

INTEGRATED SAFEGUARDS DATA SHEET

APPRAISAL STAGE

Report No.: ISDSA1065

Date ISDS Prepared/Updated: 19-Nov-2014

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I. BASIC INFORMATION

1. Basic Project Data

Country:	Tuvalu	Project ID:	P151780
Project Name:	Pacific Islands Regional Oceanscape Program - Tuvalu (P151780)		
Task Team Leader:	John Virdin		
Estimated Appraisal Date:	23-Oct-2014	Estimated Board Date:	22-Dec-2014
Managing Unit:	GENDR	Lending Instrument:	Investment Project Financing
Sector(s):	General agriculture, fishing and forestry sector (100%)		
Theme(s):	Environmental policies and institutions (25%), Other environment and natural resources management (20%), Other public sector governance (20%), Rural policies and institutions (20%), Regional integration (15%)		
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?			No
Financing (In USD Million)			
Total Project Cost:	7.00	Total Bank Financing:	7.00
Financing Gap:	0.00		
Financing Source			Amount
BORROWER/RECIPIENT			0.00
International Development Association (IDA)			7.00
Total			7.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

2. Project Development Objective(s)

The development objective of this Program is to strengthen the management of selected Pacific Island oceanic and coastal fisheries, and the critical habitats upon which they depend. This will provide the basis for sustainable and increased economic benefits to the region from this resource. More specifically, the Program will strengthen: (i) the national and regional institutions responsible

for the management of the oceanic fisheries; (ii) the local and national institutions responsible for the management of the coastal fisheries; and (iii) the institutions responsible for the conservation of the natural habitats that support them.

3. Project Description

The following components and activities of the PROP will be financed in Tuvalu:

Component 1: Sustainable Management of Oceanic Fisheries (US\$5.77 m IDA)

The objective of this component is to help participating Pacific Island countries strengthen the management of the region's purse seine and long-line tuna fisheries.

1.1 Strengthen the capacity of TFD to sustainably manage the shared tuna fisheries

These activities would support strengthening the vessel day scheme (VDS) for the purse seine fishery and extending a compatible management system to the long-line fisheries, in order to sustainably increase the benefits to participating countries from access to these fisheries.

1.1.1 Disbursements to the Tuvalu Fisheries Department for costs linked to indicators for strengthened tuna fisheries management (US\$3.7 million IDA)

This activity would disburse funds directly to the Tuvalu Fisheries Department (TFD) to reimburse against eligible expenditures for costs linked to indicators for strengthened management of the tuna fisheries. Such eligible expenditures would be tracked and subject to World Bank safeguards. Disbursements will be made annually to TFD (with an advance for the first year upon effectiveness of the project) upon independent third-party verification that the following management measures have been achieved (expenditures for each indicator are priced equally):

Improving compliance with the VDS for the purse seine tuna fishery:

- The number of days fished in Tuvalu waters does not exceed its agreed annual allocation of fishing vessel days (PAE)
- 100% of fishing vessel days are recorded annually according to agreed criteria
- 100% of fishing vessel days used and sold are disclosed annually to the PNAO Fisheries Information Management System (FIMS) and the other parties

Expanding the coverage of the VDS or compatible system, for the tuna caught in Tuvalu's national waters:

- 100% of tuna catch within Tuvalu's national waters that is encompassed within the VDS or a compatible system

Additionally, though not linked to disbursements, these expenditures would also support TFD to increase efficiency and flexibility as appropriate: Increasing efficiency and flexibility of the VDS:

- (Yes/no) more flexible measures are applied, such as creating multi-zone and multi-year days, development of competitive VDS marketing arrangements, long-term contracts, creation of secondary markets, etc., that increase the value of a vessel day above the baseline

The expenditures reimbursed will support improved fishery sector governance and management arrangements, surveillance to enforce fisheries management measures, improved real-time monitoring of tuna fishing activities through the national observer program, as well as building capacity for the TFD to participate in the regional fisheries management system. Eligible expenditures would include:

- Fuel and additional costs to support increased fisheries surveillance patrols (both sea and aerial patrols), in complement to the Government's funding from the Government of Australia, as well as and the operational support (aerial patrols, ship-rider agreements, joint exercises) from the governments of Australia, USA, New Zealand and France;
- Training and expanded participation of TFD staff in fishery industry economic, biological and operational analysis to allow development of negotiating positions with industry and in PNA meetings;
- Expansion of the National Observer Program by at least 100 percent: recruitment of 10 additional observers and 2 debriefers per year, observer and debriefer training and work attachments, participation in sub-regional observer hubs in Pago Pago , Nadi and elsewhere; and
- Policy, legislative and human resource development leading to the establishment of a sanitary competent authority for fish caught in the country's waters.

In terms of fisheries surveillance, the country's maritime police currently carry out surveillance and enforcement of the country's fisheries legislation on behalf of TFD, via a patrol vessel provided and partially supported by the Government of Australia. The maritime police generally respond to specific infractions noted by the TFD through connection to the satellite-based vessel monitoring system run by FFA, as well as conducting periodic patrols and inspections of fishing vessels. The eastern and western borders of the country's exclusive economic zone are generally the areas of highest incidences of infractions, and the priority for patrols. The maritime police are increasingly conducting joint patrols with the Government of Kiribati in neighboring waters under provisions of the Niue Treaty, as well as providing surveillance services in the waters of Nauru and Tokelau. Additional cooperation arrangements will be developed under Niue Treaty subsidiary arrangements during 2014. However, the key obstacle to continued and even increased patrolling, and to implementing improved patrol strategies (aimed at detecting unlicensed vessels, rather than ensuring compliance by authorized vessels), is lack of resources to support the operating costs of the vessel, particularly fuel.

In addition to increased sea patrols, TFD is currently in negotiations to purchase aircraft airtime to increase aerial surveillance, particularly of its eastern border with the high seas. Current discussions center on the use of a Cessna aircraft based in Apia, Samoa, which would be chartered under cooperative arrangements to carry out aerial surveillance of the EEZ of Samoa, Cook Islands, Tokelau, Kiribati, Tuvalu and (possibly) Niue. This arrangement should enable aerial surveillance of the Tuvalu EEZ on a monthly basis. Under this scenario the importance of surface patrols increases, since this is the primary way in which infringements detected by aerial surveillance are followed up and punitive actions implemented.

1.1.2 Goods and services needed for achievement of the disbursement-linked indicators (US\$1.77 m)

Financing will be provided for procurement of specific goods and services needed to meet the disbursement-linked indicators (DLIs) for strengthened management of the tuna fisheries. Services will include technical assistance to TFD staff in fishery industry economic, biological and operational analysis. Goods and equipment will include the acquisition of hardware and software for real-time monitoring by observers; and the hardware, software and bandwidth expansion to enhance internet access for TFD, enabling utilization of vessel monitoring and fisheries information management systems, and real-time e-reporting from vessels.

1.2 Ensure an equitable distribution within Tuvalu of the benefits of sustainably managed tuna fisheries

These activities would support Tuvalu to make informed decisions and investments to ensure an inclusive distribution of the benefits from sustainably managed tuna fisheries, via potential establishment of community VDS funds.

1.2.1 Pilot Community VDS Funds (US\$0.3 million IDA)

Tuvalu will be one of the first countries in the region to pilot the development of Community VDS Funds, potentially with one fund per island. These funds would provide a vehicle to secure a share of tuna access revenues for communities. Technical assistance and advice procured through FFA and/or other sources will support the development of a range of options and scenarios for discussion among national Government, Island Councils, community organizations and other concerned stakeholders. The consultative process would lead to selection and implementation of the most favorable options, and ultimately the establishment of more equitable fishery resource rent-sharing mechanisms in Tuvalu.

Component 2: Sustainable Management of Coastal Fisheries (US\$1.13 m IDA; US\$0.91 m GEF)

The objective of this component is to support participating countries to sustainably manage defined coastal fisheries, focusing on those with the greatest potential for increased benefits, i.e. coastal fisheries such as bêche-de-mer (BDM) that (i) can generate export earnings for the country, and/or (ii) support livelihoods, food security and dietary health.

2.1 Sustainable Management of Targeted Coastal Fisheries

These activities would be implemented by TFD, to provide dedicated technical assistance and small goods and operating costs to communities to strengthen management and value addition around targeted coastal fisheries. Tuvalu's coastal fisheries are under the jurisdiction of the local council (Kaupule) on each of the nine islands, with support from TFD. The community on each island has formed a fishers' association, which operates under the umbrella of the national Tuvalu Fishermen's Association, and has in most instances led the development of some form of management measures for approval by the Kaupule. Many of these measures need further development or assistance to achieve full implementation.

The status of coastal fisheries in Tuvalu is poorly known, though to date they have been relatively protected as a result of isolation and lack of access to markets. For this reason, the TFD now aims to work more closely with communities to take stock of the resource base, and start to develop or improve management measures and institutions in advance of increasing pressure on the resources. Access to Tuvalu's outer islands is difficult and costly and this has in the past impeded progress in these areas.

This component will support procurement of goods and the operating costs and services for TFD to conduct resource and socio-economic assessments in selected islands, and then to provide ongoing support to each of the islands to develop and implement management plans that would be approved by the island councils. Specific items to be supported include:

- Coastal fisheries resource assessments, including:
 - o Initial resource and socio-economic surveys, community consultations and fisheries management planning in (approximately) 5 of the outer islands, complementing funding provided by the Government of New Zealand to commence work in two islands during 2014; and
 - o Re-survey of all islands after 3 years and 6 years;
- Coastal fisheries monitoring, including ongoing fishery catch and effort data monitoring using the smartphone based 'HapiFis' system currently under development by USAID in the

Solomon Islands;

- Stakeholder management of targeted fisheries, including annual follow-up monitoring and community consultations in all outer islands in between the initial assessments and re-surveys, to develop and implement management plans that would be approved by the island councils; and
- Restoration and management of Funafuti lagoon and the fisheries it supports. Funafuti, the capital island in Tuvalu, presents a special case which is quite different from the country's other islands. Urban drift has led to significant overcrowding (more than 50 percent of the national population now lives on Funafuti) and the presence of sub-communities from all of Tuvalu's islands leads to reduced compliance of decisions made by traditional leaders. High population densities (6,500 people in an area of only 2 sq. km) have led to problems of sewage and solid waste disposal, and these have in turn impacted on lagoon water quality and fish resources. Management of the lagoon ecosystem has not kept pace with population growth in Funafuti. For this reason, the PROP will finance a number of goods and technical assistance needed to support TFD to improve management of the Funafuti lagoon and its fishery resources, via procurement of a small research/enforcement vessel for the lagoon (including dive and underwater survey equipment, water quality sampling and assessment equipment, laboratory equipment for ciguatera toxin sampling and assessment, and IT hardware and software), enhanced resource monitoring and surveys, development with stakeholders of a management plan for the lagoon fishery and the wider ecosystem, and enhanced awareness-raising and surveillance for enforcement. These efforts will build upon the GEF-financed 'Ridge-to-Reef' project and the data collection, information, planning and training it supports in Funafuti, in order to finance the direct management and implementation costs, notably surveillance and enforcement activities.

Component 3: Sustainable Financing of the Conservation of Critical Fishery Habitats

This component aims to help identify revenue streams to sustainably finance the conservation of critical habitats that underpin oceanic and coastal fisheries in the region. Towards this objective, the component will include activities to establish: (i) Pacific Marine Conservation Development Financing Mechanisms to support the growing number of large marine protected areas (MPAs) in the region; and (ii) a pilot Pacific Blue Carbon regional program for small to medium scale fishery habitats. The aim of this component is not to provide sustainable financing for all regionally-significant fisheries habitat conservation efforts, but rather to provide the catalytic upstream finance needed to identify, develop and achieve consensus on the mechanisms to deliver such financing, and then to help secure this financing from other sources, for example from the GEF, international foundations, etc. Thus the financing from this component aims to leverage significant additional finance to the region for conservation of critical fishery habitats. This component also provides climate change co-benefits by supporting mitigation, in the form of conservation of vegetated coastal habitats that sequester significant amounts of carbon. This component will be implemented at the regional level.

Component 4: Regional Coordination, Implementation Support, Training and Monitoring and Evaluation (US\$0.1 m IDA)

The objective of this component is to provide regional coordination, implementation support and program management, to ensure a coherent approach to program implementation and wide dissemination of results and lessons learned; as well as regional and national implementation support and training as needed for the program to achieve its objectives. Towards this objective, this component would include support for national program management, monitoring and evaluation, as well as collaboration with the regional program support unit located within FFA (see Annex 7).

4.1 National program management, monitoring and evaluation (US\$0.1 m)

This would include the costs of additional staff needed for the Project Supporting Team Office of the Tuvalu Aviation Investment Project to provide financial management for a national designated account for the PROP, to support the Fisheries Department.

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

Tuvalu is the third-smallest independent country in the world, comprising nine, widely separated inhabited islands (4 reef islands and 5 coral atolls) and a population of around 12,000, half of which lives on the main island of Funafuti. The country has a very large Exclusive Economic Zone (slightly under 1 million sq. km) relative to the size of its landmass (26 square kilometers) and tuna fisheries provide the single most important source of revenue. On a per capita basis, Tuvalu is the most fishery-dependent nation on earth, and has the highest rate of fish consumption of any country.

Tuvalu appears well aware of the importance of protecting its fragile environment and conserving scarce natural resources. Traditionally Tuvaluans have depended heavily on the more easily accessible resources of the nearshore reef environment for their immediate subsistence. Other reef-related ecosystems in Tuvalu include small inland ponds with mangrove-covered fringes. Tuvalu's marine park, Funafuti Conservation Area, covers a large area of over 40 sq km on the western side of the lagoon and includes six islets and adjoining reef and waters in that zone. It is possible that it will expanded to include some of the outer islands.

5. Environmental and Social Safeguards Specialists

Valerie Hickey (GENDR)

Olha Krushelnyska (GENDR)

Ross James Butler (GSURR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/ BP 4.01	Yes	<p>The aim of the project is to help improve environmental and resource quality in Tuvalu in order to increase the economic benefits generated by the goods and services from healthy ocean ecosystems. As such, the overall impact of the project is expected to be highly positive and none of the eligible investments include activities that would generate significant risk or irreversible adverse impacts in the coastal or oceans fisheries targeted by the project. However, some investments under Components 1 and 2 may generate minor to moderate site specific and time bound adverse environmental impacts that can be readily mitigated through standard mitigation measures, when screened properly.</p> <p>Additionally, Component 3 (Sustainable Financing of the Conservation of Critical Fishery Habitats) might result in creation of the Marine Protected Areas (MPAs), in which case any potential access restrictions will be addressed</p>

		<p>through a detailed Process Framework (Annex E).</p> <p>The project also envisages TA for sustainable financing and potential of protected areas, which may lead to potential minor environmental impact downstream. The Interim Guidelines on the Application of Safeguard Policies to TA Activities in Bank-Financed Projects and TFs Administered by the Bank is applied. Mechanism for administering safeguards in TA activities will include integration of safeguard policy requirements into the Terms of Reference of studies. As such, the safeguard documentation prepared for the project applies equally to the TA component(s) and Terms of References for the TA activities will be approved by the Bank to ensure the consultancy outputs comply with the Bank safeguard policies.</p> <p>At this stage in project design, the specific investments that may generate minor to moderate adverse impacts include: small scale infrastructure works to allow for inspection of fish catch at landing sites and restocking of beche-de-mer and establishment of the associated small scale drying facilities. Potential adverse impacts will be limited to waste management, construction noise, and health and safety of workers.</p> <p>Environmental and Social Management Framework (ESMF) has been prepared to guide investments that may generate any adverse environmental impact. Screening form will be used to screen for environmental and social impacts.</p>
Natural Habitats OP/BP 4.04	Yes	<p>Project activities will not involve significant loss or degradation of natural habitats. Most of the project activities will be in the marine areas (coastal and ocean) of Tuvalu, which are known sites rich in biodiversity. All project activities are designed to enhance positive and sustainable returns to these important habitats.</p> <p>The Program level ESMF contains measures to properly manage the risk of any unforeseen adverse environmental impact on natural habitats,</p>

		including critical natural habitats, as well as measures to enhance the project's positive environmental outcomes.
Forests OP/BP 4.36	Yes	<p>OP4.36 was triggered for the whole Pacific Islands Regional Oceanscape Program, as component 3 will include the technical assistance, scientific and survey expertise, and legal and regulatory support in order to enable participating countries to pilot trials to assess their blue carbon potential, limitations and opportunities and participate in blue carbon markets, and would create conservation incentives for coastal communities to conserve the mangrove habitats, the policy is triggered. Specific sites and activities in Tuvalu, if any, will be identified during the project implementation.</p> <p>The program level ESMF includes a screening form to ensure that the negative impacts on mangrove forests of any downstream activities under Component 3 are addressed, and any positive impacts are enhanced. TOR for the studies proposed under sub-component 3 will integrate policy requirements of OP 4.36.</p>
Pest Management OP 4.09	No	The project will not purchase, distribute, apply or dispose of pesticides, including bactericides.
Physical Cultural Resources OP/ BP 4.11	No	The project will not involve any major civil works. Small scale infrastructure works are foreseen to allow for inspection of fish catch at landing sites and restocking of beche-de-mer and establishment of the associated small scale drying facilities. Given the small scale works involved, the policy is not expected to be triggered. A chance finds procedure is included in the ESMF and EMP.

Indigenous Peoples OP/BP 4.10	Yes	<p>OP4.10 was triggered for the whole Pacific Islands Regional Oceanscape Program - series of projects, which is designed to include any of the 11 PICs who are member countries of the World Bank and are eligible to participate upon their readiness. Some of the countries in PICs have indigenous peoples.</p> <p>However, in Tuvalu this policy has not been triggered, as according to the World Bank assessment there are no indigenous people in the country.</p>
Involuntary Resettlement OP/BP 4.12	Yes	<p>Project activities may require small-scale coastal land acquisition. It is expected that market-based or voluntary donation will be the common approach. Any voluntary land donations will meet the World Bank requirements through the application of the Voluntary Land Donation Protocol appended to the ESMF in Annex D.</p> <p>Although it is considered unlikely, certain project activities may involve the involuntary acquisition of land and/or removal of assets. Accordingly, the policy will be triggered and a Resettlement Policy Framework (RPF, presented in Annex C) has been prepared. Subsequently, Abbreviated Resettlement Action Plans will ensure that all affected persons are compensated for involuntary acquisition of land and/or removal of assets at full replacement cost.</p> <p>In case of downstream establishment of the MPAs, which could potentially restrict access to resources, IAs will select appropriate safeguard instrument(s) according to the responsibilities defined in the ESMF (and in particular the Annex on Process Framework).</p> <p>To address potential restriction of access to resources, a Process Framework (PF) has been prepared in compliance with requirements stated in OP 4.12 (See Annex E of the ESMF). Neither this project nor the possible downstream investments from project's TA will involve building dams nor depend on an existing dam</p>
Safety of Dams OP/BP 4.37	No	<p>Neither this project nor the possible downstream investments from project's TA will involve building dams nor depend on an existing dam.</p>

Projects on International Waterways OP/BP 7.50	No	Following discussion with LEGEN and the RSA, it was agreed that there will be no impacts from this project or its possible downstream investments on international waterways as described under OP 7.50.
Projects in Disputed Areas OP/BP 7.60	No	Any project activities in areas which may be disputed will be declared ineligible and not included in the project.

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

The overall impact of the project is expected to be highly positive and none of the investments include activities that would generate significant risk or irreversible adverse environmental or social impacts.

The project includes investments for both ‘physical’ goods and services, as well as ‘soft’ activities such as technical assistance. Most of the physical investments would be made at the national level, while ‘soft’ activities would be implemented at both the national and regional level.

Examples of the type of activities (salient physical characteristics relevant to the safeguard analysis), which have the potential to incur adverse environmental or social impacts are as follows:

- Component 2, Sub-component 2 may include 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. This activity will not involve introduction of non-native species nor involve the purchase, distribution, use or disposal of bactericides during implementation. However, investments in the area of small enterprise development associated with bêche-de-mer valued added processing may include installation of small scale civil works (e.g., solar dryers) for drying.

- Component 3 investments related to the TA for sustainable financing of MPAs, and potentially blue carbon. Activities under Component 3 Subcomponent 1 will support research to assess the unique physical and ecological aspects of the MPAs that would generate ecosystem services (like spawning or feeding grounds for tuna which migrate beyond EEZs of host nations) and that could be incorporated into a system of payment for environmental services. Subcomponent 2 will include TA in order to assess blue carbon potential and participate in blue carbon markets, and will help identify potential blue carbon sites. Small scale infrastructure works are not expected to be financed by the project.

The scale and likelihood of adverse impacts arising from these activities is limited, and the types of mitigation activities well-known and proven. As such, the project is found to be Category B interventions.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

The potential impacts of the project will be identified during the preparation of the project activities for Tuvalu. The ESMF provides guidance for the project implementation agencies on the

preparation of appropriate safeguard instruments to respond to the potential impacts found during the preparation.
3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.
These will be considered within the project in consultation with all affected stakeholders and knowledgeable and interested peoples.
4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.
<p>The ESMF was prepared under the PROP to outline the process by which potential adverse impacts will be identified and robust instruments prepared as part of each project.</p> <p>Project implementation will involve a single agency as the national focal point entity and one or two regional agencies involved in implementing regional activities and overall program coordination and monitoring. These include:</p> <ul style="list-style-type: none"> • Fisheries Department of Tuvalu's Ministry of Natural Resources (TFD) • Forum Fisheries Agency (FFA) • The Pacific Islands Forum Secretariat (PIFS) in regard to coordination and monitoring of regionally executed activities. <p>FFA, representing its member countries participating in the PROP, has experience with World Bank safeguards because of the link to IDA-financed operations. TFD has a general knowledge on bank safeguard policies as it was briefed on the PROP safeguard requirements during the preparation missions. Capacity of TFD is currently low, however the unit has an external technical expert from the government of new Zealand able to advice on safeguard policies. During the project implementation, TFD will hire a PROP Project Coordination, who will also be supported by the FFA Regional Support Unit.</p> <p>The World Bank will provide necessary training and development of staff to the Project implementing agency in the first year of the implementation to build its capacity and provide implementation support during the actual determination of the range of activities to be included in the "menu" of country's support.</p> <p>Bank's Interim Guidelines on the Application of Safeguard Policies to Technical Assistance (TA) Activities in Bank- Financed Projects and Trust Funds Administered by the Bank will apply for the TA provided by the project. Accordingly, Terms of References for the TA activities will be approved by the Bank to ensure the consultancy outputs comply with the Bank safeguard policies.</p>
5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.
<p>The ESMF requires an inclusive, participatory community needs assessment process, screening criteria, and forms to document broad community support and consensus on priority subprojects. Subproject Consultation and Action Plans will be developed in the early part of implementation. Community consultations will be facilitated and documented by suitably qualified personnel in the Project Management Unit. Ongoing monitoring and community consultations by such personnel will assess whether broad community support is maintained during implementation.</p> <p>Project stakeholders include both men and women from affected communities whose livelihoods are implicated and/or who depend on migratory fisheries; the private sector (fishing industry from</p>

harvesting through to value chains / processing and investment); the public sector (national ministries, regulatory and trade promotion authorities); and international bodies including regional fishery bodies. The numbers and specificity of stakeholders can only be determined once the precise nature and location of the activities under each project are identified.

Draft ESMF was first circulated among all implementation agencies on July 28, 2014 for review. Subsequent consultations on the Environmental and Social safeguard policies were conducted on August 15, 2014 in Majuro, RMI with representatives from the fisheries agencies of FSM (NORMA), RMI (MIMRA), Solomon Islands (MFMR) and Tuvalu (TFD), as well as the representatives from the FFA, PNAO and SPC. At this meeting, NORMA, MIMRA, MFMR, TFD and FFA (implementing agencies) agreed on the process of preparing and incorporating safeguard instruments in the implementation arrangements. After the consultations, countries worked with the FFA and agreed on the final version of the ESMF, which was formally submitted to the Bank on September 23, 2014 by the FFA on behalf of all IAs. In addition to the regional consultation in RMI, national consultations were held in Tuvalu and Solomon Islands – to ensure stakeholder awareness and feedback in regard to the specific country context within the Component 2 (which is not applicable to FSM). Consultation minutes are attached in the ESMF.

ESMF Disclosure: The ESMF was disclosed on October 23, 2014 and is available through the World Bank website (<http://documents.worldbank.org/curated/en/docsearch?query=E4664>), as well as through the website of the FFA.

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	23-Sep-2014
Date of submission to InfoShop	23-Oct-2014
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
"In country" Disclosure	
Tuvalu	23-Oct-2014
<i>Comments:</i> This refers to the disclosure of program-level ESMF	
Resettlement Action Plan/Framework/Policy Process	
Date of receipt by the Bank	23-Sep-2014
Date of submission to InfoShop	23-Oct-2014
"In country" Disclosure	
Tuvalu	23-Oct-2014
<i>Comments:</i> This refers to the disclosure of program-level ESMF	
Indigenous Peoples Development Plan/Framework	
Date of receipt by the Bank	23-Sep-2014
Date of submission to InfoShop	23-Oct-2014
"In country" Disclosure	
Tuvalu	23-Oct-2014
<i>Comments:</i> This refers to the disclosure of program-level ESMF	
If the project triggers the Pest Management and/or Physical Cultural Resources policies, the	

respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.
If in-country disclosure of any of the above documents is not expected, please explain why:

C. Compliance Monitoring Indicators at the Corporate Level

OP/BP/GP 4.01 - Environment Assessment			
Does the project require a stand-alone EA (including EMP) report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.04 - Natural Habitats			
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes [<input type="checkbox"/>]	No [<input checked="" type="checkbox"/>]	NA [<input type="checkbox"/>]
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input checked="" type="checkbox"/>]
OP/BP 4.10 - Indigenous Peoples			
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [<input type="checkbox"/>]	No [<input checked="" type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.12 - Involuntary Resettlement			
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.36 - Forests			
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [<input type="checkbox"/>]	No [<input checked="" type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the project design include satisfactory measures to overcome these constraints?	Yes [<input type="checkbox"/>]	No [<input checked="" type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input checked="" type="checkbox"/>]
The World Bank Policy on Disclosure of Information			
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
All Safeguard Policies			

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have costs related to safeguard policy measures been included in the project cost?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]

III. APPROVALS

Task Team Leader:	Name: John Virdin	
<i>Approved By</i>		
Regional Safeguards Advisor:	Name: Josefo Tuyor (RSA)	Date: 19-Nov-2014
Practice Manager/ Manager:	Name: Christophe Crepin (PMGR)	Date: 19-Nov-2014