



**GEF**

**REQUEST FOR CEO ENDORSEMENT/APPROVAL**

**PROJECT TYPE: FULL-SIZED PROJECT  
THE GEF TRUST FUND**

**Submission Date: October 21, 2010**

**Resubmission Date: May 3, 2011**

**PART I: PROJECT INFORMATION**

**GEFSEC PROJECT ID: 3619**

**GEF AGENCY PROJECT ID: 611342**

**COUNTRY(IES):** Indonesia, Papua New Guinea, Philippines, Thailand and Viet Nam

**PROJECT TITLE:** Strategies for trawl fisheries bycatch management (REBYC-II CTI)

**GEF AGENCY(IES):** FAO

**OTHER EXECUTING PARTNER(S):** National fisheries authorities<sup>1</sup>, Southeast Asian Fisheries Development Center (SEAFDEC)

**GEF FOCAL AREA(S):** International Waters (IW)

**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)

Expected Calendar (mm/dd/yy)	
Milestones	Dates
Work Program (for FSPs only)	April 2009
Agency Approval date	May 2011
Implementation Start	July 2011
Mid-term Evaluation (if planned)	July 2013
Project Closing Date	June 2015

**A. PROJECT FRAMEWORK**

<b>Project Objective:</b> Effective public and private sector partnership for improved trawl and bycatch management and practices that support fishery dependent incomes and sustainable livelihoods.								
Project Components	Invest-ment, TA, or STA	Expected Outcomes	Expected Outputs	GEF Financing <sup>1</sup>		Co-Financing <sup>1</sup>		Total (\$) c=a+b
				(\$ a)	%	(\$ b)	%	
1. Policy, legal and institutional frameworks	TA	Agreed regional bycatch policy/strategy – that is in line with the forthcoming International Guidelines on Bycatch Management and Reduction of Discards – is adopted by at least one relevant organization in the project region and national or area specific trawl fisheries bycatch management plans are adopted covering at least a	1.1. The forthcoming International Guidelines on Bycatch Management and Reduction of Discards adopted by all five project countries and regional bycatch priorities agreed by project partners and presented in published policy/strategy document.  1.2. At least 3 national or area specific trawl fisheries bycatch management plans in the project areas agreed by stakeholders and adopted by relevant authorities.  1.3. Legal and regulatory frameworks relevant for trawl fisheries bycatch	451,900	21	1,752,000	79	2,203,900

<sup>1</sup> Directorate General of Capture Fisheries, Ministry of Marine Affairs and Fisheries, Indonesia; National Fisheries Authority, Papua New Guinea; Department of Agriculture, Bureau of Fisheries and Aquatic Resources, Philippines; Ministry of Agriculture and Rural Development (MARD), Directorate of Fisheries, Vietnam; and Royal Thai Government, Department of Fisheries, Thailand

		third of all trawlers in the project countries.	management reviewed and recommendations for adjustments developed with and agreed in principle by the competent national authorities.  1.4. Institutional arrangements (Management Councils) for collaborative trawl fisheries bycatch management established and functioning in accordance with agreed bycatch management plans (output 1.2).					
2. Resource management and fishing operations	TA	Measures to manage bycatch and reduce discards, and thereby improve fisheries resources, are implemented for 25% of trawl fisheries in all project areas.  In the fisheries, covered by improved bycatch management measures, bycatch has been reduced by 20% compared to baseline data to be gathered in year 1.  Incentives for trawl operators to reduce bycatch are defined and implemented in the project areas and best practices communicated within relevant regional frameworks.  Institutional arrangements and processes for public and private sector partnerships are in place and supporting trawl fisheries bycatch management in all project areas	2.1. More selective trawl gear and/or alternative fishing practices used by at least half of the trawlers in the selected project areas.  2.2. Selection criteria and recommendations for demarcating fishing zones and areas for spatial-temporal closures are identified in at least 2 project areas/countries  2.3. Inventory of selected fleets in project areas updated or completed and recommendations for fishing effort and capacity management strategy communicated to competent national authorities.  2.4. SWOT and feasibility analysis of possible incentive packages carried out for all trawl fisheries in project areas.	980,600	19	4,384,500	81	5,365,100
3.	STA	Standardized data	3.1. Data and data collection	501,100	36	902,500	64	1,403,600

Information management and communication		<p>on at least 3 key bycatch (species/sizes) and habitat indicators are available from all project areas and inform trawl fisheries and bycatch management planning and implementation at national and regional levels.</p> <p>The role of bycatch in trawl profitability is understood and measures for how to ensure long-term economic sustainability of trawl fisheries are identified and incorporated into trawl fisheries bycatch management plans in all project countries.</p>	<p>methods for bycatch, discards and seabed impact in project areas available and published in relevant national and regional information systems.</p> <p>3.2. System set up for monitoring of bycatch reduction (volume) as a result of modified gear and improved management and its likely impact on incomes (bycatch value).</p> <p>3.3. Project website set up in Year 1 and developed into a regional information sharing mechanism for information on trawl fisheries bycatch management by end of project.</p> <p>3.4. Project information, education and communication material available.</p>					
4. Awareness and knowledge	TA	Enhanced understanding of responsible fishing by private sector/fishers, fisheries managers and decision-makers are supporting participatory management arrangements in all project countries.	<p>4.1. All fishers and other relevant stakeholders (fisheries managers, local government officials, etc) in project areas have improved their knowledge on bycatch, sustainability issues and collaborative management through training, project information dissemination and/or participation in project activities.</p> <p>4.2. Regional and national policy and decision-makers have been sensitized with regard to responsible trawl fisheries management through project information dissemination and workshops.</p> <p>4.3. Private sector/fisher 'champions', technical officers and extension workers (government and NGOs) have improved their knowledge on BRDs and other management measures through training (250</p>	796,400	50	777,500	50	1,573,900

			persons trained).					
Project Management			270,000	34	577,200	66	847,200	
Total Project Costs			3,000,000		8,393,700		11,393,700	

**B. SOURCES OF CONFIRMED CO-FINANCING FOR THE PROJECT** (expand the table line items as necessary)

Name of Co-financier (source)	Classification	Type	Project	%*
Indonesia	Nat'l Gov't	In-kind	341,000	4
Indonesia	Nat'l Gov't	Grant	286,000	3
Papua New Guinea	Nat'l Gov't	In-kind	226,100	3
Papua New Guinea	Nat'l Gov't	Grant	160,000	2
Philippines	Nat'l Gov't	In-kind	557,000	7
Philippines	Nat'l Gov't	Grant	123,900	1
Thailand	Nat'l Gov't	In-kind	218,000	3
Viet Nam	Nat'l Gov't	In-kind	176,000	2
Viet Nam	Nat'l Gov't	Grant	17,200	0
Private sector, nat. level		In-kind	2,059,100	25
Other at national level		In-kind	262,400	3
SEAFDEC	Intergov. Agency	In-kind	800,000	10
CIM	Bilat. Agency	Cash	255,000	3
WWF	NGO	In-kind	90,000	1
Sida	Bilat. Agency	Cash	2,100,000	25
SFP	NGO	In-kind	75,000	1
IFFO	NGO	In-kind	47,000	1
RFLP	GEF Agency	Cash	300,000	4
FAO	Impl. Agency	In-kind	140,000	2
FAO Program**	Impl. Agency	Cash	160,000	2
<b>Total Co-financing</b>			<b>8,393,700</b>	<b>100%</b>

\* Percentage of each co-financier's contribution at CEO endorsement to total co-financing.

\*\* FAO program for "The International Guidelines for Bycatch Management and Reduction of Discards" C05G10101, funded among other donors (by Norway).

**C. FINANCING PLAN SUMMARY FOR THE PROJECT (\$)**

	Project Preparation a	Project b	Total c = a + b	Agency Fee	For comparison: GEF and Co-financing at PIF
GEF financing	195,000	3,000,000	3,195,000	319,500	3,465,000
Co-financing	221,713	8,393,700	8,615,413		6,800,000
<b>Total</b>	<b>416,713</b>	<b>11,393,700</b>	<b>11,810,413</b>	<b>319,500</b>	<b>10,265,000</b>

**D. GEF RESOURCES REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>**

<sup>1</sup> No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

N/A

**E. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:**

Component	Estimated person months	GEF amount(\$)	Co-financing (\$)	Project total (\$)
Local consultants*	411	489,000	1,300,000	1,789,000
International consultants*	57	354,000	288,000	642,000
<b>Total</b>		<b>843,000</b>	<b>1,588,000</b>	<b>2,431,000</b>

\* Details to be provided in Annex C.

**F. PROJECT MANAGEMENT BUDGET/COST**

<i>Cost Items</i>	<i>Total Estimated person months</i>	<i>GEF amount (\$)</i>	<i>Co-financing (\$)</i>	<i>Project total (\$)</i>
Local consultants*	92	6,000	120,000	126,000
International consultants*	35	194,000	10,000	190,000
Office facilities, equipment, vehicles and communications		51,000	149,067	218,567
Travel		14,000	149,066	163,066
Others (misc.)		5,000	149,067	166,767
<b>Total</b>		<b>270,000</b>	<b>577,200</b>	<b>847,200</b>

\* Details to be provided in Annex C.

**G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT?** yes  no

**H. DESCRIBE THE BUDGETED M & E PLAN:**

M&E of progress in achieving project results and objectives will be done based on the targets and indicators established in the Project Results Framework. Good M&E systems and procedures are fundamental for providing information for management decisions and for fulfilling oversight functions. M&E activities will follow FAO standard procedures and GEF guidelines. The project management M&E system will include indicators and be developed in such a way that it is also useful to the project countries and region after project completion for tracking further progress on bycatch reduction and improved trawl management. Moreover, it will facilitate learning and generation of knowledge that can support further actions in the participating countries and the wider region.

The project M&E plan has been budgeted at USD 133 950 GEF funds (please see table 1 below). Support to the M&E system will also be provided by co-funded inputs (person time).

**Indicators**

Considering that the main focus of the project is the introduction of improved trawl fisheries bycatch management – for the benefit of the environment and those who depend on the marine aquatic resources for their livelihoods – through capacity building and the development and implementation of tools and methods, the project indicators include both process and institutional indicators, and on-the-ground impact indicators.

The process and institutional indicators capture the tools developed (regional bycatch policy/strategy; trawl fisheries bycatch management plans; availability of gear, management measures and incentive packages; data, data collection methods and bycatch reduction monitoring tools; information, education and communication (IEC) material and systems) and levels of created capacities (policy, legal and institutional frameworks supporting improved trawl bycatch management are available; Management Councils are established for implementation of trawl fisheries bycatch management plans; fishers and other stakeholders have increased their understanding of bycatch issues and have capacity to participate in collaborative management; key project implementers / stakeholders have improved their knowledge on bycatch reduction devices (BRDs) and other management measures; national and regional policy and decision-makers are sensitized with regard to responsible fisheries and the role and impact of bycatch).

On-the-ground impact indicators include the actual reduction of bycatch (in volume) on trawlers and in fisheries where BRDs, selective gear and management measures are introduced; and the impact on bycatch reduction on catch values and incomes. Other impact indicators – related to bio-ecological and/or socioeconomic outcomes – may be added according to identified needs and the outcomes of stakeholder consultations in relation to the development of the monitoring framework of each area specific trawl fisheries management plan at the beginning of project implementation.

## Review and evaluation

A **mid-term review** will be undertaken after two years of project implementation. The review will determine progress being made towards achievement of objectives, outcomes, and outputs, and will identify corrective actions if necessary. It will, *inter alia*:

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

An **independent final evaluation** will take place three months prior to the terminal review meeting of the project partners and will focus on the same issues as the mid-term review. In addition, the final evaluation will review project impact, analyze sustainability of results and whether the project has achieved its environmental objectives and benchmarks. The evaluation will furthermore provide recommendations for follow-up actions.

Some critical issues to be assessed and investigated in the mid-term review and subsequently followed up in the terminal evaluation include: (i) the level of agreement on regional bycatch policy/strategy and interest of relevant regional organizations to adopt such a policy/strategy; (ii) the progress with regard to establishing trawl fisheries bycatch management plans and possible barriers/bottlenecks; (iii) the coherence between recommended gear modifications, management measures and incentive packages (identified and developed through field interventions) on the one hand, and the (draft) trawl fisheries bycatch management plans and the regional bycatch policy/strategy on the other; (iv) particular threats and opportunities with regard to the implementation of recommended gear modifications/management measures and incentive packages; (v) the progress on data collection and feasibility of making data collection procedures permanent; (vi) the regional relevance and comparability of identified indicators for monitoring of bycatch reduction (volume) and its impact on incomes (value); (vii) the relevance of existing communication material and channels, and strategies for dissemination of results and best practices; and (viii) capacities available created for stakeholders to effectively participate in management planning and implementation.

The TORs for the mid-term review and final evaluation will be prepared in close consultation between Regional Facilitation Unit (RFU/SEAFDEC), FAO Regional Office for Asia and the Pacific (RAP), FAO Lead Technical Unit (LTU), the FAO Evaluation Office and the GEF Coordination Unit. The TORs will be discussed with the project partners and approved by the PSC, and fall under the ultimate responsibility of the FAO Evaluation Office (OED), in accordance with FAO evaluation procedures and taking into consideration guidance from the GEF Evaluation Office.

### Monitoring responsibilities and information sources

Monitoring of project progress and outcomes will be the responsibility of the Project Regional Coordinator (PRC) and the National Project Coordinators (NPCs). Project supervision and oversight is the responsibility of the Project Steering Committee and the FAO LTU. The FAO GEF Coordination Unit in the Investment Center Division (TCI) will monitor project progress and will review and clear the Project Progress Reports (PPRs) and the annual Project Implementation Review (PIR) report, support the identification of eventual corrective actions if needed and participate in the midterm review and the final evaluation. Specific monitoring tasks will be defined in the Annual Work Plan (AWP). Fishers and other stakeholders will also be involved in the M&E process through the local Consultative Groups.

Monitoring information sources will be evidence of outputs (reports, website, lists of participants in training activities, manuals, availability of modified gear, meeting minutes, etc.). To assess and confirm the congruence of outcomes with project objectives, physical inspection and/or surveying of activity sites and

participants will be carried out. This latter task will be undertaken by NPCs, the RFU, and the FAO LTU during supervision missions.

At the start of project implementation in year 1, key impact indicators will be identified for each project site in accordance with activities prioritized in each area specific bycatch management plan for monitoring of bycatch reduction (volume) and its impact on ecosystems and incomes (value) – and relevant baseline data will be collected. Some of the context related and background data have already been compiled during the project preparation and design phase. This information will form the basis for the development of impact indicators and baselines. It will be responsibility of the NPCs to establish baselines at the national level, with the support of the RFU to ensure regional consistency and comparability.

### Reporting Schedule

Specific reports that will be prepared in relation to M&E include: (i) Project Inception Report; (ii) Project Progress Reports; (iii) Project Implementation Reviews with IW TT annexed; (iv) Technical Reports; (v) Co-financing Reports; and (vi) Terminal Report. (Please see project document section 6.5 for further details on these reports).

Table 1 provides a summary of the main M&E reports, responsible parties, timeframe and budgeted costs.

**TABLE 1: SUMMARY OF M&E, REPORTING REQUIREMENTS AND BUDGETED COSTS**

Type of M&E activity	Responsible Parties	Time-frame	Budgeted cost
Inception Workshop	PRC/RFU, FAO LTO/LTU, FAO GEF Coordination Unit (TCI), FAO-RAP (BH)	Within two months of project start up	USD 10 000
Project Inception Report	PRC/RFU, FAO LTO/LTU, FAO GEF Coordination Unit (TCI)	Immediately after workshop	-
Field based impact monitoring	PRC/RFU, national Executing partners/NPCs, local beneficiary communities	Continually	USD 31 150 (7% of time of PRC and NPCs)
Project Progress Reports - PPRs	PRC/RFU, national Executing partners/NPCs (preparation), and LTU, GEF Coordination Unit (clearance)	Six-monthly	USD 13 350 (3% of the time of PRC and NPCs)
Quarterly Project Implementation Reports	FAO-RAP	Quarterly	Fee paid
Project Implementation Review - PIR with IW TT annexed	FAO LTO/LTU with inputs from NPCs and RUF, GEF Coordination Unit	Annual	Fee paid
Co-financing Reports	PRC/RFU, national Executing partners/NPC, LTU	Co-financing is reported in the annual PIR, and in mid-term review and final evaluation	USD 4 450 (1% of the time of the PRC and NPCs)
Steering Committee Meetings	PRC/RFU, national Executing partners/NPCs (turns among countries), FAO	Once a year	USD 45 000 for government staff travel plus co-financing from hosting government
Technical Reports	PRC/RFU, national Executing partners/NPCs, FAO LTO/LTU, FAO Project Task Force members	as appropriate	-

Type of M&E activity	Responsible Parties	Time-frame	Budgeted cost
Supervisory visits to Project and field sites	FAO LTU and other units, as necessary	Yearly or as required	Fee paid
Mid-term review	FAO Evaluation Office, PRC/RFU, national Executing partners/NPCs, FAO LTO/LTU, Project Task Force and PSC in consultation with the project teams and other partners, GEF Coordination Unit	At mid-point of project implementation	USD 10 000
Final evaluation	FAO Evaluation Office (OED) in consultation with the project team, other partners and the GEF Coordination Unit	At the end of project implementation	USD 20 000
Terminal Report	PRC/RFU, national Executing partners/NPCs, FAO LTO/LTU, Project Task Force members, GEF Coordination Unit, FAO Reports Unit in TCSR	At least one month before end of project	-



## **PART II: PROJECT JUSTIFICATION:**

### **A. THE ISSUE, HOW THE PROJECT SEEKS TO ADDRESS IT, AND THE EXPECTED GLOBAL ENVIRONMENTAL BENEFITS:**

#### ***1. Problems and issues to be addressed***

##### **Context and global significance**

The five participating countries include some of the main fish producers in the world. The marine fisheries sector is important in several ways. It provides employment and contributes to economic growth, and fish is an important source of animal proteins. On the other hand, aquaculture development has been encouraged as a result of dwindling wild resources. This development has further contributed to overfishing and ecosystem degradation because of growing need of low value fish to be used as aquafeed. In fact, a large share of the world's marine catches is used for reduction into fish meal and animal feed; in 2003, about 22 percent of the global reported catches were used for non-food purposes. In the Asia-Pacific region, low-value or trash fish used for this purpose is caught either as bycatch when targeting more commercially valuable species, such as shrimp, or is considered a regular part of the catch contributing to incomes. There is a general lack of data on how much trash and low-value fish is caught in the Asia-Pacific region but a conservative estimate is that 25 percent of the total marine capture is destined for livestock and aquaculture feed and that this share is increasing.

Bottom trawling tends to generate large quantities of bycatch and/or low-value fish and trash fish. The trawl subsector in the Strategies for trawl fisheries bycatch management (REBYC-II CTI) project countries is diverse and involves both small and large-scale trawlers and operations amount to an estimated total of some 57 000 vessels/boats. It constitutes an important part of the total marine fisheries economy in these countries with an estimated average share of total marine capture fisheries employment of 8 percent (268 000 fishers) and 18 percent of total reported marine catches (2 230 000 MT annually). A large amount of these catches is bycatch, including low-value and trash fish; preliminary figures indicate an average of about a third, with higher ratios in the large-scale subsector. Detailed information on the composition, volume, value and utilization of this part of the catch – as well as on the fishing impact on seabed habitats – is lacking but it is likely that the fisheries have a significant impact on targeted and non-targeted fishery resources and marine ecosystems. There is evidence through decreasing average size of landed fish and declining Catch Per Unit Effort (CPUE) that overfishing is a serious issue in several of the main trawl fishing grounds in the region. Many fisheries, especially small-scale, are open access with few and poorly enforced management regulations, in particular with regard to bycatch. Moreover, conflicts between fleet segments are common when zoning regulations are not enforced, e.g. larger trawlers encroaching on waters reserved for small-scale fishers.

The low-value and trash fish portion of the trawl catch in the project countries generally consists of juveniles of ecologically important and economically valuable finfish, small-sized fish species and fish that is damaged or low quality for other reasons. The utilization of low-value and trash fish varies somewhat from one location to another and in addition to its use as aquaculture and animal feed (directly or after reduction to fish meal) it can also be sold as food fish in local markets. Some of the large-scale trawl fleets would not retain the low-value catch but discard it (e.g. large-scale shrimp trawlers in Arafura Sea, Indonesia, and in the Gulf of Papua, Papua New Guinea). In the small-scale sector, virtually all catch is utilized, with the exception of fish losses due to spoilage or inedible species.

Catches also consist of more valuable finfish species. These fish may be considered bycatch in the large-scale shrimp trawl fisheries but targeted catch in the smaller-scale multispecies trawl fisheries. Moreover, trawlers may catch turtles – especially if not equipped with turtle excluder devices (TEDs). Trawlers may also bring up coral or other seabed flora and fauna when trawling in areas with such seabed structures. The evidence of, for example, corals in the catch could be a sign that the trawl operation is damaging sensitive bottom habitats. If trawling on sandy or muddy bottoms, this is less likely to be the case.

Because of generally decreasing catches – in particular of more valuable species and larger specimens – as well as increasing fuel prices, weak market access and poor quality and post-harvest methods – many fishers find it difficult to maintain the profitability of their operations. Therefore, bycatch including low value and

trash fish are becoming an increasingly important part of revenues. At the same time as there is a lack of awareness of the importance of managing the fishery resources and the need for responsible fishing, there are often also limited incentives for fishers to avoid bycatch. Knowledge on existing technological and management solutions to make fishing more sustainable is needed. There is also a need to explore potential market incentives for more sustainably caught fish and fishery products.

Experience from the 2002-2008 FAO/UNEP/GEF global project *Reduction of Environmental Impact from Tropical Shrimp Trawling through the Introduction of Bycatch Reduction Technologies and Change of Management* (REBYC) indicates that it is possible to markedly reduce bycatch and discards by working closely together with the private fishing sector. REBYC, implemented in twelve countries including Indonesia and the Philippines<sup>2</sup>, had a focus on technology (gear development and capacity building in particular with regard to technical knowledge) but legislation and awareness-raising were also addressed. The project “produced outstanding results by generating valuable information, increasing knowledge and awareness, building capacities and fostering cooperation concerning bycatch management and reduction of discards”<sup>3</sup>. The terminal evaluation of the project strongly recommended a second phase of REBYC taking “a more holistic approach combining the gear technology aspects more effectively with management (through implementation of legislation and other forms of regulation), economic and socio-economic considerations, and knowledge management for enhanced dissemination of results and greater awareness”.

The REBYC-II CTI project will take a holistic approach to trawl fisheries bycatch management and work directly with fishers and fishing industry and other stakeholders. Project activities will be carried out in a selected number of main trawl areas in the five participating countries (see map in the project document).

- Indonesia: Arafura Sea (Maluku-Papua)
- Papua New Guinea: Gulf of Papua
- Philippines: Samar Sea for small-scale trawlers; whole country for large-scale subsector
- Thailand: Gulf of Thailand (focus on selected provinces)
- Viet Nam: Kien Giang province

Within the framework of a holistic approach based on the principles of the FAO Code of Conduct and Ecosystem Approach to Fisheries (EAF), the barriers to improved trawl fisheries bycatch management, described below, will be addressed. In each of the selected areas, the most pertinent issues will be identified and public and private sector partnership established for finding appropriate solutions, with technical support from the project and its partners. In parallel, the project will work at the national and regional level and field experience in project sites will inform decision-making at national and regional levels and solutions found at the local level may be implemented and scaled up at national and regional levels. The experience of the project will also contribute to the global knowledge on trawl fisheries bycatch management and the implementation of the FAO Code of Conduct and EAF.

### **Threats, root causes and barriers analysis**

The main threat to sustainable fishery resources and biodiversity that the trawl fisheries pose is the fact that a large part of the catch – i.e. the bycatch – is not managed and that overfishing and depletion of resources and destruction of habitats are likely consequences of this shortcoming. The root causes of these threats include the economic reality of the fishing sector and the poverty context of the project countries, including population pressure, need for food and income, drivers such as aquaculture development and global demand for fishery products, and lacking capacities, information and knowledge to improve fisheries management. While the project cannot easily change the macroeconomic context, it can address the barriers to better management and in this way support the trawling sector – and the people depending on and influenced by it

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<sup>2</sup> The twelve countries were Bahrain (with own funding), Cameroon, Colombia, Costa Rica, Cuba, Indonesia, Islamic Republic of Iran, Mexico, Nigeria, Philippines, Trinidad and Tobago, and Venezuela. SEAFDEC participated in the project and supported its member countries Indonesia and the Philippines on technical matters.

<sup>3</sup> R. Hermes. 2009. Terminal Evaluation of the UNEP/FAO/GEF Project Reduction of Environmental Impact from Tropical Shrimp Trawling through the Introduction of Bycatch Reduction Technologies and Change of Management, Project Number UNEP GF/2731-02-4469 & GF/4030-02-04, FAO EP/GLO/201/GEF. UNEP Evaluation and Oversight Unit. June 2009.

– to better adjust to existing circumstances, mitigate impact on the environment and capitalise on potential market opportunities.

Because bycatch is generally an integral part of the overall catch in the region, bycatch management needs to be addressed in a broader trawl fisheries management framework. Using the definition provided in this project document, bycatch constitutes, on average, a third or more of total catches of the trawl fleets of the REBYC-II CTI project area, and it is urgent to ensure that this part of the catch is monitored and managed. While discards is a particular concern because of its wastefulness, the capture and utilization of juveniles is distressing because of the detrimental impact it could have on ecologically important and economically valuable fish species and hence on the viability of other fisheries and related livelihoods. The capture of turtles and potential damage to bottom habitats are other major biodiversity concerns.

These issues need to be addressed taking into account the poverty and food security context in the project area. Many livelihoods depend on the bycatch and low-value and trash fish. While the availability of resources and a healthy environment must be ensured for future generations, changes in trawl fisheries bycatch management need to take place in close collaboration with current resource users. Principles of equitable development will guide project interventions and the impact on and needs of different stakeholder groups, including men and women, must be considered. This holistic approach is consistent with the principles of the FAO Code of Conduct and EAF.

Within the context described above, four overarching barriers to improved trawl fisheries bycatch management in the project area have been identified:

- Lacking or deficient legal and institutional structures and policies for effective management of bycatch and trawl fisheries;
- Ineffective resource management leading to unsustainable fishing operations;
- Insufficient data and information on bycatch and the impact of trawl fisheries on the marine environment and habitats;
- Limited awareness of sustainability issues and lack of knowledge on measures available to improve trawl fisheries bycatch management.

Each of these barriers will be addressed by the following project components:

1. The *Policy, legal and institutional frameworks component* will work towards the establishment of national or area specific trawl fisheries bycatch management plans and building institutional capacity for their implementation. The need for adequate legislation and regulations to support the implementation of improved management measures will be addressed. At the regional level, a bycatch policy/strategy will be developed and project countries will be encouraged to adopt the International Guidelines on Bycatch Management and Reduction of Discards.
2. The *Resource management and fishing operations component* will lead to the adoption of more selective fishing gear and practices, provide a basis for implementing zoning of fishing areas and developing spatial-temporal closure management measures, and generate better data on number of vessels and recommendations for fishing effort and capacity management. The management measures will be supported by the identification of incentive packages that promote more responsible fishing. The results from this component will inform the regional bycatch policy/strategy and the national and/or area specific trawl fisheries bycatch management plans.
3. The *Information management and communication component* will include bycatch data collection (at landing sites and onboard vessels), mapping of fishing grounds, establishment of socio-economic monitoring procedures, and means for communicating bycatch data and information (website and information, education and communication – IEC – material). Standardized methods for bycatch data collection will be promoted across project countries.
4. The *Awareness and knowledge component* will address the awareness of and knowledge on trawl fisheries bycatch management issues and how they relate to sustainability, and what measures that are available to make fishing more responsible. Private sector/fishers, policy makers, fisheries

managers, officials, extension officers and NGOs will be offered training and workshops to enhance their knowledge on best management practices and responsible fisheries.

The expected global environmental benefits are:

- Agreed regional bycatch policy/strategy – that is in line with the forthcoming International Guidelines on Bycatch Management and Reduction of Discards – is adopted by at least one relevant organization in the project region and national or area specific trawl fisheries bycatch management plans are adopted covering at least a third of all trawlers in the project countries.
- Measures to manage bycatch and reduce discards, and thereby improve fisheries resources, are implemented for 25% of trawl fisheries in all project areas.
- In the fisheries, covered by improved bycatch management measures, bycatch has been reduced by 20% compared to baseline data to be gathered in year 1.
- Incentives for trawl operators to reduce bycatch are defined and implemented in the project areas and best practices communicated within relevant regional frameworks.
- Institutional arrangements and processes for public and private sector partnerships are in place and supporting trawl fisheries bycatch management in all project areas
- Standardized data on at least 3 key bycatch (species/sizes) and habitat indicators are available from all project areas and inform trawl fisheries and bycatch management planning and implementation at national and regional levels.
- The role of bycatch in trawl profitability is understood and measures for how to ensure long-term economic sustainability of trawl fisheries are identified and incorporated into trawl fisheries bycatch management plans in all project countries.
- Enhanced understanding of responsible fishing by private sector/fishers, fisheries managers and decision-makers are supporting participatory management arrangements in all project countries.

## **2. Stakeholders and target beneficiaries**

The major stakeholders relevant to the REBYC-II CTI project objectives can be classified into three groups: regional, national and local stakeholders. During project preparation, many of these stakeholders have been involved through participation in national and regional meetings and workshops, the preparation of national reports and consultations by telephone and email. Through local-national-regional-international linkages and public and private sector partnerships, facilitated by the project, organizations, governments and fishers and resource users in other parts of the world may also benefit from the knowledge generated by the project.

*Regional stakeholders* include institutions and associations as well as NGOs, other projects and development agencies active in the region. These stakeholders will benefit from improved knowledge on trawl fisheries bycatch management issues and solutions in the region and from being able to develop informed strategies and policies based on relevant data and information. Broader regional policies with regard to responsible fisheries, EAF and environmental management may also benefit from the project. Some regional organizations and programmes will directly participate in project implementation; in particular SEAFDEC together with its current partners (Japan, Sida and WWF Coral Triangle Programme) will play a prominent role in regional technical support and facilitation. The project will also work with other organizations and projects (see the project document). The development of a regional bycatch strategy under *Project component 1* and the supporting capacity building outputs expected under *Project component 4* will require the direct involvement of relevant regional stakeholders (policy and decision-makers).

*National stakeholders* include national and state government agencies, civil society organizations, NGOs, private foundations, private sector organizations, and academic institutions. These stakeholders will be the main executing partners and take implementation responsibility for various project activities, including the development of bycatch management plans and national legal and institutional structures (*Project component 1*), gear and management measure development (*Project component 2*) and information and communication (*Project component 3*). They will also benefit directly from capacity building and technical support (*Project component 4*).

*Local stakeholders* comprise local government agencies, commercial fishers and fishing communities, other aquatic resource users, local environmental and social/cultural NGOs, and other local citizens. They will in

particular be involved in the gear and management measure development (*Project components 2*) at the local level but will also be consulted on all other issues of relevance and take part in the knowledge enhancement and awareness raising of *Project component 4*.

The *target beneficiaries* of the project are the fishers, fish workers and communities that are dependent on fisheries and aquatic resources for their livelihoods and food security. The *direct beneficiaries* will be the fishers in the selected project sites that are part of the fleets directly participating in project activities but benefits will also reach many others *indirectly* through improved trawl fisheries and ecosystem management.

The project will be guided by principles of equitable development and will pay attention to gender. Bycatch issues and project interventions may impact on men and women in different ways and this has to be understood and taken into consideration. Special efforts will be devoted to the involvement of women and youth at the institutional level in organizational development efforts and capacity building.

#### **B. CONSISTENCY OF THE PROJECT WITH NATIONAL AND/OR REGIONAL PRIORITIES/PLANS:**

The REBYC-II CTI project addresses concerns related to the marine environment with focus on specific aspects of fisheries management – trawl fisheries bycatch management – in accordance with the FAO Code of Conduct and EAF. After the completion of the first REBYC project, several participating countries expressed interest in a second-phase project and Indonesia and the Philippines were among those formally requesting support for improving bycatch management and for the current FAO/GEF project.

Three of the five project countries are part of the CTI and committed to the CTI Regional Plan of Action (CTI RPOA). The project is consistent with the overall spirit of the CTI RPOA, which addresses issues that are also relevant to the larger Asia-Pacific region. The project is of particular relevance to the CTI RPOA Goal No 2: “Ecosystem Approach to Management of Fisheries (EAFM) and Other Marine Resources Fully Applied”.

The national government agencies and institutions that are relevant to the project include both the ministries responsible for the environment and the relevant fisheries authorities, which in all project countries fall under another line ministry (agriculture) or are autonomous from the environment authorities. While GEF Focal Points are within the ministries of environment, on technical matters and for project preparation, the relevant fisheries authorities have been involved. Representatives of the fisheries authorities, designated by their respective governments, have participated directly in regional project preparation workshops and meetings, and have been responsible for data collection and stakeholder consultations at the national level. The ministries of environment have been kept informed – through the GEF Focal Points – by the national fisheries project teams on progress with regard to the project development. The GEF Focal Points were invited to the national stakeholder consultation workshops held in each country.

In accordance with these institutional responsibilities, the national priorities and plans that are relevant to the project include both those dealing with protection of the environment, and those on sustainable fisheries and natural resource management. Although priorities and plans directly referring to trawl fisheries bycatch management are limited, a number of relevant broader policies exist. The project countries have confirmed their commitment to biodiversity conservation and sustainable aquatic resource utilization – including fisheries management – through the ratification of relevant international conventions and agreements. There are also regional initiatives addressing these issues, including the RPOA, the APEC Bali Plan of Action and APFIC initiatives – covering all project countries – and within SEAFDEC and ASEAN for their members. The FAO Code of Conduct is the accepted global policy document for the region, and the integrated and participatory approaches as defined by EAF are increasingly being embraced as the way forward for natural resource and fisheries management.

In addition to the plans and policies mentioned in sections below, this project is consistent with the priorities for the fisheries sector as spelled out in the National Medium-Term Priority Frameworks (NMTPFs) that FAO has developed with each of the countries.

The *Indonesia* NMTPF for 2010-2014 is aligned with the Government of Indonesia's National Mid-Term Development Plan for the same period. Development of the marine and fisheries sector will be guided by overall principles of "pro-growth, pro-poor, pro-job and pro-environment sustainability". To achieve sustainable fisheries business and industry development, there is a critical need to support institutional capacity, including human resource development promoting the environmental quality of fishery and other marine resources. There is also a need to focus on improving practical science and technology-based research and innovation. Knowledge management, sharing and utilization of results of such applied-research on marine science and fisheries technologies should be strongly advocated. Priority programs are needed to implement policy and strategies for sustainable fishery resource management and development by considering climate change's mitigation and adaptation implications. Maintaining resource sustainability in line with the CTI goals is of utmost importance.

In line with other planned and potential FAO assistance to *Papua New Guinea* under the draft NMTPF 2010-2014, the REBYC-II CTI project will contribute to the Sustainable Livelihoods and Population outcome of the United Nations Country Programme 2008-2012 "A partnership for Nation-building". This outcome promotes rational and balanced utilization of Papua New Guinea's natural resources, through improved environmental management while promoting environmentally-friendly employment and income-generation opportunities for poverty reduction and improved living standards. Mitigation and adaptation to climate change is also addressed under this outcome. The proposed NMTPF programme includes, *inter alia*, focus on strengthened policy, legal, regulatory and strategic frameworks for sustainable agriculture, forestry and fisheries development – including capacity building – and sustainable natural resource management.

The NMTPF of the *Philippines* was crafted in consideration of the country's strategic needs and priorities defined in the Medium-Term Philippine Development Plan (MTPDP) 2004-2010. Three goals of the MTPDP are considered particularly important in the context of the NMTPF and FAO assistance, of which two are of direct relevance to the REBYC-II CTI project: (i) sustainable and more productive utilization of natural resources to promote investments and entrepreneurships; and (ii) focus and strengthen the protection of vulnerable and ecologically fragile areas, especially watersheds, coral reefs, and areas where biodiversity is highly threatened. Reversing the loss of environment and natural resources is always in the forefront of development decision-making in the Philippines and aligned to the Philippine Agenda 21. Accordingly, one of the priority outcomes of the NMTPF 2010-2011 is "Sustainable environment and productive utilization of natural resources" and includes emphasis on fishery resource management through capacity building of small-scale fishers and local governments.

In *Thailand*, the 10<sup>th</sup> National Economic and Social Development Plan 2007-2011 (10<sup>th</sup> Plan) defines a vision for the country to become a "Green and Happiness Society" which consists of four development missions, i.e. (i) improving the quality of life and strengthening communities to be self-sufficient, (ii) strengthening the economy towards balanced and sustainable development, (iii) maintaining and restoring biodiversity, and conserving natural resources for environmental quality, and (iv) developing a public administrative system based on a good governance approach. Accordingly and with relevance to the REBYC-II CTI project, the NMTPF for *Thailand* includes a priority outcome for the sustainable management of natural resources and the environment. In order to achieve sustainable management of natural resources and promote environmental services, FAO – Thailand cooperation will focus on, *inter alia*, promotion of participatory approaches in natural resource management and sustainable technologies.

In *Viet Nam*, the NMTPF has remained a draft but the One UN document, the "One Plan (Common Action Plan) 2006 – 2010 between the Government of the Socialist Republic of Viet Nam and the United Nations Organizations in Viet Nam" describes overall priorities relevant to the REBYC-II CTI project. Viet Nam has taken important steps toward establishing the legal and policy framework for environmentally sustainable development. Three examples are: (i) the Strategic Orientation for Sustainable Development (Viet Nam Agenda 21); (ii) the Party Resolution on Environmental Protection in the Period of Intensive Modernization and Industrialization; and (iii) the revised Law on Environmental Protection. One of the Plan's agreed outcomes is to ensure that Viet Nam has "adequate policies and capacities for environmental protection and the rational management of natural resources and cultural heritage for poverty reduction, economic growth, and improving the quality of life". This includes expected results with regard to promotion of sustainable use

of natural resources and protected area management, and strengthened capacity in fisheries information gathering. Support to the implementation of environmental laws, strategies and global conventions, and improved environmental governance are required to achieve this.

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

The REBYC-II CTI project is specifically aligned with the two long-term objectives of the GEF International Waters (IW) Program (*To foster international, multi-state cooperation on priority transboundary water concerns, and To catalyze transboundary action addressing water concerns*), and refers in particular to the Strategic Program 1 (SP1): *Restoring and Sustaining Coastal and Marine Fish Stocks* by promoting regional (and international) cooperation on aquatic resources priority issues. The project will be implemented according to the principles of the FAO Code of Conduct and EAF and it will contribute to the IW-SP1 programme outcome indicators as follows:

- **National inter-ministry committees**  
Because of its combined environment and fisheries focus, the project has been developed through coordination between the ministries of environment and the fisheries authorities in the participating countries. During project implementation, emphasis will be given to coordination, stakeholder collaboration and partnerships. The institutional arrangements, which will be strengthened or put in place (depending on the situation in the different project countries and sites) for implementing the trawl bycatch management plans, will be based on principles of participation and cooperation, and will encompass representatives of different ministries and local government agencies, as required (see *project component 1*).
- **Ministerially-agreed action programmes and local Integrated Coastal Management (ICM) plans adopted**  
The project will facilitate the elaboration and implementation of national and/or area specific trawl bycatch management plans (see *project component 1*). These will be comprehensive undertakings, based on holistic analyses and integrating all relevant aspects of trawl fisheries bycatch management. The plans will contain a mix of management measures and incentive packages that will be identified, developed and/or tested under *project component 2*.
- **Regional, national and local policy, legal and institutional reform adopted; project evaluations show implementation effectiveness**  
At the regional level, the project will work towards an agreed regional bycatch policy/strategy that will be adopted by at least one relevant regional organisation. At the national level, there is a need to review and analyse existing policy, legal and institutional frameworks to ensure there are adequate and enabling structures in place for trawl fisheries bycatch management (see *project component 1*). *Project component 3* and project management will ensure tracking of progress through the establishment of relevant monitoring and evaluation (M&E) systems.
- **Fish stock and habitat assessments**  
The establishment of methods for bycatch data collection and surveys of trawl impact on bottom habitats are two aspects of the information and management component of the project (see *project component 3*). By using standardized methods for data collection and collaborating across project countries and in the region, and communicating results, the data collection facilitated by the project will feed into other related assessments (although comprehensive fish stock and habitat assessments are beyond the scope of the project). The area specific trawl fisheries bycatch management plans will include a framework for monitoring the progress in their implementation including indicators such as for reduction of impacts on seabed and reduction in bycatch (volume) as a result of modified gear and improved management and its likely impact on incomes (bycatch value). The capacity building and awareness raising of *Project component 4* will help promoting a holistic approach to fisheries assessments and enhance the knowledge on why bycatch data are important and how this information fits in the larger picture of fisheries and ecosystem management.
- **Per capita incomes at demo sites**  
In the project region, bycatch has in most cases a value; to skippers and crew, to traders and fish meal producers, and to consumers and the aquaculture sector. This value needs to be understood and the

monitoring systems of *Project component 3* will pay particular attention to this aspect. For many of the trawl fleets that will participate in and/or benefit from the project, profitability is an issue – particularly in view of rising fuel prices and diminishing catches due to overfishing. Gear modifications can in some instances improve profitability by reducing fuel costs and catch sorting work, and by improving catch quality. In the longer-term, a more responsible utilization of fishery resources is a prerequisite for the financial sustainability of the fisheries. Consideration of these aspects will be an integral part of the trawl fisheries bycatch management plans.

- **Incorporation in Country Assessment Strategy (CAS), UN Frameworks, Poverty Reductions Strategy Papers (PRSPs), One UN**

Considerable effort will be spent on communicating project results and through the project's local-national-regional-international linkages, dissemination of experiences, lessons learnt and best practices for inclusion in relevant planning and policy documents and strategies will be ensured (see *Project component 3*).

In line with the IW-SP1, the project is also aligned to the World Summit on Sustainable Development (WSSD) Johannesburg Plan of Implementation and will contribute to the sustainable fisheries targets and promote the conservation and management of oceans (paragraphs 31 and 32). The Plan of Implementation refers to the FAO Code of Conduct and the application of ecosystem approaches, and the need to maintain or restore fish stocks and to eliminate destructive fishing practices. The project will contribute to the implementation of these principles and achieving these targets.

The project is part of the GEF Coral Triangle Initiative programme framework and directly support priorities defined within this framework, i.e.:

- **Strengthening the enabling legal, policy and planning environment for improved water, coastal and marine resources management in the participating countries**

The project will analyze existing policy, legal and institutional frameworks and recommend changes as required to ensure that improved trawl fisheries bycatch management is supported. project results will include a regional bycatch policy/strategy, national or area specific bycatch management plans, and institutional arrangements for public and private sector collaboration on management (see *Project component 1*).

- **Improving the capacity of key government agencies and other participating stakeholders in civil society, academia, the private sector and at the community level**

The project will raise the awareness and enhance the knowledge of key stakeholder groups on sustainability issues and measures available for improving trawl fisheries bycatch management (see *Project component 4*). In this way, capacities for effective trawl fisheries bycatch management will be strengthened. Moreover, the support to better information and information systems will enhance the capacity to make informed management decisions (see *Project component 3*).

- **Monitoring and knowledge management**

The project will establish a system allowing for monitoring of likely effects of bycatch reduction and trawl management measures on incomes. This will be an important aspect of impact monitoring both during the project's life span and beyond (see *Project component 3*).

In addition, the project will also contribute to the GEF Biodiversity Strategic Objective 2: Mainstreaming Biodiversity in Production Landscapes / Seascapes by improving the availability of information and data on how trawl fisheries impact on fishery resources and marine habitats, and by mitigating their potentially harmful impact through improved trawl fisheries bycatch management. This is likely to have positive effects on biodiversity as the project will strengthen the capacity of the public and private sectors in the Coral Triangle and Southeast Asia region to manage fishing activities. The project will hence contribute to biodiversity mainstreaming through its contribution to sustainable natural resources management in the region.

All project countries are eligible for GEF funding. The project has been endorsed by the GEF Focal Points, attached to the ministries of environment, on behalf of the project governments.

#### **D. JUSTIFY THE TYPE OF FINANCING SUPPORT PROVIDED WITH THE GEF RESOURCES.**



The GEF resources will be given as a grant justified by that the development of tools for data collection, analysis and management and provision of information to be financed by the GEF resources as part of the establishment of sustainable fishing practices and management schemes will not be generating any direct income allowing for a return in the short and medium term. The type of information generated to support strategic decision making on sustainable use of fisheries resources and biodiversity conservation. In the long term there might be possibilities to charge some users for specific information and services provided by the system. These options will be analyzed as part of the project and mechanisms for their realization will be put in place.

#### **E. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:**

The REBYC-II CTI project has been conceived in a broader context of addressing trawl and bycatch management at the global level. Following the UN General Assembly (UNGA) Sustainable Fisheries Resolutions 64/72 and 61/105, the FAO Fisheries and Aquaculture Department was requested by the FAO Committee on Fisheries (COFI) at its 28<sup>th</sup> session in 2009 to develop International Guidelines on Bycatch Management and Reduction of Discards. This work is now in progress and the draft text<sup>4</sup> include, *inter alia*, advice to states and Regional Fisheries Management Organizations and Arrangements (RFMO/As) on a number of topics including governance and institutional frameworks; bycatch management plans; data collection, reporting and assessment; monitoring, control and surveillance (MCS); research and development on bycatch mitigation and discard reduction technologies; and awareness, communication and capacity building. The next steps will be to support implementation of the guidelines and there are several FAO initiatives for new projects of which the REBYC-II CTI project is one. FAO as the coordinator of these different initiatives will ensure that collaboration and experience sharing take place and the project results inform relevant policies and strategies. The REBYC-II CTI project will build on the successes of the first REBYC project, in particular in Indonesia and the Philippines that participated in this first phase.

The project will liaise and collaborate closely with other FAO programs in the Coral Triangle and Southeast Asia region including the *Regional fisheries livelihoods programme for Southeast Asia (RFLP)*, covering Cambodia, Indonesia, Philippines, Sri Lanka, Timor Leste and Viet Nam. RFLP targets small-scale fishing communities and their supporting institutions to improve livelihoods and fisheries resource management. While the two projects are not planning to work in the same locations in the countries that they share, there is considerable scope for collaboration with regard to national and regional level. Areas of common interest include, *inter alia*, enhanced fisheries information; amended national policies and legislation; and improved registration of fishing vessels. There will also be collaboration with the FAO/GEF project *Sustainable management of the Bay of Bengal Large Marine Ecosystem (BOBLME)*, in particular with regard to harmonization of policies, strategies and principles for sustainable fisheries and marine resources utilization at national and regional levels. BOBLME covers eight countries sharing the Bay of Bengal and Indonesia and Thailand are among the participating countries.

The Secretariat of Asia-Pacific Fisheries Commission (APFIC), which is one of the FAO regional fisheries bodies, will ensure collaboration between the project and the work of the Commission. The project will also be linked to other FAO initiatives and normative work on the practical application of FAO Code of Conduct and EAF. The principles to be followed are contained in the FAO Code of Conduct and the related International Plans of Action (IPOAs) and technical and international guidelines. In addition to technical guidelines on EAF, the Guidelines to reduce sea turtle mortality in fishing operations are of particular interest to the project.

Within the GEF CTI framework programme, collaboration and coordination of activities are foreseen with the parallel initiatives by the Asian Development Bank (ADB), United Nations Development Programme (UNDP) and the World Bank. More specifically, the project have agreed to coordinate its work on reviewing the policy, legal and institutional frameworks with the two ADB projects - Coastal and marine resources management in the Coral Triangle of the Pacific - under the Pacific Alliance for Sustainability Program (PAS) and Coastal and marine resources management in the CT of Southeast Asia, which has a focus on the Sulu-Sulawesi ecoregion of Indonesia, Malaysia and Philippines. The project will also explore opportunities

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<sup>4</sup> The report of the Expert Consultation to develop draft text of International Guidelines for Bycatch Management and Reduction of Discards - FAO Fisheries and Aquaculture Report No. 934

for collaboration with the ADB project on *Regional Cooperation on Knowledge Management, Policy, and Institutional Support to the CTI*, which is linked to the UNDP led Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes<sup>3</sup>—under GEF’s International Waters Learning Exchange and Resource Network (IW:LEARN). In addition, the project will work closely with the CTI Regional Secretariat and other CTI development partners who are supporting implementation of the CTI Regional Plan of Action and National Plans of Action. In particular, attention will be given to coordination and collaboration on activities proposed under CTI RPOA Goal 2 on ecosystem approaches to fisheries management.

Collaboration and coordination will also be sought with the two UNDP CTI projects *Sulu-Celebes Sea sustainable fisheries management project* and *Arafura and Timor Seas Action Programme (ATSEA)*. The project will maintain close contacts with the World Bank and their developing initiatives in the region. FAO and the project will take active part in the CTI partner coordination mechanisms currently hosted by USAID<sup>5</sup>. At the country level, the project is in contact with the national CTI contact points.<sup>6</sup>

SEAFDEC will be an executing partner in the project and play a key role in its implementation. SEAFDEC and the project will be supported by the Centre for International Migration and Development (CIM) with regard to overall project management and regional coordination that will provide funding for a fulltime Project Regional Coordinator.

SEAFDEC will ensure that project results are benefiting also those countries in the region that are not directly participating in the project. Through the ASSP, effective links to the ASEAN policy dialogue will be established. This will also form a basis for linkages with other regional initiatives. Within this framework, the project will also collaborate with SEAFDEC’s current partners, including SEAFDEC WWF Coral Triangle Programme bycatch management collaboration, the SEAFDEC Japanese Trust Fund project on responsible fishing and Sida’s support to a vessel record and inventory, capacity reduction and MCS.

The REBYC-II CTI project will collaborate with WWF Coral Triangle Programme and its Coral Triangle Network Initiative (CTNI) and WWF Indonesia in the Arafura Sea (Sorong) as well as on regional coordination and experience sharing. The WWF Programme is being carried out through five sub-strategies related to tuna, bycatch, live reef fish, climate change and policy. Implemented through the CTNI, the activities of the Bycatch Program currently focus on tuna and shrimp fisheries as well as gill netting. WWF and SEAFDEC are developing a Working Agreement outlining joint activities under the CTNI Bycatch Program to be implemented through a hosting arrangement at SEAFDEC Training Department. This arrangement has identified a variety of specific activities related to trawl bycatch (data collection and observer program training at selected sites, development of joint communications and bycatch Best Practices guidelines etc.) which are largely aligned with the REBYC II activities and outputs. CTNI’s direct engagement with businesses and seafood companies operating out of the Coral Triangle region (e.g. Nissui) as well as policy platforms such as the CTI Regional Plan of Action (which will focus on sea turtles as its species goal) provides further opportunity for direct collaboration aimed at optimizing the approaches of the REBYC II and CTNI program in terms of outcomes and outputs on bycatch.

SEAFDEC had a long-standing working relationship with its member country Japan that has funded several SEAFDEC programmes. As a follow-up to earlier collaboration on responsible fishing, the *SEAFDEC Japanese Trust Fund II project* will begin in 2011 for a period of four years. This project will contribute to the REBYC-II CTI project in several areas including (i) improvement of information gathering/dissemination/sharing; (ii) promotion of vessel registration and development of guidelines for a licensing; (iii) development and promotion of more responsible and selective (trawl) fishing gear; (iv) SEAFDEC led fish resource surveys; (v) promotion of rights-based fisheries and co-management institutional building and participatory mechanisms for fisheries management.

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<sup>5</sup> See <http://www.uscti.org/uscti/default.aspx>.

<sup>6</sup> At the time of finalizing this document, the permanent CTI Secretariat was not yet in place and technical coordination takes place at the national level.

The *SEAFDEC-Sida project* works closely with ASEAN through the established SEAFDEC-ASEAN collaboration mechanisms. The REBYC-II CTI project will benefit from this connection to the regional policy level. The SEAFDEC-Sida project also supports work on fishing capacity management and MCS. Region-wide and sub-regional meetings on institutional cooperation, fishing vessel registration and inventory, and MCS have been held and a regional expert consultation on managing fishing capacity is scheduled for September 2010. This work will be continued in a second phase of the current project, planned to start in 2011. The REBYC-II CTI project will work closely with SEAFDEC-Sida and align the work on vessel registration with the existing initiatives. There is also an important link with the international work undertaken by FAO on developing a Global Record on fishing vessels<sup>7</sup> that the project will support.

The project will collaborate with the Sustainable Fisheries Partnership (SFP) and the International Fishmeal and Fish Oil Organization (IFFO). In addition to other initiatives related to promoting sustainable seafood supplies, SFP works with the seafood industry on two initiatives with particular relevance to the REBYC II-CTI project: sustainable fish supplies from the Arafura Sea (Indonesia) fisheries and trash fish utilization in Thailand and Vietnam. In the Arafura Sea, SFP works with the industry to create awareness of the interests of buyers and assist the industry in preparing work plans that set out specific management goals, promoting sustainable seafood supplies that can then be discussed with governments. With regard to trash fish, SFP is engaging with fish meal producers and IFFO to improve the information on what species from where are used for fish meal production, and how important fish meal production is in different areas. The REBYC-II CTI project will work towards establishing public and private sector partnerships for the development of trawl fisheries bycatch management plans for specific fisheries and areas. Partnering with SFP and IFFO would help ensuring that the postharvest seafood industry is involved and that management solutions that make sense from a market point of view are implemented. For the postharvest and fish meal sector, this cooperation would constitute an opportunity to engage in fisheries management planning and implementation with a view to promote more responsible fishing and sustainable future supplies. IFFO are working with SFP and others to develop a structured programme that would assist fishmeal factories to work toward achieving their recently launched standard for responsible supply, which includes requiring the factory to source their raw material from well managed fisheries or identifiable fish processing by-products.

Within this same context, the project will also draw on lessons learnt from the FAO project on *Reducing the dependence on the utilization of trash/low value fish as feed for aquaculture of marine finfish in the Asian region* (TCP/RAS/3203) that has been implemented in China, Indonesia, Thailand and Viet Nam together with the Network of Aquaculture Centres in Asia-Pacific (NACA) during 2008-2010 (expected completion date February 2011). Further collaboration with NACA and similar initiatives will also be explored.

Between 2003 and 2007, the Australian Centre for International Agricultural Research (ACIAR) carried out a project to document the financial, biological and economic characteristics of the Gulf of Papua prawn fishery in order to (i) determine the optimal level of effort and catch to maximize sustainable fishery returns and (ii) promote efficiency, thus improving the well-being of the people of PNG through the proper management of its natural resources, (iii) quantify and assess various management regimes for the control of the fishery, and (iv) build research capacity for continued economic research and management of fisheries in PNG.<sup>8</sup> Since the project concluded, a pipeline is now under construction to traverse the traditional Gulf of Papua prawn trawl fishing grounds. Such activities are likely to impact the fishery and those dependent on it as a source of livelihood. The project will therefore seek to engage the National Fisheries Authority, ACIAR (as a regional partner), the energy sector and associated ministries for the purpose of a follow up project during and post construction of the pipeline to evaluate impacts of the pipeline on the fishery.

In addition to the initiatives mentioned here, the project will collaborate closely with the programmes and activities of relevant regional institutions as described above. While some collaboration will be take place on a more informal basis through mutual exchange of information and coordination of activities, other partners will provide contribute to project results through co-financing. The main partners providing co-financing at a regional level are listed in Table 2.

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<sup>7</sup> See the FAO website for more information: <http://www.fao.org/fishery/global-record/en>.

<sup>8</sup> Economic performance and management of the Gulf of Papua prawn fishery - Project ID: ASEM/2002/050

TABLE 2: MAIN REGIONAL CO-FINANCING PARTNERS

<i>Co-financing partner</i>	<i>Focus of contribution: Project component/output (see Project Results Framework)</i>
SEAFDEC	Overall technical and administrative support; regional outputs under all components
CIM	Project management and regional coordination
WWF Coral Triangle Programme/WWF Indonesia	Regional bycatch policy (1.1); component 2 (in particular incentive packages 2.4); component 3 (in particular data collection 3.1); component 4.
SEAFDEC-Sida project	Regional bycatch policy (1.1); vessel inventory/registration (2.3).
SFP	Bycatch management plans (1.2); institutional arrangements for collaborative resource management (1.4); incentive packages (2.4).
IFFO	Bycatch management plans (1.2); Incentive packages (2.4)
RFLP	Regulatory frameworks relevant for trawl fisheries bycatch management (1.3); Institutional arrangements for collaborative resource management (1.4), Inventory of trawl vessels (2.3); Data collection (3.1); Regional and national policy and decision-makers sensitized with regard responsible trawl fishery management through information and workshops 4.2).

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

**Scenario without GEF Resources**

A considerable interest in better fishing practices is evident in the Coral Triangle and Southeast Asia region, and there has been progress in improved monitoring and control of IUU fishing, and specific protection for some target species and habitats (e.g. by designation of Marine Protected Areas – MPAs) as well as addressing certain bycatch and discards issues. However, effective approaches to dealing with the totality of fishing impact (including both target species and bycatch, including low value trash fish) within a broader trawl management framework, covering gear development and application of management measures, harmonization of policies and legislation, participation and community action, and linking economic activity with environmental objectives, has been much more limited and support would be needed to change this situation in the future.

SEAFDEC's mandate is to promote sustainable fisheries development in the Southeast Asia region and there are mechanisms in place for collaboration with ASEAN on policies with regard to fisheries and aquatic resources management and development. SEAFDEC's assistance to its member countries is currently supported by cooperation agreements with Japan, the Swedish International Development Cooperation Agency (Sida) and WWF Coral Triangle Programme. With regard to technical matters, SEAFDEC has also been involved in the development of BRDs, in particular the juvenile and trash fish excluding devices (JTEDs). As part of as well as independently of the first phase global UNEP/FAO/GEF project (REBYC), trials and demonstrations of JTEDs have taken place in several of the Southeast Asian countries and SEAFDEC continues to promote responsible fishing in the region. However, there is not yet an overall regional and systematic approach to issues related to bycatch and while a broader approach to responsible fishing is developing, specific efforts with regard to trawl fisheries bycatch management have tended to focus only on technology and JTEDs.

Indonesia and the Philippines were the two countries among the five now participating in the current project that were also part of REBYC. In *Indonesia*, REBYC initiated the introduction of BRDs through demonstrations and trials in several locations. REBYC increased the awareness of the complex issue of bycatch and the government is now looking into different options for better management of trawl fisheries. In 2004, local governments were given increased responsibilities for fisheries management in coastal waters. These developments call for capacity building and further support to trawl fisheries management. In the *Philippines*, the government is now implementing some of the recommendations from REBYC, including the adoption of a Fisheries Administrative Order prescribing the use of BRDs for commercial (large-scale) trawlers. While the government can ensure that the Order is adopted, additional technical support and

resources are needed for its effective implementation as well as to extending the scope to broader trawl management issues and also including the municipal (small-scale) fisheries. These efforts should include capacity building at the local government level and of existing co-management arrangements (the Fisheries and Aquatic Resources Management Councils – FARMCs).

In *Papua New Guinea*, the prawn (shrimp) fishery in the Gulf of Papua is managed by the Gulf of Papua Prawn Fisheries Management Plan. While the Plan has as one of its objectives the “conservation of stocks of demersal fish caught as bycatch” and prescribes the use of BRD, including TEDs, these measures have not yet been fully implemented. Assistance was provided by the Joint Institute for Marine and Atmospheric Research (JIMAR)<sup>9</sup> for the introduction of TEDs a few years ago but insufficient technical knowledge, and the need for further follow-up in closer collaboration with the fishing industry, has been reason behind the delay in uptake after the project was completed. Other issues directly related to bycatch include the relationship between the prawn fishing industry and the local communities/resource owners; participatory mechanisms are required to establish viable solutions.

In Viet Nam and Thailand, national policies support the reduction of the number of fishing vessels in inshore waters, which will reduce bycatch and low value and trash fish catches (assuming a reduction in capacity and effort). The Government of *Thailand* has recently adopted a Master Plan for Marine Fisheries Management that includes, among other things, measures for reducing capacity (number of vessels) and introduction of more selective gear for trawl fisheries (e.g. mesh size regulations). One of the targets is to ensure that 80 percent of all landings consist of economically important species; this indicates a need to reduce the quantity of low value and trash fish. The Plan spans ten years and an Action Plan for its implementation is under development. In *Viet Nam*, a National Plan of Action for managing fishing capacity is currently being proposed. Bycatch management and overcapacity in inshore waters are core issues to be addressed. However, the concerns related to bycatch and the catch of juveniles has only recently been recognised and knowledge and technical support would be required to effectively address these issues. This includes aspects of potential market-based incentives – domestic and international – and how such mechanisms could be used to support management of the sector.

In the baseline scenario, there is an increasing awareness of the threats to fishery sustainability and seabed habitats that are caused by trawl fisheries and unmanaged bycatch. However, without GEF involvement, it will take longer to address these threats because of limited access to technical assistance and capacity building support for identifying and implementing appropriate management solutions to these complex issues. There is also a need to create awareness and improve the knowledge on responsible fishing practices and regional collaboration would strengthen such efforts. In the baseline scenario, the governments of the five REBYC-II CTI project countries – as well as of other countries in the region – will pursue activities in support, directly or indirectly, of trawl fisheries bycatch management. Still, coordination of efforts at both national and regional levels will be minimal and synergy effects hence lost. Without effective collaborative approaches, including public and private sector partnerships, 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 globally important aquatic habitats and ecosystems and consequent losses not just to ecosystem support functions, but to food and livelihood security and economic output.

#### **Scenario with GEF resources**

The GEF alternative scenario allows for a project that provides high-quality technical assistance and capacity building, and effective collaboration among countries, partners and stakeholders – creating national and regional synergies – in a cost effective manner. By addressing the barriers identified in section II A and ensuring local-national-regional-international linkages as well as public and private sector partnerships, the REBYC-II CTI project will create significant incremental benefits above the 'non-project' option with respect to long-term solutions for sustainable resource utilization and environmental goods and services.

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<sup>9</sup> JIMAR is a cooperative enterprise involving the National Oceanic and Atmospheric Administration (NOAA) and the University of Hawaii.

In *Project component 1*, national and regional tools in the form of regional and national trawl bycatch management strategies, policies and supporting legal and institutional structures will be developed, building a platform for addressing trawl fisheries bycatch management now and in the future. This platform will be built on existing institutional structures that have been strengthened, in particular with regard to stakeholder participation, thanks to the additional GEF funding available.

The policy, institutional and legal development will benefit from the local experiences gained under *Project component 2* where appropriate technologies and management measures will be identified, developed and tested in close collaboration with fishers and stakeholders. At the national and local level, the GEF funding and the technical assistance it brings will allow for enhanced field trials with respect to technology development, pilot surveys of fishing impact on habitats and identification of appropriate management measures.

The GEF funding will also support the setting up of standardized data collection and monitoring systems in *Project component 3*, allowing for analyses of project impact on bycatch reduction and its eco-biological and socioeconomic impact. By standardizing the methods for data collection and analysis, comparisons between countries and at a regional basis are facilitated. Through the regional – and also global – project linkages, GEF funding will support dissemination of project results, for the benefit of partners and countries not directly involved in the project, in an effective way.

GEF funding will also be instrumental in *Project component 4* for offering training and organizing workshops for capacity building and awareness raising. The work of this component will be critical also for other components by ensuring that stakeholders and project partners have sufficient knowledge and capacity to actively participate in strategic planning, decision-making and other key activities.

**G. RISKS, INCLUDING CLIMATE CHANGE RISKS AND RISK MANAGEMENT MEASURES:**

**Risks and mitigation measures**

A number of risks exist at local, national and regional levels and are related to the complexity of issues addressed by the project, the associated political risks, and potentially uneven commitments and performance of participating countries and partners. Hence, risks may vary from one location or country to another. It is felt, however, that most potential risks can be identified and addressed early before beginning to affect implementation. The risks identified during project preparation have been divided into (i) political and administrative capacity risks; (ii) risks related to private sector participation; (iii) technological risks. These are described in Table 3 below and the average perceived risk is estimated to be ‘medium’.

As in other parts of the worlds, the Coral Triangle and South East Asia region is exposed to the threats posed by climate change. Climate change is projected to impact broadly across ecosystems, societies and economies, increasing pressure on all livelihoods and food supplies and poor communities depending on fisheries production and aquatic systems are often particularly vulnerable to such threats. The project recognizes the importance of the risks related to climate change and will take this in consideration as an integral part of implementation although no specific climate change mitigation/adaptation measures are planned.

**TABLE 3: RISKS, RATINGS AND MITIGATION MEASURES**

<b>Risks</b>	<b>Rating</b>	<b>Risk mitigation measures</b>
Change in key policy and decision makers or other events beyond the control of the project lead to changes in policies and/or support for bycatch management and the project.	L-M	Project priorities are in line with overall local, national and regional concerns and are hence strongly anchored in existing policies. Through stakeholder participation, local, national and regional ownership has been established already at the project design stage and this broad-based support will be promoted also during implementation.
There is insufficient capacity to support management changes proposed by the project, e.g. with regard to institutional and	M	The scope of the project has been agreed with relevant authorities and during implementation local, national and regional stakeholders will decide on what management measures should be adopted and hence what is feasible within existing capacities. Moreover, by focusing on a selected

administrative support, and Monitoring, Control and Surveillance (MCS) and enforcement.		number of issues in a limited number of locations, it should be possible to achieve results without putting undue pressure on supporting systems. Capacity building will be available from the project as required. The local level experiences will support national and regional policies and strategies and may be scaled up within the framework of renewed assessments of capacity.
Fishers and other private sector actors are reluctant to collaborate with the project.	M	By applying a participatory approach and providing capacity building for stakeholders to effectively take part in the project, it will address issues that are of concern to stakeholders ensuring that fishers and other private sector actors will be interested in its activities. Stakeholders have been involved and showed interest in participation during the preparation of the project. The development of incentive packages will also be fundamental in soliciting support and interest in project activities by fishers. The project will engage with seafood industry to ensure that the market is well understood and that proposed solutions are economically sensible.
Disagreements or conflicts among resource users, different government agencies/ departments – or central-local levels – or other stakeholder groups with regard to project priorities and implementation mechanisms.	L	A wide range of stakeholders have been consulted and participated in project design and different viewpoints have hence already been identified. As part of project implementation, institutional arrangements will be set up for collaborative implementation of trawl fisheries bycatch management plans. These arrangements will include provisions for conflict resolution. project implementation will be guided by principles of equitable development and gender equality.
Technical solutions (gear modifications and management measures) are not available that provide the desired environmental and sustainable fishing effects and at the same time are acceptable to fishers and other stakeholders in the context of current livelihoods, food security and poverty.	M	Through FAO, information is available on the variety of BRDs, gear modifications and management measures that exist around the world. By working closely together with fishers and other stakeholders, those measures that are most suitable in the particular local situations can be selected, developed and/or adopted as required. The project recognises the potential (short-term) implications on incomes of reducing bycatch and that immediate livelihood needs and improved management requirements must be reconciled. The project does not aim at eliminating bycatch but to make it part of an effective fisheries management plan.
Market-based incentives are difficult to identify and implement because of a lack of demand and niche markets for existing products,	M	The project will work closely together with fishers, seafood companies and marketing organizations to identify suitable market-based incentives. Such drivers of more environmentally friendly production are becoming more common and it is expected that, with the collaboration of partners, they can be developed for trawl fisheries management as a complement to other management implementation approaches.

*H = High (greater than 60 percent probability that the outcome/result will not be achieved).*

*M = Medium (30 to 60 percent probability that the outcome/result will not be achieved).*

*L = Low (probability of less than 30 percent that the outcome/result will not be achieved).*

#### **H. EXPLAIN HOW COST-EFFECTIVENESS IS REFLECTED IN THE PROJECT DESIGN:**

The project strategy of taking a broad trawl fisheries management approach, working closely with fishers and other stakeholders through public and private sector partnerships, and focusing on field interventions in selected project sites and fisheries was selected after considering the following alternatives:

- Relying solely on gear modifications and technological solutions*

The first phase REBYC had a relatively strong focus on technology and the development of selective gear. While the project generated significant results, the experience showed that more was needed to successfully address the complex issues related to bycatch reduction. Gear modifications are important but they are not always the most appropriate tool or they may need to be combined with other management measures. This is particularly the case in multi-species trawl fisheries of the type found in Southeast Asia and the Pacific region where overall management is weak and bycatch is largely utilised and considered part of the total catch. Gear modification solutions also need to be supported by appropriate legal and incentive frameworks to become effective. Moreover, the socioeconomic drivers behind bycatch and livelihoods and poverty context need to be understood and considered. While initially this holistic approach may be more costly and require more efforts, it is cost-effective in the longer-term because of the sustainability of the results.

- *Developing more selective gear and identifying other management measures through a research based approach, and supporting their implementation mainly through conventional centralised management approaches ('command and control').*

Ecosystem-friendly fishing gears can be developed through controlled experiments and management measures selected on a scientific basis. A research based approach can be extremely useful and provide fundamental data but experience from REBYC shows that management solutions need to be tested under real circumstances and adapted to prevailing conditions. These conditions can vary between different fisheries or even between different vessels. The project will hence build on existing information and experiences (from research and other field activities) and ensure that the identified solutions are tested and adapted to local practices and conditions, that fishers know how and why to use new or modified gear, and that management measures are accepted by concerned stakeholders. To ensure compliance with regulations and uptake of recommendations for changes in fishing practices to promote more responsible fisheries, both positive and negative incentives are needed. The project will hence combine general support to and recognition of the need for command and control approaches, but focus its efforts on developing positive incentive packages and promoting participation and collaborative management approaches. This will also be a more cost-effective approach since implementation and training in the use of the new gear and of the application of new management measures take place in parallel with the development of the techniques and approaches. The close involvement of stakeholders from the beginning will increase the acceptance of the proposed measures and hence reduce the costs for surveillance and control activities.

- *Focusing on implementing a limited number of gear modifications and/or management measures broadly in all project countries*

If only one or a limited number of management measures – for example a particular type of BRD – were selected for implementation in all trawl fisheries in the project countries, certain economies of scale could apply and more data on the efficiency and effects of the selected management measure could be collected. However, there would be a lack of flexibility with regard to taking local and fleet specific circumstances into consideration. It would also be difficult to have a close and participatory working relationship with fishers and stakeholders because of their large numbers, or resources beyond the means of the project would be required. The project design is hence instead based on identifying solutions in a selected number of areas and fisheries in close collaboration with the fishers in these locations, and sharing results and lessons learnt widely. In this way, suitable solutions are implemented at the local level and a broad-based set of experiences becomes available in a cost-effective way. The information management and communication component of the project will ensure that the data and results generated are available for parallel and future initiatives. Moreover, the work on policies, strategies and institutional structures will provide the mechanisms for scaling up the approach and implementing results more widely in the project countries and region, also after project completion.

The project will build as far as possible on 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 and public sector (bilateral-agencies/development partners) improving their quality of impact, and is designed to connect with other areas of major policy implementation and development investment. Cost effectiveness has also been considered in the project execution arrangement ensuring that the project will be co-executed with main co-financing initiatives under the coordination of SEAFDEC. The regional project coordinator will be co-financed 50% by Centrum für internationale Migration und Entwicklung (CIM) and SEAFDEC which constitute an important saving in GEF funds for the management of this project. 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 are expected to exceed GEF investment.



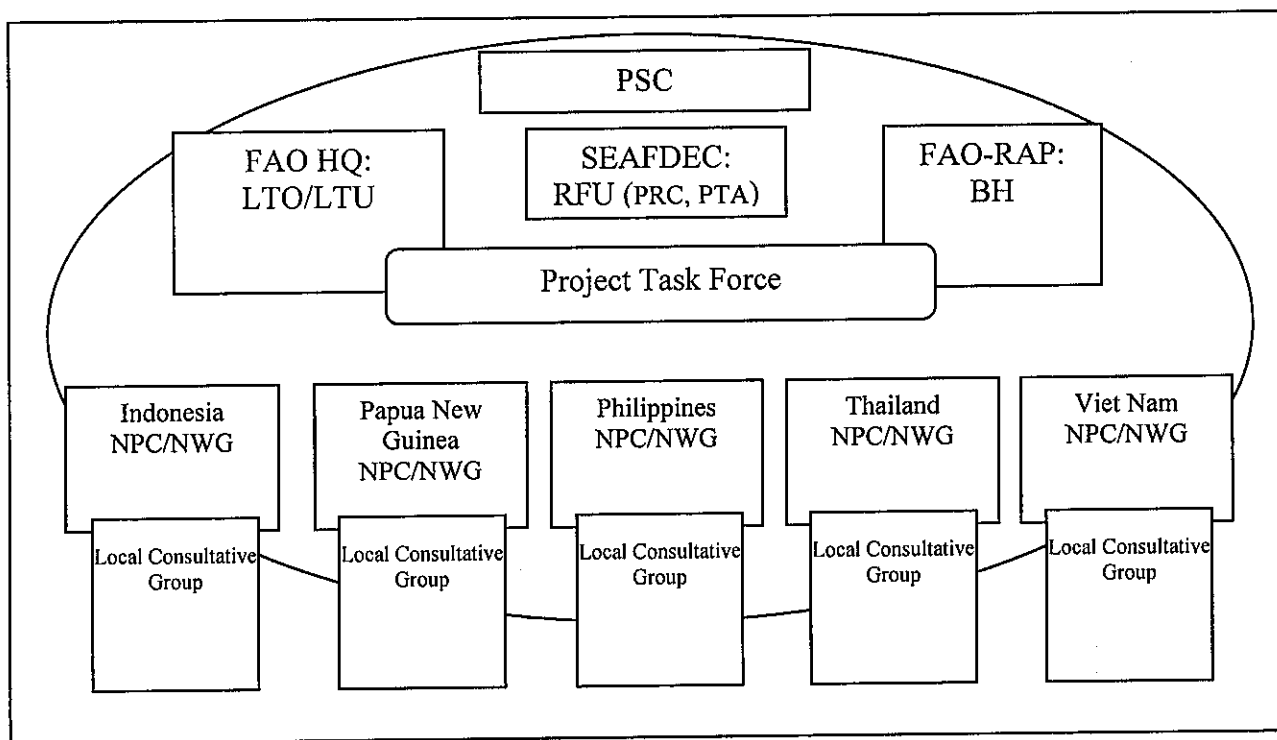
### PART III: INSTITUTIONAL COORDINATION AND SUPPORT

#### **A. INSTITUTIONAL ARRANGEMENT:**

In addition to GEF and FAO, the main institutions involved in the project are the co-financing project partners (see table 2 under section II E above) and at the national government level, relevant fisheries authorities – at central and provincial levels – local governments and co-management arrangements (when available), and the national maritime police or navy. The project will also partner with relevant universities and research institutes, NGOs, and fisher and stakeholder associations and organizations. At the regional level, SEAFDEC will play an important role as Regional project facilitator and collaboration with other relevant regional and international organizations, institutions and initiatives will be established, e.g. with other FAO projects and the projects included under the GEF CTI framework programme as described in section II E above. FAO will ensure international contacts, linkages and collaboration as appropriate and required.

The ministries in charge of the environment are the GEF Operational Focal Points and responsible for the coordination of all GEF activities in their respective countries. Coordination and collaboration between the fisheries authorities – responsible for direct project implementation – and the GEF Focal Points will be ensured through the project implementation arrangements. These arrangements will also ensure participation by all other relevant stakeholders, transparent and equitable decision-making, and efficient and effective implementation of project activities. Figure 1 below illustrates these implementation arrangements. The main functions are further described below.

**FIGURE 1: PROJECT IMPLEMENTATION ARRANGEMENTS**



#### **B. PROJECT IMPLEMENTATION ARRANGEMENT:**

##### **GEF Agency**

As the GEF agency, FAO will be responsible for oversight of the GEF resources as well as the project as a whole to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes and outputs as established in this project document, work plans and budget in an efficient and effective manner. FAO will report on the project progress to the GEF Secretariat and financial reporting will be to the GEF Trustee. FAO will administer the GEF resources in accordance with FAO's

rules and procedures and ensure the timely delivery of project inputs and outputs, in close consultation with SEAFDEC and the national fisheries authorities<sup>10</sup> who are the technical executing partners of the project (see below). FAO will closely monitor the project and provide technical support (through FAO's Fisheries and Aquaculture Department) and carry out supervision missions, as required.

The **Fishing Operations and Technology Service (FIRO)/ Fisheries and Aquaculture Resources Use and Conservation Division (FIR)** of the Fisheries and Aquaculture Department in FAO headquarters will be the **FAO Lead Technical Unit (LTU)** for the project and provide technical backstopping. The LTU will follow-up closely on implementation progress and ensure delivery of technical outputs and outcomes, and undertake regular backstopping missions. It will review and provide clearance to (i) the Terms of Reference (TOR) of consultancies, letters of agreement and contracts; (ii) the selection of the consultants and firms to be hired with GEF funding; (iii) all technical reports; (iv) project progress reports monitoring outputs as established in the project Results Framework, implementation reviews and financial reports and (v) chair the project Task Force (see below). The LTU will prepare the annual Project Implementation Review (PIR) to be cleared by the FAO GEF Coordination Unit in the Investment Centre Division (TCI) and submitted to the GEF Secretariat and GEF Evaluation Office.

The **FAO GEF Coordination Unit in TCI** will review and approve project progress reports, implementation reviews and financial reports and budget revisions. The FAO GEF Coordination Unit will review and clear the annual PIR and undertake supervision missions if considered necessary. The PIRs will be included in the FAO GEF Annual Monitoring Review submitted to GEF by the FAO GEF Coordination Unit. The FAO GEF Coordination Unit will also participate in the mid-term review and the final evaluation and the development of corrective actions in the project implementation strategy in the case needed to mitigate eventual risks affecting the timely and effective implementation of the project. All budget reviews and project progress reports are submitted to the GEF Coordination Unit for review, clearance and uploading on the FPMIS. The GEF Coordination Unit will also be responsible for reviewing and clearing budget revisions prior to submitting them to the Finance Division for final approval and for collaborating with the Finance Division in the six-monthly call for funds.

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

The **FAO Regional Office for Asia and the Pacific (FAO-RAP) in Thailand**, who will be designated as the **Budget Holder (BH)** of the project's GEF resources, will be responsible for timely operational, administrative and financial management of the project. In this capacity, the FAO-RAP will authorize the disbursement of the project's GEF resources and will designate a **Project Operational and Administrative Officer**. The BH will establish a multi-disciplinary **Project Task Force** to support the project including representatives of the Marine and Inland Fisheries Service (FIRF)/FIR, the Fisheries and Aquaculture Policy and Economics Division (FIP), the FAO Development Law Service (LEGN) and the Fishing Operations and Technology Service (FIRO - chair). The BH will work in close consultation with execution partners – SEAFDEC and national fisheries authorities – the FAO LTO (see below) and the LTU for the management of the GEF and other resources channelled through FAO. The BH will prepare Quarterly Project Implementation Reports to be copied to the LTU and the GEF Coordination Unit and uploaded in FPMIS. The BH will submit to the GEF Coordination unit and the LTU six-monthly financial reports on the use of the GEF resources (due 31 July and 31 January). Financial reporting and operations, procurement of goods and contracting of services for project activities financed by these resources will be implemented in accordance with FAO rules and procedures. Final approval of procurement, letters of agreement, and financial transactions rests with the BH who will adhere to internal FAO clearance procedures.

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<sup>10</sup> Indonesia: *Directorate General of Capture Fisheries*, Ministry of Marine Affairs and Fisheries (MMAF); Papua New Guinea: *National Fisheries Authority (NFA)*; Philippines: *Bureau of Fisheries and Aquatic Resources (BFAR)*, Department of Agriculture; Thailand: *Department of Fisheries (DOF)*, Ministry of Agriculture and Cooperatives; Viet Nam: *National Department of Capture Fishery and Aquatic Resources Protection (DECAFIREP)*, Ministry of Agriculture and Rural Development.

A **FAO Lead Technical Officer (LTO)** will be appointed in the LTU to supervise and provide technical guidance to the project. The LTO will be supported by the Project Task Force. SEAFDEC will report directly to the FAO LTO. The FAO LTO will review all reports and obtain clearance as required from the LTU, Project Task Force and/or FAO technical divisions. Following approval, the reports will be submitted by the LTO to the FAO GEF Coordination Unit as necessary. The LTO will also, with the support of the Project Operational and Administrative officer in FAO-RAP: (i) revise and clear annual work plans and budgets; (ii) review procurement and subcontracting material and documentation of processes and obtain internal approvals; (iii) conduct project supervision missions; (iv) prepare financial and monitoring reports (see section 6.2 in the FAO project document); (v) represent FAO in the Project Steering Committee; and (vi) provide technical oversight to activities carried out by the executing partners.

#### **Technical executing partners**

SEAFDEC and the national fisheries authorities will be the project technical executing partners directly responsible for technical implementation of project activities, day-to-day monitoring and financial management (in accordance with FAO rules and procedures) of the GEF resources provided to them under the project. FAO will enter into individual Letters of Agreement (LoAs) with SEAFDEC and national fisheries authorities which, as service providers (Technical Executing Partners), will execute activities under the responsibility of each one of them. Funds received under LoAs may be used *inter alia* for limited procurement of goods and for subcontracted services needed to execute the activities in conformity with FAO rules.

SEAFDEC will assume the role as **Regional Project Facilitator** and provide, in collaboration with the FAO LTO, the LTU and FAO-RAP, administrative and technical support to the national fisheries authorities with regard to project implementation. SEAFDEC will also implement regional project activities – including support to the development of the regional bycatch policy/strategy, training activities and promotion of standardized methods and approaches (e.g. for data collection) across the region. Such support will be provided in a manner consistent with the FAO Code of Conduct for Responsible Fisheries. SEAFDEC will facilitate national-regional-international linkages, including contacts with, *inter alia*, ASEAN. The institutional arrangements for project implementation provide for the use of existing structures within SEAFDEC, thereby avoiding the creation of new ones and allowing for capitalizing on existing partnerships. Nevertheless, a dedicated **Project Regional Facilitation Unit (RFU)** will be established. Regular SEAFDEC staff will assume specific responsibilities under project implementation and SEAFDEC will appoint and finance a **Project Technical Advisor (PTA)** who will be responsible for the technical project activities within the RFU as well as project outreach and communication aspects. The SEAFDEC/RFU will be strengthened by an internationally recruited project Regional Coordinator (PRC) co-funded 50% by the project's GEF funds and 50% by CIM and one part time (10 hours per week) regional administrative assistant co-funded by the project's GEF resources (6 person months) and SEAFDEC (6 person months). The project will also be supported by external specialists (project partners and project short-term consultants) that will strengthen SEAFDEC's technical and administrative capacity on all subject matters related to the project. SEAFDEC's current partners will collaborate with the project and contribute to its outputs and outcomes, as appropriate and within the existing SEAFDEC institutional arrangements.

SEAFDEC will compile information from the national technical executing partners in the project countries and submit to FAO project annual work plans and budgets and six-monthly progress reports for the GEF project and all documentation needed for the preparation of other reports required.

**The Project Regional Coordinator (PRC)** will lead the RFU and will be responsible for the overall planning and coordination of the implementation of all project activities supported by the PTA and RFU, the FAO LTO and the LTU. The PRC will work closely with the Regional Administrative Assistant in SEAFDEC, the FAO LTO and the Project Operational and Administrative officer in FAO-RAP. The proposed TOR for the post is included in annex 4 of the FAO project document.

At the national level **the fisheries authority will be the National Technical Execution Partner and a National Project Coordinator (NPC)** will be appointed in and financed by each project country. The NPC will be the main contact point for the project in each country and assume overall responsibility of all project

activities (see TOR in annex 4 of the FAO project document). The NPC will lead the team of government technical staff and project consultants that will implement project activities at the national level. More specifically, he/she will be supported by **National Technical Officers financed by the project's GEF resources** and assigned to the project full or part time according to needs and the particular country situation.

The national fisheries authority will sign a LoA with FAO allowing, inter alia, for limited procurement of goods and for subcontracted services needed to execute the activities under the project subcomponent in their country financed by GEF resources in conformity with FAO rules. Supported by the NPC, the national executing partner will (i) provide to SEAFDEC inputs for the annual work plan and budget for the project and timely six-monthly progress information on the country's subcomponent; (ii) prepare statements of expenditures, disbursement requests, and procurement and contract documentation for goods and services purchased in accordance with the LoA with FAO; (iii) prepare TOR for consultancies and contracts to be performed under the LoA; (iv) review technical products delivered by consultants and contract holders and seek the clearance from the Project Coordinator in SEAFDEC and FAO on TORs and final products; (v) participate in meetings of the PSC; and (vi) contribute to the organization of midterm review and the final evaluation.

#### **Coordination, consultation and participation**

The **Project Steering Committee (PSC)** will provide policy guidance and be responsible for approving the annual project work plans. It will include competent officers designated by the participating governments and stakeholder representatives. In addition, representatives of FAO, SEAFDEC and partners will be *ex officio* members. The PRC will act as secretary. The PSC will also approve TORs for reviews and evaluations, and consider and provide comments on external evaluations and audits. The PSC will normally meet once a year, although exceptional meetings (e.g. during the first year of start-up, if required) could be called. The chairperson of the PSC will change annually (with no country repeating) and the country of the current chairperson will normally be the host country for the annual PSC meeting.

Analogous to the PSC, at the national level, **National Working Groups (NWG)** will be established to support the NPC and guide project implementation. In addition to the national fisheries authorities, the NWG membership will include representatives of other national partners and the local Consultative Groups.

At the local level, i.e. in the selected project areas where field interventions will be carried out, expected project results include the establishment of **Management Councils** as the institutional mechanism for collaborative implementation of the trawl fisheries bycatch management plans. To become effective permanent management arrangements, the establishment of these Management Councils are likely to require time and effort – taking the need for proper procedures based on transparency and equitable rights (including gender equality) into account – and they are not expected to be formalized and fully functional until the end of the project. Thus, in the meantime, the project will work through **Consultative Groups** that will be established already at the start of project implementation. These groups will be a key instrument for stakeholder participation in project implementation and will, with the support of the project, form the basis for the subsequent establishment of permanent and officially recognized Management Councils.

The Consultative Groups will allow for different local stakeholder groups (fishers, the post-harvest sector, seafood companies and consumer representatives, local communities, NGOs, etc) to effectively participate in discussions and decision-making regarding project implementation. The Consultative Groups will meet at least bi-monthly (more often if required) and report to the NPC. The groups will also be represented on the NWG and participate in M&E of project progress towards outputs and outcomes.

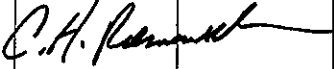
#### **PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF:**

There have been no major changes in the project's scope, objectives and purpose as compared to the original PIF that was approved by the GEF Council. Changes prompted by the Reviews and Comments from the STAP as detailed under Annex B below were considered during project preparation and included in the final

project design. Moreover, the activities included in the original Component 4 (Roll out of bycatch management and reduction methodologies by private sector in selected key fisheries) has been rearranged into the other components to better integrate similar outputs and increase the soundness of the project design. Some minor rearrangements of activities among other components were made to improve overall consistency of the project design. The overall design now more clearly establishes the instruments, mechanisms, consultative frameworks and activities that facilitate collaboration among stakeholders. More emphasis is put on establishing effective incentive packages for reduction and management of bycatch.

**PART V: AGENCY(IES) CERTIFICATION**

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for CEO Endorsement.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Charles Riemenschneider Director, Investment Center Division FAO		May 3, 2011	Francis Chopin	+39 06 57055257	Francis.Chopin@fao.org
Barbara Cooney FAO GEF Coordinator Email: <a href="mailto:Barbara.Cooney@fao.org">Barbara.Cooney@fao.org</a> Tel.+3906 5705 5478 GEF Agency Executive Director					

**ANNEX A: PROJECT RESULTS FRAMEWORK**

Impact	Baseline (2010)	Outcomes and outcome indicators
<p><u>Global Environment Objective (GEO):</u> Responsible trawl fisheries that result in sustainable fisheries resources and healthy marine ecosystems in the Coral Triangle and Southeast Asian waters by reduced bycatch, discards and fishing impact on biodiversity and the environment</p>	<p>No regional policy or strategy for trawl fisheries bycatch management but overall regional commitment to sustainable fisheries.</p> <p>Ineffective trawl fisheries management, in particular with regard to bycatch. Where management and regulatory frameworks exist that are specific to trawl fisheries and bycatch (Gulf of Papua Trawl Fisheries Management Plan/Papua New Guinea; draft Fisheries Administrative Order on JTEDs/Philippines; Master Plan for Marine Fisheries/Thailand), provisions are general, focus on turtles and/or not implemented.</p> <p>Limited data on bycatch composition and volumes and the potential impact of trawl fishing on bottom habitats.</p> <p>Inadequate knowledge and awareness of responsible trawl fishing and the measures available for improving management and supporting sustainability.</p>	<p>Agreed regional bycatch policy/strategy is adopted by at least one relevant organization in the project region<sup>11</sup> and national or area specific trawl fisheries bycatch management plans<sup>12</sup> are adopted covering at least a third of all trawlers in the project countries<sup>13</sup>.</p> <p>Measures that manage bycatch and reduce discards, and thereby improve fisheries resources, are implemented for 25% of all trawlers in the project countries. In these fisheries (covered by improved bycatch management measures), bycatch has been reduced by 20% compared to baseline data in year 1 of the project<sup>14</sup>.</p> <p>Standardized data on at least 3 key bycatch and habitat indicators are available in all project countries and inform trawl fisheries and bycatch management planning and implementation at national and regional levels.</p> <p>Enhanced understanding of responsible fishing by private sector/fishers, fisheries managers and decision-makers are supporting participatory management arrangements in all project countries.</p>
<p><u>Project Development Objective (PDO):</u> Effective public and private sector partnership for improved trawl and bycatch management and practices that support fishery dependent incomes and sustainable livelihoods</p>	<p>Management responsibilities for coastal resources are increasingly being decentralized to local governments and collaborative management arrangements are generally being encouraged in project countries. However, capacities for and systematic approaches to management planning and implementation are lacking.</p> <p>Little or no data and information available on bycatch and its importance for incomes and livelihoods.</p>	<p>Institutional arrangements and processes for public and private sector partnerships are in place and supporting trawl fisheries bycatch management in all project countries.</p> <p>The role of bycatch in trawl profitability is understood and measures for how to ensure long-term economic sustainability of trawl fisheries are identified and incorporated into trawl fisheries bycatch management plans in all project countries.</p> <p>Incentives for trawl operators to reduce bycatch are defined and implemented in all project countries and best practices communicated within relevant regional frameworks.</p>

<sup>11</sup> The project region implies the project countries as well as neighboring countries in the Coral Triangle and Southeast Asia region.

<sup>12</sup> A “trawl fisheries bycatch management plan” is understood to be an agreed framework for implementing trawl fisheries management and bycatch reduction measures, including for reduced impact on bottom habitats. This could be, for example, a fishery specific management plan that includes provisions for bycatch and discards, a national regulation or decree on bycatch and discards management applicable more widely, or a local government regulation/management rule that applies to fisheries in a specific region. The appropriate framework will depend on the country and case specific circumstances and can also be a combination of different provisions as long as the overall result provides the necessary policy, legal and institutional provisions for trawl fisheries bycatch management implementation.

<sup>13</sup> The project countries are Indonesia, Papua New Guinea, Philippines, Thailand and Vietnam.

<sup>14</sup> Baseline data will also include clear definition of what type of bycatch the reduction refers to.

Intermediate outcomes	Intermediate outcome indicators	Assumptions	Use of intermediate outcome monitoring
<b>Component 1: Policy, legal and institutional frameworks</b>			
<p>Regional bycatch priorities agreed and bycatch management plans for trawl fisheries in project areas<sup>15</sup> are established and supported by appropriate legislation and institutional arrangements for public and private sector collaboration.</p>	<p>Project partners (countries and SEAFDEC) have agreed on regional bycatch priorities that are in line with the principles of the forthcoming International Guidelines on Bycatch Management and Reduction of Discards (FAO)<sup>16</sup> and these have been formally presented to the SEAFDEC membership and other relevant regional organizations.</p> <p>At least half of all selected trawl fisheries in project areas are covered by comprehensive trawl fisheries bycatch management plans.</p> <p>Institutional arrangements and processes for public and private sector collaboration on management are in place and the trawl fisheries bycatch management plans have been formally approved by representatives from central and local governments and the private sector/fishers.</p>	<p>Political support for regional bycatch policy/strategy.</p> <p>Buy-in from all concerned stakeholders (private sector/fishers, fisheries managers, local governments, etc) to the need for trawl fisheries bycatch management.</p> <p>Capacity available to develop and subsequently implement trawl fisheries bycatch management plans.</p>	<p><b>Year 1 and 2:</b> Assess the level of agreement among countries on regional bycatch policy/strategy contents and priorities, and provide more opportunities for experience sharing/learning/discussions if required. Assess the need for changes in policy, legal and institutional frameworks to support trawl fisheries bycatch management plans and include activities accordingly in years 3-4.</p> <p><b>Year 3:</b> Draft regional bycatch policy/strategy and draft bycatch management plans for trawl fisheries in project areas should be available.</p> <p><b>Midterm review:</b> Assess level of agreement on regional bycatch policy/strategy and interest of relevant regional organizations to adopt. Review progress on establishing trawl fisheries bycatch management plans and suggest solutions/actions for possible barriers/bottlenecks.</p>
<b>Component 2: Resource management and fishing operations</b>			
<p>Management measures, including environmentally friendly fishing gears and practices that reduce bycatch, discards and the impact on biodiversity and the environment, are identified, developed/adapted and implemented in project areas.</p> <p>Incentives for trawl operators to reduce bycatch are defined and implemented in the project areas.</p>	<p>At least one gear modification (e.g. mesh size and/or BRD application, or alternative gear) is developed, tested and agreed appropriate with private sector/fishers, and at least one additional management measure (for example, closed areas/seasons or general effort restrictions) identified and included in the trawl fisheries bycatch management plans. Testing and analysis of these gear modifications/management measures show that they can reduce bycatch by at least 20% (for defined bycatch components and compared with baseline data in Year 1 of the project).</p> <p>Trawl private sector/fishers in project areas are benefiting from at least one type of positive incentive in relation to changes in trawl fisheries bycatch management (e.g. reduced – fuel or labour – costs, and/or market based incentives</p>	<p>Private sector/fishers are willing to participate and appreciate the long-term benefits of more responsible fishing over short-term impacts.</p> <p>Monitoring, control and surveillance (MCS) and enforcement structures are in place supporting implementation of management measures.</p> <p>Technological and market solutions that create economic incentives for applying responsible fishing are available and feasible to implement in project</p>	<p><b>Year 1:</b> Assess the progress on identifying possible management measure solutions and ensure that plans for testing and developing more selective gear in collaboration with private sector/fishers in years 2 and 3 are in place.</p> <p><b>Year 2:</b> Evaluate the possibilities of fishing costs and market-based incentives for more responsible fishing and make plans for incentive package implementation in years 3 and 4 accordingly.</p> <p><b>Year 3:</b> Assess progress towards having recommended management measures and incentive packages finalized and ensure their inclusion in trawl fisheries bycatch management plans.</p> <p><b>Midterm review:</b> Assess coherence between draft trawl fisheries bycatch management plans and recommended gear modifications/management measures and incentive packages. Evaluate threats and opportunities for their implementation and propose</p>

<sup>15</sup> The project areas include selected geographic regions and trawl fisheries in each project country. See description in section 2.1 and Appendix 6.

<sup>16</sup> On the request by the 28<sup>th</sup> Session of the FAO Committee on Fisheries (COFI), and supported by United Nations General Assembly (UNGA) Sustainable Fisheries Resolutions 64/72 and 61/105, FAO is leading the development of forthcoming International Guidelines on Bycatch Management and Reduction of Discards (an FAO held Technical Consultation is planned for December 2010).



	such as price premiums or niche markets).	areas.	supporting activities as required. Make recommendations for how project results can be reflected in regional bycatch policy/strategy.
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Intermediate outcomes	Intermediate outcome indicators	Assumptions	Use of intermediate outcome monitoring
<b>Component 3: Information management and communication</b>			
<p>Improved data on bycatch and potential fishing ground impact information – collected through standardized methods across all project countries – are available from project areas and inform national/specific area trawl fisheries bycatch management plans.</p> <p>The role of bycatch in trawl profitability is understood and measures identified for how to ensure long-term economic sustainability of trawl fisheries in the project areas.</p>	<p>Basic bycatch and discards data (e.g. total catch composition by main species/species groups, share of low-value and trash fish in total catch, incidence of turtle or similar catches, discards, etc) are available for at least half of all trawl fisheries in project areas.</p> <p>Maps of trawl fishing grounds indicating seabed types and critical bottom habitats available for at least two trawl fisheries in the project areas.</p> <p>Data are available on bycatch values (and its relative share in total revenues) and utilization for all trawl fisheries in project areas.</p> <p>At least 3 indicators, critical for trawl fisheries bycatch management, are identified and processes established for collecting the related data on a regular basis.</p> <p>Project communication material is available and distributed in the project region.</p>	<p>Private sector/fishers are willing to share information and IUU fishing does not influence the completeness or distort data.</p> <p>Enforcement mechanisms are in place and effective for data related regulations (log book etc).</p>	<p><u>Year 1:</u> Assess progress on identifying key data needs and indicators and related data sources and collection methods. Adjust work plans for years 2-4 accordingly as required.</p> <p><u>Year 2 and 3:</u> Assess progress on data collection, verify suitability and cost-effectiveness of methods and choice of indicators and, if needed, adjust the scope and processes for future data collection.</p> <p><u>Midterm review:</u> Review progress on data collection and the feasibility to make processes permanent. Compare data and indicators across countries and evaluate their regional relevance. Assess the relevance of existing communication material and channels. Make recommendations for how to turn project results into best practice for project countries and region (to be reflected in regional bycatch policy/strategy).</p>
<b>Component 4: Awareness and knowledge</b>			
<p>Private sector/fishers, fisheries managers, local governments and other stakeholders have better knowledge on bycatch issues and participate in developing and implementing national/specific area bycatch management plans.</p>	<p>Trawl fisheries bycatch management plans have been developed in consultation with key stakeholders.</p> <p>Higher degree of compliance by fishers to existing regulations and less registered violations.</p>	<p>Increased awareness and improved knowledge can be turned into positive action leading to reduced bycatch and fishing impact.</p> <p>Private sector/fishers are willing and have the time and capacity to work with the project.</p>	<p><u>Year 1:</u> Assess needs for awareness raising, training and capacity building. Design activities accordingly to be implemented in years 2-4.</p> <p><u>Year 2 and 3:</u> Assess progress of awareness and capacity building activities and compare results with expectations. Adjust future activities accordingly as required.</p> <p><u>Midterm review:</u> Review impact of capacity building activities and assess if capacities created are likely to be sufficient for stakeholders to participate in management planning and implementation. Propose corrective actions as required.</p>

## Arrangements for Results Monitoring

	Target Values				Data Collection and Reporting			
	Baseline	Year 1	Year 2	Year 3	Year 4 End of Project	Data Collection Instruments, Frequency and Reports	Responsibility for Data Collection	
<b>Component 1: Policy, legal and institutional frameworks</b>								
<b>Outputs and targets:</b>								
1.1 The forthcoming International Guidelines on Bycatch Management and Reduction of Discards adopted by all five project countries and regional bycatch priorities agreed by project partners and presented in published policy/strategy document.	No regional bycatch policy/strategy.	Regional workshop agreeing on intention and work plan.	Draft priorities available.	Draft regional policy/strategy available.		Project website and project reports	Project staff and national counterpart in collaboration with FAO, SEAFDEC and other partners well as relevant stakeholder representatives.	
1.2 At least 3 national or area specific trawl fisheries bycatch management plans in the project areas agreed by stakeholders and adopted by relevant authorities.	Elements of relevant management frameworks exist but no comprehensive approach.	Management needs assessment for each fishery/area.	At least 2 draft trawl fisheries bycatch management plans.	50% of draft plans adopted.		Plan documents and meeting minutes		
1.3 Legal and regulatory frameworks relevant for trawl fisheries bycatch management reviewed and recommendations for adjustments developed with and agreed in principle by the competent national authorities.	Some relevant regulations exist but not always sufficient and/or implemented.	Policy, legal and institutional framework reviews completed in 2 project countries.	Policy, legal and institutional framework reviews completed in all project countries.	Recommendations agreed in all project countries.		Project report and meeting (with government) minutes		
1.4 Institutional arrangements (Management Councils) for collaborative trawl fisheries bycatch management established and functioning in accordance with agreed bycatch management plans (output 1.2).	Co-management arrangements regrouping different stakeholders exist in some project areas but inadequate capacities.	Temporary consultative groups for project management and stakeholder participation set up. Stakeholder analyses and institutional assessments completed for all fisheries/areas.	TORs, membership rules and other institutional definitions drafted for all fisheries/areas.	Institutional arrangement set up and functioning for 50% of fisheries/areas.		Project report and meeting (of collaborative management group) minutes		
				<b>Target Values</b>		<b>Data Collection and Reporting</b>		

Baseline	Year 4 End of Project	Data Collection Instruments, Frequency and Reports	Responsibility for Data Collection
<b>Component 1: Policy, legal and institutional frameworks - CONTINUED</b>			
<u>Intermediate outcomes:</u> Regional bycatch priorities agreed and bycatch management plans for trawl fisheries in project areas are established and supported by appropriate legislation and institutional arrangements for public and private sector collaboration.	<i>See below</i>	Project partners (countries and SEAFDEC) have agreed on regional bycatch priorities and these have been formally presented to the SEAFDEC membership and other relevant regional organizations.  All selected trawl fisheries in project areas are covered by comprehensive trawl fisheries bycatch management plans.  Institutional arrangements and processes for public and private sector collaboration on management are in place and the trawl fisheries bycatch management plans have been formally approved by representatives from central and local governments and the private sector/fishers.	
<u>Outcome:</u> Agreed regional bycatch policy/strategy and national or area specific trawl fisheries bycatch management plans that are in line with the forthcoming International Guidelines on Bycatch Management and Reduction of Discards are adopted and supported by institutional arrangements and processes for public and private sector partnerships.	No regional policy or strategy for trawl fisheries bycatch management but overall regional commitment to sustainable fisheries.  Management responsibilities for coastal resources are increasingly being decentralized to local governments and collaborative management arrangements are generally being encouraged in project countries. However, capacities for and systematic approaches to management planning and implementation are lacking.	Regional policy and strategy are adopted by at least one relevant regional organization. National and area specific plans cover at least a third of all trawlers in the project countries and have been agreed by representatives for public and private sector stakeholders.	



	Baseline	Target Values				Data Collection and Reporting	
		Year 1	Year 2	Year 3	Year 4 End of Project	Data Collection Instruments, Frequency and Reports	Responsibility for Data Collection
<b>Component 2: Resource management and fishing operations</b>							
<b>Outputs and targets:</b>							
2.1 More selective trawl gear and/or alternative fishing practices used by at least half of the trawlers in project areas.	Some gear regulations exist but poorly implemented and not comprehensive.	Potential gear modifications identified and trial/development work plan drawn up.	Trials have led to selection of suitable gear modifications onboard test vessels.	Modified gear introduced to all trawlers in the selected project areas through demonstrations and training.	Project report. Onboard observations.	Project staff and national counterpart in collaboration with FAO, SEAFDEC and other partners well as relevant stakeholder representatives.	
2.2 Selection criteria and recommendations for demarcating fishing zones and areas for spatial-temporal closures are identified in at least 2 project areas/countries. <sup>17</sup>	Inshore waters are often reserved for small-scale fisheries but limited use of other spatial-temporal closures.	Priorities and methods for seabed, fishing effort and sensitive areas/habitats mapping identified.	Maps of seabed, fishing effort and sensitive areas/habitats available for at least 2 of the project areas/countries.	Recommendations for spatial-temporal closures agreed by project partners and presented to competent authorities for at least 2 project areas/countries.	Maps (GIS/on project website). project reports.		
2.3 Inventory of selected trawl fleets in project areas drawn up and recommendations for fishing effort and capacity management strategy communicated to competent national authorities.	Number of larger vessels often known but small-scale sector is poorly monitored.	Existing vessel registry systems reviewed and criteria for registration of project areas trawlers defined.	50% of all trawlers of selected fleets in project areas included in inventory. Draft recommendations for capacity management agreed with private sector/fishers and other stakeholders in half of the project fisheries/areas.	75% of all trawlers of selected fleets in project areas included in inventory. Draft recommendations for capacity management agreed with private sector/fishers and other stakeholders in all project fisheries/areas.	Vessel inventory. Project reports. Meeting minutes.		
2.4 SWOT and feasibility analysis of possible incentive packages	No or limited information on	Potential types of incentive packages	SWOT analysis and feasibility		Project reports.		

<sup>17</sup> See also output 3.1.

	Baseline	Target Values				Data Collection and Reporting	
		Year 1	Year 2	Year 3	Year 4 End of Project	Data Collection Instruments, Frequency and Reports	Responsibility for Data Collection
<b>Component 3: Information management and communication</b>							
<b>Outputs and targets:</b>							
3.1 Data and data collection methods for bycatch, discards and seabed impact in project areas available and published in relevant national and regional information systems <sup>19</sup> .	Limited data available.	TOR for data collection drawn up and standardized methods for all project countries (observer programs, logbook systems, landing site surveys, mapping of fishing grounds) agreed with project partners/ stakeholders.	Data collected from sample trawlers.	Number of trawlers in sample doubled, data collected and analyzed. Standardized data collection methods agreed by project countries.		Published report. At the end of project: Project website.	Project staff and national counterpart in collaboration with FAO, SEAFDEC and other partners well as relevant stakeholder representatives.
3.2 System set up for monitoring of bycatch reduction (volume) as a result of modified gear and improved management and its likely impact on incomes (bycatch value).	No monitoring system.	Key indicators identified and baseline data collected from sample trawlers/fishers.	Design of monitoring system and data collection processes.	Report on likely impacts based on sample trawler information and including recommendations for continued monitoring.		Project report.	
3.3 Project website set up in Year 1 and developed into a regional information sharing mechanism for bycatch management by end of project.	No website or mechanism for regional bycatch data.	Website functional.				Website. User survey.	
3.4 Project IEC material available.	Some relevant IEC material available from SEAFDEC and from REBYCI.	Initial IEC material produced and distributed.		IEC material based on lessons learnt and project results produced and		IEC material.	

<sup>19</sup> See also output 2.2.

				distributed in the project region.				

	Baseline	Target Values		Data Collection and Reporting	
			Year 4 End of Project	Data Collection Instruments, Frequency and Reports	Responsibility for Data Collection
<b>Component 3: Information management and communication – CONTINUED</b>					
<b>Intermediate outcomes:</b>					
Improved data on bycatch and potential fishing ground impact information – collected through standardized methods across all project countries – are available from project areas and inform national/specific area trawl fisheries bycatch management plans.	<i>See below</i>	Basic bycatch and discards data (e.g. total catch composition by main species/species groups, share of low-value and trash fish in total catch, incidence of turtle or similar catches, discards, etc) are available for at least half of all trawl fisheries in project areas and methods developed for their collection. Trawl fishing grounds data indicating seabed types and critical bottom habitats available for at least 2 of the project areas/countries.  Data are available on bycatch values (and its relative share in total revenues) and utilization for all trawl fisheries in project areas.  At least 3 indicators, critical for trawl fisheries bycatch management, are identified and processes established for collecting the related data on a regular basis.			
The role of bycatch in trawl profitability is understood and measures identified for how to ensure long-term economic sustainability of trawl fisheries in the project areas.	<i>See below</i>				
<b>Outcome:</b> Standardized data for key indicators, including on economic performance, are available in all project countries and inform trawl fisheries and bycatch management planning and implementation at national and regional levels.	Limited data on bycatch composition and volumes and the potential impact of trawl fishing on bottom habitats.  Little or no data and information available on bycatch and its importance for incomes and livelihoods.	Data available for at least 3 indicators and lessons learnt reflected in regional bycatch policy/strategy.			



	Baseline	Target Values				Data Collection and Reporting	
		Year 1	Year 2	Year 3	Year 4 End of Project	Data Collection Instruments, Frequency and Reports	Responsibility for Data Collection
<b>Component 4: Awareness and knowledge</b>							
<b>Outputs and targets:</b>							
4.1 Fishers and other relevant stakeholders (fisheries managers, local government officials, etc) in project areas have improved their knowledge on bycatch, sustainability issues and collaborative management through training, project information and/or participation in project activities.	Limited knowledge and hence inadequate fisheries management capacities.	Training needs assessment completed.	20 persons trained in each project country.	Additional 20 persons trained in each project country (total 40). An additional 30 persons will have benefited from study tours and participation in project activities.	Project reports. Verification in the field.	Project staff and national counterpart in collaboration with FAO, SEAFDEC and other partners well as relevant stakeholder representatives.	
4.2 Regional and national policy and decision-makers have been sensitized with regard to responsible trawl fisheries management through project information and workshops.	While responsible fishing practices generally are on the political agenda, the specific issues with regard to trawl fisheries bycatch management are less well known.	20 participants from the project region have been sensitized about trawl fisheries bycatch management and the project.			Workshop reports.		
4.3 Private sector/fisher 'champions', technical officers and extension workers (government and NGOs) have improved their knowledge on BRDs and other management measures through training (250 persons trained).	Insufficient technical knowledge on available management solutions.	Training needs assessment completed.	20 persons trained in each project country.	Additional 20 persons trained in each project country (total 40).	Project reports.		

	Baseline	Target Values		Data Collection and Reporting	
		Year 4	End of Project	Data Collection Instruments, Frequency and Reports	Responsibility for Data Collection
<b>Component 4: Awareness and knowledge – CONTINUED</b>					
<b>Intermediate outcomes:</b>					
Private sector/fishers, fisheries managers, local governments and other stakeholders have better knowledge on bycatch issues and participate in developing and implementing national/specific area bycatch management plans.	<i>See below</i>				
<b>Outcome:</b> Enhanced knowledge and understanding of responsible fishing by private sector/fishers, fisheries managers and decision-makers are supporting participatory management arrangements in all project countries.	Inadequate knowledge and awareness of responsible trawl fishing management and the measures available for improving management and supporting sustainability				
		Trawl fisheries bycatch management plans have been developed in consultation with key stakeholders.  Higher degree of compliance by fishers to existing regulations and less registered violations.			



**ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF)**

**GEF Secretariat comments at PIF to be addressed at CEO endorsement:**

1. The description of consistency with specific national policies is still weak. Needs to be covered by CEO endorsement.
2. Reference to CTI has been corrected. Strong coordination with other projects under the CTI must be ensured during preparation and documented at endorsement

**FAO response to GEF Secretariat comments at PIF:**

1. This aspect has been addressed in the project preparation and is included in Section II B.
2. All key partners in the CTI program has been invited and participated in the project preparation (workshops, meetings) to insure the coordination with other projects under this program. During project execution the coordination will be done as described in Section II E.

**Council member comments and FAO responses:**

No comments were raised by Council Members at PIF.

**STAP Scientific and Technical screening of the Project Identification Form (PIF):**

Date of screening: March 13, 2009

Screeners: Douglas Taylor, STAP Secretary  
Panel member validation by: Meryl Williams

1. Based on this PIF screening, STAP's advisory response to the GEF Secretariat and GEF Agency(ies):  
**Major revision required**

**III. Further guidance from STAP**

2. This project needs much greater clarity in its objectives and design if it is to succeed. The Panel recommends that the following points are addressed during project formulation and therefore the FAO is requested to contact the Panel at an early stage and well before the full project brief is submitted for CEO endorsement, in order to agree a suitable review point.

3. Clarity is needed in specifying the bycatch priorities, the fishing methods to be addressed and how. Bycatch species priorities, which can differ with country and fishing area, will largely determine which fishing methods are of greatest concern. Are the bycatch priorities to be the large species (turtles, mammals, whale sharks, etc) or small prey species and juveniles of higher value fish? In part, the PIF infers that trawl fisheries will be the main ones targeted. This is logical given that this form of fishing is generally less selective than purse seine and gill-net fishing. However, depending on species priorities, other types of fishing may also be very important, e.g., bottom set gillnets can be highly effective in catching sea turtles. The focus on trawl fishing and the reasons for it should be made clearer. Clarity is also needed in specifying the retail and consumer organizations likely to help. For example, does the project intend to work with the growing power of the supermarket chains, with the often government linked wet markets or the many variants of private and family companies that take product from the fishing vessels, process and market it? What incentives will drive these different types of buyers? How will the consumers be reached? The PIF does not address these points.

4. Strictly speaking, this project will not “protect” aquatic resources and stocks as is asserted in the project objective. The project may achieve the promotion of conservation outcomes through reduction in bycatch provided that the expected project outcomes are achieved, thus rewording of the project objective is necessary.

5. The fundamental thesis of the project appears to be that through working with the fishing community whether private or public, that (unintended) bycatch can be reduced through a mix of technical and awareness raising means. The matter of economic incentives (and disincentives) is not directly addressed and yet is likely to be an important factor. Today, most of the catch has an economic value and to reduce landing of some of it may reduce fishing profits unless fishing efficiency can be improved by reducing less valuable catch. As needs for fish as feed in aquaculture has grown in the region, ‘bycatch’ or incidental catch of species discarded at sea is now minimal (Kelleher, K. 2005. Discards in the World’s Marine Fisheries: An Update, *FAO Fisheries Technical Paper 470*). Further, low-value fish is seen as critical to the livelihoods of many people in Asian fishing communities (Funge-Smith *et al.* 2005. Asian fisheries today: The production and use of low value/trash fish from marine fisheries in the Asia-Pacific region. *FAO RAP Publication 2005/16*).

6. Moving from reduction of shrimp bycatch to reduction of bycatch across the entire fishing industry is both commendable and exceedingly hard. Defining bycatch will be more difficult than for the shrimp industry, where the target and hence ‘bycatch’ species may be more defined and may be somewhat more amenable to market incentives for good practices. However, in all Southeast Asian fisheries, including those that catch shrimp in season, widely varying definitions or expectations of which species are target catch species and which are bycatch will impede agreement on bycatch avoidance priorities, excepting well publicized groups of species, e.g. turtles, marine mammals.

7. The lack of possible Indicators and their monitoring is a current weakness of the proposed project. The previous GEF project referred to from the PIF published a useful guidance manual ‘A Guide to Bycatch Reduction in Tropical Shrimp-Trawl Fisheries’, however, this did not deal with how to select or monitor indicators of reduced bycatch, and the present proposal appears essentially to be an input driven, rather than a results based approach. Further, the national fisheries agencies and the regional fisheries management organizations in the Coral Triangle generally lack the capacity to collect and monitor progress.

#### **FAO response to STAP Comments, Rome – Italy, 1 July 2010:**

The STAP screening of the PIF for the above project concluded that major revisions would be required to make it successful. The STAP comments stressed the need for greater clarity in objectives and design. Some other issues were also raised to be considered during the project preparation. The Panel requested FAO to make new contact before submission of the full document for CEO endorsement in order to allow for a renewed review. As a response to this request please find enclosed the draft project Results Framework for your review and comments, and below please find explanations on how the STAP recommendations are being taken into account in the current project design process.

#### **Focus on trawl fisheries and specification of bycatch priorities (comment No 3):**

The project will work directly with the bottom trawl subsector and focus its activities on selected geographic locations and fisheries in each project country. Lessons learnt from these field interventions will be the basis for the formulation of better policies and strategies at the national and regional levels. It is expected that the experience gained will be useful when looking at bycatch issues in fisheries using other gear with regard to, for example, methods for participatory development of gear and management solutions, and the use of incentives (see also below).

The choice of bottom trawling as the focus of the project is based on the need for the project to be selective (the scope and resources of the project require that efforts be concentrated in order to achieve results) and on the fact that bottom trawling tends to generate large quantities of bycatch (fish that should not be caught). The trawl subsector in the project countries is diverse and involves both small and large-scale trawlers and operations amounting to an estimated total of some 57 000 boats. It constitutes an important part of the total

marine fisheries economy with an estimated average share of total onboard marine capture employment of 8 percent (268 000 fishers) and 13 percent of total reported marine catches (1 616 000 MT annually) in the five project countries. A large amount of these catches is bycatch, including low-value and trash fish; preliminary figures indicate an average of about a third with higher ratios in the large-scale subsector.<sup>20</sup>

Bycatch in the project region is not clearly defined. It is generally an integral part of the overall catch and for the most part utilized. Hence, bycatch management is a complex issue that needs to be addressed in a broader trawl fisheries management framework. Nevertheless, the bycatch increasingly includes juveniles of economically valuable and ecologically important species and other organisms that should not be caught. The project proposes to address several different types of bycatch issues as there is a need to:

- Minimize the catch of juveniles of important commercial species.
- Avoid capture of turtles (and marine mammals and other larger species)
- Minimize discards where such take place.
- Avoid destructive impact on bottom habitats.

All these aspects will not be addressed equally in all project countries but key issues in the selected sites and fisheries will be identified and included in project design. Thanks to the project's regional structure, allowing for systematic dissemination and sharing of experiences, project resources can in this way be used effectively and results with regard to a wider range of issues maximized (see also Results Framework).

Rewording of the Project objective (comment No 4):

The project objective has been reformulated into a Global Environment Objective (GEO) and a project Development Objective (PDO). Accordingly, the following rewording is suggested (see also Results Framework):

GEO:

*Responsible trawl fisheries that result in sustainable fisheries resources and healthy marine ecosystems in the Coral Triangle and Southeast Asian waters by reduced bycatch, discards and fishing impact on marine biodiversity and environment*

PDO:

*Effective public and private sector partnership for improved trawl and bycatch management and practices that support fishery dependent incomes and sustainable livelihoods*

Moreover, a slight change in the name of the project is suggested to better reflect its contents: **Strategies for Trawl Fisheries Bycatch Management (REBYC II CTI)**<sup>21</sup>.

Use of incentives to promote more responsible fishing practices and management (comments Nos 3,5 and 6):

Considering the economic value of bycatch, particularly in countries and areas where poverty and food security are major concerns, the difficulties in achieving sustainable results with regard to introducing more selective and responsible fishing should not be underestimated. In addition to using a broad management approach (i.e. looking into and linking with other initiatives dealing with, for example, fishing effort and capacity reductions, and including the possible use of management measures such as closed areas and seasons), promoting knowledge and awareness, and working closely with the fishers and other stakeholders in public and private sector partnerships, the project will also include the development of incentive packages as an important tool for bycatch reduction.

There are two main streams of economic incentives that will be explored by the project: reduction of fishing costs (e.g. redesign of fishing gear and operational procedures leading to lower fuel consumption and less labour for sorting catch) and market-based incentives (e.g. price premiums for environmentally friendly and high quality products and access to niche markets). Because of the variety of products and the complexity of the marketing systems, it is at this point difficult to provide more precise information on what the incentives

<sup>20</sup> The figures given in this paragraph are preliminary estimates that will be further verified in the Project design process and subsequent Project implementation.

<sup>21</sup> The acronym within brackets refers to the former (phase 1) FAO/UNEP/GEF global shrimp bycatch project (abbreviated REBYC) and the geographic basis for this follow-up project (Coral Triangle Initiative - CTI).

will be. Instead, the development and implementation of incentive packages will be included as project activities and outputs/outcomes (see component 2 in the Results Framework). The project will investigate the potential incentive packages that would be appropriate and feasible in different locations and situations and develop implementation strategies accordingly. This will be done in close collaboration with fishers, relevant market actors and other stakeholders. The project is partnering with the WWF Coral Triangle Programme that is already working on similar initiatives. Moreover, initial contacts have been made with a number of seafood companies and organizations working in the region with which the project will build partnerships during its implementation.

Indicators and monitoring (comment No 7):

An important part of the project is information management and communication (component 3 – see Results Framework) and this includes the setting up of monitoring systems and procedures, both for tracking project progress during its implementation and for longer-term use by the countries. The Results Framework includes indicators for outputs and some outcomes. Further outcome and impact indicators will be identified and baselines established during the first year of the project as part of the final design of pilot interventions in each country. It is foreseen that the actual reduction of bycatch (in volume) on trawlers and in fisheries where bycatch reduction devices (BRDs), selective gear and management measures are introduced will be one type of indicator. Another type of indicator will focus on the economic aspects of bycatch reduction (value of catch and income). Other indicators may be added according to identified needs and the outcomes of stakeholder consultations on this issue.

The project also contains provisions for developing standardized bycatch data collection methods, for sharing information among countries and in the region, and for ensuring that the improved information that becomes available informs policies and strategies at all levels.

**STAP Scientific and Technical review at CEO Endorsement stage**

Date of review: August 3, 2010

Reviewer: Meryl Williams, Panel Member

This review is provided by STAP to the GEF Agency in response to an email from FAO dated July 29, 2010, enclosing FAO's response to STAP's comments including a draft results framework dated July 1, 2010.

1. **Focus:** The explicit focus of the project on trawl fisheries, including making this clear in the title, is supported. In addition, the Global Environment Objective (Benefit) and the Project Development Objective are also in line with this more focused approach.
2. **Investigation into possible incentives:** The new attention to incentives to reducing bycatch, in addition to more regulatory approaches (closed areas, etc), is a big move in the right direction. FAO and partners will need to undertake detailed technical and social science analysis to understand the current incentives to keep bycatch, which go well beyond poverty. The structure of catch/profit sharing on vessels between skipper and crew, which was identified in earlier FAO work on bycatch, as well as the market uses, will need careful study. Nevertheless, STAP is satisfied that FAO is sufficiently aware of the challenges and in touch with CTI and other actors to seek innovative and workable solutions.
3. **Indicators:** The outline of an indicators system is described in the Results Framework document. More work will be needed during the start-up of the project to flesh out who will be responsible for collecting the relevant data, using which instruments and with what frequency. FAO and partners are encouraged to give this work high priority as it will also demonstrate to the countries what meaningful results will look like.
4. Overall, STAP is satisfied that FAO has addressed STAP's concerns. STAP is also aware that the teams to be involved, FAO and SEAFDEC, along with the countries, are the best and most appropriate to undertake this important work.

**ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF RESOURCES**

<i>Position Titles</i>	<i>\$/ person month*</i>	<i>Estimated person months**</i>	<i>Tasks to be performed</i>
<b>For Project Management</b>			
<b>Local</b>			
Regional administrative support	500	12	Support the Project Regional Coordinator (PRC) by undertaking administrative tasks related to the RFU's responsibility as requested. Prepare background information for use in discussions with government institutions, stakeholders, partners and other organizations. Maintain updated filing system of electronic documents related to tasks under his/her responsibility in the Unit's servers.
<b>International</b>			
International Finance Officer	12,000	1	Assist the FAO Budget Holder in the financial management of the project via the Oracle system and applying FAO financial rules and procedures for reporting and budget revisions.
Procurement and Human Resources Advisor	12,000	0.5	Assist the FAO budget holder and the RFU to apply FAO procurement policies, prepare bidding documents including the review of the Terms of Reference prepared by the correspondent technical specialists, for each procurement administrative process.
Operational and Administrative Officer	5,000	30.4	Be responsible for the procurement of all acquisitions needed for the implementation of the project and budgeted to be financed by GEF resources. Apply FAO procurement policies and be responsible for preparing bidding documents including the review of Terms of Reference prepared by the correspondent technical specialists, for each procurement administrative process.
Project Regional Coordinator	12,000	2	Support the Operational and Administrative Officer at FAO-RAP (the Budget Holder – BH) with preparation of quarterly statements of expenditures, disbursement requests, and procurement and contract documentation for goods and services purchased in accordance with the SEAFDEC-FAO LoA and for other components of the project, as required.
Project management will require travel for coordination and supervision activities.			
<b>For Technical Assistance</b>			
<b>Local</b>			
National Technical Officers (5)	1,257	187	Prepare national work plans and budgets and submit these to the PRC for clearance and incorporation into overall Project Annual Work Plan and budgets. Be responsible for the implementation of national work plans. Ensure that monitoring mechanisms are in place at the national and local level allowing for tracking progress according to targets established in national work plans as well as to output and outcome indicators in the Project's Results framework. Provide progress reports to the PRC for compilation into overall Project Progress reports. Support national activities in the country, supervise national project staff and consultants and prepare contractual arrangements. Liaise with relevant national organizations and partners and support communication, coordination and collaboration. Organize the NWG meetings and



			act as Secretary of the meetings. Participate in project regional workshops and meetings, and represent the project in relevant national events and conferences. Perform other related duties as required.
National temporary assistance	300	100	Assist the National Project Coordinator in administration and financial management of the national components in accordance with procedures established in the LoA with FAO.
Regional temporary assistance	500	16	Assist the Regional Project Coordinator in administration and financial management of the regional activities in accordance with procedures established in the LoA with FAO.
Policy, legal and institutional frameworks specialist	2,000	28	1-2 months consultancies are foreseen in each five country in each year to support the implementation of activities in Component 1 including review of the legal and regulatory framework for bycatch management and recommendations on adjustments.
Resource management and fishing operations specialist	2,000	28	1-2 months consultancies are foreseen in each five country in each year to support the project implementation of activities in Component 2 including introduction of alternative gears for trawl fishery, demarcation of areas for temporal fisheries closure, inventory of trawl vessels in project areas and feasibility analysis of possible incentive packages.
Information management and communication specialist	2,000	26	1-2 months consultancies are foreseen in each five country in each year to support the project implementation of activities in Component 3 including developing data collections methods for bycatch and sea-bed impacts in project area, setting up system for monitoring bycatch reduction as a result of modified gear and improved management actions and its likely impact on incomes, setting up project website and develop a regional information sharing mechanism, and make project IEC material available.
Awareness and knowledge management specialist	2,000	26	1-2 months consultancies are foreseen in each five country in each year to support the project implementation of activities Component 4 including training of fishers and other relevant stakeholders on bycatch issues and collaborative management, ensuring that regional and national policy and decisions-makers have been sensitized with regard to responsible trawl fishery management through project information and workshops, and ensuring through training that private sector and other key stakeholders have improved their knowledge on bycatch management measures .
<b>International</b>			
Project Regional Coordinator	12,000	22	Under the oversight of the Secretary-General of SEAFDEC and the Project Steering Committee (PSC), the overall direction and supervision of the LTO and Project Task Force, reporting to the FAO Budget holder (administrative matters) and FAO LTU (technical matters) and receiving technical advice from the FAO Lead Technical Unit (LTU) and the Project Technical Advisor (PTA), the PRC will be responsible for all operational aspects and overall implementation of the project. Specifically, he/she will: <ul style="list-style-type: none"> <li>• Provide oversight and ensure that all operational aspects and overall implementation of the project are in accordance with FAO and GEFs rules and procedures at the regional level, and that technical activities implemented within the project are consistent with the Code of Conduct for Responsible Fisheries and an ecosystem approach to fisheries and related instruments.</li> <li>• Manage the project monitoring system and tracking output and outcome indicators as established in the Project's Results</li> </ul>

			<p>framework.</p> <ul style="list-style-type: none"> <li>• Prepare and follow up on Annual Project work plans and budgets (based on inputs from the country executing partners).</li> <li>• Prepare and submit project progress reports based on reporting from country executing partners, ensuring technical quality and submit the compiled overall project progress and other reports to the FAO LTO in accordance with GEF and FAO reporting requirements and provide any project related information required by FAO and/or GEF;</li> <li>• In collaboration with the PTA, review TOR for consultancies and contracts to be performed under the SEAFDEC-FAO LoA and under the LoAs with country executing partners for submission to FAO for clearance. Review and provide comments on technical products delivered by consultants and contract holders contracted by the GEF project.</li> <li>• Be responsible for partner coordination – including among SEAFDEC departments – and liaison with donors and other projects, programmes and organizations. Coordinate institutional arrangements and meeting/workshop activities needed to exchange lessons learned, harmonize approaches and execute the project at the regional level.</li> <li>• Provide on-the-job capacity building and mentoring to SEAFDEC staff on project management and administration, as required.</li> <li>• Conduct periodic coordination missions to the participating countries.</li> <li>• Represent the project in relevant coordination meetings and conferences.</li> <li>• Organize the PSC meetings and act as Secretary of the meetings.</li> <li>• In consultation with the FAO Office of Evaluation, LTO, and the FAO GEF Coordination Unit, support the organization of mid-term review and the final evaluation, contribute to the development of an eventual agreed adjustment plan for project execution and supervise its implementation.</li> <li>• In close collaboration with Regional Facilitation Unit (RFU) and project staff, consultants and partners, implement the programme of the project.</li> <li>• Perform other related duties as required.</li> </ul>
Policy, legal and institutional frameworks expert	12,000	1	Assist in reviewing policy, legal and institutional packages.
Resource management and fishing operations expert	12,000	1	Assist in developing incentives packages and as required.
Information management and communication expert	12,000	2	Assist in developing a bycatch monitoring system and data collection methods.
Awareness and knowledge expert	12,000	1	Assist in training needs assessments and development of training programmes
Mid-term review and final evaluation experts	5,000	6	Mid-term review and terminal evaluation.

**ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS**

**A. EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.**

The studies and activities foreseen in the PPG document have been undertaken, and the aims of the PPG phase have been met.

**B. DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY:**

Please see section II G

**C. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:**

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF Amount (\$)</i>			<i>Uncommitted Amount*</i>	<i>Co-financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>		
1. Review fishery sector/bycatch related policy, legislation and institutional arrangements, and set out framework for action	Completed	30,000	25,258		4,742	33,500
2. Scope, define and describe key fisheries, fleets and fishing communities associated with potential bycatch management strategies	Completed	30,000	24,900		5,100	40,170
3. Define and develop potential management and technical options for better bycatch management and reduction.	Completed	38,200	31,700		6,500	40,920
4. Assess development and capacity building needs at local and organisational levels, and identify strategies and approaches.	Completed	35,000	29,050		5,950	33,543
5. Define and develop approach for awareness raising.	Completed	16,800	13,950		2,850	16,600
6. Define potential criteria and approaches for monitoring and evaluation (M+E) systems.	Completed	45,000	37,350		7,650	19,340
<b>Total</b>		<b>195,000</b>	<b>162,208</b>		<b>32,792</b>	<b>184,073</b>

\* Any uncommitted amounts should be returned to the GEF Trust Fund. This is not a physical transfer of money, but achieved through reporting and netting out from disbursement request to Trustee. Please indicate expected date of refund transaction to Trustee.

**ANNEX E: CALENDAR OF EXPECTED REFLOWS N/A**