



**The 2nd Regional Scientific and Technical Committee Meeting for
the SEAFDEC/UN Environment/GEF Project on Establishment and Operation of
a Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand**

21st – 23rd May 2019

Thansur Sokha Hotel, Kampot Province (Fisheries Refugia Site), Cambodia

REPORT OF THE PROJECT DIRECTOR ON ACTIVITIES SINCE 2016 TO MAY 2019

I. INTRODUCTION

The South China Sea is a global center of shallow water marine biological diversity that supports significant fisheries that are important to food security and export incomes of the Southeast Asian countries. Consequently, all inshore waters of the South China Sea basin are subject to intense fishing pressure. With fish production being intrinsically linked to the quality and area of habitats and the heightened dependence of coastal communities on fish, a need exists to improve the integration of fish habitat considerations and fisheries management in the region.

Taking into consideration the aforementioned circumstances, SEAFDEC/Training Department (TD) embarked in 2016 a 5-year project “Establishment and Operation of a Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand” with the specific objective of “*operating and expanding the network of fisheries refugia in the South China Sea and Gulf of Thailand for improved management of fisheries and critical marine habitats linkages in order to achieve the medium and longer-term goals of the fisheries component of the Strategic Action Programme for the South China Sea.*”

To facilitate the achievement of the goals and objectives of project, a Regional Scientific and Technical Committee (RSTC) was established and its TORs was adopted at the 1st Project Steering Committee held in December 2018 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.

Since the RSTC meeting will be meet bi-annually, the 1st RSTC was held in September 2018 and the meeting agreed that the following RSTC meeting will be held in May. In this connection this paper aims to update the activities and its achievements since project started till May 2019.

II. PROGRESS ON PROJECT IMPLEMENTATION

1) SUMISSION OF LOA/LOI

1.1) Signed LOA by 4 Countries

After the Inception Workshop held in November 2016 with aims to enhance the understanding and effectiveness of the relevant fisheries officers who are nominated as a national focal points and scientific and technical focal point from 6 relevant countries on the project implementation, in 2017 there were 4 countries signed letter of agreement (LOA) namely: Cambodia (in January 2017); Philippines (in March 2017); Thailand (in March 2017); and Malaysia (in June 2017). The remaining 2 relevant countries namely Indonesia and Viet Nam are still pending till now due to emerging government policy change such as receiving Grants from the project, and policy on country collaboration with other donors, etc. However, all regional activities conducted since the project started till present, SEAFDEC/PCU invited those 6 relevant countries to participate for updating the countries situation. The follow-up and progress of submission for the LOA by remaining two countries could be summarized as follows:

1.2) Status of LOA for Indonesia and Viet Nam1.2.1. **INDONESIA**

There are two main issues related to the LOA between SEAFDEC and National Lead Agency in Indonesia: 1) any SEAFDEC activities conducted in collaboration with Indonesian National Agency on Fisheries required the MOU between SEAFDEC and National Lead Agency. However, since Indonesia is a SEAFDEC Member Country, one SEAFDEC Council, therefore do not support that SEAFDEC have to make MOU with Indonesia since April 2018. This matter is also linked to the Implementation on establishment of fisheries refugia by Indonesia that in case the overall MOU between SEAFDEC and Indonesia is signed, the implementation of Fisheries Refugia by Indonesia will be covered. 2) Issues on Co-finance particularly for in-kind and cash co-finance is one of the key issues for decision maker on countries contribution to the project. However, SEAFDEC/PCU have explained to the responsible person(s) for better understanding on both term-definitions under the frame of country commitment to the project. SEAFDEC/PCU also invited 3 representatives from MMAF/Indonesia to attend the 1st Project Steering Committee held on 4-5 December 2019 in Bangkok, Thailand where the agreed DSA rate for calculation of the in-kind Co-finance was discussed as well as the Co-finance report from other 4 countries were shown as examples for Indonesian representatives. The discussion with Indonesia on the LOA was made again at the 51th SEAFDEC Council Meeting held in Surabaya, Indonesia on 18-20 March 2019 where Indonesia commit to process on submission of the signed LOA to SEAFDEC by mid of May 2019. At present SEAFDEC/PCU keep communicates to Responsible Agency in Indonesia for the said LOA for further signing of the LOA between SEAFDEC and National Lead Agency. And SEAFDEC PCU prepare the advance budget for Country implementation as soon as received the submission of LOA from Indonesia.

1.2.2. **VIET NAM**

There are long communication with a National Focal Point on submission of the Letter of Agreement since after inception workshop in 2016. The SEAFDEC/PCU have visited Viet Nam for discussion on this matter in 2017 and follow-up with e-mail, but it is still pending. In 2018, a National Focal Point suggested SEAFDEC/PCU to change from LOA to the Letter of Intent (LOI) in which the PCU have revised and drafted the LOI before submission to NFP/Viet Nam in mid of August 2018 for further consideration and in-country coordination. The drafted LOI was discussed again in early of 2019, and Viet Nam led by D-Fish as a National Lead Agency agreed the LOI signed by SEAFDEC and D-Fish in April 2019. In this connection, SEAFDEC PCU received the submission of LOI from Viet Nam signed on 3 May 2019.

2) ESTABLISHMENT OF FISHERIES REFUGIA SITES BY 4 RELEVANT COUNTRIES

To date, a total of ten priority fisheries *refugia* sites have been identified (see details from the Map) and implemented in four countries as follows:

- a) **Cambodia**, there are 3 priority fisheries *refugia* sites as follows:
 - i. Kep Province: for blue swimming crab (*Portunus pelagicus*) *refugia* at relevant habitats areas such as coral, mangrove and seagrass bed off Kep coastal area;
 - ii. Kampot Province: for juvenile grouper (*Epinephelus spp.*) *refugia* in the seagrass bed. This is a new priority site to replace Preah Sihanouk Province for juvenile grouper *refugia* in the coral reef area of Koh Rong Archipelago where the local government reserved as a conservation area in 2018; and
 - iii. Koh Kong Province: for short mackerel (*Rastrelliger brachysoma*) *refugia* that is identified as a transboundary species with Trat Province of Thailand;
- b) **Malaysia**, there are 2 priority fisheries *refugia* sites as follows:
 - i. Tanjung Leman, Johor: for spiny lobsters (*Panulirus polyphagus* as a main species) and other *Panulirus spp.* such as *P. versicolor*, *P. ornatus*, *P. homarus* and *P. longipes*) *refugia*; and
 - ii. Miri, Sarawak: for tiger prawn (*Penaeus monodon*) *refugia*
- c) **Philippines**, there are 3 priority fisheries *refugia* sites as follows:
 - i. Bolinao, Pangasinan: for Rabbitfish (*Siganus spp.*) *refugia* in seagrass bed off Bolinao;

- ii. Masinloc, Zambales :- for juveniles of Frigate tuna (*Auxis thazard*) refugia; and
 - iii. Coron, Palawan: for fusilier fish refugia in coral reef area, and mud crab refugia in mangrove area.
- d) **Thailand**, there are 2 priority fisheries refugia sites as follows:
- i. Trat Province: for short mackerel (*Rastrelliger brachysoma*) as a transboundary species with Koh Kong Province of Cambodia; and
 - ii. Surat Thani Province: for blue swimming crab (*Portunus pelagicus*) refugia. This is a new priority site to replace short mackerel in Samui Archipelago where the Fisheries Department established a refugia under the national management policy for short mackerel since 2017 as one of the follow-up activities under the UNEP/GEF/SCS Phase I, by this reason a new refugia site for blue swimming crab is agreed at the National Fisheries Refugia Committee.

Figure 1 shows the priority sites and selected target species of fisheries refugia in 4 countries and will be finalized soon for the Refugia Sites in Indonesia and Viet Nam.

For Indonesia, there are 2-3 tentative priority fisheries refugia sites proposed by Indonesia during the Inception Workshop in November 2016 and reiterated at the 1st Regional Scientific and Technical Committee Meeting in September 2018: **two priority sites** are at Bangka Belitung and Tambelan Bintan for the small pelagic fishes; another one is at Benkayang in west coast of Borneo for penaeid shrimps. The target species for those three priority sites will be discussed again after Indonesia start the project implementation.

In addition, for Viet Nam, there are also 2-3 tentative priority sites of fisheries refugia, the details on target selecting species will be consulted with national focal point and relevant officers after country's appointment..

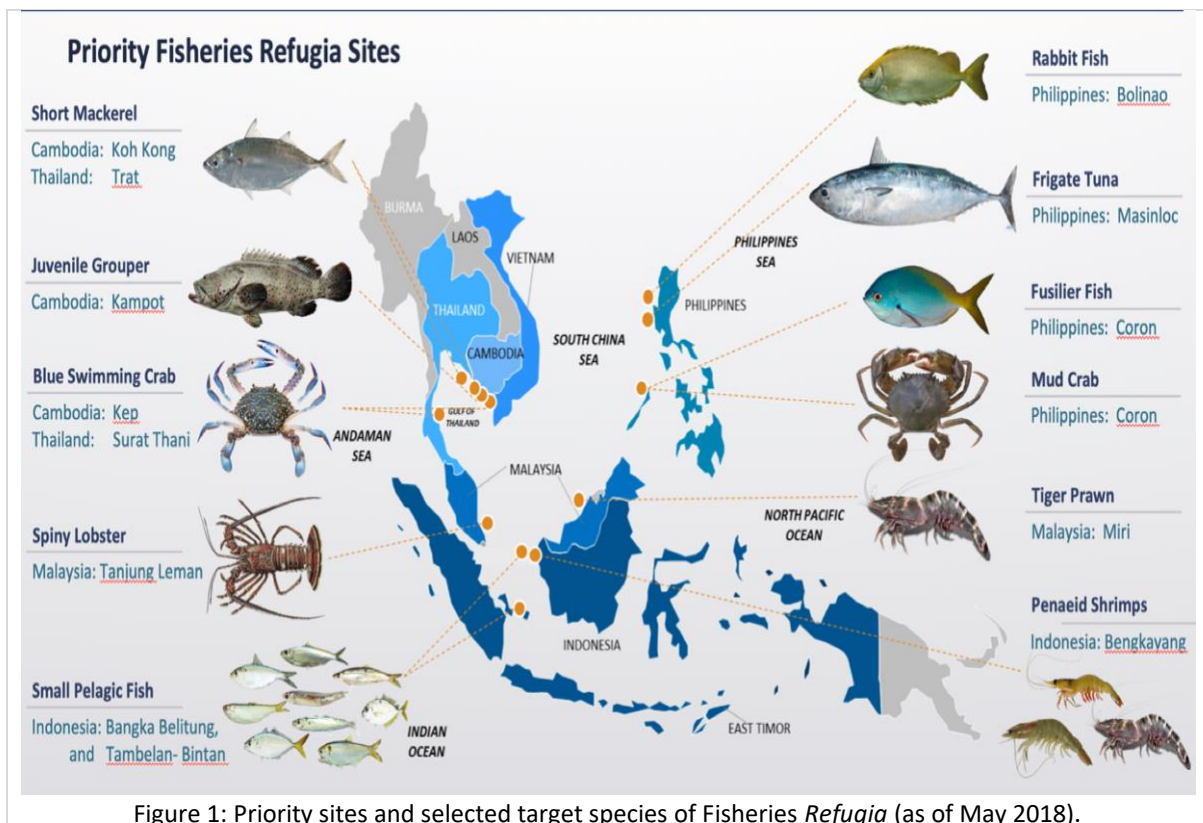


Figure 1: Priority sites and selected target species of Fisheries Refugia (as of May 2018).

3) ALL ACTIVITIES AND ACHIEVEMENTS SINCE PROJECT STARTED

Site Level Inception Workshops and Baseline Data Collection are generally conducted by participating countries since starting the project implementation in 2017. Major achievements had been attained. These included:

- a) intensive series of consultations on the boundaries of fisheries *refugia* which have been supported by facilitated processes to identify key threats to fisheries *refugia* sites and initiate discussion about possible management measures for evaluation, *i.e.* governance reviews, stakeholder analyses, socio-economic information and data collation, and reviews of existing management arrangements that are still underway;
- b) improvement of 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 in the South China Sea, *i.e.* development of working document for regional level review on key threats from fishing and the environment to fish stock and critical habitat linkages at the priority sites in the participating countries; existing regulations and by-laws in the areas of the ten (10) sites where the project is presently working, compiled and reviewed with feedback provided to national teams to aid in the formulation of recommendations on policy and legal reforms to support promotion of responsible fishing at times and at locations critical to fish stock and critical habitat linkages; workshops with local stakeholders and officials on policy and legal aspects of *refugia* (terminology, procedures, recommended reforms) in the participating countries that allowed discussions viewed through a more realistic lens to reflect the local stakeholders' needs, expectations, and concerns about socio-economic impacts of management; questionnaire survey templates prepared to: (a) compile and update information and data on the distribution of habitats, known spawning areas, locations of *refugia*, MPAs, fisheries management areas, and critical habitats for endangered species; (b) produce detailed site characterizations for the 10 of the 14 priority fisheries *refugia* sites for incorporation into national and regional datasets, and preparation of detailed Terms of Reference for the development and application of a modeling system linking oceanographic, biochemical, and fish early life history information to improve regional understanding of fish early life history and links to critical habitats and discussion with regional universities, and internationally-recognized institutions with expertise in this field;
- c) information management and dissemination in support of national and regional-level implementation of the fisheries *refugia* concept in the South China Sea, *i.e.* the www.fisheries-refugia.org webpage established and populated with newly developed short films, and journal articles written by regional project staff, all supported by various social media platforms including YouTube and Facebook, and a six-part short film social media campaign prepared and disseminated in December 2017; and
- d) national cooperation and coordination for integrated fish stock and critical habitat management in the South China Sea and Gulf of Thailand were enhanced through the signing of Letters of Agreement with four out of the six participating countries, training of national teams in project management and governance arrangements, and following up on the progress of establishing agreements in ten out of 14 sites including the detailed terms of reference for site-based management boards (as of May 2019).

3.1 REGIONAL ACTIVITIES, TECHNICAL SUPPORT AND ACTIVITIES UNDER GEF/UNEP

During the year 2018, The PCU had undertaken a series of country visit to supporting national lead agency for the project in undertaking quarterly and annual project work planning, budgeting and reporting. The support mission was started from National Fisheries Research and Development Institute, Philippine, Fisheries Administration Cambodia, Department of Fisheries of Thailand, and Department of Fisheries of Malaysia, respectively. Also, The PCU's staffs participated to project partner activities such as the SEAFDEC-Sweden project, SEAFDEC-JTF project as well as the Ocean and Fisheries Partnerships. Participations to the SEAFDEC regional meetings hosted by said donors are aimed to strength the project cooperation and coordination with other SEAFDEC Donors on specific issues such as Gender mainstreaming in Fisheries Social Well-being, fish stock assessments, etc. The summary of all activities has been compiled since started till present are shown in **ANNEX 1**.

3.2 MONITORING AND SELF-EVALUATION ON PROJECT PERFORMANCE

Since 2017, the project has been implementing until present, the PCU circulated the Project Performance and Risk template (**ANNEX 2**) which is modified from the original form developed by UNEP. This template for self-evaluation was sent to all national focal point of participating countries (CAM, MY, TH and VN) for inputs, and the PCU has already received the feedback from 3 countries namely Cambodia, Malaysia and Thailand by due date in first week of May 2019. These inputs from relevant countries will be helpful to the PCU to compile and further reporting to the UNEP within June 2019 (fiscal year of UNEP/GEF). The inputs from Philippines is also welcomed by end of May 2019.

3.3 FINACIAL AUDIT

At the 1st Project Steering Committee Meeting, the financial auditing by external firms have been discussed and agreed. The PCU therefore further communicated to all country on the selecting of the firm for financial audit of the country activities. The purpose of financial audit are: a) gef funds were covered by the scope of the audit; b) proper books of account have been maintained; c) all project expenditures are supported by vouchers and adequate documentation; and d) the expenditure reports provide a true and fair view of the financial condition and performance of the project.

The financial audit will be conducted into 3 phases:

- 1) For 2017-2018 (as of 31 December 2018)
- 2) For 2019 (as of December 2019)
- 3) For 2020 (as of December 2020)

In this connection, country has selected in consultation with the PCU to hire an external audit company to conduct annual professional financial audits and submit their certified audit reports to the PCU as soon as possible but not later than mid of JUNE 2019. The list of financial audit firms are as follows:

Country Name and SEAFDEC/PCU	Financial Auditing Firm
Cambodia	FIDES SERVICES CAMBODIA
Malaysia	ADIB AZHAR & CO. (Chartered Accountants)
Philippines	COMMISSION ON AUDIT
Thailand	P&A AUDIT COMPANY LIMITED
SEAFDEC Project Co-ordinating Unit	P&A AUDIT COMPANY LIMITED

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ANNEX 1: The activity carried-out by the PCU during November 2016 to May 2019**A: Participation to the GEF events, Regional and International For a:**

Activity	Period	Objective	Results/outputs
1. Attended to the 8 th Annual Large Marine Ecosystem and Coastal Partners Meeting, IOC/UNESCO Headquarters	6-9 December 2016	To strengthen the cooperation of the project.	Promotion of the Fisheries <i>Refugia</i> Project to another LMEs
2. Attended to the 6th Meeting of the GoT Meeting	28 February – 3 March 2017	To strengthen the cooperation with alignment project implementing by other donors.	Introduction of the Fisheries <i>Refugia</i> Project to the GoT project
3. Attended to the 49th Meeting of SEAFDEC Council	2-8 April 2017	To strengthen the cooperation of the project.	Report the progress of Fisheries <i>Refugia</i> project to SEAFDEC Council
4. Participation to the UN conference	5-9 June 2017	To strengthen the cooperation of the project.	Promotion of the Fisheries <i>Refugia</i> Project to another agencies. Discussion with UN Environment for future cooperation
5. Attended to Sustainable Agro Business Forum 26-27 Sep	26-27 September 2017	To strengthen the cooperation for the project.	Observation and sharing of information on Fisheries <i>Refugia</i>
6. Attended to the Building International Partnership to Enhance Science Based Ecosystem Approaches and the 19 th Annual Large Marine and Coastal Partners Meeting	27 November – 1 December 2017	To strengthen the cooperation of the project.	Observation and sharing of information on Fisheries <i>Refugia</i>
7. Attended to the Experts Consultation Workshop on Guidance to Monitoring and Evaluation of Gender Equality and Social Well-being	8-10 August 2018	To strengthen the cooperation with alignment project implementing by other donors.	The list of indicators for gender mainstreaming to support the implementation of the project
8. Attended to the 2 nd Sub-Regional Technical Meeting on Effective Fisheries Management between Cambodia and Thailand	29-30 August 2018	To strengthen the cooperation with alignment project implementing by other donors.	Support workplan for management of transboundary species between Thailand and Cambodia.
9. Organized the 1 st Regional Scientific and Technical Committee meeting, Trat Province, Thailand	10-14 September 2018	To strengthen the regional cooperation in the integration of scientific knowledge and research outputs with management and policy making.	Report on the progress work of the project activity at national level to the RSTC. Shared experience and discussed on scientific and technical aspects of the fisheries <i>refugia</i> project

10. Attended to the 7th meeting of the Gulf Thailand sub-region, Pattaya, Chonburi	31 October – 3 November 2018	To strengthen the cooperation with alignment project implementing by other donors.	Introduction of the Fisheries <i>Refugia</i> Project to the GoT project
11. the attend the 41st meeting of the SEAFDEC Program Committee meeting, Langkawi, Malaysia	4 – 8 November 2018	To strengthen the cooperation of the project.	Report the progress of Fisheries <i>Refugia</i> project during year 2018 to SEAFDEC Program Committee.
12. Attended to the 9th GEF biennial international waters conference & the 20th annual LME (marine)consultation at Marrakech, Morocco	3 – 8 November 2018	To strengthen the cooperation of the project.	Promotion of the Fisheries <i>Refugia</i> Project to another LMEs
13. Organized the 1st Project Steering Committee meeting of the SEAFDEC/UNEP/GEF project, Bangkok, Thailand	4 - 5 DECEMBER 2018	To strengthen the regional cooperation in the establishment and operation of a regional system of fisheries <i>refugia</i>	The countries statements to supports for implementation of the project was shared to the meeting Agreed on the terms of reference and rules of procedure for the project steering committee Agreed on the national results framework and proposed workplan adjustment for 2019 and onward; discussed on the financial arrangements for national and regional programs including the expenditures in 2017 till September 2018
14. Attended to the 2 nd Annual Asia-Pacific Regional Network Meeting, Hanoi	18 February 2019	To strengthen the cooperation of the project.	Promotion of the Fisheries <i>Refugia</i> Project to another LMEs and GEF small grant program focal point.
15. Attended to the training course on MPS & Blue Economy and Ocean Governance	19-21 February 2019	To building up the capacity of PCU staff and share the information on project implementation in the South China Sea and Gulf of Thailand	The PCU staff gained a new knowledge on MSP and Ocean Governance. Promotion of the Fisheries <i>Refugia</i> Project implementation to another LMEs
16. Attended to the Regional Workshop on “GoT Fish: Promoting the Blue Economy of the Gulf of Thailand through the Ecosystem Approach to Fisheries”	14-15 March 2019	To strengthen the cooperation for the project.	Observation and sharing of information on Fisheries <i>Refugia</i>
17. Attended to the Fifty-first Meeting of the Council (51CM) of the Southeast Asian Fisheries	18-22 March 2019	To strengthen the cooperation of the project.	Report the progress of Fisheries <i>Refugia</i> project to SEAFDEC Council

Development Center (SEAFDEC) in Surabaya City, East Java, Indonesia			
18. Attend the 12th Intergovernmental Session of the IOC Sub-Committee for the Western Pacific (WESPAC-XII), Manila, the Philippines	2-5 April 2019	To strengthen the cooperation of the project particularly on Ocean Science Information sharing	Make use the existing Ocean Simulation developed under the Thai-China Cooperation within the framework of IOC/Westpac.
19. Organized the 2 nd Regional Scientific and Technical Committee meeting, KAMPOT, CAMBODIA	21-23 MAY 2019	To strengthen the regional cooperation in the integration of scientific knowledge and research outputs with management and policy making.	Report on the progress work of the project activity at national level to the RSTC. Shared experience and discussed on scientific and technical aspects of the fisheries <i>refugia</i> project

B: Attend and Support Member Countries on National Activity

Activity	Period	Objective	Results/outputs
1. Attended to the Fisheries <i>Refugia</i> Management Committee Meeting, Coron, Philippines	18-22 April 2017	To attend the site-based committee meeting	Observation and Technical support to national activities
2. Technical support for Cambodia	30 January – 3 February 2017	To support the national lead agency for project work planning and budgeting	Observation and Technical support to national activities
3. Technical support for Philippines	5-8 February 2017	To support the national lead agency for project work planning and budgeting	Observation and Technical support to national activities
4. Technical support for Vietnam	13-16 February 2017	To support the national lead agency for project initiating phase	Observation and Technical support to national activities
5. Technical support for Malaysia	6-8 March 2017	To support the national lead agency for project work planning and budgeting	Observation and Technical support to national activities
6. Technical support for Philippines	18-28 February 2017	To support the national lead agency for project work planning and stakeholder consultation meeting	Observation and Technical support to national activities
7. Technical support for cambodia	4-6 May 2017	To support the national lead agency for project work planning and budgeting	Observation and Technical support to national activities
8. Technical support for cambodia	2-6 July 2017	To support the national lead agency for project work planning and budgeting	Observation and Technical support to national activities
9. Organized the Capacity Building for Stakeholder Consultation Workshop	1-3 August 2017	To building a capacity of the national project staff on arrangement of stakeholder Consultation Workshop	2 representatives from Cambodia, 3 from Thailand, and 3 from Philippine had trained

10. Technical support for Thailand	7 September 2017	To support the national lead agency for project work planning	Observation and Technical support to national activities
11. Technical support for Cambodia	14-17 October 2017	To support the national lead agency for project work planning, budgeting, and reporting	Observation and Technical support to national activities
12. Attended to the inauguration ceremony of FR information center on Tanjung Leman, Malaysia	19-20 November 2017	To attend for inauguration ceremony of FR information center on Tanjung Leman	Observation on the achievement on establishment of the Fisheries <i>Refugia</i> institution at selected site
13. Filming of footage at Kep province, Cambodia	14- 20 December 2017	To support the communication and social media of the project.	Fisheries Refugia film
14. Consultation visit to NFRDI, Philippine	20-22 June 2018	To support the national lead agency on project reporting and budgeting	Observation and Technical support to national activities
15. Consultation visit to FiA, Cambodia	18-20 July 2018	To support the national lead agency on project reporting and budgeting	Observation and Technical support to national activities
16. Consultation visit to DoF, Malaysia	24-27 July 2018	To support the national lead agency on project reporting and budgeting	Observation and Technical support to national activities
17. Attended to the stakeholder consultation workshop, at Bolinao, Pangasinan, Philippines	18 – 21 September 2018	To support the national lead agency on project reporting and budgeting	Observation and Technical support to national activities
18. the visit MMAF/ID for discussion with MMAF on the fisheries refugia LoA at the Our Ocean conference in Nusa Dua Bali, Indonesia	29 - 30 October 2018	To support the national lead agency for project initiating phase	Observation and Technical support to national activities
19. Technical support for Cambodia	8-9 January 2019	To support the national lead agency for project work planning, budgeting, and reporting	Observation and Technical support to national activities
20. Support a Technical Training for fisheries officers of Fisheries Administration (FiA)/Cambodia on Biological Studies of Short Mackerel (<i>Rastrelliger Branchysoma</i>) Koh Kong Province, Cambodia	12-15 February 2019	To building capacity for fisheries officers of Fisheries Administration (FiA) /Cambodia on Biological Studies of Short Mackerel (<i>Rastrelliger Branchysoma</i>)	9 fisheries officers of Fisheries Administration (FiA) /Cambodia gained the knowledge on biological study of Short Mackerel (<i>Rastrelliger Branchysoma</i>) for base-line information and data collection, which aim to support establishment of fisheries <i>refugia</i> area in Cambodia. Also, they learned on how to apply the aerial visual application to support the project implementation at level site.

C: Development of website and VDO

Activity	Period	Objective	Results/outputs
1) Developed the project website	October 2016	To develop a prototype project website	Project website was initially developed with URL address: https://fisheries-refugia.org/
2) Developed the Short film and animations for the project	December 2016	To produce an inception phase short film and animation for the project	A short film of the project was launched on the project website, Facebook fan page, and YouTube channel of the project.
3) Improved the Fisheries Refugia Websites	Mar-May 2019	To restructure of the prototype project website developed in 2016 and provide update news, information as well as including the country webpage for sharing to public.	Project website was upgraded with URL address: https://fisheries-refugia.org/

ANNEX 2: Country Inputs on Rating Project Performance and Risk

For 2019 Fiscal Year (June)

1. RATING PROJECT PERFORMANCE AND RISK

Based on inputs by the National Focal Point (NFP), the PCU, Project Director will make an overall assessment and provide ratings of:

- (i) Progress towards achieving the project objective(s)- see section 1.1
- (ii) Implementation progress – see section 1.2

Section 1.3 on Risk should be first completed by the NFP. The PCU, Project Director will subsequently enter his own ratings in the appropriate column.

1.1 Progress towards achieving the project objective (s)

Project objective and Outcomes	Description of indicator	Baseline level	Mid-term target	End-of-project target	Progress rating ¹
Outcome 1: <i>Reduced stress on fish stocks and coastal habitats via improved national management of key anthropogenic threats to fisheries and critical habitat linkages in the South China Sea and Gulf of Thailand</i>	1. Status of boundary delineation and agreement on proposed management interventions	<i>Refugia</i> site locations identified regionally although need to work with stakeholders, locally including academe and researchers, to delineate boundaries	Equivalent to end-of-project target	Agreement among stakeholders on the boundaries of fisheries <i>refugia</i> , key threats to <i>refugia</i> , and priority management interventions for 14 sites	
	2. Status of adoption and implementation of the management plans, Total area of fisheries <i>refugia</i> (ha) under management	Guide to planning of <i>refugia</i> management developed and published in inter-governmentally endorsed regional guidelines and a need exists to apply this at the local level	Key threats to fisheries <i>refugia</i> sites identified Draft management plans	Community-based <i>refugia</i> management plans developed, adopted, and under implementation at 14 fisheries <i>refugia</i> sites	
	3. Status and effectiveness of the management board and volunteer networks	Efforts to strengthen monitoring, control, and surveillance capabilities in all countries are ongoing, although need exists to refine scope of work to support <i>refugia</i> management	None	Networks of management boards and community-based fisheries and habitat management volunteers for <i>refugia</i> management established at 14 fisheries <i>refugia</i> sites.	

¹ Use GEF Secretariat required six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). See Annex 2 which contains GEF definitions.

Project objective and Outcomes	Description of indicator	Baseline level	Mid-term target	End-of-project target	Progress rating ¹
	4. Increase in the proportion of target community members [minimum of 30 percent women] participating in <i>refugia</i> management, including enforcement, at the site level	Capacity building programmes at the community level focus on seafood quality and capacity issues with little emphasis on links between fisheries and environment	Stakeholder capacity for participation in mgmt. benchmarked Agreed objectives, syllabus and schedule for capacity building activities	Community capacity programmes at 14 fisheries <i>refugia</i> sites, including participatory activities to monitor fish habitats within <i>refugia</i> , collect lost and abandoned fishing gear, and develop responsible fishing practices at the community level	
	5. Number of GEF Small Grants Programme projects commissioned and implemented in support of <i>refugia</i> management objectives	Low level mobilization of civil society, community organization and the private sector in site-based fisheries and habitat management	Suitable GEF SGP proponent identified at 14 sites	Operational partnership with the GEF Small Grants Programme to strengthen civil society and community organisation participation	
Outcome 2: <i>Increased institutional capacity in the 6 participating countries for the designation and operational management of fisheries refugia via the transformation of enabling environments and the generation of</i>	1. Status of policy revision and endorsement	Environmental impacts of fishing and aquaculture reflected in national and regional fisheries policies although minimal attention to effects of fishing on critical fish habitats			
	2. Status of endorsement of national guidelines	ASEAN-SEAFDEC regional guidelines endorsed			
	3. Status of endorsement of national fisheries <i>refugia</i> policies, enactment of supporting laws, and plan implementation	Absence of clear and effective policies, laws, and plans relating to the demarcation of boundaries, formal designation, and operational management of fisheries <i>refugia</i>			

Project objective and Outcomes	Description of indicator	Baseline level	Mid-term target	End-of-project target	Progress rating ¹
<i>knowledge for planning</i>	4. Volume of new and additional information compiled on: biomass trends; recruitment; fish size; fish habitat area and quality; and volume and value of landings by fishing area and fishing gear use	Review of fisheries and their habitats on the SCS coast prepared for Cambodia, Indonesia, the Philippines, Thailand and Viet Nam during 2004-2006	Proposed policy and legal reforms for promotion of responsible fishing at priority sites formulated Consultations with fishing industry initiated	Measures for the fisheries sector's sustainable use of fish habitats and biodiversity, and based on site-level models of ecosystem carrying capacity, incorporated in the fisheries policies of participating countries	
	5. Status of national and regional databases and the number of datasets contained therein	Access to data generated from fish early life history research constrained both nationally and regionally by a lack of central repository	Guidelines drafted National and local consultative process initiated	National guidelines on the use of fisheries <i>refugia</i> in integrating fisheries and habitat developed and endorsed by heads of national government departments responsible for fisheries and) environment in the participating countries	
	6. Status of the national and regional GIS and the number of sites presented and characterised	Information relating to fisheries and their habitats contained a number of national databases and the SCS project website although need for improved access to information regarding management areas	Consultations on required policy & legal reforms for <i>refugia</i> demarcation and management initiated	National policy, legal and planning frameworks for demarcating boundaries and managing <i>refugia</i> assessed and required reforms endorsed in the participating countries and reflected in an updated regional action plan	
	7. Completeness of site characterisations for 14 priority <i>refugia</i>	Information collection largely focuses on volumes with little attention to species & size selectivity of gear, size frequency and maturity, role of habitats in production	First annual synthesis reports published	Annual synthesis reports of new and additional information and data relating to the stocks of priority fish, crustaceans and molluscs and their habitats published in each country and disseminated at national and regional levels	

Project objective and Outcomes	Description of indicator	Baseline level	Mid-term target	End-of-project target	Progress rating ¹
	8. Status of modelling system and extent of its use in decision-making and planning	Absence of information regarding links between circulation patterns, biochemistry and fish early life history in the South China Sea and Gulf of Thailand	National and regional inventories of fish egg and samples prepared First annual status report on fish early life history research prepared	Establishment and population of 6 online national databases, and 1 regional database, of fish egg and larvae distribution and abundance in national waters and the SCS basin	
	9. Status of demonstration activities	Few regionally or locally appropriate examples of practical solutions to key threats to fisheries <i>refugia</i>	Site characterisation templates prepared and agreed by NSTC and RSTC	National and regional online Geographical Information Systems on fisheries and marine biodiversity featuring information on locations and management status of coastal habitats, fisheries <i>refugia</i> , MPAs, and critical habitats for threatened and endangered species	
<p>Outcome 3: <i>Strengthened knowledge management and information sharing and access for enhanced uptake of good practice in integrating fisheries management and biodiversity conservation in the design and implementation of fisheries and</i></p>	<p>Number of best practice approaches and measures tested and codified</p> <p>Number, scope and reach of communications to share best practices</p> <p>Demonstrable use of best practices in policy and planning</p>	<p>Lessons learned in coastal habitat management from the SCS project's network of 23 demonstration sites have been documented, although there are few regionally relevant examples of best practice in integrated fisheries and biodiversity management</p>	<p>Online database for cataloguing best practice examples accessible via project website</p>	<p>Best practice approaches and measures for integrated fisheries and habitat management captured, documented and communicated nationally and regionally</p>	
	Extent of community acceptance of the use of fisheries <i>refugia</i> in coastal fisheries management	Awareness programmes at the community level rarely address area-based management approaches	Community acceptance of <i>refugia</i> approach in project Yr 1 benchmarked	Public awareness and outreach programme to promote local social, economic and environmental benefits of fisheries <i>refugia</i> implemented at 14 priority locations in the South China Sea and Gulf of Thailand	

Project objective and Outcomes	Description of indicator	Baseline level	Mid-term target	End-of-project target	Progress rating ¹
<i>environmental management systems, including Marine Spatial Planning</i>	<p>Status of national web portals</p> <p>Status of publication of GEF IW experience notes</p>	<p>No existing mechanism for the capture, management and sharing of knowledge and experiences in the use of area-based tools for fisheries management in the South China Sea region</p>	<p>Web portal for the exchange of knowledge on <i>refugia</i> approach accessible online</p>	<p>National knowledge management systems on the use of fisheries <i>refugia</i> in capture fisheries management established and operational</p>	
	<p>Status of the Regional Education and Awareness Centre at SEAFDEC</p> <p>Volume of information and education material compiled, produced and made accessible</p>	<p>Access to information and training materials on integrated fisheries and habitat management limited to that produced through SCS project and accessible via SCS website</p>	<p>None</p>	<p>Regional Education and Awareness Centre on fisheries and critical habitats established and operating as a facility for the production and sharing of information and education materials for <i>refugia</i> management</p>	
	<p>Status of regional agreements</p> <p>Extent of demonstrated use of the agreed procedures in operation of site-level information and data collection programmes</p>	<p>Efforts to standardise reporting of regional fisheries statistics underway although little consideration given to issues relating to fish stock and habitat links</p>	<p>None</p>	<p>Regional agreement on standardised information and data collection procedures in support of longer-term operation of a regional system of fisheries <i>refugia</i>, including design of stress reduction and environmental state indicators for managed <i>refugia</i></p>	
<p>Outcome 4: <i>Cost-effective and efficient coordination of national and regional level</i></p>	<p>Extent and continuity of national government agency participation in National Fisheries <i>Refugia</i> Committee meetings</p>	<p>Limited cross-sectorial engagement in the planning of coordinated actions to manage threats to fish stocks and critical habitat linkages</p>	<p>Quarterly meetings of NFRCs</p>	<p>National Fisheries <i>Refugia</i> Committees (NFRC) established in 6 countries, functional and advising national decision-makers and regional <i>fora</i></p>	

Project objective and Outcomes	Description of indicator	Baseline level	Mid-term target	End-of-project target	Progress rating ¹
<p><i>cooperation for integrated fisheries and environmental management</i></p>	<p>Status of the NTSC's and the uptake of the scientific and technical advice they provide</p>	<p>Lack of a formal mechanism for the sharing of science and technical knowledge between government agencies and other stakeholders involved in fish stock and coastal environmental management in all countries</p>	<p>Biannual meetings of NTSCs</p>	<p>National Technical and Scientific Committees (NTSC) established in 6 countries, functional and advising site-level management boards, the NFRC and the Regional Scientific and Technical Committee</p>	
	<p>Continuity of participation of community stakeholders in the planning, monitoring and evaluation of fisheries <i>refugia</i> management</p>	<p>Minimal stakeholder participation in planning of local actions to manage threats to fish stocks and critical habitats linkages</p>	<p>Quarterly meetings of Site-Based Management Boards</p>	<p>Local community action catalysed via establishment and operation of site-based management boards for fisheries <i>refugia</i> at 14 locations in the South China Sea and Gulf of Thailand</p>	
	<p>Status of the RSTC and the uptake of the scientific and technical advice it provides</p> <p>Continuity of participation of members in annual meetings</p>	<p>Lack of a formal mechanism for the sharing of science and technical knowledge relating to fisheries <i>refugia</i></p>	<p>Biannual meetings of the RSTC</p>	<p>Regional Scientific and Technical Committee (RSTC) established and functioning as a bridge between the scientific community and decision-makers for operation of a regional system of fisheries <i>refugia</i> [annual meetings]</p>	
	<p>Status of the PSC</p> <p>Continuity of participation of members in annual meetings</p>	<p>UNEP and GEF requirement for establishment of regional decision making and planning body for the project</p>	<p>Annual meetings of the PSC</p> <p>Completion of Annual Project Implementation Reviews</p>	<p>Project Steering Committee established and functioning to oversee and act as a principal decision making body for the project</p>	

Project objective and Outcomes	Description of indicator	Baseline level	Mid-term target	End-of-project target	Progress rating ¹
	Program coordination unit recruited and staff retained	Executing agency has managed components of larger FAO/GEF projects but is yet to act as executing agency for GEF project of this magnitude	Timely and cost effective delivery of project outputs	Functioning regional Project Coordinating Unit (PCU) supporting the coordination of regional and national level activities associated with the establishment and operation of regional system of fisheries <i>refugia</i> and meeting reporting requirements of UNEP and the GEF	

1.2 Project implementation progress

Outputs ²	Expected completion date ³	Implementation status as of 30 May 2019 (%)	Comments if variance ⁴ . Describe any problems in delivering outputs
Outputs 1 Adopted management plans including regular reports of meetings of national and regional project management bodies, and Reports of independent mid-term and terminal project evaluations			
Activity 1.1: Developing fisheries and coastal habitat information and data collection programmes for national priority fisheries refugia sites			
Activity 1.2: Facilitating agreement among stakeholders on the boundaries of fisheries refugia at national priority fisheries refugia sites			
Activity 1.3: Developing Community-Based Management Plans for national priority fisheries refugia sites			
Activity 1.4: Establishing operational management for national priority fisheries refugia sites			

² Outputs and activities as described in the project logframe or in any updated project revision.

³ As per latest workplan (latest project revision)

⁴ Variance refers to the difference between the expected and actual progress at the time of reporting.

Outputs ²	Expected completion date ³	Implementation status as of 30 May 2019 (%)	Comments if variance ⁴ . Describe any problems in delivering outputs
Activity 1.5: Strengthening civil society and community organization participation in the management of national fisheries refugia sites			
Output 2: Endorsed policies and plans including regular reports of meetings of national and regional project management bodies, and Reports of independent mid-term and terminal project evaluations			
Activity 2.1: Enhancing policy guidance for improved management of the effects of fishing on critical habitats in the 6 participating countries			
Activity 2.2: Defining the policy and legal basis for formal designation and establishment of fisheries refugia in the 6 participating countries			
Activity 2.3: Development of national guidelines on the establishment and operation of fisheries refugia and reflected in an updated regional refugia action plan			
Activity 2.4: Reforming national and regional policy, legal and planning frameworks for demarcating boundaries and managing refugia			
Activity 2.5: Enhancing access to information relating to status and trends in fish stocks and their habitats in waters of the SCS marine basin			
Activity 2.6: Improved national and regional-level management and sharing of information and data on fish early life history in the waters of the SCS			
Activity 2.7: Enhancing access to information relating to the locations and status of coastal habitats and management areas in the SCS			
Activity 2.8: Strengthening the information base for the planning, monitoring and evaluation of			

Outputs ²	Expected completion date ³	Implementation status as of 30 May 2019 (%)	Comments if variance ⁴ . Describe any problems in delivering outputs
management at priority fisheries refugia sites			
Activity 2.9: Improving basin-wide understanding of linkages between ocean circulation patterns, nutrient/chlorophyll concentrations, and sources and sinks of fish larvae in the South China Sea			
Activity 2.10: Regionally and locally appropriate best practices generated to address the effects of trawl and push net fishing on seagrass habitat, and the capture of juveniles, pre-recruits and fish in spawning condition			
Output 3: Routine communications on progress and lessons learned prepared and shared including Annual results reports published and disseminated, and National and regional web portals for knowledge management and information exchange accessible online			
Activity 3.1: Enhancing uptake of best practices in integrating fisheries management and biodiversity conservation in the ⁶ participating countries			
Activity 3.2: Improving community acceptance of area-based approaches to marine management in the ⁶ participating countries			
Activity 3.3: Knowledge generated and experiences from establishing and operating fisheries refugia captured and shared nationally, regionally, and globally			
Activity 3.4: Information and Education Campaigns for small-scale fisherfolk on the links between fisheries, habitats and biodiversity coordinated regionally through a Regional Education and Awareness Centre			
Activity 3.5: Standardised methods for collection and analysis of information and data for use in assessing impacts of refugia and design appropriate indicators for the longer-term operation of the regional system of fisheries refugia			

Outputs ²	Expected completion date ³	Implementation status as of 30 May 2019 (%)	Comments if variance ⁴ . Describe any problems in delivering outputs
Output 4: Regular reports of meetings of national and regional project management bodies including Reports of independent mid-term and terminal project evaluations			
Activity 4.1: Strengthened cross-sectoral coordination in the establishment and operation of fisheries refugia in the participating countries			
Activity 4.2: Harnessing national scientific and technical expertise and knowledge to inform policy, legal and institutional reforms for fisheries refugia			
Activity 4.3: Catalyzing local community action via establishment and operation of site-based management boards at 14 priority refugia sites			
Activity 4.4: Regional cooperation in the integration of scientific knowledge and research outputs with management and policy making			
Activity 4.5: Regional cooperation in the establishment and operation of a regional system of fisheries refugia			
Activity 4.6: Effective coordination of regional and national-level activities and reporting requirements of UNEP and GEF satisfied			
Output 3: Routine communications on progress and lessons learned prepared and shared including Annual results reports published and disseminated, and National and regional web portals for knowledge management and information exchange accessible online			

1.3. Risk

There are two tables to assess and address risk: the first “risk factor table” to describe and rate risk factors; the second “top risk mitigation plan” should indicate what measures/action will be taken with respect to risks rated **Substantial** or **High** and who is responsible to for it.

RISK FACTOR TABLE											
<p>Project Managers will use this table to summarize risks identified in the Project Document and reflect also any new risks identified in the course of project implementation. The Notes column should be used to provide additional details concerning manifestation of the risk in your specific project, as relevant. The “Notes” column has one section for the Project Manager (PM) and one for the UNEP Task Manager (TM). If the generic risk factors and indicators in the table are not relevant to the project rows should be added. The UNEP Task Manager should provide ratings in the right hand column reflecting his/her own assessment of project risks.</p>											

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Country Rating						Notes	Project Director Rating (compiled all)							
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined		
INTERNAL RISK																		
Project management																		
Management structure	Stable with roles and responsibilities clearly defined and understood	Individuals understand their own role but are unsure of responsibilities of others	Unclear responsibilities or overlapping functions which lead to management problems							Country: PCU								
Governance structure	Steering Committee and/or other project bodies meet periodically and provide effective direction/inputs	Body(ies) meets periodically but guidance/input provided to project is inadequate. TOR unclear	Members lack commitment Committee/body does not fulfil its TOR							Country: PCU								
Internal communications	Fluid and cordial	Communication process deficient although relationships	Lack of adequate communication between team							Country:								

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Country Rating						Notes	Project Director Rating (compiled all)					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
		between team members are good	members leading to deterioration of relationships and resentment							PCU						
Work flow	Project progressing according to work plan	Some changes in project work plan but without major effect on overall timetable	Major delays or changes in work plan or method of implementation							Country:						
										PCU						
Co-financing	Co-financing is secured and payments are received on time	Is secured but payments are slow and bureaucratic	A substantial part of pledged co-financing may not materialize							Country:						
										PCU						
Budget	Activities are progressing within planned budget	Minor budget reallocation needed	Reallocation between budget lines exceeding 30% of original budget							Country:						
										PCU						
Financial management	Funds are correctly managed and transparently accounted for	Financial reporting slow or deficient	Serious financial reporting problems or indication of mismanagement of funds							Country:						
										PCU						
Reporting	Substantive reports are presented in a timely manner and are complete and	Reports are complete and accurate but often delayed or lack critical analysis of	Serious concerns about quality and timeliness of project reporting							Country:						

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Country Rating						Notes	Project Director Rating (compiled all)					
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined
INTERNAL RISK																
Project management																
	accurate with a good analysis of project progress and implementation issues	progress and implementation issues								PCU						
Stakeholder involvement	Stakeholder analysis done and positive feedback from critical stakeholders and partners	Consultation and participation process seems strong but misses some groups or relevant partners	Symptoms of conflict with critical stakeholders or evidence of apathy and lack of interest from partners or other stakeholders							Country: PCU						
External communications	Evidence that stakeholders, practitioners and/or the general public understand project and are regularly updated on progress	Communications efforts are taking place but not yet evidence that message is successfully transmitted	Project existence is not known beyond implementation partners or misunderstandings concerning objectives and activities evident							Country: PCU						
Short term/long term balance	Project is addressing short term needs and achieving results with a long term perspective, particularly sustainability and replicability	Project is interested in the short term with little understanding of or interest in the long term	Longer term issues are deliberately ignored or neglected							Country: PCU						

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Country Rating						Notes	Project Director Rating (compiled all)							
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined		
INTERNAL RISK																		
Project management																		
Science and technological issues	Project based on sound science and well established technologies	Project testing approaches, methods or technologies but based on sound analysis of options and risks	Many scientific and /or technological uncertainties							Country:								
										PCU								
Political influences	Project decisions and choices are not particularly politically driven	Signs that some project decisions are politically motivated	Project is subject to a variety of political influences that may jeopardize project objectives							Country:								
										PCU								
Other, please specify. Add rows as necessary										Country:								
										PCU								

Risk Factor	Indicator of Low Risk	Indicator of Medium Risk	Indicator of High Risk	Project Manager Rating						Notes	Task Manager Rating							
				Low	Medium	Substantial	High	Not Applicable	To be determined		Low	Medium	Substantial	High	Not Applicable	To be determined		
EXTERNAL RISK																		
Project context																		
Political stability	Political context is stable and safe	Political context is unstable but predictable and not a threat to project implementation	Very disruptive and volatile							Country:								
										PCU								
Environmental conditions	Project area is not affected by severe weather events or major environmental stress factors	Project area is subject to more or less predictable disasters or changes	Project area has very harsh environmental conditions							Country:								
										PCU								
Social, cultural and economic factors	There are no evident social, cultural and/or economic issues that may affect project performance and results	Social or economic issues or changes pose challenges to project implementation but mitigation strategies have been developed	Project is highly sensitive to economic fluctuations, to social issues or cultural barriers							Country:								
										PCU								
Capacity issues	Sound technical and managerial capacity of institutions and other project partners	Weaknesses exist but have been identified and actions is taken to build the necessary capacity	Capacity is very low at all levels and partners require constant support and technical assistance							Country:								
										PCU								
Others, please specify																		