

PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: FULL-SIZED PROJECT

THE GEF TRUST FUND

Submission date: June 3, 2009

GEF PROJECT ID¹: 3619

GEF AGENCY PROJECT ID: 604958

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

PROJECT TITLE: Strategies for Fisheries Bycatch Management

GEF AGENCY(IES): FAO

OTHER EXECUTING PARTNER(S): National fisheries authorities, Southeast Asian Fisheries Development Center (SEAFDEC) and other appropriate government departments and NGOs in these five countries.

GEF FOCAL AREA(S): International Waters

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

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

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	July 2009
Completion date of PPG	Sept 2010

B. PAST PROJECT PREPARATION ACTIVITIES (\$)

List of Past Project Preparation Activities	Output of the Activities	Project Preparation Amount	Co-financing	Total
Not Applicable	Not Applicable	0	0	0
Total Project Preparation Financing		0	0	0

C. PROPOSED PROJECT PREPARATION ACTIVITIES

Describe the PPG activities and justifications: The PPG will develop the specific outputs needed to complete the full design of the trawl bycatch management project to be submitted to the GEF. Project preparation activities will focus on the key initiation, communication, information base and project design issues required to ensure that the main phase of the project is effectively realized. Each of the project's five main sub-themes will be addressed, with initial 'state of system' assessments of current practices and impacts of trawl fishing, bycatch, identification and compilation of baseline data on selected trawl fleets, fishing communities and economic conditions; technical analysis of options for future activities; consultation on options with sector and wider stakeholders, identification of potential capacity building needs and approaches, and recommendations for implementation activities during the full project.

Output from the PPG would be designed and developed not just to specify the future project approach and content, but to ensure that project incremental reasoning, cost-effectiveness, and risk and mitigation issues are strengthened, and that widespread and thorough consultation with stakeholders and project partners will establish a sound, effective and positively impacting outcome. PPG activities will be well integrated with the main project phase to ensure efficiency and continuity of delivery.

The final step will be to consolidate outputs in the full proposal and add the institutional framework, financing plan, detailed formulation of outputs and indicators and other technical details required for GEF funding and co-funding of project partners. These PPG activities will be integrated with the preparation of the associated FAO project document. Further details of the PPG activities are given in Annex B.

¹ Project ID number will be assigned initially by GEFSEC. If PIF has been submitted earlier, use the same ID number as PIF.

Proposed Project Preparation Activities	Output of the PPG Activities	Project Prep.	Cofinancing	Total
1. Review fishery sector/bycatch related policy, legislation and institutional arrangements, and set out framework for action	<ol style="list-style-type: none"> 1. Overview of fishery sector/bycatch related policy and legislation 2. Assessment of relevant institutional arrangements 3. Initial stage framework/recommendations for revisions to national structures and institutions. 4. Agreement in principle to revision proposals and to proposed action processes. 	30,000	40,300	70,300
2. Scope, define and describe key fisheries, fleets and fishing communities associated with potential bycatch management strategies	<ol style="list-style-type: none"> 1. Review and define fisheries and related fleets and fishing communities 2. In consultation with fishing groups, define and categorize fishing approach and bycatch interactions. 3. Establish accurate baseline data and sources on key aspects of fishing capacity, effort, targets, social and conditions. 4. Review and define existing and proposed management approaches, and their potential for adaptation to meet bycatch strategy needs. 	30,000	48,400	78,400
3. Define and develop potential management and technical options for better bycatch management and reduction.	<ol style="list-style-type: none"> 1. Review past and current bycatch management approaches and activities. 2. In consultation with management organizations and fishing groups, set out and evaluate potential approaches for improved bycatch management. 3. Together with fishing groups, technical agents and equipment suppliers review possible technical options for improved bycatch management. 4. With all groups, develop initial concepts and approaches, combining management with technical options, and agree priorities. 5. On the basis of this develop a detailed programme for action and implementation. 	38,200	49,300	87,500
4. Assess development and capacity building needs at local and organisational levels, and identify strategies and approaches.	<ol style="list-style-type: none"> 1. Review current capacities at organizational and community levels in fisheries and bycatch management, reduction strategies and monitoring 2. Identify strategies and priorities for capacity building at each level, and pilot approaches as needed. 3. Develop detailed programme for capacity building at each level and agree approaches and priorities. 	35,000	40,413	75,413
5. Define and develop approach for awareness raising.	<ol style="list-style-type: none"> 1. On the basis of previous components, review and define key issues and aims for awareness raising 2. Define target groups for awareness raising. 3. Set out recommendations and detailed programme of activities for awareness raising. 	16,800	20,000	31,800
6. Define potential criteria and approaches for monitoring and	<ol style="list-style-type: none"> 1. Assess M+E needs and current capacities. 2. Agreed methodologies and institutional arrangements for collection, analysis and 	45,000	23,300	68,300

evaluation (M+E) systems.	dissemination of information. 3. Develop full description of M+E arrangements for main project.			
Total Project Preparation Financing		\$195,000	\$221,713	\$416,713

D. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)

	Project Preparation	Agency Fee
GEF financing	195,000	19,500
Co-financing	221,713	
Total	\$416,713	436,213

E. PPG REQUESTED BY AGENCY, FOCAL AREA AND COUNTRIES

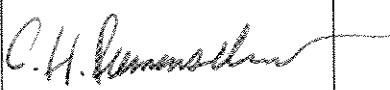
GEF Agency	Focal Area	Country Name/ Global	(in \$)		
			PPG (a)	Agency Fee (b)	Total c = a + b
FAO	International water	Indonesia	39,000	3,900	\$42,900
FAO	International water	Papua New Guinea	24,000	2,400	\$26,400
FAO	International water	Philippines	39,000	3,900	\$42,900
FAO	International water	Vietnam	39,000	3,900	\$42,900
FAO	International water	Thailand	54,000	5,400	\$59,400
Total PPG Requested			\$195,000	19,500	\$214,500

F. PPG BUDGET REQUEST

Cost Items	Total Estimated Person Weeks for GEF Grant (PW)	GEF (\$)	Co-financing (\$)	Total (\$)
Local consultants	140	77,000	24,000	101,000
International consultants	22	47,038	0	47,038
Travel (local and international)		53,000	34,413	87,413
Workshops		0	15,000	15,000
FAO cash and in kind technical specialists		0	148,000	148,000
Data collection, consultation activities and other costs of project formulation		17,962		17,962
Total PPG Budget		195,000	221,713	416,713

G. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.

Agency Coordinator, Agency name	Signature	Date
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Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Position Titles	\$ per week	Estimated weeks		Tasks to be performed
Local				
National project co-ordinator (expert in fisheries and aquatic resources management)	800	Indonesia	6	1. Supervise and co-ordinate the activities of the national and international consultants. 2. Co-ordinate the assessments and consultations at project sites to determine the areas for project intervention. 3. Contribute to the formulation of all project components, particularly with respect to their consistency with national plans and priorities. 4. Lead and/or facilitate consultations with relevant technical agencies, donors, other local experts and other stakeholders (as appropriate).
		PNG	6	
		Philippines	6	
		Thailand	6	
		Vietnam	6	
		Total	30	
Expert in fishing technology	700	Indonesia	5	1. In consultation with fishing communities and other stakeholders (as necessary), review and finalize the proposals for selection of trawl fisheries, fishing fleets and trawl fishing areas to be included in the project (e.g. location, area, affected fleets, etc.). 2. Collect preliminary baseline information about fishing fleets, areas of operation, socio-economic conditions of the fishery in the selected areas (including completion of the appropriate GEF Tracking Tools). 3. Assess the current status of trawl fishing technology with, in particular, a focus on the main bycatch and discard reduction technology priorities and the current barriers and weaknesses preventing the achievement of conservation objectives. 4. Assess the suitability / applicability of methodologies for conducting fishing experiments with bycatch reduction devices. 5. Identify methods of collecting spatial and temporal data on the areas of operation of trawl fleets and how this can contribute towards zoning of fishing areas 6. Based on the above, contribute to the development of options/models for trawl fishery management in the future. 6. Contribute to the formulation of project component 2.
		PNG	5	
		Philippines	5	
		Thailand	5	
		Vietnam	5	
		Total	25	
Expert in resource management and MPAs	700	Indonesia	4	1. In consultation with fishing communities and other stakeholders (as necessary), review and finalize the proposals for selection of bycatch management and discard reduction strategies (e.g. technologies, areas, species, etc.). 2. Collect preliminary baseline information about catch, bycatch and discard species and sizes, areas of operation, 3. Assess the current status of catch monitoring with, in particular, a focus on the main species captured, priorities and the current barriers and weaknesses preventing the collection and raising up of catch data to fleet levels. 4. Identify suitable strategies methodologies for improved catch and bycatch monitoring 5. Based on 3 above, contribute to the development of options/models for trawl fishery management and zoning of fishery areas in the future. 6. Review past and current experiences with use of marine
		PNG	4	
		Philippines	4	
		Thailand	4	
		Vietnam	4	
		Total	20	

				<p>areas by artisanal and commercial fishing fleets and identify the main lessons learned.</p> <p>7. Identify areas critical habitat including seagrass beds, nursery areas, potential areas for fish refugia and where these may overlap with fishing activity</p> <p>8. Contribute to the development of options/models for MPA management in the future.</p> <p>9. Contribute to the formulation of project component 2.</p>
Expert in legal and institutional reform	700	Indonesia	4	<p>1. Review existing national policies and legislation and propose protection / closed areas where policies and legislation will need to be revised to enable the creation of managed trawl fisheries / fishing zones as envisaged in the project.</p> <p>2. Review existing institutional arrangements for co-ordination of bottom trawl fishing activities at the national level.</p> <p>3. Review existing local arrangements for governance of trawl fishery resources.</p> <p>4. Based on 2 and 3 above and in consultation with local fishing communities and other national stakeholders, make recommendations for future local governance and institutional structures that would more effectively support conservation measures in trawl fisheries.</p> <p>5. Contribute to the formulation of project component 1.</p>
		PNG	4	
		Philippines	4	
		Thailand	4	
		Vietnam	4	
		Total	20	
Expert in socio-economics	700	Indonesia	4	<p>1. Review costs and revenues of selected artisanal and commercial fishing operations</p> <p>2. Identify methodologies for monitoring the economic impacts of changes to fishing practices as a result of changes in trawl fishery management and or use of bycatch reduction technologies</p> <p>3. Contribute to the formulation of project components</p>
		PNG	4	
		Philippines	4	
		Thailand	4	
		Vietnam	4	
		Total	20	
Expert in monitoring and evaluation (M&E) of fisheries systems and communities	700	Indonesia	4	<p>1. Assess the needs for M&E to meet national and international commitments and assess current M&E activities.</p> <p>2. Identify lessons learned from current activities and barriers to improvements in M&E.</p> <p>3. Prioritize information needs that are currently not met and identify cost-effective mechanisms to collect, analyse and disseminate the information required (including, where appropriate, the development and dissemination of best practices).</p> <p>4. Assess current capacity for M&E and make recommendations for future capacity building in this area.</p> <p>5. Contribute to the formulation of project component 3.</p>
		PNG	4	
		Philippines	4	
		Thailand	4	
		Vietnam	4	
		Total	20	

Position Titles	\$ per week	Estimated weeks	Tasks to be performed	
International				
Expert in fisheries development	2,250	Indonesia	3	1. Provide technical assistance to all national and international consultants on data collection, analysis and all economic aspects of the proposed project. 2. Co-ordinate and provide technical assistance on all other aspects of project design 3. Develop the project logframe through participatory processes, including workshops to agree and finalise the projects objectives, outcomes, outputs and activities, selection of project sites, and financial and institutional arrangements for project implementation. 5. Assist the project proponents to finalise the project design and documentation, present and disseminate information.
		PNG	4	
		Philippines	3	
		Thailand	3	
		Vietnam	3	
		Total	16	
Expert in financial analysis	890		6	1. Prepare the incremental cost reasoning/analysis and the project financing plan, including a detailed inputs budget with unit costs and an activities/outputs budget. 2. Analyze the project's cost-effectiveness. 3. With the support and direct input of the team (all national and international consultants), prepare a costed monitoring and evaluation plan for the project. 4. Assist the project proponents to finalise the project design and documentation.
Total			22	

Annex B

Project preparation activities and draft workplan

Project preparation activities

The proposed activities for the project preparation phase are described below in more detail:

Policy, legislation and institutional reform

Review and define the legislative actions likely to be necessary in the full project and recommend institutional arrangements (as appropriate). In each of the five countries, existing policies and legislation with respect to bottom trawl fisheries will be reviewed and proposals will be made to revise policies and legislation (as appropriate) to (i) enable the implementation of more environmentally friendly / more selective demersal trawl fishing operations as envisaged in the project and (ii) facilitate greater industry involvement in the development and roll out of trawl fishing technologies and practices that can reduce the capture juveniles of economically valuable and ecologically important species as well as larger bycatch species such as turtles, sharks and rays. In addition to reform at the national level, this activity will also include consultations at the local level with all affected parties and stakeholders to design new arrangements for roll out of new technologies and fishing practices that will be tested, refined and agreed during full project implementation. This activity will also investigate and agree an institutional framework or mechanism for cross-sectoral oversight of the project activities that can be used to support similar initiatives beyond the end of the project.

Establishment of baselines for demersal multi species trawl fisheries

Describe the proposed methodologies for establishing baselines of trawl catch, bycatch and discards, (number, area and location of sites/ fisheries involved) and mechanisms for reviewing and agreeing the final methodologies. The majority of this activity will occur in Thailand coordinated through the Southeast Asian Fisheries Development Center (SEAFDEC), where the number, area and location of proposed trawl fisheries to be addressed will be defined and agreed amongst stakeholders with reference to previous projects and stakeholder consultations. This activity will also, in all five countries; (i) identify the trawl fisheries that will be addressed during the project, (ii) collect the baseline information on each selected fishery including trawl catch composition by weight and size, areas and times of operation, and existing management measures, (iii) characterize the specific bycatch / discard problems to be addressed, (iv) evaluate the local socio-economic impacts of changes to fishing gear and practices, (v) identify incentives and disincentives that should be considered to enhance uptake of new technologies, (vi) in addition to changes in technology and fishing practices, identify additional management measures that could contribute the project objectives, (vii) methods of monitoring progress towards objectives and (viii) addressing circumstances necessary to strengthen the incremental reasoning and cost effectiveness of the project design presented in the PIF. It will also include completion of the GEF Tracking Tools as required for full project approval.

Describe options for industry – government participation (in different circumstances) and requirements for capacity building in development, implementation and adoption of new fishing technologies and fishing practices. This activity will assess the current status of demersal trawl fisheries management in each of the five countries with, in particular, a focus on the main management priorities and the current barriers and weaknesses preventing the

achievement of conservation objectives. As part of this, it will include an assessment of lessons learned from previous and current experiments with bycatch management and discard reduction. It will also review the inventory of bycatch reduction technologies and other management measures that could be used to achieve the project objectives.

Based on this, it will develop options/models for industry participation to be implemented during the project and requirements for adoption / implementation of new approaches and capacity building in support of this. The outputs of this activity will also be used to strengthen the risks and mitigation strategies outlined in the PIF.

Make proposals for baseline studies, development of the M&E system and development of best practices. This activity will start by assessing the needs for M&E to meet each country's national and international commitments. It will then assess current M&E activities to identify lessons learned and current barriers to M&E. Based on this information, it will prioritize needs and identify cost-effective mechanisms to collect, analyse and disseminate the information required. This will include, where appropriate, development and dissemination of best practices within the countries and elsewhere. This activity will also include defining and describing the M&E activities that will be necessary during full project implementation.

Elaborate the requirements for capacity building in managing demersal trawl fisheries, monitoring and threat identification (number of vessels engaged in the project, people to be trained etc.) and describe the likely training requirement. This activity will occur in all countries. It will start by assessing the skills required in these areas and the current levels of capacity. It will then identify appropriate, cost-effective actions to increase capacity to the required levels including, for example, numbers of people to be trained, skills required and cost-effective modalities for providing the required training.

Project planning to evaluate new technologies and practices

Make recommendations for improvements to existing trawl fishing gear and practices. This activity will take place in all countries. It will start by assessing current arrangements for trawl fisheries operations in each country with, in particular, a focus on how well bycatch and discard issues are integrated into the arrangements. This will include an assessment of the infrastructure for monitoring and evaluating trawl fisheries (availability of data, hardware, software, technical skills of staff etc.) as well as an assessment of the processes for management (institutional arrangements, decision making, etc.). Based on this and technical advice from project partners, it will make recommendations for improvements to national management of trawl fisheries and capacity building in this area.

Make recommendations for mechanisms to monitor and compare trawl fishing performance
This activity will take place in all countries. It will evaluate the merits of various on water mechanisms for monitoring fishing performance of vessels equipped with conventional and more selective fishing gears. It will consider the merits of "sentinel" or "index" fisheries as a mechanism to evaluate catch composition and value over the season.

Awareness raising

Elaborate national programmes of awareness raising to be implemented. This activity will occur in all participating countries. It will identify the most important groups for awareness

raising activities and determine the most cost-effective means to communicate with these groups. It will result in elaboration of a detailed programme of awareness raising activities to be implemented in the three countries during the full project. It will draw upon the expertise and facilities that exist within the SEAFDEC to achieve an effective outreach program.

Identifying incentives for industry participation in the project

Review opportunities for incentivizing industry to participate in the program

This activity will occur in all countries and assess various incentive schemes such as market mechanisms, preferential access to specific fishing areas / zones based on adoption of a project code of conduct (such as a requirement for specific fishing gears / practices / data collection / VMS etc.) and prepare a programme of work for such activities in the full-project.

It will produce recommendations for activities that should be tested and implemented during the full-project, as well as a detailed programme for capacity building in this area (as appropriate). This information will be used to strengthen the incremental reasoning and cost effectiveness of the project design presented in the PIF. It will also work with public and private sector partners to identify sources of co-financing.

Sustainable trawl management in sensitive marine areas

Review opportunities for reducing interaction of trawling with other small scale fisheries and where the potential for conflict is high, define the area of intervention, assess priority actions for full project implementation.

This activity will occur in all countries. It will review existing trawl management practices in shallow water sensitive coastal habitats and, through technical analysis and consultation with local communities, suggest opportunities to improve the sustainability of existing practices. It will also define and describe the area where improved practices will be tested during the full project, assess training needs (if necessary) and priority actions during full project implementation including ways of getting more precise information on where and how much time trawl fleets operate in different geographic areas e.g. through the use of VMS for spatial / temporal mapping.

Cross-cutting activities

The national project co-ordinator and international experts on fisheries and financial analysis will, together, lead the project preparation activities and provide technical expertise to support the consultants and ensure delivery of a high quality project design that meets all GEF requirements.

Workshops. National workshops will be held at the start and completion of project preparation activities. The inception workshop will be used to brief consultants and all stakeholders about the aims and objectives of the project preparation phase and familiarize everyone involved with the GEF project preparation process and procedures. This opportunity will also be used to get feedback and suggestions on the proposed approach and workplan. The terminal workshop will be used to finalise the projects objectives, outcomes, outputs and activities, selection of project sites, and financial and institutional arrangements for project implementation (including commitments for cofinancing).

Data collection and consultation with local communities. Data collection will include small-scale surveys in and around proposed fisheries (using participatory techniques) to collect basic information about current trawl operations, trawl management practices and socio-economic circumstances. Small-scale biological surveys may also be used to fill important existing gaps in knowledge. The results of these surveys will assist with the statistical design of larger baseline surveys that will occur under the full project.

In addition to the national workshops, project preparation activities will include extensive consultation with local fishing communities in and around the proposed project sites / areas. The purpose of this will be to inform local people about the project and seek their views about important issues such as local arrangements for governance of natural resources, the potential for incentives to participate in the project, sustainable management activities, risks and mitigation measures. It will also be used to assess local capacities to implement proposed project activities and formulate the capacity building programmes in different parts of the project.

Any additional costs for data collection and consultation, local meeting expenses and survey assistants will be covered by a mixture of GEF PPG and local cofinancing. Local travel costs will also be covered by a mixture of GEF PPG and local cofinancing and have been included in the travel budget line.

The draft workplan for the project preparation phase is outlined below:

Activities	2009						2010						
	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
<u>Preparatory activities</u>													
Selection and recruitment of consultants													
Agree project preparation implementation arrangements													
<u>Inception workshops</u>													
Meetings with relevant stakeholders													
Briefing consultants													
Finalisation of workplan and project preparation activities													
Gather information about other related initiatives													
<u>Technical studies and analysis</u>													
Review of policy, legislation and institutional arrangements													
Description and definition of the fisheries and the problems related to bycatch and discards													
Define and develop options for bycatch management and discard reduction													
Development of monitoring and evaluation (M+E) systems.													
Assess capacity building needs in bycatch and discard monitoring assessment, etc.													
Assess existing arrangements for bycatch and discard management at the national level													
Development of awareness raising programme.													
Assess potential mechanisms for sustainable bycatch management and discard reduction financing.													

Assess activities to increase local incomes from sust. use.																			
Identify feasible and appropriate SLM techniques.																			
Technical backstopping to thematic consultants.																			
<u>Institutional, economic and financial analysis</u>																			
Assess ongoing and planned initiatives related to the project																			
Assess alternative options and prepare cost-effect. analysis																			
Preparation of project financial plan																			
Preparation of incremental cost/reasoning analysis																			
Preparation of institutional arrangements for project management																			
<u>Baseline, monitoring and evaluation</u>																			
Synthesis of baseline data collected in the technical studies																			
Preparation of the project baseline (inc. GEF Tracking Tools)																			
Preparation of project M+E plan																			
<u>Finalisation of project design (including terminal workshops)</u>																			
Development of final project documentation																			
Mobilisation of resources (commitments for co-financing)																			
Final workshop to present and review the final project document																			
Final editing of the project document																			

