

DRAFT

UNITED NATIONS DEVELOPMENT PROGRAM
INTER-COUNTRY PROJECT OF THE ASEAN MEMBER COUNTRIES

PROJECT DOCUMENT

No. & Title : RAS/86/115/A/01/12 Monitoring, Control and surveillance
of Fisheries in the Exclusive Economic Zones of ASEAN
Countries

Duration : 18 months

Project site: Jakarta, Indonesia

Acc/UNDP sector and sub-sector: UNDP and Cost-Sharing Financing
4 - 40

Government sector and sub-sector:	UNDP	
	IPF (regional)	\$400,000
	Other	Nil

Government implementing agency: COFAF through ASEAN Coordinating Group on Fisheries		Nil
	Total	----- \$400,000

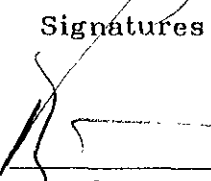
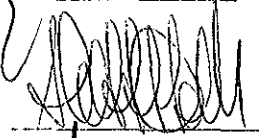
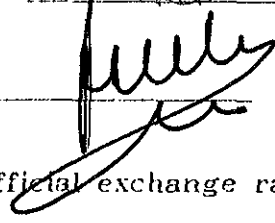
Executing Agency: FAO of the United Nation

Estimated Starting Date: Sept. 1, 1988

Government Inputs : Host Government - Project Head Quarters accommoda-
tion, utilities, local transport

(in kind, local currency) Use of training centre(s). Defrayed
cost of student board and room.
Use of patrol vessel, patrol aircraft
(with supplementary defray of
costs by project).

Brief description: Training activities at a regional (ASEAN) level to train
trainors for the subsequent rational application of modern fisheries manage-
ment techniques in the monitoring, control, and surveillance of fisheries in
the exclusive economic zones of ASEAN Countries. To demonstrate to
senior line officers through short study tours the practices of modern
Monitoring, Controls, Surveillance programmes in selected developed
countries. To provide high level consultant advice in specific problem
areas.

on behalf of	Signatures	Date	Name/Title (type out)
ASEAN		4/1/89	Roderick Yong Secretary-General
Executing Agency		17.1.89	Hans A.H. Dalil FAO Representative
U.N.D.P.			24 JAN 1989



United Nations official exchange rate at date of last signature:
\$1.00=Rp.

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PART I

A. CONTEXT

1. Description of sub-sector

The marine fisheries encompassed by waters of the member countries of ASEAN constitute a primary source of economic benefit for South East Asia as well as for millions of its inhabitants. As the sea areas are vast the task of managing these resources demands the investment of national wealth on an unprecedented scale and a level of time and effort which must assure a maximum sustained yield.

With the establishment of Exclusive Economic Zones the sea areas falling within national jurisdiction has in some cases doubled, with the consequence that the monitoring, control, and surveillance (M.C.S.) of the fisheries activity of these waters present problems of massive proportions to ASEAN governments.

Without the skills and resources necessary to provide modern fisheries control and management, great losses are suffered, not only through exploitation by non-ASEAN countries but also through the losses of value added benefits such as processing. A further and even greater loss occurs from the long term decline if fish populations are not conserved through scientific management measures.

The governments of ASEAN have recognized the potential problems since the inception of the new Law of the sea and have successfully secured the recognition of archipelagic waters as being integral with traditional territorial seas.

In 1981 ASEAN, through its' Committee on Food Agriculture and Forestry (COFAF) requested the FAO/UNDP, South China Sea Programme to prepare a regional project which would address the control problems presented by the new ocean regime. Accordingly a plan of action was drawn up with help from Australia and Canada. A draft project document was approved by COFAF in 1982.

Financial and other constraints unfortunately mitigated against implementation of the approved project up to the present time. However, funds now available permit the beginning of a regional effort to confront and resolve the more salient aspects of the tasks outline in original studies.

2. ASEAN strategy

Within the principles contemplated by ASEAN policy is the expressed recognition that shared and migratory fish populations constitute both a common property and a common responsibility. There is also a treaty obligation under the Law of the Sea to ensure optimal exploitation of all living marine resources.

In accordance with these undertakings ASEAN has encouraged its membership to promote the introduction of modern fisheries management practices throughout the region. This has sometimes taken the form of co-operation fostered by TCDC. The present project will illustrate this same principle through a shared effort to provide training in critical areas necessary to strengthen regional capability in this mutually recognized area of paramount economic importance.

3. Prior or on-going assistance

Over many years throughout the region FAO/UNDP has provided assistance in discrete areas of marine fisheries management. Thus, there has been training in many of the biological aspects of management such as stock assessment. Much also has been done to improve fishing gear and methods, and significant work has been done in fish processing technology, product development, and the compilation and utilization of catch data and other economic intelligence. The FAO/UNDP contribution to marketing in the region is particularly noteworthy. Much of this development work is ongoing.

ASEAN has long recognized however, that a critical gap exists in the actual physical measurement and control of fishing activities as they take place, both domestic and foreign, now commonly designated as monitoring, control and surveillance (M.C.S.)

4. Institutional framework

The project will have its headquarters in Jakarta Indonesia as agreed by the ASEAN Coordinating Group on Fisheries (ACGF), executed by FAO and participating countries through the framework of the ASEAN Committee on Food, Agriculture, and Fisheries (COFAF). A direct link will be maintained between FAO and COFAF through the ACGF which serves as the advisory group of the project. The ACGF will periodically review the progress of the project and provide guidance on all project activities.

B. PROJECT JUSTIFICATION

1. Problems to be addressed: the present situation

With the advent of the establishment of Exclusive Economic Zones the ASEAN countries have been faced with the formidable tasks necessary to the realization of sustained optimal yields in these zones and the consequent necessity of exercising effective day to day surveillance over vast sea areas. For Indonesia alone the EEZ doubled the sea area under its jurisdiction from 3.1 to 5.8 million Km². The potential fish catch was increased in the order of approximately two million tons annually. Proportionally increased "new" resources are possible of realization in the EEZ's of most other ASEAN countries. These benefits are in addition to the

increased catch in former territorial seas through the application of modern resource management techniques.

From a regional standpoint, the management and effective utilization of shared stocks can most effectively be brought about by harmonized management practices, made possible by ASEAN which is dedicated to the attainment of such common objectives.

At the national level it is necessary to insure not only that a proper balance exists between inshore and offshore fishing pressures, but that protection is provided against the incursion of unlicensed vessels and the abuse of licencing privileges by other countries. It must also be seen that the exercise of national sovereignty is effective.

Among member nations there are great differences of scale in terms of fishing areas, fleet size, foreign encroachment, gear conflicts, legislative preparedness and availability of expertise and equipment. Clearly, all these concerns can not be addressed with the limited resources available to ASEAN.

There are, however, certain key aspects of M.C.S. development assistance which will yield proportionately greater benefits against costs than others for a given investment in aid. Foremost among these are large scale training at both senior and intermediate levels. Details of such training follow under other headings. Another is the provision of expert advice to policy makers and senior administrators which would facilitate the identification of institutional constraints within governments to the effective implementation of modern M.C.S. practices. Expert advice in legal matters relating to E.E.Z. management has also been requested. Some modest provision must also be made for ad hoc high level consultation to address individual national problems in resource management.

A further justification of the project derives from the need to establish a uniformity of approach to M.C.S. matters by member governments and the formation of trained cadres upon which future development assistance in this field can be mounted.

This in turn contemplates and leads predictably to the need for a modern computer based information and communication systems at both national and regional levels. Provision of expert assistance in this field is available from specialized development assistance agencies of interested donor governments. Pending the possible realization of such assistance this project is obliged to make provision for a consultant to advise senior officers of the improved management possible from practical applications of modern information and communications systems as they apply to M.C.S. Consideration may be given to the preparation of a pilot scale activity for this purpose for possible implementation in a second phase. consideration of such an activity could also usefully profit from consultation with the Forum Fishery Agency (Honiara) which has been notably successful in such work.

Annex VIII provides information essential to a better understanding of the justification of this initial project activity in its broader regional context.

2. Expected end of project situation

At the end of this initial M.C.S. development activity significant numbers of senior officers will have been either introduced to or brought up-to-date on the application of M.C.S. principles and practice through personal exposure to an actual operating environment dealing with large scale fisheries of a similar nature to those found in ASEAN countries. They will acquire a set of standards toward which they may direct their own national efforts suitably adjusted to local situations.

At the intermediate level, officers charged with various aspects of marine resource management at provincial levels will acquire a greater appreciation of not only the potential economic gains that remain to be realized, but also an overview of the strategies and tools available to accomplish this, including in particular the means to carry out and direct monitoring, control and surveillance operations to best effect.

Member governments will have also had available the advice and guidance of senior consultants in the structuring and content of the M.C.S. training programme, the planning of M.C.S. strategies and their cost effective application, the advice of expert legal counsel in M.C.S. related matters, and the expert assistance of a consultant in information and communication applications.

This later category of assistance could well form a major component in a second phase of the project and could encourage and enhance the regional role of COFAF. Such follow up activity could also contemplate further training, possibly modified to reflect phase I experience. It could also offer advice in the cost effective utilization of capital M.C.S. equipment (vessels and aircraft) and provide advice in such areas of control as quotas, licencing, gear regulation, area closures, control and command centres and other monitoring and control measures considered to have possible applicability in the region. More precise identification of second phase requirements could be elicited at the time of phase I review and evaluation, but would be partly based on a need to appraise the success of the Forum Fisheries Agency with a view to emulating or adopting appropriate regional elements of its resource management programme.

3. Target beneficiaries

The immediate beneficiaries of the project would be national fishery management bodies concerned with M.C.S.

The target beneficiaries will be the national fishermen and fish processing workers presently placed at a disadvantage by shortcomings in the competitive ability of national fishery administrations vis-a-vis foreign fishery interests.

Ultimately the beneficiaries are the people of member countries who look to government to provide easily available and affordable animal protein foods for sustenance and health.

4. Project strategy

As touched upon earlier, the prioritization process engendered by a paucity of funds necessitates concentration on measures that have greatest potential impact and cost effectiveness. To avoid a "shotgun" approach the project has been focussed on training in a relatively narrow aspect of overall resource management, but an aspect that has heretofore received inadequate attention, to the continuing detriment of the economic aspirations of ASEAN member countries. This is the activity usually characterized as "monitoring, control and surveillance of fisheries in Exclusive Economic Zones", the title of the project.

In regionally oriented fishery management systems one must strive for mutuality of purpose and practice. A harmonious approach is mandatory. In training fishery officers at both senior and intermediate levels the project makes a necessary discrimination between the type of instruction offered to the two levels, while at the same time encouraging universality in approach throughout the region by training officers of all member countries at the same time.

The level of participant will have been selected to result in the greatest chance of replication (multiplier effect) and the formation of long term cadres upon which to build in future.

As the project is unable to address all problems which may arise in other important aspects of M.C.S., modest provision for expert consultation has been made as mentioned earlier.

While the thrust of training is not particularly complex an indicative syllabus of training activities is attached as annex 4 for later alteration and refinement as appropriate by project training advisers.

5. Reasons for assistance from UNDP/Executing Agency

As the progenitor of this project was the FAO/UNDP South China Sea Programme it follows logically that implementation of the activities originally advocated by that programme should fall to the same agency.

In addition, marine fisheries are international in nature and technical assistance provided on an inter-country basis is not normally organized through bilateral channels.

These facts coupled with the implementing structures already in being through FAO/UNDP provide further logic for assistance from that quarter.

6. Special Considerations

1. Because living marine resources are a truly regional and inter country food source they are most effectively monitored and managed through a regional approach. In South East Asia fish are almost as crucial an element in the diet as rice. It is, therefore, of critical importance that every modern facility for effective management be brought to bear, and with sufficient impact to arrest and reverse downward trends in availability and production. In years past this situation may have been less apparent to governments and development assistance agencies than at present, however, the enthusiasm for this project demonstrates a strong will by ASEAN governments to remedy this.

2. As this project has regional application and is geared toward a rather specific aspect of marine resource management, the possibilities for co-ordination with other projects is limited. During the course of the project however the Project Co-ordinator will avail himself of any opportunities for mutually beneficial co-operation in the same sub-sector.

3. The number and excellence of fishery training institutions in ASEAN countries have been a major consideration in planning this project. Institutions such as those at Tegal/Semarang in Indonesia and at Penang in Malaysia are perhaps best suited to the training contemplated. A final determination of venue will be made by the Project Co-ordinator in consultation with the AGCF. Host governments within ASEAN have traditionally provided outstanding support for fishery training activities.

C. DEVELOPMENT OBJECTIVE

The broad objective of the project is to provide assistance to individual national governments through an existing and designated regional mechanism (ASEAN) aimed at enhancing national capabilities to realize optimal economic benefits from the scientific utilization of living marine resources in their Exclusive Economic Zones and to work toward co-operative arrangements for the rational exploitation of shared and migratory stocks. Institution building is, therefore, seen as an intermediate objective in moving towards the prime objective.

D. IMMEDIATE OBJECTIVES, OUTPUTS AND ACTIVITIES

OBJECTIVES

1. Strengthening of the capabilities of national fisheries administrations concerned with monitoring, control and surveillance of fisheries in E.E.Z.'s.

1.1 Output 1

A representative group (14) of senior line officials are exposed to modern national M.C.S. programmes. Australia, New Zealand and Canada may be considered for study tour programme.

1.1.1 activity 1 - Request member governments to nominate study tour participants.

1.1.2 Activity 2 - Arrange with local Embassy of Study Tour host country details of government element responsible for tour, including content, itinerary and requested travel documentation.

1.1.3 activity 3 - Assemble and provide briefing at project Headquarter to participants on all details of Study Tour. Ensure that persons selected will be in a position to utilize training received.

1.1.4 activity 4 - Carry out Study Tour, keeping a comprehensive record of all activities and study material provided.

1.1.5 activity 5 - Ensure comprehensive debriefing and evaluation of study tour by participants.

1.2 Output 2

Fifty operation intermediate level officials are trained for effective organization and administration of modern techniques of monitoring, control and surveillance aimed at improved resource utilization and management.

1.2.1 activity - Secure the services of an experienced senior consultant to assist in the preparation of syllabus and course material in consultation with appropriate fishery officers of member governments. Ensure that course material prepared is suitable for use by regional instructors.

1.2.2 activity 2 - Select regional training institution in consultation AGCF. Ensure classrooms and training equipment will be available on schedule. Arrange for suitable student accommodation during training period. Malaysian Fisheries Training Institute facilities may be considered for training middle level fisheries officials.

- 1.2.3 activity 3 - Request nomination of course participants by member governments. Adjust training arrangements to reflect final numbers attending.
- 1.2.4 activity 4 - Retain services competent national/regional instructors in consultant with training centre officers.
- 1.2.5 activity 5 - Complete travel arrangements for participants utilizing most economical airfares available.
- 1.2.6 activity 6 - Carry out training in accordance detailed Work Plan and training content prepared by consultants and project staff.
- 1.2.7 activity 7 - Carry out evaluation of training. Results to be incorporated in project evaluation and review documents.

1.3 Output 3

Implementation of M.C.S. programmes by senior level officials of participating governments.

- 1.3.1 activity 1 - Provide direct support to senior levels of government concerned with the organization and implementation of M.C.S. in national E.E.Z.'s through the provision of consultancies in particular areas of interest and concern. This would cover requirements not contemplated as part of training activities.
- 1.3.2 activity 2 - Provide consultant advice when required in conjunction with consideration of a model or pilot scale activity aimed at eventual establishment of a regional information and communication centre. Particular reference may be made to the Forum Fishery Agency for this purpose. (See Annex VIII)
- 1.3.3 activity 3 - Obtain senior headquarters and/or consultant advice in connection with legislative or legal concerns arising from matters relating to M.C.S or the Convention on the Law of the Sea.
- 1.3.4 activity 4 - Make modest provision for ad hoc consultant services in M.C.S. related matters to afford of a flexible response by the project to the concerns of ASEAN member governments.

2. Standardization of operational techniques for M.C.S. for the fisheries administrations in the ASEAN region.

2.1 Output 1

A standard manual on M.C.S. procedures within the ASEAN region prepared.

- 2.1.1 activity 1 - With the assistance of FAO headquarters secure the services of a person suitably qualified to compile and/or adapt M.C.S. procedural manuals appropriate to conditions prevailing in the ASEAN region and to prepare a draft manual accordingly. This draft to be circulated to governments.
- 2.1.2 activity 2 - With the assistance of the Host Government convene a Workshop of short duration to finalize final details of the procedural manuals. Arrange for circulation to ASEAN membership.
- 2.1.3 activity 3 - Arrange for publication of approved manual through ASEAN and/or FAO auspices.

E. INPUTS

1. ASEAN inputs

ASEAN, through AGCF, will provide periodic advice and guidance during the implementation of the project.

2. Government inputs

2.1 The host ASEAN country will provide rent-free furnished office facilities for the project including staff, seconded officers, a meeting room and storage space. The host government shall also defray costs for transport, electricity, water and telephone services (excluding international communications) and provide maintenance and security services.

2.2 All non-host ASEAN countries will provide counterpart contributions in kind to cover local services and facilities in connection with activities of the project staff, such as temporary office space, secretarial assistance, vehicles, vessels, and meeting rooms.

2.3 The ASEAN governments will provide appropriate national counterparts to work with the project staff and consultants during assignments in the country. In particular, member countries shall provide a designated officer to liaise with the project on a continuing basis.

I. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Governments of () and the United Nations Development Programme, signed by the parties on (date). The host country implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government co-operating agency described in that Agreement.

This project document shall be the instrument envisaged in the Supplemental Provisions to the Project Document, attached hereto. The host country implementing agency shall, for the purpose of the Supplemental Provisions to the Project Document, refer to the government co-operating agency described in the Supplemental Provisions.

The following types of revisions may be made to this project document with the signature of the UNDP resident representative only, provided he or she is assured that the other signatories of the project document have no objections to the proposed changes;

(a) Revisions in, or addition of, any of the annexes of the project document.

(b) Revisions which do not involve significant change in the immediate objectives, outputs or activities of a project, but are caused by the rearrangement of inputs already agreed to or by cost increases due to inflation; and

(c) Mandatory annual revisions which rephrase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility.