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Regional Inception Workshop for the
SEAFDEC/UNEP/GEF Project:
*“Establishment and Operation of a Regional System of Fisheries Refugia
in the South China Sea and Gulf of Thailand”*

Bangkok, Thailand, 1st – 3rd November 2016

**Draft Terms of Reference, Membership, and Rules of Procedure for Regional
and National Organs of the Project Management Framework**

INTRODUCTION

The management framework for this project, depicting the inter-linkages of national and regional structures and decision making processes, is provided below in Figure 1. A key feature of this framework is the establishment of a project management structure that provide a clear separation between discussions of scientific and technical matters from discussion dealing with policy and principles at both the national and regional levels. This separation is aimed at facilitating clarity in discussions and decision-making at both scientific/technical and decision-making levels, specifically to ensure that scientific and technical considerations do not become obfuscated by political discussions. This key design principle aims to enable scientific and technical issues to be discussed and analyzed in a strictly operational context by scientists and managers from the participating countries, leading to recommendations being made to the policy level decision-making bodies (both nationally and regionally) that are solely based on the best available, scientific and technical, data and information. Additionally, the national coordination mechanisms are designed to facilitate cross-sectorial coordination and to catalyze community –led planning of actions for integrated fisheries and habitat management at the local level.

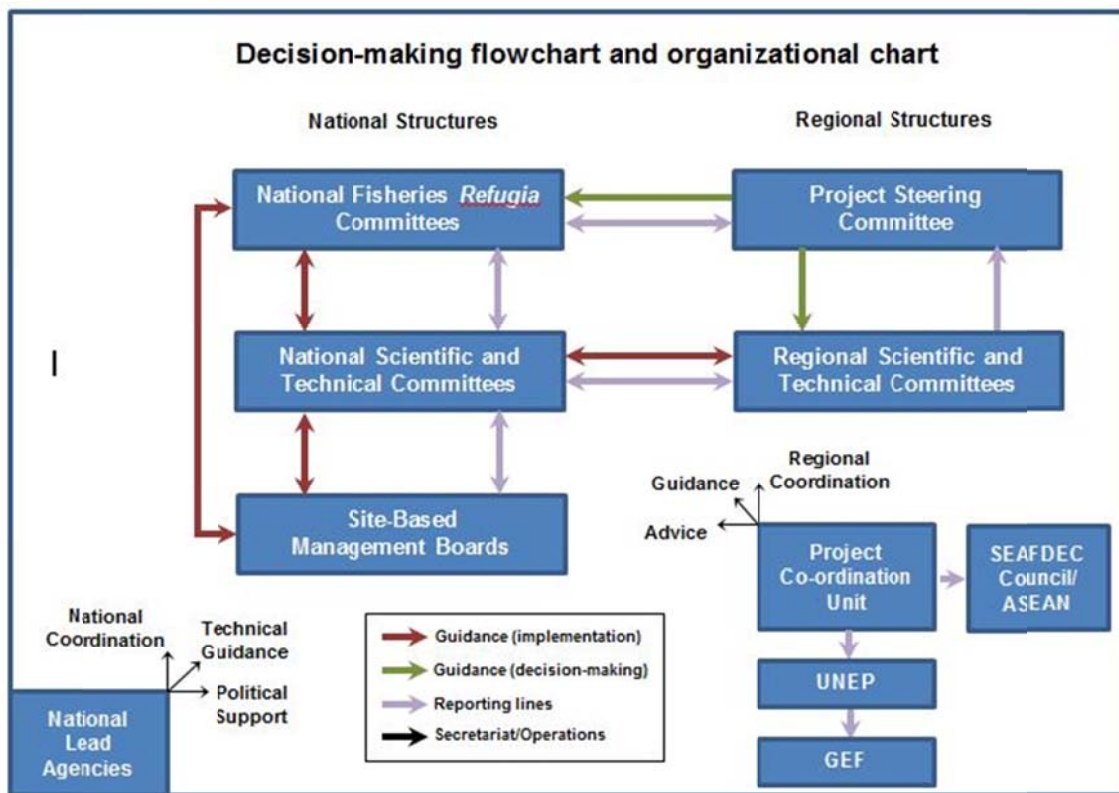


Figure 1 Project management framework for the fisheries *refugia* project

Key organs of this framework include: the Project Steering Committee; Regional Scientific and Technical Committee; the National Fisheries *Refugia* Committees; National Scientific and Technical Committees; and the Site-Based Management Boards. The National Lead Agencies and Project Co-ordinating Unit serve national and regional level coordination functions, respectively. Provisional Terms of Reference for each of these bodies were developed during project preparation and are included as follows for review and amendment, as required, by the workshop.

**PROVISIONAL TERMS OF REFERENCE
FOR THE PROJECT STEERING COMMITTEE**

1. RATIONALE AND PURPOSE OF THE PROJECT STEERING COMMITTEE

1.1 To facilitate the achievement of the goals and objectives of the SEAFDEC/UNEP/GEF project entitled “*Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand*”, a Project Steering Committee (PSC) will be established as the primary policy-making body for the project.

1.2 The PSC’s role will be to provide managerial and governance advice to the project, and to guide the Project Coordination Unit (PCU) of the Southeast Asian Fisheries Development Center (SEAFDEC) in the implementation and monitoring of the overall regional project. The PSC will also provide a regional forum for reviewing and resolving national concerns, reviewing and approving annual work plans and budgets, and provide a regional forum for stakeholder participation. One of the first activities during full project implementation will be to reconfirm and/or reconstitute the membership of the PSC, agree on meeting procedures, and finalise Terms of Reference for the PSC.

2. THE PROJECT STEERING COMMITTEE SHALL:

2.1 Provide direction and strategic guidance to the Project Co-ordinating Unit (PCU) and to National Lead Agencies regarding project implementation and execution of agreed activities over the entire period of the project;

2.2 Meet on an annual basis during the operational phase of the project to guide the timely execution of project activities;

2.3 Receive, review, and approve reports from the Project Co-ordinating Unit (PCU) regarding the outputs and outcomes of project activities;

2.4 Assist the Project Co-ordinating Unit in ensuring co-ordination among national site-based activities and other national level activities to further enhance national capacity to develop integrated approaches fisheries and environmental management;

2.5 Review stakeholder involvement in project activities and take action where necessary to ensure appropriate levels of government, NGO, community, and private sector engagement;

2.6 Ensure compatibility between the activities of site and other national level activities;

2.7 Approve annual progress reports for transmission to the SEAFDEC Council, the Implementing Agency UNEP and the GEF Secretariat;

2.8 Assist the PCU in leveraging required project co-financing and additional funds that may be required from time to time;

2.9 Work with the PCU and National Lead Agencies in mainstreaming integrated fisheries and environmental management and the replication of project successes at the national level;

2.10 Agree at their first meeting: a) the membership, meeting arrangements, and terms of reference of the committee; and b) such standing orders and manner of conducting business as may be considered necessary by the committee.

3. PROPOSED MEMBERSHIP FOR THE PROJECT STEERING COMMITTEE

3.1 Full members of the Project Steering Committee (PSC) shall consist solely of representatives of all participating countries in the project. Each country shall designate two members: one member shall be the Chairperson of the policy-level, National Fisheries *Refugia* Committee; the other shall be the Chairperson of the National Scientific and Technical Committee;

3.2 The UNEP Task Manager will participate as an observer in PSC meetings;

3.3 The PSC shall elect a Chairperson and a Vice-Chairperson from amongst its full members with responsibility for chairing each formal meeting of the Committee and for acting as Chairperson and Vice-Chairperson of any meetings convened during the subsequent inter-sessional period; and

3.4 The PSC may agree, by consensus at the commencement of each meeting to co-opt additional experts as observers or advisors to any meeting or meetings of the Committee or part thereof, as the committee shall deem appropriate.

4. SECRETARIAT OF THE COMMITTEE

4.1 The Project Director of SEAFDEC’s PCU shall act as Secretary to the meetings of the Committee.

4.2 Other staff of SEAFDEC’s PCU may provide Secretariat and technical support to the meetings of the PSC as required.

5. MEETINGS OF THE COMMITTEE

5.1 The PCU shall convene regular annual meetings of the RSC immediately following the Regional Scientific and Technical Committee meeting when the latter is convened at an appropriate time.

5.2 *Ad hoc* meetings may be convened by the Chairperson: when a majority of the Committee members make a request for such a meeting to the Project Co-ordinating Unit; and at the request of the Project Co-ordinating Unit when circumstances demand.

6. CONDUCT OF COMMITTEE BUSINESS

6.1 The Committee shall operate and take decisions on the basis of consensus, regarding any matter relating to project execution that has regional significance. Where full consensus cannot be achieved in reaching agreement during a full meeting of the Committee, on any matter relating to project execution that has regional significance, the Secretariat shall, in consultation with the Chairperson, facilitate negotiations during the subsequent inter sessional period with a view to seeking resolution, and will report the results of these negotiations to the Committee members.

**PROVISIONAL TERMS OF REFERENCE FOR THE
REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE**

1. RATIONALE AND PURPOSE OF A REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE

1.1 To facilitate the achievement of the goals and objectives of the SEAFDEC/UNEP/GEF project entitled “*Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand*”, a Regional Scientific and Technical Committee (RSTC) will be established with responsibility for: overseeing the scientific and technical elements of the project; ensuring effective implementation of activities undertaken during project execution; and providing sound scientific and technical advice to the Project Steering Committee.

1.2 The RSTC will also be responsible for ensuring that scientific and technical aspects of the fisheries *refugia* project meet International standards. Specifically, it will review the substantive activities of the project to: (1) identify and manage fisheries and critical habitat linkages at priority fisheries *refugia* in the South China Sea and Gulf of Thailand; (2) improve the management of critical habitats for fish stocks of transboundary significance via national and regional actions to strengthen the enabling environment and knowledge-base for fisheries *refugia* management; (3) enhance information management and dissemination in support of national and regional-level implementation of the fisheries *refugia* concept; and (4) strengthen national and regional cooperation and coordination in the operation of a regional system of fisheries *refugia*.

2. ROLE AND FUNCTION

2.1 As the over-riding scientific and technical body for the project, the RSTC shall provide sound scientific and technical advice to the Project Steering Committee regarding matters requiring decision and shall provide direction and strategic guidance to the national level activities of the fisheries *refugia* initiative as required.

3. THE REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE SHALL:

3.1 Regional Activities

3.1.1 Review and co-ordinate regional scientific and technical activities of the fisheries *refugia* project;

3.1.2 Review and evaluate, from a scientific and technical perspective, progress in implementation of the fisheries *refugia* project, and provide guidance for improvement when necessary;

3.1.3 Provide the Project Steering Committee with recommendations on proposed regional activities, work plans, and budgets;

3.1.4 Provide the Project Steering Committee with technical guidance and suggestions to improve project activities where necessary, including reforms of national and regional policy and planning frameworks for integrated approaches to fisheries and environmental management;

3.1.5 Facilitate co-operation with relevant international, regional, and national organisations and projects to enhance the effectiveness and efficiency of the fisheries *refugia* initiative;

3.1.6 Monitor the progress of the project's regional activities and ensure the quality of outputs.

3.2 National Activities

3.2.1 Review and evaluate, from a scientific and technical perspective, progress in implementation of the national activities of the fisheries *refugia* project, and provide guidance for improvement when necessary;

3.2.2 Receive, and review reports, data and information from national level activities of the project and oversee the regional syntheses of this information to identify overall needs and priorities for strengthening scientific and technical support to the operation of a regional system of *refugia*;

3.2.3 Receive, review, and comment on drafts of national policies and/or action frameworks; and

3.2.3 Advise the regional Project Coordinating Unit and National Focal Points of the need for public awareness and information materials concerning integrated approaches to fisheries resource and environmental management in the South China Sea and Gulf of Thailand.

4. PROPOSED MEMBERSHIP FOR THE REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE

4.1 The Regional Scientific and Technical Committee shall consist of: the Chairpersons of the National Technical and Scientific Committees (NTSC); a representative of SEAFDEC; up to 5 selected regional experts; and the Project Director of SEAFDEC's PCU.

4.2 SEAFDEC's PCU, in consultation with National Focal Points, shall nominate no more than 5 regional experts to ensure a balance of expertise and specialisation consistent with the mandate of the Committee. The membership of the RSTC shall be formally established at the first meeting, of the committee.

4.3 At the commencement of each meeting the committee shall elect a Chairperson and a Vice-Chair from amongst the members. The Vice-Chair shall act as Chairperson of meetings in the absence of the Chairperson. The Chairperson and Vice-Chair shall participate in the annual meetings of the Regional Project Steering Committee at which they shall present the reports and recommendations of the RSTC.

5. SECRETARIAT

5.1 The regional Project Co-ordinating Unit shall act as Secretariat to the RSTC and shall ensure that reports of the meetings are circulated to all members of the regional Project Steering Committee.

6. MEETINGS OF THE REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE

6.1 The regional Project Coordinating Unit in consultation with the Chairperson shall convene meetings of the RSTC according to an agreed schedule, which will form part of the agreed work plan and timetable for the work of the Committee.

6.2 The first meeting of the RSTC will be convened during project inception to: agree on the detailed activities, work plan and timetable for the twenty-four months leading to the project's mid-term evaluation: and to provide guidance to the project's emerging scientific and technical needs.

7. CONDUCT OF REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE BUSINESS

7.1 The Committee shall operate and take decisions on the basis of consensus, regarding any matter relating to project execution that has regional significance. Where full consensus cannot be achieved in reaching agreement during a meeting of the Committee, the Chair, Vice Chair and Project Director shall decide on the least contentious course of action to be adopted.

8. PARTICIPATION OF OBSERVERS IN REGIONAL SCIENTIFIC AND TECHNICAL COMMITTEE MEETINGS

8.1 The RSTC may invite observers to participate in its meetings;

8.2 Upon the invitation of the Chairperson, observers may participate in the discussion of issues within their competence or scope of activities, without the right to participate in decision-making; and

8.3 Observers may, upon invitation of the Chairperson, submit written statements that shall be circulated by the Project Coordinating Unit to the members of the RSTC.

TERMS OF REFERENCE FOR THE PROJECT CO-ORDINATING UNIT

1. RATIONALE AND PURPOSE OF A PROJECT CO-ORDINATING UNIT

The Project Co-ordinating Unit (PCU) for the UNEP/GEF Project entitled: “*Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand*” is established under the Project Document paragraph 124 as approved by the collaborating institutions and organisations during the project preparation phase as follows:

A regional Project Co-ordinating Unit (PCU) will be established within the Southeast Asian Fisheries Development Center for: overall coordination and supervision of the execution of the SEAFDEC/UNEP/GEF project entitled “*Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand*” in line with the policy and administrative guidelines provided by the GEF, UNEP and SEAFDEC. The PCU will be led by a Project Director and shall provide quality technical support, guidance and advice on the fisheries *refugia* initiative in the South China Sea.

2. ROLE AND FUNCTION

The PCU will be responsible for: overall leadership, management and technical oversight of the fisheries *refugia* project; regional project governance, monitoring and reporting; policy/technical advice and advocacy; regional coordination, including the establishment of partnerships and networking; and external communications.

3. THE PROJECT CO-ORDINATING UNIT SHALL:

3.1 Assume general responsibility for the day-to-day management and implementation of all project objectives and activities;

3.2 Prepare the annual work plan of the project, in a format consistent with SEAFDEC’s budget, work programme and monitoring and evaluation procedures and financial regulations on the basis of the regional UNEP Project Document, and in close consultation and coordination with the Project Steering Committee, National Fisheries *Refugia* Committees, National Focal Points, the UNEP Task Manager and relevant donors;

3.3 Provide Secretariat support to both the Project Steering Committee and Regional Scientific and Technical Committee;

3.4 Coordinate and monitor the activities described in the work plan, and report to UNEP and the regional Project Steering Committee;

3.5 Facilitate liaison and networking between and among the 6 country participants, relevant regional organisations, other relevant organisations, non-governmental organisations, key stakeholders and other individuals involved in *refugia* project implementation;

3.6 Foster and establish links with other related programmes and projects and, where appropriate, with other regional GEF International Waters projects, e.g. IW:LEARN;

3.7 Oversee the development of Terms of Reference for consultants and contractors, and be ultimately responsible for the delivery of work produced by consultants under the fisheries *refugia* project;

3.8 Coordinate and oversee the preparation of the substantive and operational reports for the fisheries *refugia* project;

3.9 Collect and disseminate information on policy, economic, social, scientific, and technical issues related to operation of a regional system of fisheries *refugia*;

3.10 Promote public awareness and stakeholder engagement activities necessary for successful fisheries *refugia* project implementation;

3.11 Assist in the delivery of training courses on technical matters, project management, and monitoring and evaluation to strengthen regional capacity in GEF project execution; and

3.12 Lead in the development of integrated and simplified results tracking and reporting tools for the fisheries *refugia* project to ensure effective communication with national governments, SEAFDEC

Council, UNEP and the GEF.

4. MANAGEMENT OF THE PROJECT CO-ORDINATING UNIT

4.1 The Project Co-ordinating Unit will be led by a Project Director. He/she shall liaise directly with the National Focal Points and other relevant bodies and stakeholders where relevant. He/she will also liaise with representatives of UNEP and GEF, as well as other regional donors, in order to coordinate the annual work plan for the project. He/she shall be responsible for all technical, planning, managerial, monitoring, progress and financial reporting for the project.

4.2 The Project Director will consult and coordinate closely with the Secretary General and other representatives of SEAFDEC and report directly to the Secretary General of SEAFDEC and to the UNEP Task Manager. The position of Project Director encompasses the following major functions:

- Leadership, management and technical oversight of the fisheries *refugia* project;
- Regional project governance and monitoring;
- Policy/technical advice and advocacy;
- Regional and national coordination, partnership and networking; and
- External communication

4.3 A Project Accountant of SEAFDEC will be assigned to work under the direct supervision of the Project Director. The Project Accountant will: assist in the collation of project financial information and financial reporting to UNEP and the GEF; prepare draft budget revisions and working budgets in consultation with the Project Director; assist the Project Director to prepare budget and financial statements for Project Steering Committee meetings and regularly brief the PCU on the financial status of the project; serve as an expert resource for the various committees and working groups of the project on financial reporting requirements; and provide will provide support to the PCU and the national teams on efficient and effective financial management, including training support.

4.4 Additionally, a Project Administrator of SEAFDEC will be assigned to work under the direct supervision of the Project Director. He/She will be responsible for the overall provision of administrative assistance and support across all aspects of the project. This will include: provision of administrative and technical support for the organisation of meetings/conferences; developing and maintaining the project's filing system (electronic and hardcopies of all inward and outward communications); liaison with the National Lead Agencies on asset procurement and maintenance to ensure transparent and efficient procurement and operations of project assets; providing logistical support to the conduct of project activities (workshops, stakeholder consultations, arrangements of study tours, etc.); and arrange and organise travel for project staff.

**PROVISIONAL TERMS OF REFERENCE FOR THE
NATIONAL FISHERIES *REFUGIA* COMMITTEES**

1. RATIONALE AND PURPOSE OF THE NATIONAL FISHERIES *REFUGIA* COMMITTEES

The National Fisheries *Refugia* Committees shall operate on the basis of consensus to:

1. Assume overarching responsibility for the execution of national level activities of the SEAFDEC/UNEP/GEF Fisheries *Refugia* Project [Insert Country Name];
2. Receive, review, and approve reports from the Fisheries *Refugia* Management Boards regarding the outputs and outcomes of efforts to establish and manage fisheries *refugia* sites;
3. Meet on a quarterly basis during the operational phase of the project to guide the timely execution of project activities, particularly activities at the individual *refugia* sites, and to consider, amend and endorse quarterly work-plans, narrative progress and financial reports for submission to the regional Project Coordinating Unit;
4. Provide direction and strategic guidance to the National Lead Agency and site-based management boards for individual *refugia* sites on the national and local reforms to enhance the uptake of the fisheries *refugia* approach and strengthen the integration of fisheries and environmental management;
5. Review planned and ongoing fisheries and environment projects being operated along the South China Sea coast of the Philippines with the aim of minimising duplication of efforts, and to identify opportunities for cooperation and the sharing of examples of best practices in integrated fisheries and environmental management;
6. Assess stakeholder involvement in fisheries and environmental management and to take action where necessary to ensure appropriate levels of government, civil society and community organisation, environmental NGOs, Women's groups, and private sector engagement in project activities.
7. Ensure compatibility between site-based activities of the fisheries *refugia* project and other National, provincial and municipal activities in fisheries and environmental management;
8. Approve annual progress reports for transmission to the SEAFDEC Council, UNEP and the GEF Secretariat;
9. Assist the national lead agency and focal point in securing co-financing committed to the project and in leveraging additional funding that may be required from time to time.
10. Agree at their first meeting:
 - a) the membership, meeting arrangements, and terms of reference of the committee; and
 - b) such standing orders and manner of conducting business as may be considered necessary by the committee.

**PROVISIONAL TERMS OF REFERENCE FOR THE
NATIONAL SCIENTIFIC AND TECHNICAL COMMITTEES**

1. RATIONALE AND PURPOSE OF THE NATIONAL SCIENTIFIC AND TECHNICAL COMMITTEES

The National Scientific and Technical Committee shall operate on the basis of consensus to:

1. Review and co-ordinate national scientific and technical activities of the SEAFDEC/UNEP/GEF Fisheries *Refugia* Project in [country name];
2. Review and evaluate, from a scientific and technical perspective, progress in the establishment of fisheries *refugia* sites, and provide guidance for improvement when necessary;
3. Provide the National Fisheries *Refugia* Committee with recommendations on proposed national and site-based activities, work plans, and budgets;
4. Provide the National Fisheries *Refugia* Committee with technical guidance and suggestions to improve project activities where necessary, including the reform of policy, legislation and institutional arrangements;
5. Facilitate co-operation with relevant national and provincial organisations and projects to enhance the information and science base for use in identifying and managing fisheries *refugia* in [country name];
6. Compile and evaluate national level sources of information and data for sharing at the regional level;
7. Receive, and review reports, data and information from the fisheries *refugia* sites and oversee the national synthesis of this information to identify overall needs and priorities for individual sites and networks of *refugia* sites in [country name];
8. Ensure that planned national level project activities are consistent with the national results framework for the project, and that the subsequent monitoring and reporting of project results is undertaken in a standardized and consistent manner;
9. Agree at their first meeting:
 - a) the membership, meeting arrangements, and terms of reference of the committee; and
 - b) such standing orders and manner of conducting business as may be considered necessary by the committee.

**PROVISIONAL TERMS OF REFERENCE FOR THE
SITE-BASED MANAGEMENT BOARDS**

The Site-Based Fisheries *Refugia* Management Boards shall operate on the basis of consensus to:

1. Meet on a monthly basis during the project inception period and a quarterly basis thereafter to guide the timely execution of activities to establish and operate fisheries *refugia*;
2. Receive, review and approve reports from the Fisheries *Refugia* Management Team regarding the outputs and outcomes of project activities;
3. Assist the Fisheries *Refugia* Management Team in ensuring co-ordination among the fisheries *refugia* project and other local activities undertaken during the course of the project to further enhance local capacity to strengthen the integration of fisheries and habitat management;
4. Review stakeholder involvement in project activities and take action where necessary to ensure appropriate levels of government, NGO, community, and private sector engagement;
4. Ensure compatibility between the recommendations for action at the fisheries *refugia* site with other local level activities for fisheries and coastal habitat management;
5. Review and evaluate, at the site level, progress in implementation of the project, and provide guidance for improvement to the Fisheries *Refugia* Management Team and National Fisheries *Refugia* Committee;
6. Approve quarterly progress reports for transmission to the meetings of the National Fisheries *Refugia* Committee;
7. Facilitate the approval and implementation by the competent municipal authority, management plans and courses of action developed during the course of project execution;
8. Assist the Fisheries *Refugia* Management Team in leveraging required project co-financing and additional funds that may be required from time to time;
9. Work with the Fisheries *Refugia* Management Team in identifying best practices for replication and scaling-up as well as the mainstreaming of the fisheries *refugia* approaches at the local level; and
10. Agree at their first meeting:
 - a) the membership, meeting arrangements, and terms of reference of the committee
 - b) such standing orders and manner of conducting business as may be considered necessary by the committee.

TERMS OF REFERENCE FOR THE NATIONAL LEAD AGENCIES

The National Lead Agencies shall:

1. Assume overall responsibility for the execution of the national-level activities of the SEAFDEC/UNEP/GEF Fisheries *Refugia* Project in accordance with the National Project Document and regional UNEP Project Document;
2. Provide Secretariat support to the operation of the National Fisheries *Refugia* Committee (NFRC) and the National Scientific and Technical Committee (NSTC) and convene quarterly and biannual meetings of these bodies, respectively;
3. Nominate a National Focal Point to (a) act as the main point of contact with SEAFDEC, UNEP, Chairs of the NFRC, NSTC and site based management boards, and (b) participate in annual regional Project Steering Committee meetings;
4. Plan and implement activities based on the results framework, work plan and timetable contained in the National Project Documents aimed at achieving the national-level goals and objectives for the SEAFDEC/UNEP/GEF Fisheries *Refugia* Project;
5. Prepare and facilitate endorsement, by the National Fisheries *Refugia* Committee (NFRC), of quarterly costed work plans to guide the execution of national and site-based activities of the project;
6. Submit endorsed quarterly national costed work plans to the Project Director at SEAFDEC within five (5) working days before the end of each quarter (i.e. Quarter 1 is January-March, Quarter 2 is April-June, Quarter 3 is July-September, Quarter 4 is October-December).
7. Prepare and submit quarterly progress reports, expenditure reports, and cash advance requests for endorsement by the NFRC and subsequent submission to the Project Director at SEAFDEC within five (5) working days before the end of each quarter;
8. Prepare annual progress reports on national-level activities and results of efforts to establish operational management of priority fisheries *refugia* sites;
9. Maintain accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available to ensure that all expenditures are in conformity with the provisions of the National Project Document and costed work plans endorsed by the National Fisheries *Refugia* Committee. For each disbursement, proper supporting documentation shall be maintained, including original invoices, bills, and receipts pertinent to the transaction.
10. Provide SEAFDEC with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of SEAFDEC.UNEP/GEF project funds;
11. Be responsible for the proper custody, maintenance and care of all equipment purchased for use at the national level;
12. Lead national-level efforts to secure co-financing committed to this project and to leverage additional funding required to replicate and scale-up best practices in integrated fisheries and habitat management generated through this project; and
13. Ensure that the work of the parties under this agreement is suitably promoted as part of the SEAFDEC/UNEP/GEF Fisheries *Refugia* Project, including labelling of outputs with agreed logos.