PROGRAM FRAMEWORK DOCUMENT (PFD)

TYPE OF TRUST FUND: GEF Trust Fund
TYPE OF AGENCY:Program Coordination Agency

PART I: PROGRAM IDENTIFICATION

Program Title:	Global sustainable fisheries management and biodiversity conservation in the Areas Beyond National Jurisdiction (ABNJ)		
Country(ies):	Global	GEF Program ID:[1]	4580
Lead GEF Agency:	FAO	GEF Agency Program ID:	614523
Other GEF Agenc(ies):	WB UNEP (select)	Submission Date:	2011-09-09
Other Executing Partner(s):	Conservation International, Global Oceans Forum, IUCN and WWF	Program Duration(Months)	60
GEF Focal Area (s):	MULTI FOCAL AREA	Agency Fee ($):	4,087,156

A. FOCAL AREA STRATEGY FRAMEWORK[2]:

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Type of Trust Fund	Indicative Financing ($)	Indicative Cofinancing ($)
IW-4 (select)	4.1: ABNJ (including deep-sea fisheries, oceans areas, and seamounts) under sustainable management and protection (including MPAs from BD area)	4.1: Demonstrations for management measures in ABNJ, (including deep-sea fisheries, ocean areas) with institutions. ☐	GEF	13,590,957	73,033,463
IW-4 (select)	4.2: Plans and institutional frameworks for pilot cases of ABNJ have catalytic effect on global discussions☐	4.2: Demonstrations for management measures in ABNJ, (including deep-sea fisheries, ocean areas) with institutions. ☐	GEF	12,537,315	65,033,463
(select) BD-1	1.1 Improved management effectiveness of existing and new protected areas	1.1 New protected areas (at least two) and coverage (at least 4,300 million ha) of unprotected ecosystems	GEF	6,026,631	22,278,463
(select) BD-2	2.1: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation 2.2: Measures to conserve and sustainably use biodiversity incorporated in policy and regulatory frameworks	2.1 National and sub-national sea-use plans (at least four) that incorporate biodiversity and ecosystem services valuation 2.2. Policies and regulatory frameworks (at least one) for production sectors	GEF	11,392,216	54,002,858
(select) (select)			(Select)		
(select) (select)			(Select)		
(select) (select)			(Select)		
(select) (select)			(Select)		
(select) (select)			(Select)		
(select) (select)			(Select)		
(select) (select)	Others		(Select)		
			Subtotal:	43,547,119	214,348,247
			Program Management Cost[3]	1,865,725	8,392,753

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[1]   Program ID number will be assigned by GEFSEC.
[2]   Refer to GEF-5 Template Reference Guide posted on the GEF website for description of the FA Results Framework when filling in Table A.

B. PROGRAM RESULT FRAMEWORK

Program Goal: To promote efficient and sustainable management of fisheries resources and biodiversity conservation in the ABNJ, in accordance with the global targets agreed in international forums.						
Program Component	Grant Type	Expected Outcomes	Expected Outputs	Type of Trust Fund	Indicative Financing ($)	Indicative Cofinancing ($)
Project 1. Sustainable management of tuna fisheries and biodiversity conservation in the ABNJ	TA	Efficiency and sustainability in tuna production and biodiversity conservation in ABNJ is substantially enhanced, through the systematic application of an ecosystem approach for: (i) supporting the use of efficient and sustainable fisheries management as well as fishing practices by the stakeholders of the tuna resources, (ii) reducing illegal, unreported and unregulated [IUU] fishing, and (iii) reducing bycatch and other adverse ecosystem impacts on biodiversity.	1.1 Sustainable management of tuna fisheries, in accordance with an ecosystem approach, is applied throughout the five Regional Fisheries Management Organizations for tuna (t-RFMOs).` 1.2 A pilot Rights-Based Management (RBM) system is implemented in at least one t-RFMO. 1.3 Monitoring, Control and Surveillance (MCS) systems are strengthened and harmonized over all five t-RFMOs. 1.4 The number of illegal vessels operating in one pilot t-RFMO is reduced by 20% from the baseline at project start. 1.5 Bycatch mitigation best technologies and practices are adopted by at least 40% of the tuna vessels operating in the areas under jurisdiction of at least two t-RFMOs. 1.6 A project M&E system is fully operational.	GEF	26,522,936	143,900,000
Project 2. Sustainable fisheries management and biodiversity conservation of deep-sea living resources and ecosystems in the ABNJ	TA	Efficiency and sustainability in the use of deep-sea living resources and biodiversity conservation in the ABNJ is substantially enhanced, through the systematic application of an ecosystem	2.1 Efficient tools and practices are developed and applied to improve ABNJ deep-sea fisheries management and biodiversity conservation, in full compliance with an ecosystem approach. 2.2 Decision-making by	GEF	7,367,235	27,491,429

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[3] This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources.

| | | approach for: i) improving sustainable management practices for deep-sea fisheries, taking into account the impacts on related ecosystems, and ii) protecting VMEs and EBSAs. | competent authorities (RFMO/As and member countries, relevant CBD countries, Regional Seas Organizations, flag and port states, as appropriate) is substantially improved; also latest policy and scientific tools are applied in planning processes.

2.3 At least half the competent authorities, plus part of the fishing industry, are fully capable of applying identification criteria for VMEs and EBSAs as well as developing management strategies for ABNJ.

2.4 Existing relevant information/data are collected and used in management of deep-sea fisheries and protection of related ecosystems, including VMEs and EBSAs, within the two Southern Indian Ocean and Southeast Atlantic regions.

2.5 Deep-sea fisheries management and biodiversity conservation practices, including protection of VMEs and EBSAs, are substantially improved in the two regions covering an area of 4,300 million hectares of seascape.

2.6 A project M&E system is fully operational, allowing for close monitoring and evaluation of project activities, outcomes and impacts. | | | |
| | | Efficient area-based planning tools and methodologies are tested and made available to Regional Seas Programmes and Regional Fishery Management | 2.7 Area-based planning tools adapted and further developed, addressing deep sea ecosystems in ABNJ and connected EEZs, benefiting from experiences from other areas such as the Northeast Atlantic and the | | | |

		Organisations/ Arrangements, for development of regional management plans and policies. [UNEP]	Mediterranean. [UNEP] 2.8 Testing of area-based planning methodologies in selected regions; preliminarily identified as Southeast Pacific within the framework of CPPS, and Western Indian Ocean within the framework of Nairobi Convention. [UNEP]			
Project 3. Oceans Partnership Fund	Inv	Protection of ocean goods and services is enhanced through improved management of marine fisheries and biodiversity	3.1 Marine hotspots identified by Conservation International. 3.2 Marine profiles, conservation and business plans, with investment niches clearly defined, are prepared for five priority seascapes. 3.3 Fifteen grants provided to civil society or private sector to improve fisheries management in priority seascapes. 3.4 Five grants awarded to private sector, civil society and communities, to improve management effectiveness of marine protected areas in protected seascapes. 3.5 Website for hotspots, seascapes, improved biodiversity conservation and fisheries management actions, lessons and forum for replicating and scaling-up opportunities is established .	GEF	8,743,312	38,875,000
Project 4. Strengthening Global Capacity to Effectively Manage ABNJ	TA	Global and regional coordination , including exchange of information, on marine ABNJ, to ensure sustainable fisheries and conservation of globally significant biodiversity in the oceans, are fully effective.	4.1 Sustainable fisheries and biodiversity conservation in the ABNJ are considerably enhanced through cross-sectoral policy coordination, leading to improved implementation of ecosystem approaches, especially priority VMEs	GEF	913,636	4,081,818

			and EBSAs. 4.2 At least five targeted ABNJ communities of practice are established (strategic environmental assessment, spatial planning, fisheries, climate change and biodiversity) and linked as part of a global network of practitioners, and at least two major cross-sectoral multi-stakeholders dialogues are organized. 4.3 Public understanding, particularly by high-level decision-makers, of the ecosystem threats and services related to ABNJ, are susbtantially improved. 4.5 One percent of IW budget is allocated to IW:Learn activities, including IW:Learn project websites, experience notes, participation in IW conferences and completion of IW tracking tool.			
	(select)			(Select)		
	(select)			(Select)		
	(select)			(Select)		
	(select)			(Select)		
	(select)			(Select)		
	(select)			(Select)		
				Subtotal:	43,547,119	214,348,247
				Program Management Cost[4]	1,865,725	8,392,753
				Total Program Costs	45,412,844	222,741,000

C. INDICATIVE CO-FINANCING FOR THE PROGRAM BY SOURCE AND BY NAME IF AVAILABLE, ($)

Sources of Co-financing	Name of Co-financier (if known)	Type of Cofinancing	Amount ($)
GEF Agency	ADB ($0.1M), FAO ($9.6M), World Bank ($10M)	Grant	19,700,000
GEF Agency	FAO ($34.35M), UNEP ($4M)	In-kind	38,350,000
Foundation	CI ($10M), OPFund Partners ($20M)	Grant	30,000,000
Foundation	IUCN	In-kind	3,316,000
Foundation	ZSL and BLI ($0.45M), FFEM ($1.5M), WWF ($15M), ISSF/industry/private sector ($10M), Birdlife International ($0.5M)	Unknown at this stage	27,450,000

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[4] Same as footnote #3.

5

National Government	NOAA($7.5M), French Marine Protected Area Agency, KORDI, Canada Dept of Fisheries and Oceans (Aggregated $0.55M)	Grant	8,050,000
National Government	NOAA	In-kind	7,200,000
Others	GOF ($0.2M), Nausica, Sea Orbiter, UNESCO, IOC, ISA, FFEM	Grant	810000
Others	GOF ($0.5M), UNESCO, IOC, ISA, OSPAR, Pacific Islands Forum Secreatariat	In-kind	1,365,000
Others	IOTC ($8M), AITTC ($20M), CCSBT ($6M), ICCAT ($15M), WCPFC ($22M), Deep Sea RFMO's ($1.3M), IOC/FIN/CIEPA/IOTOA ($12M), Fishing Industry (SIOFA, ICFA etc.) ($2M)	Unknown at this stage	86,500,000
Total Cofinancing			222,741,000

D. GEF/LDCF/SCCF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY[1]

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Program Amount (a)	Agency Fee (b)[2]	Total c=a+b
FAO	GEF TF	International Waters	Global	24,699,386	2,222,944	26,922,330
FAO	GEF TF	Biodiversity	Global	9,024,146	812,173	9,836,319
UNEP	GEF TF	Biodiversity	Global	2,515,000	226,350	2,741,350
WB	GEF TF	International Waters	Global	2,748,795	247,392	2,996,187
WB	GEF TF	Biodiversity	Global	6,425,517	578,297	7,003,814
(select)	(select)	(select)	(See Annex B for details of GEF financing)			0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total Grant Resources				45,412,844	4,087,156	49,500,000

[1] In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table
[2] Please indicate fees related to this project.

6

PART II: PROGRAMATIC JUSTIFICATION
A. GOAL OF THE PROGRAM:

The marine Areas Beyond National Jurisdiction (ABNJ), commonly called the High Seas, are those areas of ocean for which no one nation has the specific or sole responsibility for management. They include the water column of the high seas and the seabed falling within. These areas make up 40 percent of the surface of our planet, comprising 64% of the surface of the oceans and nearly 95% of its volume. Achieving sustainable management of the fisheries resources and biodiversity conservation in the ABNJ is extremely difficult given the complexity of the ecosystems, including their great depths and distances from the coasts, as well as the large number and wide diversity of all the public and private actors involved. Therefore, only limited progress has been made so far in meeting the already agreed global targets from international forums. For example, there has been very little application of an ecosystem approach across the ABNJ despite the target from the 2002 Johannesburg World Summit on Sustainable Development (WSSD) which reads " To encourage the application by 2010 of the ecosystem approach to ensure sustainable utilization of the ocean. " Similarly, notwithstanding the healthy state of some species targeted by fisheries, there is considerable doubt that the intention underlying the target of " Maintaining or restoring stocks to levels that can produce the maximum sustainable yield where possible and not later than 2015 " will be fully realized. Greater progress is also required on the need to "encourage relevant Regional Fisheries Management Organization and Arrangements (RFMO/As) to give due consideration to the rights, duties and interests of costal States and the special requirements of developing States.." Also, the Millennium Development Report of 2010 indicates that " The world has missed the 2010 target for biodiversity conservation, with potentially grave consequences. "

In its tenth meeting, the Conference of the Parties (CoP10) of the Convention on Biological Diversity reviewed progress in achieving global targets, in particular its own 2010 biodiversity target and concluded that this too has not been met in full. In response, CoP10 adopted "Decision X/2 - Strategic Plan for Biodiversity 2011-2020 ", including the Annex " Strategic plan for biodiversity 2011-2020 and the Aichi Biodiversity Targets." Particularly relevant to the ABNJ Program is Goal B. " To reduce the direct pressures on biodiversity and promote sustainable use" and especially Target 6: "By 2020 all fish and invertebrate stocks and aquatic plants are managed and harvested sustainably, legally and applying ecosystem based approaches, so that overfishing is avoided, recovery plans and measures are in place for all depleted species, fisheries have no significant adverse impacts on threatened species and vulnerable ecosystems and the impacts of fisheries on stocks, species and ecosystems are within safe ecological limits.". Data submitted to FAO by fishing nations indicate that catches taken in the ABNJ are made up of more than 200 species and species groups of highly migratory, oceanic and deep-water fish and invertebrate species. Total catches of these species increased from about 1.3 million tons, or 8% of the global marine catch, in 1950 to an average of over 10 million tons per year, equal to 12% of the global marine catch, between 2000 and 2009. Urgent action is required to ensure that the expanded fisheries are conducted in a sustainable manner. Effective management in ABNJ is seen as a fundamental need recognized in the GEF-5 focal area strategy which calls for enhanced capacity of management institutions to deliver sustainable fisheries together with biodiversity conservation. Strengthening effective fisheries management linked to monitoring control and surveillance (MCS) systems designed to monitor and enforce compliance, is seen as the key oceans governance challenge which the program will address.

The ABNJ are also subjected to impacts from a wide range of other sectors and human activities but it was decided at the GEF/FAO Program Design Meeting in March to focus on tuna and deep-sea fisheries, in parallel with the conservation of biodiversity, in particular the protection of vulnerable deep ecosystems and species. This is because fishing – more specifically the actual over-capacity and the resulting over-fishing – is seen as the major threat to the existing ecosystems and consequently to biodiversity conservation. There is therefore a need to focus on achievable results in a relatively short term. The Program is meant to build on existing efforts in the public and private sectors (at regional as well as national levels) for achieving the global targets and will concentrate its activities on the fields of intervention decided at the March meeting. Given the relatively modest institutional capability of most public actors in the ABNJ for now, the Program will follow a prudent gradual approach; several of the activities will be carried out on a pilot basis and in a number of selected areas only. The Program's goal will be " to promote efficient and sustainable management of fisheries resources and biodiversity conservation in the ABNJ, in accordance with

7

the global targets agreed in international forums ". This will be accomplished through mutually-reinforcing interventions in four projects :

Project 1: **Sustainable management of tuna fisheries and biodiversity conservation in the ABNJ,**
Project 2: **Sustainable fisheries management and biodiversity conservation of deep-sea ecosystems in the ABNJ,**
Project 3: **Ocean Partnership Fund, and**
Project 4: **Strengthening Global Capacity to Effectively Manage ABNJ.**

In terms of the transformational changes expected, Project 1 will result in a significant progression from the use of fisheries management systems and fishing practices that do not fully take into account the status of existing stocks as well as the impacts on ecosystems, to the adoption of management systems based on clear and fair fishing rights within the framework of a rigorous ecosystem approach, thereby ensuring efficient and sustainable fishing over the years. On the other hand, Project 2 will support a significant improvement in the capability of the competent authorities and fishing industry for applying best practices in deep-sea fisheries management and biodiversity conservation, including better protection of Vulnerable Marine Ecosystems (VMEs) and Ecologically or Biologically Significant Marine Areas (EBSAs). Project 3 will sponsor the development, testing and implementation of various types of seascape protection leading to sustainable conservation, in addition to a move away from the " race to fish " towards efficiency, conservation and less destructive exploitation through the demonstration of fisheries management effectiveness in five priority seascapes. Project 4 will remove the barriers to efficient international and cross-sectoral sharing of practical knowledge and experiences for fisheries and ecosystems in the ABNJ through providing the necessary information systems and networks as well as facilitating meaningful dialogue and better coordination.

B. DESCRIPTION OF THE CONSISTENCY OF THE PROGRAM WITH:

B.1.1 The GEF/LDCF/SCCF focal area strategies:

The Program will support the implementation of the **IW Objective 4, Outcome 4.1: ABNJ (including deep-sea fisheries, oceans areas and seamounts) under sustainable management and protection (including MPAs from BD area)**, mainly through: (i) the strengthening of the capability of decision-makers, particularly from developing countries, to participate in global/regional processes for the management and coordination of activities in the ABNJ, (ii) the improvement and broadening of sustainable tuna fisheries management, in accordance with an ecosystem approach, throughout the five t-RFMOs, (iii) the demonstration of improved tools and practices for sustainable fisheries management and biodiversity conservation in two pilot cases of the ABNJ deep-seas, (iv) the preparation of marine profiles and business plans, with investment niches clearly defined, for five priority seascapes, and (v) the provision of 15 grants to civil society or the private sector to improve fisheries management in priority seascapes.

The Program will also support the implementation of the **IW Objective 4, Outcome 4.2: Plans and institutional frameworks for pilot cases of ABNJ have catalytic effect on global discussions,** mainly through: (i) the improved use of the latest policy and scientific tools in the decision-making and planning processes of the competent authorities [RFMO/As and member countries, CBD countries, Regional Seas Programs, flag and port states {as appropriate}], (ii) the implementation of a pilot RBM system in at least one t-RFMO, (iii) the reduction by 20% from the baseline at project start, in the number of illegal vessels operating in one pilot t-RFMO, and (iv) the development of plans and strengthening of institutional frameworks in two pilot cases covering XXha of ABNJ seascape.

Furthermore, the Program will contribute to the implementation of the **BD Objective 1, Outcome 1.1: Improved management effectiveness of existing and new protected areas**, mainly through: (i) the adoption of bycatch mitigation best technologies and practices by at least 40% of the tuna vessels operating in the areas under the jurisdiction of at least two t-RFMOs, (ii) the substantial improvement of deep-sea fisheries management and biodiversity conservation practices, including VMEs and EBSAs, in the two Southern Indian Ocean and Southeast Atlantic regions, and (iii) the awarding of five grants to the civil society, communities or the public sector to improve the management effectiveness of marine protected areas in priority seascapes.

The Program will also contribute to the implementation of the **BD Objective 2, Outcome 2.1: Increase in**

8

sustainably managed landscapes and seascapes that integrate biodiversity conservation, mainly through the output that at least half the competent authorities [RFMO/As and member countries, CBD countries, RSOs, flag and port states {as appropriate}] are fully capable of applying identification criteria for VMEs and EBSAs, as well as developing management strategies for the ABNJ. Also, through the preparation and implementation of marine profiles and business plans in five priority seascapes, biodiversity conservation considerations and measurable outcomes will be incorporated in the sustainable management of the seascapes.

In addition, the Program will contribute to the implementation of the **BD Objective 2, Outcome 2.2**: Measures to conserve and sustainably use biodiversity incorporated in policy and regulatory frameworks, mainly through: (i) the development of efficient tools and practices for improving ABNJ deep-sea fisheries management and biodiversity conservation, (ii) the enhancement of sustainable fisheries and biodiversity conservation through cross-sectoral policy coordination, and (iii) the showcasing of lessons learned and validated best practice approaches through multimedia tools and focused advocacy work. The latter will facilitate consideration and adoption of relevant policy and managerial frameworks in other areas and regions.

Finally, the Program meets the objectives of the **Biodiversity Focal Area Set-Aside** to address supra-national strategic priorities and support priorities identified by the Conference of the Parties (CoP) of the Convention on Biological Diversity (CBD), as it will contribute to meeting the Aichi Biodiversity Targets adopted by CoP10 for 2020.

B.1.2. For programs funded from LDCF/SCCF: the LDCF/SCCF eligibility criteria and priorities:
N/A

B.2. National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NIPs, PRSPs, NPFE, etc.:

The present Program will help the States better fulfill their obligations under " The United Nations Convention on the Law of the Sea (UNCLOS) ", in particular Articles 116 to 119 on conservation and management of the living resources of the high seas and other relevant articles. The Program will also address global calls to reduce as much as possible the Illegal, Unreported and Unregulated (IUU) fishing, as specifically requested in various fisheries instruments such as the " Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas (the Compliance Agreement) ", the " Agreement on Port State Measures to Prevent, Deter and Eliminate IUU fishing (Port State Measures Agreement) ", the " Code of Conduct for Responsible Fisheries (the Code) " and the " International Plan of Action to Prevent, Deter and Eliminate IUU Fishing (IPOA-IUU) ".

The Program also responds to guidance from the Convention on Biological Diversity (CBD) concerning EBSAs beyond national jurisdiction. In its eighth meeting, the CoP expressed its deep concern about the serious threats posed by destructive fishing practices and IUU fishing to marine biodiversity beyond national jurisdiction, in particular to seamounts, cold water coral reefs and hydrothermal vents. In subsequent meetings, scientific criteria for identifying EBSAs in need of protection were adopted and all relevant governmental and non-governmental organizations were encouraged to cooperate collectively and on a regional or sub-regional basis, to identify and adopt appropriate measures for conservation and sustainable use in relation to EBSAs. The CoP invited GEF and other donors to extend support for capacity-building to developing countries in this regard.

In addition, the Program supports the achievement of the Aichi Biodiversity Targets, as adopted by the CoP in the Strategic Plan for Biodiversity 2011-2020, in particular by 2020: Target 6 – all fish and invertebrate stocks and aquatic plants are managed and harvested sustainably, legally and applying ecosystem-based approaches, so that overfishing is avoided, recovery plans and measures are in place for all depleted species, fisheries have no significant adverse impacts on threatened species and vulnerable ecosystems and the impacts of fisheries on stocks, species and ecosystems are within safe ecological limits; and Target 11 – at least 17% of terrestrial and inland water areas, and 10% of coastal and marine areas, especially those of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and

9

seascapes.

C. Rationale of the program and description of strategic approach (including description of current barriers to achieve the stated objectives):

For many, the ABNJ have become the iconic last frontier for the expansion of marine fisheries. Many of the world's most valuable fisheries and marine ecosystems are found in or functionally connected with these areas. For instance, highly migratory tuna and tuna-like species constitute a substantial part of the ABNJ resources and can also be found within the adjacent Exclusive Economic Zones (EEZs). Moreover, even fishing relatively stable stocks in the ABNJ can have detrimental effects and even endanger some bycatch species (including sharks as target species). Furthermore, deep-sea fishing is developing extremely fast and, without the adoption of sustainable management and practices, there is the distinct danger that the most vulnerable species in the ecosystems (such as corals and hydroids) will eventually be threatened. In addition, climate change is gradually modifying marine habitats and possibly species migration patterns. The impacts on the ecosystems and biodiversity in the ABNJ need to be monitored very closely for their negative aspects.

Global environmental governance of the ABNJ therefore poses serious and distinctive challenges. The high-value fisheries and associated biodiversity in the ABNJ are now subject to mounting threats such as overcapacity, IUU fishing, increased hardship for fishers, foregone wealth, threatened food supplies, inappropriate fishing practices and inadequate protection of the related ecosystems (see baseline). These problems reflect and are outcomes of a governance gap which this Program will address. Amongst other actions, this will include increased focus on reforms based on the need to define property and use rights systems for sustainable and economically rational fisheries, given the increasing evidence based for their effectiveness when properly constituted. For instance, in some of the fisheries targeting deep-sea species, initial high catch rates have decreased rapidly as the low productivity of the species did not allow for sustainable harvesting at these levels. Without urgent action, the currently unsustainable management of many ABNJ fisheries and the lack of effective protection of the related ecosystems, will have increasingly severe negative impacts on the marine biodiversity as well as on the socio-economic wellbeing and food security situation of the several millions of people directly and indirectly involved. The barriers to reversing this adverse trend are interrelated and include :

- The large number and wide diversity of all the public and private actors involved, from the numerous national governments and flag/port states involved in fishing to the regional organizations with responsibilities for fisheries or biodiversity conservation, the private industry and NGOs,
- Inadequate collective/coordinated MCS of the ABNJ resources, due to a range of factors including lack of political will, insufficient institutional capacity and limited scientific knowledge,
- Lack of incentives for the private sector to exploit the fisheries stocks on a durable basis and in the interest of future generations,
- Particularly in the case of deep-sea fishing, the great depths and distances from the coasts as well as the frequently unclear jurisdiction and user rights in the ABNJ deep-seas.

The lack of progress to date on meeting the global targets agreed in international forums cannot be blamed on uncertainties about how to proceed. Indeed, there have been significant developments over the years in terms of improved ecosystem-based methodologies, tools and practices. For instance, a number of RFMO/As are already experimenting with Rights-Based Management (RBM) systems. These will be an essential feature of any ecosystem approach and have proven to be successful mechanisms for curbing overcapacity in several national fisheries. In addition, satellite-based vessel monitoring systems (VMS) are in use by all five RFMOs responsible for tuna fisheries (t-RFMOs) as well as most of their member countries. VMS is typically used to report vessel positions for compliance purposes in fighting IUU fishing and has been a great advantage. As useful as this is, it does not yet tap the full potential of VMS data and needs to be scaled up. Another important development is the adoption in 2008 by the CBD/CoP of selection criteria for EBSAs as well as guidance for the development of representative networks of marine protected areas. The Program Result Framework in Part I of this document includes the developments that are possible to achieve in the near future. Without the Program, some of these developments would perhaps materialize but much more slowly and in a more piecemeal and less focused manner, with far more limited prospects of useful uptake and impact. There would be considerable additional risks to biodiversity conservation as a result of

such a slower, fragmented approach.

D. Discuss the added value of the program vis-à-vis a project approach (including <u>cost effectiveness</u>):

All the threats and barriers discussed previously are of a very different nature but interrelated and cumulative. Each challenge may require a unique response but progress will only be made if all the key challenges are simultaneously addressed and the individual responses well integrated. Meaningful achievements can only be possible using a comprehensive and integrated programmatic approach. This approach must straddle both the GEF International Waters and Biodiversity focal areas, because these two areas interact directly in the ABNJ. For instance, long-term progress in sustainable fisheries management is not achievable without progress in biodiversity conservation. Furthermore, a programmatic approach will definitely be more cost-effective than different self-standing projects because it will better ensure the overall close coordination necessary for optimizing all the possible synergies and beneficial impacts of the various activities across the broad areas of intervention – for example: between tuna and deep-sea fisheries as well as with the self-standing partnership fund in support of these two types of fisheries.

E. Describe the baseline program and the problem that it seeks to address:

To best appreciate the fisheries management and conservation challenges in the ABNJ, it is useful to note the vastness of the physical environment where fishing takes place. For instance, tuna fisheries cover approximately 177 million km^3 or over 35% of the Earth's surface. The tunas are now among the most commercially valuable marine resources on the planet; more than 85 countries harvest them in commercial quantities and their yearly exports represent around 8% of the internationally traded seafood. The value of landed catches of the most important tunas is estimated at over US$ 10 billion annually. Furthermore, since tuna stocks are also found in the connected EEZs, poorly managed ABNJ fisheries can seriously undermine the viability of coastal fisheries on which over 540 million people rely on for jobs and food security.

Deep-sea fisheries also constitute a valuable part of ABNJ; they are conducted at depths below 200 meters, on continental slopes or isolated oceanic topographic structures such as seamounts, ridge systems and banks. FAO estimated that the total global catch in 2006 of approximately 60 deep-sea species was around 250,000 tons or more than US$ 400 million and involved at least 27 flag states. Also, from a biodiversity viewpoint, deep-sea fisheries are unique; the seamounts and the water column above them serve as habitats for many species of fish, marine mammals and benthic organisms.

Mainly because of deficient overall MCS in the ABNJ, it is estimated that losses due to IUU could be worth tens of billions of dollars annually. In addition, the fisheries practices currently in use in many cases do not take fully into account the sustainable levels of the stocks and the vulnerability of the ecosystems. Such practices tend to encourage competition among fishers for finding the largest catches available. Combined with IUU fishing, this leads to significant and unpredictable overexploitation. As a result, it is estimated that about 35% of the tuna stocks are overexploited or depleted. Moreover, there is evidence of the negative impacts of these practices on bycatch species such as sharks, marine mammals, sea turtles and seabirds. They contribute substantially to the risks faced by several internationally protected bycatch species.

In the case of deep-sea fisheries, the great depths and distances from the coasts at which marine living resources are caught create particular problems. Deep-sea fishing has developed at a much faster rate than the scientific understanding of the ecosystems involved. There are now growing concerns in the international community about these ecosystems, particularly the possible damaging impact of bottom-contact fishing methods on the most vulnerable species. Harmful effects have already been documented on communities such as coldwater corals and hydroids, some sponge dominated communities and seep or vent communities composed of unique invertebrates. Furthermore, there is still very limited knowledge on the existing VMEs and EBSAs, particularly concerning the proper methodologies for identifying and protecting them on a sustainable basis. As a result, the conservation of the ecosystems and the habitats within – and consequently of their biodiversity – is being threatened.

Exacerbating these problems, climate change is also having an increasingly adverse impact on the ecosystems and biodiversity of the ABNJ – for instance on tuna productivity and distribution, and almost certainly on other species

11

of commercial and conservation interest as well. Besides, the financial resources available today are not commensurate with the challenges facing the ecosystems in the ABNJ high-seas, especially not when taking into consideration the added threat of climate change. There is therefore an urgent need to increase investment flows for promoting sustainable management and biodiversity conservation in the ABNJ, particularly the financing of somewhat higher risk projects than presently undertaken but with greater potentials for innovation.

A number of organizations are already addressing the various problems and challenges discussed here above. Within the fisheries sector, FAO is recognized as the leading specialized agency of the United Nations. Its proactive Committee on Fisheries (COFI) is composed of 141 members and closer partnerships are also being forged with national and international institutions, academia, the private sector and civil society. The FAO Fisheries and Aquaculture Department has developed global standards and instruments for fisheries management, for fighting IUU and bycatch, and for strengthening MCS; such as the International Plans of Action dealing with IUU, the 2009 Port State Measures Agreement, the Global Record of Fishing Vessels and the International Guidelines on Bycatch Management and Reduction of Discards. The Department also provides technical assistance to the five t-RFMOs, such as for building databases to collect and manage tuna vessel and catch data.

In turn, the World Bank has been engaged in marine fisheries for many years and its current investment in fisheries-related activities now stands at some US$1.4 billion. The Bank's Global Partnership for Fisheries (PROFISH) has a strategic focus on promoting and facilitating the contribution that fisheries can make to sustainable economic growth, improved nutrition, food security and welfare. PROFISH activities focus on policy reform, good governance and dialogue with industry on sustainable fisheries issues, including the establishment of a sustainable fisheries industry alliance. A recent PROFISH flagship output was The Sunken Billions Report which estimated that reforming ways in which fisheries are managed could produce rents in the order of US$50 billion globally each year. Associated with PROFISH is ALLFISH which aims at creating a suitable framework and process for engaging the fishery industry and other stakeholders in efforts to improve fisheries governance, promote the recovery of fish stocks and therefore make fisheries sustainable.

The United Nations Environment Program (UNEP) has launched a Regional Seas Program in 1974 which is aimed at addressing the degradation of the world's oceans and coastal areas through a sustainable management and use of the marine and coastal environment, by engaging neighboring countries in comprehensive and specific actions to protect their shared marine environment. This is accomplished by stimulating the creation of regional prescriptions for sound environmental management, to be coordinated and implemented by countries sharing a common body of water. Conservation International (CI) is a nonprofit organization dedicated to improving ocean health and its Marine Division aims at developing sound science for demonstrating links between healthy oceans and communities. Since 2004, CI has worked with partners to help strengthen 196 marine protected areas covering some 70 million hectares. CI is hosting the Critical Ecosystem Partnership Fund (CEPF) which is a joint program of the *Agence Française de Développement*, GEF, World Bank, Government of Japan, MacArthur Foundation and CI. CI has a long history of geographic priority setting and is finalizing a marine geographic priority setting analysis based on 13,000 marine species across 21 phyla with high resolution (1 km2) data on human impacts. The approach will be a flexible framework for establishing which places have the highest species richness (number of species) and range rarity, a metric of endemism (sum of 1/total range area for all species in a given cell). These data will be used to identify regions of unusually high marine species richness and species rarity and which of these regions are currently experiencing relatively high or low impact, both of which have been recognized as important targets for conservation intervention.

The World Wildlife Fund (WWF) is a global conservation organization promoting sustainable fisheries management (including rights-based) to reduce excess fishing capacity as well as bycatch. WWF is actively involved in the Kobe process of strengthening t-RFMOs and also promotes policies aimed at protecting habitats of biologically important marine species. Its global Smart Fishing Initiative (SFI) provides an integrated framework for transformation of fisheries through the development of focused strategies implemented through dozens of participating countries. The International Sustainable Seafood Foundation (ISSF) is a global partnership between the tuna processing/trading industries, the world's leading fishery scientists and WWF. ISSF's mission is to undertake science-based initiatives for the long term sustainable use of tuna stocks, reduction of by-catch and promotion of ecosystem health. ISSF is

12

working to promote the sustainable use of all tuna stocks by focusing on improving conditions on the water through direct action, applied science and advocacy. Birdlife International (BLI) has a concerted program of work to reduce bycatch of vulnerable seabirds in global fisheries, particularly in the ABNJ. BLI supports the Albatross Task Force which has established on-board observer programs and worked alongside fishers and fishery managers since 2005 to implement best-practice mitigation.

For deep-sea fisheries, the FAO has developed the International Guidelines for the Management of Deep-sea Fisheries in the High Seas, in collaboration with over 70 countries. There is also the CBD Secretariat that provides guidance for the identification of VMEs and ESBAs. Besides, the International Union for Conservation of Nature (IUCN) is widely recognized as a leader in the protection of biodiversity in the high seas. IUCN works in partnership with a number of different institutions such as FAO, UNDP, UNEP, national governments, NGOs and the private sector. Its overall goal is to strengthen the governance of the oceans through: (i) enhancing the knowledge base on what needs to be managed and what is the current status of resources; (ii) developing an ecosystem-based management approach, using existing or potentially new conventions and institutions; (iii) setting up enforcement mechanisms ensuring the rule of law in the high seas, and (iv) communicating new discoveries and the value of the high seas to key decision-makers and the public. In addition, UNEP has published a series of reports on the deep sea ecosystems and their functions, under its partnership with the UNEP World Conservation Monitoring Centre, which also contributed to the application of EBSA criteria to deep sea ABNJ areas. UNEP has been developing tools and methodologies for ecosystem-based management and spatial planning, ecosystem service valuation and trade-off, and impact assessments of fisheries on ecosystems. UNEP continues to further develop these tools and methodologies with a view to make them applicable to the ABNJ as well as to other regions with differing ecosystem conditions.

Concerning the need for better coordination between the large number of public and private sectors involved in fisheries, there is the Global Ocean Forum (GOF) promoting the implementation of international agreements related to oceans, coasts and Small Island Developing States (SIDSs). GOF brings together ocean leaders from all sectors (governments, international agencies, non-governmental organizations, scientific institutions and private businesses) and from over 100 countries, to advance the global oceans agenda. The Forum's approach is to seek to clarify issues, lay out various options and identify possible avenues for consensus-building among the very different stakeholders.

All the organizations addressing the various challenges in fisheries management and biodiversity conservation face similar general problems, mainly that : (i) their limited status and mandate do not always allow them to reach all the public and private actors involved, given the large number of the latter and their diversity; and (ii) similarly, their limited human and financial resources do not always allow them to carry out activities leading to transformational changes on a sufficiently large scale to be irreversible and sustainable. Although significant concrete progress has been taking place already at various activity levels and in specific geographical areas, there is a clear need for a catalytic support by GEF in favor of a comprehensive, integrated and programmatic approach to remove all the remaining barriers (as discussed in Section C) to global sustainable fisheries management and biodiversity conservation in the ABNJ.

F. _Incremental /Additional cost reasoning_: describe the incremental (GEF Trust Fund) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF financing and the associated _global environmental benefits_ (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:

The Program will directly address the threats and barriers to sustainable fisheries management and biodiversity conservation in the ABNJ through the implementation of the four mutually-reinforcing projects (see Program Result Framework).

Project 1: Sustainable management of tuna fisheries and biodiversity conservation in the ABNJ.

The expected outcome is to substantially enhance efficiency and sustainability in tuna production and biodiversity conservation in the ABNJ, through the systematic application of an ecosystem approach for: (i) supporting the use of efficient and sustainable fisheries management as well as fishing practices by the stakeholders of the tuna

resources, (ii) reducing illegal, unreported and unregulated [IUU] fishing, and (iii) reducing bycatch and other adverse ecosystem impacts on biodiversity.

The main **transformational change** supported by the Project over time is a significant progression from the use of fisheries management systems and fishing practices that do not fully take into account the status of existing stocks as well as their sustainable levels and impacts on ecosystems, resulting in fishers competing harmfully for the largest catches, to the adoption of management systems based on clear and fair fishing rights set according to a rigorous ecosystem approach, thereby ensuring efficient and sustainable fishing over the years. This progression over the Project's five-year period will materialize as follows: (i) sustainable management of tuna fisheries, in accordance with an ecosystem approach, will be improved and broadened throughout the five t-RFMOs, (ii) a pilot Rights-Based Management (RBM) system will be implemented in at least one t-RFMO, (iii) MCS systems will be strengthened and harmonized over all five t-RFMOs, (iv) the number of illegal vessels operating in one pilot t-RFMO will be reduced by 20% from the baseline at project start, and (v) bycatch mitigation best technologies and practices will be adopted by at least 40% of the tuna vessels operating in the areas under the jurisdiction of at least two t-RFMOs.

When properly constituted, rights-based fisheries will generate optimal economic benefits from a resource through efficiency gains (fewer and better vessels), market value-added (fishing to markets), and biomass recovery (reduced effort). RBM will also deliver conservation outcomes not only because fishers' incentives will move towards conserving their asset base, but also because specific biodiversity requirements can be internalized into the management and regulatory structures.

The associated **global environmental benefits** will mainly be in terms of : (i) measurable improvements in the status of the tuna stocks in the areas under the jurisdiction of the five t-RFMOs, with catches reduced and closer to their maximum sustainable yields, especially for the more threatened species; and (ii) noticeable reductions in the threats to bycatch species in the areas under the jurisdiction of the five t-RFMOs [substantial in the case of at least two t-RFMOs], especially for sharks as target species, marine mammals, sea turtles and seabirds.

Project 2: Sustainable fisheries management and biodiversity conservation of deep-sea ecosystems in the ABNJ.

The expected outcome is to substantially enhance efficiency and sustainability in the use of deep-sea living resources and biodiversity conservation in the ABNJ, through the systematic application of an ecosystem approach for: i) improving sustainable management practices for deep-sea fisheries, taking into account the impacts on related ecosystems, ii) protecting VMEs and EBSAs, and iii) practicing improved area-based planning for deep sea ecosystems.

The main transformational change supported by the Project over time is a significant improvement in the capability of the competent authorities and fishing industry for applying best practices in deep-sea fisheries management and biodiversity conservation, including better protection of VMEs and EBSAs. This improvement over the Project's five-year period will materialize as follows: (i) decision-making by RFMO/As, member countries, relevant CBD countries, Regional Seas Programs, flag and port states [as appropriate] will be substantially improved, mainly through a more systematic application of management tools and methods; (ii) the improved management of deep-sea fisheries in high seas areas as a result of the application of an ecosystem approach, also leading to reduced impacts on deep-sea habitats; (iii) deep-sea fisheries management and biodiversity conservation practices, including protection of VMEs and EBSAs, will be substantially improved in the Southern/Western Indian Ocean and Southeast Atlantic regions, covering an area of 4,300 million hectares of seascape.; and (iv) efficient area-based planning tools and methodologies are tested and are available to Regional Seas Programs and RFMO/As.

The associated **global environmental benefits** include: (i) a gradual application at the global level of an ecosystem approach to fisheries management in the deep-seas, leading to better protection of deep-sea biodiversity in general, (ii) improved information concerning precautionary measures to reduce threats and adverse impacts on

VMEs and EBSAs, and (iii) enhanced protection of VMEs and EBSAs over 4,300 million hectares in the Southern Indian Ocean and Southeast Atlantic regions.

Project 3: Ocean Partnership Fund (OPF).

The expected outcome – through providing the links between coasts, EEZs and the ABNJ, as well as improved management – is to secure healthy ocean ecosystems, biodiversity conservation (including various modalities of protection) and food security through sustainable fisheries. The outcome will have measurable short-term milestones for poverty alleviation, regional security, fisheries mortality and bycatch reduction to sustainable levels. Achieving success of this outcome would enhance the protection of ocean goods and services, and most importantly the biodiversity underpinning these goods and services. This will be achieved mainly by: (i) mapping global marine hotspots from coast to high seas, which will be use for identifying priority seascape hotspots accompanied by required multi-sector investments and technical assistance, (ii) improving the operational effectiveness of types of marine protected areas and fisheries, including the preparation of marine profiles along with conservation and business development plans, and (iii) mobilizing consensus around governance issues in the ocean, including the showcasing of early "Sub-Project Grant" results in the priority seascapes and the dissemination of lessons from "Challenge Grants".

The main **transformational changes** will be: (i) the development, testing and implementation of various types of seascape protection that leads to sustainable conservation in close collaboration with countries, fishers and the private sector, (ii) a move away from the "race to fish" towards efficiency, conservation and less destructive exploitation, through the demonstration of fisheries management effectiveness in five priority seascapes, (ii) shifting the discussions about ocean's governance from supplying niches, small upscale markets for sustainable fish or applying command-and-control paradigms, to fostering rights-based management to drive economic growth in developing countries, protect food security and save biodiversity.

The associated global environmental benefits include conservation of the most threatened marine species and biodiversity hotspots and more effective fisheries management outcomes. To achieve these, investments will focus on relevant GEF 5 Focal Area Strategies and recognized global priorities (e.g. rights-based and ecosystem approaches to fisheries management, identifying areas in need of enhanced management including EBSAs and VMEs, and relevant strategic plan objectives and programs of work as contained in decisions by the CBD-CoP). The most significant gains relating to marine biodiversity and ecosystem services can be made by using marine spatial planning. A detailed intervention strategy will be developed for each of the priority geographies where the OPF will invest. To ensure maximum impact from investments, a science-based global priority setting framework – that considers biodiversity, ecosystem services, human well-being benefits, threats and opportunities related to ocean ecosystems – will be used in order to select a small number (2-4) of regions for initial investments. In addition to the science-based priorities, potential opportunities leading to prompt results will be harnessed and coordinated with GEF 5 marine Biodiversity and International Waters investments in countries adjacent to priority geographies, ecological connectivity to coastal biodiversity and ecosystem processes, existing enabling conditions relating to governance, country and stakeholder support, industry interest and the potential for amplification of successful models.

Project 4: Strengthening global capacity to effectively manage ABNJ.

The expected outcome is to make fully effective the global/regional coordination, including exchange of information, on marine ABNJ to ensure sustainable fisheries and the conservation of globally significant biodiversity in the oceans. The main **transformational changes** will be: (i) the removing of the barriers to efficient international and cross-sectoral sharing of information and experiences concerning fisheries and ecosystems in the ABNJ; mainly through providing the necessary integrated information systems, advocacy platforms and social networks, as well as facilitating more meaningful dialogues and better coordination, (ii) increased transparency in regional governance and decision-making processes, and (iii) improvement in the interest and capability of high-level government officials and other participants to better advocate their interest in global and regional ABNJ processes.

The associated (indirect) **global environmental benefit** will be in terms of a more sustainable global management of the fish resources as well as a more comprehensive and better protection of the ecosystems and their biodiversity in the ABNJ, particularly in the case of the most vulnerable VMEs and EBSAs.

G. Describe the socioeconomic benefits to be delivered by the Program at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits(GEF Trust Fund) or adaptation benefits (LDCF/SCCF).

The ABNJ fisheries make significant contributions to trade, employment and nutrition. These benefits vary significantly by geographical area and are very difficult to measure because of the scarcity of basic data and also the complexity of the different sectors of activities. However, it is well known that millions of families in several developing and developed countries depend on jobs in fishing and fish processing as well as in many activities connected to fisheries – from vessel/boat construction and manufacturing of gears to fuel supply for vessel/boat owners. Scores of countries would face grave economic difficulties and political consequences if fish stocks were to continue to decline. For the island and coastal nations highly dependent on fishing, there could be delays or even reversals in their economic growth. For example, more than 85 countries are fishing tuna and the commercial value of landed catches is worth more than US$ 10 billion annually. In the small island nations of the Pacific and Indian Oceans, tuna plays a key role as provider of food and employer in the tuna canning sector. Moreover, tuna canning employs close to 100,000 people in the Philippines, Mexico and Ecuador. Furthermore, tuna fishing is carried out overwhelmingly by men whereas 80% of the workers in canning are women, making the industry a key player in gender balance. In the case of deep-sea fisheries, although difficult to evaluate due to a lack of relevant/reliable data, the commercial value of landed catches is certainly substantial and should generate significant revenues to several people. For example, FAO estimated that the total global catch of 60 deep-sea species in 2006 was around 250,000 tons worth a minimum of US$ 400 million, with no less than 27 flag states involved.

More generally, the extent and nature of the dependence of fishers and their families on the ABNJ vary from region to region. For example, there are more than 6,000 full time fishers just in the CARICOM islands of the Caribbean who are directly dependent on large pelagic resources for their livelihoods. In the case of the SPC countries, fishing accounts for about 10% of GDP, excluding the substantial value added that accrues from post-harvest activities. In the six Pacific Island countries and territories, export of fisheries products accounts for 80% or more of all exports. While about half of the value from fishing in this region is derived from offshore foreign-based fishing, rather than local fishing, the revenue is nevertheless very important for human well-being. Failure to ensure recovery and sustainable use of the important ABNJ resources will therefore have significant repercussions for the livelihoods of millions of fishers and other coastal dwellers. In addition, the conservation of deep-sea marine biodiversity will also lead to socio-economic benefits in the long-term although these are much more difficult to assess. The benefits will be in terms of both use and non-use values, related to the increased health and potential for sustainable exploitation of the important natural resources contained in the ecosystems.

In most fishing communities, women play an important role in fisheries along the value chain. They engage in a wide range of activities, including in pre- and post-harvesting, seafood processing, and taking care of the family and community affairs which allows the husbands to spend more time at sea. Yet, they remain largely invisible and their roles unacknowledged although they contribute substantially to revenue stability and food security. To ensure an active and productive participation by women in related activities funded by co-financing, the Challenge Grant window in the Ocean Partnership Fund will earmark funds for high potential project ideas proposed by them and ones involving them by actors such as the private sector.

H. Justify the type of financing support provided with the GEF/LDCF/SCCF resources:

The Program will receive support from multiple sources of financing, including the GEF Trust Fund as well as from the FAO, WB, WWF, ISSF and RFMO/As, among others. As discussed previously, there is ample scope to fund additional activities beyond the baseline investments. Pooling together various financial resources and strategically integrating them will certainly allow for larger-scale transformational changes than otherwise. The overall co-financing ratio for the Program is presently estimated at 5.0. However, this ratio must be considered an absolute minimum as it does not include the expected contributions from the numerous national governments involved in the Program, particularly in the pilot activities, as well as from a number of stakeholders that have not yet declared the extent of their participation. More precise figures will be provided at the time of the preparation of each component (project) of the Program.

I. Indicate risks, including climate change risks that might prevent the program objectives from being achieved, and if possible, propose measures that address these risks to be further developed during the program design:

Risks to the Program's successful implementation can be found at the local, regional and national levels. They are related to the complexity of the issues addressed, their associated political consequences as well as the potentially uneven commitments and performance of stakeholders, and they may vary from one project to another. The risks identified hereafter are in terms of: (i) political and administrative capacities, (ii) private sector participation and (iii) technological aspects. They are described in the table below including their rating and mitigation measures. Further risk analysis and identification of appropriate mitigation measures will be undertaken as part of project preparation.

Risks	Rating	Risk mitigation measures
The great number and diversity of stakeholders constraints an efficient coordination and implementation of the Project's activities.	M	The Project called " Global coordination for marine ABNJ " includes the establishment of global networks and partnerships that will contribute to fostering collective and harmonized approaches and actions among all stakeholders. Moreover, a Global Steering Committee and Global Technical Advisory Group will be set up under the Program for the specific purpose of ensuring the efficient coordination of the Project's different activities.
Changes in decision makers, or other events beyond the control of the Project, lead to changes in policies and/or support for project objectives and activities.	M	Project priorities are in line with what all stakeholders have agreed in international forums and are hence strongly anchored in existing policies. Through stakeholder participation in all phases of the project cycle, national and regional support has been secured already at the project identification stage and will be strengthened/broadened during preparation and all along implementation.
There is insufficient capacity to support the Program's proposed transformational changes, particularly with regard to institutional and administrative support	M	The scope of the Program has been agreed with the relevant stakeholders and, by focusing on a selected number of issues in a limited number of locations, it should be possible to achieve results without putting undue pressure on the existing institutions. Some capacity building will also be available from the Program as required in the case of developing countries.
RFMO institutional and political economy constraints impede rapid project development, especially in relation to RBM	M	Every effort will be made to work with RFMOs in developing means to bridge the recognized governance gap. At the same time, without active cooperation from industry, public initiatives may not be effective. A well organized industry with a clear sustainability agenda can yield both public and private benefits by helping to implement and legitimize new governance arrangements. Awareness building with some governments will be needed to mitigate the risk.
Fishers and other private sector actors are reluctant to collaborate with the Program because of short-term financial interests.	M	By applying a participatory approach, demonstrating socioeconomic benefits, providing limited capacity building and addressing issues that are of concern to stakeholders, fishers and other private sector actors should gradually and actively support the activities. The Program will also engage with the seafood industry to ensure that the market issues are well understood and that proposed solutions are economically beneficial.
IUU fishing is not brought sufficiently	M	Project will provide the mechanisms to effectively fight IUU at

under control, resulting in a continuation or exacerbation of stock decline. This will have negative impacts on stakeholders, both for fishers who are compliant, as they will be economically disadvantaged, and for communities which depend on a continuing supply of tuna at affordable prices.		all levels, mainly through better RBM and MCS. Specific activities are aimed at both the political level, in terms of building political will, as well as at the operational level with the active promotion of improved technologies/practices. The Project will offer a variety of awareness raising activities and foster private/public communications and partnerships.
Technical solutions are not available that would create the desired transformational changes while at the same time being acceptable to fishers and other stakeholders in the context of their livelihoods, food security and poverty situation.	M	There have been significant conceptual and practical developments over the years in terms of improved approaches, methodologies and practices, all to be implemented on the basis of an ecosystem approach. By working closely with fishers and other stakeholders, those approaches and practices that are most suitable in particular local and regional situations can be selected, developed and/or adopted as required.
Because of the actual lack of scientific knowledge on the particularly complex and fragile ecosystems of the deep-seas, progress concerning the development of more biodiversity-friendly tools and practices is less successful than expected.	M	Sustainable management and biodiversity conservation of deep-sea ecosystems in the ABNJ includes activities aimed at substantially enhancing the practical knowledge available through compilation and sharing of existing information from different communities, targeted information gathering to cover key gaps and through engaging the fishing industry in the data collection processes, in this way creating awareness and commitment to the management process.
Inability to leverage sufficient funds to pursue the grant mechanism of the Ocean Partnership Fund.	L	The World Bank and Conservation International will be meeting continuously with conservation organizations, foundations, bilateral and individual donors to explore financing and implementation options.
Investments and technical assistance are insufficient to curb the threats to ocean governance at seascape level.	M	The projects will undertake detailed operational risk and opportunity assessment and use this as operational management tool.
Governments and donor agencies will find it difficult to rationalize prioritization of ABNJ initiatives in their programs and it will be a challenge to engage government entities and to leverage additional co-financing and future financing for ABNJ efforts.	L	The communication strategies and transparent dissemination of information will serve to raise awareness of the urgent need for improved management and governance of ABNJ.
Adverse climate changes compromise the Program's achievements, particularly concerning the ecosystems and biodiversity.	L	Although significant changes are not expected to take place for decades, the Program's Monitoring and Evaluation (M&E) system will include indicators allowing for a close monitoring of the possible climate change impacts over time, particularly on the tuna and deep-sea fish migration patterns. Moreover, climate resilient management practices for particularly vulnerable ecosystems will be developed and promoted.

J. Outline the institutional structure of the program including coordination and monitoring & evaluation:

Implementation arrangements. FAO is the coordinating agency for the overall ABNJ program as well as the GEF implementing agency for Projects 1 and 4 and the GEF co-implementing agency with UNEP for Project 2. The World Bank is the GEF implementing agency for Project 3 and will establish a specific governance structure for the Ocean Partnership Fund. FAO is also the executing agency (along with partners) for selected project components, as indicated in each of the Project Identification Forms. The following table gives an overall view of the respective role of FAO and other executing agencies for each of the four projects. Thereafter is a brief description of FAO and its partners in project execution.

18

	GEF Implementing Agency	Executing Agencies						
		FAO	WWF	UNEP	IUCN	World Bank	GOF	CI
Project 1 (Tuna)	**FAO**	X	X					
Project 2 (Deep-Seas)	**FAO/UNEP**	X		X	X			
Project 3 (OPFund)	**World Bank**					X		X
Project 4 (Global coordination)	**FAO**	X					X	

Coordination arrangements. Since the Program requires the involvement of multiple stakeholders of very different nature (see next chapter), a Global Steering Committee (GSC) will be set up as well as a Technical Advisory Group (TAG) with representation of key stakeholders from the policy as well as technical and scientific community:

- **GSC** will be co-chaired by GEFSEC and FAO, with representatives from the World Bank, CBD, UNEP, other GEF agencies as appropriate, selected international NGOs (such as WWF and CI) and representatives of industry groups that are active partners in the Program. The GSC will review program achievements, advise on problems and issues and provide overall strategic guidance. The GSC will be advised by a Technical Advisory Group (TAG). The GSC will provide suggestions of issues for consideration by the TAG. The GSC will meet once a year, in person and/or through multimedia facilities (e.g. video conferences etc.).
- **TAG** will be chaired by FAO with participation of representatives of main technical institutions directly concerned with ABNJ governance and management, such as RFMO/As, UNEP-RSP, IMO, ISA, UNESCO-IOC, and other relevant regional partners involved in projects under the Program. The TAG will be in regular contact and ensure peer review and overall technical quality assurance of global outputs, such as best practices, tools, methods and guidelines.

FAO will host a Global Program Coordination Unit (GPCU) which will provide the secretarial services for the GSC and TAG (OPF will have separate coordination arrangements as indicated in the next paragraph). In addition to the GSC and TAG, the GPCU will be able to rely on a number of external forums for the purpose of coordinating the various program interventions across the different sectors of activity and industry groups active in the ABNJ. These forums include the GEF network; FAO-COFI, the UN-Oceans Network, the related UNEP Regional Seas Program which includes ABNJs such as the Nairobi Convention, fishing industry organizations, etc.

Indicative governance arrangements for the Ocean Partnership Fund, implemented through the World Bank, will comprise: (i) steering board of senior representatives from WB, CI and other donor and/or partner institutions, which will approve the overall investment strategy and operational management of the Fund; (ii) a technical advisory group of subject matter specialists, FAO, relevant regional organizations, states and other stakeholders, which will provide strategic guidance on priority geographies and approach respective to specific activities; (iii) an operations secretariat which would ensure day-to-day operational and technical delivery of all Fund activities, inter alia ensuring effective project prioritization and analysis, managing grants, and undertaking advocacy and dissemination; a dedicated M&E structure and process which will also feed into the M&E arrangements for the GEF Programme Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas Beyond National Jurisdiction (see below "Monitoring & Evaluation Arrangements").

Monitoring & Evaluation (M&E) arrangements. The GPCU will be in charge of preparing an M&E framework including specific and measurable output and outcome indicators. A mid-term review of the program will be undertaken using experts from different disciplines and sectors, to assess progress towards achieving short-term outputs and longer term outcomes, followed by a Terminal Evaluation after the Program's completion. Monitoring & Evaluation will be carried out at two levels:

- *Program level.* Based on data from the individual projects, the GPCU will synthesize, aggregate where possible, and report quarterly on program progress. M&E information will help to identify emerging good practices in projects and will be linked to the development of learning products. Program level M&E information, project

level performance reports and program learning products, will be available on a common, easy-to-access portal (see PIF on Global Coordination).

- *Project level.* Each project will have a results framework and monitoring plan based on a menu of standardized core indicators derived from the Program Result Framework. Outputs will be evaluated for the degree to which they are contributing to the expected outcomes and ultimately to the Program's goal. The GPCU will assist project teams as needed to implement M&E arrangements.
- *Ocean Partnership Fund.* The OPF would have its own M&E system aimed at informing the strategic management of the Fund and reporting on performance to the GEF and other donors.

K. Identify key stakeholders involved in the program including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable:

The Regional Fishery Bodies (RFBs) cover the world's marine and inland regions and constitute institutional channels through which countries or organizations that are parties to an international fishery agreement or arrangement work together towards the conservation, management and/or development of fisheries. The mandates of RFBs vary; some have only an advisory role and make decisions that are not binding on their members, some have a management mandate and are called Regional Fisheries Management Organizations or Arrangements (RFMO/As). They adopt fisheries conservation and management measures that are binding on their members and their primary role is to manage designated fish stocks taking into account the need for compatible conservation and management measures in areas within and beyond national jurisdiction. The five t-RFMOs (ICCAT, CCSBT, IATTC, WCPFC and IOTC) and their member countries are responsible for the management of tuna resources both within ABNJ and the related EEZs.

National Fisheries Authorities (NFAs). The countries, whose nationals or flagged vessels fish in the ABNJ, have the responsibility under international law to ensure the conservation and management of the resources and biodiversity. RFMOs do not normally have responsibility for compliance and so the authorities have to provide support for ensuring compliance by their nationals.

Pacific Islands Forum Fisheries Agency (FFA) is an important regional fisheries body for tuna. The agency aims at strengthening national capacity and regional solidarity so that its 17 Pacific Island members can manage, control and develop their tuna fisheries adequately. Its formal role is advisory and focuses on the EEZs of the member countries.

Private sector and consumers. A key group of stakeholders will be the private sector in the form of both small and large-scale fishing businesses as well as the processors, marketers and retailers. Retail organizations and consumers have an important role to play as "gatekeepers" to the supply and demand of fish products.

Convention on Biological Diversity (CBD). Marine and coastal living resources constitute an important element of CBD's work program. The goal is to achieve conservation and long-term sustainable use of marine and coastal living resources in a manner that respects both societal interests and the integrity of the ecosystems. Deep seabed biodiversity and coral are two focal areas.

United Nations Convention on the Law Of the Sea (UNCLOS), also called the Law of the Sea Convention or the Law of the Sea treaty, is the international agreement that resulted from the third United Nations Conference on the Law of the Sea (UNCLOS III), which took place from 1973 through 1982. The Law of the Sea Convention defines the rights and responsibilities of nations in their use of the world's oceans, establishing guidelines for businesses, the environment, and the management of marine natural resources. The Convention, concluded in 1982, came into force in 1994. To date, 161 countries and the European Community have joined.

Global Ocean Biodiversity Initiative (GOBI) was created as an international science partnership to protect biodiversity in the deep seas and open oceans. The GOBI Partnership aims to help countries, as well as regional and global organizations, use existing and new data, tools, and methodologies to identify EBSAs in the oceans, with a particular emphasis on ABNJ. GOBI's work to date has mainly focused on developing both technical guidance and training materials concerning the implementation of the CBD's EBSA criteria.

20

The **High Seas Alliance** of scientists and conservation organizations was formed in March 2011 with the overall mandate to help conserve the world's high seas. The Alliance's main goals are to promote/catalyze : (i) the protection, conservation and restoration of marine ecosystem health and biodiversity ; the building of a comprehensive, representative and effective system of marine protected areas, including no-take reserves ; and the effective implementation of existing and emerging ocean conservation obligations and rules. The Alliance also aims at monitoring effective governance, management and enforcement systems that support and ensure conservation, sustainability of use and equitable benefit sharing for all high seas marine resources and species, including fisheries.

Institute for Sustainable Development and International Relations (IDDRI) has been working on high seas governance issues since 2007. In partnership with the French Marine Protected Areas Agency (AAMP), IDDRI is analysing and contributing to international discussions on the governance of high seas biodiversity, focusing on the United Nations and the regional seas conventions framework. For example, IDDRI has or will soon publish policy papers on: high seas MPAs within OSPAR; incorporation of high seas issues within regional seas frameworks; competencies of the different sectoral bodies on the high seas; European policies and positions regarding the high seas; France's transposition into national law of its international commitments regarding the high seas; etc. IDDRI is convening in September 2011, together with IUCN and AAMP, an international seminar on potential scenarios towards a legal framework for the creation and management of cross-sectoral marine protected areas in ABNJ.

International Seabed Authority is an autonomous international organization established under the 1982 United Nations Convention on the Law of the Sea and the 1994 Agreement relating to the Implementation of Part XI of UNCLOS. The Authority is the organization through which States-Parties to the Convention shall, in accordance with the regime for the seabed and ocean floor and subsoil thereof beyond the limits of national jurisdiction (the Area) established in Part XI and the Agreement, organize and control activities in the Area, particularly with a view to administering the resources of the Area.

World Ocean International (WOI) is a cross-sectoral business alliance bringing together ocean industries – e.g. shipping, oil/gas, fisheries, aquaculture, tourism, offshore renewables, etc. WOI aims at catalyzing leadership and collaboration in addressing ocean sustainability (Corporate Ocean Responsibility). The goal is a healthy and productive global ocean, its sustainable use, development and stewardship by a responsible ocean business community.

L. Indicate the co-financing amount the GEF agency is bringing to the project:

Cash and in-kind contributions for FAO are estimated to be US$ 42,600,000. FAO is co-financing the Program with US$ 9,600,000 in grant and US$ 34,350,000 in kind. The World Bank's co-financing is US$ 10,000,000 in grant and the UNEP's co-financing US$ 4,000,000 in kind.

M. How does the program fit into the GEF Agencies' program (reflected in documents such as UNDAF, CAS, etc.) and the Agency staff capacity in the country to follow up program implementation:

FAO: The organization's strategic objectives include:

- Sustainable management of fisheries and aquaculture resources,
- Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture,
- Enabling environment for markets to improve livelihoods and rural development,
- Improved food security and better nutrition,
- Gender equity in access to resources, goods, services and decision-making in rural areas.

FAO's budget for these broad areas of work for the period 2010-11 was in excess of US$ 500 million.

The Project's objectives are very coherent with those of FAO. The organization has multi-disciplinary competence at

the global level in all thematic areas of marine and freshwater fisheries in general. Of particular relevance to this project are the following expected outcomes from the member countries:

- Members and other stakeholders have improved formulation of policies and standards that facilitate the implementation of the Code of Conduct for Responsible Fisheries and other international instruments, as well as response to emerging issues,
- Governance of fisheries and aquaculture has improved through the establishment or strengthening of national and regional institutions, including RFBs,
- More effective management of marine and inland capture fisheries by FAO members and other stakeholders has contributed to the improved state of fisheries resources, ecosystems and their sustainable use,
- Operation of fisheries, including the use of vessels and fishing gear, is made safer, more technically and socio-economically efficient, environmentally-friendly and compliant with rules at all levels,
- Members and other stakeholders have achieved more responsible post-harvest utilization and trade of fisheries and aquaculture products, including more predictable and harmonized market access requirements.

The FAO Fisheries and Aquaculture Department is well staffed with internationally-recruited specialists at the headquarters in Rome as well as in the regional and country representations.

World Bank: The Bank is a vital source of financial and technical assistance to developing countries around the world, and has been has been engaged in the fisheries agenda for many years. Its Global Partnership for Fisheries (PROFISH) recognizes that poor governance in fisheries, particularly the lack of a clear definition of property rights, is the main driver of over-exploitation and over-capitalization, which leads to enormous losses in natural resources wealth. Current ocean-related programs supported by the Bank include the Coral Triangle Initiative in Indonesia, the Mesoamerican Barrier Reef System Project and the West Africa Regional Fisheries Program. In the area of biodiversity, the Bank supports several global initiatives, including the Critical Ecosystem Partnership Fund, Save our Species Program and a proposed Alliance for Zero Extinction. In addition, a large portfolio of about 200 projects addresses biodiversity across the regions of the world. The World Bank is exploring the idea of an "Ocean Initiative" that would bring the operational experience and knowledge of the World Bank Group together with some of the world's premier ocean-focused organizations. The OPF would be part of this scaled up effort.

UNEP: Through its Ecosystem Management Sub-Program, UNEP is broadly engaged in the protection and sustainable development of marine and coastal environment and resources. Specifically relevant to the objectives of the ABNJ Program, UNEP is engaged in the development and testing of methodologies and tools for the ecosystem-based management of the marine and coastal environment and resources. These tools and methodologies are mainly tested and demonstrated through UNEP's network of Regional Seas Programs, which covers 18 regional sea areas of key marine ecosystems. The methodologies and tools include: (i) impact assessment of key-drivers for environmental changes, (ii) assessment and valuation of marine and coastal ecosystems, (iii) policy inclusion of ecosystem services, (iv) sector planning through trade-off analysis, and (v) climate change and ecosystems.
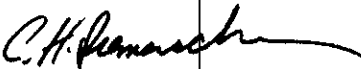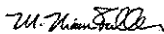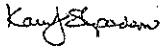
PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):
(Please attach the Operational Focal Point endorsement letter (for Qualifying GEF Agency) and Operational Focal Point Endorsement letter (for Program Coordination Agency) with this template.

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF policies and procedures and meets the GEF/LDCF/SCCF criteria for project identification and preparation. Following the new project cycle, [FAO, World Bank and UNEP] will submit all PIFs under the program within 6 months after Council approval of the PFD.

Agency Coordinator, Agency name	Signature	DATE (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Charles Riemenschneider, Director, Investment Centre Division, Technical Cooperation Department, FAO, Viale delle Terme di Caracalla, 00153, Rome, Italy Barbara Cooney, FAO, GEF Coordinator Email: Barbara.Cooney@fao.org	*C.H. Riemensch*	09/09/11	Kevern Cochrane, Director, FAO Fisheries and Aquaculture Department, Rome, Italy	+3906 57056109 +3906 5705 5478	Kevern.Cochrane@fao.org Barbara.Cooney@fao.org
Maryam Niamir-Fuller GEF Executive Coordinator, UNEP	*M. Niamir-Fuller*	09/09/2011	Jacqueline Alder	+254-20-7624662	Jacqueline.Alder@unep.org
Karin Shepardson GEF Executive Coordinator World Bank	*Karin Shepardson*	09/09/2011	John Fraser Stewart	+1 202 473 4107	Jstewart1@worldbank.org

Attachment A				
GEF funding of ABNJ Program				
Projects	**Project budget**	**PPG**	**Fee**	**Total**
Tuna fisheries	26,922,936	600,000	2,477,064	30,000,000
Deep-sea fisheries	7,315,597	400,000	694,403	8,410,000
Global coordination (glue)	950,000	50,000	90,000	1,090,000
Ocean Partnership Fund (WB)	8,874,312	300,000	825,688	10,000,000
FAO coordination	500,000			500,000
Total amount	**44,562,844**	**1,350,000**	**4,087,156**	**50,000,000**

LIST OF PROJECTS UNDER THE PROGRAM FRAMEWORK

Projects Submitted for Council approval in this work program + Future submissions:

Project Title	GEF Amount ($)			Agency Fee ($)	Total ($)	Expected Submission Date
	Focal Area 1 Project	Focal Area 2 Project	TOTAL Project			
FSP submitted with PFD in the work program						
1. Sustainable Management Of Tuna Fisheries And Biodiversity Conservation In Abnj	21,495,679	6,027,257	27,522,936	2,477,064	30,000,000	Same as program framework document
2. Sustainable Fisheries Management And Biodiversity Conservation Of Deep-Sea Living Marine Resources And Ecosystems In The Abnj	2,708,714	5,006,883	7,715,597	694403	8,410,000	
3.			0		0	
4.			0		0	
Total	24,204,393	11,034,140	35,238,533	3,171,467	38,410,000	
MSPs Submitted for CEO approval						
1. Strengthening Global Capacity To Effectively Manage ABNJ	494,994	505,006	1,000,000	90,000	1,090,000	Submitted on 8/9/2011
2.			0		0	
3.			0		0	
Total	494,994	505,006	1,000,000	90,000	1,090,000	
FSP Projects to be submitted in future work programs:						
1. Ocean Partnership Fund	2,748,795	6,425,517	9,174,312	825,688	10,000,000	
2.			0		0	
3.			0		0	

4.			0		0
Total FSPs	2,748,795	6,425,517	9,174,312	825,688	10,000,00 0
MSP Projects to be submitted for CEO Approval					
1.			0	0	0
2.			0	0	0
3.			0	0	0
4.			0	0	0
Total	0	0	0	0	0

Note: Qualifying GEF Agencies submitting the PFD do not need to fill this table. For all other GEF Agencies, fill in the focal area split, if any. If more than two focal areas involved, add columns as necessary.

GEF-5 PFD Template 1-11-11.