



PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: Full-sized Project

THE GEF TRUST FUND

Submission Date: 21 January 2008

Re-submission Date: 14 February 2008, September 10, 2008, 23 February 2009

PART I: PROJECT IDENTIFICATION

GEFSEC PROJECT ID¹: 3619 PROJECT DURATION: 4 YEARS

GEF AGENCY PROJECT ID: 604958

COUNTRY(IES): Indonesia, Papua New Guinea, Philippines, Vietnam, Thailand

PROJECT TITLE: Strategies for Fisheries Bycatch Management

GEF AGENCY(IES): FAO

OTHER EXECUTING PARTNER(S): National fisheries authorities, Southeast Asian Fisheries Development Center (SEAFDEC)

GEF FOCAL AREA (S): International Waters

GEF-4 STRATEGIC PROGRAM(S): SP1 Marine Fisheries (Restoring and Sustaining Coastal and Marine Fish Stocks and Associated Biological Diversity)

NAME OF PARENT PROGRAM/UMBRELLA PROJECT: Coral Triangle Initiative (CTI)

INDICATIVE CALENDAR	
Milestones	Expected Dates
Work Program (for FSP)	June 2009
CEO Endorsement/Approval	Sept 2010
GEF Agency Approval	Oct 2010
Implementation Start	Jan 2011
Mid-term Review (if planned)	Nov 2012
Implementation Completion	Dec 2014

A. PROJECT FRAMEWORK (Expand table as necessary)

Project Objective: Aquatic resources and stocks protected, and biodiversity maintained and enhanced in the Coral Triangle/South China Sea (SCS) region through application of strategies and technologies for fisheries bycatch management.								
Project Components ***	Indicate whether Investment, TA, or STA**	Expected Outcomes	Expected Outputs	Indicative GEF Financing*		Indicative Co-financing*		Total (\$)
				(\$)	%	(\$)	%	
1. Policy and decision framework for bycatch management strategies and fishery sector actions	TA	In significant areas of the SCS/Coral Triangle region, bycatch is sustainably managed through government and private fishing sector co-operation	Organizational linkages, agreements between management agencies, sector representatives and NGOs guidelines, best practice examples, improved fisheries legislation	423,585	32.0	900,000	68.0	1,323,585
2. Development and demonstration of bycatch management and reduction technologies in fisheries	TA	An ongoing shared process in developing better applications for bycatch mitigation through responsible fishing	A range of technologies and management approaches developed in REBYC I adapted, tested and demonstrated with support of private sector in key regional locations/fisheries. Best practice	800,205	30.2	1,850,000	69.8	2,650,205

¹ Project ID number will be assigned initially by GEFSEC.

			guidelines prepared					
3. Monitoring and evaluation framework for bycatch management	STA	Effective strategic performance, biodiversity and livelihood impact indicators defined and applied; a reliable and cost-effective approach available in the region to guide longer-term policy and practice	Assessments in diverse regional contexts to set out and negotiate appropriate indicators and performance measures	376,520	38.6	600,000	61.4	976,520
4. Roll out of bycatch management and reduction methodologies by private sector in selected key fisheries	TA	Wider adoption in trawl fisheries of best practice guidelines and use of BRD technology, niche markets developed for vessels and post harvest companies adopting best practice guidelines	Targeted trial initiatives in national commercial fleets to promote / support best practice guidelines for fishing operations implemented. Best practice guidelines for post harvest companies prepared.	423,585	21.5	1,550,000	78.5	1,973,585
5. Communication, awareness raising and dissemination of lessons learned	TA	Effective capacity in key regional sector organizations to support good bycatch management practices. Promotion and marketing products from BRD trawl fisheries	Information resources, awareness raising, workshops, training, and capacity building linked with project findings, lessons and best practices. Promotion of best practice guidelines	517,715	31.0	1,150,000	69.0	1,667,715
6. Project management				282,390	30.3	650,000	69.7	932,390
Total project costs				2,824,000	29.6	6,700,000	70.4	9,521,330

* List the \$ by project components. The percentage is the share of GEF and Co-financing respectively to the total amount for the component.

** TA = Technical Assistance; STA = Scientific & technical analysis.

*** Cambodia and Malaysia, which have shown interest in joining the project but not yet endorsed it, will be invited to all regional information sharing activities and meetings.

B. INDICATIVE FINANCING PLAN SUMMARY FOR THE PROJECT (\$)

	Project Preparation*	Project	Agency Fee	Total
GEF	150,000	3,000,000	315,000	3,465,000

Co-financing	100,000	6,700,000		6,800,000
Total	250,000	9,700,000	315,000	10,265,000

* Please include the previously approved PDFs and planned request for new PPG, if any. Indicate the amount already approved as footnote here and if the GEF funding is from GEF-3.

C. INDICATIVE CO-FINANCING FOR THE PROJECT (including project preparation amount) BY SOURCE and BY NAME (in parenthesis) if available, (\$)

Sources of Co-financing	Type of Co-financing	Amount
Project Government Contribution	In-kind	700,000
GEF Agency(ies) – (FAO)	In-kind	300,000
Multilateral Agency(ies) – (SEAFDEC)	In-kind	300,000
Others (including private sector)	Cash	4,050,000
Others (including private sector)	In kind	1,450,000
Total co-financing		6,800,000

D. GEF RESOURCES REQUESTED BY FOCAL AREA(S), AGENCY (IES) SHARE AND COUNTRY(IES)*

GEF Agency	Focal Area	Country Name/ Global	(in \$)			
			Project Preparation	Project	Agency Fee	Total
FAO	IW	Regional	150,000	3,000,000	315,000	3,465,000
(select)	(select)					
(select)	(select)					
(select)	(select)					
(select)	(select)					
Total GEF Resources			150,000	3,000,000	315,000	3,465,000

* No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

PART II: PROJECT JUSTIFICATION

A. STATE THE ISSUE, HOW THE PROJECT SEEKS TO ADDRESS IT, AND THE EXPECTED GLOBAL ENVIRONMENTAL BENEFITS TO BE DELIVERED:

The Coral Triangle region of Southeast Asia is one of the world's most biologically diverse, economically productive and potentially vulnerable marine zones, with increasing population and exploitation pressures, growing threats from pollution and major ecosystem change, and particular concern for key habitats and species assemblages. The reality of fishery sector interactions in the region is that with complex and diverse fishing practices, major social and economic dependency, and constrained institutional capacity, strong focus needs to be placed on controlling the areas of major ecosystem impact which have some practical potential for being addressed. In this respect, a particular concern in the region, as in the global context more widely, is that of the untargeted capture of species - bycatch - which is commonly unrecorded, often discarded, though in some fisheries secondary markets exist which are important for income, livelihoods and food security for poorer households and communities. This is therefore a complex issue, requiring resource and biodiversity issues to be tackled alongside human needs, involving a mix of policy, technical and community support measures. A key group of stakeholders for the project will be the private sector in the form of both small and large scale fishing enterprises and the processors, marketers and retailers. Retail organizations and consumers are also having a greater role in the selection of seafood products from sustainable fisheries. As "gatekeepers" to the supply of fish products, this role could be greatly enhanced through development of standards and guidelines. .

Accordingly, this project will engage the private sector (fish harvesters, vessel owners and processors) to develop and adopt best practice guidelines and participate directly in the project through commitment of resources and engagement in Private-Public Partnerships (PPP), where appropriate. It will build on the proven successes of the 2002 – 2008₃

FAO/UNEP/GEF project "Reduction of Bycatch in Tropical Shrimp Trawling" (REBYC) that brought fishing vessel owners and fish harvesters into a dialogue with other commercial and private sector operators and government and which resulted in major contributions by the fishing industry to the development of improved fishing practices. Bycatch management and reduction methodologies developed in REBYC I will be rolled out to the fishing sector and supplemented by additional technologies to create incentives to participate and to monitor fishery performance. The private sector will take a lead role in adopting and scaling up the approaches developed by the project

The involvement of all stakeholders, including private sector would need to be linked with community practices, management regimes, and would vary in relevance and applicability around the Coral Triangle region. Based around a primary target of shrimp trawling, where bycatch issues are amongst the most serious, with potentially significant effects on local habitats and ecosystems, this project aims to address these challenges of promoting sustainable fishing, by minimizing the footprint of fishing practices, reducing impact on sensitive species, and providing a rational approach to delivering benefit from landed bycatch. Specific technological practices will be identified and management plans developed in partnership with the private sector at both national and regional levels, including the preparation of "best practice guidelines for fishing operations".

Based on shared national experience, building a strong regional and inter-regional dimension, this multi-country project would also create the basis for extending sound practice to transboundary waters and international fleet operations. REBYC has provided particularly valuable directions for this initiative. The key challenges in this project will be to; (1) translate initial demonstrations of technical potential into practical and workable strategies which can be adopted fishery wide, primarily through co-operation between public agencies and fishing communities, and applied progressively throughout the region, (2) development and broad adoption of best practice bycatch management and fishing operation guidelines, and (3) translation of positive behavioural changes by fishing vessel operators and processors into market opportunities. This programme is set out as a first component of a major global approach which will build on the platform developed by REBYC, and would in turn inform equivalent components in other regions as they are developed.

B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL PRIORITIES/PLANS:

Issues of fisheries management, resource conservation and livelihoods are increasingly entering national policies and actions, with greater practical recognition being given to the Code of Conduct for Responsible Fisheries, and increasing concern to identify practical solutions for the protection of vulnerable habitats and ecosystems as well as being aligned to national poverty reduction strategies, national medium term priority frameworks For those countries impacted by the 2005 tsunami, these issues have taken an even stronger policy position, with much greater urgency in meeting community livelihood needs while ensuring the resource base and its biodiversity quality are sound and will sustain ecosystem support and economic output for future generations. Throughout the region, rising awareness of potential climate change impact has also accentuated this concern. From a regional and global perspective, the project will be consistent with the policy of the UN/FAO, Asia-Pacific Fisheries Commission (APFIC) on issues relating to the management of fishing capacity and eliminating IUU fishing, mainstreaming of co-management and certification and ecolabelling for sustainable fisheries as well as being consistent with the Ecosystem Approach to Fisheries (EAF, FAO 2003) and to meeting the UN Millennium Development Goals.

C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH GEF STRATEGIES AND STRATEGIC PROGRAMS:

The proposal is specifically aligned with the two major objectives of the GEF International Waters Program, and in particular with Strategic Program 1: Restoring and Sustaining Coastal and Marine Fish Stocks and Associated Biological Diversity. It also links with GEF Biodiversity Strategic Objective 2: Mainstreaming Biodiversity in Production Landscapes/ Seascapes and Sectors; Strategic Objective 3: Safeguarding Biodiversity; Strategic Objective 4: Capacity Building on Access and Benefit Sharing, and in broad terms with the GEF Climate Change Strategic Objective 8 on adaptation, where improve fisheries management approaches will potentially strengthen coping strategies.

D. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:

The proposal builds from the 2002-2008 FAO/UNEP/GEF programme on 'Reduction of Bycatch in Tropical Shrimp Trawling' (REBYC), and would be expected to co-ordinate with SEAFDEC, other FAO programs in the region including GCP/RAS/237/SPA "Regional fisheries livelihoods programme for Southeast Asia (Cambodia, Indonesia, Philippines, Sri Lanka, Timor Leste and Vietnam" and to a lesser extent "Sustainable management of the Bay of Bengal Large Marine Ecosystem", with the GEF SCS programme, and with the Coral Triangle initiatives (ADB, USAID, UNDP, and others) which are currently being developed. These linkages, and those with a range of national and other initiatives, will be more expressly defined during project preparation. The project is also expected to link closely in the

region with the intended FAO proposal for EAF (Ecosystem Approach to Fisheries) and with that for sustainable fisheries investment, the projects being mutually interactive and supportive.

E. DISCUSS THE VALUE-ADDED OF GEF INVOLVEMENT IN THE PROJECT DEMONSTRATED THROUGH INCREMENTAL REASONING :

A considerable interest in better fishing practices is evident in the region as elsewhere, and there has been useful progress in improved monitoring, control of IUU fishing and specific protection for some target species. However, effective approaches to gear development and application, to dealing with the totality of fishing impact (target and non-target species), and to policy and community action, linking economic activity with environmental objectives, has been much more limited, and has particular importance for the many millions of people associated with the small-scale fishery sector and their communities. Without effective collaborative approaches to managing the fisheries resources and developing sound management strategies, practices and technologies, the negative impacts of current fishing practices are likely to continue and accelerate. This would result in significant and potentially irreparable damage to aquatic habitats and ecosystems and consequent losses not just to ecosystem support functions, but to food and livelihood security and economic output. By addressing these issues specifically, and widening the approach of practical management strategies, this project will create significant incremental benefit above the 'non-project' option with respect to environmental goods and services, their linkage with sustainable livelihoods, and with the broader well-being of the countries involved. Through broadening the project to include the harvesting and processing sectors, promoting the projects improved bycatch management and eco-friendly fishing methodologies and developing best practice guidelines, the benefits from the project will reach flow through the supply chain to the consumer.

F. INDICATE RISKS, INCLUDING CLIMATE CHANGE RISKS, THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED, AND IF POSSIBLE INCLUDING RISK MEASURES THAT WILL BE TAKEN:

The entire fishery sector, and the aquatic ecosystem which underpins it, is open to risk from a range of technical, environmental, financial, economic, social, and market sources, but the project is intended to accommodate and respond to these as it evolves. Key potential areas are social - conflict associated with resource competition; economic - associated with downturns of alternative livelihood opportunities; market - associated both with demand pressure on sensitive species/assemblages, and with demand loss related to ethical consumer concerns; environmental - associated with pollution and major forcing processes; technical - associated with impacts of new technologies - or linked with financial issues, the ability to invest, and changing competitive patterns. Political risks may include unavailability of support at national level, or unexpected resource conflict between regional partners. Climate change impacts are also likely to have an overarching role. However, by applying a combination of technical, management, policy and livelihood approaches, based on the reality of options for fishing communities, and linked with emerging national policy aims within a strong regional dialogue, the project would aim to incorporate risk impacts within the strategy for change.

G. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:

The project would be intended to build as far as possible around existing investments, institutions and learning processes, seeking to add value and positive impact specifically through promoting stronger awareness, skills in addressing technical and management issues, and demonstrated improvements in outcome. It will link with a range of in-kind inputs from private sector and commercial vessel operators, improving their quality of impact, and is designed to connect with other areas of major policy implementation and development investment. As such, the cost-effectiveness of the project is expected to be high; direct and indirect economic values of resources protected and biodiversity sustained or enhanced would be expected to exceed GEF investment. More specific data would be developed in the next stages and would form part of the ongoing indicator system proposed within the project. The project will also link with a range of in-kind inputs both from the private sector (fishing companies) and public sector (bilateral-agencies/ development partners)

H. JUSTIFY THE COMPARATIVE ADVANTAGE OF GEF AGENCY:

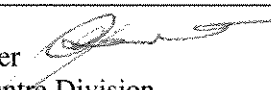
FAO has an acknowledged global mandate with competence and comparative advantage in fisheries. More specifically, in International Waters: this includes the Code of Conduct for Responsible Fisheries; enhancing institutional, planning and management capacity for sustainable fisheries; sustainable and ecosystem-based fisheries management, including in particular technical and normative measures for the reduction of the environmental impact of fisheries. This comparative advantage has been recognized inter alia in FAO's role in the current REBYC programme for shrimp bycatch reduction, and its increasing influence in improving Regional Fishery Management Organizations, and in providing major technical resources to GEF LME programmes.

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

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):
(Please attach the country endorsement letter(s) or regional endorsement letter(s) with this template).

Agus Purnomo Special Assistant to the Minister for International Environmental Issues and Partnership Indonesia	Date: 4 February 2008
Wari Iamo Secretary Department of Environment and Conservation Papua New Guinea	Date: 27 May 2008
Analiza R. Teh Assistant Secretary, Department of Environment and Natural Resources Philippines	Date: 31 January 2008
Nguyen Van Tai Acting Director, ISPONRE Ministry of Natural Resources and Environment Vietnam	Date: 4 September 2008
Saksit Tridech Permanent Secretary Ministry of Natural Resources and Environment Thailand	Date: 27 October 2008

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.	
<p>10/</p> <p>Charles Riemenschneider  Director, Investment Centre Division Technical Cooperation Department FAO Viale delle Terme di Caracalla 00153 Rome, Italy</p> <p>Barbara Cooney FAO GEF Coordinator Tel: +3906 5705 5478 Email: Barbara.Cooney@fao.org</p>	<p>Project Contact Person Janne Fogelgren Project Operations Coordinator FAO/FIIT</p>
Date: 23 February 2009	Tel: +3906 5705 2377 Email: Janne.Fogelgren@fao.org