



WORLD BANK APPRAISAL STAGE: GEF DATA SHEET

PROJECT TYPE: FSP Endorsement
TYPE OF TRUST FUND: GEF Trust Fund

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PROJECT INFORMATION

Project Title: Oceans Finance Facility to Finance Effective Management and Transitional Reform of Oceanic Fisheries. N.B. Retitled at PPG stage to: Ocean Partnerships for Sustainable Fisheries and Biodiversity Conservation - Models for Innovation and Reform (P128437)			
Country(ies):	Global	GEF Project ID: ¹	4856
GEF Agency(ies):	WB (select) (select)	GEF Agency Project ID:	P128437
Other Executing Partner(s):	Conservation International; World Wildlife Fund; Bay of Bengal Programme-Inter Governmental Organisation; Forum Fisheries Agency; and Western Central Atlantic Fisheries Commission	Submission Date:	2014-03-21
GEF Focal Area (s):	Multifocal Area	Project Duration(Months)	36 months
Name of Parent Program (if applicable): ➤ For SFM/REDD+ <input type="checkbox"/>	Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas Beyond National Jurisdiction (ABNJ) Program	Agency Fee (\$):	825,689

A. FOCAL AREA STRATEGY FRAMEWORK²

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
IW-4 (select)	Outcome 4.1: Areas Beyond National Jurisdiction (ABNJ) under sustainable management and protection (including MPAs)	Demonstration for fisheries management measures in ABNJ	GEF TF	1,649,277	9,000,000
IW-4 (select)	Outcome 4.2: Plans and institutional frameworks for pilot cases of ABNJ have catalytic effect on global discussions	Demonstration for fisheries management measures in ABNJ	GEF TF	1,099,518	500,000
(select) BD-1	Outcome 1.1 Improved management effectiveness of existing and new protected areas.	New protected areas (at least two) and coverage (hectares) of unprotected ecosystems - related to fisheries management.	GEF TF	2,570,206	30,000,000
(select) BD-2	2.1 Increase in sustainably managed seascapes that	Policies and regulatory frameworks	GEF TF	3,855,310	500,000

¹ Project ID number will be assigned by GEFSEC.

² Refer to the [Focal Area/LDCF/SCCF Results Framework](#) when completing Table A.

	integrate biodiversity conservation	(number) for fisheries production sectors.			
	2.2 Measures to conserve and sustainably use biodiversity, incorporated in fisheries policy and regulatory frameworks	Certified fisheries production seascapes (ha)			
(select)	(select)		(select)		
(select)	(select)		(select)		
(select)	(select)		(select)		
(select)	(select)		(select)		
Total project costs					9,174,311 40,000,000

B. PROJECT FRAMEWORK

Project Objective: The project's development objective is to catalyze investment into selected transformational public-private partnerships that mainstream the sustainable management and conservation of highly migratory stocks spanning areas within and beyond national jurisdictions

PLEASE ALSO REFER TO PAD RESULTS FRAMEWORK APPENDED TO THIS DATA SHEET

Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Confirmed Cofinancing (\$)
Component 1: Definition and development of business plans for long-term transformational pilots for sustainable fisheries in priority ocean areas	Inv	Two business plans (BP) financed from third party [non-project] funds by EOP. BPs reflect key factors on public / private sector investment potential, sustainable development & conservation Pilot BP design and analytics inform increasing ability to engage in constructive regional / international dialogue and policy processes on collective / cooperative management of SHMS Areas of the ocean under effective and sustainable management delivering conservation objectives and contributions to welfare and growth in	Four regional subprojects established. Participatory analyses completed for improved management of shared highly migratory stocks (SHMS) in all four project regions. BPs completed for at least four pilot project proposals for public private partnerships (see footnote ³). Four BPs peer reviewed - two by Yr2, further two by Yr3. BP	GEF TF	6,524,311	31,000,000

³ BPs are defined here as key project outputs to be developed and fully agreed within each subproject region by respective EAs. Although no prescriptions are offered, BPs are expected to comprise a package of proposals that first, incorporate public-private commitment to reform and value proposition for investment. In other words, BPs will combine the economic, technical, financial and political/institutional rationale needed to attract public and/or private sector investment. Such investment is likely to combine transition finance ('soft' investments into e.g. capacity building, further analytics, consultations, etc - typically donor financed from say WB or bilaterals) and debt-equity finance ('hard' investment responding to the pilot investment value proposition typically sourced from a private investor or investment bank / IFC). Second, BPs will demonstrate strong potential contributions to economic growth, biodiversity conservation and food security. Specific verifiable indicators of BP 'quality' determined during Year 1.

		<p>developing countries (including coastal and small island developing States).</p> <p>Stronger developing country capacity to engage in efforts to deliver effective SHMS management and secure/enhance long-term economic benefits from these fisheries.</p> <p><i>N.B. Also contrib. to:</i></p> <p><i>-PDO Indicator 1: Increased investment in sustainable fisheries on shared highly migratory stocks – SHMS;</i></p> <p><i>-PDO Indicator 2: Improved ability of client states to engage effectively in regional / international policy processes]</i></p> <p><i>-PDO Indicator 3: Increased inter-regional cooperation]</i></p>				
<p>Component 2: An innovation grant facility</p>	Inv	<p>Innovation grants to all four project regions catalyze innovative approaches to pilot design and inform regional and international discussion on SHMS management</p> <p><i>N.B. Also contrib. to:</i></p> <p><i>-PDO Indicator 1: Increased investment in sustainable fisheries on shared highly migratory stocks – SHMS;</i></p> <p><i>-PDO Indicator 2: Improved ability of client states to engage effectively in regional / international policy processes]</i></p> <p><i>-PDO Indicator 3: Increased inter-regional cooperation]</i></p>	<p>A grant funding and disbursement mechanism established and operational.</p> <p>Grants allocated to the four sub-regions to inform management and conservation decisions including:</p> <ul style="list-style-type: none"> -Six policy analyses and business planning activities completed -Five field tests (eg technologies, management arrangements, MCS) completed -Six sub-regional capacity building and knowledge exchange events (See footnote⁴). <p>Innovation grant funds fully disbursed on the 3rd/final year.</p>	GEF TF	2,000,000	6,000,000
<p>Component 3: Inter-Regional Coordination, Implementation Support and</p>	TA	<p>Improved inter-regional coordination, outreach and south-south collaboration. Lessons from pilot business</p>	<p>Global Think Tank established with operational plan agreed by all four project regions.</p>	GEF TF	250,000	2,000,000

⁴ No. of reports and specific list including theme, content etc will be specified during Year 1

Monitoring and Evaluation		<p>planning / analytical work have increasing influence over country, regional and global debate and policy reform processes related to improving management of SHMS with associated conservation and sust. Devt. outcomes.</p> <p>Effective sub/project delivery.</p> <p><i>N.B. Also contrib. to:</i></p> <p><i>-PDO Indicator 1: Increased investment in sustainable fisheries on shared highly migratory stocks – SHMS;</i></p> <p><i>-PDO Indicator 2: Improved ability of client states to engage effectively in regional / international policy processes]</i></p> <p><i>-PDO Indicator 3: Increased inter-regional cooperation]</i></p>	<p>Four GloTT events (see footnote⁵) and knowledge platform established to address shared regional agenda covering (a) exchange of experiences related to pilot design processes; and (b) south-south awareness and capacity building and knowledge sharing on theory and practice of shared highly migratory fisheries.</p> <p>Economic and Sector Work for Bank/GEF publication (and other knowledge products) to inform the management, performance and prospects for these fisheries and associated marine biodiversity</p> <p>M&E frameworks including roll out of the WB Fisheries Performance Indicators to determine baselines and BP quality methodologies in the 4 subproject regions</p> <p>IW: LEARN activities, including a IW: LEARN website, participation in IW: LEARN events</p>				
	(select)			(select)			
	(select)			(select)			
	(select)			(select)			
	(select)			(select)			
Subtotal						8,774,311	39,000,000
Project management Cost (PMC) ⁶					GEF TF	400,000	1,000,000
Total project costs						9,174,311	40,000,000

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Please include letters confirming cofinancing for the project with this form

Sources of Co-financing	Name of Co-financier (source)	Type of Cofinancing	Cofinancing Amount (\$)
GEF Agency	World Bank (Pacific Regional Oceanscape Project - P131655)	Soft Loan	25,000,000

⁵ Details to be specified at Inception during Year 1.

⁶ PMC should be charged proportionately to focal areas based on focal area project grant amount in Table D below.

GEF Agency	WB (Tamil Nadu and Puducherry Coastal Disaster Risk Reduction Project - P143382)	Grant	5,000,000
CSO	Conservation International	In-Kind	10,000,000
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
Total Co-financing			40,000,000

D. TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

Type of Trust Fund	Focal Area	Country Name/ Global	(in \$)		
			Grant Amount (a)	Agency Fee (b) ²	Total c=a+b
GEF TF	Biodiversity	Global	6,425,516	578,297	7,003,813
GEF TF	International Waters	Global	2,748,795	247,392	2,996,187
(select)	(select)				0
(select)	(select)				0
(select)	(select)				0
(select)	(select)				0
(select)	(select)				0
(select)	(select)				0
(select)	(select)				0
Total Grant Resources			9,174,311	825,689	10,000,000

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. PMC amount from Table B should be included proportionately to the focal area amount in this table.

² Indicate fees related to this project.

E. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? (Select)

(If non-grant instruments are used, provide in Annex D an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/NPIF Trust Fund).

ANNEX A: PROJECT PREPARATION GRANT (PPG) REPORTING⁷

A. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:

⁷ If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities; and report to Trustee on the closing of PPG in the quarterly report to Trustee.

PPG Grant Approved at PIF: 350,000			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF/NPIF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Still under implementation; report will be provided later.	350,000		
Total	0	0	

ANNEX B: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/NPIF Trust Fund or to your Agency (and/or revolving fund that will be set up)

Annex 1: Results Framework and Monitoring

**PROJECT: OCEAN PARTNERSHIPS FOR SUSTAINABLE FISHERIES AND BIODIVERSITY CONSERVATION–MODELS FOR INNOVATION AND REFORM
COUNTRY: GLOBAL**

PDO: The Project Development Objective is to catalyze investment into selected transformational public-private partnerships that mainstream the sustainable management of shared highly migratory stocks spanning areas within and beyond national jurisdictions. Target groups - see footnote⁸									
Indicators	Core	Unit of Measure	Base-line	Cumulative Target Values**			Data Source/ Methodology	Responsibility for Data Collection	Indicator descriptors / qualifiers etc.
				YR 1	YR 2	YR 3 & 4			
PDO Level Results Indicators									
Indicator 1: Increased investment in sustainable fisheries on shared highly migratory stocks (SHMS) [Pilot business plans (BPs) provide sufficient value proposition to catalyze public private partnerships investment]	<input type="checkbox"/>	i) No. of BP satisfactorily completed (see footnote ⁹) ii) No. of business plans financed from third party [non-project] funds	Zero		2 BP (cumulative) 0-2 BP (cumulative)	4 BP 2BP	Completed BPs / Project records	Task Team and regional EAs	BPs attract finance and mainstream fishery and BD performance (includes FPI for benchmarking)
Indicator 2: Improved ability of client states to engage effectively in regional / international policy processes [Pilot BP design and analytics inform increasing ability to engage in constructive sub/regional dialogue on collective / cooperative management of SHMS]	<input type="checkbox"/>	Proactive regional engagements discussing mechanisms for collective action on SHMS management (see footnotes 8 and 10)	Limited		1-2 regions tbd (for actions taken)	All 4 regions tbd (for actions taken)	Project records / draft regional accords or strategies etc.	Task Team and regional EAs	Dialogue extends to RFMO, LME and UN-related meetings and events.
Indicator 3: Increased inter-regional cooperation [Global Think Tank effectively facilitates learning and capacity building within all four regional subprojects, informing national, regional and global solutions relevant to SHMS management, including pilot design.]	<input type="checkbox"/>	No. of regions effectively involved in developing and sharing knowledge on SHMF management.	Zero	At least 2 regions engaged	All 4 regions engaged		Project records and GloTT event reports	Task Team and regional EAs	Add'l GloTT funding may be sought from partners; web presence significant
Intermediate Results Indicators									
Component 1: Definition and development of business plans for long-term transformational pilots for sustainable fisheries in priority ocean areas									
Intermediate Result indicator 1: Four regional subprojects established to define business plans for sustainable SHMF	<input type="checkbox"/>	No. of regional subprojects established	Zero	4 regional subprojects			Project records/reports	Task Team and regional EAs	See Note under Intermediate Result indicator 1

⁸ Primary target group is sector wide and includes inter-ministerial committees and stakeholder groupings comprising the fishing industry (harvesting through to value chains / processing and investment), the public sector (national ministries, regulatory and trade promotion authorities), and a range of international bodies (including RFMOs and LMEs.).

⁹ Verifiable indicators of BP 'quality' determined during Year 1(see last column and respective PAD M&E sections).

¹⁰ Verifiable indicators for each region will depend on the specificity of subproject activities and will be developed during the Year 1.

Intermediate Result indicator 2: Business planning processes active in all four regions	<input type="checkbox"/>	Processes underway and reflecting key factors on (i) financial attractiveness and (ii) sustainable development including BD conservation (see footnote ¹¹ and refer to respective PAD M&E sections)	Zero	1-2	All underway		Project records/reports	Task Team and regional EAs	
Component 2: An innovation grant facility									
Intermediate Result indicator 3: A grant funding and disbursement mechanism operational.		Establishment of global grant fund	Zero	Fund established & disb'ts cumulative	4 sub-projects supported	Fully disbursed by EOP	Project records/reports	CI / Task Team	
Intermediate Result indicator 4: Grants allocated to the four sub-regions to support pilot business planning processes by informing management and conservation decision making.	<input type="checkbox"/>	i) Policy analyses and business planning completed ii) Field tests (eg technologies, management arrangements, MCS) completed iii) Sub-regional capacity building and knowledge exchange events See footnote ¹² .	Zero		i) At least 6 ii) At least 4 iii) At least 6		Project records/reports	CI / Task Team	Where appropriate and as per Annex 7, these to be closely linked to GloTT effort.
Component 3: Inter-Regional Coordination, Implementation Support and Monitoring and Evaluation									
Intermediate Result indicator 5: Global Think Tank established and operational	<input type="checkbox"/>	i) GloTT established and operational plan agreed between all 4 project regions ii) No. of GloTT events (see footnote ¹³) iii) b) Knowledge platform established	Zero (all)	i) GloTT & plans established ii) 1 iii) 1	ii) 2	ii) 2	Project reports and WB and other publications	Task Team and regional EAs	Decision on web presence and comm strategy made at Inception
Intermediate Result indicator 6: Economic and Sector Work for Bank/GEF publication (and other knowledge products) to inform the management, performance and prospects for these fisheries and associated marine biodiversity	<input type="checkbox"/>	ESW publication prepared under GloTT auspices	Zero	[discussion]	Zero draft	ESW completed			1 x ESW is considered the minimum output
Intermediate Result indicator 7: M&E frameworks including roll out of the WB Fisheries Performance Indicators to determine baselines and BP quality methodologies in the 4 subproject regions	<input type="checkbox"/>	i) No. of regions with M&E framework ii) FPI roll out and trainings (under GloTT)	Zero Zero	2 regions -do-	4 Regions -do-				FPI may require project adaptations

¹¹ Business plans are defined under footnote 3.

¹² No. of reports and specific list including theme, content etc will be specified during Year 1

¹³ Details to be specified at Inception during Year 1.