome 1.2.** Detailed information available on the status of national tuna fisheries, including the implications of regional stock assessments and the impacts of local fisheries and oceanographic variability on local stocks and fishing performance; strengthened national capacities to use and interpret regional stock assessments, fisheries data and oceanographic information at the national level, to participate in Commission scientific work, and to understand the implications of Commission stock assessments.

The intended outputs and indicative activities of the Stock Assessment Sub-Component are:

- Output 1.2.1. National oceanic fisheries status reports prepared collaboratively with national scientific staff.**
- Activity 1.2.1.1. Prepare 6 National Oceanic Fisheries Status Reports annually.



- Activity 1.2.1.2. Hold In-country Stakeholder Workshops for delivery of National Status Reports.
- Output 1.2.2. Advice to Pacific SIDS on scientific issues in the work of the Commission.**
- Activity 1.2.2.1. Provide contributions to briefs on scientific issues for Pacific SIDS for meetings of the Commission, the Scientific Committee and Science Working Groups.
- Activity 1.2.2.2. Present scientific briefs to preparatory meetings of Pacific SIDS for the Commission.
- Output 1.2.3. Training of national technical and scientific staff to understand regional stock assessment methods and interpret and apply the results and to use oceanographic data.**
- Activity 1.2.3.1. Hold Regional Workshops on stock assessment methods and analysis of oceanographic impacts on fisheries.
- Activity 1.2.3.2. Attach national technical staff to SPC/OFP and other institutions to participate in Commission stock assessment work and preparation of national status reports.
- Activity 1.2.3.3. Train scientific counterparts in-country.

### **Sub-Component 1.3. Ecosystem Analysis**

The Convention requires that the impacts of fishing on non-target and associated or dependent species, and ecosystem impacts in general, be considered when management measures are being developed for highly migratory fish stocks. Specifically, the Convention requires Parties to:

*“assess the impacts of fishing, other human activities and environmental factors on target stocks, non-target species, and species belonging to the same ecosystem or dependent upon or associated with the target stocks”;*

*“adopt measures to minimise waste, discards, catch by lost or abandoned gear, pollution originating from fishing vessels, catch of non-target species, both fish and non-fish species, (hereinafter referred to as non-target species) and impacts on associated or dependent species, in particular endangered species and promote the development and use of selective, environmentally safe and cost-effective fishing gear and techniques”;* and

*“protect biodiversity in the marine environment”.*

It is envisaged that the WCPF Commission will require several types of information and advice in order to consider the ecosystem implications of the fisheries under its jurisdiction, including:

- the effects on the overall pelagic ecosystem of removal of target species, which are generally higher trophic level predators;
- the effects of environmental variation on target stocks, their ecosystem and the fisheries;
- the effects of fisheries on non-target and dependent or associated species, in particular the levels of by-catch of non-target species of special interest, such as billfish, sharks and various protected species of marine mammals and turtles; and
- the effects of fisheries on biodiversity and habitats of special interest.

In time, the Commission requirements for ecosystem analysis will need to be fully incorporated into the research programme of the Commission and be funded by its Members. However, in the start-up period of the Commission, the resources are not expected to be available for the basic investigations needed to begin to operationalise an ecosystem approach to the Commission’s management and conservation and

management functions, and this work will be undertaken with GEF funds under Sub-Component 1, complemented by funding from the EU.

Pilot research and data collection on ecosystem aspects has been undertaken by SPC/OFP, both through the Pacific SAP project and the EU-funded PROCFish project.

The focus of the work to date has been on developing an initial description of the trophic relationships in the WTP LME in order to ultimately assess the impacts of large predator removal (point 1 above), developing preliminary models of the effects of environmental variability (particularly ENSO-driven variability) on tuna fisheries and stocks (point 2 above) and initiating and improving scientific observer coverage of industrial tuna fisheries in order to obtain better estimates of by-catch (point 3 above). These pilot activities have provided important initial information and the Sub-Component will build on this work so that ecosystem considerations can be operationalised for oceanic fisheries management advice at the national and regional levels. IUCN and SPC/OFP will collaborate to undertake specific activities to obtain information on the ecology of, and fishery impacts on, seamounts as a habitat of special concern (point 4 above). The seamount work will involve a review of historical fisheries data to determine historical patterns of fishing in relation to seamounts; an extensive data collection programme by observers and dedicated research cruises to determine the ecological characteristics of seamounts; and tagging of tunas and other pelagic species in the vicinity of seamounts to determine their residence characteristics. IUCN will arrange a research cruise to undertake underwater survey work at selected seamounts to determine benthic biodiversity and the Sub-Component will support the participation of Pacific SIDS technical and scientific personnel in the research cruise. The results of the research cruise/benthic biodiversity surveys will be included in awareness raising activities to complement information about fisheries and seamounts.

This information will allow assessments of the need for, and utility of, seamount-specific management measures. Moreover, it is anticipated that the results of the Project will enable the scientific assessment of specific proposals regarding the management of ecosystem impacts and the efficacy of specific classes of management measures such as marine protected areas (MPAs).

Whereas the work of Sub-Components 1.1 and 1.2 are directed largely at the Pacific SIDS in the first instance, complementing regional-level stock assessment and monitoring work that will be financed by the Commission and other agencies, the outputs of Sub-Component 1.3 will be more broadly directed towards raising the awareness of ecosystem considerations by the Commission and its Members, including Pacific SIDS. Results of ecosystem analysis and proposals for long-term ecosystem monitoring will be provided to the Commission's Scientific Committee through its Ecosystems and Bycatch Working Group. Staff of Pacific SIDS fisheries/environment administrations and NGOs will be involved in the work of the Sub-Component through attachment training, involvement in fieldwork and workshops.

The intended outcome of the Ecosystem Analysis Sub-Component is:

**Outcome 1.3.** Enhanced understanding of the dynamics of the WTP warm pool pelagic ecosystem, with particular focus on trophic relationships; enhanced understanding of the ecology of seamounts, in particular their impacts on aggregation and movement of pelagic species and the fisheries impacts thereon; provision of ecosystem-based scientific advice to the Commission and to Pacific SIDS; enhanced information on the magnitude of by-catch in WCPO oceanic fisheries.

The intended outputs and indicative activities of the Ecosystem Analysis Sub-Component are:

**Output 1.3.1. Observer sampling and analysis of commercial fishery catches to determine trophic relationships of pelagic species in the WTP LME.**

Activity 1.3.1.1. Collect observer-based sampling data, especially stomach contents and tissue samples.

- Activity 1.3.1.2. Lab-based analysis of samples.
- Output 1.3.2. Collection and analysis of information on seamounts in the WTP warm pool.**
- Activity 1.3.2.1. Hold Seamount Activity Planning and Review Workshops.
- Activity 1.3.2.2. Describe seamounts and analyse historical fishing patterns around seamounts.
- Activity 1.3.2.3. Collect data at sea at selected seamounts, including tagging, trophic sampling and analysis.
- Activity 1.3.2.4. Support national scientist participation in a benthic biodiversity survey.
- Output 1.3.3. Model-based analysis of ecosystem-based management options.**
- Activity 1.3.3.1. Incorporate ecosystem data and information into existing ecosystem models and refinement of those models as necessary.
- Activity 1.3.3.2. Use enhanced models and data to assess ecosystem-based management options.
- Activity 1.3.3.3. Use enhanced models and data to assess management options targeted specifically at seamounts.
- Output 1.3.4. Estimates of levels of by-catch in WCPO oceanic fisheries.**
- Activity 1.3.4.1. Review historical observer data and methodological development.
- Activity 1.3.4.2. Estimate levels of by-catch.
- Output 1.3.5. Results of ecosystem analysis and proposals for long-term ecosystem monitoring and operationalisation of the ecosystem-based approach for use by the Commission's Scientific Committee, especially its Ecosystems and Bycatch Working Group and by Pacific SIDS.**
- Activity 1.3.5.1. Present results of ecosystem analysis to the Commission through the Ecosystem and Bycatch Working Group.
- Activity 1.3.5.2. Present information on national and regional implications of results of ecosystem analysis to Pacific SIDS.
- Activity 1.3.5.3. Attach national technical staff to SPC/OFP and other institutions to participate in ecosystem analysis.

## **COMPONENT 2: LAW, POLICY AND INSTITUTIONAL REFORM, REALIGNMENT AND STRENGTHENING**

In the South Pacific SAP Project, GEF grant funds were primarily used to support participation by Pacific SIDS in the negotiation of the WCPF Convention; in the work of the Preparatory Conference for the WCPF Commission; and in the process of ratification of the Convention following the preparation of a SAP with GEF assistance. With the Convention now in force, the work of the Preparatory Conference nearly complete and the first meeting of the Commission scheduled, Component 2 will have two thrusts:

- At the national level, supporting Pacific SIDS' efforts through government agencies and NGOs to reform, realign, restructure and strengthen their national fisheries laws, policies, institutions and programmes to take up the new opportunities which the WCPF Convention creates and discharge the new responsibilities which the Convention requires; and
- At the regional level, supporting Pacific SIDS, and thus the Commission, in the earliest stages of the Commission's work as its secretariat and technical programmes are established and as it moves towards the adoption of conservation and management measures.

The inputs financed by GEF under this Component will include technical assistance using national, as well as international specialists; and a range of regional and national training activities, particularly national and regional workshops and attachments to regional organisations and to other countries to observe best practice solutions to oceanic fisheries management problems. The activities of the Component will be overseen and supported by the FFA Monitoring, Control and Surveillance Division.

**Component 2 Outcome:** The WCPF Commission established and beginning to function effectively; Pacific Island nations taking a lead 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, including the UN Fish Stocks Agreement, the FAO Code of Conduct and the WSSD fisheries targets for 2010 and 2015.; national capacities in oceanic fisheries law, fisheries management and compliance strengthened.

### **Sub-Component 2.1. Legal Reform**

At the national level, Sub-Component 2.1 will assist Pacific SIDS to undertake legal reforms associated with the implementation of the UN Fish Stocks Agreement and the WCPF Convention and other relevant international legal and policy instruments. The key new provisions, which are specifically required for implementation of the UN Fish Stocks Agreement and the WCPF Convention, include the following:

- tighter controls over national flag vessels generally;
- specific new controls over fishing by national flag vessels in the high seas, including an authorisation process with conditions including vessel marking, satellite monitoring, boarding of observers, cooperation with inspectors of other Parties, data reporting etc.;
- requirements for flag vessels not to fish without authorisation in the waters of other states and to comply with the host states' fishing conditions;
- authorisation of inspectors to board and inspect the vessels of other Parties on the high seas;
- control of national vessels and all vessels generally interpreted as requiring measures to eliminate the use of flag-of-convenience;

- state responsibilities for ports to take action against vessels undermining Commission measures.

More broadly, the Sub-Component will assist Pacific SIDS in wider legal reforms, including:

- putting the key principles of the Code of Conduct, the UN Fish Stocks Agreement and the WCPF Convention into national law, including the precautionary approach, the ecosystem approach, protection of biodiversity and preservation of long term stock sustainability following existing model draft legislation from Papua New Guinea, Tonga and Vanuatu;
- providing a statutory base for processes of stakeholder consultation;
- giving statutory force to Management Plans, using existing models from Papua New Guinea and Cook Islands;
- overhauling decision-making processes, especially for licensing, to increase transparency; and
- creating new institutional arrangements, including consideration of options such as independent self-financing authorities for fisheries management and cost recovery programs.

In-country training will also be provided, with the legal implications of the Convention generally and the implications of the new laws for prosecutors identified as priority subjects.

The Sub-Component will be overseen by the FFA Legal Counsel.

The pattern of priorities for national needs are set out in Table 3 and were identified in the national missions. The priorities for individual national needs as given in Table 3 will form the initial basis of programming in-country activities under the Sub-Component. A detailed review of the issues and status of national laws will be undertaken as the first step under the Sub-Component. This will provide further detail on specific legal needs and capacity issues within each Pacific SIDS.

**Table 3:** National priorities for legal reform.

Country	Regional Legal Workshops and Advice	National Legal Reviews	In-Country Training	Attachments	Other
Cook Islands	X	Act, regulations, licenses	Cabinet workshop; Prosecution workshop		
Fed. States of Micronesia	X			X	
Fiji	X	Act, regulations, licenses; Harmonise with Environment laws			
Kiribati	X	New Act, regulations, review access agreements			
Marshall Islands	X		Prosecution workshop		
Nauru	X	Revise Act	Convention legal workshop		
Niue	X	Revise Act, Regulations, License			National legal advice

		conditions			
Palau	X	Revise Act for UNFSA and Convention; Prosecution workshop	Prosecution workshop	X	National legal advice
Papua New Guinea	X	Review Act in the medium term	Convention legal workshop		Sub-regional workshops, especially on VMS
Samoa	X	Review Act			
Solomon Islands	X	Harmonise Act and plan	For fisheries legal officer		
Tokelau	X	Revise Act and regulations			Village consultations; National legal advice
Tonga	X		Prosecution W/shop	X	
Tuvalu	X	Review Access Agreements		X	National advice on IUU and Access Agreements
Vanuatu	X	Revise Act and regulations	Prosecution workshop; Training for legal staff	X	National legal advice

At the regional level, the Sub-Component will provide legal advice to Pacific SIDS on the legal issues involved in the development of the Commission's programs, especially the compliance programme and its approach towards conservation measures. Key legal issues to be addressed in the early stages of the Commission's work include:

- the position of non-Contracting Parties;
- the process for admission of new Members to the Commission;
- the procedure for dealing with apparent infringements by the vessels of Parties;
- the process for identifying States as undermining the Commission's measures and sanctions to be applied;
- the legal rights and obligations of parties involved in boarding and inspection on the high seas;
- the process for adoption of conservation and management measures by the Commission and review and modification of those measures based on feedback from the fisheries monitoring and stock assessment activities as well as ecosystem analysis data; and
- the general interpretation of the Convention and the Rules of Procedure, particularly the more innovative provisions.

Regional legal workshops and consultations are particularly important to national legal personnel who are often working on their own on international fisheries legal issues within very small legal administrations.

The intended outcome of the Legal Reform Sub-Component is:

**Outcome 2.1.** Major Commission legal arrangements and mechanisms in place, including provisions relating to non-Parties and sanctions for non-compliance; national laws, regulations, license conditions reformed to implement the WCPF Convention and other relevant international legal instruments; enhanced national legal capacity to apply the Convention and national management regimes, including domestic legal processes for dealing with infringements.

The intended outputs and indicative activities of the Legal Reform Sub-Component are:

**Output 2.1.1. A strategy and workplan for activities on regional and national legal issues.**

Activity 2.1.1.1. Carry out legal and technical reviews of legal issues and national legal structures.

Activity 2.1.1.2. Hold a Regional Legal Consultation on Legal Issues, National Legal Structures and the Project strategy for legal work.

**Output 2.1. New draft laws, regulations, agreements and license conditions in line with WCPF Convention prepared and shared with Pacific SIDS.**

Activity 2.1.2.1. Prepare templates of legal provisions to implement the Convention.

Activity 2.1.2.2. Undertake national legal reviews.

Activity 2.1.2.3. Provide draft Bills, regulations, license conditions and access agreements to Pacific SIDS.

**Output 2.1.3. Proposals for the Commission from Pacific SIDS for legal arrangements to implement the Convention.**

Activity 2.1.3.1. Undertake legal studies on Commission and Convention issues including non-Contracting Parties and new members.

Activity 2.1.3.2. Prepare legal briefs for Pacific SIDS for Commission and subsidiary body meetings.

Activity 2.1.3.3. Hold Regional Legal Consultations.

**Output 2.1.4. Training of policy makers and legal personnel in oceanic fisheries management legal issues.**

Activity 2.1.4.1. Hold Regional Legal Workshops.

Activity 2.1.4.2. Hold National Legal Workshops.

Activity 2.1.4.3. Attach legal staff to FFA and other institutions to participate in legal analyses.

## **Sub-Component 2.2. Policy Reform**

This Sub-Component is the central and most challenging element of the Project. It is the main area of support in the Project for Pacific SIDS as they work to establish the new Commission and it seeks to play a major role in effecting deep-seated changes in national policies in the direction of sustainable and responsible fisheries. On the surface, the resources committed to these outcomes are modest, but the Sub-Component is closely integrated with substantial baseline and incremental FFA programmes in economics and fisheries management and by the work of other agencies, particularly FAO. In large, the Sub-Component seeks to work by leveraging powerful ideas centered on sustainability into well-established regional fisheries policy dialogue structures - from national grass roots level consultation through regional FFA meetings, workshops and consultations, to the annual meetings of Pacific Leaders. Its key features are

the provision of high calibre technical advice to Pacific SIDS on national and regional management issues, including analysis of economic factors contributing to over-exploitation and of the principles of allocation of access to resources; the preparation, implementation and review of national plans and strategies for oceanic fisheries management; supported by a range of training and capacity building.

Pacific SIDS will be assisted to develop and put forward proposals for the development of the Commission. This will involve the establishment of the Commission itself and its Secretariat, including its staffing, budget and work programme and in the consideration and adoption of conservation and management measures by the Commission. Annual OFM capacity building workshops will be held prior to the annual Commission meetings to strengthen Pacific SIDS capacities to participate in the Commission and to implement the Convention, with planned support from the New Zealand Agency for International Development.

The Sub-Component will provide analyses of the policy implications of the results of ecosystem analysis under Sub-Component 1.3, including policies for the regulation of pelagic fishing around seamounts. This will support proposals for the adoption of ecosystem-based measures by the Commission at the regional level and by Pacific SIDS in their national waters. Seamount-related policy studies, including legal and compliance aspects will be undertaken by IUCN.

The Sub-Component will support the call by Pacific Islands Leaders at their 2004 Forum meeting for greater Ministerial involvement in regional fisheries governance by co-financing appropriate regional and sub-regional Ministerial meetings. It will also offer a course on the FAO Code of Conduct for Responsible Fisheries, developed in cooperation between Train Sea Coast and the University of the South Pacific.

Table 4 summarises the priorities for national assistance for the implementation of the Convention identified by the national missions, which will provide the basis for determining initial priorities for national assistance in oceanic fisheries management policy reform.

**Table 4:** National priorities for policy reform and institutional reform.

Country	Regional Fisheries Management Consultations / Training	National Policy and Institutional Reviews	National Training	Attachments
Cook Islands	X	Plan and institutional review; Licensing overhaul.		X
Fed. States of Micronesia	X			X
Fiji	X	Plan review and implementation; Institutional Strengthening,		
Kiribati	X	Plan implementation		X
Marshall Islands	X	Plan implementation, Institutional Strengthening,		X
Nauru	X			X
Niue	X	Fisheries Management Review and strengthening; Bycatch Plan; Institutional review and strengthening for Government and Associations	Study tour for Fisheries Association	
Palau	X			X



Papua New Guinea	X	Management Plan Review	Fish Management Workshop	X
Samoa	X	Institutional strengthening		X
Solomon Islands	X	Management Plan review; Institutional Strengthening	Fish Management Workshop	
Tokelau	X	Foreign fishing management		
Tonga	X			
Tuvalu	X	Management Plan review and implementation		
Vanuatu	X	Plan implementation		X

The intended outcome of the Policy Reform Sub-Component is:

**Outcome 2.2.** Commission Secretariat and technical programmes established and conservation and management measures beginning to be adopted; national oceanic fisheries management plans, policies and strategies prepared, implemented and reviewed; adoption of a more integrated and cross-sectoral approach and, improved coordination between government departments (Fisheries, Environment, Development, Economy, etc); enhanced understanding by policy makers and enhanced national capacities in regional and national policy analysis for sustainable and responsible fisheries; enhanced stakeholder understanding of Commission and national policy issues, especially the private sector.

The intended outputs and indicative activities of the Policy Reform Sub-Component are:

**Output 2.2.1. National oceanic fisheries management Plans, policies and strategies.**

Activity 2.2.1.1. Prepare Plans, policy and strategy documents.

Activity 2.2.1.2. Support the implementation of Plans, policies and strategies.

Activity 2.2.1.3. Undertake Plan, policy and strategy reviews.

**Output 2.2.2. Strategies and specific proposals for the overall development of the Commission, including its Secretariat and technical programs, and for Commission conservation and management measures.**

Activity 2.2.2.1. Undertake studies on Commission and Convention conservation and management issues.

Activity 2.2.2.2. Prepare and present reports on regional oceanic fisheries management issues to Pacific SIDS, including analysis of proposals for the Commission and its subsidiary bodies.

Activity 2.2.2.3. Hold Regional Fisheries Management Workshops and Consultations.

**Output 2.2.3. Identification of possible management options for seamounts, including compliance options.**

Activity 2.2.3.1. Undertake technical studies on management of oceanic fisheries around seamounts.

Activity 2.2.3.2. Hold Workshops on seamount-related management options.

Activity 2.2.3.3. Prepare proposals on seamount-related conservation and management measures.

**Output 2.2.4. Training of policy makers, technical personnel and other Pacific SIDS stakeholders to increase understanding of sustainable and responsible fisheries.**

Activity 2.2.4.1. Hold Regional Policy Consultations / Workshops.

Activity 2.2.4.2. Offer a TSC/USP Policy Training Course.

Activity 2.2.4.3. Present National Fisheries Management Seminars and Workshops.

Activity 2.2.4.4. Attach Fisheries Management personnel to FFA and arrange study tours for Pacific SIDS personnel to other Fisheries Commissions.

Activity 2.2.4.5. Support relevant Ministerial meetings.

**Sub-Component 2.3. Institutional Reform**

Sub-Component 2.3 will provide support to countries to reform and realign their fisheries administrations and arrangements for inter-departmental liaison relating to oceanic fisheries and to establish or strengthen consultative processes with stakeholders. Priorities identified by the national missions for this sub-component included institutional restructuring and strengthening reviews, typically responding to new policy directions set out in national management plans. The background description in Section A above described the development of successful models for institutional change, including the kind of self-financing authority adopted in the Federated States of Micronesia, Marshall Islands and Papua New Guinea.

The sub-component will also provide support for the establishment or strengthening of cooperation between national non-governmental stakeholders so that they can participate more effectively in oceanic fisheries management affairs. This is specifically aimed at providing support to the establishment and strengthening of associations of fishers, both industrial and small scale in ways that will enable them to have a more effective voice on issues that affect them, especially those related to the Convention, responding to one of the major concerns raised during the national missions.

The intended outcome of the Institutional Reform Sub-Component is:

**Outcome 2.3.** Public sector fisheries administrations reformed, realigned and strengthened; capacities of national non-governmental organisations to participate in oceanic fisheries management enhanced; consultative processes enhanced to promote a more integrated approach to fisheries management and administration that encourages coordination and participation between diverse government and non-government stakeholders.

The intended outputs and indicative activities of the Institutional Reform Sub-Component are:

**Output 2.3.1. Strategies, plans and proposals for the reform, realignment and strengthening of national oceanic fisheries management administrations.**

Activity 2.3.1.1. Prepare a review of experience and best practices in institutional reform.

Activity 2.3.1.2. Undertake and support implementation of reviews of national oceanic fisheries management institutions.

Activity 2.3.1.3. Present National Institutional Reform Workshops.

**Output 2.3.2. Processes for national consultation between stakeholders in oceanic fisheries management.**

Activity 2.3.2.1. Advise on and support national consultative processes.

- Activity 2.3.2.2. Support strengthening of national environmental non-governmental organisations (ENGOS) and industry non-governmental organisations (INGOs) to empower them to participate in oceanic fisheries management.
- Activity 2.3.2.3. Support national workshops for non-state stakeholders.
- Activity 2.3.2.4. Arrange attachments and study tours for non-state stakeholders to learn from experience elsewhere.

### **Sub-Component 2.4 Compliance Strengthening**

Sub-Component 2.4 is concerned with the monitoring, control, surveillance and enforcement actions necessary to ensure compliance with the national and regional legal frameworks that will be the focus of the legal reform activities in Sub-Component 2.1.

The provisions on compliance in the UN Fish Stocks Agreement, mirrored and extended in the WCPF Convention are, perhaps, the major area of innovation in those instruments. These provisions spring from the difficulties faced by members of international fisheries organisations such as NAFO, where NAFO member states were powerless to take action to ensure that measures adopted by the organisation were being applied by flag states in the high seas. The compliance package in the WCPF Convention establishes detailed regulation over fishing in the high seas, including: authorisation, boarding and inspection; vessel monitoring and control of transshipment; a vessel register, with an operational role for the Commission in these areas; and the establishment of a region-wide observer program. These provisions were among the most contentious in the negotiation of the UN Fish Stocks Agreement and the WCPF Convention and progress in this area has also been slow in the WCPF Preparatory Conference. Broadly, the interests of Pacific SIDS lie in the fullest possible application of the compliance provisions of the WCPF Convention, but there are challenges in achieving this within the Commission given the effects of these provisions and the global precedents that applications in the WCPF Commission will set.

Under the pilot activities of the South Pacific SAP Project, Pacific SIDS developed a draft MCS scheme for the Commission. This Sub-Component will support Pacific SIDS as they work on securing adoption of the measures and programmes in the draft Scheme through the Commission's Technical and Compliance Committee. This will require the formulation and presentation of detailed proposals for the Commission in the areas of high seas fishing authorisation, Commission vessel register, marking of vessels and gear, recording and reporting, VMS, at-sea inspection, port inspection, observers, transshipment controls, reporting and response to infringements, sanctions and deterring non-Contracting Party IUU vessels. For this work, the Sub-Component will provide expert advice and funding for a Monitoring, Control and Surveillance (MCS) Working Group. In addition to providing a forum for developing proposals for the Commission's compliance programmes in the areas listed above, the MCS Working Group will also serve as a forum for strengthening coordination of MCS arrangements between Pacific SIDS and with cooperating partners and for exchange of information on common MCS issues, [including MCS costs and possible new technologies for MCS](#).

Table 5 sets out the national priorities for assistance for implementation of the Convention in compliance. Pacific SIDS maritime surveillance capacities are relatively well developed because of substantial support from other countries, particularly the Australian Pacific Patrol Boat Programme, which provides patrol boats and in-country Maritime Surveillance advisers to most Pacific SIDS in a 30-year program. There is less priority indicated for expert advice than in other sub-components because the capacities of the national police and surveillance services are relatively well developed and are well supported by external sources. However, substantial priority is attached to training. The training needs vary depending on the state of development of the national fleets. Countries such as the Federated States of Micronesia, Fiji, Tonga and Vanuatu whose vessels fish outside their national waters face the major task of realignment of their MCS programmes to exercise the substantial new flag state responsibilities that the Convention imposes,

especially on high seas fishing. Most Pacific SIDS also face the need to strengthen their in-zone MCS capacities in preparation for application of more rigorous conservation measures which apply as a result of the work of the Commission; to combat the threat of IUU vessels shifting their attention from the high seas to national zones as the Commission moves to regulate fishing in the high seas; and as part of a strategy by Pacific SIDS to set a high standard for in-zone MCS performance as a base for the adoption of compatible standards in the high seas. Training will focus on the operation of satellite-based vessel monitoring, boarding and inspection.

**Table 5:** National priorities for compliance strengthening.

Country	Regional MCS Working Group	National Compliance Advice	Training
Cook Islands	X		In-country inspection; VMS; regional training on flag state responsibilities
Fed. States of Micronesia	X		In-country and regional inspection; VMS; regional training on flag state responsibilities
Fiji	X	Compliance and the Convention	
Kiribati	X		In-country inspection; VMS; regional training on flag state responsibilities
Marshall Islands	X		MCS staff training
Nauru	X		In-country inspection; VMS and training of additional staff
Niue	X, and inter-country MCS coordination	Regional and national VMS	Regional and national VMS
Palau	X	Establish national MCS Committee	Regional and in-country inspection; VMS
Papua New Guinea	X, and sub-regional	Compliance and the Convention	National training on Compliance and the Convention
Samoa	X	Establish new Regulation and Enforcement Section	MCS staff training
Solomon Islands	X, and sub-regional	Compliance and the Convention; Restart MCS	
Tokelau	X	Compliance Review	MCS staff training
Tonga	X		Regional and in-country inspection; VMS; Regional training on flag state responsibilities
Tuvalu	X, and sub-regional	Compliance and the Convention	Regional and national training on Compliance and the Convention
Vanuatu	X, and inter-country MCS coordination		Regional and in-country inspection; VMS; Regional training on flag state responsibilities

The intended outcome of the Compliance Strengthening Sub-Component is:

**Outcome 2.4.** Realigned and strengthened national compliance programs; improved regional MCS coordination; strategies for Commission compliance programs; enhanced national compliance capacities (inspection, observation, patrol, VMS, investigation).

The intended outputs and indicative activities of the Compliance Strengthening Sub-Component are:

**Output 2.4.1. Strategies, plans and proposals for realigning and strengthening national oceanic fisheries compliance programs.**

Activity 2.4.1.1. Prepare a review of Convention implications for national compliance.

Activity 2.4.1.2. Undertake and support implementation of reviews of needs to strengthen and realign national compliance programs.

**Output 2.4.2. Arrangements for regional coordination of monitoring, control and surveillance (MCS) activities.**

Activity 2.4.2.1. Support regional consultations on coordination of air and sea patrols.

Activity 2.4.2.2. Provide advice on MCS coordination between Pacific SIDS and other states involved.

Activity 2.4.2.3. Prepare Niue Treaty subsidiary agreements.

**Output 2.4.3. Strategies and proposals for regional compliance measures and programs.**

Activity 2.4.3.1. Undertake technical studies on compliance issues under the Convention.

Activity 2.4.3.2. Hold meetings of a Working Group of Pacific SIDS on MCS issues related to oceanic fisheries.

Activity 2.4.3.3. Prepare and present reports on regional compliance issues to Pacific SIDS, including analysis of proposals for the Commission and its Technical and Compliance Committee.

**Output 2.4.4. Training of national compliance staff, especially in inspection and VMS.**

Activity 2.4.4.1. Present courses on National Inspection, VMS and other national MCS training programs.

Activity 2.4.4.2. Attach national compliance staff to FFA and other Pacific SIDS.

**COMPONENT 3: COORDINATION, PARTICIPATION AND INFORMATION SERVICES**

Component 3 addresses the overall project management and coordination, the provision of information about the Project and the Convention, the capture and transfer of lessons and best practices and participation by stakeholders. Overall project decision-making at the policy level will be the responsibility of the Regional Steering Committee, which will function as the primary policy body for the participating countries in cooperation with UNDP and organisations involved in project execution. Day-to-day project issues and requirements will be managed by the Project Coordination Unit (PCU). National Consultative Committees will coordinate activities and issues related to the Project at the national level, operating through a National Focal Point (NFP). The process is designed to be inclusive, with stakeholder participation promoted nationally and regionally.

The Component will promote non-governmental stakeholder in Project activities through the execution by regional environmental and industry NGOs of a range of co-financed activities, emphasizing participation, awareness raising and information exchange.

**Component 3 Outcome:** 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.



### **Sub-Component 3.1. Information Strategy**

Sub-Component 3.1 will be one of the Project mechanisms for promoting awareness and understanding of the Project and the Convention, focusing on the dissemination of information generated by, and related to, the Project and including a knowledge management element to disseminate information on best practices and lessons learned, which will draw on the experience, capacities and guidelines of IW:LEARN. This Sub-Component will be coordinated with Sub-component 3.3 involving NGOs targeting raising awareness among a broader range of stakeholders.

The intended outcome of the Information Strategy Sub-Component is:

**Outcome 3.1.** Enhancement of awareness about the Project and understanding of its objectives and progress; establishment of a Clearing House for lessons and best practices within the Pacific SIDS, as well as through linkages to other global fisheries and their issues; capture of up-to-date information and advice on related ecosystem management and innovative fisheries management approaches; transfer of lessons and replication of best practices through an active mechanism linked to the Commission; active participation with IW:LEARN

The intended outputs and indicative activities of the Information Strategy Sub-Component are:

**Output 3.1.1. Project Information System for capture, storage and dissemination of project data, lessons and best practices and provision of information products using experience and guidelines from IW:LEARN.**

Activity 3.1.1.1. Design logos and other Project identifiers, Project Website/page and Project Document Cataloguing System.

Activity 3.1.1.2. Operate the Website/page.

Activity 3.1.1.3. Project information materials including CDs, papers, videos, pamphlets, newsletters, interviews, press releases etc.

**Output 3.1.2. Knowledge management process identifying innovative, best practice and replicable ideas within the Project and relevant to the Project and active involvement with IW:LEARN.**

Activity 3.1.2.1. Prepare Knowledge Management Strategy.

Activity 3.1.2.2. Generate Knowledge Management Components for Website/page, newsletters, and progress reports.

### **Sub-Component 3.2. Monitoring and Evaluation**

The approach to monitoring and evaluation set out in Section J will be applied in accordance with GEF and UNDP requirements. In addition, the Sub-Component will include a post-evaluation in the third year after the completion of the Project and annual external reviews. The results of monitoring and evaluation of achievement of project objectives and activities will be channelled back through the PCU to the Steering Committee and to UNDP so as to provide a feedback mechanism for fine-tuning, improvement of delivery and response to regional and national needs.

The intended outcome of the Information Strategy Sub-Component is:

**Outcome 3.2.** Effective monitoring and evaluation of progress and performance, including monitoring of process, stress reduction and environmental status indicators; monitoring and



evaluation outputs used in project management and in assessing the effectiveness of Commission measures.

The intended outputs and indicative activities of the Monitoring and Evaluation Sub-Component are:

**Output 3.2.1. Measures of, and reports on, overall project performance and delivery, including independent evaluations of the Project.**

Activity 3.2.1.1. Mid-term evaluation.

Activity 3.2.1.2. Terminal evaluation.

Activity 3.2.1.3. Post evaluation (Year 8).

Activity 3.2.1.4. Annual reviews.

Activity 3.2.1.5. Annual audit.

**Output 3.2.2. Analysis of process, stress-reduction and environmental status indicators as per the GEF International Waters Operational Strategy.**

Activity 3.2.2.1. Carry out baseline studies to measure IW indicators.

Activity 3.2.2.2. Include indicator measures in progress reports.

### **Sub-Component 3.3. Stakeholder Participation and Awareness Raising**

A regional environmental NGO and an industry NGO will be enrolled into Project implementation in order to promote non-governmental stakeholder and public awareness of oceanic fisheries management issues and strengthen NGO participation in oceanic fisheries management as described in Section G.

The intended outcome of the Stakeholder Participation and Awareness Raising Sub-Component is:

**Outcome 3.3.** Non-governmental stakeholder participation in national and regional oceanic fisheries management processes, including the Commission, enhanced; awareness of oceanic fisheries management issues and the WCPF Convention improved. Specific forums developed for NGO participation and discussion process; promotion of awareness of national and regional development and economic priorities and how these relate to sustainable fisheries management.

The intended outputs and indicative activities of the Stakeholder Participation and Awareness Raising Sub-Component are:

**Output 3.3.1. ENGO participation and awareness raising in Convention-related processes.**

Activity 3.3.1.1. Conclude co-financing arrangement with a Pacific ENGO.

Activity 3.3.1.2. Support Pacific ENGO participation in the Commission.

Activity 3.3.1.3. Provide information on the Convention and oceanic fisheries management issues to Pacific ENGOs.

Activity 3.3.1.4. Hold national and regional Workshops for ENGOs.

Activity 3.3.1.5. Produce information materials to raise public awareness on oceanic fisheries management issues.

Activity 3.3.1.6. Organise regional and national fora on the Convention and oceanic fisheries management issues for civil society participation.

**Output 3.3.2. Support industry participation and awareness raising in Convention-related processes.**

- Activity 3.3.2.1. Conclude co-financing arrangement with Pacific INGO.
- Activity 3.3.2.2. Support Pacific INGO participation in the Commission.
- Activity 3.3.2.3. Provide information flow on the Convention and oceanic fisheries management issues to Pacific INGOs and businesses.
- Activity 3.3.2.4. Support Pacific INGO consultations on the Convention and oceanic fisheries management issues.

**Sub-Component 3.4. Project Management and Coordination.**

Implementation, execution and coordination of the Project will be carried out as described in Section F.

The intended outcome of the Project Management and Coordination Sub-Component is:

**Outcome 3.4.** Project effectively managed and coordinated between implementing and executing agencies and other participants in the Project; effective participation in Project management and coordination by stakeholders; reports on Project progress and performance flowing between Project participants and being used to manage the Project.

The intended outputs and indicative activities of the Project Management and Coordination Sub-Component are:

**Output 3.4.1. Project Coordination Unit staffing and office.**

- Activity 3.4.1.1. Appoint the Project Coordinator.
- Activity 3.4.1.2. Appoint other PCU staff.
- Activity 3.4.1.3. Procure equipment and other requirements to establish the PCU.

**Output 3.4.2. Arrangements for coordination between Implementing and Executing Agencies.**

- Activity 3.4.2.1. Preliminary UNDP/FFA/SPC/IUCN Consultations.
- Activity 3.4.2.2. Conclude FFA/SPC and FFA/IUCN Letters of Agreement (LOAs).
- Activity 3.4.2.3. UNDP/FFA Consultations.

**Output 3.4.3. Regional Steering Committee meetings and reports.**

- Activity 3.4.3.1. Hold Inception Workshop.
- Activity 3.4.3.2. Hold Regional Steering Committee meetings.

**Output 3.4.4. National Consultative Committee meetings and reports.**

- Activity 3.4.4.1. Secure National Focal Point nominations.
- Activity 3.4.4.2. Support National Consultative Committee meetings.

**Output 3.4.5. Reports on Project implementation, workplan and finances.**

- Activity 3.4.5.1. Prepare periodic financial and narrative reports.
- Activity 3.4.5.2. : Prepare Annual Workplans
- Activity 3.4.5.3: Prepare Annual Project Reports

## INDICATIVE WORKPLAN AND TIMETABLE

An indicative workplan and timetable is set out in Tables 6a-c.

**Table 6a:** Project workplan and timetable for Component one.

OUTPUTS & ACTIVITIES	YEAR 1				YEAR 2				YEAR 3				YEAR 4				YEAR 5			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<b>Component 1. Scientific Assessment and Monitoring Enhancement</b>																				
<b>Sub-Component 1.1. Fishery Monitoring Coordination and Enhancement</b>																				
<b>Output 1.1.1. A template for national integrated monitoring programmes including logsheet, observer, port sampling and landing data collection and management and provision of national data to the Commission</b>																				
Activity 1.1.1.1. Develop database and associated software	X	X	X	X																
Activity 1.1.1.2. Develop reporting module for Commission data	X	X	X	X																
<b>Output 1.1.2. National monitoring systems based on the regional template for integrated monitoring and customised to meet national needs</b>																				
Activity 1.1.2.1. Support establishment and enhancement of national databases and software	X	X	X	X	X	X	X	X	X	X	X	X								
Activity 1.1.2.2. Support establishment and enhancement of national port sampling and observer programs	X	X	X	X	X	X	X	X												
Activity 1.1.2.3. Support the coordination of national monitoring programs	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 1.1.3. A regional monitoring coordination capacity, to develop regional standards such as data formats and to provide a clearing house for information on fishery monitoring</b>																				
Activity 1.1.3.1. Develop and make available common data formats	X	X	X	X																
Activity 1.1.3.2. Hold Regional Workshops on regional and national fishery monitoring					X												X			
Activity 1.1.3.3. Distribute newsletters, webpage and other forms of information exchange		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 1.1.4. Training of national monitoring staff, particularly monitoring coordinators, observers and port samplers</b>																				
Activity 1.1.4.1. Organise and hold in-country observer and port sampling courses and other training activities	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 1.1.4.2. Regional training courses in integrated fishery monitoring					X												X			
Activity 1.1.4.3. Attach national monitoring personnel to SPC/OPF	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Sub-Component 1.2. Stock Assessment</b>																				
<b>Output 1.2.1. National oceanic fisheries status reports prepared collaboratively with national scientific staff</b>																				
Activity 1.2.1.1. Prepare 6 National Oceanic Fisheries Status Reports annually	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 1.2.1.2. Hold In-country Stakeholder Workshops for delivery of National Status Reports	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 1.2.2. Advice to Pacific SIDS on scientific issues in the work of the Commission</b>																				
Activity 1.2.2.1. Provide reports on scientific issues for Pacific SIDS for meetings of the Commission, the Scientific Committee and Science Working Groups			X	X			X	X			X	X			X	X			X	X
Activity 1.2.2.2. Present scientific briefs to preparatory meetings of Pacific SIDS for the Commission			X	X			X	X			X	X			X	X			X	X
<b>Output 1.2.3. Training of national technical and scientific staff to understand regional stock assessment methods, interpret and apply the results and to use oceanographic data</b>																				

OUTPUTS & ACTIVITIES	YEAR 1				YEAR 2				YEAR 3				YEAR 4				YEAR 5				
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1
<b>Quarterly</b>																					
Activity 1.2.3.1. Hold Regional Workshops on stock assessment methods and analysis of oceanographic impacts on fisheries					X											X					
Activity 1.2.3.2. Attach national technical staff to SPC/OFPP and other institutions to participate in Commission stock assessment work and preparation of national status reports		X	X			X	X			X	X			X	X				X	X	
Activity 1.2.3.3. Train scientific counterparts in -country	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Sub-Component 1.3. Ecosystem Analysis</b>																					
<b>Output 1.3.1. Observer sampling and analysis of commercial fishery catches to determine trophic relationships of pelagic species in the WTP LME</b>																					
Activity 1.3.1.1. Collect observer-based sampling data, especially stomach contents and tissue samples	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Activity 1.3.1.2. Lab-based analysis of samples	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 1.3.2. Collection and analysis of information on seamounts in the WTP LME</b>																					
Activity 1.3.2.1. Hold Seamount Activity Planning and Review Workshops		X													X						
Activity 1.3.2.2. Describe seamounts and analyse historical fishing patterns around seamounts	X	X	X	X																	
Activity 1.3.2.3. Collect data at sea at selected seamounts, including tagging, trophic sampling and analysis,					X	X			X	X											
Activity 1.3.2.4. Support national scientist participation in a benthic biodiversity survey					X	X															
<b>Output 1.3.3. Model-based analysis of ecosystem-based management options</b>																					
Activity 1.3.3.1. Incorporate ecosystem data and information into existing ecosystem models and refinement of those models as necessary					X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 1.3.3.2. Use enhanced models and data to assess ecosystem-based management options									X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 1.3.3.3. Use enhanced models and data to assess management options targeted specifically at seamounts													X	X	X	X	X	X	X	X	X
<b>Output 1.3.4. Estimates of levels of by-catch in WCPO oceanic fisheries</b>																					
Activity 1.3.4.1. Review historical observer data and methodological development	X	X																			
Activity 1.3.4.2. Estimate levels of by-catch			X	X			X	X			X	X			X	X					X
<b>Output 1.3.5. Results of ecosystem analysis and proposals for long-term ecosystem monitoring and operationalisation of the ecosystem-based approach for use by the Commission's Scientific Committee, especially its Ecosystems and Bycatch Working Group and by Pacific SIDS</b>																					
Activity 1.3.5.1. Present results of ecosystem analysis to the Commission through the Ecosystem and Bycatch Working Group			X	X			X	X			X	X			X	X					X
Activity 1.3.5.2. Present information on national and regional implications of results of ecosystem analysis to Pacific SIDS			X	X			X	X			X	X			X	X					X
Activity 1.3.5.3. Attach national technical staff to SPC/OFPP and other institutions to participate in ecosystem analysis					X				X						X						X

**Table 6b:** Project workplan and timetable for Component two.

OUTPUTS & ACTIVITIES	YEAR 1				YEAR 2				YEAR 3				YEAR 4				YEAR 5			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<b>Quarterly</b>																				
<b>Component 2. Law, Policy and Institutional Reform, Realignment and Strengthening</b>																				
<b>Sub-Component 2.1. Legal Reform</b>																				
<b>Output 2.1.1. A strategy and workplan for activities on regional and national legal issues</b>																				
Activity 2.1.1.1. Carry out legal and technical reviews of legal issues and national legal structures	X																			
Activity 2.1.1.2. Hold a Regional Legal Consultation on Legal Issues, National Legal Structures and the Project strategy for legal work			X																	
<b>Output 2.1.2. New draft laws, regulations, agreements and license conditions in line with WCPF Convention prepared and shared with Pacific SIDS</b>																				
Activity 2.1.2.1. Prepare templates of legal provisions to implement the Convention		X	X																	
Activity 2.1.2.2. Undertake national legal reviews		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X				
Activity 2.1.2.3. Provide draft Bills, regulations, license conditions and access agreements to Pacific SIDS		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 2.1.3. Proposals for the Commission from Pacific SIDS for legal arrangements to implement the Convention</b>																				
Activity 2.1.3.1. Undertake legal studies on Commission and Convention issues including non-Contracting Parties and new members		X	X		X	X			X	X			X	X			X	X		
Activity 2.1.3.2. Prepare legal briefs for Pacific SIDS for Commission and subsidiary body meetings			X	X		X	X			X	X			X	X			X	X	
Activity 2.1.3.3. Hold Regional Legal Consultations		X							X								X			
<b>Output 2.1.3. Training of policy makers and legal personnel in oceanic fisheries management legal issues</b>																				
Activity 2.1.4.1. Hold Regional Legal Workshops		X							X									X		
Activity 2.1.4.2. Hold National Legal Workshops		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 2.1.4.3. Attach legal staff to FFA and other institutions to participate in legal analyses		X	X		X	X	X		X	X	X		X	X	X		X	X	X	
<b>Sub-Component 2.2. Policy Reform</b>																				
<b>Output 2.2.1. National oceanic fisheries management Plans, policies and strategies</b>																				
Activity 2.2.1.1. Prepare Plans, policy and strategy documents		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 2.2.1.2. Support the implementation of Plans, policies and strategies		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 2.2.1.3. Undertake Plan, policy and strategy reviews				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 2.2.2. Strategies and specific proposals for the overall development of the Commission, including its Secretariat and technical programmes and for Commission conservation and management measures</b>																				
Activity 2.2.2.1. Undertake studies on Commission and Convention conservation and management issues		X		X	X		X		X		X		X		X		X		X	
Activity 2.2.2.2. Prepare and present reports on regional oceanic fisheries management issues to Pacific SIDS, including analysis of proposals for the Commission and its subsidiary bodies			X	X		X	X			X	X			X	X			X	X	
Activity 2.2.2.3. Hold Regional Fisheries Management Workshops and Consultations			X	X		X	X			X	X			X	X			X	X	
<b>Output 2.2.3. Identification of possible management options for seamounts, including compliance options</b>																				
Activity 2.2.3.1. Undertake technical studies on management of oceanic fisheries around seamounts	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X				

OUTPUTS & ACTIVITIES	YEAR 1				YEAR 2				YEAR 3				YEAR 4				YEAR 5			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<b>Quarterly</b>																				
Activity 2.2.3.2. Hold Workshops on seamount-related management options							X				X								X	
Activity 2.2.3.3. Prepare proposals on seamount-related conservation and management measures											X		X	X	X	X	X	X	X	X
<b>Output 2.2.4. Training of policy makers, technical personnel and other stakeholders to increase understanding of sustainable and responsible fisheries</b>																				
Activity 2.2.4.1. Hold Regional Policy Consultations /Workshops			X	X			X	X			X	X			X	X			X	X
Activity 2.2.4.2. Offer a TSC/USP Policy Training Course							X	X												
Activity 2.2.4.3. Present National Fisheries Management Seminars and Workshops		X		X		X		X		X		X		X		X		X		X
Activity 2.2.4.4. Attach Fisheries Management personnel to FFA and arrange study tours for Pacific SIDS personnel to other Fisheries Commissions		X		X		X		X		X		X		X		X		X		X
Activity 2.2.4.5. Support relevant Ministerial meetings		X				X				X				X				X		
<b>Sub-Component 2.3. Institutional Reform</b>																				
<b>Output 2.3.1. Strategies, plans and proposals for the reform, realignment and strengthening of national oceanic fisheries management administrations</b>																				
Activity 2.3.1.1. Prepare a review of experience and best practices in institutional reform		X																		
Activity 2.3.1.2. Undertake and support implementation of reviews of national oceanic fisheries management institutions		X		X		X		X		X		X		X		X		X		X
Activity 2.3.1.3. Present National Institutional Reform Workshops		X		X		X		X		X		X		X		X		X		X
<b>Output 2.3.2. Processes for national consultation between stakeholders in oceanic fisheries management</b>																				
Activity 2.3.2.1. Advise on and support national consultative processes		X		X		X		X		X		X		X		X		X		X
Activity 2.3.2.2. Support strengthening of national ENGOs and INGOs to empower them to participate in oceanic fisheries management		X		X		X		X		X		X		X		X		X		X
Activity 2.3.2.3. Support national workshops for non-state stakeholders		X		X		X		X		X		X		X		X		X		X
Activity 2.3.2.4. Arrange attachments and study tours for non-state stakeholders to learn from experience elsewhere		X		X		X		X		X		X		X		X		X		X
<b>Sub-Component 2.4. Compliance Strengthening</b>																				
<b>Output 2.4.1. Strategies, plans and proposals for realigning and strengthening national oceanic fisheries compliance programs</b>																				
Activity 2.4.1.1. Prepare a review of Convention implications for national compliance		X	X																	
Activity 2.4.1.2. Undertake and support implementation of reviews of needs to strengthen and realign national compliance programmes		X		X		X		X		X		X		X		X		X		X
<b>Output 2.4.2. Arrangements for regional coordination of monitoring, control and surveillance activities</b>																				
Activity 2.4.2.1. Support regional consultations on coordination of air and sea patrols					X			X		X		X		X		X		X		X
Activity 2.4.2.2. Provide advice on MCS coordination between Pacific SIDS and other states involved		X		X		X		X		X		X		X		X		X		X
Activity 2.4.2.3. Prepare Niue Treaty subsidiary agreements		X		X		X		X		X		X		X		X		X		X
<b>Output 2.4.3. Strategies and proposals for regional compliance measures and programs</b>																				
Activity 2.4.3.1. Undertake technical studies on compliance issues under the Convention																				
Activity 2.4.3.2. Hold meetings of a Working Group of Pacific SIDS on MCS issues related to oceanic fisheries					X			X		X		X		X		X		X		X

OUTPUTS & ACTIVITIES	YEAR 1					YEAR 2					YEAR 3					YEAR 4					YEAR 5			
	1	2	3	4		1	2	3	4		1	2	3	4		1	2	3	4		1	2	3	4
<b>Quarterly</b>																								
Activity 2.4.3.3. Prepare and present reports on regional compliance issues to Pacific SIDS, including analysis of proposals for the Commission and its Technical and Compliance Committee			X	X			X	X			X	X			X	X			X	X			X	X
<b>Output 2.4.4. Training of national compliance staff, especially in inspection and VMS</b>																								
Activity 2.4.4.1. Present courses on National Inspection, VMS and other national MCS training programs		X		X		X		X		X		X		X		X		X		X		X		X
Activity 2.4.4.2. Attach national compliance staff to FFA and other Pacific SIDS		X		X		X		X		X		X		X		X		X		X		X		X

**Table 6c:** Project workplan and timetable for Component three.

OUTPUTS & ACTIVITIES	YEAR 1				YEAR 2				YEAR 3				YEAR 4				YEAR 5			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<b>Component 3. Coordination, Participation and Information Services</b>																				
<b>Sub-Component 3.1. Information Strategy</b>																				
<b>Output 3.1.1. Project Information System for capture, storage and dissemination of project data, lessons and best practices and provision of information products</b>																				
Activity 3.1.1.1. Design logos and other Project identifiers, Project Webpage and Project Document Cataloguing System	X	X																		
Activity 3.1.1.2. Webpage Operations		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 3.1.1.3. Project information materials, including CDs, papers, videos, pamphlets, newsletters, interviews, press releases		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 3.1.2. Knowledge management process identifying innovative, best practice and replicable ideas within the Project and relevant to the Project</b>																				
Activity 3.1.2.1. Prepare Knowledge Management Strategy	X	X																		
Activity 3.1.2.2. Generate Knowledge Management Components for Webpage, newsletters, progress reports		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Sub-Component 3.2. Monitoring and Evaluation</b>																				
<b>Output 3.2.1. Measures of, and reports on, overall project performance and delivery, including independent valuations of the Project</b>																				
Activity 3.2.1.1. Mid-term evaluation											X									
Activity 3.2.1.2. Terminal evaluation																			X	
Activity 3.2.1.3. Post evaluation (Year 8)																			X	→
Activity 3.2.1.4. Annual reviews						X				X				X						
Activity 3.2.1.5. Annual audit						X				X				X				X		X
<b>Output 3.2.2. Analysis of process, stress-reduction and environmental status indicators as per the GEF International Waters Operational Strategy</b>																				
Activity 3.2.2.1. Carry out baseline studies to measure IW indicators			X	X																
Activity 3.2.2.2. Include indicator measures in progress reports			X		X	X			X	X			X	X			X	X		X
<b>Sub-Component 3.3. Stakeholder Participation and Awareness Raising</b>																				
<b>Output 3.3.1. ENGO participation and awareness raising in Convention-related processes</b>																				
Activity 3.3.1.1. Conclude co-financing arrangement with Pacific ENGO			X																	
Activity 3.3.1.2. Support Pacific ENGO participation in the Commission				X				X				X				X				X
Activity 3.3.1.3. Provide information on the Convention and oceanic fisheries management issues to Pacific ENGOs				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 3.3.1.4. Hold national and regional Workshops for ENGOs				X				X				X				X				X
Activity 3.3.1.5. Produce information materials to raise public awareness on oceanic fisheries management issues				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 3.3.1.6. Organise regional and national fora on the Convention and oceanic fisheries management issues for civil society participation				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
<b>Output 3.3.2. Support industry participation and awareness raising in Convention-related processes</b>																				



OUTPUTS & ACTIVITIES	YEAR 1				YEAR 2				YEAR 3				YEAR 4				YEAR 5			
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
<b>Quarterly</b>																				
Activity 3.3.2.1. Conclude co-financing arrangement with Pacific INGO			X																	
Activity 3.3.2.2. Support Pacific INGO participation in the Commission				X				X				X				X				X
Activity 3.3.2.3. Provide information flow on the Convention and oceanic fisheries management issues to Pacific INGOs and businesses				X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Activity 3.3.2.4. Support Pacific INGO consultations on the Convention and oceanic fisheries management issues				X				X				X				X				X
<b>Sub-Component 3.4. Project Management and Coordination</b>																				
<b>Output 3.4.1. Project Coordination Unit staffing and office</b>																				
Activity 3.4.1.1. Appoint the Project Coordinator	X																			
Activity 3.4.1.2. Appoint other PCU staff	X	X	X																	
Activity 3.4.1.3. Procure equipment and other requirements to establish the PCU	X	X	X																	
<b>Output 3.4.2. Arrangements for coordination between Implementing and Executing Agencies</b>																				
Activity 3.4.2.1. Preliminary UNDP/FFA/SPC/IUCN Consultations	X	X																		
Activity 3.4.2.2. Conclude FFA/SPC and FFA/IUCN LOAs	X	X																		
Activity 3.4.2.3. UNDP/FFA Consultations				X		X	X		X	X			X	X			X	X		X
<b>Output 3.4.3. Regional Steering Committee Meetings and Reports</b>																				
Activity 3.4.3.1. Hold Inception Workshop	X																			
Activity 3.4.3.2. Hold Regional Steering Committee Meetings			X				X				X				X				X	
<b>Output 3.4.4. National Consultative Committee meetings and reports</b>																				
Activity 3.4.4.1. Secure National Focal Point nominations	X																			
Activity 3.4.4.2. Support National Consultative Committee meetings		X		X		X	X		X	X			X	X			X	X		X
<b>Output 3.4.5. Reports on Project implementation, workplan and finances</b>																				
Activity 3.4.5.1. Prepare periodic financial and narrative reports			X		X	X			X	X			X	X			X	X		X
Activity 3.4.5.2. Prepare annual workplans	X				X				X				X				X			X
Activity 3.4.5.3. Prepare annual project reports					X				X				X				X			X

## D. TARGETED BENEFICIARIES

Targeted beneficiaries of the Project include:

- **The Global Community:** who will benefit from the enhanced stewardship of the oceanic fishery resources and environment of one of the world's major marine ecosystems that will improve knowledge about major oceanic fisheries, contribute to the sustainability of oceanic fisheries and to maintaining oceanic biological diversity, including the abundance of sharks, turtles, marine mammals and other species of special interest affected by oceanic fisheries; and address some of the most important special needs of SIDS in their pursuit of sustainable development. As visitors, their enjoyment of the region will be enhanced by a richer marine environment, especially those who dive and watch, catch and consume fish and they will also benefit from the impact in other regions of precedents set in oceanic fisheries management in the Western and Central Pacific.
- **Pacific Islanders dependent on oceanic fish resources:** who will benefit from the sustained abundance of the resources on which their livelihoods depend, whether through fishing, fish processing and marketing, tourism or other sectors related to fisheries.
- **Pacific Island communities:** who will benefit from the broader economic gains from healthy oceanic resources and a healthy oceanic environment, including improved food security; and by the freeing up for other uses of some of the development assistance funds now committed to oceanic fisheries management.
- **Other users of the oceanic fish resources of the region:** particularly those involved in foreign fishing in the Pacific Islands region or in fishing for oceanic species in other areas of the Western and Central Pacific; and global consumers of oceanic fish products from the Western and Central Pacific.
- **Government sectors:** who will benefit from enhanced capacity and improved coordination in oceanic fisheries management and from increased net revenues.
- **Technical and policy personnel in government agencies:** directly involved in the capacity building activities of the Project.
- **The private sector:** especially those involved in fisheries or related economic areas who will benefit from sustainable fisheries, from direct involvement in the OFM Project and from new opportunities to ensure their interests are articulated through consultative processes and reflected in national and regional decision-making.
- **National, regional and global NGOs concerned with conservation of oceanic fish resources and protection of the marine environment:** who will appreciate the gains made through the Project in improved oceanic fisheries management and who will have improved opportunities for their interests to be represented in national and regional consultative and decision-making processes, including the WCPF Commission, as well as in the Project.
- **Other island communities and other SIDS geographical groups:** who will benefit from lessons learned and the development of transferable best practices.
- **The regional organisations participating in the Project and those whom they serve:** who will benefit from the enhanced capacities in the organisations that will be created by participation in the Project.

## E. RISKS AND SUSTAINABILITY

The proposed project is a relatively low risk initiative for several reasons:

- there is a great deal of momentum and commitment at all levels within Pacific SIDS and strong continuing interest from other states involved to establish an effective WCPF Commission;
- the national and regional agencies involved in the execution of the Project have a good track record of collaboration and delivery, including in the Pacific SAP Project, and work well with UNDP;
- the resources involved have a high commercial value and if appropriate management arrangements, including binding cost-sharing arrangements at a national and regional level can be established, funding should be available to ensure the sustainability of the technical programmes and activities supported under the Project.

There are, however, some important concerns about the sustainability of the activities and impacts of the Project which have required attention in the Project design process and there are some risks which could affect the effectiveness of the Project.

Financial sustainability of the institutional arrangements that the Project will support is a fundamental issue. Will the Pacific SIDS individually and collectively be able to afford to pay their contributions to the Commission and incur the other costs of participation in the Commission? Beyond the direct costs of participation, will Pacific SIDS be able to sustainably finance the enhanced compliance, monitoring and science activities that are necessary? and will other partners be prepared to pay their contributions to the Commission?

As part of the national missions, information was collected to address these issues and is summarised in Table 7 below.

**Table 7:** Annual catch values, costs and earnings.

Annual Catch Values <sup>23</sup>		Annual Costs and Earnings	
Catch in Pacific SIDS Zones	US\$ 840 million	Commission Contributions	US\$ 189,000 <sup>24</sup>
Catches by Pacific SIDS Vessels	US\$ 187 million	National Incremental Costs	US\$ 3.5 million <sup>25</sup>
		Access Fees	US\$ 59 million

In terms of the sustainability of financial contributions to the Commission to be paid by Pacific SIDS, the aggregate level of annual contributions to be paid by Pacific SIDS is estimated at US\$189,000 in the initial years of the Commission's operations, and US\$250,000 annually over the 5 year life of the Project. This depends on the level of the budget and which States become Commission Members and, in particular, would be higher if some major fishing states do not join. Over time, the level of Pacific SIDS' contributions could increase substantially as their fleets take a larger share of the catch attracting a higher share of the Commission's costs. However, for any reasonable expectation of these increases, it seems clear that the level of Pacific SIDS' contributions will be relatively small in relation to the value of catches and, on this basis, seems sustainable;

<sup>23</sup> FFA: Overview of the Western and Central Pacific Ocean Tuna Fishery, Sept 2004.

<sup>24</sup> WCPF Interim Secretariat WP.20: Provisional Budget and Scheme of Contributions for the Commission in its First Years of Operation.

<sup>25</sup> See Table A.2 in Annex A.

More important to the sustainability of Pacific SIDS participation in the Commission than paying their contributions is the cost of participating in Commission work, especially meetings. Against the background that the Atlantic and Eastern Pacific Tuna Commissions typically schedule 10-12 weeks annually of meetings and few, if any, of the Pacific SIDS would have the capacity to participate at this level, the WCPF Commission has been designed by FFA members to operate with a more independent secretariat involving far less meetings, supported by a provision in the rules of the Commission generally limiting meetings to 2 sessions annually. Uniquely for such organisations, travel costs for Pacific SIDS and other developing states will be met from the Commission's core budget. These arrangements remove the risk that Pacific SIDS will not be able to afford to participate in the Commission.

This leaves the question of the sustainability of financial contributions by other states, especially fishing states. While there have been points at which some fishing states have pointed to the difficulty that the Commission would face if the Convention was drawn up or implemented in a way that they would not support, current indications are that most and probably all, of the major fishing states will become Parties. Experience with the other regional tropical oceanic fisheries commissions indicates that while there are problems with non-payment by 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.

In terms of the sustainability of elements of co-financing other than the financial contributions to the Commission:

- the estimate of US\$3.5 million for the annual incremental costs that Pacific SIDS will incur at national level related to implementation of the WCPF Convention is very largely the cost of the additional monitoring and compliance programmes and legal and technical posts that Pacific SIDS will establish to be able to meet their commitments under the Convention and their financial contributions to the Commission. Given the scope for recovering much of this increment from vessel owners, this 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 programs.
- Fishing states are estimated to provide \$32.3 million for the costs of additional requirements for research and compliance programmes over the 5 year life of the Project. The states involved currently finance these costs in different ways, with some recovering the costs from levies on fishing businesses while others fund the costs of these programmes from general government revenue. To the extent that these states are developed countries such as Japan and the United States with a good track record over time of financing such programmes, there is no real risk to the financial sustainability of these programmes. However, a small share of these costs will fall on developing states such as Indonesia and the Philippines which might have more difficulty in sustaining funding for these programmes; and
- the co-financing by FFA and SPC will be financed from a range of sources, including donors,(notably Australia, the EU and New Zealand), Pacific SIDS through their contributions as Members of the organisations; for FFA from levies on fishing vessels and Members for some services; and for SPC from contractual arrangements with the Commission for data and scientific services. Both organisations have a long record of being supported financially by donors and their Members, and with the high priority currently attached to enhancing oceanic fisheries management in the light of the conclusion of the WCPF Convention, the co-financing from the organisations is regarded as secure for the life of the Project. In the longer term, the organisations and donors expect that the responsibility for financing core scientific, data and compliance programmes relating to commercial fisheries will be increasingly shifted to those who benefit from the fishing, and both organisations are already making substantial progress in this direction.

Beyond financial sustainability, the two major potential risks to the achievement of the Project objectives are human resource limits in the Pacific SIDS and the risk of gridlock in the Commission.

Lack of human resources is a core problem in SIDS sustainable development. It is inherent in smallness and accentuated by weaknesses in education and training and loss of skills to migration. Although there is a lack of money to finance future activities, the key constraint is the lack of skilled people in all aspects of oceanic fisheries management to undertake those activities. The Project addresses this constraint, in that GEF funding will not provide hardware, or fund capital items or recurrent budget items, however, it will invest in knowledge, ideas, training and institutional change and it will assist in developing financing processes that will enable more people to work on oceanic fisheries management issues and programs. Still, the greatest constraint to the effectiveness of the Project is likely to be that of the availability of human resources. This constraint is pervasive as it will affect the Project not only in the small number of policy, scientific and technical personnel from government and NGOs that are available to participate in the Project activities, but in difficulties of organizing regional meetings (of the Steering Committee or technical workshops) within an already crowded regional programme and of securing the attention of key participants for in-country activities. The national missions found a developing fatigue among key actors relating to stakeholder participation and consultation activities. In government, technical personnel already have high travel demands and diffuse workloads. Businesses are usually small and there is a limited capacity for private sector people to be away from their businesses and NGO personnel are similarly stretched. The risk from this source is not so much of project failure, but a limit on what can be achieved within a 5-year project term.

With activities spread over 15 countries, the Project represents a fairly low level of intervention. This aspect of project design has been deliberate in order to be consistent with the limits in absorptive capacity of the people and institutions involved and achieving significant and measurable results will take time especially in the area of policy and institutional reform and realignment.

The other major area of risk to the Project achieving its broader objectives is the risk of gridlock in the Commission. Progress to date has been encouraging – the Convention was negotiated in a reasonable period and it has been brought into force and the Commission established relatively quickly. In that process, all participating States and entities have had to make the kinds of accommodation that will continue to be essential if agreements are to be reached on effective conservation and management measures. Therefore, there is a basis for confidence in the achievement of progress as measured by process indicators, however, there will be a great diversity of interests and capacities around the Commission table and there will be substantial challenges for all the participating states in fashioning and implementing measures that will secure gains that can be measured by environmental status indicators. There is an inevitable degree of risk in this endeavour.

## **F. GEF ELIGIBILITY**

All 15 participating Pacific SIDS are eligible for GEF assistance under paragraph 9b of the Instrument for the Restructured GEF.

The proposed project fits exactly with the objectives, approach, scope and strategic thrust of the GEF in the IW 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 the fiscal period 2004-2006, addressing all 2 IW Strategic Priorities and contributing to both Additional IW Internal Targets as follows:

- IW SP1: Catalyze financial resource mobilization for implementation of reforms and stress reduction measures agreed through TDA-SAP or equivalent processes for particular transboundary systems, particularly Target a) - *to double the number of representative transboundary waterbodies for which the GEF has catalyzed financial mobilization for implementation of stress reduction measures and reforms in agreed management programs as a contribution toward the WSSD POI.*
- IW SP2: Expand global coverage of foundational capacity building addressing the two key program gaps and support for targeted learning, particularly to cover the “fisheries programme gap” identified in Target C - *by 2006, almost one-half of the 27 Large Marine Ecosystems (LMEs) located near developing countries will have country-driven, ecosystem-based management programs developed with GEF assistance that contribute to the WSSD POI “sustainable fisheries” target with a view to those programs being under implementation by 2010.*”
- Additional Internal Target (a) - *“By 2006, 90% of all LDCs and 90% of all SIDS will have received assistance from GEF in addressing at least one transboundary water concern consistent with the GEF Operational Programs.”* And
- Additional Internal Target (b) - *“By 2006, GEF will have contributed to and increased by one-third the establishment/strengthened capacity of management institutions for representative transboundary waterbodies to focus on the WSSD POI.”*

## G. STAKEHOLDER PARTICIPATION

The extent of stakeholder and public participation has been a major feature of the design process for this project and this is reflected in the plan for systematic stakeholder involvement in the Project itself. This investment in stakeholder consultation has already borne significant dividends as discussed below and is regarded as having set a new standard in the region for development assistance project design.

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

At the national level, oceanic fisheries is such an important sector that a wide range of government agencies is prominently involved in oceanic fisheries management, though there are weaknesses in interagency coordination in some countries, especially in coordination of monitoring, control and surveillance activities. At the regional level, fisheries issues are prominent at the level of the Pacific Island Leaders' Forum, and the FFA and SPC have well developed stakeholder relationships with Governments, formed and maintained through regular regional fisheries meetings which determine priorities and work plans for the organisations and work closely to coordinate biological, fisheries management and commercial aspects of tuna fisheries management and development.

On the other hand, there have been generally low levels of non-government stakeholder involvement at all levels, as follows:

- at the national level, formal consultative processes providing for participation by non-government stakeholders in oceanic fisheries management have been generally poorly developed. The situation has improved in many countries following the preparation of National Management Plans for oceanic fisheries and although most countries now have consultative arrangements in place, their performance is uneven;
- within the process of preparation and implementation of the WCPF Convention, a recent report prepared for the Pacific SAP Project<sup>26</sup> concluded that NGO participation across all Pacific Island SIDS delegations had been very low in contrast to the extent of NGO participation in fishing state delegations. For example, at the session of the WCPF preparatory Conference in Bali in April 2004, the estimated pattern of participation was as set out in Table 8.

**Table 8:** Estimated pattern of participation as determined at the WCPF preparatory Conference in Bali in April 2004.

	GOVERNMENT	ENVIRONMENTAL NGO	INDUSTRY NGO	TOTAL
Pacific SIDS	54	1	10	65
Other Participating Countries and Organisations	104	4	62	170
<b>Total</b>	<b>158</b>	<b>5</b>	<b>72</b>	<b>235</b>

<sup>26</sup> Thalassa Consulting: Report on Regional NGO Participation in Regional Arrangements for the Management and Conservation of Oceanic Fish Stocks.

The Thalassa report concluded that there was little doubt the relatively low level of INGO participation in Pacific SIDS delegations reduced the appreciation of how issues raised during the negotiations would impact the commercial fishing sector, thereby reducing the ability of Island delegations to take positions on key issues. The report also noted that there was almost a total absence of ENGO representation on SIDS delegations.

- Within the Pacific SAP Project OFM Component, the Terminal Evaluation concluded that:

*“Stakeholder involvement in the OFM Project has been fairly weak in most aspects of the Project”.*

Following the feedback from the Terminal Review, Stakeholder involvement has been given high priority in the Pacific Islands OFM Project. This involvement commenced with the national missions to countries. The six consultants involved in the national missions (in 3 teams of two) included a staff member of WWF and a fisheries business-person. The missions prepared inventories of stakeholders and existing relevant consultative processes for the 15 participating SIDS, which are set out in the national reports in Annex K. The missions identified the range of primary stakeholders (who should be involved in Project decision-making) and secondary stakeholders (who should be involved in exchange of information) as follows:

- **Public Administrations**, particularly agencies responsible for fisheries, environment, education and training, foreign affairs, commerce, finance, police, security, law and justice;
- **Academic and Training Institutions** are often the only independent professional voice in smaller SIDS; and
- **Civil Society**, including in particular private sector interests (national and regional organisations representing fishing industry interests, individual fishers, fish processors and exporters), environmental NGOs and community-based organisations including churches.

The national missions also held Primary Stakeholder Consultations to discuss the design of the Pacific Islands OFM project and Public Forums on the WCPF Convention. A total of 217 participants attended the Primary Stakeholder Consultations and 335 attended the Public Forums. A high level of participation from non-governmental stakeholders was a prominent feature of these meetings, as evidenced in the records of the Consultations and Forums in Annex K.

Following the heightening of interest in the Convention among private sector stakeholders arising from the national missions, the University of the South Pacific held a workshop on implications of the WCPF Convention for the private sector in Fiji in September 2004. This workshop was aimed at providing a forum for the private sector to discuss the optimum means of defining their role and gaining input into oceanic fisheries management in the region, including future Commission meetings. A major output was an agreement to establish a regional industry association, which will considerably enhance private sector participation under the Pacific Islands OFM Project.

A plan for stakeholder and public participation in the Project was drawn up with stakeholders in the Project Design Workshop and the outcome is set out in Annex G. The principles on which the stakeholder and participation plan are based are as follows:

- delivering the Project through UNDP with its country offices and the regional organisations and, in that way, buying into the existing, well-developed framework for national government participation and intergovernmental cooperation and consultation in regional fisheries affairs;
- establishing national consultative committees involving public sector and non-governmental primary stakeholders for national project management and coordination, in most cases associating these committees with national fisheries management advisory committees established as part of the process



of preparation of national oceanic fishery management plans and seeking to give a statutory to the advisory committees;

- investing in the strengthening of national and regional NGO capacities through a range of Project activities in order to make them stronger participants in national and regional discussions about oceanic fisheries management;
- in particular, supporting Pacific environmental and industry NGO participation in the WCPF Commission to enrich participation by Pacific SIDS in the Commission and create processes for clearing information on the Commission to a broader range of stakeholders;
- harnessing the energies and skills of a regional ENGO and the newly formed regional fishing industry association for project purposes by enrolling them in the execution of co-financed Project activities, particularly for awareness raising activities;
- collaborating with IUCN with its strong relationship with the global ENGO community; and
- creating systems for dissemination of information to Pacific governments, civil society and the public about the Project, the Convention and the public.

The barriers to effective participation by the private sector, environmental NGOs and community groups in the WCPF negotiations are documented in the Pacific SAP project report referenced above. Many of these barriers are the same for all groups, although the extent to which each group is impacted may differ. The barriers can also be broadly classified as being either external (e.g. governments refusal to have NGOs on delegation) or internal (e.g. lack of expertise by non-government participants to engage) and both forms of barrier will be addressed.

National inter-agency engagement and cooperation will be achieved by promoting improved information exchange between fisheries administrations and other government sectors. This will include strengthened compliance cooperation by relevant national government agencies through in-country MCS working groups.

Access to information has been a major constraint to stakeholder involvement in multilateral fisheries management. The WCPF Interim Secretariat has maintained a website with relevant papers and notices of meetings posted in advance of meetings. While these have been helpful, there is no interpretive aspect provided, so their usefulness to non-fisheries stakeholders that lack certain technical capacity is limited. The Project will ensure plain English summaries of the issues to be discussed at the Commission or working group meetings, outcomes of previous meetings and other relevant documents available at national and regional levels are made available.

The cost of engagement at the Commission and associated technical meetings has contributed to the very limited past participation by private sector and other non-government stakeholders. In both cases, the Project will promote the use of key selected representatives to attend meetings and then disseminate information to others in a timely and effective manner. This will be achieved through national and regional fishing associations and a multinational ENGO which will act as a two-way clearing house for national ENGOs and community groups whose fisheries expertise and funding is limited.

The capacities of the private sector and most national NGOs and community groups to participate in, and contribute to, technical fisheries management issues are limited. This constrains effective input and will be addressed by the Project, primarily through national workshops and information networks.

A priority will be attached to working with the newly established regional fishing industry association. Project activities in this direction will be coordinated with those of the EU DEVFISH Project, which is due to commence in early 2005. One of the aims of DEVFISH is to:

*“strengthen national consultative processes and national representation of private sector interests involved in oceanic fisheries, including supporting the establishment or strengthening bodies such as associations of fishers or fishing/processing businesses to represent private sector interests”.*

The GEF Project will focus on supporting such bodies in activities related to the WCPF Convention.

## **H. INCREMENTAL COSTS AND PROJECT FINANCING**

The table below presents the summarised results of the Incremental Cost Analysis by Project Component. The global, regional and national benefits, baselines and incremental alternatives are discussed in Annex A: Incremental Cost Analysis. Direct global environmental benefits will be attained through the effective sustainable management of pelagic fisheries, through a better understanding of how those fisheries relate to the overall oceanic ecosystem and through the development of an initial understanding of the requirements for large ecosystem management and conservation within the Project system boundary (effectively the Western Tropical Pacific Warm Pool LME). As one of GEF’s first large-scale regional fisheries management support initiatives, this project will provide a model for development of regional treaties and associated national and regional reforms within the fisheries sector as best practice for other global fisheries areas.

The activity supported by the Project is estimated to leverage approximately US\$79 million from the participating SIDS governments, from other stakeholder governments within the Convention and from various regional bodies as co-financing for the sustainable management and protection of this important global fishery and associated ecosystem, primarily through assistance to support the Convention and the work of the Commission. Much of this co-financing has been leveraged either through the initial OFM activities (as part of the initial GEF Project in the region entitled ‘Implementation of the Strategic Action Programme of the Pacific Islands’) or through the Project Development Facility used to evolve this Project. This co-funding support will help to develop a sustainable set of actions required to make the Convention effective (e.g. monitoring, surveillance, stock assessments, administrative requirements, training, etc).

The GEF contribution to the Project will be **US\$10.9 million**. This contribution will address the two major causal links to ineffective fisheries management and to lack of protection and conservation to the globally-significant LME. These two root causes are inadequacies in understanding and ineffective, or absent, governance. The GEF funding will work to build up the information database and to develop a picture of what is happening within the fisheries and what needs to be done to protect the welfare of the fish stocks and to sustain them as a renewable and harvestable resource. This information will then be used to develop and implement reforms at the national level that will amend and improve policy, legislation and institutional capacity in order that the countries can meet their commitments to the Convention in the long-term management and protection of the fishery. Further efforts will focus on understanding the overall ecosystem and how it relates to the welfare of the pelagic fishery (and *vice versa*).

Of the estimated co-funding of US\$79 million, US\$39.6 million is to be confirmed by Pacific SIDS and the organisations participating in the Project (see Annex D for endorsements). The major component of the \$39.6 million is coming directly from the Pacific SIDS themselves as part of their commitment and effort to the Project objectives and to the Convention requirements, including the financial contributions and other costs that they will pay as Members of the WCPF Commission and the costs of new and expanded oceanic fisheries management programmes. Substantial in-kind and actual co-funding will be provided by the regional organisations, which are already engaged in support of the Pacific SIDS in their efforts to protect their environment, ecosystems and economies. In reality, much of this represents contributions by the member states (primarily the Pacific SIDS, but also other developed country stakeholders) to those

regional organisations. These include FFA and SPC, both of whom will be directly involved in the execution of the major Project components. IUCN will contribute to co-funding for the work related to seamount ecosystem analysis and management.

The major part of the balance of the co-funding is estimated as the Convention-related costs incurred by fishing states, including the cost of financial contributions to the Commission, as well as general contributions to the management of the regional fishery. This reflects the need for those countries, which are benefiting most from the harvesting and exploitation of the resource, to transfer that benefit back into better sustainable management and conservation of the resource. The estimation of Convention-related costs has been reviewed and confirmed as accurate and representative by the relevant regional agencies dealing with fisheries issues, which have been and continue to be directly involved in the development of the Convention and the Commission.

There is also a significant contribution to co-funding of the Project activities from surveillance partners of the Pacific SIDS reflecting the costs of restructuring current air patrol assistance to give greater priority to surveillance of fishing operations in the high seas.

**Table 9: Incremental cost analysis and Project financing by Component**

<b>Component Title</b>	<b>Baseline</b>	<b>Co-Funding</b>	<b>GEF</b>	<b>Increment</b>
1. Scientific Assessment and Monitoring	US\$ 8,977,384	\$23,755,033	US\$ 5,147,250	US\$28,902,283
2. Policy, Legislation and Compliance	US\$ 60,488,145	\$50,991,233	US\$ 3,883,850	US\$54,875,083
3. Information, Coordination and Participation	US\$ 3,964,616	\$4,345,667	US\$ 1,915,120	US\$6,260,787
<b>TOTALS</b>	<b>US\$ 73,430,146</b>	<b>\$79,091,932</b>	<b>US\$ 10,946,220 (1)</b>	<b>US\$90,038,152 (1)</b>

Note: (1) Does not include GEF PDF funding

## **I. IMPLEMENTATION AND EXECUTION**

### **IMPLEMENTING AGENCY**

The Project will be implemented by UNDP, which will provide staff for monitoring and supervision of the Project. UNDP will also provide implementation support services from its Bangkok-based Regional Coordination Unit and from the relevant country offices.

### **EXECUTING AGENCY ARRANGEMENTS**

The Project will be executed by FFA in collaboration with SPC for the pelagic fishery monitoring and stock assessment and pelagic ecosystem analysis and with IUCN for some of the seamount-related aspects. As the Executing Agency, FFA will seek to ensure that the 15 Project countries work at the same time with the region's other GEF projects, as well as other bilateral and multilateral donor agencies in the region to define and address transboundary priority issues within the framework of their existing responsibilities under the WCPF Convention. The Executing Agency will act as a regional platform for exchange of information and the syntheses of experiences and lessons, as well as providing the overall administrative support at the regional level. In order to fulfill these responsibilities, the Executing Agency will establish a

PCU. FFA and SPC will agree on an MOU governing SPC execution of relevant scientific activities in the Project. FFA and IUCN will agree on an MOU governing IUCN execution of relevant seamount-related activities in the Project.

FFA, in consultation with UNDP, will competitively recruit a full-time Project Coordinator and other Senior Project Staff consistent with standard UNDP procedures. The Project Coordinator will facilitate the successful execution of project activities - he/she will be responsible for the coordination of the day-to-day project activities and will assist governments of participating countries to provide, expeditiously, their respective inputs to the Project. The Coordinator will oversee all project staff based at the PCU and will be responsible for timely reporting on staff activities and project delivery.

The Executing Agency working in coordination with the Implementing Agency will plan a project Inception Workshop within 3 months of signature of the Project Document. The purpose of this workshop would be to fine-tune the Project's first year activities and expenditures and to approve the Annual Work Plan in accordance with UNDP requirements. During this workshop, the schedule of subsequent financial disbursements would be approved. Key Project staff and counterpart officials would be introduced to each other and familiarised with UNDP rules and procedures. All project staff would be made aware of their responsibilities and of the Project's monitoring and evaluation requirements. A Steering Committee meeting would be held at the end of the Inception Workshop to approve any changes, amendments or additions to activities, workplan or budget arising from, and recommended by, the workshop. The Steering Committee would also approve its own Terms of Reference, a draft of which would be circulated to the Steering Committee members prior to the Inception Workshop. The PCU would provide all stakeholders with a copy of an Inception Report after approval by the Steering Committee attendees, UNDP and GEF.

## **NATIONAL LEVEL PROJECT MANAGEMENT AND COORDINATION**

At the national level, each participating country will designate a National Focal Point (NFP) for the Project. The Project National Focal Point will effect the establishment of a National Consultative Committee (NCC). Where there is already an appropriate national body that functions at the intersectoral level, this could be mandated to take on the role of the NCC (in order to avoid creating unnecessary bureaucracy). The function of this Committee will be to capture the Project concepts and objectives at the national level, to expedite national activities related to the Project components and outputs and to ensure complementary activities between national strategies and policies and project objectives. The National Focal Point will sit on this NCC and, where appropriate (at the discretion of each country), should act as the country's representative to the overall regional Project Steering Committee. This will firmly establish the National Focal Point as the key focal point for interactions with the Project Coordination Unit. Furthermore, this will help to maintain a focus of action at the national level.

### **NATIONAL CONSULTATIVE COMMITTEE**

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

**Frequency:** The NCC should meet at least once annually and prior to the Regional Steering Committee (so national concerns can be carried forward to regional level in a timely manner).

**Function:** To endorse requests for in-country Project activities, monitor the effectiveness of in-country activities; prepare workplans for in-country Project activities (based on the needs identified in the national missions); discuss project progress and implications at a national level.

To identify national concerns regarding project activities and delivery; ensure integrated coordination of actions and Project concepts within those Government Departments that have responsibility/accountability for fisheries-related and Convention-related issues; provide a voice for national, non-governmental stakeholders; provide government representatives with an opportunity to update and inform each other and non-government participants; ensure transparency of process and multisectoral participation.

Reporting: The National Focal Point should provide the PCU with a summary report of its discussions as they relate to project issues and should highlight specific issues that need to be brought to the attention of the Regional Steering Committee.

## **REGIONAL LEVEL PROJECT MANAGEMENT AND COORDINATION**

Regional coordination and collaboration will be facilitated through a Regional PCU, consisting of appropriate professional and support staff. The PCU will be established and operated out of the Executing Agency's (FFA) headquarters in Honiara, Solomon Islands. National input to regional management and coordination as well as to overall project monitoring will be through the Regional Steering Committee. Regional stakeholder participation will also be facilitated through attendance at this Steering Committee. In order to reduce bureaucracy and limit the added burden to country representatives, the Steering Committee will be held as a contiguous meeting to other regional meetings.

### **PROJECT COORDINATION UNIT**

The PCU will undertake all day-to-day project management through the overall responsibility of the Project Coordinator. As part of its commitment to the Project and in support of the PCU, the Executing Agency will provide appropriate office space to house the PCU staff and equipment. The PCU will act as the Secretariat to the Project and will provide technical advice to all project participants, as well as organizing facilities and administrative requirements for regional workshops and meetings related to the Project. In particular, the PCU will administer disbursements of equipment and finance and undertake recruitment procedures for staff and consultants as appropriate (through the procedures laid down by UN Rules and Regulations and the advice and endorsement of the UNDP as the Implementing Agency). The PCU will be directly accountable to the Implementing Agency and to the Steering Committee of the Project.

### **REGIONAL STEERING COMMITTEE**

Attendance: The Regional Steering Committee should consist of the National Focal Points from each country, Implementing Agency (UNDP), Executing Agency (FFA) and co-executing partners (SPC and IUCN), any co-funding partners contributing actual cash assistance to the Project aims and SPREP, as the key partner organisation for GEF in the region.

Observers, who may be invited to attend by the Steering Committee, may include regional stakeholder representation (including fisheries industry), environmental NGOs (regional and international), other donor agencies, etc. Observer attendance will be agreed by consensus within the Committee membership. The Committee will be jointly chaired by a national representative (on a rotational basis) and by the Implementing Agency representative (UNDP).

Frequency: The Regional Steering Committee should meet annually, and in conjunction with, an existing regional fisheries meeting (e.g. SPC Heads of Fisheries meeting) wherever possible.

Function: To monitor progress in project execution; to coordinate between, and discuss implications of, respective project objectives and activities and the functions and progress of the Commission; to provide strategic and policy guidance and to review and approve annual work plans and budgets; to review and endorse all formal monitoring and evaluation reports and findings; to provide a regional forum for

reviewing and resolving national concerns; to provide a regional forum for stakeholder participation; to provide a platform from which to launch new initiatives related to the Project but requiring separate donor support; to ensure all interested parties are kept informed and have an opportunity to make comment. The Project Steering Committee will also serve as the forum for the Project's Multipartite Review.

A schematic interpretation of the Project Management and Coordination Arrangements is included as Annex F.

## **RELATIONSHIP TO OTHER PROGRAMMES, PROJECTS AND ACTION PLANS**

The major relevant ongoing GEF-funded project in the region is the GEF IW South Pacific SAP Project described above. Coordination with the SAP Project and with any projects or activities that might flow from it will be maintained by the participation on the Regional Steering Committee of SPREP, the Executing Agency for the SAP Project and GEF's key partner in the region. More broadly, SPREP's participation in the Steering Committee will provide a focus for coordination and integration of the Project with other relevant activities in the marine environmental area.

Participants in the Project will be assisted to share experiences and collaborate with participants in other relevant GEF Projects, especially IW projects, though participation in IW:LEARN and in events such as the Biennial IW Conferences.

The Project will be integrated with other regional activities through the CROP MSWG and through FFA and SPC/OFP. Because few donors or technical agencies have the capacity to interact bilaterally with the large number of Pacific SIDS, most relevant donor assistance programmes related to oceanic fisheries management are implemented regionally through FFA or SPC/OFP and Project activities will be well integrated with these programmes. At this level, the major donors are the EU, Australia and New Zealand, with support for some specific programmes from Canada, France and the United States.

At the national level, external assistance for fisheries has generally focused on fisheries development activities aimed at increasing the volume or value of catches through investment in infrastructure, marketing and fisher's skills, rather than at conservation and management. However, the development of the WCPF Convention has focused more attention on fisheries conservation and management and this area is being given greater priority in national development assistance programmes. Australia, New Zealand and the Asian Development Bank have been active in this work. An important result of this work is the strengthening of national consultative arrangements.

FAO is the major global agency active in oceanic fisheries management in the region, most recently in promoting the FAO Code of Conduct and International Plans of Action, especially in the areas of fisheries law and combating IUU fishing. Pacific SIDS attend the biennial meetings of the FAO Committee on Fisheries and various FAO specialist technical gatherings. FAO activities in the region are regularly reported to, or coordinated with, countries through FFA and SPC processes, especially the SPC Heads of Fisheries meetings.

The establishment of the WCPF Commission will create a new mechanism for coordination between projects and programmes in which the Project will be involved. Article 30 of the WCPF Convention addresses the Special Requirements of Developing States. In response, the Commission has established a Special Requirements Fund and agreed that the Special Requirements of Developing States will be a standing item on the Commission agenda. Pacific SIDS have outlined initial proposals to be supported by the Fund, drawing on the results of the PDF-funded national missions and designed to complement the GEF-funded activities of the Pacific Islands OFM Project.

The annual discussion in the Commission on the Special Requirements Fund will provide a new opportunity for focusing on the needs of developing States in relation to the Convention and a forum for Project activities to be reported and coordinated with other relevant activities, plans and programmes.

## **J. PROJECT MONITORING AND EVALUATION**

Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the Project team (the PCU supported by the National Focal Points) and the relevant UNDP Country Office(s) with support from UNDP/GEF. The Logical Framework Matrix given in Annex B provides *performance* and *impact* indicators for project implementation along with their corresponding *means of verification*.

Under activities 3.2.2.1 and 3.2.2.2, the Project will support the development of a fuller and more detailed set of indicators than is possible to include in the Logical Framework applying the structure of GEF IW indicators, based on process, stress reduction and environmental status indicators. These will be designed not only for use within the Project but more broadly for use by stakeholders including the Pacific SIDS and other WCPF Commission members to measure progress over the longer term towards sustainable use of the oceanic fishery resources of the region and protection of biodiversity in the WTP LME.

An outline plan of the structure of these indicators is set out in Annex L. Key features of this plan are:

- **Process indicators:** since the Project is fundamentally concerned with building new institutions and reforming and realigning existing institutions and programmes, the most discernible progress during the life of the Project and more broadly in the early years of the Commission will be in process indicators. The outline plan in Annex L identifies a comprehensive array of process indicators. For the Commission, these include the establishment of the subsidiary bodies of the Commission and its Secretariat, and the adoption of key instruments such as the Rules and Regulations and an agreed work programme – these indicators should be easily identified and measured. At the national level, the process indicators in the Plan focus on the achievement of a range of legal, institutional and programmatic reforms. Some baseline study will be required to define and measure these indicators, but this work will be able to draw on comprehensive measurements of progress in these areas under the IW SAP Project.
- **Stress Reduction Indicators:** the key elements in the measurement of stress reduction indicators will be the adoption of conservation and management measures by the Commission and its Members. Progress in this direction will depend on progress in the establishment of the basic processes of the Commission and national legal, policy and institutional reforms, but the timing attached to stress reduction indicators in the Logical Framework anticipates that the Commission will begin to adopt conservation and management measures in the final years of the Project. It is possible that some specific measures, particularly measures to deter IUU fishing, may be able to be adopted more quickly.
- **Environmental Status Indicators:** within the 5 year life of the Project's technical activities, the Plan anticipates that progress in measuring environmental status indicators will be focused on defining these indicators including work to develop agreed reference points for target stocks, and measures of the status of non-target stocks using outputs from component 1. However, the life of the Project M & E sub-component has been extended to 8 years in order to allow some scope for measuring discernible longer term impacts in environmental status indicators.

## **PROGRESS AND ONGOING EVALUATION REPORTS**

Project objectives, outputs and emerging issues will be regularly reviewed and evaluated annually by the Steering Committee. Reporting (annual and quarterly) will be undertaken by the PCU in accordance with UNDP and GEF rules and regulations. The primary review document required by UNDP is the Annual Project Review (APR), which is designed to obtain the independent views of the main stakeholders of a project on its relevance, performance and the likelihood of its success. GEF also requires each project to undertake a Project Implementation Review (PIR) on an annual basis, which focuses on GEF's project criteria. The APR and the PIR are the principal annual review documents considered by the Steering Committee.

The APR will be prepared by the Project Manager and the PCU after consultation with the relevant Stakeholders and will be submitted to UNDP for approval. Quarterly progress reports will be prepared using the same procedures. The Stakeholder review will focus on the logical framework matrix and the performance indicators and stakeholders will be encouraged to submit any views and concerns to the PCU. The APR will be reviewed and discussed by the Steering Committee. In the past, Such APRs were the subject of review by a formal Tripartite or Multipartite Review Board. The Regional Steering Committee (which effectively carries the same level of representation) will act, effectively, as the Multipartite Review body. UNDP also requires a Project Terminal Report to be submitted to expedite the formal closure of the Project.

The Project will participate in the annual PIR of the GEF. The PIR is mandatory for all GEF projects that have been under implementation for at least a year at the time that the exercise is conducted. Particular emphasis will be given to the GEF IW project indicator requirements (Process Indicators, Stress Reduction Indicators and Environmental Status Indicators), which will serve to inform the monitoring and evaluation process as well as being adopted by the participating countries as tools for long-term monitoring of project objectives. Details regarding the content of each of the above-mentioned reports are contained in the Monitoring and Evaluation information kit available through UNDP/GEF.

The Regional Steering Committee will be the primary policy-making body for the Project. The Project Manager will schedule and report on the Steering Committee Meetings. Meetings can also be organised *ad hoc* at the request of a majority of the participating countries. The Steering Committee will approve the final results of such meetings. One specific function of the Steering Committee will be to review budget allocations for each Project Component and to rationalise these allocations where it can be demonstrated that priorities or other circumstances have changed. Every Steering Committee meeting will be minuted and reported by the PCU.

UNDP, as the Implementing Agency, shall also be responsible for monitoring Project performance to ensure conformity with Project objectives and advising the Executing Agency on implementation issues.

A post-project evaluation will be undertaken in the third year after the completion of the technical activities of the Project. In order to accommodate the budgeting for such post-project evaluation, the Project lifetime will be extended by up to 3 years beyond the expected completion of all other project activities and deliverables.

## **INDEPENDENT EVALUATIONS**

In addition to the ongoing internal monitoring and evaluation process described above, a full package of independent monitoring of the Project will be undertaken through contract using a balanced group of independent experts selected by UNDP in consultation with FFA. The extensive experience of UNDP in monitoring large regional projects will be drawn upon to ensure that the Project activities are carefully documented.



The elements of the independent evaluation package will be:

- a baseline study which will provide initial measures of the GEF indicators outlined in Annex ;
- a mid-point review that will focus on project relevance, performance (effectiveness, efficiency and timeliness), issues requiring decisions and actions and initial lessons learned about project design, implementation and management;
- a final evaluation that will focus on similar issues as the mid-term evaluation but will also look at early signs of potential impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. Recommendations on follow-up activities will also be provided;
- annual evaluations that will be undertaken in the 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> years, designed to enable GEF to assess the value and delivery of the Project and overall progress by countries in meeting their commitments as Parties to the requirements of the Convention; being able to interact effectively with the Commission; and improvements to national capacities to engage in effective and sustainable fisheries resource management, monitoring and compliance; and
- a post-project evaluation that will be undertaken in the third year after the completion of the technical activities of the Project. In order to accommodate the budgeting for such post-project evaluation, the Project lifetime will be extended by up to 3 years beyond the expected completion of all other project activities and deliverables.

The evaluations will also seek to identify best lessons and practices for GEF projects, which are transferable and replicable.

The overall monitoring and evaluation process is summarised in Table 10.

**Table 10:** Indicative monitoring and evaluation workplan.

Type of monitoring and evaluation activity	Responsible Parties	Time frame
Inception Workshop	<ul style="list-style-type: none"> <li>• Project Coordinator</li> <li>• UNDP Country Office</li> <li>• UNDP GEF</li> </ul>	Within first four months of project start up
Inception Report	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• UNDP Country Office</li> </ul>	Immediately following the Inception Workshop
Baseline Studies to define and measure GEF IW Indicators	<ul style="list-style-type: none"> <li>• Project Coordinator</li> <li>• Consultants as needed</li> </ul>	3 <sup>rd</sup> quarter of the Project
Measurement of Means of Verification for Project Purpose Indicators	<ul style="list-style-type: none"> <li>• Project Coordinator will oversee the hiring of specific studies and institutions and delegate responsibilities to relevant team members.</li> </ul>	Start, mid and end of project
Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis)	<ul style="list-style-type: none"> <li>• Oversight by Project GEF Technical Advisor and Project Coordinator</li> <li>• Measurements by regional field officers and local IAs</li> </ul>	Annually prior to APR/PIR and to the definition of annual work plans
APR and PIR	<ul style="list-style-type: none"> <li>• Project Team</li> <li>• UNDP Country Office</li> <li>• UNDP-GEF</li> </ul>	Annually
Steering Committee Meetings	<ul style="list-style-type: none"> <li>• Project Coordinator</li> <li>• UNDP Country Office</li> </ul>	Following Project Inception Workshop and subsequently at least

		once a year
Periodic status reports	<ul style="list-style-type: none"> <li>• Project team</li> </ul>	To be determined by Project team and UNDP Country Officer
Technical reports	<ul style="list-style-type: none"> <li>• Project team</li> <li>• Hired consultants as needed</li> </ul>	To be determined by Project Team and UNDP Country Officer
Annual Evaluations	<ul style="list-style-type: none"> <li>• Project team</li> <li>• External Consultants</li> </ul>	Early in 2 <sup>nd</sup> , 3 <sup>rd</sup> and 4 <sup>th</sup> years
Mid-term External Evaluation	<ul style="list-style-type: none"> <li>• Project team</li> <li>• UNDP Country Office</li> <li>• UNDP-GEF Regional Coordinating Unit</li> <li>• External Consultants (i.e. evaluation team)</li> </ul>	At the mid -point of project implementation
Final External Evaluation	<ul style="list-style-type: none"> <li>• Project team</li> <li>• UNDP Country Office</li> <li>• UNDP-GEF Regional Coordinating Unit</li> <li>• External Consultants (i.e. evaluation team)</li> </ul>	At the end of project implementation
Terminal Report	<ul style="list-style-type: none"> <li>• Project team</li> <li>• UNDP Country Office</li> <li>• External Consultant</li> </ul>	At least one month before the end of the Project

## UNDP ATLAS BUDGET FOR PROJECT

**Award:** tbd

**Award Title:** PIMS 2992 IW: FSP Pacific Islands Ocean Fisheries Management Project

**Project ID:** tbd

**Project Title:** Pacific Islands Ocean Fisheries Management Project

GEF Outcome/Activity	Responsible Party	Source of Funds	ERP/ATLAS Budget Description		Amount (USD)	Amount (USD)	Amount (USD)	Amount (USD)	Amount (USD)	Total (USD)
					Year 1	Year 2	Year 3	Year 4	Year 5	
<b>Outcome 1:</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	FFA, SPC, IUCN	GEF	71200	International Consultants	59,200	79,200	79,200	79,200	59,200	<b>356,000</b>
			71300	Local Consultants	60,000	140,000	140,000	80,000	80,000	<b>500,000</b>
			71400	Service Contract-Company	440,000	490,000	490,000	440,000	350,000	<b>2,210,000</b>
			71600	Travel	69,000	91,000	91,000	75,000	48,000	<b>374,000</b>
			72100	Service Contract-Company	50,000	315,000	315,000	0	0	<b>680,000</b>
			72200	Equipment and Furniture	120,000	80,000	50,000	0	0	<b>250,000</b>
			72400	Expendable Equipment	4,000	6,000	6,000	2,000	2,000	<b>20,000</b>
			72800	Information Technology Equipment	14,000	0	4,000	0	6,000	<b>24,000</b>
			74500	Miscellaneous	28,000	43,000	43,000	37,000	31,000	<b>182,000</b>
			75100	Facilities & Administration	73,270	176,935	87,335	134,540	79,170	<b>551,250</b>
				<b>TOTAL</b>	<b>917,470</b>	<b>1,421,135</b>	<b>1,305,535</b>	<b>847,740</b>	<b>655,370</b>	<b>5,147,250</b>

<b>Outcome 2:</b> The WCPF Commission established and beginning to function effectively; Pacific Island nations taking a lead role in the functioning and management of the Commission and in the related management of the fisheries and the globally-important LME;	FFA	GEF	71200	International Consultants	288,800	332,800	332,800	332,800	288,800	<b>1,576,000</b>
			71400	Service Contract	108,000	108,000	108,000	108,000	108,000	<b>540,000</b>
			71600	Travel	28,000	38,000	38,000	38,000	28,000	<b>170,000</b>
			72200	Equipment &Furn	5,000	5,000	5,000	5,000	5,000	<b>25,000</b>
			72400	Communications & AV	2,000	2,000	2,000	2,000	2,000	<b>10,000</b>
			72800	Information Technology Equipment	5,000					<b>5,000</b>
			73200	Premises Alterations	10,000	10,000	10,000	10,000	10,000	<b>50,000</b>
			74500	Miscellaneous	22,000	103,000	33,000	33,000	22,000	<b>213,000</b>
			75100	Facilities & Administration	294,940	220,540	320,540	215,640	243,190	<b>1,294,850</b>
				<b>TOTAL</b>	<b>763,740</b>	<b>819,340</b>	<b>849,340</b>	<b>744,440</b>	<b>706,990</b>	<b>3,883,850</b>
<b>Outcome 3:</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	FFA and Project Coordination Unit	GEF	71200	International Consultants	13,000	13,000	63,000	13,000	103,000	<b>205,000</b>
			71300	Local Consultants	20,000	20,000	20,000	20,000	20,000	<b>100,000</b>
			71400	Service Contract	228,000	218,000	218,000	218,000	218,000	<b>1,100,000</b>
			71600	Travel	20,000	30,000	30,000	30,000	20,000	<b>130,000</b>
			72200	Equipment &Furn	15,000	3,000	3,000			<b>21,000</b>
			72300	Materials and Goods	4,000	4,000	4,000	4,000	4,000	<b>20,000</b>
			74500	Miscellaneous	7,500	7,500	7,500	7,500	2,500	<b>32,500</b>
			75100	Facilities & Administration	88,150	44,510	80,110	44,300	49,550	<b>306,620</b>
				<b>TOTAL</b>	<b>395,650</b>	<b>340,010</b>	<b>425,610</b>	<b>336,800</b>	<b>417,050</b>	<b>1,915,120</b>
<b>GRAND TOTAL</b>				<b>2,076,860</b>	<b>2,580,485</b>	<b>2,580,485</b>	<b>1,928,980</b>	<b>1,779,410</b>	<b>10,946,220</b>	

## LIST OF SCIENTIFIC NAMES

### Tunas

Skipjack tuna	<i>Katsuwonus pelamis</i>
Yellowfin tuna	<i>Thunnus albacares</i>
Bigeye tuna	<i>Thunnus obesus</i>
Albacore tuna	<i>Thunnus alalunga</i>
Pacific bluefin tuna	<i>Thunnus orientalis</i>
Southern bluefin tuna	<i>Thunnus maccoyii</i>

### Billfish

Black marlin	<i>Makaira indica</i>
Blue marlin	<i>Makaira nigricans</i>
Striped marlin	<i>Tetrapturus audax</i>
Sailfish	<i>Istiophorus platypterus</i>
Swordfish	<i>Xiphius gladius</i>

### Sharks (offshore species)

Blue shark	<i>Prionace glauca</i>
White shark	<i>Carcharodon carcharias</i>
Shortfin mako shark	<i>Isurus oxyrinchus</i>
Silky shark	<i>Carcharhinus falciformis</i>
Thresher shark	<i>Alopias vulpinus</i>
Oceanic whitetip shark	<i>Carcharhinus longimanus</i>
Whale shark	<i>Rhincodon typus</i>

### Other fish

Wahoo	<i>Acanthocybium solandri</i>
Mahi mahi	<i>Coryphaena hippurus</i>
Opah	<i>Lampris regius</i>
Lancetfish	<i>Alepisaurus</i> spp.
Triggerfish	Family Balistidae

### Whales

Sei whale *Balaenoptera borealis*  
False killer whale *Pseudorca crassidens*  
Pilot whales *Glomicephalo macrorhynchus*

Seabirds

Albatross *Thalassarche* spp., *Diomedea* spp., *Phoebastria* spp.  
Petrel Family Hydrobatidae, Procellariidae

Marine turtles

Hawksbill turtle *Eretmochelys imbricata*  
Leatherback turtle *Dermochelys coriacea*  
Loggerhead turtle *Caretta caretta*  
Olive Ridley turtle *Lepidochelys olivacea*  
Green turtle *Chelonia mydas*

## SIGNATURE PAGE

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

**UNDAF Outcome(s)/Indicator(s):**

*(Link to UNDAF outcome. If no UNDAF, leave blank)*

**Expected Outcome(s)/Indicator (s):**

*(linked to the SRF/MYFF goal and service line)*

GOAL 3. Energy and environment for sustainable development

*Service Line 3.5 – Conservation and sustainable use of biodiversity*

**Expected Output(s)/Indicator(s):**

*(linked to the SRF/MYFF goal and service line)*

1. 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; national capacities in oceanic fishery monitoring and assessment strengthened.

2: The WCPF Commission established and beginning to function effectively; Pacific Island nations taking a lead 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.

**Implementing Partner:**

Pacific Islands Forum Fisheries Agency (FFA)

**Other Partners:**

Secretariat of the Pacific Community (SPC)

The World Conservation Union (IUCN)

<b>Programme Period:</b>
<b>Programme Component:</b> OP9
<b>Project Title:</b> Pacific Islands Oceanic Fisheries Management Project.
<b>Project ID:</b> PIMS 2992
<b>Project Duration:</b> 5 Years
<b>Management Arrangement:</b> NEX

<b>Total budget:</b>	<b>US\$90,736,217</b>
<b>Allocated resources:</b>	
<b>GEF:</b>	
Project	US\$10,946,220
PDF-B	US\$ 698,065
<b>Subtotal GEF</b>	<b>US\$11,644,285</b>
<b>Endorsed co-financing</b>	
Governments (in cash & kind)	US\$17,286,580
New Zealand Aid (in cash)	US\$ 400,000
Regional Organisations (FFA & SPC) (in cash & kind)	US\$14,459,777
IUCN (in kind)	US\$ 610,000
NGOs (in cash and kind)	US\$ 400,000
Other WCPF Commission Members	US\$ 6,485,576
<b>Other Estimated co-financing:</b>	
Fishing States (in kind regulation costs)	US\$32,250,000
Surveillance Partners (in kind)	US\$ 7,200,000
<b>Subtotal co-financing</b>	<b>US\$79,091,933</b>

Agreed by:	Signature	Date	Name/Title
<b>FFA:</b>			
<b>UNDP:</b>			