

# INTEGRATED SAFEGUARDS DATA SHEET

## CONCEPT STAGE

**Report No.:** ISDSC1339

**Date ISDS Prepared/Updated:** 10-Nov-2013

**Date ISDS Approved/Disclosed:** 11-Nov-2013

### I. BASIC INFORMATION

#### A. Basic Project Data

<b>Country:</b>	World	<b>Project ID:</b>	P128437
<b>Project Name:</b>	Ocean Partnerships for Sustainable Fisheries&Biodiversity Conservation (P128437)		
<b>Task Team Leader:</b>	Tim Bostock		
<b>Estimated Appraisal Date:</b>	02-Dec-2013	<b>Estimated Board Date:</b>	25-Feb-2014
<b>Managing Unit:</b>	AES	<b>Lending Instrument:</b>	Investment Project Financing
<b>GEF Focal Area:</b>	Multi-focal area		
<b>Sector(s):</b>	General agriculture, fishing and forestry sector (25%), Other industry (25%), Public administration- Agriculture, fishing and forest ry (25%), Agro-industry, marketing, and trade (25%)		
<b>Theme(s):</b>	Biodiversity (25%), Environmental policies and institutions (25%), Other Private Sector Development (25%), Other economic management (15%), Other rule of law (10%)		
<b>Financing (In USD Million)</b>			
<b>Total Project Cost:</b>	10.00	<b>Total Bank Financing:</b>	0.00
<b>Financing Gap:</b>	0.00		
<b>Financing Source</b>			<b>Amount</b>
Borrower			0.00
Global Environment Facility (GEF)			10.00
Total			10.00
<b>Environmental Category:</b>	B - Partial Assessment		
<b>Is this a Repeater project?</b>	No		

#### B. Project Objectives

14. The project will develop business plans that attract investment into a series of fisheries

improvement pilots that mainstream the sustainable management of highly migratory stocks (such as tuna, billfish and sharks) spanning areas within and beyond national jurisdiction. The business plans will incorporate a value proposition for investment – the economic, technical, financial and political/institutional rationale needed to attract public and / or private sector investment.

15. Once implemented (which can happen either during or after project completion), the pilots will contribute to increasing sustainable, net economic benefits to coastal and island developing countries while enhancing ocean biodiversity conservation.

### **C. Project Description**

The project is a Technical Assistance (TA) operation that will finance prioritization, analysis and development of business plans for up to four globally significant areas covering fisheries of highly migratory stocks occurring within developing coastal and island states' exclusive economic zone (EEZ) and adjacent areas beyond national jurisdiction (ABNJ). Business plans will identify investments that support sustainable rights-based fisheries management.

Business plan development will be undertaken through regional or global Executing Agencies (EA). EAs will be selected during preparation of the project, and may include one or more of the following entities:

- Caribbean - West and Central Atlantic Fisheries Commission (WECAFC [www.fao.org/fishery/rfb/wecafc/en](http://www.fao.org/fishery/rfb/wecafc/en))
- Eastern Pacific - World Wildlife Fund ([www.worldwildlife.org](http://www.worldwildlife.org)); Inter-American Tropical tuna Commission (IATTC - <http://www.iattc.org/>)
- West and Central Pacific - Forum Fisheries Agency (Pacific Islands FFA - <http://www.ffa.int/>)
- Bay of Bengal - Bay of Bengal Program (BOBP-IGO - <http://www.bobpIGO.org/>)

The Project is organized into three components:

Component 1: Development of Business Plans to support public or private sector investment in up to four areas on sustainable fisheries. This component will support technical and financial development of up to four regional long-term business plans for fisheries on highly migratory stocks occurring within developing coastal and island states' waters and in areas beyond national jurisdiction adjacent to small island development states (SIDS) or coastal developing states. Business Plan Candidates identified to date are listed in Table 1.

Table 1 – Indicative Business Plan Candidates

1. Caribbean billfish and shark: Potential institutional mechanisms to support compensation payments to commercial / artisanal fishers to adopt catch and release, tagging or non-targeting of iconic species. Partners include (for billfish) Western and Central Atlantic Fisheries Commission (WECAFC).
2. Bay of Bengal India/Tamil Nadu [Sri Lanka and Maldives]: Under consideration with Bank IDA (Tamil Nadu and Puducherry Coastal Disaster Risk Reduction Project). Covers regional (India, Sri Lanka, Maldives) tuna fisheries access management instruments, by-catch and conservation. Partners include Bay of Bengal Programme and the Ministry of Fisheries in Tamil Nadu.
3. Western and Central Pacific: Supporting efforts by Pacific Island Nations to develop and take forward initiatives on more effective management of tuna stocks. Under consideration with Bank IDA investment (Pacific Island Regional Oceanscape Program - PROP). Partners include the Forum Fisheries Agency and Parties to the Nauru Agreement Office.

4. Eastern Pacific Ocean Exploring efforts to build on existing capacity measures under InterAmerican Tropical Tuna Commission (IATTC) and ideas being tabled by industry and partners. Ideas emerging include (1) tradable bigeye tuna by catch quotas in exchange for an exemption to the annual closure; (2) trading of harvest capacity (expressed as hold capacity); (3) converting hold capacity into tradable tonnage quota. Partners wide ranging and embrace industry (Mexico, Ecuador, Spain), WWF, IATTC, ISSF.

Business Plan candidates will be selected based on their ability to demonstrate the potential to achieve rapid transformational change. Once selected for inclusion in the project, activities to support development of the Business Plans will involve: (i) preparatory analyses including identifying reform pathways and supporting sector analytics and scenario planning, (ii) investment plan development, and (iii) mapping of public and/or private capital to implement the final business plans .

The Project will not invest in the actual implementation of any of the suggested reform pathways that are described in the Business Plans.

Component 2: Oceans Innovation Fund. This grant facility will contribute to the transformational impact that the Business Plans are expected to realize. A \$2 million grant window will support further analytical work to inform development of the business plans. The aim of the fund is to stimulate innovation that directly supports preparation of the business plans including, for example, creation of links between market-based certification and rights-based management in target fisheries as well as new techniques for by-catch reduction.

Component 3: Monitoring and evaluation of four project areas and Innovation Fund, advocacy and lesson learning. This component will finance: (i) monitoring and evaluation of project activities, including investments of those business plans successful in attracting third party financing; (ii) knowledge, communications and advocacy; and, (iii) developing country engagement strategies.

#### **D. Project location and salient physical characteristics relevant to the safeguard analysis (if known)**

Location: The project is global in scope and will invest in the preparation of business plans to support sustainable fisheries in up to four seascapes, including: the Caribbean, Eastern Pacific, Western and Central Pacific and the Bay of Bengal.

Salient physical characteristics relevant to the safeguard analysis: This is a TA project, with no physical footprint. Component 1 will finance analytical work and the preparation of business plans for up to four areas. Though these business plans will not be implemented under the Project, the investments will have a physical footprint and will generate both adverse and positive environmental and social impacts that will need to be addressed.

Examples of the type of reforms proposed under the final business plans may include, for example:

- a) Small scale infrastructure works to allow for inspection of fish catch at landing sites.
- b) Installation of small to medium size fish processing plants.
- c) Support to restock beche-de-mer if it is deemed a viable method to sustainably restore stocks. If so, hatchery facilities based on native brood stock would be used. Support would include supplying fishers with juveniles to restock near shore habitats.

- d) Investments in small enterprise development associated with bêche-de-mer valued added processing may also include installation of small scale civil works (e.g., solar dryers).
- e) Strategies for controlling solid waste through economic incentives such as a system of pollution payments may involve financing small scale waste management related civil works.

The business plans will require that all pathways proposed in each plan will be screened to ensure that potential adverse environmental and social impacts that may be generated as a result of each investment are identified, and appropriate safeguard instruments are prepared to avoid, minimize, mitigate and, in such cases where there are residual impacts, offset adverse environmental and social impacts. The screening of the business plans for environment and social impacts and the preparation of appropriate safeguard instruments for each plan will be guided by the Environment and Social Management Framework (ESMF), which will be developed during project preparation and disclosed prior to appraisal.

### **E. Borrowers Institutional Capacity for Safeguard Policies**

The Grant Recipient and the Executing Agencies for development of each business plan will be confirmed during preparation. Once selected, a rapid assessment of the institutional capacity of each to comply with the Bank's safeguard policies will be conducted. The results of the rapid institutional assessment will be included in the ESMF, including actions to address capacity constraints of the EAs.

For Component 2, Conservation International will manage the innovation grant process. This agency is deemed to have satisfactory experience managing Bank safeguard policies and instruments based on its work with another global biodiversity operation (e.g., the Critical Ecosystem Partnership Fund). CI's experience with this operation includes successful development, implementation and active supervision of a range of Bank-approved safeguard instruments. As such, Conservation International is considered to have adequate capacity to handle the safeguard policy related considerations of this project with respect to the grants processed under Component 2.

### **F. Environmental and Social Safeguards Specialists on the Team**

Knut Opsal (AFTCS)

Cary Anne Cadman (EASIS)

Valerie Hickey (AES)

## **II. SAFEGUARD POLICIES THAT MIGHT APPLY**

<b>Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/ BP 4.01	Yes	While this is a TA project with no physical investment, the development of business plans under Component 1, when implemented regardless of the funding source, will have physical footprints and will generate both adverse and positive environmental and social impacts that will need to be addressed. For these reasons, OP4.01 is triggered.

		<p>To ensure that the business plans are developed with due consideration of environment and social impacts and in compliance with OP 4.01, an ESMF will be prepared during preparation. The ESMF will guide the screening of the business plans for environment and social impacts and the preparation of appropriate safeguard instruments for each plan. The ESMF will contain an environmental and social assessment screening process associated with specific investments proposed in each business plan, as well as examples of good practice avoidance, minimization and mitigation measures for the breadth of reform pathways that the business plan may propose. This Framework will ensure that each business plan will put in place a robust approach to consider environmental and social risks and impacts in line with Bank safeguard policies, and to prepare appropriate good practice safeguard instruments for the actual reform pathways identified in the final business plan.</p>
Natural Habitats OP/BP 4.04	Yes	<p>The business plans developed by this TA will lead to subsequent investments that are likely to impact natural habitats, although most of these impacts are expected to be positive.</p> <p>The ESMF prepared for the project will include provisions of how each business plan will screen for potential impacts related to natural habitats, and will describe the necessary measures to avoid, minimize or mitigate these adverse impacts as part of the ESMF's environmental and social management plan (ESMP).</p>
Forests OP/BP 4.36	Yes	<p>The business plans developed by this TA will result in subsequent investments that may impact mangrove forests.</p> <p>The ESMF prepared for the project will include provisions for how each business plan will screen for potential impacts related to forests and identify the necessary measures as part of ESMP.</p>
Pest Management OP 4.09	Yes	<p>The Bank team will review the nature of the proposed reform pathways in each business plan to ascertain whether this policy applies to any of</p>

		<p>the business plans.</p> <p>A Pest Management Plan (PMP) will be prepared for the project that will include mention of how each business plan will screen for potential impacts related to pest management, identify the necessary measures for avoiding, minimizing and mitigating these adverse impacts. This PMP will include measures for the purchase, storage, application and disposal of pesticides, and will advocate an integrated pest management approach in cases where pesticides are necessary to the implementation of any activities under a Business Plan.</p>
Physical Cultural Resources OP/ BP 4.11	Yes	<p>Subsequent investments identified under the business plans may have chance finds of PCR in the midst of infrastructure development or overlaps with PCRs that are considered sacred by communities, etc.</p> <p>The ESMF prepared for the project will include provisions of how each business plan will be screened for potential adverse impacts related to physical cultural resources. Chance find procedures will be included in the ESMF.</p>
Indigenous Peoples OP/BP 4.10	Yes	<p>Indigenous Peoples are likely to be present in some of the areas and are likely to benefit from reform pathways when implemented.</p> <p>Each area and business plan will be screened to determine whether Indigenous Peoples are present. The ESMF prepared for the project will include an Indigenous Peoples Planning Framework (IPPF), the main elements of which would be a free, prior and informed consultation process to ensure that IPs are not adversely affected by project activities (e.g. siting of infrastructure and construction work related to component 2) and that they are not excluded from project benefits.</p>
Involuntary Resettlement OP/BP 4.12	Yes	<p>The subsequent investments identified from the business plan may involve land acquisition, involuntary resettlement or result in loss of access to natural resources.</p> <p>The ESMF prepared for the project will include</p>

		a Resettlement Policy Framework (RPF) that will include the procedures and requirements for land acquisition, preparation of a Resettlement Action Plan, when needed, and a Process Framework in case there is loss or restriction of access to natural resources.
Safety of Dams OP/BP 4.37	No	Neither this project nor the implementation of the business plans will involve building dams nor will any of the future investments envisaged depend on an existing dam.
Projects on International Waterways OP/BP 7.50	TBD	Application of this policy to the project will be determined during preparation.  The team will continue to consult and work with LEGEN and the RSA as to the interpretation and triggering of OP 7.50 in this global TA project.
Projects in Disputed Areas OP/BP 7.60	TBD	There may be unresolved territorial claims or disputes within the project boundaries. This will be confirmed during project preparation and if triggered the team will seek guidance from LEGEN and RSA as to the interpretation and triggering of OP 7.50 in this global TA project.

### III. SAFEGUARD PREPARATION PLAN

**A. Tentative target date for preparing the PAD Stage ISDS:** 31-Dec-2013

**B. Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing<sup>1</sup> should be specified in the PAD-stage ISDS:**

The project-level ESMF will be prepared prior to appraisal.

### IV. APPROVALS

Task Team Leader:	Name: Tim Bostock	
<b>Approved By:</b>		
Regional Safeguards Coordinator:	Name: Josefo Tuyor (RSA)	Date: 11-Nov-2013
Sector Manager:	Name: Mark E. Cackler (SM)	Date: 11-Nov-2013

<sup>1</sup> Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.