

## ANNEXES

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**ANNEX 1: TR ITINERARY**

SUN	MON	TUE	WED	THU	FRI	SAT
29 Sep	30	1 Oct	2	3	4	5
				Arrival PHL	Meeting with Project Manager Dr. Sungkwon Soh 9:30am-1pm UNDP CO Room 15D  Meeting with BFAR NFRDI Focal Suzette Barcoma 1:30pm-4pm	Skype Calls to Vietnam Pham VietAnh with Dr. Sungkwon Soh UNDP CO Room 15D
6	7	8	9	10	11	12
BREAK	Meeting with UNDP CO Programme Associate Michael Jaldon Room 15F	Debriefing with Dr. Sungkwon Soh 10am – 12nn	Meeting with PEMSEA and RTA GEF Start Field Trip To Gen San	Field Tip	Travel back to home	

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## ANNEX 2: LIST OF PERSONS INTERVIEWED

Name	Gender	Organization	Position
Feleti Teo	Male	WCPFC	Executive Director
SungKwon Soh	Male	WCPFC	Project Manager / Science Director WCPFC
Jose Erez Padilla, Ph.D.	Male	UNDP Regional Bureau for Asia and the Pacific	UNDP GEF Regional Technical Advisor, International Waters
Michael Joseph Jaldon	Male	UNDP Philippines	Programme Associate Climate Action Team
Floradema Eleazar	Female	UNDP Philippines	Team Leader Climate Action Team
<b>Vietnam:</b>			
Nguyen Phu Quoc	Male	Department of Capture Fisheries (DECAFISH), Directorate of Fisheries	Deputy Director
<b>Indonesia:</b>			
Fayakum Satria	Male	MMAF	National Coordinator, Deputy Director of RCFMC
<b>Philippines:</b>			
Elaine Garvilles	Female	NFRDI - BFAR ( Former Tuna Coordinator )	Project Leader (WPEA), National Coordinator
Suzette Baracoma	Female	BFAR	
Maria Angelica F. Cecilio	Female	Aquaculture and NSAP project leader BFAR-NSAP, Region 12	Project Leader (NSAP)
Laila Emperua	Female	Sr. Aquaculture and Planning Officer BFAR-NSAP, Region 12	Planning Officer
Boyet Biaca	Male	BFAR-NSAP, Region 12	Enumerator
Samuel Sumagaysay	Male	BFAR-NSAP, Region 12	Enumerator
Ma. Zillah Bacongco	Female	BFAR-NSAP, Region 12	Enumerator
Ma. Dolorosa Hurtado	Female	BFAR-NSAP, Region 12	Enumerator
Raymond Biaca	Male	BFAR-NSAP, Region 12	Enumerator
Vergel Guadal Quiver	Male	BFAR-NSAP, Region 12	Enumerator
Joeven Velario	Male	BFAR-NSAP, Region 12	Enumerator
Fisherman – Captain	Male	Unknown	Captain of small Tuna Fishing boat
Confirm with Suzette all names		Philippines Port Authority PFDA	

**ANNEX 3: LIST OF DOCUMENTS REVIEWED**

Project Identification form (PIF)  
 Inception Revised Project Log Frame  
 Mid Term Report (MTE) 2017  
 GEF STAP Review Sheet, 16 May 2013  
 GEF Review Sheet, 05 May 2014  
 Project Document  
 UNDP Environmental and Social Screening results (included in project document)  
 Baseline GEF-5IW tracking tool  
 Program Framework Document (PFD) for program entitled “Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments (GEF Program ID: 4936)  
 Project inception report (Nov 2014)  
 Project Board meeting minutes (Nov 2014, Dec 2015, Oct 2016 ADD)  
 Combined delivery reports for years 2014, 2015, 2016, 2017, 2018  
 Annual work plans  
 Project Implementation Review (PIR) reports 2017, 2018,2019  
 Conservation and Management Measures (CMMs) and Resolutions of the Western and Central Pacific Fisheries Commission (WCPFC), compiled 2 Mar 2017 – 16:47  
 National Tuna Management Plans (Indonesia, Philippines, Vietnam)  
 Annual Report to the WCPFC, Part I: Information on Fisheries, Research, and Statistics (for year 2015 for the three beneficiary countries)  
 Report (Philippines): Pilot Test of MARLIN (Electronic Log sheet) Operation in High Seas Pocket 1, WCPFC-SC12-IP-078, Aug 2016  
 Report (Indonesia): Prior Study on Sustainability / Certification (undated)  
 Report (WCPFC): Scientific Data Available to the Western and Central Pacific Fisheries Commission, August 2016, WCPFC-SC12-2016/ST WP-2 (rev. 1)  
 Report (WCPFC): Twelfth Regular Session of the Technical and Compliance Committee, Pohnpei, Federated States of Micronesia, 21-27 September 2016 (report dated 17 November 2016)  
 Report (WCPFC): Thirteenth Regular Session of the Commission, Denarau Island, Fiji, 5-9 December 2016, Summary Report  
 New Zealand Ministry of Foreign Affairs and Trade, draft Grant Funding Arrangement, Western Pacific East Asia – Improved Tuna Monitoring, Koru record ID: 42450; CT File: GRA-1043-1; Activity Code: A12423; file date: 31.10.16  
 Letter, 23 November 2016, from WCPFC-WPEA to PEMSEA Resource Facility: Grant for the development and implementation of a WPEA project portal and monitoring and evaluation reporting system  
 UNDP Strategic Plan 2014-2017  
 GEF-5 International Waters Strategy

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Scientific Data Available to the Western and Central Pacific Fisheries Commission - "*Progress and Gaps Assessment* including focus on progress under WPEA project in "Vietnam, Philippines and Indonesia" SCIENTIFIC COMMITTEE FOURTEENTH REGULAR SESSION, Busan, Republic of Korea **8-16 August 2018**. Peter Williams  
KM letter of agreement –PEMSEA and WPEA project agreement Oct 10 2019

## ANNEX 4: TE EVALUATION MATRIX

Evaluation questions	Indicators	Sources	Methodology
(include evaluative question(s))	(i.e. relationships established, level of coherence between project design and implementation approach, specific activities conducted, quality of risk mitigation strategies, etc.)	(i.e. project documents, national policies or strategies, websites, project staff, project partners, data collected throughout the TE mission, etc.)	(i.e. document analysis, data analysis, interviews with project staff, interviews with stakeholders, etc.)
<b>Relevance: How does the project related to the main objectives of the International, Regional, National Priorities, GEF focal area, and the environment and development priorities at the local, regional and national levels?</b>			
Project Strategy: To what extent is the project strategy relevant to international, regional and country priorities, country ownership, and the best route towards expected results? To what extent is the project strategy in line with Government and UNDP /GEF priorities?	Level of participation of the concerned agencies in project activities Consistency with international, regional, national strategies and policies.	Project documents National policies and strategies	Desk review Interviews with project team, UNDP and other partners.
To what extent is the project aligned to the main objectives of the GEF focal area?	Consistency with GEF strategic objectives.	Project documents GEF focal areas strategies and documents	Desk review GEF website Interviews with project team and UNDP
<b>Effectiveness: Progress towards Results: To what extent have the expected outcomes and objectives of the project been achieved? To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
Has the project been effective in achieving its expected outcomes?	See indicators in project document results framework.	Project document Project team and stakeholder Data reported in project annual and quarterly reports	Desk review Interviews with project team and relevant stakeholders
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far?	Steering committee meetings PMU an/d UNDP notes	Data collected throughout the evaluation	Desk review
To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?	Steering committee meetings PMU and UNDP notes	Project document Project team and stakeholder Data reported in project annual and quarterly reports	Desk review Interviews with project team and relevant stakeholders
To what extent have partnerships and linkages between institutions/organizations were encouraged and supported?	Specific activities conducted to support the development of the cooperative arrangements between partners	Project documents	Desk review Interviews with project team and relevant stakeholders

What was the level of efficiency of cooperation and collaboration arrangements?	Examples of supported partnerships Evidence that particular partnerships /linkages will be sustainable Types/quality of partnerships cooperation methods utilized		
<b>Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?</b>			
Were the accounting and financial system in place and adequate for project management and producing accurate and timely information? Was the project efficient with respect to incremental cost criteria? Were progress reports produced accurately, timely and represented to reporting requirements including adaptive management changes? Was the project implementation as cost effective as originally proposed (planned vs. actual)? Was procurement carried out in a manner making efficient use of project resources?	Availability and quality of financial and progress reports Timeliness and adequacy of reporting provided Level of discrepancy between planned and utilized financial expenditures Planned and actual fund leveraged Quality of actual funds leveraged Quality of results based management reporting (progress reporting, monitoring and evaluations)	Project documents and evaluations UNDP Project team	Document analysis Key interview
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results? To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			
How does the project support resource mobilization for the FISHERIES MANAGEMENT implementation?	Amount of national budget allocation	Legal regulation	Document analysis
How does the project support personnel allocation for the system approach to implementation?	Personnel allocation	Legal regulation	Document analysis
To what extent is FISHERIES compliance and monitoring conservation related issues considered ?	Government agencies aware and committee to regional tuna fisheries integration and sustainable development. Legislation and planning documents show evidence of mainstreaming?	Legal regulation Project document /reports	Document analysis Interviews with stakeholders
Are there any political risks that may threaten the sustainability of the project outcomes?	Government agencies aware of three Rios?	Government policies	Analysis
<b>Impact: Are there any indication that the project has contributed to, and enabled progress towards, reduced environmental stress and or improved ecological status?</b>			
Has the project strengthened local capacity?	Awareness and understanding of the global norms and standards and related conventions at the provincial level	Interviews Provincial level plans /strategies	Interviews Document analysis

Has the project developed tools to support mainstreaming process?	Evidence of development of different tools to support the mainstreaming process	Interviews Provincial level plans /strategies	Interview Document analysis
Has?	Evidence of incorporation of Biodiversity, Climate change and land Degradation in planning processes at the provincial level.	Interviews Provincial level plans /strategies	Interview Document analysis

## Questions for NTC and Teams

### Terminal Evaluation Questions for National Project Coordinators

**Instructions - Use the guiding questions under each sub-heading to promote answers. Please answer all areas of inquiry to the best of your ability. Provide concrete examples and events, dates to help substantiate your answers.**

**Send results to shodge1@gmail.com**

### PROJECT FORMULATION, DESIGN AND STRATEGIES - RELEVANCE

#### Formulation

How does this project contribute to the national, regional and international priorities?

What are (and include those since project signing) significant **national**, regional and international directives, policy /laws to which the project contributes? Describe details in relation to the national policy and enabling context. Tuna management plans (dates), Fisheries law, SDGs, CC, DRR (2015), Oceans, etc.

#### Answer

#### Design

Were you involved in this project's design? Did the project design adequately build on the subregional and national gaps in monitoring and compliance identified at the *end of phase one*? What were those gaps in your country?

Do you believe the subregional and national governance goals were clear and obtainable? Why or why not?

The project budget had been cut but the design stayed the same? Do you think the level of budget impacted on the level or quality of results? Why and how? Did it make sense to implement with the same design and less money? Plus 4 million changed to 2.2 million?

Was the project rational and plan- logical frame work and the theory of change in line with the actual problems at national level and subregional level?

How did the addition of four new cross-cutting technical areas impact results and implementation? Climate change assessment, EAFM (pilot implementation of ecosystems approach to fisheries management (EAFM)), harvest strategy development, and market-based approaches-supply chain analysis?

#### Answer

#### Strategies



Do you think the project had a clear theory of change TOC at the subregional and the national level? Why or why not?

What were the main national drivers for joining and developing this project?

Were the expected results of this project made clear? How?

Do you think the outputs link to the expected outcomes?

Have the casual pathway to results been clear and concise?

Any lessons learned?

**Answer**

## **PROJECT IMPLEMENTATION AND MANAGEMENT - EFFECTIVENESS AND EFFICIENCY**

### **Project implementation – Capacity building approach and adaptive management**

What was the implementation approach taken at national level? Provide details of and national approaches taken for learning, for knowledge sharing and for policy advocacy at national level?

How many national workshops did you participate in? Was participation useful?

How many consultancies did you implement? What were they? Do you think they had any significant learning and or policy level results?

**Answer**

### **Management Arrangements**

What was the project national, human resources and organizational set -up? How many staff; how much remuneration? Any challenges to report?

How did you facilitate the projects national work planning and reporting?

How did you do work planning at national level? Describe the process??

What were the day-to-day coordination, reporting and monitoring mechanisms? To whom did you report? When? How? Did this system work? Why or why not?

What was the role of the project secretariat in results oversight and management?

How the project used adaptive management at the national level– can you give any examples?

Any lessons learned?

**Answer**

### **Governance and oversight**

What were the mechanisms for national project coordination and oversight? I.e. meeting with director of department, project boards, and national workshops?

How many Steering committee meetings did you and or the country participate? Who attended and when? Were these meetings useful? Why? What were the most significant developments impacting on overall project expected results based on your participation in PB meetings?

**Answer**

**Synergies**

At MTE, there were no links established with ongoing initiatives, did the project support synergies with ongoing related projects and initiatives post MTE? What were the related projects?

Why or why not?

**Answer****Technical and subregional inputs**

Did the project – project management, UNDP GEF support, implementation of consultancies provide you with sufficient technical support to enable the implementation of new approaches and tools to improve fisheries data collection and monitoring- climate change assessment, EAFM (pilot implementation of ecosystems approach to fisheries management (EAFM)), harvest strategy development, and market-based approaches-supply chain analysis? How? Why or why not?

Did the EAFM pilots get designed and completed? How did they get executed on time? How will the results be integrated into national policy and planning?

How did you approach the climate change work outputs? What has been the result? Was this work useful? Why? How will it be integrated into national policy and planning?

Did you get the harvest strategy developed why or why not? Was it useful? How? How will it be integrated into national policy and planning?

Did you work on market based approaches? How? Was it useful? How? How will it be integrated into national policy and planning?

**Answer****UNDP/GEF role and comparative advantage**

What was the added value of the UNDP /GEF involvement? What was the added value of the Regional GEF involvement?

Did the UNDP/GEF platform support the project implementation and results? How? Why or why not.

What might be improved?

**Answer****Partnerships**

Who were your regional and national implementing partners? List them?

What has been the added value of PEMSEA KM work, data work with SPC? What was the nature of that work?

How did you engage the private sector inputs or involvement into project activities?

Did other partnerships evolve? Did the original partnership strategy play out? Why or why not? The private sector, MOE, etc. Did the project make sufficient links with the private sector on market-based approaches?

**Answer**

**Financial management and co-financing results**

Did the government commit all expected co-financing? Please provide this number include all the in kind and cash resources.

Provide the final national project expenditure by outcome and by year.

Please provide the expenditure per outcome per year?

Provide a breakdown of expenditure by outcome and by year until end of project.

**Answer****Factors**

Provide comments on factors at subregional and national level: gender, communications, knowledge management, capacity building approach, technical inputs and support, coordination mechanisms.

**Answer****PROJECT RESULTS - PERFORMANCE – EFFECTIVENESS****Log Frame: Expected Results (answer all and fill comment on outcome in table at end)**

Did this project meet all its stated objective, outcomes and targets at the subregional and the national level? Please fill in national comments on the project outcomes in the table below.

Did the project help you meet all the project stated expectations for improving data collection, monitoring systems and compliance in your country?

Which of the national and subregional outcomes and targets were most difficult to meet? Why?

Which of the national and subregional outcomes and targets were the easiest to achieve? Why?

Are any of the national project targets outstanding? Why?

Why and what might have been done differently to meet all targets and goals?

What do you think are the projects greatest results? At sub -regional level, at the national level?

Were *all* the gaps in data collection and compliance (spell them out at project start in your country) that were expected to be addressed by this project (at the end of phase one) been actually addressed? Any remaining?

Did the projects cross-cutting areas work add value? How? Why?

How did you collaborate with other sectors in project activities i.e. with MOEs, others? Give examples?

How did you use communications in this project as an enabler for policy and learning results?

Do you think there are any unintended consequences and unexpected results of this projects work?

What is the valued added of the subregional collaboration with the other EAS countries?

Has this project supported a case for a subregional governance mechanism or not?

Any lessons learned?

**Monitoring and Evaluation**

Describe the monitoring and evaluation systems (subregional and national level)? How did you monitor and report project results? What were the main reporting mechanisms?

How often did you discuss national level results internally and where? How did you support the secretariat monitor project? I.E evidence of program-level assessments.

How might the results of this project (documents and completed learning activities on fisheries management improvements, data collection, data collection and work on the four cross-cutting areas) be scaled **subregionally** and **nationally**?

Did the MTE extension enable the finalization of all activities?

Did the MTE recommendations and follow up help you obtain results? How? In what ways?

Any lessons learned?

**Answer****Sustainability ( answer all)**

What is the likelihood of this project's work sustainability?

Economic sustainability

Political Sustainability

Environmental sustainability

Social sustainability

**Lesson learned and next steps (answer all)**

**What do you think are the main lessons learned based on the following?**

Design and Formulation

Management and Implementation Approach

Finance

Partnerships

Results -

Data and Monitoring Systems

Climate Change Adaptation

EA Ecosystems

Harvesting strategies

**Sustainability**

**What are the next steps? Do you have any recommendations to share?**

## ANNEX 5: PROGRESS TOWARDS RESULTS

<b>Assessment Key:</b>
<b>Achieved or on target to be achieved</b>
<b>Marginally on target to be achieved</b>
<b>Not on target to be achieved</b>
<b>Unable to assess</b>

## PROGRESS TOWARDS RESULTS

## PROGRESS TOWARDS OUTCOMES ANALYSIS

<b>Objective:</b> To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities						
Progress towards achieving project objective is rated as:					<b>Satisfactory</b>	
<b>Indicator 1:</b> (a) Status of harvesting of shared oceanic tuna stocks in the WCPF Convention area in the EAS vis-à-vis sustainability criteria set by the WCPF Convention; (b) Application of market-based approaches to sustainable harvesting of oceanic tunas						
	<b>Baseline</b>	<b>Midterm Status</b>	<b>REVISED APPROVED AND End Target</b>	<b>Midterm Assessment</b>	<b>Status of Project at Final</b>	
Value:	Current coverage in average of the three countries fishery monitoring is around 15% <b>arget</b>	Anecdotal evidence that monitoring coverage has increased to 40%. Baseline figure of 15% not validated, and the term “monitoring coverage” is unclear.	Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%	<b>On target</b>	<p>Monitoring of tuna fisheries related with coverage rates was mostly based on tuna catch data collection from port sampling. In Philippines, tuna catch data are collected from all tuna landing sites (100%) covered. In Indonesia, currently 6 key tuna landing sites are covered from the baseline of 4 landing sites (50% increased). In Vietnam, 9 provinces are covered from the baseline of data collection from 3 provinces (200% increased).</p> <p>The Philippine port sampling program or National Stock Assessment Program (NSAP) have undergone expansion, covering almost all the tuna landing sites throughout the country (Refer to 1.1.1 Overview of PHL port sampling activities – NSAP, Table 1 and Figure 3). The NSAP coverage is fully funded by the Philippine government through BFAR.</p> <p>At beginning of the project, VNM has only collected tuna fisheries data at some central provinces (i.e. Binh Dinh, Phu Yen and Khanh Hoa) for all gear types. This project supported to expand data collection sites at 9 provinces in Vietnam for covering three gears.</p>	<b>Achieved</b>
	Little compliance with bycatch reduction requirement	There are no monitoring systems in place to support assessment of this indicator. This target is also not reflected in the NTMPs.	Reduction of catch of ETP species	<b>Not on target</b>	<p>According to the 5<sup>th</sup> PB meeting, it was agreed to delete “by 25%” from the Log frame.</p> <p>Main focus related with bycatch/ETP species is to conduct a risk assessment of bycatch species, which was completed by each country.</p>	<b>Achieved</b>

					<p>As a member of the WCPFC, PHL is required to reduce catch of ETP species. <b>There are WCPFC CMMs related to whale sharks, sea turtles, silky sharks, oceanic white-tip sharks. PHL fully observe and implements the provision of these CMMs and conduct investigations, if there are alleged violations from its flagged vessels.</b> For PHL flagged PS vessels, these are monitored by the Fisheries Observer Program with 100% observer coverage.</p> <p>VNM is implementing <b>regulations of CITES</b>. In addition, regulations on <b>bycatch mitigation were included in the revision of national tuna management plan.</b></p>	
No reflection of climate change in the current management framework	The project organized a three-country workshop on the impacts of climate change on tuna fisheries. The three beneficiary countries are planning on developing climate change adaptation guidelines and incorporating these into the NTMPs. These activities are planned in 2017; limited time remaining to achieve the envisaged results.	Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change conditions through revision of management		<b>Marginally on target</b>	<p>Each country <b>completed guidelines to adaptively manage tuna fisheries to address the impacts of climate change; and national policies on climate change were developed at each country and submitted to the government to be reflected into their National Tuna Management Plan when it is revised.</b></p> <p>Center research for Fisheries (CRF) has developed guidelines of climate change mitigation and adaptation for tropical tunas. This document is incorporated into the reviewed National tuna Management Plan.</p> <p>BFAR plan and programs are required to incorporate mitigations measures or activities to reduce impacts of climate change in fisheries. PHL through DA-BFAR has develop a Climate Change – Disaster Risk Reduction Manual of Operations including Actions Plans and Budget needs (<i>the Project has funded workshop/s for this activity</i>). This is aligned to the country’s objectives under the Department of Agriculture’s mandates.</p> <p><b>VNM has drafted two adaptive guidelines to consider climate change.</b> The first guideline is to use for fishing communities who will have better understanding on where good fishing ground for fishing due to complexity of climate change. The second one is for capacity training for policy makers and other related stakeholders on adaptive with climate change issues. This activity is aligned with national strategies when climate is considered as a recent hot topic.</p> <p>Joint country and national work promoted the “policy windows “with the cross-cutting work at the regional level through work of project management based at the commission and reports to the commission on the project work. (Good strategy).</p>	<b>Achieved</b>
Tuna supply chains not well documented, no oceanic tuna fisheries in the EAS certified	FIPs for tuna fisheries are ongoing in each of the three beneficiary countries. There has been limited project involvement, except in Vietnam. There has also been limited progress with respect to supply chain analysis activities.	Progress to possible certification of at least two oceanic tuna fisheries in the EAS, through FIPs		<b>Marginally on target</b>	<p>Each country has several certification processes ongoing and some are completed. For example, <b>in the case of Philippines</b>, for the past 6 years, the yellowfin tuna handline fishery of Mindoro Strait and Lagonoy Gulf have been working relentlessly to address key issues of sustainability in order to attain MSC. <b>In 2018, it officially entered into the full certification</b></p>	<b>Achieved</b>

					<p>process. Detailed information are available from each country's consultancy report on certification.</p> <p><b>PHL we has developed two (2) consultancy reports related to supply chain and certification by Dr. Jose Ingles. SFFAII was supportive of this initiative (during the conduct of interviews).</b> There were prior workshops conducted related to tuna supply chain and certification conducted under this Project. There is an ongoing initiative to have the PHL high seas pocket #1 (PS-HSP1) operation to have it MSC certified (<i>in progress through the GenTuna Corporation in collaboration with BFAR and HSP1 operators</i>). While handline operators in GenSan are also interested to have an FIP for their tuna fisheries for their EU and US markets.</p> <p><b>Indonesia launched its interim Harvest strategy on 31 May 2018, and one of Indonesia's fishing company PT Citra Raja Ampat Canning for Poll abd Line fishery earned the first MSC certification in 2018.</b> Tuna Hand line fishery is now under process on the assessment for its MSC certification. Tuna Purse Seine fishery is also progressing for its Fishery Implementation Plan.</p> <p><b>VNM has developed two consultancy reports conducted by Viet Anh related to supply chain and certification.</b> These reports are to revise current status on supply chain and certification for tuna fisheries in Vietnam and propose some recommendations to manage effectively tuna fisheries supply chain and national certification system.</p> <p>The intent of the project was to create synergies with ongoing initiatives. Post MTE this was a clear intent by the project manager and National Tuna Coordinators. Many changes with regards to the cross sectoral goals took place including inviting more stakeholders to meetings and events/workshops involving the cross-cutting work.</p>	
Date:	2013	March 2017	October 2017			

**COMPONENT 1: Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory fish stocks**

Indicative budget in project document: USD 700,000

Actual cost incurred on this Component through 30 December 2016: USD 311,585

**Outcome 1.1:** Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and IUU fishing in the POWP LME and the EAS LMEs

Progress towards achieving Outcome 1.1 is rated as: **Satisfactory**

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Indicator 2: Regional (WCPF Convention area): Status of participation in WCPFC activities (CMMs, compliance monitoring, MCS etc.) and membership (CCM); Subregional (Indonesia, Philippines, Vietnam): Establishment of WCPFC/PEMSEA Consultative Forum (CF) to coordinate monitoring of oceanic tuna stocks across EAS LMEs in association with PEMSEA, WCPFC and others					
	Baseline	Midterm Status	End Target	Midterm Assessment	Status of Project at Final
Value:	<b>Regional:</b>				
	<p>Close to full participation by Indonesia and Philippines as members; Vietnam not compliant in some aspects and CNM status</p>	<p>Compliance levels have improved in each of the three beneficiary countries. <b>Achieving “full” compliance will take time, beyond the lifespan of the project.</b></p>	<p>All three countries comply with WCPFC requirements, and relevant CMMs</p>	<p><b>Marginally on target</b></p>	<p>Both Indonesia and Philippines are members and Vietnam is a cooperating nonmember of the WCPFC. All three countries are obliged to comply with all relevant CMMs adopted by the Commission. TCC reviews and assesses CCM’s level of compliance. This is related with the obligation of members and cooperating nonmembers of the WCPFC. One of the main objectives of the WPEA project is to “assist” the three countries to enhance their compliance including data submission, which have been well done through this project.</p> <p>Starting from more than 60 CMMs with noncompliance status in 2015, Indonesia has improved its compliance level down to 9 uncompliant and 2 capacity assistance (CAN) needs in 2018, which is a huge level-up in the context of compliance with CMMs.</p> <p>In term of scientific data to be provided, PHL is mostly compliant with WCPFC CMMs</p> <p>Vietnam is obligation mainly on tuna fisheries data provision and reporting issues of WCPFC. In this regard, Vietnam is currently providing Annual Report – Part 1 &amp; 2. In fact, according to Compliance monitoring report (CMR) of WCPFC, Vietnam almost complied with all CMMs requirements. It is noted that many CMMs is not applicable to Vietnam’s EEZ.</p> <p>Vietnam has not been elected to the commission as a full member as a result of this project. While it was an expected outcome of project, the evaluator noted the absence of a clear pathway in the original theory of change. That is for work bridging regional policy goals and the work on improvements in the data science and compliance of Vietnam. The project has nonetheless ‘readied’ Vietnam for an invite to the commission by demonstrating its learning and compliance. The follow up policy advocacy work might be a central end of project target (dissemination of the final results and this terminal evaluation report to the political leaders for consideration of Vietnams ‘Readiness’ to join convention as full member).</p>



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		<p>Anecdotal evidence that monitoring coverage has increased to 40%.</p>	<p>Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%</p>	<p><b>On target</b></p>	<p>The Philippine port sampling program or National Stock Assessment Program (NSAP) have undergone expansion, covering almost all the tuna landing sites throughout the country (Refer to 1.1.1 Overview of PHL port sampling activities – NSAP, Table 1 and Figure 3). The NSAP coverage is fully funded by the Philippine government through BFAR. PHL has 100% ROP coverage for its PS vessels operating outside PHL waters.</p> <p>At beginning of the project, VNM has only collected tuna fisheries data at some central provinces (i.e. Binh Dinh, Phu Yen and Khanh Hoa) for all gear types. This project supported to expand data collection sites at 9 provinces in Vietnam for covering three gears.</p> <p>The changes in “data collection regimes and compliance status” SPC report 2018 indicate significant expected results.</p>	<p><b>Achieved</b></p>
<p><b>Subregional:</b></p>						
<p>Three countries work cooperatively within WPEA project but no coordinating mechanism which includes all fishing entities in SCS and other LMEs</p>	<p>One of the topics included in the second three-country project workshop was <b>harvest strategy development, and each country is working towards developing harvest strategies</b>. There are no plans for developing subregional harvest strategies, e.g., for the EAS LME.</p>	<p>Countries once a year share information which contributes to development of harvest policy for oceanic tunas across the relevant LMEs and within the WCPFC framework</p>	<p><b>Marginally on target</b></p>		<p>WCPFC’s Scientific Committee (SC) is held once a year and one of key topics is the development of a harvest strategy framework. WPEA project supports each country representatives to attend this technical SC meetings annually to share information and capacity building on various components within a harvest strategy framework of the WCPFC.</p> <p>Indonesia first attempted to develop its tropical tuna HS in the archipelagic waters, and shared its experience with Vietnam and Philippines. Currently, Indonesia has Interim harvest strategy and its has prototype of operating model for tropical tuna in the archipelagic waters.</p> <p>VNM assigned its delegates to attend three countries workshop to discuss and share tuna fisheries management and monitoring information together with PHL and IND. <b>VNM revised the fisheries law and issued a new fisheries law on Nov 2017. This new law has integrated harvest strategies and reference point concepts for further development by bylaw documents.</b></p> <p>Design issues – Theory of Change and Strategies –End Targets around this goal were not well articulated and or thought through during design. Informants agreed and project management dealt with this best way by focusing budgets on</p>	<p><b>Achieved</b></p>

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					the substance of the project which was to upgrade the capacities of all countries to do monitoring and reporting (SPC). The work on cross setting areas was done as more of learning contributions and this was reported by beneficiaries as effective to open policy windows (cross sector involvement in workshops) and begin to mainstream the issues in national tuna management plans. The WCPFC Science Committee Meeting is the Subregional mechanism for raising the need for joint harvest strategies at the EAS level. The aim of the project (interviewees) was to bring all three countries up to speed on data and compliance, include Vietnam as a full member and then push the need for a joint Harvest EAS agenda at the level of the WCPFC Science Committee. The project has clearly contributed to this goal by raising capacities of all countries to comply and the awareness of Scientific committee of the need for joint EAS Harvest Strategy work by presenting project progress work. Here the Project Manager played an important role of showcasing the work of the project to the Scientific Committee of the convention.	
		WPEA beneficiary countries attended the PEMSEA EAS Congress in 2015. The project has also signed a letter of cooperation in Nov 2016 with the PEMSEA Resource Facility; which includes developing and hosting a project website, and also developing a monitoring and evaluation system.	Project coordinates with the EAS Program through the PEMSEA Resource Facility	<b>On target</b>	<p>The development of a WPEA project website and a monitoring and evaluation system are completed, supervised by the PEMSEA. Other bilateral consultation meetings and the first comprehensive Consultative Forum was convened in January 2019. Both WCPFC and PEMSEA agreed to continue cooperation on areas of mutual interests.</p> <p>PHL continues to collaborate with partners such as PEMSEA, USAID-OCEANS Project, and SEAFDEC.</p> <p>VNM assigned its one participant to attend PEMSEA EAS Congress in 2015 in Da Nang, Vietnam.</p> <p>While the output has been achieved – webpage- the usefulness towards the end targets and goals are still at risk. PEMSEA has innate interest to support KM for EAS subregional ecosystem work.</p> <p>I found no evidence of ME system. Not sure if this made sense as the project was implemented by the commission and so the ME would need more than a letter but full integration and involvement of PEMSEA on boards and in implementation work planning.</p>	<b>Achieved</b>
Date:	<b>2013</b>	<b>March 2017</b>	<b>October 2017</b>			
<b>Indicator 3: National</b> (common): (a) Formation of task force to prepare and package information for CF; (b) Comprehensive national databases for all aspects of oceanic tuna fisheries, including log sheet data, port sampling data, vessel register, MCS data, and bycatch; (c) Comprehensive VMS, IUU monitoring and catch certification system in place for each country.						
	<b>Baseline</b>	<b>Midterm Status</b>	<b>End Target</b>	<b>Midterm Assessment</b>	<b>Status of Project at Final</b>	

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Value:	<b>Indonesia:</b>					
	National logbook monitoring system gradually being established under PSDKP MMAF, mainly starting to cover large vessels (>30GT) and not fully integrated with fisheries data	The legal foundation of implementation of fishing logbook is the Ministerial Decree No. 48/PERMEN-KP/2014, approved on 17 October 2014. The expected logbook cumulative coverage by the end of 2017 is expected to be 50%.	Logbook coverage of all commercial gears and fleets improved up to 50% for fishing vessels >30 GT	<b>On target</b>	Logbook coverage varies among fishing ports and generally the rate has been improved during the project period, up to over 50% in some places. Detailed coverage rates are found in the country's Logbook Report.	<b>Achieved</b>
	Species composition by gear by species currently available under port sampling programme covering only FMAs 716 (Bitung), 717 (Sorong) 714 (Kendari); Limited data from surveys by research vessel	Coverage of artisanal fleet landings is the same as documented in the previous target. Catch data on targeted species and key bycatch species are documented. Port sampling, observer, logbook, and surveys are regularly carried out. The Observer Program was authorized in May 2016 by WCPFC/PEMSEA. There are shortcomings with respect to logbook coverage and quality among small and medium scale fishing operators.	Coverage of artisanal fleet landings improved up to 50%; catch of retained and bycatch species well documented. Dependent and independent data available (port sampling, observer, logbook, surveys)	<b>Marginally on target</b>	In Indonesia, handline and troll artisanal fisheries are covered by port sampling, and expansion of port sampling sites resulted in the increase of coverage over 50%. Recently, due to project work and support, along with improvements of conventional logbook, Indonesia now has their logbook for small scale fisheries and e-logbook (since 2018).  Achieved logbooks.	<b>Achieved</b>
	Statistical data for AW fisheries are available, but biological data and scientific database to verify currently is not available (FMAs 713, 714, 715)	Database developed starting in 2010, and has been regularly updated and refined (for the second phase of WPEA applied both off line and online data inputs), e.g., including bycatch data. Port sampling coverage within archipelagic waters FMAs is the same as indicated for target 3.1.	Scientific database for archipelagic fish resources developed and implemented; extend port sampling to cover AW FMAs up to 25%	<b>On target</b>	In Indonesia, Center for Fisheries Research <b>has scientific database for archipelagic fish resources and port sampling has been expended from four to six locations of key tuna landing sites, which is over 50% expansion of the coverage.</b> The database has been developed and improved interactively with dashboard, and reported to the relevant fishing industries.  Some countries are ahead of others.	<b>Achieved</b>
	VMS and catch certification scheme under development and limited application to deter IUU	VMS Scheme was approved through Ministerial Decree, dated 04 June 2014. Catch Certification was approved through Ministerial Decree, dated 29 June 2012. These regulations support efforts to reduce IUU fishing in Indonesia.	VMS and catch certification system in place to address IUU	<b>On target</b>	Indonesia has a legal framework on VMS. The work begun before the start of the project to address IUU fishing. The MCS Report was produced by this project and introduces the Indonesian VMS programme.	<b>Achieved</b>
	No mechanism in place for regional knowledge sharing on oceanic tuna through CF	National task force not yet established. The planned three-country workshop planned for May 2017 will cover subregional cooperation. A national task force will be considered in this process.	National task force in place for packing of information for CF	<b>Marginally on target</b>	National task force has been established to prepare the Consultative Forum and identified a list of priority issues to discuss at the Forum. National task force for the CF in particular for tRFMOs has been developed under the DCGF to cover both EEZ and high Seas. No sustainability of CF – This needs work in context of next project with New Zealand.	
	<b>Philippines:</b>					
	Current monitoring coverage for small and medium scale tuna fisheries is less than 10%	The approximate 100 landing areas cover at least 30% of the tuna catch, including from small and medium scale operators.	Monitoring coverage for small and medium scale tuna fisheries improved by 30%	<b>On target</b>	In Philippines, all tuna landing sites are a <b>100% covered for data collection.</b>	<b>Achieved</b>

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(development of prototype for small scale fisheries)					The Philippine port sampling program or National Stock Assessment Program (NSAP) have undergone expansion, covering almost all the tuna landing sites throughout the country (Refer to 1.1.1 Overview of PHL port sampling activities – NSAP, Table 1 and Figure 3). The NSAP coverage is fully funded by the Philippine government through BFAR. PHL has 100% ROP coverage for its PS vessels operating outside PHL waters. Most of the expansion sites covers for small and medium scale tuna fisheries.  These contributed a major project result –the expansion of data collection systems at the national level.	
Current monitoring by VMS limited to PS/RN Phil-flag vessels operating in WCPO HSP1 and other countries' EEZs; limited application of VMS in Phil waters to address IUU	The Philippine Fisheries Code of 1998 (RA8550) as amended by RA10654 (series of 2015), Section 119 requires all catcher vessels 30GT and up operating in national waters to be covered by the Vessel Monitoring Measure (VMM). The full implementation of the new law will be expected to be realized in 4-years, by 2019.	VMS monitoring and/or other technologies applied to selected tuna fishers operating in the Phil national waters and WCP CA to reduce IUU	<b>On target</b>	Application of VMS to combat IUU fishing has been implemented before the start of this project in Philippines in all waters where the Philippine tuna vessels are operating. Update on VMS technology has been continued.  The full implementation of the VMM is expected to be in place before the end of 2019 through the Integrated Marine Environment Monitoring System (IMEMS) Project	<b>Achieved</b>	
Delays in manual submission of log sheets resulting in proposing an e-logbook system to facilitate timely submission	A national e-logbook (or e-Reporting) system has been developed and pilot testing is ongoing for PH vessels operating in WCPFC-HSP1 (high seas). Adoption of the PH e-logbook or e-Reporting system is expected to be realized upon the full implementation of the Catch Documentation and Traceability System.	e-logbook developed and pilot tested ready for implementation and adoption by stakeholders	<b>On target</b>	E-logbook system has been developed and trial application was made. This will be further developed in the future.  A national e-logbook (or e-Reporting) system has been developed and pilot testing is ongoing for PH vessels operating in WCPFC-HSP1 (high seas). Coverage of e-logbook (or e-Reporting system) will be enhanced through the IMEMS to include vessels operating in EEZ.  The work shows the importance of making synergies with other project to achieve the longer term expected outcomes.	<b>Achieved</b>	
No mechanism in place for regional knowledge sharing on oceanic tuna	A Technical Working Group for tuna fisheries (TWG-Tuna) was established by BFAR. The current administration needs to approve continuation of the group. Mandate for packing of information for CF would also need to be included.	National task force in place for packing of information for CF	<b>Marginally on target</b>	National task force has been established to prepare the Consultative Forum and identified a list of priority issues to discuss at the Forum.  A new <b>Technical Working Group for tuna fisheries (TWG-Tuna) was established by BFAR</b> . The Technical Working Group for Tuna Fisheries (TWG-Tuna) has following functions which may include but not limited to the following: Recommend policies, programs, projects and activities relating to the Tuna Regional Fisheries Management Organization (tRFMOs) to which Philippines Is a member or cooperating nonmember; Prepare/Review Compliance Reports and other obligations/requirements of tRFMOs;	<b>Marginally on target</b>	

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					<p>Monitor and investigate current and emerging issues on tuna fisheries; recommend to BFAR Director actions to be undertaken;</p> <p>Coordinate and maintain linkages with the industry and key stakeholders relating the work of the BFAR TWG-TUNA</p> <p>Prepare and Finalize the National Tuna Management Plan and consideration of any updates thereafter;</p> <p>Coordinate and provide technical support to the National Tuna Industry Council (NTIC) and the Tuna Fishing Industry in general;</p> <p>Prepare working and information papers for NTIC meetings and other forums as maybe required; Attend NTIC Meetings as maybe necessary;</p> <p>Perform other tasks as maybe assigned by the Undersecretary for Fisheries/BFAR Director.</p> <p>A member of this TWG may also task one of its members or staff to attend consultation meetings/ workshops to give updates and share lessons learned including plans and programs of BFAR in relation to tuna fisheries management.</p> <p>Need for a sustainability plan for forums. "The current administration needs to approve continuation of the group. Mandate for packing of information for CF would also need to be included."</p> <p><b>Needs follow up in next phase</b></p>	
<b>Vietnam:</b>						
Monitoring systems established in three central provinces (Binh Dinh, Phu Yen & Khanh Hoa) under WPEA in compliance with WCPFC requirements, but not covering for all gears and all other provinces	All 9 provinces covered, as of 2015. Log sheet data following WCPFC's template now covers tuna fishing fleets in three main provinces (i.e. Binh Dinh, Phu Yen and Khanh Hoa). Other provinces using national log sheet format. <b>Log sheet data not authorized by government and not yet submitted to WCPFC.</b>	Monitoring systems expanded to 6 other provinces; increased coverage and quality of log sheet data for all tuna fishing fleets	<b>On target</b>	In Vietnam, most tuna landing sites in the 9 provinces covered most artisanal tuna fisheries, and tuna survey data using gillnet are available at Research Institute of Marine Fisheries.	<b>Achieved</b>	
Current coverage of monitoring landing data is around 35%	All 9 provinces having tuna fisheries are participating in monitoring landing data. Baseline figure of 35% and the term "coverage" are unclear.	Landing data coverage of tuna fishing fleets significantly improved up to 70%	<b>On target</b>	Data collection provinces have been increased from three provinces to 9 provinces in Vietnam.	<b>Achieved</b>	

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	No bycatch data are currently documented	Shark, swordfish, marlin, etc. are documented in the 3 main provinces, starting in 2015.	Catch of retained and bycatch species well documented	On target	All catch of retained and bycatch species are well installed in the TUFMAN1 database, documented and reported to WCPFC.	Achieved
	No integrated database system established	The TUFMAN-1 system is an offline system, not yet integrated. <b>There are discussions to adopt the online version developed by SPC (TUFMAN-2).</b> This is not included in the 2017 annual work plan. Discussion of next phase, funding by New Zealand government, including financing the online system.	Integrated database established within National Fisheries Statistics system, including data entry, verification and database maintenance	Not on target	D-Fish Fishery Information Center has an integrated database system and their tuna data are annually reviewed by the WPEA Tuna Data Workshop.  A national database is developing for all fisheries including tuna fisheries. This is not funded by project but there is impact from project implementation and a need to enhance national database development to support for traceability system including catch certification to export to other countries.  <b>The national strategy and budget for this exercise was not included. The focus work of project on data collection and reporting supports this important national work. Flag for gap at end and recommendation.</b>	Marginally on target
	No mechanism in place for regional knowledge sharing on oceanic tuna	Nationally, a technical working group has been established for restructuring tuna fisheries management, transferring more responsibilities to local level. <b>Consultative Forum between WPEA-PEMSEA not yet established.</b>	National task force in place for packing of information for CF	Marginally on target	<b>National task force has been established to prepare the Consultative Forum and identified a list of priority issues to discuss at the Forum.</b>  Tasks of the task force is to deal with all issues relation to WCPFC including advising to government to help Vietnam on accession on WCPFC. The work on setting up a technical working group is a key lesson learned for management and implementation as well as sustainability. While the subregional CF was developed late in project implementation, the national teams were also intended to support implementation and national policy level results. It goes back to the project need for a policy and sustainability plan , Need follow up next phase -	Marginally on target
	VMS scheme being implemented but not yet integrated with fisheries data. VMS, IUU and catch certification scheme not in place - under development and initial implementation	A national VMS has been established and installed 3000 offshore fishing vessels as a trial; also for other fisheries.	VMS scheme being developed for selected fisheries to apply for catch certification scheme and to reduce IUU	On target	VMS system has been established and applied to selected fishing vessels even before the start of this project in Vietnam to combat IUU; and several types of certification have been implemented. Refer to the national certification system consultancy report for the details.  The new fisheries law requires all fishing vessels more than 15m in length need to install any monitoring system. The project has support to develop one consultancy report to review VMS system in Vietnam. The report is a very important document for Vietnam govt. to develop a technical guideline to select VMS service providers.	Achieved
Date:	2013	March 2017	October 2017			

<b>Outcome 1.2:</b> Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam to integrate climate change impacts on highly migratory stocks into management regimes	
Key findings Technical ground work achieved but not linked to outcome around plans at the regional and subregional level Longer term expected outcomes	
Progress towards achieving Outcome 1.2 is rated as:	<b>Marginally Satisfactory</b>

**Indicator 4:** (a) Prediction of climate change impacts on oceanic fisheries and development of adaptive management strategies; (b) Capacity building to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies and incorporate these into management regimes

	Baseline	Midterm Status	End Target	Midterm Assessment	Status of Project at Final
Value:	<b>Subregional:</b>				
	Some information available on impacts on POWP LME but model outputs not yet extended to EAS and integrated with existing data	No plans are in place to predict climate change impacts on a LME scale, and subregional adaptive management strategies are not planned.	Trial prediction of climate change impacts on EAS and western part of POWP LME and appropriate adaptive management strategies developed	<b>Not on target</b>	<p>Addressing the the baseline and reaching the subregional target are beyond the scope of budget and time frame of this project.</p> <p>With very limited budget and time frame of this project, the three countries developed guidelines to adaptively manage the impact of climate change on tuna fisheries at national level and capacity building on this issue. In addition, convening a three country, subregional workshop on climate change impacts, the three countries had capacity building in understanding how to adaptively manage the impacts of climate change on tuna fisheries by sharing their national level activities.</p> <p>In Indonesia, the impact of climate change has been predicted through a consultative approach with climate change (CC) experts in the forms of WS. Adaptive management strategies have been developed through CC guidelines and integrated to the NTMP.</p> <p><b>Need follow up plan and strategies at the regional and subregional level. Sensitization and knowledge production work on these issues achieved with technicians and some policy makers at the national level.</b></p> <p><b>Need follow up plan and strategies at the regional level. Sensitization and knowledge production work at the national level achieved.</b></p>
	<b>Indonesia:</b>				

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	<p>Though National Climate Change Council established in 2008 (Presidential decree no 46/2008), climate change impacts on oceanic fisheries and its ecosystems not studied and current analytical capacity in this area is very limited</p>	<p>A prior study on climate change was completed in 2016, but this did not include modeling or other activity that strengthened predictive capacity. A task force has been established with the RCFMC, and two climate change guidelines are under preparation.</p>	<p>Task force established to study climate change impacts on oceanic fishery sector; results of preliminary research/modeling on oceanic fisheries available; adaptive management strategies to mitigate impacts of climate change developed</p>	<p><b>Marginally on target</b></p>	<p>Task force and climate change-related division are established in Indonesia. Two guidelines were developed, which includes policies and strategies to mitigate the impacts of climate change on tuna fisheries.</p> <p>In Indonesia, a task Force for CC has been established under the Center for Fisheries Research. The task force has actively involved in the CC WS and gave inputs for the improvement of the reviewed NTMP.</p> <p>VNM has drafted two adaptive guidelines to consider climate change. The first guideline is to use for fishing communities who will have better understanding on where good fishing ground for fishing due to complexity of climate change. The second one is for capacity training for policy makers and other related stakeholders on adaptive with climate change issues. This activity is aligned with national strategies when climate is considered as a recent hot topic.</p> <p>This national work is about synergies and policy work – need follow up for sustainability and to move towards the regional targets.</p>	<p><b>Achieved</b></p>
<p><b>Philippines:</b></p>						
	<p>National climate change strategy developed, but impacts on oceanic fisheries and its ecosystems not yet studied and current capacity limited</p>	<p>The national coordination unit has had difficulties recruiting a consultant to carry out a prior study. Trial prediction of climate change impacts on oceanic fisheries unlikely by project closure. Philippines is planning to develop a climate change and disaster risk management manual of operations – not specifically focused on oceanic fisheries.</p>	<p>Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more skilled personnel trained to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies</p>	<p><b>Not on target</b></p>	<p>Prediction of climate change impacts on oceanic tuna fisheries requires both modeling work and availability of relevant environment and fishery data, which is absolutely impossible to be conducted through this project. This target should be removed.</p> <p>There were several workshops on climate change issues and around 30 government staff and people from private sectors attended the workshops, which is the training workshop. Adaptive management strategies were developed through the two guidelines on climate change: a) General Guidelines on Adaptive Management and Monitoring of Highly Migratory Fish Stocks to Address Climate Change, and b) Application of Adaptive Management Guidelines for Capacity-Building of National Technical Fishery Staff, Policy, and Decision Makers in Philippines (by Rollan Geronimo).</p>	<p><b>Marginally on target</b></p>



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					<p>Policies/Strategies on climate change are reflected into National Tuna Management Plan.</p> <p>This national work is about synergies and policy work – need follow up for sustainability and to move towards the regional targets.</p>	
<b>Vietnam:</b>						
	<p>Lack of trained/skilled personnel and no existing assessment of capacity needed to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies</p>	<p>There has been some progress towards evaluating potential impacts of climate change on oceanic fisheries, using an existing model. Further analyzes are planned in 2017. Four technical staff from the Ministry participated in the three-country workshop in 2016 that included sessions on climate change. Establishment of national climate change guidelines is included in the 2017 project work plan.</p>	<p>Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more technical staff, policy &amp; decision makers to integrate climate change impacts on highly migratory stocks</p>		<p>Similar work has been done on climate change issues in Vietnam. Two guidelines were developed: Guidelines for the Adaptive Management of Climate Change Impacts on Tuna Fisheries; and Guidelines for capacity building, training of national and provincial technical fishery staff, policy and decision makers in Vietnam to cope with the impacts of climate change on tuna fisheries.</p> <p>Vietnam also developed an economic modeling to predict tuna production using environmental data: Application of economic modeling in assessing climate change impacts on tuna fisheries in Vietnam.</p> <p>Policies on climate change impacts were developed and will be reflected into National Tuna Management Plan when the Plan is revised.</p> <p>Three country workshops provide excellent mechanism for collaboration and preparing strategies to influence policy windows. This was near really developed as a strategy for change around regional and subregional expected outcomes.</p> <p>This national work is about synergies and policy work – need follow up for sustainability and to move towards the regional targets.</p>	<p><b>Marginally on target</b></p>
Date:	<b>2013</b>	<b>March 2017</b>	<b>October 2017</b>			

**Outcome 1.3:** Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam

Progress towards achieving Outcome 1.3 is rated as:

**Moderately Satisfactory**

**Indicator 5:** (a) Incorporation of oceanic fisheries indicators and modeling outputs into overall national climate change strategy; (b) Policies / strategies / plans / program that integrate climate change into national fisheries policies and even legislation/regulations

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	Baseline	Midterm Status	End Target	Midterm Assessment	Status of Project at Final	
Value:	<b>Indonesia:</b>					
	National policy formulation specific to oceanic fisheries under climate change is very limited, but some information available for adjacent POWP LME, as a suitable model/precedent	Climate change adaptive management strategy is under preparation. The strategy is envisaged to be approved through Ministerial Decree; this does not meet the target of incorporating into national cross-sectoral climate change strategy.	Climate change adaptive management strategy for oceanic fisheries developed and incorporated in national cross-sectoral climate change strategy	<b>Not on target</b>	<p>The climate change adaptive management strategy for oceanic fisheries was developed as a form of guidelines to adaptively manage the impacts of climate change on tuna fisheries in the three countries, including Indonesia.</p> <p>Policies on climate change issues were developed and will be reflected into National Tuna Management plan once the Plan is to be revised.</p> <p>In Indonesia, Climate change adaptive management strategy for tropical tuna has been developed and integrated into the reviewed NTMP.</p> <p>Knowledge Contributions achieved. Sustainability and Follow up might be a significant concern. Need a bridge for this cross-cutting work with the New Zealand Project.</p>	
	<b>Philippines:</b>					
	No pool of experts to mainstream climate change concerns into national fisheries sector policy. No specific regulations on climate change related to fisheries management established. RA9729: Philippine Climate Change Act of 2009 has served as the basis for the creation of the Climate Change Commission	There has been limited progress in recruiting a national consultant under Outcome 1.2. A manual of operations for climate change and disaster risk management is earmarked for 2017; this is unrelated to the project and does not focus on fisheries.	Policies / strategies / plans / programs that integrate climate change into national fisheries regulations approved and/or implemented	<b>Not on target</b>	<p>Approval and implementation of policies / strategies / plans / programs that integrate climate change into national fisheries regulations will be approved and/or implemented once the government officially endorse the revised one.</p> <p>BFAR plan and programs are required to incorporate mitigations measures or activities to reduce impacts of climate change in fisheries. PHL through DA-BFAR has develop a Climate Change – Disaster Risk Reduction Manual of Operations including Actions Plans and Budget needs (<i>the Project has funded workshop/s for this activity</i>). This is aligned to the country's objectives under the Department of Agriculture's mandates.</p> <p>PHL also developed two (2) consultancy reports: a) General Guidelines on Adaptive Management and Monitoring of Highly Migratory Fish Stocks to Address Climate Change, and b) Application of Adaptive Management Guidelines for Capacity-Building of National Technical Fishery Staff, Policy, and Decision Makers in Philippines (by Rollan Geronimo)</p> <p>Policies on climate change are reflected into National Tuna Management Plan.</p> <p>Mainstreaming climate change has been achieved with Tuna management plans and support of the 'enabling work' under component two. Having a pool of experts is rather a KM function</p>	<b>Marginally Achieved</b>

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					(no cross-cutting strategy for that in the project – not sufficient budget for national level KM plans either). Might be linked to the strategy to have KM at PEMSEA. The pool of experts is not developed but might be developed and integrated with the K M work. This work need sustainability plan.	
<b>Vietnam:</b>						
	No inputs to national policy formulation on climate change currently available for Vietnam, nor to oceanic fisheries	A consultancy activity is planned for 2017 to integrate climate change, EAFM, supply chain certification, and harvest strategy framework aspects into an updated version of the National Tuna Management Plan.	Climate change concerns articulated and integrated into the national fisheries policy	<b>Not on target</b>	Climate change concerns were articulated and integrated into the national fisheries policy and this policy was reflected into National Tuna Management Plan.  Climate change was integrated into the draft of VNM’s national tuna management plan for approval consideration.  Project provided knowledge inputs and influenced policy with development of credible guidance. The development of a Tuna Management Plan is a significant achievement under this project for Vietnam. It need integration and more work on raising its profile at the national level. Work and KM though PEMSEA might help achieve national political traction for all three countries.	<b>Marginally on Target</b>
Date:	<b>2013</b>	<b>March 2017</b>	<b>October 2017</b>			

<b>COMPONENT 2: Implementation of policy, institutional and fishery management reforms</b>						
<b>Outcome 2.1:</b> Enhanced compliance of existing legal instruments at national, regional and international levels						
Key findings Regional policy targets – longer term Good project strategy to implement through WCPFC as it is a policy target for raising the need for this work in EAS subregional at the regional level. Good progress in each country						
Progress towards achieving Outcome 2.1 is rated as:				<b>Satisfactory</b>		
<b>Indicator 6:</b> Legal instruments fully compatible with WCPFC requirements, and compliance with WCPFC management requirements, including compliance with CMMs, ROP, RFV and application of reference points, and harvest control rules						
	<b>Baseline</b>	<b>Midterm Status</b>	<b>End Target</b>	<b>Midterm Assessment</b>	<b>Status of Project at Final</b>	
Value:	<b>Regional:</b>					
	No collaborative governance on tuna fisheries among the three countries and limited	Subregional collaborative governance not yet “officially” established. This topic will be addressed	Subregional collaborative governance on tuna fisheries established. Participation in	<b>Marginally on target</b>	<b>Through WCPFC requirements, the three countries are obliged to cooperate governance on tuna resources.</b> In addition, the three countries	<b>Achieved</b>

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<p>compliance with technical application of WCPFC requirements due to limited involvement in WCPFC's technical processes (SC and TCC)</p>	<p>during the planned subregional project workshop in May 2017. The project has supported representatives from the three beneficiary countries to participate in WCPFC scientific committee (SC) and technical and compliance committee (TCC) meetings.</p>	<p>WCPFC's technical processes enhanced through full participation in WCPFC technical meetings (SC, TCC and other technical WG meetings)</p>		<p>have their own system to govern their tuna fisheries and through regional organizations such as SEAFDEC, PEMSEA, CTI Triangle, they are supposed to report back to the flag country for any violations.</p> <p>WPEA project has been supporting each country delegates to <b>attend technical meetings such as Scientific Committee and Technical and Compliance Committee meetings, and also to attend SPC's Tuna Data Workshop.</b></p>	
<p><b>Indonesia:</b></p>					
<p>No RPs and HCRs considered yet as a scientific procedure</p>	<p>Development of a harvest strategy began in 2014, with incremental support by the WPEA project, other projects, and government funding. Unlikely that RPs and HCRs will be developed by planned project closure in October 2017.</p>	<p>Tuna management strengthened through applying scientific procedure using Reference Points (RPs) and Harvest Control Rules (HCRs) at national level once applied at regional level</p>	<p><b>Marginally on target</b></p>	<p>WCPFC continues to develop reference points and HCRs. The three countries apply the same or similar limit and target reference points to be compatible with high seas in the Convention Area, which enhances tuna management at regional level.</p> <p>Application of reference points and harvest control rules are in progress for skipjack and yellowfin tuna fishery in Indonesia. In Indonesia, archipelagic Water (AW) management regime has already been established and will be refined using the harvest strategy framework which is under development.</p> <p>Indonesia has its NTMP, in addition to that the interim Harvest strategy has been officially launched in May 2018. Limit Reference point has been established to 0.2 of the spawning biomass at unfished level; management objective is to maintain the sustainability of the stock, and operational objective is to maintain the stock with a projection of 0.1 below limit references point. Target reference points will ranges from 0.3 to 0.4 wich will be agreed by the Satkeholders WS in late october 2019.</p>	<p><b>Achieved</b></p>
<p>Some fishery legislation under revision to accommodate all WCPFC requirements, framework for AW management through FMAs currently minimal but</p>	<p>There is a national policy on archipelagic waters, e.g., maximum vessel size of 100 GT. In this context, the management regime is already established. The regime is now being strengthened by introducing a harvest strategy approach.</p>	<p>Archipelagic Water (AW) management regime established</p>	<p><b>On target</b></p>	<p>Tropical tuna management in the archipelagic waters has been referred to NTMP.</p> <p>Excellent results. Indonesia is ahead of the other countries.</p>	

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progressively being developed (7 FMAs)					
<b>Philippines:</b>					
Existing FAD management policy and other CMMs needs to be revisited for compliance, but Philippines currently compliant with most of the WCPFC CMMs	With the amended Fisheries Code (RA10654), approved October 2015, the new law has addressed most of the CMMs including issues/concerns on FADs. The project is supporting a consultancy in 2017 to review current policy on FADs, and to identify additional concerns on FADs (if any).	Compliance with CMMs of special concern to Philippines primarily FADs committed	<b>On target</b>	Implements FAO 244: FAD Management Policy. A Review and Analysis on the Operation of Anchored FADs in Philippine Waters and High Seas Pocket 1 in Consonance with Applicable WCPFC CMMs and National FADs Management Policy was also conducted by Dr. Alma Dickson.	<b>Achieved</b>
<b>Vietnam:</b>					
Limited compliance with CMMs or other management arrangements; no RPs and HCRs considered yet as a scientific procedure	The <b>National Tuna Fisheries Management Plan was approved by Decision No. 3562/QD-BNN-TCTS, 1 September 2015</b> . In 2016, the Ministry developed a national action plan for Conservation and Management of Sea Turtles (WCPFC CMM 2008-03). In 2017, the Ministry is working on a national action plan for conservation and management of sharks, compliant with WCPFC CMM 2010-07). Also, relevant CMMs (7) were translated with support of the project and also by WWF.	Incorporation of compatible measures into national legal frameworks and incorporation of relevant WCPFC requirements completed	<b>Marginally on target</b>	<b>Vietnam reviewed their fishery laws and regulations in line with WCPFC requirements, where the government will consider revision of their national laws and regulations as needed. In early 2019, Vietnam government adopted the new Fishery Law which reflected international norms.</b>  Development of a reference point for tuna species was included into the new fisheries law in Vietnam. National tuna management plan was revised to reflect new concepts on tuna fisheries management into legislation.  Fully achieved	<b>Achieved</b>
	Project supported one workshop in November 2016 together with <b>WWF to discuss establishing RPs and HCRs</b> . It is unlikely that RPs and HCRs will be developed by the planned project closure date of October 2017.	Full application of relevant CMMs and proposed reference points (RPs) and harvest control rules (HCRs) at national level	<b>Not on target</b>	As a <b>cooperating nonmember</b> , all relevant measures are <b>fully applied to the Pacific fisheries</b> , and proposed reference points and HCRs are applied.  A workshop was conducted in VNM to discuss how to develop the potential RP and HCR for tuna fisheries management. Development of reference points and harvest strategies of tuna species was included into new fisheries law.  Fully achieved	<b>Achieved</b>

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Date:	2013	March 2017	October 2017		
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<b>Outcome 2.2:</b> Adoption of market-based approaches to the sustainable harvest of tunas						
Findings – Need a longer term strategy. Countries are at different levels. This is about convening and working together with similar targets with regards to certification and grading fish. The key insight from visit to the port was the need for a platform for producers on price of fish. It is a buyers' market and this is a key barrier to the objective of sustainability and local ownership for the resource by the fishermen A new project might enable work on piloting the price setting mechanism i.e Osaka has an exchange that might be piloted in the region to begin to work on this issue .						
Progress towards achieving Outcome 2.2 is rated as:					<b>Marginally Satisfactory</b>	
<b>Indicator 7:</b> (a) Supply chain characterized for tuna fishery sector, including processing, and custody systems established for tuna fisheries; (b) Improvements to fisheries to meet sustainable fishery standards for selected fisheries; (c) Number of private sector companies that cooperate in relevant project activities						
	<b>Baseline</b>	<b>Midterm Status</b>	<b>End Target</b>	<b>Midterm Assessment</b>	<b>Status of Project at Final</b>	
	<b>Indonesia:</b>					
Value:	Limited data available on supply chain, and monitoring and custody system not established for any fishery	Supply chains have not yet been characterized. The project hired a consultant to review existing studies, and made recommendations for an EAFM trial in NTT province in 2017. Establishing monitoring and custody systems seen by project team as government driven and beyond the scope of the project.	Supply chain characterized for selected tuna fisheries, monitoring systems established and information annually updated; custody system in place for selected fisheries	Not on target	All three countries characterized their supply chain for selected tuna fisheries; monitoring scheme <i>such as data collection from port sampling, observer program and logbook system are fully developed.</i> Custody system for selected fisheries are well established by private section. In Indonesia, supply chain for tuna fisheries is identified and reported in the document of Indonesian Tuna Supply Chain Analysis.  Good 'knowledge building' result.	<b>Marginally on Target</b>
	Growing market demand for sustainable certification but limited eco-certification conducted	There has been no direct project involvement with respect to eco-certification. Reportedly an FIP was initiated in 2014 for Yellowfin, Bigeye, and Cakalang ( <i>Katsuwonus pelamis</i> ). MSC pre-assessment completed in 2014 identified several shortcomings.		Not on target	This target was removed as approved by the Steering Committee meeting.  However, for information, there is a growing demand from the tuna fishing industries in Indonesia to have the MSC certification. After Raja Ampat Tuna Canning has earned its MSC certification, it is now followed by Handline tuna fishery for its MSC with the engagement from the MDPI (an NGO in Indonesia), while Purse seiner tuna fishery is joining the FIP. Hand line fishery since 2017 earned certification for trading fairness.  While the target was removed, the project had supported awareness and relationship with industries. The trust factor is an important result contributing to the end targets.	<b>Marginally on Target</b>

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<p>30 companies already cooperate in project activities</p>	<p>The project document includes a list of 30 private companies. Fishing associations and private companies have been regularly invited to project stakeholder workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5.</p>		<p>Marginally on target</p>	<p>This target was removed as approved by the Steering Committee meeting.</p> <p>However, for information, the cooperation from tunas industry is growing, including tuna association AP2HI (36 company) and tuna association ATLI (12 company) and various NGOs such as MDPI, WWF, SFP and TNC also participated in the work for tuna in Indonesia.</p> <p>Private sector was involved in Knowledge and Learning Events. Interviews were pleased with the result of this (more trust for data sharing) established. Less restriction of data collector at ports.</p>	<p>Marginally on Target</p>
<p><b>Philippines:</b></p>					
<p>Supply chain complex, information available but not compiled</p>	<p>The project has funded a consultancy on the prior study of tuna supply chain analyzes. This is a work in progress; uncertain if information on current supply chains will be provided.</p>	<p>Supply chain fully documents and annually updated</p>	<p>Not on target</p>	<p>Dr. Jose Ingles prepared a consultancy report: “A Value Chain Analysis of Tuna landed at General Santos Port”. <b>The project has no budget to update annually.</b></p> <p>Good quality consultancy</p>	<p>Marginally on Target</p>
<p>Growing market pressure for ecolabelling certification relating to sustainable fishing. Several pre-assessments initiated</p>	<p>There has been no direct project involvement with respect to eco-labelling and certification. The same consultancy carrying out the supply chain prior study will reportedly also cover a review of eco-labelling certification.</p>	<p>Several tuna fisheries progressing towards full certification</p>	<p>Not on target</p>	<p>Dr. Jose Ingles prepared a consultancy reports: 1. Application of market-based approaches to sustainable harvesting of oceanic tunas 2. Fisheries Improvement Program: A Manual for Towards Sustainable Fisheries for Philippines</p> <p>Good quality consultancy</p>	<p>Marginally on Target</p>
<p>16 companies already cooperate with BFAR</p>	<p>The project document includes a list of 16 private companies. Fishing associations and private companies <b>have been regularly invited to project stakeholder workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5.</b> The SOCKSARGEN Federation of Fishing Industries, Inc. (SFFAI), which has been involved in project activities, has approximately 100 members</p>	<p>Sustained participation of fishing companies</p>	<p>Marginally on target</p>	<p>PHL developed two (2) consultancy reports related to supply chain and certification by Dr. Jose Ingles. SFFAI was supportive of this initiative (during the conduct of interviews). There were prior workshops conducted related to tuna supply chain and certification conducted under this Project. There is an ongoing initiative to have the PHL high seas pocket #1 (PS-HSP1) operation to have it MSC certified (<i>in progress through the GenTuna Corporation in collaboration with BFAR and HSP1 operators</i>). While handline operators in GenSan are also interested to have an FIP for their tuna fisheries for their EU</p>	

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					and US markets. Around 20 or more operators/companies are involve in these initiatives.	
<b>Vietnam:</b>						
Incomplete data available on supply chain and chain of custody scheme not established for any fishery	Overview report was prepared for provinces Khanh Hoa, Binh Dinh, and Phu Yen. The study is ongoing. Under the national restructuring program, supply chain analyzes completed for 4 other provinces. Monitoring system for landing data already established. And a study on CoC has been reportedly conducted under the FIP managed by WWF.	Supply chain characterized for tuna fisheries, with emphasis on export-oriented fisheries, and monitoring system established; CoC in place for selected tuna fisheries	<b>Marginally on target</b>	Tuna supply chain was analyzed, and the chain of custody is in place as needed by the private sector. This issue belongs to private sector.  A consultancy report was developed in VNM to revise the current tuna supply chain and propose how to modify for better management system. A new Circular was developed for catch certification system for fisheries products including tuna products exporting to EU countries.  Good quality consultancy	<b>Marginally on Target</b>	
MCS pre-assessment of yellowfin/bigeye handline and longline fishery unfavourable and need for FIP identified	A 5-year action plan under the FIP managed by WWF was approved for tuna longline/handline fisheries. The plan is still ongoing, starting in 2012.	FIP process implemented for longline/handline fishery	<b>On target</b>	The PIF process is an on-going work in Vietnam.  Many cooperation has been made between the WPEA-SM Project and WWF under FIP process of tuna handline/longline in Vietnam. WPEA-SM collaborated with WWF to conduct observer trips. <b>WPEA SM collaborated with WWF to translate CMMs into Vietnamese and published it to distribute to stakeholders.</b>  Excellent synergies expressed with WWF.	<b>Achieved Achieved</b>	
9 companies already cooperate in project activities	The project document includes a list of 9 private companies. Fishing associations and private companies have been regularly invited to project stakeholder workshops, but there has been no specific monitoring of involvement of the list companies, or plans to expand involvement by an additional 5. Under the FIP managed by WWF, there are more than 9 companies involved	Sustained participation of fishing companies	<b>Marginally on target</b>	In addition to tuna fishing companies, tuna associations (VINA TUNA) has also been attended any national cooperation meetings. Fishing industries was invited to attend every meeting/workshop of WPEA SM.  Shared knowledge creation and collaboration lead to “trust”. Helpful for data collection type results. i.e. Collaboration and data sharing.	<b>Marginally on Target</b>	
Date:	<b>2013</b>	<b>March 2017</b>	<b>October 2017</b>			

**Outcome 2.3:** Reduced **uncertainty in stock assessment** of POWP and EAS LMEs highly migratory fish stocks and improved understanding of associated ecosystems and their biodiversity

Progress towards achieving Outcome 2.3 is rated as:

**Highly Satisfactory**

**Indonesia:**

The need for more comprehensive review and consolidation of data from all potential sources in the catch estimation process (including industry and NGO data) which would help, *inter alia*, explain the trends in catches by gear;



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<p>ii. Compilation and submission of available aggregate and operational catch/effort data for recent years since the logbooks became mandatory in the Indonesian domestic tuna fisheries (2011- 2015), although this is acknowledge.</p> <p><b>Philippines:</b>                  Improving log sheet coverage for the purse seine vessels fishing in Philippines EEZ;                  ii. More reliable estimates for the small-scale municipal gears;                  iii. A better understanding of the extent of catches from the handline fisheries targeting large yellowfin tuna in some regions.</p> <p><b>Vietnam:</b>                  enhancing the coverage of the establishment of logbook and port sampling data collection for their longline, purse seine and gillnet fisheries;                  ii. the compilation and provision of aggregate and operational catch/effort data from the longline fishery from logbooks collected since 2011;                  iii. a formal decision on their database system to manage their tuna fisheries data and resources required;                  iv. a sustainable observer programme;                  v. a review of data collection forms to consider, <i>inter alia</i>, inclusion of the WCPFC key shark species where relevant.</p>					
<p><b>Areas requiring further improvement in terms of data collection, concluded by SPC<sup>1</sup></b></p>					
<p><b>Indicator 8:</b> (a) Integration of data from oceanic tuna fisheries in Indonesia, Philippines and Vietnam into regional assessments of target tuna species; (b) Subregional/national assessments for target species; regular national assessments of target species; (c) Documentation and risk assessment of retained species and bycatch, including ETP species, in all fisheries/gears.</p>					
	<b>Baseline</b>	<b>Midterm Status</b>	<b>End Target</b>	<b>Midterm Assessment</b>	<b>Status of Project at Final</b>
Value:	<b>Subregional:</b>				
	Assessments not explicitly available on subregional scale because of data gaps and lack of assessment model spatial structure	SPC, as science provider for WCPFC, is conducting subregional (Region 4 – skipjack; Region 7 – yellowfin and bigeye) assessments based upon available data, including national catch data provided by the countries to the WCPFC. Regions 4 and 7 referenced above are a bit larger than EAS.	Preliminary subregional assessments undertaken with available data and assessment model	<b>On target</b>	SPC is conducting subregional assessments and the three countries accept the results of SPC’s assessment.  There has been outstanding results in all three countries for reducing uncertainty based on the SPC assessment.
	<b>Indonesia:</b>				
	Some target species data available from WPEA-1 with coverage of FMA 716, 717 and 714 for assessment. National stock assessment board exists and plans for national assessment underway	Indonesian data are used in the annual consolidated regional and subregional assessments made by SPC. Catch estimate assessments, by gear type and by species, and by fishing area, are made annually with the involvement of NGOS, associations and industries as well as national and subnational governmental representatives.	Indonesian data included in regional and subregional assessments; National assessments for target species commenced and annually updated	<b>On target</b>	Indonesian data, compiled from more than 10 year time series based on port sampling, have been reflected into regional and subregional stock assessments. Indonesia conducts national fish stock assessments by its scientists but regarding tuna assessments, they follow the results of stock assessments conducted by WCPFC/SPC.
	Limited information on retained/bycatch species and no risk assessment study for tuna bycatch and ETP species	A consultancy is planned in 2017 to carry out a risk assessment. The assessment results will be presented or submitted to the next Forum Coordination Management and Utilizations of Fisheries Resources	Risk assessment of retained, bycatch and ETP spp. Commenced	<b>Marginally on target</b>	Risk assessment on bycatch species has been conducted and report is produced.  In Indonesia, Risk assesment for bycatch from tuna fishery has been conducted to assess potential risk of sharks and tuna associated with the operation of Tuna Fishery in Indonesian Waters. Good quality consultancy
<b>Philippines:</b>					

<sup>1</sup> Scientific Data Available to the Western and Central Pacific Fisheries Commission, August 2016, WCPFC-SC12-2016/ST WP-2 (rev. 1)

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	<p>Limited understanding of <b>ecosystem supporting the oceanic tuna fishery</b>. Retained species and bycatch species for all gears incompletely characterized</p>	<p>Currently there is 100% observer coverage for Philippine-flagged vessels fishing in WCPFC-HSP1 and in Pacific Island Countries. Observer coverage for Philippine-flagged vessels operating in Philippine waters is limited, only during the FAD closure and with the help of WPEA funding support. The project work plan for 2017 includes a consultancy for a risk assessment and a risk assessment workshop. The national coordination team is currently searching for qualified international consultants for the risk assessment.</p>	<p>Comprehensive observer, catch sampling undertaken <b>and risk assessment available for bycatch and ETP species</b></p>	<p><b>On target</b></p>	<p>There is <b>100% observer coverage</b> for Philippine-flagged vessels fishing in WCPFC-HSP1 and in Pacific Island Countries. Observer coverage for Philippine-flagged vessels operating in Philippine waters is limited, only during the FAD closure and with the help of WPEA funding support but coverage will be enhanced in the coming through the implementation of FAO 261. Ms. Regina Bacalso also made a consultancy report: Risk Assessment for Selected bycatch and ETP species on Selected Tuna Fisheries. PHL also attended <b>the 3-country workshop focusing on Risk Assessment</b>.</p> <p>The combination of Project supported knowledge and consultancy activities at the national and EAS level –Three Country Workshops, has increased the technical beneficiaries and other stakeholders understanding of the issues and the methodology for dealing with these issues i.e. risk assessment.</p>	<p><b>Achieved</b></p>
<p><b>Vietnam:</b></p>						
	<p>Data collection on target species initiated under the WPEA project, but coverage incomplete for some fisheries; data not fully incorporated in regional assessments</p>	<p>Annual catch estimates workshops (VTFACE) have been conducted in conjunction with a data collection review workshop.</p>	<p>Annual total catch estimates produced and biological data collected for national and/or regional stock assessment of target tuna species</p>	<p><b>Marginally on target</b></p>	<p>WPEA project supports <b>two workshops annually: national tuna data review workshop and annual total tuna catch estimates workshop</b>. Through these two workshops, <b>national and official tuna catches by species and by fishing gear have been produced and submitted to the WCPFC for regional stock assessments</b>.</p> <p>Vietnam Tuna Fisheries Annual Catch Estimates (VTFACE) workshops were conducted every year to review data from port sampling and estimate tuna catches for submission to the Commission.</p> <p>Significant changes in the way Vietnam collect data as a result of this projects work on methods and reporting.</p>	<p><b>Achieved</b></p>
	<p>Limited research on retained/bycatch species conducted but not regularly studied</p>	<p>Bycatch data are collected to some degree. Reportedly a risk assessment for bycatch and retained species was conducted under the FIP managed by WWF.</p>	<p>Information for risk assessment collected of retained and bycatch species and assessments undertaken</p>	<p><b>Marginally on target</b></p>	<p>WWF and RIMF conducted risk assessments for bycatch species.</p> <p>Bycatch data was collected and a risk assessment of bycatch species was conducted under FIP and coordinated by WWF. Significant changes in the way Vietnam collect data as a result of this projects knowledge work on methods and reporting.</p>	<p><b>Achieved</b></p>

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	Research surveys using two gears undertaken - no national stock assessment currently available but planned	Research Institute for Marine Fisheries conducted stock assessment for not only tuna other small pelagic and demersal species for the entire country. The model used for the assessment is reportedly different from what is advocated by WCPFC.	National level stock assessments of target tuna undertaken	<b>Marginally on target</b>	WCPFC does not request tuna stock assessment at national level since the distribution of tuna stocks are pacific-wide and assessments at regional level is considered reasonable. The three countries accept SPC's tuna stock assessments conducted in the EAS area as part of the regional assessment.  RIMF conduct a tuna stock assessment in 2015 using WPEA SM port sampling data. Significant that Vietnam has begun to collect information/data and that is leading to National Stock Assessment. The future NTMA include stock assessment work.	<b>Achieved</b>
Date:	<b>2013</b>	<b>March 2017</b>	<b>October 2017</b>			

<b>Outcome 2.4:</b> Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced bycatch of sea turtles, sharks and seabirds						
Progress towards achieving Outcome 2.4 is rated as:				<b>Moderately Satisfactory</b>		
<b>Indicator 9:</b> (a) Application of ecosystem <b>modeling to EAS EEZs</b> to complement those for <b>POWP LME and EEZs</b> ; (b) Incorporation of EAFM principles in national tuna management plans; (c) Pilot scale application of EAFM for oceanic species at selected sites/fisheries; (d) Reduction of bycatch of endangered, threatened and protected (ETP) species, such as sea turtles, sharks and seabirds						
Targets at the national level were met. Target were partially met at subregional level 'Knowledge inputs'. The project has made significant 'knowledge' contribution to the cross-cutting end targets through knowledge work and technical inputs at the three country workshops and national consultancies.						
	<b>Baseline</b>	<b>Midterm Status</b>	<b>End Target</b>	<b>Midterm Assessment</b>	<b>Status of Project at Final</b>	
Value:	<b>Subregional:</b>					
	Ecosystem models available for POWP LME but not EAS	Application of ecosystem models not yet considered in work planning, and no specific line item in the indicative budget outlined in the project document.	Application of ecosystem models to EAS	<b>Not on target</b>	Application of ecosystem models are very new to all tuna RFMOs and this target is beyond the scope of budget and time frame of this project.	<b>Marginally On Target</b>
	<b>Indonesia:</b>					
	Limited data collected for the application of ecosystem modeling	The selected area for a field trial is in the Sikka District, NTT Province. The pilot will compare FAD and non-FAD methods on the impacts to ecosystems. This is included in the 2017 work plan. The estimated 3-month timeframe for the trial is rather short.	Data collection to support application of appropriate ecosystem models	<b>Marginally on target</b>	Data collection was completed to support application of an EAFM to selected fisheries.  In Indonesia, Study on FAD and its implication to the resources have been conducted. The outcome of this study was put forward to the NTMP in the context of EAFM application.	<b>Marginally On Target</b>

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Some commitment to EAFM exists through community-based activities	An EAFM strategy is envisaged to be formulated based on the results of the field EAFM trial.	EAFM strategy developed for trial implementation in one FMA	<b>Marginally on target</b>	This application is done in the Sikka District, NTT Province and EAFM report produced. The EAFM study has conducted together with the center government, local government, fishing companies and fishers in FMA 714.	<b>Marginally On Target</b>
NTMP lacking EAFM components	The project will support drafting of preliminary text for recommended inclusion into the NTMP.	EAFM conditions incorporated in revised NTMP	<b>Marginally on target</b>	Policies on EAFM developed and will be reflected into the national tuna management plan once the plan is to be revised.  In Indonesia, the EAFM outcome has been incorporated into the reviewed and improved NTMP (The NTMP is now under an official review and scheduled in 2019)	<b>Marginally On Target</b>
Turtle bycatch studied and some mitigation measures underway; shark catch and seabird interactions not well documented; low level of compliance	Certain mitigation measures will be recommended based on the results of the trial in NTT, e.g., the use of FADs. It is unlikely that these mitigation measures will be applied within the timeframe of the project. There is no evidence of specific activities addressing compliance with shark and sea turtle CMMs and NPOAs.	Mitigation measures applied in selected fisheries; compliance with shark and sea turtle CMMs and NPOAs committed	<b>Not on target</b>	WPEA project did not conduct any specific activities related to applying mitigation measures to specific fisheries but WCPFC has sea turtle and shark measures where all members and cooperating nonmembers shall apply to all Convention Area as appropriate.  Indonesia has NPOA for Sharks, Sea Turtle and Sea Birds. Hammerhead sharks, Oceanic whitetip, and thresher sharks are banned to shark fining and trade as regulte in the regulation MMAF no 12/2012. Such measure related to sharks protection, and mitigation as agreed in the RFMOs are also been alligned to the national regulation.	<b>Marginally On Target</b>
<b>Philippines:</b>					
No study of EAFM for oceanic fisheries, legal basis uncertain	An EAFM pilot is tentatively planned in Davao; however, plans and implementation arrangements have not yet been developed and sorted out.	Potential study area that applies EAFM for oceanic fisheries selected	<b>Not on target</b>	Philippines conducted trial application of EAFM to tuna fisheries and three (3) Reports are produced: 1. Aligning the National Tuna Management Plan of Philippines In the Context of Ecosystem Approach to Fisheries Management (EAFM) 2. Approaches to EAFM for Tuna Management in Philippines 3. Applying Ecosystems Approach to Fisheries Management (EAFM) to Tuna Fisheries (A Case Study)	<b>Marginally on Target</b>
NTMP may lack EAFM compatibility	The NTMP is being revised, with inclusion of EAFM principles. A draft version was submitted for Ministerial review in 2016, and certain issues were requested to be added.	NTMP revised to include EAFM	<b>On target</b>	The revised NTMP follows or adopted the EAFM framework.	<b>Achieved</b>
Turtle bycatch studies and some mitigation measures underway; shark catch and seabird interactions poorly	Limited direct involvement by the project, except, for example supporting printing of an operations guide that is distributed to fishing operators. Mitigation measures are applied and compliance to various shark CMMs are committed. No	Mitigation measures applied; Compliance with shark CMMs committed, Smart Gear developed	<b>Marginally on target</b>	As a member of the WCPFC, PHL is required to reduce catch of ETP species. There are WCPFC CMMs related to whale sharks, sea	<b>Marginally On Target</b>

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	documented; low level of compliance	evidence of progress with respect to developing Smart Gear.			turtles, silky sharks, oceanic white-tip sharks. PHL fully observe and implements the provision of these CMMs and conduct investigations, if there are alleged violations from its flagged vessels. For PHL flagged PS vessels, these are monitored by the Fisheries Observer Program with 100% observer coverage. PHL vessel crew fully observe and implements the guidelines for the safe release of these species.	
	<b>Vietnam:</b>					
	No EAFM application and legal basis uncertain	In March 2017, an internal workshop is planned for developing a pilot EAFM application. Limited time remaining to design and implement the pilot.	Pilot application of EAFM at one selected site/fishery	<b>Not on target</b>	Vietnam conducted several EAFM activities, including pilot application of an EAFM to selected fisheries: Convened a workshop on EAFM Guidelines for the Application of Ecosystem-based Fisheries Management to Tuna Fisheries in Vietnam Ecosystem Approach to Fisheries Management: An Application to Selected Oceanic Tuna Fisheries in Vietnam Vietnam conducted a Pilot application of EAFM at one selected site/fishery.	<b>Marginally On Target</b>
	No inclusion of EAFM in NTMP	No progress towards this target. An activity is planned in 2017.	Revised NTMP with EAFM included	<b>Not on target</b>	Policies on EAFM developed and the text will be reflected into the Plan once the VNM government revises their National Tuna Management Plan.  NTMP was revised to include EAFM into the new draft in VNM.	<b>Marginally On Target</b>
	Few data on ETP species and no compliance on bycatch mitigation	NPOAs under development for sea turtles and for sharks. Observer trips were conducted in 2015 (20 trips, including 4 for longline and 16 for handline fisheries) under the FIP; supported by WWF with some support from WPEA project. In 2016, 20 observer trips conducted; similar funding arrangements with WWF.	Compliance with ETP CMMs and NPOAs	<b>Marginally on target</b>	WCPFC does not have CMMs on ETP, so this target is not applicable to its members.  The NPOAs under development for sea turtles and for sharks.	<b>Marginally On Target</b>
Date:	<b>2013</b>	<b>March 2017</b>	<b>October 2017</b>			

**COMPONENT 3: Knowledge sharing on highly migratory fish stocks****Outcome 3.1:** Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems

Progress towards achieving Outcome 3.1 is rated as:

**Moderately Satisfactory**

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<b>Indicator 10-:</b> (a) Monitoring and knowledge sharing between POPW LME and EAS LMEs for target and associated species and their management; (b) Commitment to information sharing at all levels amongst WPEA members and beyond; (c) Current provincial/FMA resource profiles updated and disseminated;(d) Participation in global knowledge sharing events						
	<b>Baseline</b>	<b>Midterm Status</b>	<b>End Target</b>	<b>Midterm Assessment</b>	<b>Status of Project at Final</b>	
Value:	Limited information shared via WCPFC mechanisms, meetings and WPEA website and limited outreach to stakeholders at national and subregional level	There is an existing WCPFC-WPEA website, although it is not regularly updated. A letter of agreement was signed between the project and the PEMSEA Resource Facility in November 2016, to have PEMSEA develop and host a project website by mid-2017, and also support development of a monitoring and evaluation reporting system. Project deliverables are disseminated to implementation partners, but not to the wider stakeholder community.	Active website maintained in collaboration with PEMSEA, and commitment to preparation and dissemination of project publication, newsletters and other information products	<b>Marginally on target</b>	WPEA website was developed under the PEMSEA facility and will continue to be updated as needed.	<b>Marginally On Target</b>
	No interagency cooperation mechanism such as CF established	The Consultative Forum has not been established as outlined in the project document, with participation by a wide range of regional partners.	Consultative Forum activity reported	<b>Not on target</b>	A consultative forum last January 2019 was participated by the 3-countries, with UNDP, SEAFDEC, PEMSEA	<b>Marginally On Target</b>
	Limited participation in knowledge sharing events, including IW:Learn.	The project has supported representatives from each of the three beneficiary countries in participating in the PEMSEA EAS Congress in 2015 and the GEF IW Conference in 2016.	Increased participation in international and (sub-) regional knowledge sharing events (one per year), such as IW:Learn and related activities and the EAS Congress	<b>On target</b>	PHL was able to participate in GEF IW Conference (IWC9) in Marrakesh, Morocco, November 5-8, 2018. Other countries were offered but no one could attend the Morocco meeting.	<b>Achieved</b>
Date:	<b>2013</b>	<b>March 2017</b>	<b>October 2017</b>			

## ANNEX 6: CO-FINANCING TABLE

Sources of Co-financing <sup>1</sup> and Name of Cofinancers	Description of Actual Co-financing Contributed at Stage of Midterm Review	Type of Co-financing <sup>2</sup>	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	TE	Expected Amount by Project Closure USD	Actual % of Expected Amount USD
<b>GEF Partner Agency: UNDP</b>							
UNDP Philippines	Co-financing contribution	In-Kind	\$1,156,000	\$197,000		\$0	
<b>UNDP, In-kind Co-financing, Sub-Total</b>			<b>\$1,156,000</b>	<b>\$0</b>		<b>\$0</b>	<b>#DIV/0!</b>
<b>National Government: Indonesia</b>							
Republic of Indonesia, Ministry of Marine Affairs and Fisheries, Directorate General of Capture Fisheries (DGCF)	Staff	In-Kind	\$100,000	\$120,000		\$180,000	
	Facility	In-Kind	\$400,000	\$360,000		\$440,000	
	Program Support	In-Kind	\$800,000	\$700,000		\$770,000	
<b>Indonesia MMAF DGCF In-kind Co-financing, Sub-total</b>			<b>\$1,300,000</b>	<b>\$1,180,000</b>		<b>\$1,390,000</b>	<b>85%</b>
<b>National Government: Indonesia</b>							
Republic of Indonesia, Ministry of Marine Affairs and Fisheries, Research Center for Fisheries Management and Conservation (RCFMC)	Staff	In-Kind	\$75,000	\$144,000		\$156,000	
	Facilities and logistics	In-Kind	\$500,000	\$480,000		\$680,000	
	Program Support	In-Kind	\$625,000	\$600,000		\$680,000	
<b>Indonesia MMAF RCFM, In-kind Co-financing, Sub-total</b>			<b>\$1,200,000</b>	<b>\$1,224,000</b>		<b>\$1,516,000</b>	<b>81%</b>
<b>National Government: Philippines</b>							
Republic of Philippines, Department of Agriculture, Bureau of Fisheries and Aquatic Resources (BFAR)	Counter-part contribution in the implementation of the Philippine activities on baseline data gathering	Grant	\$3,892,675	\$2,595,117		\$3,892,675	
<b>Philippines BFAR, Grant Co-financing, Sub-total</b>			<b>\$3,892,675</b>	<b>\$2,595,117</b>		<b>\$3,892,675</b>	<b>67%</b>
<b>National Government: Philippines</b>							
Republic of Philippines, Department of Agriculture, National Fisheries Research and Development Institute (NFRDI)	Staff	In-Kind	\$190,000	\$126,667		\$190,000	
	Facilities and logistics	In-Kind	\$1,301,700	\$867,800		\$1,301,700	
	Program Support	In-Kind	\$2,664,150	\$1,776,100		\$2,664,150	
	Involvement of the industry	In-Kind	\$180,000	\$120,000		\$180,000	

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Sources of Co-financing <sup>1</sup> and Name of Cofinancers	Description of Actual Co-financing Contributed at Stage of Midterm Review	Type of Co-financing <sup>2</sup>	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	TE	Expected Amount by Project Closure USD	Actual % of Expected Amount USD
<b>Philippines NFRDI, In-kind Co-financing, Sub-total</b>			<b>\$4,335,850</b>	<b>\$2,890,567</b>		<b>\$4,335,850</b>	<b>67%</b>
<b>National Government: Vietnam</b>							
The Socialist Republic of Vietnam, Ministry of Agriculture and Rural Development, Directorate of Fisheries (D-FISH)	Contribution on the implementation of the Vietnamese activities in relation to tuna fisheries management (roughly estimated)	Grant	\$1,000,000				
	Implementation of fishing ground forecasting for tuna fisheries	Grant		\$115,851		\$173,776	
	Tuna fisheries surveys for stock assessment	Grant		\$449,035		\$673,552	
	Development of National Database (VNFISHBASE) for entire coastal provinces of Vietnam	Grant		\$107,768		\$161,652	
	Investigation of technical criteria/standards for fishing ports of tuna fisheries	Grant		\$0		\$13,471	
	Investigation of suitable technics for post-harvesting in fishing vessels	Grant		\$0		\$170,633	
	Investigation of supply chain analysis in Binh Dinh, Phu Yen, Khanh Hoa and Ho Chi Minh city	Grant		\$8,981		\$98,788	
	Development of good fishing practices on tuna fisheries	Grant		\$0		\$205,119	
<b>Vietnam D-FISH, Grant Co-financing, Sub-total</b>			<b>\$1,000,000</b>	<b>\$681,634</b>		<b>\$1,496,991</b>	<b>46%</b>
<b>National Government: Vietnam</b>							



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Sources of Co-financing <sup>1</sup> and Name of Cofinancers	Description of Actual Co-financing Contributed at Stage of Midterm Review	Type of Co-financing <sup>2</sup>	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	TE	Expected Amount by Project Closure USD	Actual % of Expected Amount USD
The Socialist Republic of Vietnam, Ministry of Agriculture and Rural Development, Directorate of Fisheries (D-FISH)	Staff	In-Kind	\$200,000	\$120,000		\$180,000	
	Facilities and logistics	In-Kind	\$1,500,000	\$700,000		\$1,700,000	
	Program Support (VMS program for tuna fisheries including hardware and service fee)	In-Kind	\$2,000,000	\$3,400,000		\$3,400,000	
<b>Vietnam D-FISH, In-kind Co-financing, Sub-total</b>			<b>\$3,700,000</b>	<b>\$4,220,000</b>		<b>\$5,280,000</b>	<b>80%</b>
<b>Civil Society Organization</b>							
WWF Vietnam	Budget for implementation of Fisheries Improvement Program (FIP)	Grant	\$0	\$43,107		\$88,010	
<b>WWF Vietnam, Grant Co-financing, Sub-Total</b>			<b>\$0</b>	<b>\$43,107</b>		<b>\$88,010</b>	<b>49%</b>
<b>Civil Society Organization</b>							
Western and Central Pacific Fisheries Commission	Grant (USD 25,000 per year)	Grant	\$75,000	\$75,000		\$100,000	
<b>WCPFC, Grant Co-financing, Sub-Total</b>			<b>\$75,000</b>	<b>\$75,000</b>		<b>\$100,000</b>	<b>75%</b>
<b>Civil Society Organization</b>							
Western and Central Pacific Fisheries Commission	WCPFC staff	In-kind	\$1,480,000	\$991,600		\$1,480,000	
	Secretariat facilities	In-kind	\$280,000	\$187,600		\$280,000	
	WCPFC system and funding expertise	In-kind	\$1,440,000	\$964,800		\$1,440,000	
<b>WCPFC, In-kind Co-financing, Sub-Total</b>			<b>\$3,200,000</b>	<b>\$2,144,000</b>		<b>\$3,200,000</b>	<b>67%</b>
<b>Total</b>			<b>\$19,859,525</b>	<b>\$15,250,425</b>		<b>\$21,299,526</b>	<b>72%</b>

Notes:

1. Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Partner Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Other

2. Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other

**ANNEX 7: RATING SCALE DEFINITIONS****Ratings for progress towards results:**

<b>Highly Satisfactory (HS)</b>	Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
<b>Satisfactory (S)</b>	Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
<b>Moderately Satisfactory (MS)</b>	Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
<b>Moderately Unsatisfactory (MU)</b>	Project is expected to achieve its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
<b>Unsatisfactory (U)</b>	Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
<b>Highly Unsatisfactory (U)</b>	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

**Ratings for project implementation and adaptive management:**

<b>Highly Satisfactory (HS)</b>	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
<b>Satisfactory (S)</b>	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
<b>Moderately Satisfactory (MS)</b>	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
<b>Moderately Unsatisfactory (MU)</b>	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
<b>Unsatisfactory (U)</b>	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
<b>Highly Unsatisfactory (HU)</b>	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

**Ratings for sustainability (one overall rating):**

## ANNEXES

<b>Likely (L)</b>	Negligible risks to sustainability, with key Outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
<b>Moderately Likely (ML)</b>	Moderate risks, but expectations that at least some Outcomes will be sustained due to the progress towards results on Outcomes at the Midterm Review
<b>Moderately Unlikely (MU)</b>	Significant risk that key Outcomes will not carry on after project closure, although some outputs and activities should carry on
<b>Unlikely (U)</b>	Severe risks that project Outcomes as well as key outputs will not be sustained

**ANNEX 8: SIGNED UNEG CODE OF CONDUCT AGREEMENT FORM**

**Evaluators:**

Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.

Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.

Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/ or oral presentation of study limitations, findings and recommendations.

Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**Evaluation Consultant Agreement Form**

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Stephanie Hodge

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signature:

Signed on October 1, 2019

**Stephanie Hodge**

TE Consultant



**ANNEX 9: TERMS OF REFERENCE**

**ANNEX 10: SIGNED TR FINAL REPORT CLEARANCE FORM**

<b>Terminal Evaluation Review Report Reviewed and Cleared By:</b>	
<b>Commissioning Unit</b>	
Name:	
Signature:	Date:
<b>UNDP GEF Regional Technical Advisor</b>	
Name:	
Signature:	Date:

**ANNEX 11: PROJECT OUTPUTS BY COUNTRY****History of WPEA Workshop in Indonesia**

<b>Date</b>	<b>WS title</b>	<b>Topics covered</b>	<b>WS report</b>
2014.10.30-31	HCR WS, Bogor		No
2015.05.18-22	The Second Indonesian Harvest Strategy Workshop, Bogor		01 HS-2
2015.06.24	Catch Est WS		?
2015.11.16-20	Harvest Strategy WS Bali		02 HS Work plan 02 WS Report
2016.01.19-21	Consultation meeting		03 consultation meeting report 03 Consultancy TOR
2016.03.10-11	Port sampling audit WS report		04 WS report 04 WS Recommendations
2016.03.11	Logbook Awareness WS		05 WS report
2016.04.04-07	Technical HS WS		06 WS minutes
2016.06.15-17	Catch Est WS		07 WS report
2016.06.20 -	Review WS on CC, Cert, Supply		08 WS report
2016.09.17	Consultation meeting in Pohnpei		09 Consultation meeting report
2016.10.18 -	Consultation meeting on 2017 AWP and Budget		10 Consultation meeting report
2016.11.10	2nd Technical HS WS		?
2017.03.06-10	IDN Harvest Strategy WS	Stakeholders and Technical	?

2017.06.14-16 -	8th IDN Catch Est WS		15 WS report
2017.09.11-15	Kupang WS on Legal, sustainable fishing, EAMF and EAFM policy		11 WS report
2017.10.30-11.02	Bogor HS WS and Consultation meeting		12 Consultation report 12 4 <sup>th</sup> Technical WS report
2018.03.12-16	Bogor WPEA WS		13 WS report
2018.06.4-8	Bandung WS		14 WS report – w/o attach
2019.01.21-23	IDN Bogor Review WS		16 WS Report

Tuna Fisheries Profile in Indonesia (FMAs 713-717) based on Port Sampling Program 2015-2018

Annual Tuna Catch Estimation based on Data Collected from Port Sampling in Indonesian Pacific Waters – three reports:

Port Sampling Supervision 2015-2018 (Bitung, Kendari, Sorong, Gorontalo and Majene)

Workshop Report for the Review of Port Sampling and Catch Estimates (2015-2018)

The Path towards Sustainable Fisheries through One Data Implementation in the Ministry of Marine Affairs and Fisheries (MMAF), Republic of Indonesia

Indonesian Observer Programme in line with WCPFC Regional Observer Programme (ROP)

NTC Quarterly Report 2015 – 2018

Five Review Workshop Report on WPEA-SM Project Consultancies

2016.06.20-22, Bogor – certification, supply chain,

## PHILIPPINES

### History of WPEA Workshop in Philippines

#### Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam, to integrate climate change impacts on highly migratory stocks into management regimes

Topic: 1) Tuna stock assessment in the EAS region and 2) Introduction to harvest strategy

(3.1.2.2) 2016.10.24-26, Cebu, Philippines, Topic: 1) Harvest Strategy and 2) Climate Change

(3.1.2.3) 2017.05.2-4, Yogyakarta, Indonesia, Topic: 1) Ecosystem approach to fisheries management and 2) (3.1.2.5) 2019.01.28-30, Aklan, Philippines, Consultative Forum for the establishment of a monitoring mechanism to combat IUU fishing



## ANNEX 12: THREE COUNTRY WORKSHOP RECOMMENDATION FOR AREAS OF FUTURE COLLABORATION

## Workshop Recommendation for Areas of Future Cooperation/Collaboration

Title and issues/needs	Approaches/resources
<p><b>Data issues</b> Share the outputs of national tuna fisheries annual catch estimate workshop (NTFACEW, Summary of catches in excel spreadsheet) This will enhance mutual understanding in other country's tuna fisheries Bycatch data <b>Need to define bycatch species</b> Conduct <b>risk assessment first to identify bycatch species to be collected</b> WCPFC's bycatch species in the EAS area: <b>oceanic whitetip, silky, thresher, porbeagle, blue shark, hammer, mako, and whale sharks, whales, sea turtles and swordfish</b> <b>Data are collected from port sampling and obs. Programme</b> National Tuna Catch Estimates workshop should review bycatch data and share the outputs of the bycatch data reviewed (excel spread file) Discards – define the definition of discards; this will be considered later once WCPF defines “discards”</p>	<p><b>Approaches</b> Insert agenda for bycatch data estimation into NTFACEW; produce excel file for bycatch Distribute to three country contact points after the NTFACEW and national verification process Leader: Dr Fayakun Satria – develop a list of contacts (Lilis, Anung, Putuh; Elaine, Suzette, Laila; Anh, Ha, Thanh) Leader can identify issues to be considered for co-operative perspective.</p> <p><b>Resources</b> Peter Williams, Shelley Clarke</p>
<p><b>IUU fishing – traceability</b> Share: List of all registered tuna vessels – IDN (on public website); PHL (not yet on public website); VNM (not yet on public website) Port state measures</p>	<p><b>Approaches</b> These are areas to be considered later.</p>
<p><b>Climate change issues</b> Discriminate between annual variation vs. decadal trends of the impacts of climate change on tuna fisheries/resources Areas to consider: Capacity building in climate change by visiting IDN's institute (BPOL in Bali) Impacts of marine debris on tuna resources</p>	<p><b>Approaches</b> For further research/consideration, including risk assessment Establish a three-country study group to commence this study Study group leader: Dr Wijopriono – establish a list of email communication contacts Share environmental/oceanic data Contacts: Elymi-ARJ; Quyen TOR: Wijopriono will identify realistic TORs to cooperate among the three countries. WPEA will support this study group and the progress will be presented at next 3-country WS</p> <p><b>Resources</b> Patrick Lehodey</p>

<p><b>CPUE</b>  Status  WCPFC stock assessment – SPC uses Jap. LL CPUE; PHL PS, RN, HL CPUE (?)  IDN archipelagic waters – IDN uses PL (skipjack), LL (yellowfin)  Enhancement of effort data collection – identify gear types that may show CPUE trends which are useful for any application to stock assessments and harvest strategy framework  Unify CPUE unit along with SPC’s unit by fishery  Individual countries may have their own CPUE trends in their waters but need to compile all CPUE trends in the EAS area  Are there any possibility to standardize CPUE in the EAS area?</p>	<p><b>Approaches</b>  Three countries estimate nominal/standardized CPUE trends by fishery and by species – this is a future research area  Discuss the CPUE trends at a workshop (e.g., three-country WS)  Leader: Dr Lilis Sadiyah establish a list of contacts for this work (Elaine, Fayakun, ..., Viet Anh, Ha); submit a proposal on this to WCPFC; present the outcomes at next three-country WS</p> <p><b>Resources</b>  Stock assessment experts</p>
<p><b>Coping with WCPFC</b>  <b>Subregional stock assessment – deferred</b></p>	<p><b>Approaches</b>  Continue to look for opportunities to cooperate together</p> <p><b>Resources</b>  -</p>
<p><b>Harvest strategy framework (HSF)</b>  Six elements – Management objectives/Reference points/Risk levels/Monitoring strategy/Harvest control rules/MSE  Enhance understanding in each element of the HSF in relation to ESA;  Cope with WCPFC’s progress – prepare position papers of the three countries</p>	<p><b>Approaches</b>  Continue to look for opportunities to cooperate together</p> <p><b>Resources</b>  TBD</p>
<p><b>Reduction of juvenile tuna catch, including FAD issues</b>  WCPFC notes high juvenile catches in the EAS area  Vietnam may have relatively small juvenile catch whereas both PHL and IDN catch large amount of juvenile catch – Vietnam does not use FADs but lights  Sources of high juvenile catch – FADs and surface fisheries  WCPFC requests EAS countries to find solution to reduce juvenile catch</p>	<p><b>Approaches</b>  Three countries may consider any research to reduce the juvenile catch  Three countries produce size distribution and proportion of juvenile catch per set/trip by species and by fishery  Compare juvenile catch rates/proportions among the three countries  Further consideration will be continued after this research  Study leader: Ms Elaine – establish a communication list to facilitate this study; submit a proposal for this activity.</p> <p><b>Resources</b>  TBD</p>
<p><b>Completion of Annual Report-Part 1 and 2</b></p>	<p><b>Approaches</b>  Continue to attend SPC TDW</p>

**Resources**

Ana Taholo and Peter Williams

**ANNEX 13: PROJECT DOCUMENT DESCRIPTION OF PROJECT OUTPUTS (ORIGINAL PROJECT DOCUMENT)**

**Component 1:** Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory fish stocks. This component will strengthen the regional collaborative mechanisms for monitoring and assessment of highly migratory fish stocks, and Illegal, Unreported and Unregulated (IUU) fishing in the POWPLME and the EAS LMEs. Component outputs and activities to achieve them will include:

**Outputs 1.1.1; 1.1.2: Joint WCPFC/PEMSEA Consultative Forum established for effective monitoring of highly migratory stocks and marine ecosystems across the POWP LME and EAS LMEs**

This will involve participation in and compliance with WCPFC activities and establishment of effective monitoring and information sharing mechanisms on IUU fishing in the sub-region. The subregional Consultative Forum would build on catch estimate and data review workshops at national level which would precede the Consultative Forum and frame a range of inputs to regional (WCPFC) processes, most notably the Scientific and Technical and Compliance Committees, e.g. catch estimates, stock assessments, compliance with conservation and management measures and ecosystem management. The Consultative Forum would involve a range of national, subregional and regional stakeholders, such as PEMSEA, SEAFDEC, ASEAN Tuna Working Group, the ABNJ Program, etc., The Project Board, formerly the Steering Committee would however involve just the three countries, WCPFC, UNDP and any other major partner, and would be an integral part of the M & E process. Some preparatory or review activity may be required e.g. data collation and interpretation, and an integrated subregional database may eventually be developed for identified areas of common concern, as well as a regular newsletter. Integrated national tuna fishery databases, comprehensive MCS schemes and catch certification systems will also be developed.

Addressing IUU fishing involving oceanic tuna fisheries in the sub-region is compromised to some extent by jurisdictional issues and the complexity of the fishery. All three countries have or are in the process of developing monitoring, control and surveillance (MCS) systems for offshore fisheries and several reviews of IUU activities have been undertaken. Updated information on IUU activity could be shared and reviews of the effectiveness of measures undertaken in individual countries could also be undertaken as necessary. The CTI Regional Plan of Action (RPOA) and IUU fishing in the southern and eastern areas of the SCS and Sulu-Sulawesi Seas involves two of the countries in a range of activities envisioned under the RPOA but currently excludes Vietnam. Information exchange and collaborative activity may therefore have to occur under the auspices of the Consultative Forum or the WCPFC TCC

**Outputs 1.2.1; 1.2.2: General guidelines on adaptive management and monitoring of highly migratory stocks to address climate change**

Some information is available from the POWP LME on climate change impacts on oceanic fisheries and the ecosystems which support them, but model results have not been extended to the EAS LMEs where climate change impacts are not well described. To address this gap, a subregional workshop would initially be convened, during which available impact predictions from existing models would be evaluated, experiences in neighbouring areas shared, and data gaps identified. The workshop will include discussions on general guidelines on adaptive management. At national level, the countries will identify capacity needs and personnel to be trained to interpret climate change impacts on oceanic fisheries, investigate network and data sharing with relevant institutions, and review policy that integrates climate change adaptation.

**Adaptive management guidelines used for regional capacity building, training of national technical fishery staff, policy and decision makers in Indonesia, Philippines and Vietnam**

Guidelines for adaptive management to address predicted climate change impacts identified under 1.2.1 would then be developed at national level and capacity building of a selected multi-disciplinary team undertaken to raise awareness and prepare for the development of policy to address climate change threats.

**Outputs 1.3.1; 13.2; 13.3: Sector policy instruments developed and management plans reviewed, and climate change adaptive management approach incorporated in sectoral policies and plans**

This involves increasing the participating countries' capacity to mainstream climate change into their national fishery sector policies and institutions. The framework for coordinating national responses to climate change impacts would be identified (the countries already have existing agencies to coordinate multi-agency involvement in climate change research and adaptation); specific sectoral policies to address climate change impacts on offshore marine fisheries, including oceanic tuna fisheries, and building on existing adaptive management guidelines, would be promulgated following extensive stakeholder consultation. In Indonesia, national policy formulation specific to oceanic fisheries is very limited and the Project would support the mainstreaming of climate change adaptive strategy for oceanic fisheries into the national cross-sectoral climate change strategy

already in place. In Philippines the Project will provide support to the approval and implementation of existing relevant strategies coupled with training of a pool of experts. In Vietnam support will go to the identification and articulation of climate change concerns and their integration into the national fisheries policy.

**Component 2: Implementation of policy, institutional and fishery management reforms.** The objectives of this component are to enforce compliance with existing national, regional and international legal instruments, implement EAFM and the national tuna management plans and enhance adaptive management of shared stocks in the face of climate change. Partnerships with the private sector will be sought to promote market-based approaches to sustainable harvesting of shared tuna stocks, such as certification. The outputs and activities to achieve them for the second component are as follows:

**Outputs 2.1.1; 2.1.2; 2.1.3; 2.1.4: WCPFC Convention and relevant regional instruments and agreements implemented; fishery sector national reforms implemented in Indonesia, Philippines and Vietnam**

At present, there is limited participation in WCPFC technical meetings by the participating countries and national legislation does not accommodate all WCPFC requirements. The Project will therefore support national legal consultants who will review existing legal instruments at all levels as they apply to changing management requirements and development of new CMMs. Compliance with all applicable measures and requirements will be reviewed annually (see below). Full and effective participation in TCC activities (and the CTI RPOA IUU discussions) should be ensured where necessary. National task forces to facilitate and coordinate participation in regional compliance monitoring processes may prove useful. Reference points and harvest control rules will be framed and applied at national level. Philippines FAD management policy will be reviewed.

Alignment of national legislation to meet changing requirements will be addressed by national consultants, and will include identification, validation and implementation of national reforms using baseline reference for budgetary/costing requirements. National Tuna Management Plans will be reviewed and refined, as relevant changes become necessary (also see later). Extensive stakeholder consultation should precede any legislative reform, as well as any changes to the national tuna management plans.

**Outputs 2.2.1; 2.2.2; 2.2.3: Tuna fishery supply chains in the EAS analyzed**

National consultants will undertake reviews of tuna fishery supply chains and traceability mechanisms, with the assistance of the private sector, industry associations and other stakeholders, with information gathered to be incorporated in provincial/management area profiles and shared in the Regional Consultative Forum. Additional data may need to be collected, according to criteria developed, and routine reporting developed. These analyzes will be used to inform development of market-based approaches to sustainable harvest of shared tuna stocks.

*Strengthening of capacity in sustainable fishing practices, including certification*

The capacity of national fisheries associations will be strengthened, to effectively promote sustainable fishing practices in the sector, and support stakeholder awareness of sustainability issues, e.g. through workshops on eco-labelling and certification, preparation of manuals etc. Fisheries that can go to pre-assessment will also be identified. Assistance would also be provided in the development of catch certification schemes, some of which are currently under consideration e.g. RPOA IUU.

*Requirements for sustainable fishing practices (e.g. MSC certification) collaboratively identified by stakeholders*

All three countries would be encouraged to develop strategies and priorities to work towards application of ecolabeling/sustainable certification schemes e.g. MSC, by providing support (information, analyses and enhanced data collection) for fishery improvement schemes (FIPs), in cooperation with NGOs specifically WWF. National consultants would be used to develop reference points and harvest control rules.

**Outputs 2.3.1; 2.3.2; 2.3.4; 2.3.4: Criteria for monitoring programmes and stock assessment for highly migratory fish stocks and associated ecosystems developed**

At present, stock assessments are not explicitly available at subregional scale because of data gaps and assessment model spatial structure. The Project will therefore support data gathering and restructuring of the model to make a subregional stock assessment possible. Annual data review workshops would be held in each country where data collection protocols, methodology, and coverage levels would be reviewed, and sampling/data collection methods refined.

*Monitoring of programmes and stock assessments for highly migratory fish stocks and associated ecosystems expanded*

Training for enumerators in adopted methodologies would be provided, and port sampling extended to cover landings of by-catch and by-products, as well as target tuna species. Monitoring activities to improve data incorporated in stock assessments will vary by country, according to the capacity and coverage already achieved (i.e. the baseline).

*Philippines:* Monitoring and port sampling activity, with associated planning, establishment and training, will be extended to small and medium scale fisheries not currently covered. Partial support will be continued for sampling at existing sites as Philippines rapidly assumes full responsibility. Reconstruction of historical tuna fishery data will be undertaken, to assist stock assessment precision.

*Indonesia:* Data collection/port sampling at four sites will continue, and initiation at a fifth site (Mamuju) will be undertaken; collaborative workshops and training with the National Stock Assessment Commission (Komnas Kajiskan) will be initiated; reconstruction of historical data will be conducted.

*Vietnam*: Data collection and port sampling will continue in the 3 principal provinces, with extension to gears not currently covered; partial support and a possibly changed, more cost-effective, catch estimation methodology will be applied if it proves suitable. Data collection/port sampling will be initiated in six new provinces; historical data has already been assembled for the more recent Vietnam fishery i.e. since 2000 but will be reviewed.

*Monitoring Control and Surveillance (MCS) and Vessel Monitoring (VMS) programmes established*

All countries have MCS systems, including VMS in various stages of implementation. Philippines may require a legal review of existing port state measures (PSM) and IUU regulation, possibly as part of other legal reviews proposed; training in at-sea boarding and inspection measures may also be required. Indonesia and Vietnam are implementing similar VMS systems but may require training workshops for users. Indonesia and Philippines will participate actively in the CTI RPOA IUU which is largely concerned with tuna fisheries

**Outputs 2.4.1; 2.4.2; 2.4.3; 2.4.4: Ecosystem Approach to Fisheries Management (EAFM) and associated tuna management plans finalized and implemented in Indonesia, Philippines and Vietnam**

EAFM will be implemented to combine protection of ecosystem structure and function in the EAS with generation of food, income and livelihoods for coastal communities from sustainable harvesting of tunas. Pilot scale application of EAFM to one segment/site of the oceanic tuna fishery in each country will be attempted, accompanied with provision for extensive stakeholder consultation on all aspects of the process. EAFM workshops will be convened for policy makers, stakeholders, and Government departments/agencies, and information on EAFM processes and outcomes widely disseminated. National tuna management plans will be reviewed and implemented, taking account of changes identified as necessary by the project e.g. climate change, EAFM requirements, new CMMs, market-based factors, and MCS activity. In the case of Indonesia, the NTMP will be expanded to include archipelagic waters.

*EAFM implemented in government departments, fishing industry, and other key stakeholders for the conservation of tuna stocks and reduction of by-catch*

Observer programmes will be developed and supported in two countries (Vietnam, Indonesia), to collect operational and by-catch/ETP species data. This would initially be at low levels, to guide eventual industry-funded larger scale observer placement. Support, notably training of trainers, would be provided for observer programmes in all three countries. Risk assessments will be undertaken for by-catch and ETP species, with some data collection required. National Plans of Action will be formulated for selected priority groups e.g. sharks, seabirds, and turtles. The project will also facilitate information and experience sharing and lessons learned on reduction of by-catch, through the Consultative Forum and the knowledge management network described below.

**Component 3: Knowledge sharing on highly migratory fish stocks.** The third component will establish a regional knowledge platform and network for the Western Pacific Ocean and East Asian LMEs. It will deliver the following outputs and undertake the following activities to achieve the single broad outcome.

*Subregional database established for the West Pacific Ocean and East Asia LMEs consistent with the WCPFC framework*

The information shared via the WCPFC mechanism and the WPEA website on oceanic fisheries in the EAS is at the moment limited. The Project will therefore ensure, in collaboration with PEMSEA, that an active database and website is maintained and that relevant publications are disseminated. A dedicated knowledge management specialist, (see Annex 3: Project Knowledge Management Associate), will be recruited to establish a Regional Knowledge Platform that will include a subregional database for the WPEA, and develop an active information sharing network.

*Lessons learned and best practices in oceanic fisheries management in the WPEA disseminated using various communications media: technical reports, WCPFC website, videos, IW:Learn, PEMSEA and CTI websites*

The Project website will be closely linked with the WCPFC and PEMSEA websites as well as national websites. Links will also be established with the CTI website as well as other relevant sites, where possible. Newsletters and other information products, such as videos, will be disseminated through the website and its associated network, highlighting lessons learned and best practice in adaptive oceanic fisheries management.

*One percent of IW budget to support IW:Learn activities, including IW:Learn project website, experience notes and IW Conferences*

The project will contribute to global knowledge sharing on management of highly migratory fish stocks through IW:Learn activities, including IW:Learn project websites, experience notes and IW Conferences.

## ANNEX13: Approved inception log frame

## Revised PROJECT RESULTS FRAMEWORK

PROJECT RESULTS						
<p><b>This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:</b>  <b>INDONESIA - Outcome 5:</b> Climate Change and Environment: Strengthened climate change mitigation and adaptation and environmental sustainability measures in targeted vulnerable provinces, sectors and communities  <b>PHILIPPINES- Outcome 4:</b> Resilience Towards Disasters and Climate Change: Adaptive capacities of vulnerable communities and ecosystems will have been strengthened to be resilient toward threats, shocks, disasters, and climate change  <b>VIETNAM – Focus Area One:</b> Inclusive, Equitable and Sustainable Growth</p>						
<b>Country Programme Outcome Indicators:</b>						
<b>Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one):</b>						
<b>Outcome 2: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance</b>						
<b>Applicable GEF Strategic Objective and Program: IW-2</b>						
<b>Applicable GEF Expected Outcomes: 2.1, 2.2, 2.3, 2.4</b>						
<b>Applicable GEF Outcome Indicators:</b>						
	Expected Outcomes	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<b>Project Objective<sup>2</sup></b> To improve the management of highly migratory species in the entire West and Central Pacific (WCPF) Convention area by		Status of harvesting of shared oceanic tuna stocks in the WCPF Convention area in the EAS vis-à-vis sustainability criteria set by the WCPF Convention  Application of market-based approaches to sustainable harvesting of oceanic tunas	WCPF Convention and its adopted Conservation and Management Measures (CMMs) on e.g. IUU fishing, by-catch.  <b>Current coverage in average of the three countries fishery monitoring is around 15%.</b>  Little compliance with bycatch reduction requirement No reflection of climate change in the current management framework	Sustainable harvesting of oceanic tunas in the EAS, including:  Improved monitoring of oceanic tuna fisheries in the EAS <b>and coverage increased to 40%</b> <b>Declining quantity/indicator of bycatch including juvenile tunas (PB5-Para25)</b> Enhanced adaptive capacity to manage oceanic fisheries in the EAS under climate change	<b>Country's WPEA related reports and statistics</b>	Changes in policy and decision makers, or other events beyond the control of the project, lead to changes in support for the project objective to improve the sustainable management of highly migratory species in the EAS

<sup>2</sup> Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

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<p>continuing to strengthen national capacities and international participation of Indonesia, Philippines and Vietnam in WCPF Commission activities</p>			<p>Tuna supply chains not well documented, no oceanic tuna fisheries in the EAS certified</p>	<p>conditions through recommendations for the revision of management framework Progress to possible certification of at least one oceanic tuna fisheries or other fishery sectors in the EAS, through FIPs</p>		
<p><b>Component 1:</b><sup>3</sup> Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory stocks</p>	<p>1.1 Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and illegal, unreported and unregulated (IUU) fishing in the POWP LME and the EAS LMEs</p>	<p><b>Regional</b> (WCPF Convention area): Status of participation in WCPF activities (CMMs, compliance monitoring, MCS etc.) and membership (CCM)  <b>Subregional</b> (Indonesia, Philippines, Vietnam): Establishment of Consultative Forum (CF) to coordinate monitoring of oceanic tuna stocks across EAS LMEs in association with PEMSEA, WCPF and others</p>	<p><b>Regional:</b> Close to full participation by Indonesia and Philippines as members; Vietnam not compliant in some aspects and CNM status  <b>Subregional:</b> Three countries work cooperatively within WPEA project but no coordinating mechanism which includes all fishing entities in SCS and other LMEs</p>	<p><b>Regional:</b> All three countries comply with WCPF requirements, and relevant CMMs.  Improved monitoring of oceanic tuna fisheries in the EAS and coverage increased to 40%  <b>Subregional:</b> Countries once a year share information which contributes to development of harvest policy for oceanic tunas across the relevant LMEs and within the WCPF framework;  Project coordinates with the EAS Program through the PEMSEA Resource Facility</p>	<p><b>Regional:</b> Annual forum meetings with extensive public reporting.  Annual statistical reports and technical reports showing improved coverage and data quality.  Signed agreement between WCPF and PEMSEA</p>	<p>Political support for regional coordination activity, and participation by all parties and fishing entities. Membership acceptable to WCPF (Vietnam)</p>

<sup>3</sup> All outcomes monitored annually in the APR/PIR.

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		<p><b>National (common)</b> Formation of <b>task force</b> to prepare and package information for <b>CF or other WPEA Subregional cooperation</b> formats Comprehensive national databases for all aspects of oceanic tuna fisheries, including log sheet data, port sampling data, vessel register, MCS data, and bycatch. Comprehensive VMS, IUU monitoring and catch certification system in place for each country</p>	<p><b>Indonesia:</b> National logbook monitoring system gradually being established under PSDKP MMAF, mainly starting to cover large vessels (&gt;30GT) and not fully integrated with fisheries data. Species composition by gear by port sampling programme covering only FMAs 716 (Bitung), 717 (Sorong) 714 (Kendari); Limited data from surveys by research vessel. Statistical data for AW fisheries are available, but biological data and scientific database to verify currently is not available (FMAs 713, 714, 715). VMS and catch certification scheme under development and limited application to deter IUU. No mechanism in place for regional knowledge sharing on oceanic tuna though <b>CF or other WPEA Subregional cooperation formats</b></p> <p><b>Philippines:</b> Current monitoring coverage for small and medium scale tuna fisheries is less than 10% (development of prototype for small scale fisheries).</p>	<p><b>Indonesia:</b> Logbook coverage of all commercial gears and fleets improved up to 50% for fishing vessels &gt;30 GT; Coverage of artisanal fleet landings improved up to 50%; catch of retained and by-catch species well documented. Dependent and independent data available (port sampling, observer, logbook, surveys); Scientific database for archipelagic fish resources developed and implemented; extend port sampling to cover AW FMAs up to 25% VMS and catch certification system in place to address IUU. National task force in place for packing of information for <b>CF or other WPEA Subregional cooperation formats</b></p> <p><b>Philippines:</b> Monitoring coverage for small and medium scale tuna fisheries improved by 30%.</p>	<p>Reports from <b>CF or other WPEA Subregional cooperation formats</b> VMS compliance, IUU and catch certification reporting Database holdings listed Reports of task forces in each country with information packaged for <b>CF or other WPEA Subregional cooperation formats</b></p>	<p>Resources including trained manpower, available to implement monitoring systems and establish databases</p>
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			<p>Current monitoring by VMS limited to PS/RN Phil-flag vessels operating in WCPO HSP1 and other countries' EEZs; limited application of VMS in Phil waters to address IUU.</p> <p>Delays in manual submission of log sheets resulting in proposing an e-logbook system to facilitate timely submission.</p> <p>No mechanism in place for regional knowledge sharing on oceanic tuna</p> <p><b>Vietnam:</b> Monitoring systems established in three central provinces (Binh Dinh, Phu Yen &amp; Khanh Hoa) under WPEA in compliance with WCPFC requirements, but not covering for all gears and all other provinces. Current coverage of monitoring landing data is around 35% No bycatch data are currently documented No integrated database system established No mechanism in place for regional knowledge sharing on oceanic tuna. VMS scheme being implemented but not yet integrated with fisheries data. VMS, IUU and catch certification scheme not in place - under development and initial implementation.</p>	<p>VMS monitoring and/or other technologies applied to selected tuna fishers operating in the Phil national waters and WCP CA to reduce IUU</p> <p>E-logbook developed and pilot tested ready for implementation and adoption by stakeholders.</p> <p>National task force in place for packing of information for <b>CF or other WPEA Subregional cooperation formats</b></p> <p><b>Vietnam:</b> Monitoring systems expanded to 6 other provinces; increased coverage and quality of log sheet data for all tuna fishing fleets. Landing data coverage of tuna fishing fleets significantly improved up to 70%. Catch of retained and by-catch species well documented. Integrated database established within National Fisheries Statistics system, including data entry, verification and database maintenance. National task force in place for packing of information for <b>CF or</b></p>		
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				<p><b>other WPEA Subregional cooperation formats</b> VMS scheme being developed for selected fisheries to apply for catch certification scheme and to reduce IUU</p>		
	<p>1.2 Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam, to integrate climate change impacts on highly migratory stocks into management regimes</p>	<p>Consideration of climate change impacts on oceanic fisheries and development of adaptive management strategies</p> <p>Capacity building to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies and incorporate these into management regimes</p>	<p><b>Subregional:</b> Some information available on impacts on POWP LME but model outputs not yet extended to EAS and integrated with existing data</p>	<p><b>Subregional:</b> Preparation of country reports on climate change impacts and identifying interventions of climate change on tuna resources/fisheries in general</p>	<p><b>Subregional:</b> Workshop outputs and climate change stakeholder meeting reports</p> <p>Consultancy reports</p> <p>Reports and attendance of training and capacity building courses</p>	<p>Expertise, appropriate climate change models and associated data available to predict impacts, as well as national/regional capacity to undertake necessary ongoing research and monitoring</p>
			<p><b>Indonesia:</b> Though National Climate Change Council established in 2008 (Presidential decree no 46/2008), climate change impacts on oceanic fisheries and its ecosystems not studied and current analytical capacity in this area is very limited.</p> <p><b>Philippines:</b> National climate change strategy developed, but impacts on oceanic fisheries and</p>	<p><b>Indonesia:</b> Task force established to study climate change impacts on oceanic fishery sector; results of preliminary research/modeling on oceanic fisheries available; adaptive management strategies to mitigate impacts of climate change developed.</p> <p><b>Philippines:</b> <u>Trial prediction of climate change impacts on oceanic fisheries developed</u>; 4 or more skilled personnel</p>	<p>Reports with relevant data to support modeling activities and development of indicators of change and adaptation success.</p>	

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			<p>its ecosystems not yet studied and current capacity limited.</p> <p><b>Vietnam:</b> Lack of trained/skilled personnel and no existing assessment of capacity needed to interpret climate change impacts on oceanic fisheries and to develop adaptive management strategies.</p>	<p>trained to interpret climate change impacts on oceanic fisheries and <u>to develop adaptive management strategies.</u></p> <p><b>Vietnam:</b> Trial prediction of climate change impacts on oceanic fisheries developed; 4 or more technical staff, policy &amp; decision makers to integrate climate change impacts on highly migratory stocks.</p>		
1.3 Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam	<p>Incorporation of oceanic fisheries indicators and modeling outputs into overall national climate change strategy</p> <p>Policies/strategies/plans/program that integrate climate change into national fisheries policies and even legislation/regulations.</p>	<p><b>Indonesia:</b> National policy formulation specific to oceanic fisheries under climate change is very limited, but some information available for adjacent POWP LME, as a suitable model/precedent.</p> <p><b>Philippines:</b> No pool of experts to mainstream climate change concerns into national fisheries sector policy. No specific regulations on climate change related to fisheries management established.</p> <p>RA9729: Philippine Climate Change Act of 2009 has served as the basis for the creation of the Climate Change Commission.</p>	<p><b>Indonesia:</b> Climate change adaptive management strategy for oceanic fisheries developed and incorporated in national cross-sectoral climate change strategy.</p> <p><b>Philippines:</b> Policies/strategies/plans/programs that integrate climate change into national fisheries regulations approved and/or implemented.</p>	Inclusion of oceanic fisheries in national climate strategy, policy and legislation, as necessary	Necessary outputs available from 1.2 (adaptive management strategies) and political acceptance of any recommendations and guidelines	

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			<p><b>Vietnam:</b> No inputs to national policy formulation on climate change currently available for Vietnam, nor to oceanic fisheries.</p>	<p><b>Vietnam:</b> Climate change concerns articulated and integrated into the national fisheries policy</p>		
<p><b>Component 2: Implementation of policy, institutional and fishery management reform</b></p>	<p>2.1 Enhanced compliance of existing legal instruments at national, regional and international levels</p>	<p>Legal instruments fully compatible with WCPFC requirements, and compliance with WCPFC management requirements, including compliance with CMMs, ROP, RFV and application of reference points, and harvest control rules</p>	<p><b>Regional:</b> No collaborative governance on tuna fisheries among the three countries and limited compliance with technical application of WCPFC requirements due to limited involvement in WCPFC's technical processes (SC and TCC)</p>	<p><b>Regional: Subregional collaborative governance on tuna fisheries established.</b> Participation in WCPFC's technical processes enhanced through full participation in WCPFC technical meetings (SC, TCC and other technical WG meetings)</p>	<p><b>Regional:</b> Compliance monitoring reports (CMRs) at TCC, annual reports to SC (Part 1) and TCC (Part 2) and participation in regular sessions of WCPFC.</p>	<p>Funding and personnel available to attend meetings;</p>
			<p><b>Indonesia:</b> Some fishery legislation under revision to accommodate all WCPFC requirements, framework for AW management through FMAs currently minimal but progressively being developed (7 FMAs); no RPs and HCRs considered yet as a scientific procedure.</p> <p><b>Philippines:</b> Existing FAD management policy and other CMMs needs to be revisited for</p>	<p><b>Indonesia:</b> Tuna management strengthened through applying scientific procedure using Reference Points (RPs) and Harvest Control Rules (HCRs) at national level once applied at regional level; Archipelagic Water (AW) management regime established.</p> <p><b>Philippines:</b> Compliance with CMMs of special concern to Philippines primarily FADs committed.</p>	<p>Legislation reviewed/revise d, achieving compatibility with WCPFC requirements Trial reference points and HCRs developed once applied at regional level; and incorporated into national tuna</p>	<p>Country status can be resolved and full membership in WCPFC achieved (Vietnam)</p>

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			<p>compliance, but Philippines currently compliant with most of the WCPFC CMMs.</p> <p><b>Vietnam:</b> Limited compliance with CMMs or other management arrangements; no RPs and HCRs considered yet as a scientific procedure.</p>	<p><b>Vietnam:</b> Incorporation of compatible measures into national legal frameworks and incorporation of relevant WCPFC requirements completed. Full application of relevant CMMs; and proposed reference points (RPs) and harvest control rules (HCRs) at national level.</p>	<p>management plans</p>	
	<p>2.2 Adoption of market-based approaches to sustainable harvest of tunas</p>	<p>Supply chain characterized for tuna fishery sector, including processing, and custody systems established for tuna fisheries</p> <p>Improvements to fisheries to meet sustainable fishery standards for selected fisheries</p> <p>Private sector companies cooperate in relevant project activities</p>	<p><b>Indonesia:</b> Limited data available on supply chain, and monitoring and custody system not established for any fishery. Growing market demand for sustainable certification but limited eco-certification conducted</p> <p><b>Philippines:</b> Supply chain complex, information available but not compiled</p>	<p><b>Indonesia:</b> Supply chain characterized for selected tuna fisheries, monitoring systems established and information annually updated; custody system in place for selected fisheries.</p> <p><b>Philippines:</b> Supply chain fully documents and annually updated. Several tuna fisheries progressing towards full certification. Sustained participation of fishing companies</p> <p><b>Vietnam:</b> Supply chain characterized for tuna fisheries, with emphasis on export-oriented fisheries, and monitoring system established; Chain of Custody in</p>	<p>Reports with characterization of supply chains and information regularly updated and made available to <b>CF or other WPEA Subregional cooperation formats</b></p>	<p>Selected fisheries able to meet required standards</p>

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			<p>Growing market pressure for ecolabelling certification relating to sustainable fishing. Several pre-assessments initiated. 16 companies already cooperate with BFAR</p> <p><b>Vietnam:</b> Incomplete data available on supply chain and chain of custody scheme not established for any fishery MCS pre-assessment of yellowfin/bigeye handline and longline fishery unfavourable and need for FIP identified. 9 companies already cooperate in project activities</p>	<p>place for selected tuna fisheries. FIP process implemented for longline/handline fishery Sustained participation of fishing companies</p>		
2.3 Reduced uncertainty in stock assessment of POWP LME and EAS LMEs highly migratory fish stocks, and improved understanding of associated ecosystems	Integration of data from oceanic tuna fisheries in Indonesia, Philippines and Vietnam into regional assessments of target tuna species	<p><b>Subregional:</b> Assessments not explicitly available on subregional scale because of data gaps and lack of assessment model spatial structure</p>	<p><b>Subregional: WCPFC (through SPC) continue to conduct</b> subregional assessments undertaken using WPEA data</p>	<p><b>Subregional:</b> Subregional assessments reported as component of regional assessments</p>	<p>WCPFC science provider able to undertake subregional assessment within new model area Resources available to undertake all necessary activity Necessary data collected to undertake national stock assessment and scientists adequately trained</p>	
		<p><b>Indonesia:</b> Some target species data available from WPEA-1 with coverage of FMA 716, 717 and 714 for assessment. National stock assessment board exists and plans for national assessment underway.</p>	<p><b>Indonesia:</b> Indonesian data included in regional and subregional assessments; National assessments for target species commenced and annually updated.</p>	<p>Reports of assessment outcomes at regional and national level  (Vietnam only) Updated FIPs</p>		

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	and their biodiversity	species and by-catch in selected fisheries/gears	<p>Limited information on retained/by-catch species and no risk assessment study for tuna by-catch and ETP species</p> <p><b>Philippines:</b> Limited understanding of ecosystem supporting the oceanic tuna fishery. Retained species and by-catch species for all gears incompletely characterized.</p> <p><b>Vietnam:</b> Data collection on target species initiated under the WPEA project, but coverage incomplete for some fisheries; data not fully incorporated in regional assessments; Limited research on retained/by-catch species conducted but not regularly studied. Research surveys using two gears undertaken - no national stock assessment currently available but planned.</p>	<p>Risk assessment of retained, by-catch and ETP spp. commenced.</p> <p><b>Philippines:</b> Comprehensive observer, catch sampling undertaken and risk assessment available for by-catch and ETP species.</p> <p><b>Vietnam:</b> Annual total catch estimates produced and biological data collected for national and/or regional stock assessment of target tuna species; Information for risk assessment collected of retained and by-catch species and preliminary assessments undertaken; National level stock assessments of target tuna commenced.</p>	<p>with data incorporated to eventually meet requirements for MSC.</p> <p>Reports with national stock assessments to guide implementation of National Tuna Management Plan</p>	<p>Necessary data gathered to undertake risk assessments of selected species</p>
	2.4 Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable	<p>Application plan of ecosystem modeling to EAS EEZs to complement those for POWP LME and EEZs</p> <p>Incorporation of EAFM principles in national tuna management plans</p>	<p><b>Subregional:</b> Ecosystem models available for POWP LME but not EAS</p> <p><b>Indonesia:</b> Limited data collected for the application of ecosystem modeling;</p>	<p><b>Subregional:</b> Application of ecosystem models to EAS planned</p> <p><b>Indonesia:</b> Data collection to support application of ecosystem models.</p>	<p><b>Subregional:</b> A subregional EAFM application plan</p> <p>Trial application of EAFM to selected tuna fisheries/sites</p>	<p>Funding and resources available to support subregional modeling</p> <p>Capacity building to support modeling</p>

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	harvest of the oceanic tuna stock and reduced by-catch of sea turtles, sharks and seabirds	Pilot scale application of EAFM for oceanic species at selected sites/fisheries  Declining quantity/indicator of by-catch	Some commitment to EAFM exists through community-based activities. NTMP lacking EAFM components Turtle by-catch studied and some mitigation measures underway; shark catch and seabird interactions not well documented; low level of compliance.  <b>Philippines:</b> No study of EAFM for oceanic fisheries, legal basis uncertain. NTMP may lack EAFM compatibility Turtle by-catch studies and some mitigation measures underway; shark catch and seabird interactions poorly documented; low level of compliance.  <b>Vietnam:</b> No EAFM application and legal basis uncertain No inclusion of EAFM in NTMP Few data on ETP species and no compliance on bycatch mitigation	EAFM strategy commenced for trial implementation in one FMA. EAFM conditions incorporated in revised NTMP Mitigation measures applied in selected fisheries; compliance with shark and sea turtle CMMs and NPOAs. <b>Philippines:</b> Potential study area that applies EAFM for oceanic fisheries selected. NTMP revised to include EAFM. Mitigation measures applied; Compliance with shark CMMs committed, .  <b>Vietnam:</b> Plan for the pilot application of EAFM at one selected site/fishery Revised NTMP with EAFM included Compliance with ETP CMMs and NPOAs	Revised NTMPs with EAFM included Linkage to mitigation measures in adjacent areas; compliance with a range of CMMs in EAS	activity and interpretation
<b>Component 3</b>	3.1 Regional knowledge platform	Monitoring and knowledge sharing between POPW LME and EAS LMEs for	Limited information shared via WCPFC mechanisms, meetings and WPEA website and limited	Active website maintained in collaboration with PEMSEA, and commitment to	Website promotion with hits recorded;	Regional and national commitment to



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<p><b>Knowledge sharing on highly migratory fish stocks</b></p>	<p>established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems</p>	<p>target and associated species and their management          Commitment to information sharing at all levels amongst WPEA members and beyond          Current provincial/FMA resource profiles updated and disseminated          Participation in global knowledge sharing events</p>	<p>outreach to stakeholders at national and subregional level          No interagency cooperation mechanism such as CF established          Limited participation in knowledge sharing events, including IW:Learn.</p>	<p>preparation and dissemination of project publication, newsletters and other information products  <b>Consultative Forum or other WPEA Subregional cooperation formats</b> activity reported.          Increased participation in international and (sub-)regional knowledge sharing events (one per year), such as IW:Learn and related activities and the PEMSEA's EAS Congress</p>	<p>feedback from stakeholders; project newsletter widely distributed.          Presentations at international and (sub-)regional knowledge sharing events available on IW:Learn and EAS websites</p>	<p>sharing of information on highly migratory stocks</p>
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**ANNEX 14: MTR approved log frame revisions (TE assessed)**

**ANNEX 14: EAS RELEVANT CCMS**

- CMM 2006-07 Regional monitoring program
- CMM 2006-08 WCPFC boarding and inspection procedures
- CMM 2007-01 Measure for the regional observer programme
- CMM 2008-03 Conservation and management of sea turtles
- CMM 2008-04 Measure to prohibiting the use of large-scale drift nets on the high seas
- CMM 2009-01 Record of fishing vessels and authorization to fish
- CMM 2009-02 Measure on the application of high seas FAD closures and catch retention
- CMM 2009-06 Measure on regulation of transshipment
- CMM 2009-10 Measure to monitor landings of purse seiners at ports (reliable catch data/species)
- CMM 2009-11 Cooperating nonmembers
- CMM 2010-02 Measure for the Commission VMS
- CMM 2010-06 Measure to establish a list of vessels presumed to have carried out IUU fishing
- CMM 2010-07 Measure for sharks
- CMM 2011-04 Measure for oceanic whitetip sharks
- CMM 2012-01 Measure for bigeye, yellowfin and skipjack
- CMM 2012-02 Measure for compliance monitoring scheme
- CMM 2012-06 Measure for Pacific bluefin
- CMM 2012-07 Measure for mitigation impacts on seabirds

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**ANNEX 15: PROJECT DOCUMENT MXE PLAN**

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	Project Manager UNDP CO, UNDP GEF	Indicative cost: 22,700	Within first two months of project start up
Measurement of Means of Verification of project results.	UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	Oversight by Project Manager Project team	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	Project manager and team UNDP CO UNDP RTA UNDP EEG	None	Annually
Periodic status/ progress reports	Project manager and team	None	Quarterly
Mid-term Evaluation	Project manager and team UNDP CO UNDP RCU External Consultants (i.e. evaluation team)	Indicative cost: 35,000	At the mid-point of project implementation.
Final Evaluation	Project manager and team, UNDP CO UNDP RCU External Consultants (i.e. evaluation team)	Indicative cost : 35,000	At least three months before the end of project implementation

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Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Project Terminal Report	Project manager and team UNDP CO local consultant	0	At least three months before the end of the project
Audit	UNDP CO Project manager and team	Indicative cost per year: 3,000	Yearly
Visits to field sites	UNDP CO UNDP RCU (as appropriate) Government representatives	For GEF supported projects, paid from IA fees and operational budget	Yearly
<b>TOTAL indicative COST</b> Excluding project team staff time and UNDP staff and travel expenses		US\$ 101,700 (5% of total budget)	

**ANNEX 16: ALL FINAL PROJECT KNOWLEDGE OUTPUTS GIVEN TO TE BY COUNTRY. Needs to be expertly collated and shared by PEMSEA as per MTR List – Knowledge Output**

**VIETNAM KNOWLEDGE OUTPUT**

**History of WPEA Workshop in Vietnam**

Date	Activity title	Topics covered	WS report
2015.02.24	Participation in SPC's Tuna Data Review Workshop, New Caledonia	Data analysis and compilation	Trip report
2015.08.5-13	Participation in the Scientific Committee (SC11), Federated States of Micronesia	WCPFC-SC11 agenda	Trip report
2015.06.1-12	Consultation Meeting and Field Supervision for Port	Review of data collection and port sampling in provinces	Consultation report

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	Sampling in Vietnam (provinces)		
2015.11.10-12	Fourth Annual Total Tuna Catch Estimates Workshop, Da Nang	Data review and annual total tuna catches were produced for submission to WCPFC	WS report
2015.11.3-6	Three country, Sub-regional Workshop, Hai Phong	Stock assessments at sub-regional level	WS report
2016.02. 17-29	Consultation Meeting and Field Supervision (provinces)	Development of 2016 annual work plan and field trip for the supervision of port sampling and raising awareness of stakeholders	Consultation and Trip Report
2016.06.20-24	Fifth Annual Total Tuna Catch Estimates Workshop, Binh Dinh	Data review and annual total tuna catches were produced for submission to WCPFC	WS report
2016.05.9-13	The 8 <sup>th</sup> GEF International Waters Conference, Sri Lanka	Participation in IWC-8	Trip report
2016.04.25-29	The 10 <sup>th</sup> SPC's Tuna Data Workshop, New Caledonia	Data analysis and compilation	WS report
2016.08.3-11	Participation in the Scientific Committee (SC12), Indonesia	WCPFC-SC12 agenda	Trip report
2016.10.24-26	Three country, Sub-regional Workshop, Philippines	Climate Change issues and development of harvest strategy components	WS report
2016.11.7-10	Review Workshop, Hai Phong	Certification; Supply chain; Climate change; HS; EAFM	WS Report; consultancy reports
2016.11.17	Consultation meeting, Hanoi	Review the progress of the project activities and drafting AWP	Consultation meeting report
2016.11.24-26	Harvest Strategy Workshop, Hai Phong	Introduction to harvest strategy framework	WS report
2017.01.17-19	Review Workshop, Ha Long City	Climate Changes and Tuna Fisheries; Market-based Sustainable Fisheries; Development of a Harvest Strategy Framework	WS report and consultancy reports

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2017.03.29-31	EAFM Workshop, Binh Thuan	Review of EAFM and case study on application of EAFM to local fisheries	WS report
2017.04.24-28	The 11 <sup>th</sup> SPC's Tuna Data Workshop, New Caledonia	Data analysis and compilation	WS report
2017.05.2-4	Three country, Sub-regional Workshop, Indonesia	Area of sub-regional cooperation and Overview of the EAFM	WS report
2017.08.09-17	Participation in the Scientific Committee (SC13), Cook Islands	WCPFC-SC12 agenda	Trip report
2017.10.23-27	Review Workshop, Hai Phong	Review of Vietnam's fishery legislations in line with WCPFC requirements; Review of Vessel Monitoring System in Vietnam; Development of reference points and HCRs Application of EAFM to tuna fisheries Development of a sustainable tuna fishing manual two guidelines to adaptively manage the impacts of climate change on tuna fisheries Update of Vietnam's Tuna Fisheries Profile Action plan for conservation of sharks in Viet Nam	Review WS Report and consultancy reports
2018.01.18	Consultation Meeting, Hai Phong	Review the progress and develop annual work plan and budget	Draft Annual Work Plan and Budget table
2018.01.23-26	Review Workshop, Vung Tau	Review of Vietnam's fishery legislations in line with WCPFC requirements; Revision of NTMP Development of a harvest strategy framework; EAFM guidelines Development of two guidelines to adaptively manage the impacts of climate change on tuna fisheries Development of a sustainable tuna fishing manual Update of Vietnam's Tuna Fisheries Profile	Review WS Report and consultancy reports
2018.04.10-12	Consultation Meeting, Hanoi	Review the progress of consultancies and project activities	

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2018.06.25-27	Seventh Annual Total Tuna Catch Estimates Workshop, Da Nang	Estimates of annual total tuna catch by species and by gear	Production of annual catch estimates; Workshop report
2018.06.18-22	Review WS, Nha Trang	Revision of VNM's legal issues RPs and HCRs Tuna supply chain, Certification system Tuna Fishery profile EAFM Climate Change guidelines Sustainable fishing practices NTMP revision	Review WS Report and consultancy reports
2018.09.17-18	Consultation Meeting, Hanoi	Review of the project progress and finance	Consultation report
2018.10.23-25	Three country, Sub-regional Workshop, HoChiMinh City	Risk Assessments for Bycatch Species; Preparation for the WCPFC-PEMSEA Consultative Forum	Workshop Report; Provisional Agenda for the Consultative Forum
2019.01.28-30	WCPFC-PEMSEA Consultative Forum	Development of a Monitoring Mechanism to Combat IUU Fishing at WPEA Region	Workshop report
2019.02.26-03.01	Consultation Meeting, Hanoi	Compilation of all project outputs	List of project outputs
2019.04.22	WPEA Project Review Workshop, Nha Trang	Review of key outputs from the WPEA Project in Vietnam	Workshop report
2019.04.23-26	Three country, Sub-regional Workshop, Nha Trang	Sub-regional Stock Assessment and Introduction to WCPFC Harvest Strategies	Workshop report

**VIETNAM LIST OF PROJECT OUTPUTS**

**Component 1: Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory stocks**

**Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and Illegal, Unreported and Unregulated (IUU) fishing in the POWP LME and the EAS LMEs**

**(Documents)**

OVERVIEW OF TUNA FISHERIES MONITORING FOR 2015 – 2018 THROUGH WPEA PROJECT IN VIETNAM

Annual Tuna Catch Estimation and Data Review Workshop Reports in Viet Nam (2015 – 2018)

Report of the Fourth Vietnam Tuna Fishery Annual Catch Estimates Workshop (VTFACE-4), 10-12 November 2015, Da Nang, Viet Nam

Report of the Fifth Vietnam Tuna Fishery Annual Catch Estimates Workshop (VTFACE 5), 20-24 June 2016, Binh Dinh Province, Viet Nam

Report of the Sixth Vietnam Tuna Fishery Annual Catch Estimates Workshop (VTFACE-6), 19-23 June 2017, Nha Trang, Vietnam

Report of the Seventh Vietnam Tuna Fishery Annual Catch Estimates Workshop (VTFACE-7), 25-27 June, 2018, Danang, Viet Nam

Reconstruction of historical tuna catch in Viet Nam

CAPACITY BUILDING IN DATA MANAGEMENT AND REPORTING – Trip Report to SPC's Tuna Data Workshop (2015 – 2018)

CAPACITY BUILDING IN SCIENCE – Trip Report to the WCPFC Scientific Committee Meetings (2015 – 2018)

National Tuna Coordinator's Quarterly Report (2015 – 2018)

WORKSHOP REPORT ON DEVELOPMENT OF THE MANAGEMENT STRATEGY FOR VIETNAM TUNA FISHERY (Hai Phong, 24-25 November 2016)

Consultancy Report – Vessel Monitoring System for Fisheries Management in Viet Nam

Review Workshop Reports on WPEA-SM Project Consultancies (2016 – 2018)

2016.11.24-26, Hai Phong – Harvest Strategy Workshop

2017.01.17-19, Ha Long City – Climate Changes and Tuna Fisheries, Market-based Sustainable Fisheries, Development of a Harvest Strategy Framework

2017.03.29-31, Phan Thiet, Binh Thuan – EAFM

2017.10.23-27, Hai Phong - Review of Vietnam's fishery legislations; Review of VMS; RPs and HCRs; EAFM; Sustainable tuna fishing manual ; Two climate change guidelines; Tuna Fisheries Profile; Action plan for conservation of sharks in Viet Nam



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2018.01.23-26, Vung Tau – Review fishery legislations; Revision of NTMP; Development of a harvest strategy framework; EAFM guidelines; Two climate change guidelines; Sustainable tuna fishing manual; Tuna Fisheries Profile

2018.06.18-22, Nha Trang – Revision of VNM’s legal issues, RPs and HCRs, Tuna supply chain, certification system, Tuna Fishery profile, EAFM, Climate Change guidelines, Sustainable fishing practices, NTMP revision

### **Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam, to integrate climate change impacts on highly migratory stocks into management regimes**

#### **(Documents)**

WORKSHOP REPORT ON THE REVIEW OF RIOR STUDIES ON CLIMATE CHANGE, CERTIFICATION AND TUNA SUPPLY CHAIN ANALYSIS (17 – 19 February 2017, Ha Long City)

Guidelines on Adaptive Management and Monitoring Capacity Building of the Climate Change Impacts on Tuna Fisheries

General guidelines on adaptive management and monitoring of highly migratory stocks to address climate change, developed by Research Institute for Marine Fisheries (RIMF)

Adaptive management guidelines used for regional capacity building, training of national technical fishery staff, policy and decision makers in Vietnam, developed by Vietnam Institute for Fishery Economic and Planning (VIFEP)

Application of economic modelling in assessing climate change impacts on tuna fisheries in Vietnam

### **Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam**

#### **(Documents)**

SUGGESTED POLICY TEXT TO BE REFLECTED INTO THE REVISION OF NATIONAL TUNA MANAGEMENT PLAN

#### **Component 2: Implementation of policy, institutional and fishery management reform**

##### **Enhanced compliance of existing legal instruments at national, regional and international levels**

#### **(Documents)**

WCPFC Annual Report – Part 1: Information on Fisheries Research and Statistics (2015 – 2018)

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DEVELOPMENT OF HARVEST STRATEGY FRAMEWORK FOCUSING ON REFERENCE POINTS AND HARVEST CONTROL RULES  
CONSULTANCY REPORT ON THE REVIEW OF VIETNAM'S TUNA FISHERY MANAGEMENT SYSTEM AND WCPFC TO PROPOSE SUITABLE AMENDMENT  
AND SUPPLEMENT IN LEGAL, POLICY AND INSTITUTIONAL FRAMEWORKS OF VIET NAM

### **Adoption of market-based approaches to sustainable harvest of tunas**

#### **(Documents)**

CONSULTANCY REPORT ON Market-based Sustainability of Tuna Fisheries in Viet Nam  
CONSULTANCY REPORT ON MANUAL FOR SUSTAINABLE TUNA FISHING PRACTICES IN VIET NAM

### **2.3 Reduced uncertainty in stock assessment of POWP LME and EAS LMEs highly migratory fish stocks, and improved understanding of associated ecosystems and their biodiversity**

#### **(Documents)**

Consultancy Report – Viet Nam Tuna Fishery Profile  
Risk assessment of retained species caught by tuna fishery in Vietnam

### **2.4 Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced by-catch of sea turtles, sharks and seabirds**

#### **(Documents)**

WORKSHOP REPORT ON ECOSYSTEM APPROACH TO FISHERIES MANAGEMENT (Binh Thuan, 29 – 31 March 2017)  
Consultancy Report – GUIDELINES FOR THE APPLICATION OF ECOSYSTEM-BASED FISHERIES MANAGEMENT TO TUNA FISHERIES IN VIET NAM  
CONSULTANCY REPORT – REVISION OF NATIONAL TUNA MANAGEMENT PLAN IN VIET NAM  
SHARK IDENTIFICATION MANUAL (VIETNAMESE)

### **Component 3: Knowledge sharing on highly migratory fish stocks**

### 3.1 Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems

#### (Documents)

TRIP REPORT TO 9<sup>TH</sup> GEF INTERNATIONAL WATERS CONFERENCE (IWC9)

Project Terminal Report for the WPEA-SM Project in Viet Nam

Three-country, Sub-regional Workshop Reports (2015 – 2019)

2015.11.3-6, Hai Phong, Viet Nam, Topic: 1) Tuna stock assessment in the EAS region and 2) Introduction to harvest strategy

2016.10.24-26, Cebu, Philippines, Topic: 1) Harvest Strategy and 2) Climate Change

2017.05.2-4, Yogyakarta, Indonesia, Topic: 1) Ecosystem approach to fisheries management and 2) Sub-regional cooperation and collaboration

2018.10.23-25, Ho Chi Minh City, Viet Nam, Topic: 1) Risk assessment and 2) Development of Consultative Forum agenda

2019.01.28-30, Aklan, Philippines, Consultative Forum for the establishment of a monitoring mechanism to combat IUU fishing

2019.04.23-26, Nha Trang, Viet Nam, Topic: 1) Sub-regional stock assessment and 2) Compliance to WCPFC requirements

### INDONESIA KNOWLEDGE OUTPUT

#### History of WPEA Workshop in Indonesia

Date	WS title	Topics covered	WS report
2014.10.30-31	HCR WS, Bogor		No
2015.05.18-22	The Second Indonesian Harvest Strategy Workshop, Bogor		01 HS-2
2015.06.24	Catch Est WS		?
2015.11.16-20	Harvest Strategy WS Bali		02 HS Work plan 02 WS Report
2016.01.19-21	Consultation meeting		03 consultation meeting report 03 Consultancy TOR
2016.03.10-11	Port sampling audit WS report		04 WS report

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			04 WS Recommendations
2016.03.11	Logbook Awareness WS		05 WS report
2016.04.04-07	Technical HS WS		06 WS minutes
2016.06.15-17	Catch Est WS		07 WS report
2016.06.20 -	Review WS on CC, Cert, Supply		08 WS report
2016.09.17	Consultation meeting in Pohnpei		09 Consultation meeting report
2016.10.18 -	Consultation meeting on 2017 AWP and Budget		10 Consultation meeting report
2016.11.10	2nd Technical HS WS		?
2017.03.06-10	IDN Harvest Strategy WS	Stakeholders and Technical	?
2017.06.14-16 -	8th IDN Catch Est WS		15 WS report
2017.09.11-15	Kupang WS on Legal, sustainable fishing, EAMF and EAFM policy		11 WS report
2017.10.30-11.02	Bogor HS WS and Consultation meeting		12 Consultation report 12 4 <sup>th</sup> Technical WS report
2018.03.12-16	Bogor WPEA WS		13 WS report
2018.06.4-8	Bandung WS		14 WS report – w/o attach
2019.01.21-23	IDN Bogor Review WS		16 WS Report

**PROJECT OUTPUTS**

Tuna Fisheries Profile in Indonesia (FMAs 713-717) based on Port Sampling Program 2015-2018  
 Annual Tuna Catch Estimation based on Data Collected from Port Sampling in Indonesian Pacific Waters – three reports:  
 Port Sampling Supervision 2015-2018 (Bitung, Kendari, Sorong, Gorontalo and Majene)  
 Workshop Report for the Review of Port Sampling and Catch Estimates (2015-2018)

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The Path towards Sustainable Fisheries through One Data Implementation in the Ministry of Marine Affairs and Fisheries (MMAF), Republic of Indonesia

Indonesian Observer Programme in line with WCPFC Regional Observer Programme (ROP)

NTC Quarterly Report 2015 – 2018

Five Review Workshop Report on WPEA-SM Project Consultancies

2016.06.20-22, Bogor – certification, supply chain, climate change

2017.09.11-15, Kupang – sustainable fishing practices, legal review, EAFM,

2018.03.12-16, Bogor – supply chain, harvest strategy, climate change, EAFM, MCS activities

2018.06.4-8, Bandung – harvest strategy, stock assessment, climate change, EAFM, supply chain, legal review, sustainable fishing practices, one data policy, risk assessment, Consultative Forum preparation

2019.01.21-23, Bogor – Review of all consultancies

Indonesian Action to Combat Illegal, Unreported And Unregulated (IUU) Fishing in Tuna Fisheries

Workshop Report – Logbook Awareness Workshop

Capacity Building in Technical Aspects of the Work of the WCPFC (2015 – 2017)

Capacity Building In Data Management And Reporting (SPC's Tuna Data Workshop)

Adaptation To And Mitigation of Climate Change Impacts on Tuna Fisheries in Indonesia

CLIMATE CHANGE ADAPTATION AND MITIGATION FOR INDONESIA TUNA FISHERIES

GENERAL GUIDELINES ON ADAPTIVE MANAGEMENT AND MONITORING OF HIGHLY MIGRATORY STOCKS TO ADDRESS CLIMATE CHANGE

GUIDELINES FOR NATIONAL CAPACITY BUILDING, TRAINING OF NATIONAL TECHNICAL FISHERY STAFF, POLICY AND DECISION MAKERS IN INDONESIA

STAKEHOLDERS' WORKSHOP REPORTS ON HARVEST STRATEGY DEVELOPMENT (2014 – 2018)

TECHNICAL WORKSHOP REPORTS ON HARVEST STRATEGY DEVELOPMENT (2016 – 2017)

Review of National Fisheries Legislation in Line with WCPFC Conservation and Management Measures

SUSTAINABLE FISHING PRACTICES Based on the Conservation and Management Measures of the WCPFC

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SUPPLY CHAIN OF SKIPJACK TUNA (*Katsuwonus pelamis*) CAUGHT BY POLE & LINE BASED AT SIKKA REGENCY  
Report on the Indonesian Certification System on Tuna Fisheries

The process of stock assessment and fishery management in Indonesia  
RISK ASSESSMENT FOR TUNA FISHERIES AND ITS BYCATCH IN THE INDONESIA'S ARCHIPELAGIC WATERS

ECOSYSTEM APPROACH FOR FISHERIES MANAGEMENT (EAFM) APPLICATION ON THE SMALL SCALE TUNA FISHERIES IN SIKKA, NUSA  
TENGGARA TIMUR, INDONESIA

POLICY TEXT TO BE REFLECTED INTO A REVISED NATIONAL TUNA MANAGEMEN PLAN FOR 2020-2024

Trial observer programme on Pole-and-line in Sikka – report in Bahasa

POLICY TEXT TO BE REFLECTED INTO A REVISED NATIONAL TUNA MANAGEMEN PLAN FOR 2020-2024

## PHILIPPINES KNOWLDEGE OUTPUTS

### WPEA Workshop in Philippines

Date	WS title	Topics covered	WS report
21 - 22 MAY 2015 ILOILO CITY	SIXTH WPEA – PHILIPPINES NSAP TUNA DATA REVIEW WORKSHOP	Review of port sampling data (Species, Gear, Region)	WS REPORT (Refer to 1.1.2)
25-26 MAY 2015 ILOILO CITY	EIGHTH PHILIPPINES/WCPFC ANNUAL TUNA FISHERIES CATCH ESTIMATES REVIEW WORKSHOP	Review of annual catches by Species and Gear type (port sampling, observer, and other sources)	WS REPORT (Refer to 1.1.2)

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19 - 24 May 2016 General Santos City	SEVENTH WPEA – PHILIPPINES NSAP TUNA DATA REVIEW WORKSHOP	Review of port sampling data (Species, Gear, Region)	WS REPORT (Refer to 1.1.2)
23-24 May 2016 General Santos City	NINTH PHILIPPINES/WCPFC ANNUAL TUNA FISHERIES CATCH ESTIMATES REVIEW WORKSHOP	Review of annual catches by Species and Gear type (port sampling, observer, and other sources)	WS REPORT (Refer to 1.1.2)
2016.05.30-31, Davao City	Review WS on EAFM, policy review, supply chain and certification	EAFM, policy review, supply chain and certification	WS REPORT (Refer to 1.1.7)
2016.06.2-3, Davao City	Harvest Strategy Workshop	Harvest Strategy	WS REPORT (Refer to 1.1.7)
25-26 May 2017 Puerto Princesa, Palawan	EIGHTH WPEA – PHILIPPINES NSAP TUNA DATA REVIEW WORKSHOP	Review of port sampling data (Species, Gear, Region)	WS REPORT (Refer to 1.1.2)
29-30 May 2017 Puerto Princesa, Palawan	TENTHPHILIPPINES/WCPFC ANNUAL TUNA FISHERIES CATCH ESTIMATES REVIEW WORKSHOP	Review of annual catches by Species and Gear type (port sampling, observer, and other sources)	WS REPORT (Refer to 1.1.2)
2018.03.21-23, General Santos City	Review WS on harvest strategy, tuna supply chain, certification, EAFM and FADs	Harvest strategy, tuna supply chain, certification, EAFM and FADs	WS REPORT (Refer to 1.1.7)
24-25 May, 2018 General Luna City, Siargao	NINTH WPEA – PHILIPPINES NSAP TUNA DATA REVIEW WORKSHOP	Review of port sampling data (Species, Gear, Region)	WS REPORT (Refer to 1.1.2)
28-29 May 2018 General Luna City, Siargao	ELEVENTH PHILIPPINES/WCPFC ANNUAL TUNA FISHERIES CATCH ESTIMATES REVIEW WORKSHOP	Review of annual catches by Species and Gear type (port sampling, observer, and other sources)	WS REPORT (Refer to 1.1.2)
2018.06.26-29, Coron, Palawan	Review WS on harvest strategy, climate change, EAFM, MCS initiatives, risk assessment, tuna supply chain and certification	Harvest strategy, climate change, EAFM, MCS initiatives, risk assessment, tuna supply chain and certification	WS REPORT (Refer to 1.1.7)

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**Component 1: Regional governance for building regional and national adaptive capacity of Indonesia, Philippines and Vietnam in the management of highly migratory stocks**  
**Improved regional mechanisms for monitoring and assessment of highly migratory fish stocks and Illegal, Unreported and Unregulated (IUU) fishing in the POWP LME and the EAS LMEs**

OVERVIEW OF PORT SAMPLING ACTIVITIES IN THE PHILIPPINES “THE NATIONAL STOCK ASSESSMENT PROGRAM (NSAP)”  
 WPEA DATA REVIEW AND CATCH ESTIMATES WORKSHOP REPORTS

This document includes four-year WPEA NSAP Tuna Data Review Workshop reports and Philippine/WCPFC Tuna Catch Estimates Review Workshop Reports which occurred consecutively as follows:

- i) 2015.05.21-26, Iloilo City, Visayas
- ii) 2016.05.19-24, General Santos City
- iii) 2017.05.25-30, Puerto Princesa, Palawan
- iv) 2018.05.24-29, General Luna City, Siargao

- TRIP REPORT FOR THE SUPERVISION OF PORT SAMPLING
- TRIP REPORTS TO SPC’S TUNA DATA WORKSHOP (APRIL 2015 – 2018)
- NATIONAL TUNA COORDINATOR’S REPORT 2015 – 2019
- TRIP REPORT TO THE SCIENTIFIC COMMITTEE MEETINGS (2015 – 2018)
- REVIEW WORKSHOP REPORTS ON WPEA-SM PROJECT CONSULTANCIES (2016 – 2018)

**Enhanced capacity of technical staff, policy and decision makers in Indonesia, Philippines and Vietnam, to integrate climate change impacts on highly migratory stocks into management regimes**

1.2.1 GENERAL GUIDELINES ON ADAPTIVE MANAGEMENT AND MONITORING OF HIGHLY MIGRATORY FISH STOCKS TO ADDRESS CLIMATE CHANGE

**Climate change concerns mainstreamed into national fishery sector policy in Indonesia, Philippines and Vietnam**

APPLICATION OF ADAPTIVE MANAGEMENT GUIDELINES FOR CAPACITY-BUILDING OF NATIONAL TECHNICAL FISHERY STAFF, POLICY, AND DECISION MAKERS IN THE PHILIPPINES



CLIMATE CHANGE DISASTER RISK REDUCTION MANUAL OF OPERATIONS

**Component 2: Implementation of policy, institutional and fishery management reform**

**2.1 Enhanced compliance of existing legal instruments at national, regional and international levels**

2.1.1 OBSERVER TUNA DATA COLLECTION PROGRAM IN THE PHILIPPINES 2016

(Progress Report)

2.1.2 PHILIPPINE ACCOMPLISHMENT REPORT AND ACTIVITIES FOR 2015-2018

2.1.3 OBSERVER OPERATIONS MANUAL (PURSE SEINE AND RINGNET)

2.1.4 FINAL REPORT ON THE REVIEW OF MONITORING, CONTROL AND SURVEILLANCE (MCS) ACTIVITIES AND INITIATIVES FOR THE SUSTAINABLE MANAGEMENT OF HIGHLY MIGRATORY FISH STOCKS IN THE PHILIPPINES

2.1.5 REVIEW AND ANALYSIS ON THE OPERATION OF ANCHORED FADS IN PHILIPPINE WATERS AND HIGH SEAS POCKET 1 IN CONSONANCE WITH APPLICABLE WCPFC CMMS AND NATIONAL FADS MANAGEMENT POLICY

2.1.6 OPERATIONS GUIDE FOR FILIPINO FISHERMEN

2.1.7 HARVEST STRATEGY INITIATIVES IN THE PHILIPPINES

2.1.8 POLICY, LEGAL AND INSTITUTIONAL ARRANGEMENTS FOR PHILIPPINE COMPLIANCE WITH THE WCPF CONVENTION

**2.2 Adoption of market-based approaches to sustainable harvest of tunas**

2.2.1 GETTING MORE OUT OF TUNA (CHALLENGES AND OPPORTUNITIES): A VALUE CHAIN ANALYSIS OF TUNA LANDED AT GENERAL SANTOS PORT

2.2.2 FISHERIES IMPROVEMENT PROGRAM: A MANUAL FOR TOWARDS SUSTAINABLE FISHERIES FOR THE PHILIPPINES

2.2.3 APPLICATION OF MARKET-BASED APPROACHES TO SUSTAINABLE HARVESTING OF OCEANIC TUNAS

**2.3 Reduced uncertainty in stock assessment of POWP LME and EAS LMEs highly migratory fish stocks, and improved understanding of associated ecosystems and their biodiversity**

2.3.1 RISK ASSESSMENT FOR SELECTED BYCATCH AND ETP SPECIES FROM SELECTED TUNA FISHERIES IN THE PHILIPPINES

**2.4 Ecosystem Approach to Fisheries Management (EAFM) guiding sustainable harvest of the oceanic tuna stock and reduced by-catch of sea turtles, sharks and seabirds**

2.4.1 ALIGNING THE NATIONAL TUNA MANAGEMENT PLAN OF THE PHILIPPINES IN THE CONTEXT OF ECOSYSTEM APPROACH TO FISHERIES MANAGEMENT (EAFM) - *PRIOR STUDY*

2.4.2 APPROACHES TO EAFM FOR TUNA MANAGEMENT IN THE PHILIPPINES

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2.4.3 APPLYING ECOSYSTEMS APPROACH TO FISHERIES MANAGEMENT (EAFM) TO TUNA FISHERIES (A CASE STUDY)

2.4.4 NATIONAL TUNA MANAGEMENT PLAN (*Revised 2018*)

**Component 3: Knowledge sharing on highly migratory fish stocks**

**3.1 Regional knowledge platform established on POWP LME and EAS LMEs shared tuna stocks and associated ecosystems**

3.1.1 TRIP REPORT TO 9<sup>TH</sup> GEF INTERNATIONAL WATERS CONFERENCE (IWC9)

**THREE COUNTRY WORKSHOP REPORTS:**

(3.1.2.1) 2015.11.3-6, Hai Phong, Viet Nam, Topic: 1) Tuna stock assessment in the EAS region and 2) Introduction to harvest strategy

(3.1.2.2) 2016.10.24-26, Cebu, Philippines, Topic: 1) Harvest Strategy and 2) Climate Change

(3.1.2.3) 2017.05.2-4, Yogyakarta, Indonesia, Topic: 1) Ecosystem approach to fisheries management and 2) Sub-regional cooperation and collaboration

(3.1.2.4) 2018.10.23-25, Ho Chi Minh City, Viet Nam, Topic: 1) Risk assessment and 2) Development of Consultative Forum agenda

(3.1.2.5) 2019.01.28-30, Aklan, Philippines, Consultative Forum for the establishment of a monitoring mechanism to combat IUU fishing

(3.1.2.6) 2019.04.23-26, Nha Trang, Viet Nam, Topic: 1) Sub-regional stock assessment and 2) Compliance to WCPFC requirements

**ANNEX 17: AUDIT TRAIL**

Comments on draft TE report for PIMS 4753 (Indonesia, Philippines, Viet Nam)			Audit Trail Consultant Response
Page #	Section	Comments	
iii-iv	Table of Contents	Update the page numbers for the list of Annexes	Done
i	Project Information Table	Complete the “at Final (USD)” column for project financing. (It looks like the actual expenditures have not yet been provided to the consultant.)	Country Office to include

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1	1.2 Scope and Methodology	Were the principles of gender equality and the empowerment of women integrated in the TE's scope and indicators, as relevant? It would be useful to mention in this section any gender responsive tools and methodologies that were used.	Done
17-18	3.1.3 Results Framework	Although gender is discussed in another section of the report, it would be good to address the gender responsiveness of the results framework in this section.	Done
23-24	3.2.1 Management and Oversight Arrangements	<p>Include an assessment of UNDP's support to the project. Consider addressing the following points, as relevant:</p> <ul style="list-style-type: none"> <li>Extent to which UNDP delivered effectively on activities related to the project's identification, concept preparation, appraisal, prodoc preparation, start-up, oversight, supervision, completion and evaluation;</li> <li>Whether there was an appropriate focus on results;</li> <li>The adequacy of UNDP support to the Implementing Partner and project team</li> <li>Quality and timeliness of technical support to the Executing Agency and project team</li> <li>Candor and realism in annual reporting</li> <li>Quality of risk management</li> <li>Responsiveness of the managing parties to significant implementation problems (if any)</li> <li>Any salient issues regarding project duration, for instance to note project delays, and how they may have affected project outcomes and sustainability</li> <li>Adequate oversight of the management of environmental and social risks as identified through the UNDP SESP.</li> </ul>	Done

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25-26	3.2.3. Finance and Co-financing	<p>Complete this section with actual expenditures for grant and co-financing and discuss reasons behind any variances between planned and actual expenditures.</p> <p>Discuss how any additional co-financing leveraged by the project contributed to the achievement of planned outcomes.</p>	Done
26-27	3.2.4 Monitoring and Evaluation Systems	<p>-Was the GEF OFP kept informed of M&amp;E activities?</p> <p>-Were PIR self-evaluation ratings consistent with MTR and TE findings. If not, were these discrepancies identified by the project steering committee/project board and addressed?</p>	Done
30-31	3.2.9 Mainstreaming	<p>The mainstreaming section is intended to cover how the project mainstreamed other UNDP cross-cutting issues and priorities (including gender). Consider addressing the following points:</p> <p>For Gender:  Review the project's Gender Marker rating assigned at the project document as well as the current Gender Marker rating (they may be the same or different) and determine whether the rating is valid based on the findings of the TE. The rationale for the selection of the Gender Marker rating should be clear in the project document. The rationale for revising the Gender Marker rating based on the TE findings should be explained, if applicable.  Were there any gender results in the 'Gender' section in the annual PIRs that could be used in this TE?</p>	Done

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		<p>For other mainstreaming issues, consider looking at the following, as appropriate:</p> <ul style="list-style-type: none"> <li>☐ positive or negative effects of the project on local populations (e.g. income generation/job creation, improved natural resource management arrangements with local groups, improvement in policy frameworks for resource allocation and distribution, regeneration of natural resources for long term sustainability).</li> <li>☐ extent to which the project objectives conform to agreed priorities in the UNDP country programme document (CPD) and other country programme documents.</li> <li>☐ whether project outcomes have contributed to better preparations to cope with disasters or mitigate risk (if applicable)</li> <li>☐ extent to which poor, indigenous, persons with disabilities, women and other disadvantaged or marginalized groups benefited from the project</li> <li>☐ the poverty-environment nexus (how the environmental conservation activities of the project contributed to poverty reduction)</li> </ul>	
<i>Suggested section within 'Results'</i>	<i>Suggested section within 'Results'</i>	Under 'Project Design and Formulation' there is already a section on the relevance of this project to national plans and priorities. It would also be useful to include a section on Relevance under 'Results'. This section would discuss how the project was relevant to UNDP and GEF programming, and also how the project is linked to SDGs targets/indicators.	
82-86	8. Conclusions, Lessons and Recommendations	Include aspects of gender equality in the conclusions and recommendations.	Done

## ANNEXES

Annexes	Annexes	Add the following to the list of Annexes in the Table of Contents:  <i>-Annexed in a separate file: TE Audit Trail</i>	Done
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