



THIRD REGULAR SESSION

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**A CAPACITY-BUILDING STRATEGY FOR THE WCPFC  
GUIDING PRINCIPLES**

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WCPFC3-2006/DP22

10th December 2006

Proposal by FFA Members

The following general principles should be adopted by the Commission to guide the use and operation of the capacity-building work of the Commission, and the Special Requirements Fund.

**i) Development of technical capacity**

The purpose of the Fund, as laid out in the financial regulations of the Commission, is to:

- assist developing States Parties, Small Island Developing State members of the Commission and, where appropriate, territories and possessions, with human resources development, technical assistance and transfer of technology in relation to conservation and management of highly migratory fish stocks in the Convention Area and development of fisheries for such stocks; and
- build capacity for activities in key areas such as effective exercise of flag State responsibilities, monitoring, control and surveillance, data collection and scientific research relevant to highly migratory fish stocks on a national and/or regional level.

Preference will be given to activities that improve the capacity of individuals within the Commission's SIDS members to help States fulfil their obligations under the Convention and participate effectively in its work, rather than expenditure on other items such as hardware and software, unless these are specifically linked to the development of technical capacity of SIDS members.

**ii) Filling gaps in programmes**

The Special Requirements Fund will be applied to areas of national priority not currently covered by existing arrangements, or through collaboration in order to avoid duplication and extend the scope or coverage of existing arrangements. The selection process will be rigorous enough to ensure that assistance from the Fund reflect national priorities and is complementary to current activities.

**iii) Ease of administration**

The Fund should be simple to administer and have procedures and guidelines that are sufficiently clear as to make prioritisation, decision making and reporting as free from lengthy research, negotiation and dispute as possible.

#### **iv) Equity**

The Fund will be balanced across eligible commission members. Activities should, wherever possible, aim at building coherent and cohesive approaches at the Commission and avoid those that exacerbate national or sub-regional differences in capacity and access to benefits from the fishery.

#### **v) Sustainable interventions**

Applications for funding and decision making processes that underpin the use of the Special Requirements Fund should embody the sustainability principles of the Paris Declaration on Aid Effectiveness, as well as the following:

- activities might be co-funded by the Special Requirements Fund and other donors, either members of the Commission or others;
- application of capacity-building activities to the full range of stakeholders – industry, NGOs, etc. – in order to increase national-level awareness and understanding of States' rights and obligations under the Convention, and promote greater public commitment to them;
- development of a longer-term work plan and strategy by the Commission, with regular monitoring and evaluation to ensure effective delivery and outcomes rather than just outputs. Where possible activities should not be ad-hoc but should meet defined priorities and align with national plans.

As far as possible the Commission should ensure that those individuals benefiting from capacity-building activities are in positions where they can make best use of the skills/ knowledge/ qualifications they gain, and be suitably resourced with operational support such as computer hardware and software.

#### **vi) Extended participation**

Wherever possible, capacity-building should target the maximum number of individuals, across various stakeholder groups, including Government, the private sector and NGO.

#### **vii) Partnerships with existing regional organisations**

Where possible maximum use should be made of existing regional organisations to coordinate and assist with capacity development.

#### **viii) Accountability**

The use of the Funds shall be underpinned by the principles of transparency and accountability.

## Proposed SRF guidelines and Operational Procedures

- 1) Pursuant to Article 30 of the Convention on the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean the Commission has established a Special Requirements Fund to facilitate the effective participation of developing States Parties, particularly small island developing States, and, where appropriate, territories and possessions, in the work of the Commission, including its meetings and those of its subsidiary bodies.
- 2) Regulation 7 of the Financial Regulations, adopted by the Commission at its Inaugural Session in December 2004, details the purposes of the Special Requirements Fund which include:
  - Assisting developing State Parties, small island developing State members of the Commission, and where appropriate, territories and possessions, with human resources development, technical assistance and transfer of technology in relation to conservation and management of highly migratory fish stocks in the Convention Area and development of fisheries for such stocks; and
  - Building capacity for activities in key areas such as effective exercise of flag State responsibilities, monitoring, control and surveillance, data collection and scientific research relevant to highly migratory fish stocks on a national and/or regional level.
- 3) Drawing from guidance provided in Financial Regulation 7 guidelines for applying for assistance from the Special Requirements Fund have been have been [adopted] by the Commission [Appendix A]. Only proposals received in the format described in Appendix A will be considered for support from the Fund.
- 4) By the 30th June each year, the Executive Director will write to members, cooperating non-members or other sources of potential support for the Special Requirements Fund seeking voluntary contributions to the Fund for the subsequent financial year.
- 5) The Executive Director will notify members of the level of available funds in the Special Requirements Fund on the first business day of each financial year. The invitation to access the available funds for any particular period will remain open for as long as funding is available for drawdown in that financial year.
- 6) Submissions seeking support from the Special Requirements Fund should be addressed to the Executive Director.
- 7) A review of proposals received from developing State Parties or participating territories to access funds from the Special Requirements Fund may involve senior staff of the Commission (the Science Manager, Compliance Manager, Data Manager and/or the Finance and Administration Officer), the chairperson of subsidiary bodies of the Commission, affiliate institutions providing advisory services to the Commission or independent experts.
- 8) The Commission will make best efforts to complete an initial assessment of proposals received, and communicate the result of that assessment, within 45 days of the receipt of the proposal by the Commission.
- 9) In assessing a proposal, the Commission will take into account the criteria shown in attachment 1 to Appendix A [Selection and Evaluation Criteria].
- 10) For each project funded under the SRF, a member of the Secretariat will be nominated as Project Liaison Officer.
- 11) Project monitoring and evaluation will be undertaken through:
  - submission of quarterly narrative and financial reports by the applicant;
  - submission of a final narrative and financial report at the end of the project;
  - written and verbal communication as necessary with the Project Liaison Officer or other relevant staff of the Secretariat.
- 12) If considered necessary by the Executive Director, a post-completion evaluation of the project may be commissioned by the Executive Director, in order to verify project results and outcomes, and improve on the design and implementation of future projects funded by the SRF.
- 13) The Special Requirements Fund will be administered according the Financial Regulations of the Commission.

## **Application for funding from the Special Requirements Fund**

- Proposal should be prepared in Times Roman 12 font.
- Proposal content should be succinct, unambiguous, and descriptive.
- Proposals must be signed by the relevant Commissioner or appropriately authorized alternate (or, in the case of a regional organisation or an organisation which is not incorporated in an eligible WCPFC member country or participating territory, the Chairman of the Scientific Committee or the Technical and Compliance Committee).
- Proposals that do not meet these criteria may be returned unprocessed.

### I. Proposal Cover Sheet [Check List] [check to ensure that the following are included in the proposal]

- Date of formal submission to the Commission
- Required signatures
- Proposal Summary (250 words)
- Contact details for the Project Manager
- Introduction: current situation, needs assessment, relationship to the Convention and participation in the work of the Commission, previous activity related to the proposal, objectives, impact, importance and potential benefits.
- Methods and approach, description of major tasks, partnership roles and responsibilities, fisheries and environmental impact, long-term planned related work.
- Project Management roles and responsibilities (particularly that of the project manager), narrative and financial reporting schedule.
- Support Arrangements, relations with other institutions, agencies or organizations.
- Expected Results and Outcomes
- Itemized Budget, Co-financing and audit arrangements
- Personnel overview
- Reference Literature

### II. Date of Submission

The date the submission is forwarded to the Commission.

### III. Project Summary (250 words)

A Project Summary must be completed and inserted immediately behind the Proposal Cover Sheet [Check List].

### IV. Proposal Narrative (6 pages maximum)

#### A. Introduction

1. Situation, Need, and Previous Efforts – Describe gaps in knowledge or capabilities, why the proposed project should be performed, review significant work related and how the project is relevant to the purpose of the Special Requirements Fund.
2. Objective(s) – State the anticipated outcome(s).
3. Applications, Benefits, and Importance - Describe how the anticipated results relate to the purpose/objectives of the Convention, the expected benefits, including the utility of the results to other Members of the Commission.

#### B. Methods and Approach

1. Description of Major Tasks- Divide the proposed effort into a meaningful set of tasks that must be performed to accomplish the objective(s) and describe each task.

2. Environmental Impact - State and explain any possible impact that your project will have on the environment and fisheries in the WCPO.

3. Future Efforts - If there are future efforts that should be performed in order for the project to be meaningful, or of major significance, please describe briefly the type, extent, and timing of those efforts. Is this a multi-year project? If possible, the individual parts (i.e., each year's effort) should stand alone – be described and reported upon.

#### C. Project Management

1. Administration - Describe the administrative responsibilities and authority of those involved in the execution of the Proposal - particularly those of the overall project manager (including full contact details).

2. Roles/Assignments and Participation Time - Describe the team composition (including names and affiliations of key individuals) and the assignments of team members to major tasks. Provide specific estimates of the time (in hours, days, etc., not percent) that each member will work on the project.

#### D. Support Requirements and Conditions

1. Cooperation From Other Organizations- If a clearance or permit(s) from any government agency is required for execution of the project, please provide the name of the agency, the method of obtaining the clearance or permit, and the time required or state "none".

2. Data or Facility Access - If access is required to data or facilities held by another organization, please identify the data or facility, the nature and type of access required, the methods of obtaining such access, and the effect of being denied access or state "none".

#### E. Results and Deliverables

Two types of reports are required.

1. Quarterly Narrative and Financial Progress Reports - The project manager shall provide quarterly narrative and financial progress reports to the Commission. The reports will consist of updates on progress toward work - objectives, justification, approach, results to date, any problems encountered, actions taken to resolve problems, discussion of remaining tasks, funds received (including co-financing), expenditure to date (including from co-financing sources), funds on hand, etc.. Quarterly reports will be due within 30 days after the end of each quarter.

2. Final Report – The project manager shall prepare a draft final report summarizing the objectives, methods, approach, results, significance and lessons learned from the study. The draft final report will be submitted to the Commission within 45 days of the scheduled completion of the project unless prior approval for an extension has been received in writing by the project manager. The draft final report may be reviewed by the Commission and returned with comments proposing means to address outstanding issues or gaps within 30 days of its receipt at the Commission. The project manager will address the comments and submit the final report with revisions within 30 days of receiving the Commission's comments.

3. Deliverable Items and Schedule - Describe what is to be delivered with the successful implementation of the proposal. Provide a schedule for all deliverables.

#### F. Literature Cited

References used in the proposal narrative.

#### G. Budget Summary

1. General Information – Partners in this request have previously benefited from \$ \_\_\_\_\_ disbursed under the Special Requirements Fund. \$ \_\_\_\_\_ to fund special requirements was received in 200? and an additional \$ \_\_\_\_\_ was received in 200?

2. Detailed Itemized Budget including co-financing and funding in-kind – attach a detailed monthly budget identifying all sources of funding and items of anticipated expenditure.

3. Audit – detail when, and by whom, the audit of funds received will be conducted and the submission date for the audit to the Commission.

#### H. Biographies and Qualifications

Provide a brief biography for each team member that highlights education, experience, and publications related to the proposed project.

#### I. References

Cite any literature that is directly related to the proposal.

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#### **Attachment 1: Selection and Evaluation Criteria to be used by the Secretariat**

- Has a clear need for the project been identified?
- What are the outcomes sought?
- Who will benefit from the project?
- Does the project clearly seek to complement or improve existing fisheries conservation and management tools or capabilities in a way that will improve the ability of one or more developing member States to implement its obligations under the WCPFC?
- Does the project duplicate existing assistance programmes being delivered bilaterally or through by regional organisations?
- Will the project benefit more than just the individual or country (i.e. can the activity be extended to other stakeholders/ countries)
- Are the proposed costs of the activity reasonable and in proportion to the likely benefits?
- Is there an appropriate financial contribution from the national government?
- Has the applicant received prior support from the Fund? If so, was the activity successful?
- Are the project outcomes and objectives clearly set out?
- Are the approach and methods well described?
- Does the applicant/ beneficiary have the demonstrated capacity to benefit fully from the project and ensure the outputs are fully utilised?
- Does the project involve a broad range of stakeholders from the fishery sector?
- Is there provision for disseminating information on the project's activities and results to an appropriate range of stakeholders or the general public?
- How will the success of the intervention be measured?
- Who is responsible for ensuring the success of the intervention?