

**Request for Proposals**

**Title: Development of GCF Funding Proposal for Pacific Island Regional Tuna Adaptation Programme**

**RFP No: OCEANS-GCF-PPF-001**

**Date of Issuance:** 22 March 2022 **REPOSTED April 22, 2022 – see changes in Sections 2, 4 and 8 and additional Attachments 5 & 6**

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**1. Background**

Conservation International Foundation (“Conservation International” or “CI), in collaboration with the Governments of Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Niue, Nauru, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu, has developed a Concept Note to the Green Climate Fund (GCF) for a regional programme (hereafter Programme) entitled “Adapting tuna-dependent Pacific Island communities and economies to climate change” that has been endorsed by the GCF. For more information, see: <https://www.greenclimate.fund/document/adapting-tuna-dependent-pacific-island-communities-and-economies-climate-change>

The Programme focuses on increasing the supply of tuna for domestic consumption in all 14 countries as an adaptation to climate-driven degradation of coral reefs/reduced supply of coral reef fish to prevent food insecurity of coastal and urban populations; and ushering in the reforms needed to minimise the risks to citizens of Pacific Island countries with tuna-dependent economies that are highly vulnerable to climate-driven redistribution of tuna.

**Programme Objectives**

This Programme seeks to increase access to tuna for coastal communities across the Pacific Island region, ensure the supply of tuna for the region’s growing urban communities and secure the economic benefits derived from tuna by Pacific Island countries.

Through this Programme, CI expects to achieve these outcomes by implementing the two major sets of activities (“components”) described in the Concept Note:

- A. Adaptations to harness tuna for food security of Pacific Island communities as coral reefs are degraded by climate change; and
- B. Adaptations to reduce risks to Pacific Island economies from climate-driven tuna redistribution.

These outcomes will be achieved with the following outputs:

**Component A**

- 1. Strengthened management of National Fish Aggerating Device (FAD) Programmes to increase access to tuna for coastal communities;

2. Development of pathways to minimize climate-driven disruptions to the supply of tuna and bycatch for the food security of urban communities from industrial fishing fleets when they transship their catches in regional ports;
3. Improvements to the market and supply-chain facilities needed to encourage participation of small and medium enterprises in distribution of tuna from transshipping operations to urban communities; and
4. Development of campaigns to raise awareness of coastal and urban communities about the effects of climate change on supply of coral reef fish and the need to consume more tuna for good nutrition.

#### Component B

5. Design and implementation of an Advance Warning System (AWS) to assess the effects of climate change on the abundance and distribution of tuna within the exclusive economic zones (EEZs) of Pacific Island countries and high-seas areas with greater certainty to inform necessary adaptations for tuna-dependent economies.
6. Support for Pacific Island countries whose tuna resources are affected by climate change to negotiate to retain the right to manage the historical levels of tuna catch taken in their EEZs.

Outcomes will be defined based on the impact potential of the outputs from the two components listed above, which will be reviewed during development of the Funding Proposal and may be subject to change.

## 2. Project Overview

Conservation International is seeking consultancy services provided by a suitably qualified consulting firm or organization (for simplicity, referred to as “Consultant” in this document) to contribute to the development of a GCF Funding Proposal for the Programme based on the Concept Note described in Section 1 of this RFP. The Funding Proposal (FP) development work will be funded in part by CI co-financing and in part by a GCF Project Preparation Facility grant to CI (“PPF Grant”). Details of the PPF Grant are available at <https://www.greenclimate.fund/sites/default/files/document/ppf049-ci-pacifics-countries.pdf>

The PPF Grant includes work on four PPF Activities:

PPF Activity 1 - Feasibility Studies and Analysis

PPF Activity 2 - Programme Design and Indicators

PPF Activity 3 - Financial and Economic Analysis

PPF Activity 4 - Environmental, Social and Gender Impact Assessments and Management Plans.

CI’s partners in the development of the Programme, the Pacific Community (SPC), the Pacific Islands Forum Fisheries Agency (FFA), the United Nations Food and Agricultural Organisation (FAO) and the Secretariat of the Pacific Regional Environmental Programme (SPREP), will undertake PPF Activity 1 (see Attachment 5) with most of this work being done by SPC as the Executing Entity for the Programme. The Consultant will undertake PPF Activities 2-4 as described in the ToRs in Attachment 2 to this RFP. (See also Attachment 6.) The Consultant’s work will be funded by GCF PPF funds and will be subject to the requirements of GCF and its fiduciary agent,

the United Nations Office for Project Services (UNOPS), as included in the eventual contracting agreement.

For PPF Activities 2-4, the Consultant will support CI and its partners to: design interventions; develop indicators; provide detailed recommendations and information on environmental and social safeguards, gender mainstreaming, economic and financial impacts; develop the implementation timetable; and conduct stakeholder engagement with the 14 Pacific Island countries participating in the Programme. Work is expected to begin no later than July 2022 (subject to prime donor funding) and proceed according to the delivery schedule included in Attachment 2 (see also Attachment 4: Timeline of Activities From PPF Application for more details).

The Consultant will report to, liaise regularly with, and take technical guidance from Conservation International's Center for Oceans and its Asia-Pacific Field Division. Senior staff from the Center for Oceans will supervise the Consultant's performance and be responsible for review and acceptance of all written deliverables. The Consultant will also conduct PPF Activities 2-4 in close consultation with the governments of the 14 participating countries. The Consultant will also work in close collaboration with SPC and other Programme partners contracted by CI to complete the Feasibility Studies and Analysis under PPF Activity 1, and with other project stakeholders. The Consultant will incorporate feedback from the stakeholder engagement process, CI technical experts, the CI-GCF Agency (acting as the PPF and Programme GCF Accredited Entity [AE]), and the GCF. Payments for all deliverables are subject to approval by both CI's Center for Oceans and the CI-GCF Agency.

The consultancy will preferably be carried out by a team of professionals that is under the supervision of a Lead Consultant and includes sub-contracted national consultants with relevant experience based in each country, in order to successfully complete the deliverables for PPF Activities 2-4 required by CI to develop the Funding Proposal. The objectives, responsibilities, outputs and required qualifications included in Section 5 and Attachment 2 have been organized under fields of expertise but can be re-arranged depending on the team composition proposed by the Consultant.

CI values consortia that are inclusive and diverse in composition, leveraging the breadth of national and regional expertise across the Pacific to best achieve the consultancy aims and objectives.

### **3. Terms of Reference, Deliverables and Deliverables Schedule** (See Attachment 2)

#### **4. Submission Details**

- a. Deadline: Proposals must be received no later than **5 pm on Friday, 20th May 2022, Australian EST (GMT+11)**. Late submissions will not be accepted. Proposals must be submitted via email to [marine@conservation.org](mailto:marine@conservation.org). All proposals are to be submitted following the guidelines listed in this RFP.

- b. Validity of bid: 120 days from the submission deadline
- c. Clarifications: Questions may be submitted to [marine@conservation.org](mailto:marine@conservation.org) by the specified date and time in the timeline below. The subject of the email must contain the RFP number and title of the RFP. CI will respond in writing to submitted clarifications by the date specified in the timeline below. Responses to questions that may be of common interest to all Offerors will be posted to the CI website and/or communicated via email. CI recommends that all potential Offerors indicate their intention to bid to [marine@conservation.org](mailto:marine@conservation.org) by the date specified in section 8 (proposal timeline) below.
- d. Amendments: At any time prior to the deadline for submission of proposals, CI may, for any reason, modify the RFP documents by amendment(s) which will be posted to the CI website and/or communicated via email.

## 5. Minimum Requirements

The make-up of the consultancy team is expected to include the following positions/areas of expertise to be effective in producing quality deliverables:

- Team Leader
- Professional Specialist in Environmental and Social Safeguards
- Professional Specialist in Gender Analysis
- Professional Specialist in Project Design/Logframes
- Professional Specialist in Economics and Financial Studies

In addition to the key positions above, CI anticipates that the consultancy team will also include consultants based in each Programme country (referred to as national consultants in this RFP) to organize stakeholder consultations (identification of stakeholders, assist with organization of invitations and logistics, develop agendas, facilitate events and produce national stakeholder meeting reports), and the collection of national-level information necessary to complete the deliverables, especially in relation to the Environmental and Social Management Plan, Gender Assessment and Gender Action Plan and others as the Consultant deems necessary.

### Minimum qualifications and experience for all positions include:

- Postgraduate or other advanced university degree in area of expertise (at least Masters level, or equivalent, in biology, ecology, sociology, economics or related social science).
- Demonstrated analytical ability, project design, and report writing skills.
- Excellent written and verbal communication skills in English.
- Competence in the use of standard Microsoft Office applications (Word, Excel, Access, PowerPoint)
- Experience working in the Pacific Island region on climate change mitigation and adaptation programmes, sustainable financing, Indigenous Peoples' issues and/or environmental sustainability issues.
- Ability to travel and demonstrated experience in undertaking independent field work in remote areas.

### Specific qualifications and experience required for each position are:

**Team Leader**

- At least 10 years of professional experience in developing and implementing projects funded by the GCF, GEF, IFC, or other multilateral donors.
- Experience in designing, implementing and monitoring stakeholder engagement plans that include governments, companies, local communities and Indigenous peoples, preferably related to climate-change adaptation/mitigation.

**Professional Specialist in Environmental and Social Safeguards**

- At least 10 years of professional experience in environmental and social safeguards management in climate-change projects, preferably with funding from a multilateral donor.
- Demonstrated experience in working in marine fisheries.

**Professional Specialist in Gender Analysis**

- At least 10 years of professional experience in conducting gender analyses and developing gender action plans (indicators, baselines) and gender strategies, preferably in the context of multilateral donor safeguards.
- Demonstrated experience in working with local communities and vulnerable groups.

**Professional Specialist in Project Design/Logframes**

- At least 10 years of professional experience in designing large-scale marine resource and/or fisheries management projects including logframes, workplans, monitoring and evaluation plans.
- Demonstrated experience in developing projects and other deliverables listed above related to GCF, GEF, or other similar donors.
- Demonstrated experience in working with government entities on climate change response and planning.

**Professional Specialist in Economics and Financial Studies**

- At least 10 years relevant professional experience in financial modeling and economic studies related to marine resource management and fisheries.
- Proven knowledge of fisheries economic models and experience working in the Pacific Islands region or with other heavily marine fisheries-dependent economies.

**6. Proposal Documents to Include**

All proposals must be submitted in English in one volume, consisting of:

- a. Signed cover page on Offeror's letterhead with the Offeror's contact information.
- b. Signed Representation of Transparency, Integrity, Environmental and Social Responsibility (Attachment 1)
- c. Technical Proposal.
  - i. Corporate Capabilities, Experience, Past Performance (1-4 pages). Please include descriptions of similar projects or assignments and at least three client references, especially those funded by public or multilateral donors, including the Global Environment Fund and/or the GCF.
  - ii. Qualifications of Key Personnel (2-5 pages). This section should include the position title, level of effort (in days), clearly defined roles and responsibilities, and

summary of skills of key personnel. CVs for key personnel should also be included as an annex to the technical proposal and will not count against the page limit.

- iii. Technical Approach, Methodology and Detailed Work Plan (3-8 pages). The Technical Proposal should describe in detail the technical approach, methodologies, and tools proposed for the project. The technical proposal should demonstrate a clear understanding of the work to be undertaken and the responsibilities of all parties involved. The detailed workplan should include all deliverables and expected timeframes.
- d. Financial Proposal. Offerors shall use the cost proposal template (Attachment 3). The cost proposal should include:
  - i. Sufficient Consultant time for responding to feedback from the AE and the GCF (deliverable 5) in the period following submission of the Funding Proposal package to the GCF. Note that based on CI’s prior experience with GCF project submission, the Offeror should allow for this feedback to be spread over at least 6 months from the date of submission of the proposal to GCF.
  - ii. All Consultant travel or other reimbursables for travel described in Attachment 2. All travel will be subject to local COVID-19 requirements and a CI travel release & waiver. Travel costs will be paid on a reimbursable, and **not** fixed-price, basis.

**7. Evaluation Criteria**

In evaluating proposals, CI will seek the best value for money considering the merits of the technical and cost proposals. Proposals will be evaluated using only the criteria below and the top-scoring Offerors may also be interviewed.

<b>Evaluation Criteria</b>	<b>Score (out of 100)</b>
Do the proposed Key Personnel have the specific technical expertise and experience for the assignment and does the bid include sufficient national consultants in the consultant team?	20
Is the proposed Technical Approach and Methodology appropriate to the assignment and practical in the prevailing project circumstances?	20
Does the Offeror have experience working with public or multilateral donors, including the Global Environment Fund and/or the GCF?	15
Is the Workplan with timeline presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	10
Does the Offeror’s Corporate Capabilities, Experience, and Past Performance demonstrate recent proven experience doing similar work?	10
Does the Offeror and the proposed Key Personnel have relevant experience working in the Pacific region?	5
Cost: Costs proposed are reasonable, realistic, and reflect a solid understanding of the assignment.	20
<b>Total</b>	<b>100</b>

## 8. Proposal Timeline

RFP Issued	22 March 2022
Intention to Submit (optional)	8 April 2022
Written clarifications/questions submitted to CI	8 April 2022
Clarifications provided to known Offerors	15 April 2022
Complete proposals due to CI	20 May 2022
Final selection	3 June 2022

Note the optional deadline for informing CI of an intention to submit. This is to ensure that responses to clarifications are sent directly to all known potential Offerors.

## 9. Resulting Award

CI anticipates entering into an agreement with the selected Offeror no later than [July 2022](#), [subject](#) to CI's receipt of funding by the prime donor (GCF). Per the Consultant's proposal and subsequent negotiations, the contract will include a set of fixed payments based on submission of deliverables as described in Attachment 2. Any resulting agreement will be subject to the terms and conditions of the CI-GCF Services Agreement. A model form of agreement can be provided upon request.

This RFP does not obligate CI to execute a contract, nor does it commit CI to pay any costs incurred in the preparation or submission of the proposals. Furthermore, CI reserves the right to reject any and all offers, if such action is considered to be in the best interest of CI. CI will, at its sole discretion, select the winning proposal and is not obligated to share individual evaluation results.

## 10. Confidentiality

All proprietary information provided by the Offeror shall be treated as confidential and will not be shared with potential or actual Offerors during the solicitation process. This includes but is not limited to price quotations, cost proposals and technical proposals. CI may, but is not obliged to, post procurement awards on its public website after the solicitation process has concluded, and the contract has been awarded. CI's evaluation results are confidential and Offeror scoring will not be shared among Offerors.

## 11. Code of Ethics

All Offerors are expected to exercise the highest standards of conduct in preparing, submitting and if selected, eventually carrying out the specified work in accordance with CI's Code of Ethics and the Green Climate Fund's Policy on Prohibited Practices, available at <https://www.greenclimate.fund/document/policy-prohibited-practices>

Conservation International's reputation derives from our commitment to our values: Integrity, Respect, Courage, Optimism, Passion and Teamwork. CI's Code of Ethics (the "Code") provides guidance to CI employees, service providers, experts, interns, and volunteers in living CI's core values, and outlines minimum standards for ethical conduct which all parties must adhere to. Any violation of the Code of Ethics, as well as concerns regarding the integrity of the procurement process and documents, should be reported to CI via its Ethics Hotline at [www.ci.ethicspoint.com](http://www.ci.ethicspoint.com).

**12. Attachments:**

Attachment 1: Representation of Transparency, Integrity, Environmental and Social Responsibility

Attachment 2: Terms of Reference

Attachment 3: Cost Proposal Template

Attachment 4: PPF application for the Programme

Attachment 5: Appendix 1 of the PPF application: TORs for Studies to be completed by partners (SPC, FFA and FAO) as part of Activity 1.

Attachment 6: Appendix 2 of the PPF application: TORs for Activities 2-4. (Activities covered by this RFP).

**ATTACHMENT 1: REPRESENTATION OF TRANSPARENCY, INTEGRITY, ENVIRONMENTAL AND SOCIAL RESPONSIBILITY**

RFP No. **OCEANS-GCF-PPF-001**

All Offerors are expected to exercise the highest standards of conduct in preparing, submitting and if selected, eventually carrying out the specified work in accordance with CI's Code of Ethics. CI's Code of Ethics provides guidance to CI employees, service providers, experts, interns, and volunteers in living CI's core values, and outlines minimum standards for ethical conduct which all parties must adhere to. Any violations of the Code of Ethics should be reported to CI via its Ethics Hotline at [www.ci.ethicspoint.com](http://www.ci.ethicspoint.com).

CI relies on the personal integrity, good judgment and common sense of all third parties acting on behalf, or providing services to the organization, to deal with issues not expressly addressed by the Code or as noted below.

**I. With respect to CI's Code of Ethics, we certify:**

- a. We understand and accept that CI, its contractual partners, grantees and other parties with whom we work are expected to commit to the highest standards of Transparency, Fairness, and Integrity in procurement.

**II. With respect to social and environmental standards, we certify:**

- a. We are committed to high standards of ethics and integrity and compliance with all applicable laws across our operations, including prohibition of actions that facilitate trafficking in persons, child labor, forced labor, sexual abuse, exploitation or harassment. We respect internationally proclaimed human rights and take no action that contributes to the infringement of human rights. We protect those who are most vulnerable to infringements of their rights and the ecosystems that sustain them.
- b. We fully respect and enforce the environmental and social standards recognized by the international community, including the fundamental conventions of International Labour Organization (ILO) and international conventions for the protection of the environment, in line with the laws and regulations applicable to the country where the contract is to be performed.

**III. With respect to our eligibility and professional conduct, we certify:**

- a. We are not and none of our affiliates [members, employees, contractors, subcontractors, and consultants] are in a state of bankruptcy, liquidation, legal settlement, termination of activity, or guilty of grave professional misconduct as determined by a regulatory body responsible for licensing and/or regulating the offeror's business
- b. We have not and will not engage in criminal or fraudulent acts. By a final judgment, we were not convicted in the last five years for offenses such as fraud or corruption, money laundering or professional misconduct.
- c. We are/were not involved in writing or recommending the terms of reference for this solicitation document.
- d. We have not engaged in any collusion or price fixing with other offerors.
- e. We have not made promises, offers, or grants, directly or indirectly to any CI employees involved in this procurement, or to any government official in relation to the contract to be

performed, with the intention of unduly influencing a decision or receiving an improper advantage.

- f. We have taken no action nor will we take any action to limit or restrict access of other companies, organizations or individuals to participate in the competitive bidding process launched by CI.
- g. We have fulfilled our obligations relating to the payment of social security contributions or taxes in accordance with the legal provisions of the country where the contract is to be performed.
- h. We have not provided, and will take all reasonable steps to ensure that we do not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitate, or participated in terrorist acts, and we are compliant with all applicable Counter-Terrorist Financing and Anti-Money Laundering laws (including USA Patriot Act and U.S. Executive Order 13224).
- i. We certify that neither we nor our directors, officers, key employees or beneficial owners are included in any list of financial or economic sanctions, debarment or suspension adopted by the United States, United Nations, the European Union, the World Bank, or General Services Administration's List of Parties Excluded from Federal Procurement or Non-procurement programs in accordance with E.O.s 12549 and 12689, "Debarment and Suspension".

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## ATTACHMENT 2: TERMS OF REFERENCE

### Objectives of the consultancy

Develop, in coordination with CI and partners, PPF Activities 2-4, which are required by CI to prepare the Funding Proposal for the regional Programme entitled “Adapting tuna-dependent Pacific Island communities and economies to climate change.”

### Key Activities

The key activities for this consultancy to be delivered in the formats prescribed by GCF and CI, are summarized below.

1. Develop the final Theory of Change (TOC), a detailed workplan (for internal CI use and to facilitate budgeting), implementation timetable (a simplified version of the workplan in GCF format to be presented as Annex 5 of the GCF Funding Proposal), indicators, monitoring and evaluation plan.
2. Develop a Financial and Economic Analysis (FEA, FP annex 3).
3. Develop a Stakeholder Engagement Plan (including a summary of consultations undertaken as part of the Programme design), a stakeholder assessment and plans for stakeholder engagement during Programme implementation.
4. Undertake an Environmental and Social Impact Assessment (ESIA) and use it to guide the development of an Environmental and Social Assessment and Management Plan (ESMP) for the Programme following the Environmental and Social Safeguards Framework of the CI GCF Agency, see: CI GCF Environmental and Social Management Framework at [https://www.conservation.org/docs/default-source/gcf/ci\\_gef\\_gcf-esmf-version-7.pdf](https://www.conservation.org/docs/default-source/gcf/ci_gef_gcf-esmf-version-7.pdf)
5. Coordinate the inputs on gender issues and ensure that gender considerations are fully mainstreamed into all relevant activities comprising the Funding Proposal.
6. Develop a participatory Gender Assessment and Gender Action Plan for the Programme.
7. Develop an Indigenous Peoples Plan (as part of the ESMP).
8. Develop a Community Health and Safety Plan (as part of the ESMP).
9. Develop the Programme level Grievance Mechanism.

### Deliverables

#### A. Deliverable 1: Inception Report

The Inception Report should contain the detailed workplan for PPF Activities 2-4, including the kickoff meeting with the participating countries, Programme partners and CI staff, overall approach, proposed frequency of communications and coordination meetings, the milestones and timeline for preparing deliverables, and the schedule for country visits and national meetings related to the stakeholder consultation process. For each deliverable, a milestone should be included for

providing a draft outline of the deliverable and its expected content. This milestone should be as soon as practicably possible to ensure that CI staff are able to provide feedback early in the process of deliverable development. The Inception Report should also provide an updated travel plan for the consultant team and an updated estimate of travel budget.

## **B. Deliverable 2: Programme design and indicators**

### Objectives

- Develop the final Theory of Change (TOC) for the Programme, based on CI's draft TOC, as well as the logical framework, workplan and implementation plan, including the timetable with milestones and indicators for all activities included in the Programme. This work should be based on the Feasibility Study to be completed concurrently by SPC.
- Define the Programme's specific paradigm shift and related objectives and impacts against the GCF investment criteria, including the relevant indicators as described in the GCF Integrated Results Management Framework (IRMF).
- Develop the Monitoring and Evaluation Plan and Impact Evaluation Plan for the Programme, including all indicators and means of verification – this work will link directly to the overall Programme logical framework.
- Summarize, in narrative format, the expected performance against Programme criteria.

### Deliverables

2.1 Theory of Change and logframe for the Programme, based on information from the Feasibility Study, as well as inputs from stakeholder engagement and gender-related assessments. This work should also describe the paradigm shift and how it addresses the key barriers described in the Feasibility Study.

2.2 Programme indicators, workplan, implementation timetable, and milestones for all activities included in the proposed Programme.

2.3 A description of results expected from the paradigm shift against performance indicators.

2.4 Expected performance against investment criteria.

2.5 Monitoring and impact evaluation plans, including all programme indicators.

### Activities and Responsibilities

- Prepare the deliverables noted above based on the requirements of GCF, including its Integrated Results Management Framework (IRMF), and following the latest guidance.
- The Theory of Change and logframe should describe very clearly the rationale for the Programme, connect outcomes, outputs and activities, and justify who benefits and in what ways

from the Programme. The ToC logically explains how the Programme will implement specific activities to overcome identified barriers to achieve the desired adaptation outcomes.

- A narrative of the ToC should be prepared along with a ToC diagram. This narrative will describe the barriers to achieving the desired Programme outcomes. The narrative should clearly describe the current paradigm / systems / practices that prevent adaptation from taking place. Barriers can be social, cultural, political, economic, financial, or market-based. The ToC narrative will also describe how the program will overcome these barriers to achieve desired outcomes through implementation of specific activities.
- Programme indicators, workplan and implementation plan should include all of the necessary detail for implementation of the activities described in Components A and B of the Concept Note. The workplan will be an internal document for the programme partners indicating the resources needed for each activity so that the budget can be developed. The implementation timetable (FP annex 5) will be a simplified version of the workplan that includes programme milestones in the format required by GCF.
- Indicators in the logical framework should be as quantifiable as possible – some qualitative indicators are possible, but they should be limited. Means of Verification should be clear for each activity and will contribute to the M&E plan Annex 11 for the Programme.
- Results against performance and the paradigm shift should help justify investment in the Programme and also feed into the Programme’s sustainability and exit strategies.
- The Monitoring Plan and Impact Evaluation Plan for the Programme should describe data collection methodologies including estimated timelines and budgets. It should summarise the overall Programme impacts. With guidance from CI and Programme partners, the Consultant will develop the M&E plan, including indicative budget at the output level for the Programme as Annex 11 to the FP. The Programme Impact Evaluation Plan will also be developed to meet the requirements of the GCF and will be based on input from CI and SPC. The M&E plan should include an analysis of options for monitoring impacts beyond the end of the Programme implementation period, for example, through existing national monitoring programmes. Among other indicators, the M&E plan should include measures of national household income and expenditure surveys (HIES) to assess changes in tuna consumption by coastal communities as a way of measuring the effectiveness of strengthening National FAD Programmes to increase access to tuna for coastal communities and as a measure of the effectiveness of securing a minimum frequency of transshipping operations in regional ports to increase access to tuna in urban areas.
- Respond to feedback from CI and the GCF on the products from the consultant and make revisions as required.
- Organize national consultation validation meetings in each Programme country to present the final Programme proposal documents.
- International travel related to this deliverable should be combined with travel needed for consultation meetings (see Deliverable 4 below).

**C. Deliverable 3: Financial and Economic Analysis**

Objectives

- Assess the Programme's proposed use of GCF resources and co-finance to determine the effectiveness and efficiency of these resources in sustainably achieving the objectives.
- The Financial and Economic analysis (FEA) will be based on the core content of the proposal included in the logframe activities and the expected performance against investment criteria. This deliverable will present the anticipated economic benefits of the Programme.
- Demonstrate the long-term financial sustainability of the Programme.

Deliverable

3.1 Complete a financial and economic analysis (FEA) report, including an Excel spreadsheet and accompanying narrative report required for Annex 3, which details the results of the FEA for the Funding Proposal. The FEA should cite data sources and evidence, explain assumptions and methods used, provide interpretation of the results and include the Programme's Economic Internal Rate of Return (EIRR) and Financial Internal Rate of Return (FIRR), and a sensitivity analysis. The Excel spreadsheet should show all the calculations used for the FEA. Worksheets should be unlocked, well-organized, include all formulas and clearly label data and results.

Activities and Responsibilities

- Create a brief narrative on the Programme options, respective interventions, incentives and financing models based on the Feasibility Study.
- Describe the financial efficiency and effectiveness of the proposed Programme, considering the proposed financing and the adaptation impacts that the Programme aims to achieve, and explain how this compares to an appropriate benchmark.
- Determine the expected economic rate of return based on a comparison of scenarios with and without the Programme. Also include the economic impacts / ROI of each component.
- Determine the Programme's expected financial return on investment to illustrate the need for GCF funding and illustrate overall cost effectiveness relative to current practice and known alternatives.
- Determine the opportunity cost for business-as-usual activities in a "with" and "without" Programme scenario.
- Describe the Financial and Economic Analysis in a spreadsheet format to be used as Annex 3 of the FP.
- Provide a narrative description of the Financial and Economic Analysis and key results from it.
- Respond to feedback from CI and the GCF and make revisions as required.
- No travel is expected for this Deliverable

**D. Deliverable 4: ESMF Assessments and Plans – ESIA/ESMP, Stakeholder Engagement Plan, Gender Assessment and Action Plan, Indigenous Peoples Plan, Community Health and Safety Plan, and Accountability and Grievance Mechanism**

### Objective

- Develop the relevant Environmental and Social Management Framework (ESMF) plans/mitigation measures as identified by the Safeguard Screening Process and in accordance with the CI GCF Agency's ESMF. Within this overall objective, the Consultant will:
- Carry out an Environmental and Social Impact Assessment (ESIA) for the Programme based on the proposed activities in the revised Programme logframe. The ESIA should identify, predict and assess the potential environmental and social impacts of the programme and evaluate alternatives. Based on the ESIA, develop the Programme's Environmental and Social Management Plan (ESMP) including appropriate mitigation, management and monitoring measures following the process and format described in the CI GCF Agency's ESMF. For details of additional requirements for the content of the ESMP see the CI GCF Agency's ESMF to ensure that all CI and GCF environmental and social policy requirements are respected.
- Based on the initial Environmental and Social screening for the Programme, prepare an Indigenous Peoples Plan; a Community Health, Safety and Security Plan; an Accountability and Grievance Mechanism; and a Gender Assessment and Action Plan.

### Deliverables

4.1 Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP) following the CI GCF Agency's ESMF guidelines that includes, but is not limited to, the ESS Standards triggered during the screening process.

4.2 Stakeholder Assessment and Engagement Plan following the requirements set out in the CI GCF Agency's ESMF (including summary of consultations undertaken as part of the Programme design).

4.3 Gender Assessment (following the requirements set out in the CI GCF Agency's ESMF and Action Plan (following GCF's format).

4.4 Indigenous Peoples Plan.

4.5 Community Health, Safety and Security Plan.

4.6 Accountability and Grievance Mechanism.

### Activities

- Conduct desk review and primary data collection in each of the participating countries to support the completion of the Assessments and Plans.
- Collect gender-responsive baseline data relevant to Programme planning, implementation and monitoring; identify Programme beneficiaries (sex-disaggregated) and vulnerable groups, and the barriers that could prevent their participation and access to Programme benefits; engage with the identified beneficiaries and groups during the stakeholder engagement to validate gender baseline data and information, and seek input into the design of the Programme to address the identified barriers for men, women, and vulnerable groups.

- Organize and hold stakeholder consultation meetings and focus group discussions, and conduct interviews with men and women to engage key stakeholder groups to further support the completion of assessments of stakeholders, Indigenous Peoples and gender to develop activities, action plans, and budgets and contribute to the TOC, logframe and workplan, in a transparent and participatory process.
- Hold consultation meetings with Indigenous Peoples groups, leaders and representatives following FPIC guidelines to ensure they participate in the design of the Programme and are fully informed and seek their free, prior and informed consent.
- Complete an Environmental and Social Impact Assessment (ESIA) describing the context of the countries, Programme areas, and potential impacts of the interventions among other GCF requirements for an ESIA. The ESIA requires analysis of the socio-economic stress factors and increased vulnerability of local communities and other economic sectors in the context of anthropogenic threats. The assessment for communities will include a focus on impacts, ESS risks and access to/control over resources by women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) given the Programme's context.
- Record and summarize ESS and stakeholder engagement activities including Free, Prior, Informed Consent (FPIC) documentation and provide the list of activities and documentation and include it in the Stakeholder Engagement Plan (using the CI GCF Agency's template).
- Examine the risks to small-scale fishers, government staff, and partners as a result of new and increased fishing in and around FADs and develop actions to avoid, mitigate and minimize risks to these stakeholders.
- Using the assessments and feedback from consultations with stakeholders, conduct collaborative and participatory Programme planning that includes the development of the Stakeholder Engagement Plan, Gender Assessment and Action Plan and the Environmental and Social Management Plan (which includes the Indigenous Peoples Plan, and Community Health, Safety and Security Plan). These plans will be implemented during execution of the Programme in conjunction with, and aligned to, the TOC, logframe and workplan.
- Develop and socialize an Accountability and Grievance Mechanism (AGM) Manual with key stakeholders and partners in each participating country to ensure communication channels and processes are adequate to meet the needs of all stakeholder groups effectively.
- Provide technical support to the main Executing Entity (EE), The Pacific Community (SPC) and implementing partners (FFA, FAO, SPREP), to ensure the Environmental and Social Management Framework (ESMF) of the CI GCF Agency is applied across the Programme and that safeguards and gender policy requirements flow down to the EE and all implementing partners.
- Address reviews and feedback to respond to CI and GCF input and make changes as requested.

### Roles and Responsibilities

- Based on the safeguard screening, the Consultant will be responsible for managing and overseeing the completion of the following safeguard plans and associated assessments in accordance and compliance with CI and GCF requirements: the Stakeholder Engagement Plan, the Gender Assessment and Action Plan, Environmental and Social Impact Assessment (ESIA), the Environmental and Social Management Plan, the Indigenous Peoples Plan, and Community Health, Safety and Security Plan.
- The Consultant, working closely with CI and other Programme partners, is responsible for undertaking desk research and primary data collection, including interviews, focus groups, and consultations with stakeholders in each of the participating countries to conduct a thorough assessment of target stakeholder groups (including women, youth and vulnerable/marginalized groups), Indigenous Peoples and gender. These assessments will inform the development of the required ESMF plans, TOC, Programme logframe and workplan. Based on guidance from CI and GCF, these assessments will investigate the influences/interests/impacts of stakeholders related to the Programme; gender-differentiated roles and responsibilities in the management and use of resources and habitats in the locations where the Programme will take place; Gender-based violence (GBV), and social dynamics of Indigenous Peoples in the regional, national and localized context of the Programme activities.
- Programme documentation, notably the ESMP, gender assessment and action plan, will be made available in person and online for comment for 1 month prior to submission.
- The Programme will seek to use any official national consultation processes in place in each country to solicit feedback on the “final draft” documents.
- The Consultant, working closely with CI and other Programme partners, are responsible for undertaking a participatory gender assessment consisting of a mix of desk review and direct stakeholder consultation (e.g., through focus groups, key informant interviews, a baseline survey, other stakeholder engagement, livelihoods and benefit sharing questions) that will be summarized in a gender assessment and used to inform activities for the gender action plan. This assessment will include consideration of gender-based violence, sexual exploitation and other acute issues and concerns.
- The Consultant will ensure the equal representation of women, men, and other vulnerable groups and will guide the Programme development team in using participatory techniques that involve both women and men in assessments and discussions.
- The Consultant is responsible for engaging with experts to make recommendations on specific actions to reduce, mitigate or eliminate risks to stakeholders from the Programme. The recommendations will focus on risks to small-scale fishers, government staff and partners from new and increased fishing on or around FADs.
- The Consultant, working closely with CI and other Programme partners, are responsible for undertaking and leading a comprehensive and participatory process in collaboration with key partners in which the following plans will be completed according to GCF requirements: Stakeholder Engagement Plan, Gender Action Plan, ESIA / Environmental and Social Management Plan (including the Indigenous Peoples Plan, and Community Health, Safety and Security Plan).

These plans will be informed by the assessments and specific activities and actions will be integrated into the Programme TOC, logframe and workplan. All plans associated with the Programme will be reviewed and feedback/input from stakeholders incorporated following adequate consultation and disclosure with stakeholders.

- The Consultant, working closely with CI and other Programme partners, are responsible for completing a Gender Action Plan in the GCF template format for the Programme, informed by the gender assessment and based on the logframe, that identifies actions to mitigate and/or minimize barriers to equal participation of men and women as well as opportunities to maximize the participation of marginalized groups. The gender-responsive actions and outputs will facilitate implementation of activities that promote gender equality and women's empowerment.
- The Gender Action Plan will include gender-sensitive performance indicators with sex-disaggregated targets, timelines, and responsibilities. Targets will include vulnerable groups (such as female-headed households) as beneficiaries of the Programme. Targets should be based on the information collected as part of the baseline and vulnerability assessments.
- The Consultant will also ensure full incorporation of outcomes of the gender-related studies and develop specific activities related to gender into the design of the Programme, its logical framework and its funding proposal including sex-disaggregated targets and gender sensitive indicators.
- The Consultant will be responsible for developing a Programme-level grievance mechanism outlined in a thorough Accountability and Grievance Mechanism Manual and to socialize it with target stakeholder groups.
- The Consultant, working closely with CI, are responsible for providing technical support to the EEs and implementing partners to ensure the GCF Environmental and Social policies and requirements flow down to activities funded under this Programme.
- This work will be undertaken within 12 months of signing the contract. The consultant(s) shall also be available during months 13-15 to address any questions by CI and the other project partners, and between months 16-24 to address any feedback/requested revision from GCF.

## Meetings and Travel

Travel is expected to complete the deliverables, particularly in relation to deliverables 2 and 4. As a guide for budgeting, CI expects that 1-2 international trips per country will be necessary to complete the deliverables; these should be budgeted under Deliverable 2. In addition, travel within each country by national consultants will be necessary; these should be budgeted under Deliverable 4.

Offerors should provide a preliminary travel plan and travel budget as part of their bid. The travel plan and budget may be modified by mutual agreement by CI and the successful Offeror during contract negotiations or period of performance due to COVID-related travel restrictions and/or adaptive management of the work. In addition, the travel plan may be further refined by the successful Offeror and submitted as part of the inception report (deliverable 1) following further discussions with CI. Travel-related costs will be reimbursed based on actual, itemized expenditure.

The following approach to consultation meetings for the Consultant's work is proposed. This approach is to be confirmed/refined as part of the inception report that is Deliverable 1.

In the event that the pandemic continues to prevent travel to the participating countries, the national meetings with national consultants and stakeholders will be run using a hybrid model, with CI and partners and any international consultants joining remotely. Similarly, in-person workshops and meetings are subject to COVID-related restrictions and are subject to change.

1. Activity 4: A **virtual meeting** with NDAs and Heads of Fisheries (HoF) from the 14 participating countries to refresh knowledge of the Programme and to map out the needs and plans for informing all stakeholders about the design and proposed implementation of the regional tuna programme. CI staff (including country staff), partners and local consultants will attend this virtual meeting. This meeting will be organized by CI and SPC. CI staff will work closely with the Consultant to identify participants, prepare invitations, and prepare the technical content of this meeting. Any costs associated with organizing this meeting will be covered by CI and SPC.
2. Activity 4: The Consultant, using national consultants familiar with the requirements for developing GCF Funding Proposals, will then assist CI staff and partners to organise **meetings with HoF**, Provincial Fisheries Officers and any other relevant national government agencies in each country (1 day; approximately 5 participants per meeting) to identify in particular how the activities within Component A of the regional tuna programme – strengthening National FAD Programmes – will be implemented in the local context. The logistics of these meetings will be undertaken by service providers engaged directly by CI in each of the Programme countries. Consultant should budget local travel costs, as applicable.
3. Activity 4: Once HoF, Provincial Fisheries Officers and other relevant government agencies have worked further on refining the Programme activities, **national-level stakeholder consultation meetings (1 day)** will be organised in each country with ~40 participants drawn from government, private sector, and civil society (including federations of community groups where possible, Indigenous peoples, and men and women fishing cooperatives/groups/ representatives). The logistics of these meetings will be undertaken by service providers engaged directly by CI in each of the Programme countries. CI and the service providers will organize the meetings, with inputs from the Consultant on participants and content. Consultant should budget local travel costs, as applicable.
4. Activity 4: The Consultant will organize two community meetings per country to gather a sample of information and views related to the Programme, including information to help develop the Indigenous Peoples Plan and the Gender Assessment and Action Plan. The community meetings will be organized by the Consultant, and attended by HoF staff, and by CI and SPC staff wherever possible. The Consultant, via national consultants and/or contracted logistics firm as needed, will be responsible for organizing and paying for the logistics for these meetings. As such, Consultant travel costs and relevant meeting costs (including logistics fees, as applicable) should be included in the Offeror's proposal Budget for Deliverable 4.

5. Deliverable 2: Once the Programme proposal documentation has been finalized (final draft), key elements will be presented in a **national validation meeting** in each country. These meetings will be half-day meetings with approximately 50 participants each. These national validation meetings should be organized in close collaboration with the NDAs and/or other relevant government agencies involved in the Programme design. The Consultant, via national consultants and/or contracted logistics firm as needed, will be responsible for organizing and paying for the logistics for these meetings. As such, Consultant travel costs and workshop costs (logistics fees, room rental, tea/coffee for participants, audiovisual equipment and sound system including microphones for participants, name tags and up to 20 pages printed materials per participant should be included in the Offeror’s proposal Budget for Deliverable 2. The overall budget for the 14 national validation meetings should not exceed USD 35,000 unless justified.

**Figure 1: Summary of consultations from PPF application**

The meetings and consultations planned for Activity 4 are summarized in the table below. In each country, a series of stakeholder meetings as described in the table will be organized by CI and the Consultant to invite participation in the design of the Programme and collect the information necessary for completion of the Funding Proposal and its annexes. In the event that the pandemic continues to prevent travel to the participating countries, the national meetings with national consultants and stakeholders will be run using a hybrid model, with CI, partners and the Consultant joining each national meeting remotely.

Country	Type of meeting				
Cook Islands	Regional virtual initial meeting with NDAs and Heads of Fisheries (HoF) to explain the process for developing the Funding Proposal and the nature and timetable for national stakeholder meetings	National consultations with HoF and Provincial Fisheries Officers (where appropriate) to design how best to design the programme, with a particular focus on strengthening the National FAD Programs	National consultations with HoF and Provincial Fisheries Officers (where appropriate) and ~40 key stakeholders to seek feedback on the programme design and plans for strengthening National FAD Programs	Community meeting (x2) in each country to collect community-level information related to the programme for use in completion of the Gender Assessment and Gender Action Plan, Indigenous Peoples Plan and Community Health and Safety Plan	National ‘Town Hall’ validation meeting in each country to share the final programme design, Gender Plan, Indigenous Peoples Plan and Community Health and Safety Plan with the broader community
FSM					
Fiji					
Kiribati					
Marshall Is					
Nauru					
Niue					
Palau					
PNG					
Samoa					
Solomon Is					
Tonga					
Tuvalu					
Vanuatu					

Expected outputs	Schedule for receiving key inputs to the design of the Funding Proposal from NDAs and HoFs	Priority actions for designing the programme, including strengthening National FAD Programs in each country and associated budgets	Revisions if needed to the programme design, including priority actions for strengthening National FAD Programs	Information needed to complete the Gender Assessment and Gender Action Plan, Indigenous Peoples Plan & Community Health and Safety Plan	Final endorsement of <u>the programme design</u> , Gender Plan, Indigenous Peoples Plan & Community Health and Safety Plan
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### Deliverables Schedule

The deadline for execution of this consultancy is 24 months from the signing of the contract. In addition to the deliverables below, the Consultant will maintain regular contact with CI staff, including at least monthly virtual meetings. Note that the inception report should identify milestones for the deliverables and frequency of contact needed with CI staff and partners to ensure regular dialogue and coordination and to ensure that there is a common understanding of the expectations for each deliverable. In addition to the timelines for the draft deliverables indicated below, the Consultant should plan to provide outlines of the proposed structure and content of each deliverable to CI as early as possible to elicit feedback and guidance. Timelines for providing these outlines should be indicated in the inception report (Deliverable 1).

The proposed deliverable due dates are included in the table below. Earlier delivery where possible is preferred and can be indicated in the proposal timeline and/or inception report.

Invoice #	Deliverable(s)	Document	Deliverable Due Date
1	Inception report	Final	Month 1
2	2.1 Theory of Change/Logframe	Draft	Month 4
	2.2 Programme indicators, workplan, implementation plan and milestones		Month 5
	2.3 Paradigm shift and results against performance indicators		Month 5
	4.6 Accountability and Grievance Mechanism Manual		Month 5
3	2.1 Theory of Change/Logframe	Final	Month 6
	2.2 Programme indicators, workplan, implementation plan and milestones		Month 6
	2.3 Paradigm shift and results against performance indicators		Month 6
	4.6 Accountability and Grievance Mechanism Manual		Month 6
4	4.3 Gender Assessment and Action Plan	Draft	Month 8
	2.4 Expected performance against investment criteria		Month 10

	2.5 Monitoring and impact evaluation plans		Month 10
	4.1 Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP)		Month 10
	4.2 Stakeholder Assessment and Action Plan		Month 10
	4.4 Indigenous Peoples Plan		Month 10
	4.5 Community, Health, Safety and Security Plan		Month 10
5	4.3 Gender Assessment and Action Plan	Final	Month 11
	2.4 Expected performance against investment criteria		Month 12
	2.5 Monitoring and impact evaluation plans		Month 12
	4.1 Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP)		Month 12
	4.2 Stakeholder Assessment and Action Plan		Month 12
	4.4 Indigenous Peoples Plan		Month 12
	4.5 Community, Health, Safety and Security Plan		Month 12
6	Economic and Financial Analysis	Final	Month 17
7	Revised content from above deliverables pending AE and GCF feedback	Final	Month 24

The reports and final documents of each deliverable should be delivered in English and in modifiable digital format (in Word, Excel, PowerPoint), and should contain all original working files (Word, Excel, PDF, JPG, etc.).

Each deliverable should be recorded as a milestone and should be presented as a draft for review and approval by the CI project and proposal writing team; the consulting team must respond to requests for revisions within 5 working days.

The payment for deliverables is dependent upon the work products being approved by the Center for Oceans and the CI-GCF Agency (the AE for the Programme).

### ATTACHMENT 3: COST PROPOSAL TEMPLATE

The cost proposal must be all-inclusive of profit, fees, or taxes. Additional costs cannot be included after award, and revisions to proposed costs may not be made after submission unless expressly requested by CI should the Offeror's proposal be accepted. Nevertheless, for the purpose of the proposal, Offerors must provide a detailed budget showing major expense line items. Cost proposals must show unit prices, quantities, and total price. All items, services, etc. must be clearly labeled and included in the total offered price. All cost information must be expressed in US dollars. It is recommended that Offerors use the Cost Proposal Template shown below and available with the RFP on the CI Procurement Opportunities site: <https://www.conservation.org/about/procurement-opportunities>.

If selected, Offeror shall use their best efforts to minimize the financing of any taxes on goods and services, or the importation, manufacture, procurement, or supply thereof. If Offeror is eligible to apply for refunds on taxes paid, Offeror shall do so. Any tax savings should be reflected in the total cost.

A travel budget should be provided as part of the cost proposal. The travel budget should clearly indicate any standard costs used by the Offeror (e.g., per diem rate). Travel costs will be reimbursed by CI based on actual expenses (with the appropriate itemized documentation).

#### **COVID 19 Guidelines**

Offerors shall adhere to all applicable international, national or local regulations and advisories governing travel, including safety, health and security measures in effect throughout the Period of Performance.

It is expected that CI and the Offeror will take into consideration and plan around the international, national or local regulations and advisories governing travel, including safety, health and security measures in effect in the countries that the consultant is expected to visit. Virtual consultations are possible and expected where in-person field work is not possible.

#### **Financial Offer**

CI anticipates that the range of financial offers will be between USD 400,000—500,000, of which, estimated travel & workshops will range from USD 125,000—175,000.

The financial offer should include a breakdown of costs by deliverables, as listed below:

- 1. Inception report**
- 2. Programme design and indicators:**
  - 2.1 Theory of Change/Logframe
  - 2.2 Programme indicators, workplan, implementation plan and milestones
  - 2.3 Paradigm shift and results against performance indicators
  - 2.4 Expected performance against investment criteria
  - 2.5 Monitoring and impact evaluation plans
- 3. Economic and Financial Analysis**
- 4. Safeguard Assessments and Plans – Stakeholder Engagement Plan, Gender Action Plan, Environmental and Social Impact Assessment, Environmental and Social Management Plan (including Indigenous Peoples Plan, Community Health and Safety Plan, and Accountability and Grievance Mechanism):**

4.1 Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP)

4.2 Stakeholder Assessment and Action Plan

4.3 Gender Assessment and Action Plan

4.4 Indigenous Peoples Plan

4.5 Community, Health, Safety and Security Plan

4.6 Accountability and Grievance Mechanism Manual

**5. Revised content from above deliverables pending AE and GCF feedback**

<b>Budget Worksheet</b>	
Name of Organization:	
RFP Number:	
<b>Total Bid For Evaluation</b>	\$0

**Instructions:**  
 1. Fill in the costs associated with your bid in the table below.  
 2. Add rows as needed.  
 3. Fill in the blue cells only.  
 4. If you have any other additional costs, please include them under Other Direct Costs and explain them in the Notes.

Financial Offer	Line Categories	Unit Type	Unit Cost (US \$)	Deliverable 1. Inception report		Deliverable 2. Programme design and indicators		Deliverable 3. Economic and Financial Analysis		Deliverable 4. Safeguard Assessments and Plans		Deliverable 5. Revisions to address GCF feedback		Total (US \$)
				Manual	Formula	Manual	Formula	Manual	Formula	Manual	Formula	Manual	Formula	
<b>Staff Cost - Salaries</b>														
	Sample 1	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Position Title>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Position Title>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Position Title>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Position Title>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total Salaries</b>				\$0		\$0		\$0		\$0		\$0	\$0
<b>National Consultants</b>														
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total National Consultants</b>				\$0		\$0		\$0		\$0		\$0	\$0
<b>International Consultants</b>														
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Consultancy Description>	per day			\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total International Consultants</b>				\$0		\$0		\$0		\$0		\$0	\$0
<b>Travel, Transportation &amp; Per Diem</b>														
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total Travel, Transportation &amp; Per Diem</b>				\$0		\$0		\$0		\$0		\$0	\$0
<b>Equipment and Supplies</b>														
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total Equipment and Supplies</b>				\$0		\$0		\$0		\$0		\$0	\$0
<b>Meetings, training, workshops, and conference</b>														
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total Meeting, training, workshops, and conference</b>				\$0		\$0		\$0		\$0		\$0	\$0
<b>Professional/Contractual Services</b>														
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total Professional/Contractual Services</b>				\$0		\$0		\$0		\$0		\$0	\$0
<b>Other Direct Costs</b>														
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<Enter Description>				\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total Other Direct Costs</b>				\$0		\$0		\$0		\$0		\$0	\$0
	<b>Total Budget</b>				\$0		\$0		\$0		\$0		\$0	\$0

Please add any information that will help the budget reviewer in this column.

**Notes**

**ATTACHMENT 4. TIMELINE OF ACTIVITIES FROM PPF APPLICATION**

B. Description of Project Preparation Activities	
Outputs and Activities <i>(Please select Activity Areas<sup>1</sup>, activities, and deliverables as needed)</i>	Month
	<i>(Please shade the implementation period from the starting month of the Output and Activity in the schedule. Please also indicate the month of completion of each deliverable with "X" in the corresponding cell)</i> Dark grey indicates pre-submission development. Light grey indicates post-submission revision in response to GCF reviews. 'X' indicates completion of the deliverable or intermediary milestones that are described in the 'Outputs and Activities' column.
	1 2 3 4 5 6 7 8 9 10 11 12 1 2 3 4 5 6 7 8 9 0 1 2 3 4
<b>Activity and deliverable 1: Feasibility Studies and Analyses. Lead: CI and SPC (see details below)</b>  PPF activity area: Pre-feasibility, feasibility studies and project design  <u><b>Deliverables:</b></u>  <b><i>1.1 Initial Programme design and proposal planning. Lead: CI (see also Appendix 4 for details of CI work funded through CI co-financing)</i></b>	X

<sup>1</sup> The PPF can provide support within the following project preparation activity areas:

- i. Pre-feasibility and feasibility studies
- ii. Environmental, social and gender studies
- iii. Risk Assessments
- iv. Identification of programme and project level indicators

Other activities of direct relevance for Direct Access Entities that the PPF can support are as follows:

- v. Pre-contract services, including the revision of tender documents
- vi. Advisory services and/or other services to financially structure a proposed activity
- vii. Other project preparation activities, where necessary, and with sufficient justification















**ATTACHMENT 5. APPENDIX 1 OF THE PPF APPLICATION: TORs FOR STUDIES TO BE COMPLETED BY PARTNERS (SPC, FFA and FAO) AS PART OF ACTIVITY 1**

**Appendix 1**

**Terms of Reference (TOR) for Studies required to develop the Programme Feasibility Study**

**Study 1 (SPC): Assessment of the vulnerability of Pacific Island communities and economies to the effects of climate change on fisheries (CCVA) – PPF Grant**

**Scope of work and objectives**

A fundamental component of all GCF Funding Proposals is the climate change rationale for the proposed programme activities. SPC co-ordinated a [comprehensive assessment of the vulnerability of fisheries resources](#), and the communities and economies that depend on them, to climate change. However, that vulnerability assessment is now 10 years old. The purpose of Study 1 is to update the components of the SPC vulnerability assessment related to the direct and indirect effects of climate change on coastal fisheries resources, and on the distribution of tuna resources, to document the climate rationale for the Programme.

In particular, the following assessments relevant to Components A and B of the Programme (see Concept Note for the scope of these two components) need to be completed as described below.

**Component A**

- i. Update the SPC 2011 analysis of the vulnerability of coastal fisheries resources<sup>1</sup> (particularly coral reef fish and invertebrates) in the Pacific Island region on the effects of ocean warming and acidification on coastal fisheries production. This analysis should consider both the direct effects on the target species, and the indirect effects on growth and survival on these species expected to occur as a result of climate-driven degradation of coral reefs. The results of the analysis should then be used to update the SPC 2011 assessment of the implications of the projected decrease in coral reef fish production for the food security of coastal communities in the 14 Pacific Island countries participating in the Programme<sup>2</sup>. The relevant sections in the SPC 2011 vulnerability assessment are Chapters 5, 9 and 12; see also the 'Summary for countries' at the link above.
- i. The updated vulnerability assessment should incorporate relevant information from the recent literature to focus on the latest estimates for the degradation of coral reef habitats (in terms of percentage live coral cover), decreases in average coastal (mainly coral reef fish) fish production (in tonnes per km<sup>2</sup>) due to the direct and indirect effects of climate change, and increases in the gap in fish supply for food security (in kg of fish per person per year), projected to occur under the SSP5-8.5 and SSP2-4.5 (or equivalent) greenhouse gas emission scenarios by 2030 and 2050. These estimates will be updated, where possible, for each of the 14 participating countries.
- i. Assessments of the gap in supply of fish needed for food security for each participating country under the two emission scenarios by 2030 and 2050 should use the best estimates of national per capita fish consumption and the projected population for each country in 2030 and 2050 available from SPC's Statistics for Development Division.

- i. The relative vulnerability of the 14 participating countries to shortages of fish needed for food security should be estimated using the general approach developed by IPCC based on ‘exposure’, ‘sensitivity’, ‘potential impact’ and ‘adaptive capacity’, as described in Sections 1.8.3 and 12.7 of the [2011 SPC vulnerability assessment](#) and Chapter 25 of the [2018 FAO volume](#)<sup>3</sup>. See also Annex 1 to the Concept Note for the GCF regional tuna programme for possible ways of summarizing the relative vulnerability of each country.
- i. The gap in fish supply to be filled by tuna and other oceanic fish species (hereafter grouped as ‘tuna’) in 2030 and 2050 under SSP5-8.5 and SSP2-4.5, respectively, to meet the recommended minimum annual per capita fish consumption of 35 kg per person per year (or current levels if higher) of fish consumption. This assessment should be based on the general approach used in the publication entitled ‘[Diversifying the use of tuna for food security and public health in Pacific Island countries and territories](#)’ (2015), noting that a modified approach is needed for Papua New Guinea given the large proportion of the population residing in inland areas with limited ability to access fish. The total amount of tuna required to fill the gap in fish supply across all 14 countries combined in 2030 and 2050 should also be calculated.
- i. Estimates of the total number of people in the 14 participating countries that will need increased access to tuna for food security in 2030 and 2050.

#### Component B

- i. Update the analysis of the vulnerability of the nine tuna-dependent Pacific Island countries<sup>4</sup> to climate-driven tuna redistribution documented in the paper entitled ‘[Pathways to sustaining tuna-dependent Pacific Island economies under climate change](#)’ published in *Nature Sustainability*
- i. The updated assessment of the vulnerability of the nine tuna-dependent economies should incorporate the results of the most recent modelling of the redistribution of the three species of tuna caught by purse-seine (skipjack, yellowfin and bigeye tuna) across the tropical Pacific Ocean under both the SSP5-8.5 and SSP2-4.5 greenhouse gas emission scenarios by 2050.
- i. Vulnerability of each tuna-dependent economy in 2050 should be assessed in terms of percentage changes to 10-year (2009–2018) average purse-seine catches within their EEZs and percentage changes in 4-year (2015–2018) annual averages:
  - earnings from tuna-fishing access fees;
  - contribution of access fees to total (non-grant) government revenue; and
  - total (non-grant) government revenue.
- i. The relative vulnerability of the nine tuna-dependent economies to tuna redistribution should be estimated using the general approach based on ‘exposure’, in ‘sensitivity’, ‘potential impact’ and ‘adaptive capacity’, as described in Sections 1.8.3 and 12.4 of the [2011 SPC vulnerability assessment](#) and the [2018 FAO volume](#). See also Annex 1 to the Concept Note for the GCF regional tuna programme for possible ways of summarizing the relative vulnerability of each economy.
- i. The number of people presently living in tuna-dependent Pacific Island countries, and projected to be living there in 2050, should be estimated (taking into account the extent to which the large inland population of PNG can or cannot be considered to depend on national revenue earned from tuna access fees).

## Outputs/Deliverables

The main output from Study 1 will be a report that documents the following information in relation to Components A and B of the Programme (see Concept Note):

### Component A

- The latest projected percentage change in live coral cover in the Pacific Island region, due to the increased frequency of coral bleaching, ocean acidification and other climate-related stresses to coral reefs, under the SSP5-8.5 and SSP2-4.5 emission scenarios by 2030 and 2050. IPCC Likelihood and Confidence categories should be applied to these projections.
- The estimated changes in coastal fisheries production, especially coral reef fish production, in percentage and volume terms, due to the combined direct and indirect effects of climate change under SSP5-8.5 and SSP2-4.5 emission scenarios by 2030 and 2050, for each of the 14 Pacific Island countries participating in the Programme. IPCC Likelihood and Confidence categories should be applied to these projections.
- The gap in the supply of fish for food security, relative to the recommended minimum annual per capita fish consumption of 35 kg per person per year or traditionally higher levels of fish consumption, estimated to occur in 2030 and 2050 for each of the 14 Pacific Island countries participating in the Programme due to the combined effects of predicted population growth and climate-driven decreases in coastal fisheries production under the SSP5-8.5 and SSP2-4.5 emission scenarios.
- The amount of tuna catch that will be required to fill the gap in fish supply for food security in each country, and for the region as a whole, by 2030 and 2050 under the two emission scenarios, using the published conversion factor of 80% for fish flesh available for consumption relative to live tuna weight – see Section 2.2 of the publication available at: <http://dx.doi.org/10.1016/j.marpol.2014.10.005>
- Estimates of the total number of people in the 14 participating countries that will need increased access to tuna for food security in 2030 and 2050.

### Component B

- Projected changes in the combined biomass of tuna species caught by purse-seine fishing in the EEZ of each tuna-dependent country, and in high-seas areas, by 2050 under the SSP5-8.5 and SSP2-4.5 emission scenarios.
- Projected changes in the tuna purse-seine catch in the EEZ of each tuna-dependent country, and in high-seas areas, by 2050 under the SSP5-8.5 and SSP2-4.5 emission scenarios, noting that skipjack tuna, yellowfin tuna and bigeye tuna are expected to respond to the warming ocean in different ways, and that the proportions of the three species in the combined tuna biomass are different to the proportions of these species in the total purse-seine catch.
- The estimated effects of changes in purse-seine catch in the EEZ of each tuna-dependent country by 2050 under the SSP5-8.5 and SSP2-4.5 emission scenarios on: average annual tuna-fishing access fees, the average contribution of access fees to total (non-grant) government revenue, and to total government revenue itself.
- The estimated number of people living in tuna-dependent Pacific Island countries now, and the impacts of reduced national revenue for government programmes on the number of people predicted to be living there in 2050 using a \$ per capita metric.



The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

**Period of performance**

12 months from commencement of contract.

## **Study 2 (SPC): Options for supplying dietary protein for growing Pacific Island populations – Co-finance**

### **Scope of work and objectives**

The SPC Public Health Division recommends that 50% of the protein needed for good nutrition of Pacific Island people should be derived from fish because of the problems involved in producing nutritious dietary protein in the region due to (often severe) limitations on agriculture and animal husbandry. It has been widely recognised that as the human populations of many Pacific Island countries continue to grow rapidly, and as harvests of coastal fisheries decline due to the degradation of coral reefs and other effects of climate change, more tuna and other oceanic fish species (hereafter grouped as ‘tuna’) will need to be allocated to domestic food security to ensure that fish provides 50% of dietary protein.

The purpose of this study is to prepare the report entitled ‘Options for supplying dietary protein for growing Pacific Island populations’ required for the ‘options’ analysis in the Feasibility Study (see Study 10). This study is needed to make an objective assessment of possible alternatives to tuna (e.g., fish imports, agricultural/meat imports, increased local agricultural/meat production, aquaculture), for filling the gap in dietary protein needed by each of the 14 Pacific Island countries in 2030 and 2050.

The specific tasks to be completed during this Study are described below.

- i. A desk study of the public health status (including, where feasible, nutritional status, e.g., malnourished, obese, incidence of diet-driven non-communicable diseases) in each of the 14 Pacific Island countries participating in the Programme (based on the relevant SPC, WHO and FAO databases)
- i. An overview of the main sources and quantities (kg per person per year) of protein consumed by coastal and urban communities in the 14 Pacific Island countries participating in the Programme<sup>5</sup>. This information should be derived from the most recent Household Income and Expenditure Surveys (HIES) conducted by programme-targeted countries’ national statistics agencies and summarized into the following food types, where available (with gaps and uncertainties identified where it is not):
  - locally available coastal and freshwater fish species from capture fisheries and aquaculture;
  - locally available tuna (fresh, bycatch, canned),
  - imported frozen fish;
  - imported canned fish (including imported canned tuna);
  - chicken (separated into local and imported);
  - beef (separated into local and imported);
  - pork (separated into local and imported);
  - imported canned meat in general;
  - local root crops and vegetables
  - imported grains and cereals
  - other sources of protein.
- i. The nutritional value of each of the sources of dietary protein listed above, in terms of protein, energy, fat, minerals and vitamins, for children (including infants in utero and while breast feeding), women and men.
- i. The average cost per kg (in USD) of each food type in each of the 14 participating countries. In the case of tuna, this analysis should account for the fact that:

- a) some of the tuna consumed by coastal communities will come from subsistence fishing supported by the proposed expansion of National FAD Programmes, and  
b) tuna bycatch is available at low cost at several urban centres in the region through transshipping operations, e.g., in Honiara, Solomon Islands.
- i. Analysis of the quantity of dietary protein to be supplied by fish (based on the recommendation that fish provides 50% of dietary protein) in each of the 14 participating countries by 2030 and 2050 based on:
- Expected population sizes in each country in those years.
  - Recommendation from WHO that human diets should contain 0.7 g of protein per kg body weight per day
  - Average body weight of children, women and men in each country
- i. Synthesis of the above information to compare the advantages and disadvantages, in terms of nutrition, reliability of supply (particularly for imports, which could be affected by changes in global trade arrangements due to pandemics, economic crises and security risks) and cost, of using tuna to ensure that enough fish is available in total to supply 50% of dietary protein in the face of reduced coastal fisheries production and greater human populations, as opposed to substituting tuna with other sources of dietary protein.

## Outputs/Deliverables

The main output will be a report that documents:

- i. Public health status in each of the 14 countries participating in the Programme. This section of the report should include a table, similar to Supplementary Table 5 in the publication available at: <https://doi.org/10.1016/j.marpol.2018.10.034>
- i. The main sources and quantities of protein consumed in each of the 14 countries, including a table that summarises the per capita consumption of protein derived from each of the sources (food types) listed above (in kg per person per year based on the percentage protein content of each food type, for example, if tuna is 25% protein and 50 kg of tuna is consumed, the quantity of protein derived from tuna would be 12.5 kg). Where relevant, consumption patterns should be shown for both coastal and rural communities.
- i. The nutritional value of each of the food types listed above, in terms of average protein, energy, fat, minerals and vitamins. This section of the report should include a table, similar to Supplementary Table 2 in the publication available at: <https://doi.org/10.1016/j.marpol.2018.10.034>. Information on hormone and antibiotic levels in imported meat products, and heavy metals and persistent organic pollutants in fresh fish products, should also be included if available.
- i. A table summarizing available information on the average cost per kg (converted to USD) of each food type in each of the 14 participating countries.
- i. The gap in dietary protein recommended to be filled by fish in each of the 14 participating countries by 2030 and 2050.
- i. Synthesis of the above information to compare the advantages and disadvantages, in terms of nutrition, cost and reliability of supply, of using tuna to fill the gap in recommended protein supply, created by population growth and degradation of coral reefs due to climate change, compared to other sources of locally available or imported dietary protein. This section of the report should evaluate nutritional benefits not only

in terms of protein content by also availability of micro-nutrients. It should also briefly identify the risks to continuity of supply of each source of protein. The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

**Period of performance**

9 months from commencement of contract.

### **Study 3 (SPC): Feasibility of scaling-up National FAD Programmes in all 14 participating countries – *Co-finance***

#### **Scope of work and objectives**

Nearshore Fish Aggregating Devices (FADs) are now widely recognised as an effective way of increasing access to tuna and other oceanic fish species (hereafter grouped as 'tuna') to improve the food security of rapidly-growing coastal communities in the Pacific Island region (see Chapter 13 in <https://www.spc.int/cces/climate-book/spc-publications-on-climate-change#tab-682-2> and <https://www.sciencedirect.com/science/article/abs/pii/S0308597X1400267X>). Most Pacific Island countries have been deploying nearshore FADs for several years, often with the assistance of SPC, however, the number of FADs has yet to be scaled-up to the level where FADs are a significant part of the national infrastructure for food security.

SPC has provided a blueprint for sustaining and strengthening National FAD Programmes so that this simple technology can be used to meet the increasing demand for tuna driven by human population growth and the decline in reef fisheries caused by over-harvesting and poor management of coastal fish habitats in several locations, and by the degradation of coral reefs due to ocean warming and acidification across the region. This blueprint is available at [https://www.spc.int/DigitalLibrary/Doc/FAME/Brochures/Anon\\_17\\_PolicyBrief31\\_FAD\\_Programmes.html](https://www.spc.int/DigitalLibrary/Doc/FAME/Brochures/Anon_17_PolicyBrief31_FAD_Programmes.html)

Component A of the GCF regional tuna programme is designed to strengthen National FAD Programmes in all 14 participating countries.

The purpose of this study is to document the existing needs and capacity of each country to maximise the benefits of investments by GCF in all activities related to strengthening National FAD Programmes.

The specific tasks to be completed during this study are described below.

- i. An analysis of the capacity of the national fisheries agency in each country to deploy the number of FADs needed to significantly increase the supply of tuna for domestic food security by the end of the Programme in 2030. The numbers of FADs required for this purpose are expected to vary widely among countries due to population size and the distribution of the population. In the smaller countries, the expectation is that the majority of FADs needed to fill the gap in fish supply would be installed. However, in the large countries, such as PNG, Fiji and Solomon Islands, an assessment will need to be made of the capacity to install sufficient FADs to significantly increase the supply of tuna in those coastal communities that have the greatest needs for an increased supply of fish. The important decisions about the number of FADs to be deployed in each country will be made during the consultations with the national fisheries agencies about the priorities for strengthening their National FAD Programmes during development of the Funding Proposal and guided by the information provided in the publication by CI and SPC on optimising the use of FADs for food security in the Pacific Islands <http://dx.doi.org/10.1016/j.marpol.2015.02.010>
- i. In support of (i) above, analyse the current capacity in each of the 14 participating countries to:
  - Implement the necessary increases in the deployment and management of nearshore anchored FADs, taking into consideration allocation of existing staff and shore-based facilities for the construction, installation and maintenance of

FADs; development of protocols for procurement and storage of FAD materials; availability of suitable vessels for deploying FADs; and establishment/strengthening of fishers' associations as vehicles to help deliver all aspects of National FAD Programmes.

- Develop codes of conduct for harmonious use of FADs by multiple stakeholders (including, for example, a measure of how each country is implementing community-based fisheries management and resource sharing).
  - Modify the design of FADs to further reduce any potential impacts on marine mammals, turtles and seabirds–
  - Train small-scale fishers in safe and effective FAD-fishing methods.
  - Improve the use of boating safety equipment by small-scale FAD fishers so that they can make the transition to fishing further offshore with confidence and safety.
  - Monitor the performance of FADs to determine how to continually improve the effectiveness of the infrastructure and its use by small-scale fishers.
  - Train coastal communities in remote locations without refrigeration in simple post-harvest methods (e.g., drying and smoking, home canning) to maximise use and storage life of tuna caught around FADs.
- i. Synthesise the information in (i) to (iii) above to:
- Identify the gaps in capacity that need to be addressed to scale-up National FAD Programmes in each of the 14 countries;
  - Recommend the priority areas and extent of investments (in USD) needed to achieve the GCF Programme objectives for nearshore FADs in each country; and
  - Document the status of National FAD Programmes in each country to establish a baseline for measuring the achievements of the Programme.

### **Outputs/Deliverables**

The main output from this study will be a report that documents:

- i. The number, size and distribution of coastal communities in each participating country.
- i. The optimum locations and numbers of FADs needed to maximise access to tuna for coastal communities and the (country-agreed) target and priorities for FAD deployment given the funding available for Component A of the GCF Programme for each country.
- i. The status of National FAD Programmes in each country at the start of the GCF regional tuna programme, including a table summarizing the extent to which the various activities needed to implement a scaled-up National FAD Programme listed above are already in place (in percentage terms).
- i. The gaps in capacity needed to implement a National FAD Programme at the appropriate scale in each country, including a table summarizing the nature and cost of investments that will need to be made for each of the activities listed above to complete all FAD-related activities at the appropriate level before the end of the Programme.
- i. An assessment of the risk that the proposed investments do not fill all the gaps in capacity effectively, and recommended measures for reducing any such risks.

i. The total number of people expected to benefit from scaled-up National FAD Programmes in each participating country.

The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

**Period of performance**

12 months from commencement of contract.

#### **Study 4 (SPC): Review of the capacity of national administrations to manage the risks posed by natural disasters to small-scale fishers – PPF Grant**

##### **Scope of work and objectives**

Component A of the Programme is designed to enable coastal communities to obtain more of the protein they need for food security from tuna and other oceanic fish species (hereafter grouped as ‘tuna’) as coral reefs are degraded by climate change. This will depend not only on strategically increasing the number of nearshore FADs needed to assist small-scale fishers to catch more tuna, it also depends on supporting small-scale fishers to operate effectively and safely around FADs. Key factors in fishing safely around FADs are 1) forecasts of wind speed and direction, and sea conditions; 2) timely transmission of these forecasts to all parts of the country; and 3) training for small-scale fishers in how to interpret and use the forecasts to plan fishing activities. When these essential services are in place, the risk of cyclones and other severe weather conditions causing a disaster for small-scale fishers is greatly reduced. This study will help to inform the Community, Health and Safety Plan to be developed as part of the Programme’s Environmental and Social Management Plan.

The purpose of this study is to assess the capacity of national administrations to manage the risks posed by natural disasters to small-scale fishers, and identify gaps to be filled.

The specific tasks to be completed during this study are described below.

- i. Assess the extent to which relevant regional frameworks and strategies, e.g., *The Framework for Resilient Development in the Pacific (FRDP)*, *the Framework for Pacific Regionalism (FPR)*, *the Pacific Islands Meteorological Strategy (PIMS)* include the support needed by national administrations in each of the 14 participating countries to:
  - provide the tools needed to forecast disasters (cyclones and other severe weather events) and to turn these forecasts into products and communication materials to support timely and tailored preventive actions by small-scale fishers;
  - train small-scale fishers in how to use the information from forecasts to reduce the risks posed by cyclones and other severe weather events, and prepare for disasters; and
  - assist small-scale fishers to assess the impacts from disasters and develop recovery plans.
- i. Identify any gaps in the capacity of national meteorological agencies in each of the 14 participating countries to forecast weather and sea conditions relevant to the operations of small-scale fishers using nearshore FADs, and communicate this information quickly to all areas within the nation in ways where it can be received easily by these fishers.
- i. Evaluate the liaison mechanisms between national meteorological agencies, national fisheries agencies, the national maritime safety authority and national disaster risk management office, and the extent to which they collaborate to provide small-scale fishers with the training required to use forecasts to reduce the risks posed by cyclones and other severe weather events, in each of the 14 participating countries. For each of the countries, identify any improvements needed to provide the training required.
- i. Describe existing arrangements in each of the participating countries for assisting small-scale fishers to assess the impacts from disasters and develop recovery plans.

- i. Identify the priority activities to be implemented by the Programme to strengthen the capacity of national administrations to manage the risks posed by the increasing effects of climate-driven disasters on small-scale fishers using FADs. This will be done in consultation with FAO, which is allocating some staff time to this evaluation as co-finance.

### **Outputs/Deliverables**

The main output from this study will be a report that documents:

- i. The extent to which relevant regional frameworks and strategies for disaster risk reduction support national administrations to meet the operational safety needs of small-scale fishers using nearshore FADs.
- i. The gaps in the capacity of national meteorological agencies in each of the 14 countries participating in the Programme to forecast weather and sea conditions relevant to the operations of small-scale fishers, and to communicate this information effectively throughout each country. In addition to a narrative, this section of the report should also include a table summarising the gaps in capacity.
- i. The extent of collaboration between national meteorological agencies, national fisheries agencies, national maritime safety authority agencies and national disaster risk management offices in providing small-scale fishers with the training required to use forecasts to reduce the risks posed by cyclones and other severe weather events. In addition to a narrative, this section of the report should also include a table summarising the scope of this collaboration, and the nature of any actions needed to deliver improved training, for all 14 participating countries.
- i. The existing arrangements in each of the participating countries for assisting small-scale fishers to assess the impacts from disasters and to develop recovery plans. In addition to a narrative, this section of the report should also include a table summarizing the information for all 14 participating countries.
- i. The priority activities (including cost in USD) to be implemented during the Programme to strengthen the capacity of national administrations to manage the risks posed by the increasing effects of climate-driven natural disasters, particularly cyclones and severe weather events, on small-scale fishers using FADs.

The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

### **Period of performance**

9 months from commencement of contract.

## **Study 5 (SPC): Description of existing and future needs and conditions for distributing bycatch to urban and peri-urban areas – PPF Grant**

### **Scope of work and objectives**

Although the majority of the population in many of the participating countries lives in rural areas, data from SPC's Statistics for Development Division (SDD) show that the rate of population growth in urban areas is greater than in rural areas. Strengthening National FAD Programmes is expected to make only limited contributions to the supply of tuna and other oceanic fish species (hereafter grouped as 'tuna') to urban centres. In many of the participating countries, tuna bycatch (undersized/damaged tuna and other species, such as rainbow runner, mahi mahi and triggerfish) from industrial fishing fleets will need to provide the majority of fish protein required for good nutrition of these rapidly-growing urban populations.

The purpose of this study is to identify the nature of present-day and future supply chains for delivery of tuna bycatch to urban centres in all participating countries where the catch from small-scale tuna fisheries will not meet demand as described in Study 2. This information will be used to establish the baseline for two of the food security activities in the Funding Proposal. These activities are described briefly in the Concept Note under Activity A2 (Develop pathways to minimise climate-driven disruptions to the supply of tuna and bycatch for the food security of urban communities from industrial fishing fleets) and Activity A3 (Improve the market and supply-chain facilities needed to encourage participation of small and medium enterprises in distribution of tuna from transshipping operations to urban communities). This study will also inform the framing of these two food security activities during development of the Funding Proposal.

The specific tasks to be done during this study are described below. Some of these tasks will be done in consultation with FFA.

- i. Identify the main ports where transshipping of purse-seine catches occurs in the region, and summarise the average annual level of transshipping (in terms of purse-seine vessels involved and total tonnes of fish transhipped) in each of the ports in the past 10 years.
- i. Estimate the average quantities (tonnes) of tuna bycatch (undersized/damaged tuna and other species, such as rainbow runner, mahi mahi and triggerfish) that come ashore each year for local consumption at each port.
- i. Summarise available information on the existing conditions for sale of offloaded tuna bycatch in each transshipping port, including market infrastructure and the nature of small-medium enterprises (SME) distributing tuna to urban and peri-urban areas.
- i. Estimate the amount of tuna bycatch (and additional tuna if necessary) that will be needed to provide the protein requirements for the urban populations where transshipping currently occurs in 2030 and 2050, based on: the advice from SPC's Public Health Division that fish should provide 50% of recommended protein consumption of 0.7 g per kg of body weight per day; the future predicted sizes of the urban populations in 2030 and 2050; and average body weight (where available from SPC SSD). (Note that this information will be informed by the broader analysis to be done under Study 2 (v)).
- i. Specify the nature and scale of improvements to market infrastructure and supply chains in general terms that will be needed to efficiently handle the necessary quantities of tuna bycatch (or higher-quality tuna if there is insufficient bycatch) for good nutrition of the urban populations by 2030 and 2050, noting that FFA will

undertake an in-depth analysis of market infrastructure and supply chain needs for Honiara under the TOR for another study under PPF Activity 1, entitled 'Improving market infrastructure for sale of tuna bycatch'.

- i. Identify the most likely future hubs for industrial tuna fishing and cost-effective ways of delivering tuna bycatch/tuna from these hubs to urban centres as the frequency of transshipping at ports in the west declines due to progressive climate-driven redistribution of tuna.
- i. Summarise available information on landings from longline fisheries, and the potential for bycatch discards to contribute to local fish supply, for each participating country.
- i. Estimate the number of people that could benefit from improved arrangements for using bycatch from industrial tuna fishing for domestic food security.

### **Outputs/Deliverables**

The main output from this study will be a report that:

- i. Documents where transshipping of purse-seine catches occurs in the region, and the average level of transshipping in each of the ports in the past 10 years. This information should also be summarized on a map of the region.
- i. Summarises estimates of the average quantities (tonnes) of bycatch from transshipping operations that come ashore each year in participating countries for local consumption, summarized in a table with comments on the reliability of the estimates.
- i. Describes the conditions for sale of offloaded tuna bycatch in each transshipping port, including market infrastructure and the nature of SME distributing tuna to urban and peri-urban areas. This description should provide a suitable baseline against which the impact of the GCF investment can be measured.
- i. Estimates the amount of bycatch/tuna that will be needed to provide 50% of the protein requirements for the urban populations where transshipping occurs in 2030 and 2050. This information should be summarized in a table which also includes the inputs described under task (ii) above.
- i. Describes the general nature and scale of improvements to market infrastructure and supply chains needed to handle the necessary quantities of bycatch/tuna for good nutrition of urban populations in 2030 and 2050.
- i. Identifies the most likely future hubs for industrial tuna fishing, practical arrangement for delivering tuna bycatch/tuna to urban centres, and the risks that climate-driven redistribution of tuna is likely to impose on the capacity to implement these arrangements.
- i. Summarises available information on longline caught bycatch discards and landings by Pacific Island port/facility/harbour.
- i. Estimates the number of people that could benefit from improved arrangements for using bycatch from industrial tuna fishing for domestic food security.

The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

### **Period of performance**

9 months from commencement of contract.

## **Study 6 (SPC): Mechanisms to produce behavioural change in fish consumption by coastal communities – PPF Grant**

### **Scope of work and objectives**

Component A of the Programme is designed to increase access to tuna and other oceanic fish species (hereafter grouped as 'tuna') for the food security of coastal communities as coral reefs, which have traditionally provided most of the fish for domestic consumption, continue to be degraded by climate change and as the direct effects of climate change also reduce the productivity of coastal fisheries (to be quantified in Study 1). Because many Pacific Island people have a preference for eating reef fish, practical measures are needed to ensure that coastal communities:

- i. understand that there will be a significant decline in the availability of reef fish per capita in the years ahead due to rapid population growth and the impacts of climate change; and
- i. are informed about the advantages of increasingly substituting tuna for reef fish to maintain the nutritional benefits that they receive from eating fish.

The purpose of this study is to identify practical ways to communicate the need to diversify fish consumption to include more tuna due to climate change impacts and produce behavioural change in coastal communities so that they embrace increased use of nearshore FADs to increase their access to tuna.

The specific tasks to be completed during this study are described below.

- i. Estimate the relative proportions of reef fish and tuna in the diets of coastal communities in all 14 countries participating in the Programme, based on the information available in reports published by SPC and, where possible, the latest household income and expenditure survey (HIES) available for each country.
- i. On the basis of the SPC reports and analysis of HIES information described above, classify countries into the following two categories:
  - a. countries where coastal communities consume relatively small proportions of tuna relative to reef fish and where active steps will be needed to assist them to increase the amount of tuna in their diet; and
  - a. countries where coastal communities have already incorporated significant quantities of tuna into their diet, and where few, if any, problems are anticipated in communities making the transition to eating even more tuna as per capita supply of reef fish decreases.
- i. Identify practical methods for raising the awareness of coastal communities in all countries in 'Category a' about the decreasing supply of reef fish per capita, and the need to progressively substitute tuna for reef fish.
- i. Identify and assess any social barriers in countries in 'Category a' to the transition to increased consumption of tuna so that plans to dismantle any such barriers can be implemented with communities during the programme.
- i. Design a monitoring and evaluation system to measure the effectiveness of the interventions used to produce behavioural change so that staff from national fisheries agencies can gauge levels of awareness and whether the desired transition from consumption of reef fish to tuna is occurring.

- i. Develop a plan for applying these methods in coastal communities in all countries in 'Category a' during the life of the Programme. The focus of this plan should be communities located in areas selected for installation of FADs (to be identified in Study 3 'Feasibility of scaling-up National FAD programmes in all participating countries').
- i. Estimate the total number of people to be reached by the proposed mechanisms to increase awareness of the need to eat more tuna in 'Category a' countries.

### **Outputs/Deliverables**

The main output from this Study will be a report that documents:

- i. The relative proportions of reef fish and tuna in the diets of coastal communities in all 14 countries, based on the information available in the latest household income and expenditure survey (HIES) available for each country.
- i. The Pacific Island countries where coastal communities consume relatively small proportions of tuna relative to reef fish (i.e., countries in category a), and those countries where coastal communities have already integrated tuna well into their diet (Category b countries).
- i. Practical methods for raising awareness of coastal communities in all countries in 'Category a' about the decreasing supply of reef fish per capita, and the need to progressively substitute tuna for reef fish.
- i. Any social barriers in countries in 'Category a' to the transition to increased consumption of tuna, to enable such barriers to be dismantled during the programme.
- i. A monitoring and evaluation system and relevant indicators so that staff from national fisheries agencies can gauge whether the desired awareness is improved and whether the transition from consumption of reef fish to tuna is occurring.
- i. An implementation plan for applying these methods in coastal communities in all countries in 'Category a' during the life of the Programme. The focus of this plan should be communities located in areas selected for installation of FADs.
- i. An estimate the total number of people to be reached by the proposed mechanisms to increase awareness of the need to eat more tuna in 'Category a' countries.

The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

### **Period of performance**

9 months from commencement of contract

**Study 7 (SPC): Scope for data collection by industrial fishing vessels to inform climate/weather/fisheries models and use of vessels for collecting tissue samples for genetic analyses – PPF Grant**

**Scope of work and objectives**

Component B of the Programme, which is designed to develop an Advanced Warning System to reduce uncertainty in the timing and extent of climate-driven redistribution of tuna, will be enhanced by data collected by industrial fishing fleets. These vessels routinely collect data on water temperature, and also often collect acoustic data on fish and micronekton in the water column.

The purpose of this Study is to assess the scope for enlisting the assistance of industrial fishing fleets to collect:

- additional data on sea surface temperature and ocean current velocity across much of the Western and Central Pacific Ocean (WCPO) to inform CMIP6 Earth System Models and, in turn, the SEAPODYM model used to assess the effects of climate change on the distribution of tuna; and
- acoustic data on tuna prey (micronekton) in the water column to assess the response of these organisms to climate change, thereby also improving the skill of the SEAPODYM model.

The specific tasks to be completed during this study are described below.

- Evaluate the quality of water temperature data, current velocity data and acoustic data that may presently be collected by industrial purse-seine vessels, and from the drifting fish aggregation devices (FADs) that they deploy, to determine their value in improving the continued development of CMIP6 Earth System Models and SEAPODYM.
- Assess the potential for improving the calibre of water temperature data, current velocity data and acoustic data collected by purse-seine vessels and drifting FADs. If considerable potential exists, assess the approximate costs of installing the necessary equipment on a typical purse-seine vessel and transmitting the data to the appropriate user groups. This task will be done in consultation with FFA and SPREP.
- Provided there is a need and cost-effective mechanisms exist for installing improved equipment based on the outcomes of (ii) above, design a pilot project to be implemented with a selected industrial fishing company to:
  - trial the use of equipment deemed to provide higher-quality data,
  - verify the quality of the data,
  - assess the costs involved in installing the equipment on vessels and on drifting FADs, and
  - evaluate any associated additional operational measures involved in transmitting the data to the appropriate user groups.
- Identify the necessary resources and opportunities to develop a strategy on engagement and incentives to encourage fishing and commercial shipping vessels to participate in collecting higher-quality water temperature data, current velocity data and acoustic data from the exclusive economic zones (EEZs) of Pacific Island countries and high-seas areas of the WCPO to improve climate forecasting. This task will be done in consultation with FFA.

### **Outputs/Deliverables**

The main output from this study will be a report that documents:

- i. The quality of water temperature data, current velocity data and acoustic data presently collected by industrial purse-seine vessels, and from the drifting fish aggregation devices (FADs) that they routinely deploy, and the scope for these data to be used to improve the continued development of CMIP6 Earth System Models and SEAPODYM.
- i. The potential for improving the calibre of water temperature data, current velocity data and acoustic data collected by purse-seine vessels and, if considerable potential exists, the approximate costs of installing the necessary equipment on a typical purse-seine vessel and transmitting the data via the FFA VMS to the appropriate user groups, including SPREP.
- i. If warranted, the design of a pilot project to be implemented with a selected industrial fishing company to:
  - assess the costs involved in installing the equipment on vessels and on drifting FADs and the logistical challenges of doing so;
  - trial the use of equipment capable of collecting higher-quality data;
  - verify the quality of the data collected; and
  - evaluate any associated additional operational measures involved in transmitting the data to the appropriate user groups.
- i. A summary of the regional and national fisheries management agencies and stakeholders that would need to be involved in assessing the cost-benefit of improved data collection across the WCPO to tuna-dependent Pacific Island countries, fishing fleets and the broader global climate-change science community.

The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

### **Period of performance**

12 months from commencement of contract.

## **Study 8 (SPC): Preliminary framework for joint management of redistributed tuna stocks by WCPFC and IATTC – Co-finance**

### **Scope of work and objectives**

The Advanced Warning System (AWS) to reduce uncertainty in the timing and extent of climate-driven redistribution of tuna is expected to assist tuna-dependent Pacific Island countries adapt to climate change in many ways. The main way will be for Pacific Island countries to use the information from the AWS to negotiate within the Western and Central Pacific Fisheries Convention to retain the present-day economic benefits they receive from tuna, regardless of the redistribution of the fish due to climate change, as explained in the paper published recently in [Nature Sustainability](#). An additional way will be to use the AWS to inform joint management of tuna stocks spanning the jurisdictions of the Western and Central Pacific Fisheries Commission (WCPFC) and the Inter-American Tropical Tuna Commission (IATTC) so these two regional fisheries management organisations (RFMOs) are fully aware of the extent to which they share tuna stocks and can plan joint management strategies to optimise sustainable harvests as tuna are re-distributed progressively to the east. This will ensure that the productivity of the resource that supports Pacific Island economies is not put at risk by sub-optimal management arrangements. The purpose of this study is to develop a preliminary framework for co-operative management of such shared stocks by WCPFC and IATTC.

The specific tasks to be completed during this study are described below.

- i. Provide a summary of the mandates of each RFMO and the core principles of the conventions under which each RFMO operates.
- i. Describe the extent and rationale for the existing overlap in the convention areas of WCPFC and IATTC.
- i. Identify the challenges and complexities in sustainably managing shared tuna stocks in the absence of effective joint management by WCPFC and IATTC, in view of the fact that much of the fishing for a shared stock would occur in the high-seas areas of the Western and Central Pacific Ocean and the Eastern Pacific Ocean, where governance is generally weaker than within the exclusive economic zones of coastal states.
- i. Evaluate a range of practical options that could be used to revise existing management arrangements for tuna stocks that are shared by the two RFMOs, and the ways in which these mechanisms can be continually adapted to continuing redistribution of the fish due to climate change to sustain total harvests and national government revenue derived from tuna stocks and fishing access fees

### **Outputs/Deliverables**

The main output from this study will be a report that:

- i. Summarizes the mandates of WCPFC and IATTC, and the core principles of the conventions under which each RFMO operates.
- i. Describes the extent and rationale for the existing overlap in the convention areas of WCPFC and IATTC.
- i. Identifies the challenges and complexities in sustainably managing shared tuna stocks occurring largely in high-seas areas across two RFMO jurisdictions in the absence of effective joint management by WCPFC and IATTC.
- i. Evaluates options that could be used to revise existing management arrangements for tuna stocks that are shared by the two RFMOs, and the ways in which these

mechanisms could be adapted to continuing redistribution of the fish due to climate change.

The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

**Period of performance**

9 months from commencement of contract.

## **Study 9 (SPC): Identification of financing mechanisms and supporting policies to sustain the benefits achieved through investment by GCF – *Co-finance***

### **Scope of work and objectives**

The purpose of this study is to identify the most practical mechanisms and supporting policies that Pacific Island countries and regional fisheries agencies can use to sustain the gains made during the regional tuna programme once the support from GCF comes to an end.

Such mechanisms and supporting policies fall into two categories: 1) those needed to sustain strengthened National FAD Programmes and to implement adaptations for transshipping operations, to increase access to tuna for domestic food security, which are likely to vary among countries depending on the national context; and 2) those needed to operate the Advanced Warning System (AWS), and continue to improve the AWS as relevant technology becomes available, on behalf of the entire region.

The specific tasks to be completed during this study are summarized below.

i. Assess the scope and need for the governments of all 14 participating countries to sustain strengthened National FAD Programmes to increase access to tuna for the food security of coastal communities by:

- Classifying FADs as part of the permanent national infrastructure of food security;
- Incorporating National FAD Programmes within ongoing National Development Plans and recurring budgets;
- Promoting models for community/industry engagement and ownership of FADs, e.g., by using fisher association-based fees to contribute to FAD maintenance; and public-private partnerships (PPP) between commercial fishing companies and governments to provide assistance with FAD deployment, maintenance and emergency response, as part of company Corporate Social Responsibility programmes (drawing on the information related to FADs in the Operations and Maintenance Manual – FP Annex 21);
- Creating legislation to prosecute actions that destroy or damage FADs, or violate community-based FAD rules;
- Promoting transfer of fishing effort by small-scale fishers in coastal communities from coral reefs to tuna;
- Including the importance of tuna consumption for improved nutrition in national programmes to combat non-communicable diseases in rural areas;
- Investigating other possible financing mechanisms and supporting policies; and
- Assess the scope for the private sector to benefit from the investments made by GCF to strengthen National FAD Programmes. Where benefits are considered possible, summarise the nature and projected extent of these benefits and where relevant, identify any options for sharing the costs of FAD implementation and maintenance.

i. Assess the scope for governments of participating countries with hubs for the transshipment of purse-seine catches to regulate these operations and capitalize on these activities in new ways to sustain access to tuna for the food security of urban communities by:

- Providing incentives for (or mandating) purse-seine vessels operating in their exclusive economic zones to offload bycatch in their ports;
- Prohibiting the discarding of bycatch species caught by purse-seine fishing in the Pacific Island region at sea to increase the supply of fish available to be offloaded in their ports, and monitoring compliance with such regulations through the regional observer programme;
- Providing incentives for small and medium enterprises (SME) and PPP to distribute tuna from transshipping operations to urban and peri-urban communities. For example, by assisting SME and PPP to access 'Performance-based climate resilience grants' administered by the United Nations Capital Development Fund (UNCDF).
- Revising tuna-fishing licence conditions to ensure that locally-based, industrial fishing fleets supply domestic markets with tuna where there is insufficient bycatch to meet demand;
- Including the importance of tuna consumption for improved nutrition in national programmes to combat non-communicable diseases in urban areas;
- Investigating other possible financing mechanisms and supporting policies; and

Assess the scope for the private sector to benefit from the investments made by GCF to adapt transshipping operations to increase access to bycatch for urban communities. Where benefits are considered to be possible, summarise the nature and projected extent of these benefits and identify the most appropriate cost-sharing arrangements for programme implementation and post-programme operations and maintenance.

i. Evaluate the potential for the existing institutional arrangements in the region, and additional initiatives, to sustain the operation of the AWS and the adaptations informed by the AWS after the conclusion of the programme by:

- Documenting the institutional arrangements for the Western and Central Pacific Commission (WCPFC) to manage tuna stocks in the Western and Central Pacific Ocean (WCPO) on the basis of advice provided by SPC as the Science Services Provider to WCPFC;
- Assessing how the AWS will support WCPFC's climate change resolution, and the extent to which the resources needed by SPC to operate the AWS as the science provider are expected to be supported by WCPFC;
- Describing the roles that the Pacific Islands Forum Fisheries Agency (FFA) and the Parties to the Nauru Agreement Office (PNAO) fulfil as regional fisheries management agencies and exploring any incentives they may have to contribute to the operation of the AWS, over and above through their membership of WCPFC;
- Evaluating possible contributions to the operation of the AWS by the Inter-American Tropical Tuna Commission (IATTC), given that tuna are projected to be

redistributed to the east, thereby creating new scenarios for joint management of tuna stocks by WCPFC and IATTC.

- Investigating other possible sources of funding to operate the AWS in the long term, such as national sovereign wealth funds or savings schemes for climate adaptations.
- Analysing the cost/benefit for industrial fishing companies to sustain collection of data to inform the AWS in the long-term; and
- Evaluating the willingness of FFA and PNA to include the regular collection of the data required for efficient operation of the AWS in licence conditions for industrial fishing fleets to operate in their waters.
- Assess the scope for the private sector to benefit from the investments made by GCF to develop the AWS. Where benefits from access to improved information on future tuna distribution are considered possible, summarise the nature and projected extent of these benefits and identify the most appropriate cost-sharing arrangements for programme implementation and post-programme operations and maintenance.

### **Outputs/Deliverables**

The main output will be a report that documents:

- i. The various practical actions that the governments of all 14 Pacific Island countries eligible for support from GCF could take to sustain strengthened National FAD Programmes to increase access to tuna for the food security of coastal communities, together with the procedures and processes needed to implement each of these practical actions.
- i. The scope for governments of countries participating in the regional tuna programme that are hubs for the transshipment of purse-seine catches to regulate these operations and capitalize on these activities in new ways to increase access to tuna for the food security of urban communities, along with the actions needed to implement these activities.
- i. The potential for the existing institutional arrangements in the region between WCPFC, SPC, FFA and PNAO, to sustain the operation of the AWS and the adaptations informed by the AWS. This section of the report will also document the potential for any other likely sources of assistance for maintain the operation of the AWS in the long term, including in-kind or financial contributions from industrial fishing fleets and IATTC.
  - The scope for the private sector to benefit from the investments made by GCF and, where benefits are considered possible, identify the most appropriate cost-sharing arrangements during development of the Funding Proposal.
- i.

The report must be a stand-alone document that describes the findings from this study in detail, with an appropriate Executive Summary.

### **Period of performance and level of effort**

9 months from commencement of contract.

## **Study 10 (SPC): Synthesis of results from the above studies into the comprehensive Funding Proposal Feasibility Study – Co-finance**

### **Scope of work and objectives**

The purpose of this study is to produce the comprehensive Feasibility Study that forms Annex 2 of the GCF Funding Proposal. The Feasibility Study will combine the results from:

- studies 1-9 above;
- the study by FFA on improving market infrastructure for sale of tuna bycatch (see below); and
- the study by FAO on the vessel design needs analysis for small-scale fishers operating around FADs (see below).

The various chapters to be included in the Feasibility Study are described below.

### Chapter 1 - Country profiles

This chapter will describe:

- biophysical, socio-economic and political characteristics of the 14 participating countries;
- general nature and average catch of coastal (coral reef) and oceanic fisheries in each country;
- national and regional policies for sustainable management of fisheries resources; and
- other pertinent background information.

### Chapter 2 - Climate change baseline assessment for adaptation:

This chapter will summarise:

- current availability of fish (defined as finfish and invertebrates) derived from coral reefs (and other coastal habitats) for food security per capita in each participating country, and expected effects of drivers apart from climate change (e.g., population growth) on future availability of coral reef fish production per capita by 2030 and 2050.
- average contributions of tuna to the national economies of all participating countries, in USD per year, and as a percentage of total (non-grant) government revenue.
- Climate rationale for adaptations to maintain the important contributions of fish to food security, and tuna to national economies, based on the climate change vulnerability assessment below. The climate rationale should describe the impacts of climate change in the Pacific Island region, and identify specific climate change threats to human populations and drivers of those threats, to explain the background and rationale for the key interventions proposed by the Programme.

### Chapter 3 - Climate change vulnerability assessment

This chapter should use the results from Study 1 above to determine the extent to which the following variables are likely to be affected by SSP5-8.5 and SSP2-4.5:

- availability of coastal (mainly coral reef) fish production per capita for food security in each participating country by 2030 and 2050; and
- contributions of tuna biomass, tuna catch and tuna-fishing access to national economies by 2050, noting that although decreases are expected in countries located in equatorial waters, increased economic benefits from tuna, including employment opportunities, are likely in countries located in sub equatorial areas.

This chapter should also estimate the numbers of people expected to be vulnerable to the impacts described above, and identify the target number of people ultimately expected to benefit from the regional tuna programme.

#### Chapter 4 - Project design and implementation context:

This chapter will:

- Describe the barriers preventing solutions to the socio-economic problems associated with climate-driven degradation of coral reefs and tuna redistribution mentioned in the Concept Note in detail; and
- Clearly explain how the Programme activities (interventions) in Components A and B will remove these barriers as a justification for the proposed investments. This will involve explaining how the strengthening of National FAD Programmes under Component A will increase access to tuna for local food security as coral reefs are degraded by climate change, and how the development of the Advanced Warning System under Component B will empower countries to negotiate through the Western and Central Pacific Fisheries Convention to retain the economic benefits they receive from tuna regardless of the climate-driven redistribution of the fish. This section will draw on the results of Studies 1-9, and the studies on market infrastructure by FFA and on the need to assess the suitability of vessels used for small-scale fishers for operating safely-at-sea by FAO, as appropriate.

#### Chapter 5 - Options analysis:

This chapter will:

- Compare the rationales and expected outcomes from activities in Components A and B of the Concept Note with those from other potential interventions not selected by the Programme. For example, the options analysis for alternative sources of protein (Study 2 above) is a case in point for Component A. Other alternatives to increasing access to tuna to underpin food security during climate change could also include, in principle, aquaculture and diversification of livelihoods (which could be discounted easily in the context of the majority of the participating countries).
- Include scenarios with and without the Programme activities under SSP5-8.5 and SSP2-4.5, and against a baseline, and compare those scenarios to determine the impact of the Programme. This should be done for 2030 and 2050 Component A and for 2050 for Component B.

Inputs to the Options Analysis include the results from Studies 1-9 as appropriate, other technical appraisals and cost-benefit analyses, and the estimated numbers of people benefitting from the Programme activities and alternative interventions.

#### Chapter 6 - Summarize Final Programme Design:

This chapter describes the overall programme approach, including the barriers, interventions, outcomes, outputs and activities, as well as anticipated / potential beneficiaries. The summary should also include other key elements of the Funding Proposal including, for example, risks, maps/GIS coordinates for site activities, scaling-up strategies, and sustainability and exit strategies.

### **Outputs/Deliverables**

The main output from this study will be the final Feasibility Study document (i.e., Funding Proposal Annex 2), which will contain all the above chapters listed and a narrative Executive Summary, as well as the reports for Studies 1-9 completed by SPC, and the two studies to be completed by FAO and FFA, appended as annexes for the Funding Proposal.

All data collection and content development for the Feasibility Study are to be aligned with CI and GCF standards.



**Period of performance**

15 months from commencement of contract.

## **Study 11 (FFA): Improving market infrastructure for sale of tuna bycatch – PPF Grant**

### **Scope of work and objectives**

In some of the countries participating in the GCF regional tuna programme, tuna bycatch (undersized/damaged tuna and other species, such as rainbow runner, mahi mahi and triggerfish) from industrial fishing fleets will need to provide the majority of fish required for good nutrition of urban communities because the production of coral reef fish is declining due to climate change, and human populations are growing rapidly.

The purpose of this study is to design and cost new market infrastructure for selling tuna bycatch offloaded from purse-seine vessels during transshipment in Honiara, Solomon Islands, where the need to use bycatch for the food security of urban populations is by far the greatest in the region, due to rapid population growing and increasingly limited access to reef fish caused by climate-driven degradation of coral reefs.

The study will not only create an effective adaptation to the fill the gap in fish supply to be identified under different emissions scenarios in Study 1 (see also Study 2), it will also provide a body of knowledge and experience that can be used to improve the supply of tuna from transshipping operations for the food security of urban communities in other participating countries as and when such needs arise due to the continued degradation of coral reefs and population growth.

This study will be done in conjunction with Study 5 and the information will be used to inform the Feasibility Study (SPC Study 10), particularly with respect to implementation of Activity A3 in the Concept Note (Improve the market and supply-chain facilities needed to encourage participation of small and medium enterprises in distribution of tuna from transshipping operations to urban communities) during implementation of the regional tuna programme.

The specific tasks to be completed during this study are described below.

- i. Document the need for improved market infrastructure for selling tuna bycatch offloaded from purse-seine vessels during transshipment operations, in Honiara, Solomon Islands, based on population projections from the SPC Statistics for Development Division and information provided in Studies 1 and 2. This assessment should consider not only the need for new infrastructure at the Central Market, but also at up to two other locations within the precinct of Honiara where bycatch is sold.
- i. Identify the essential components of the market infrastructure needed to ensure that bycatch is sold under sanitary conditions to extend the shelf-life of the fish preserved in brine onboard fishing vessels. At each site, this infrastructure should include, at a minimum, a large roof to provide shade over an extensive area of well-drained concrete floor dedicated to the sale of bycatch, a reliable supply of freshwater with multiple outlets across the concrete floor, tables for displaying bycatch, locked cubicles where fish 'eskies' can be stored overnight, and provisions for handling the drainage from the concrete floor in an environmentally appropriate way.
- i. Within a total construction budget of USD 3 million proposed in the Concept Note, identify the market infrastructure described above that would optimise the distribution of bycatch to urban and peri-urban areas in Honiara.

- i. Provide detailed plans for the construction of this infrastructure to the standard needed to meet the requirements of Honiara Council. These plans should also have all the specifications required by local building companies to construct the buildings to the necessary standard.
- i. Prepare the Bill of Quantities for each market building required to meet the specifications referred to in (iv) above.
- i. Assess the effects of different supply chain scenarios for the delivery of imported building materials on the estimated costs of, and completion times for, construction of the market facilities.
- i. Estimate the cost of constructing the market infrastructure described in (iii) above, based on the Bill of Quantities, the labour required, and any other associated expenditure.
- i. Identify all the processes and permits needed to obtain approval to build the market infrastructure, including the names and addresses of all the government authorities involved, the specific permits required, and the estimated time needed to obtain all the relevant documents.
- i. Estimate the amount of time needed to complete the market infrastructure described in (iii) above, once all permits have been issued.
- i. Draft the documents needed to issue a tender for construction of the complete set of market infrastructure.
- i. Use the information assembled above, and provide any additional information required, to furnish the CI-GCF Agency with the summary document described in the attached Supplementary Information to the greatest extent possible.

### **Outputs/Deliverables**

The required outputs and deliverables from this study are:

1. Analysis of the need for improved market infrastructure to sell tuna bycatch in Honiara and the optimum configuration of new infrastructure within a construction budget of USD 3 million proposed in the Concept Note.
1. Detailed plans for the construction of the optimum new market infrastructure, in keeping with the relevant national legislation and suitable for use by local building companies.
1. The Bill of Quantities for materials needed to construct the improved market infrastructure.

1. An assessment of the effects of different supply chain scenarios for the delivery of imported building materials on the estimated costs of, and completion times for, construction of the market facilities.
1. An estimate the total cost of building the infrastructure, based on the Bill of Quantities, labour and all other expected expenses.
1. A summary of the process and permits required to obtain approval to construct new market infrastructure, and an estimate of the construction time once all permits have been obtained.
1. A draft tender document for use once funding is available for construction and all approvals have been obtained.
1. A compilation of all the information requested into a 'Supplementary Information' document (Appendix 11.a below).
1. Compilation of all the information above into a succinct report suitable as an annex for the Feasibility Study for the Funding Proposal.

**Period of performance**

12 months from commencement of contract.

**Appendix 11.a Supplementary Information required by CI related to construction activities included in GCF Funding Proposals (noting that the Environmental and Social Safeguard category of the work has yet to be determined).**

**Description of Construction Activities**

- **Project overview** – Provide a brief overview of the proposed project and planned activities related to the construction.
- **Need for construction**
- **Programmatic and donor objectives satisfied by the construction**

**Details of the Construction and Risk**

- **Work to be performed** - Describe in detail the work to be performed and the proposed plan for:
  - designing the construction;
  - performing construction activities; and
  - addressing liability, including potential damage, the construction activities may cause to people and assets in and around the construction site or to individuals doing the work.
- **Roles** – Expected specific roles and responsibilities of each entity and staff members involved in the proposed construction-related project activities (including procurement).
- **Permitting** – Include information on all government and community permits, titles or approvals required to undertake the proposed construction, and the plan for acquiring those approvals. Provide confirmation from legal counsel that this information is correct.
- **Insurance** – Describe the options for obtaining construction-related insurance.
- **Operations and maintenance** - Describe the proposed management plan for the construction, including who will be responsible for the costs and work associated with operations and maintenance both during and after project implementation.
- **Other risks** – Detail the potential risks associated with the construction and how those risks will be mitigated. Risks may include (but are not limited to) technical, weather/natural disaster, social & environmental, and political. Mitigation measures must include a plan for monitoring the construction throughout the course of building activities.

**Planning**

- **Timeline** - Provide the timeline for the construction in workplan format; allowing for contracting (including legal review) and procurement.
- **Projected budget** - Provide the projected budget for the construction, which must include the costs of permitting; legal counsel review of construction contracts; construction-related insurance, and, if applicable, third-party vendors with proven expertise and

appropriate licensing, when needed, in procurement, engineering, design, and/or management related to construction projects.

- **Ownership** - Explain who owns the property where the construction will take place, and how written approval from the owner of the property has been or will be secured.
- **Approvals** – Describe internal approval process required to implement the construction work.

## **Study 12 (FAO): Structure of vessel design needs analysis for small-scale fishers operating around FADs – PPF Grant**

### **Background**

Although the Pacific Small Island Developing States (SIDS) own and manage their large EEZ's, the national small-scale fishing fleets consist mainly of small outboard-powered skiffs engaging in daily fishing trips. These fleets provide the bulk of the fish and fishery products for national consumption (often from coral reef habitats). However, it is now evident that their operations are vulnerable to climate change – the continuing decline of coral reefs due to ocean warming and acidification threaten to render their operations uneconomically viable.

To address these problems, many Pacific SIDS are making efforts to increase the access of small-scale fishers to tuna and other large pelagic fish by expanding the use of Fish Aggregating Devices (FADs). These plans will be strengthened through the GCF regional tuna programme. Scaling-up the use of FADs will enable fishing effort to be transferred from over-exploited reef fish resources to tuna and other large pelagic fish (hereafter grouped as 'tuna'). These investments will not only increase the supply of fish for rapidly-growing populations now, they will be increasingly necessary as coral reefs continue to be degraded by climate change.

A key element of strengthening National FAD Programmes designed to increase access to tuna for domestic food security is to ensure that appropriate vessel designs are available for small-scale fishers to operate safely and effectively around FADs and, where necessary, to transport the fish from outer islands to urban centres. The results of this study will feed into the Community Health and Safety Plan to be developed as part of the Environmental and Social Management Plan (see ToRs for Activity 4).

### **Scope of work and objectives**

The purpose of this project preparation study is to design the structure, budget and implementation of the detailed 'Needs Analysis' required to address the activity related to appropriate vessel designs for small-scale fishers operating around FADs in (Activity A1iii) described in the Concept Note for the proposed GCF regional tuna programme (<https://www.greenclimate.fund/document/adapting-tuna-dependent-pacific-island-communities-and-economies-climate-change>). This activity is dedicated to 'ensuring that small-scale fishers have access to adequate vessel designs to enable safe and efficient fishing operations further from shore, and to increase the value of the catch, limit waste and reduce GHG emissions'.

The specific tasks to be completed during this project preparation study centre around documenting the main elements of the detailed Needs Analysis, and the implementation arrangements and costs for each element during the GCF regional tuna programme, noting that the total cost of Activity A1iii was estimated as ca. \$2 million over a seven-year period in the Concept Note. The outputs from the study will be included in the Feasibility Assessment and also for part of the ESMP.

The overall objective and scope of work for the Needs Analysis, the proposed stakeholder engagement, and the expected outputs involved in this consultancy are described below.

### **Overall Objective**

To design a detailed assessment of the need for improved vessel designs for use by small-scale fishers operating around FADs in the 14 Pacific Island countries participating in the GCF regional tuna programme, and identify the implementation arrangements and workplan for this Needs Analysis that will be undertaken during programme implementation.

### **Scope of work**

The purpose of this consultancy is to deliver a 'blue-print' for the design and cost of the Needs Analysis. This blue-print should explain how the following elements will be integrated into the design of the Needs Analysis, what each element will cost in USD, and how each element will be implemented during the 7-year term of the GCF regional tuna programme:

- i. A description of the vessels currently used by small-scale fishers in each of the participating countries and the typical cost of purchasing and operating these vessels in USD. Where more than one vessel design is used in a country, indicate the percentage of each type of vessel comprising the national fleet and the conditions under which the different vessels are typically used (if relevant).
- i. An assessment of the suitability of vessels currently used by small-scale fishers in each country for operating safely and effectively around FADs placed up to 5–7 km offshore during single-day trips. This assessment should assemble information from the relevant government department of each country on the number of boating accidents, loss of life, loss of boat, during operations by small-scale fishers in such waters over the past 10 years.
- i. Identification of practical modifications to existing vessels, where there are concerns that these vessels pose undue risks to small-scale fishers fishing around FADs, to optimise improvements in safety, reductions in fuel costs and emissions, and sanitary storage conditions for the catch in the context of the limited financial resources typically available to small-scale fishers. These modifications should include the use of low-cost satellite tracking devices suitable for small vessels.
- i. An investigation of possible new vessel designs capable of meeting basic safety, fuel-efficiency, emissions and storage criteria where modifications to existing vessels are considered to be impractical.

- i. A review of economic cost-benefit analyses of the most common vessel type in use in each country to inform assessments of the need for investment in new vessel designs. Where no suitable financial analyses exist, prepare an appropriate cost-benefit analysis.
- i. Specifications for recommended new vessel designs that national governments can use to seek bilateral support to construct/purchase vessels for i) single-day trips to FADs, and ii) 2–3-day trips to transport larger catches made around FADs to distant urban centres (where needed). All such vessel designs should be appropriate for use in any of the 14 countries and provide governments with practical, cost-effective options.
- i. Identification of the initial total costs, and ongoing maintenance costs, involved in implementing the recommendations identified in this needs analysis, along with an analysis of the most appropriate existing sources of capital from government programmes and related IFI projects for use by the small-scale fisheries sector to implement the recommendations. Additional sources of finance available to fishers or governments to modify/purchase/maintain vessels will also be identified.
- i. Compile existing and planned long-term investment projects to support small-scale fisheries for consideration by national governments.
- i. Compilation of a database of boat builders, shipyards, mechanics and expertise in boat building that governments can consider using to construct vessels once the necessary funding has been obtained. This should include the maritime colleges in the region, e.g., Vanuatu Maritime College.
- i. Overview of harbours and haul-out facilities to accommodate the construction and repair of vessels of different sizes, and availability of spare parts, tools, and repair and maintenance facilities for outboard and diesel engines.
- i. Consultations with small-scale fishers and the fisheries agency in each country to present the findings of the Needs Analysis, and to reach agreement on the most appropriate vessel designs for operating around FADs on single-day trips, or for 2–3-day trips, in their national context.
- i. Identification of potential national focal points and partners for project implementation.
- i. Engagement with national fisheries agencies to explain in detail the purpose of Activity A1iii in the GCF regional tuna programme and to ensure that the proposed design of the needs analysis meets their requirements.

### **Outputs/Deliverables**

The required outputs and deliverables from this study are:

1. Rapid overview (scoping exercise) of the vessel technology, institutional, technical and economic issues related to vessel design, including relevant SWOT analysis drawn from data from as many target countries as possible.

1. Proposed methodology (logical framework, indicators and activities), workplan and budget for the detailed Needs Analysis based on the elements described above to address gaps in availability of suitable vessels for safe and effective FAD fishing in all participating countries and proposed project implementation, including all relevant ToR, procurement (goods, works and TA) and travel budget planning.

1. Details of proposed project management and M&E arrangements.

1. A record of consultations undertaken with the fisheries agency in each country related to the detailed design of the Needs Analysis and project implementation.

**Period of performance:** 9 months from commencement of contract.

## **Appendix 2**

### **TOR for Activities 2–4: Programme Design, Economic Analysis, Stakeholder Engagement, Safeguards and Gender Plans**

#### **1. General background**

Conservation International, in collaboration with the Governments of Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Niue, Nauru, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu, has developed a Concept Note for a regional programme (hereafter Programme) entitled “Adapting tuna-dependent Pacific Island communities and economies to climate change” that has now been endorsed by the Green Climate Fund (GCF), see: <https://www.greenclimate.fund/document/adapting-tuna-dependent-pacific-island-communities-and-economies-climate-change>

The Programme focuses on increasing the supply of tuna for domestic consumption as an adaptation to climate-driven degradation of coral reefs/reduced supply of coral reef fish to prevent food insecurity of coastal and urban populations; and ushering in the reforms needed to minimise the risks to citizens of Pacific Island countries with tuna-dependent economies that are highly vulnerable to climate-driven redistribution of tuna.

#### **2. Programme objectives**

This Programme seeks to increase access to tuna for coastal communities across the Pacific Island region, ensure the supply of tuna for the region’s growing urban communities and secure the economic benefits derived from tuna by Pacific Island countries.

Through this Programme, CI expects to achieve these outcomes by implementing the two major sets of activities (“components”) described in the Concept Note:

- A. Adaptations to harness tuna for food security of Pacific Island communities as coral reefs are degraded by climate change; and
- B. Adaptations to reduce risks to Pacific Island economies from climate-driven tuna redistribution.

These outcomes will be achieved with the following outputs:

##### Component A

1. Strengthened management of National Fish Aggregating Device (FAD) Programmes to increase access to tuna for coastal communities;
2. Development of pathways to minimize climate-driven disruptions to the supply of tuna and bycatch for the food security of urban communities from industrial fishing fleets when they transship their catches in regional ports;
3. Improvements to the market and supply-chain facilities needed to encourage participation of small and medium enterprises in distribution of tuna from transshipping operations to urban communities; and
4. Development of campaigns to raise awareness of coastal and urban communities about the effects of climate change on supply of coral reef fish and the need to consume more tuna for good nutrition.

#### Component B

5. Design and implementation of an Advance Warning System (AWS) to assess the effects of climate change on the abundance and distribution of tuna within the exclusive economic zones (EEZs) of Pacific Island countries and high-seas areas to inform necessary adaptations for tuna-dependent economies.
6. Support for Pacific Island countries whose tuna resources are affected by climate change to negotiate to retain the right to manage the historical levels of tuna catch taken in their EEZs.

Outcomes will be defined based on the impact potential of the outputs from the two components listed above, which will be reviewed during development of the Funding Proposal and may be subject to change.

### **3. Nature of the consultancy**

In close consultation with the 14 participating Pacific Island countries and the Programme partners (SPC, FFA, FAO and SPREP as appropriate), and the assistance of sub-contracted 'national' consultants based in each country, the Consultancy will develop the series of products described below required under a GCF Program Preparation Facility (PPF) grant (hereafter PPF Activities 2–4). The deliverables from PPF Activities 2–4 are required to develop a complete Funding Proposal for the regional Programme entitled "Adapting tuna-dependent Pacific Island communities and economies to climate change" for submission to the GCF. PPF Activity 2 is 'Programme Design and Indicators'; PPF Activity 3 is 'Financial and Economic Analysis'; and PPF Activity 4 is 'Environmental, Social and Gender Impact Assessments and Management Plans'.

The team of consultants will consult regularly with, report to, and take guidance from, Conservation International's Center for Oceans team and Asia-Pacific Field Division. The consultants will also work closely with SPC, the Programme partner to be contracted by CI to complete the Feasibility Study (PPF Activity 1).

#### **4. Objectives of the consultancy**

Develop, in coordination with CI and partners, PPF Activities 2–4, which are required by CI to prepare the Funding Proposal for the regional Programme entitled “Adapting tuna-dependent Pacific Island communities and economies to climate change.”

#### **5. Key Activities**

The key activities for this consultancy to be delivered in the formats prescribed by GCF, are summarized below.

- 1) Develop the final Theory of Change (TOC), a detailed workplan (for internal CI use and to facilitate budgeting), implementation timetable (a simplified version of the workplan in GCF format to be presented as Annex 5 of the GCF Funding Proposal), indicators, monitoring and evaluation plan.
- 2) Develop a Financial and Economic Analysis (FEA, FP annex 3).
- 3) Develop a Stakeholder Engagement Plan (including a summary of consultations undertaken as part of the Programme design), a stakeholder assessment and plans for stakeholder engagement during Programme implementation.
- 4) Undertake an Environmental and Social Impact Assessment (ESIA) and use it to guide the development of an Environmental and Social Assessment and Management Plan (ESMP) for the Programme following the Environmental and Social Safeguards Framework of the CI GCF Agency, see: [CI GCF Environmental and Social Management Framework](#).
- 5) Coordinate the inputs on gender issues and ensure that gender considerations are fully mainstreamed into all relevant activities comprising the Funding Proposal.
- 6) Develop a participatory Gender Assessment and Gender Action Plan for the Programme.
- 7) Develop an Indigenous Peoples Plan (as part of the ESMP).

- 8) Develop a Community Health and Safety Plan (as part of the ESMP).
- 9) Develop the Programme level Grievance Mechanism.

## 6. Deliverables

### A. Deliverable 1: Inception Report

The Inception Report should contain the detailed workplan for PPF Activities 2–4, including the kickoff meeting with the participating countries, Programme partners and CI staff, overall approach, proposed frequency of communications and coordination meetings, the timeline for deliverables, and the schedule for country visits and national meetings related to the stakeholder consultation process.

### B. Deliverable 2: Programme design and indicators

#### Objectives

- Develop the final Theory of Change (TOC) for the Programme, based on CI's draft TOC, as well as the logical framework, workplan and implementation plan, including the timetable with milestones and indicators for all activities included in the Programme. This work should be based on the Feasibility Study to be completed concurrently by SPC.
- Define the Programme's specific paradigm shift and related objectives and impacts against the GCF investment criteria, including the relevant indicators as described in the GCF Integrated Results Management Framework.
- Develop the Monitoring and Evaluation Plan and Impact Evaluation Plan for the Programme, including all indicators and means of verification – this work will link directly to the overall Programme logical framework.
- Summarize, in narrative format, the expected performance against Programme criteria.

#### Deliverables

- 1) Theory of Change and logframe for the Programme, based on information from the Feasibility Study, as well as inputs from stakeholder engagement and gender-related assessments. This work should also describe the paradigm shift and how it addresses the key barriers described in the Feasibility Study.

- 2) Programme indicators, workplan, implementation timetable, and milestones for all activities included in the proposed Programme.
- 3) A description of results expected from the paradigm shift against performance indicators.
- 4) Expected performance against investment criteria.
- 5) Monitoring and impact evaluation plans, including all programme indicators.

### Activities and Responsibilities

Prepare the deliverables noted above based on the requirements of GCF and following the latest guidance.

- The Theory of Change and logframe should describe very clearly the rationale for the Programme, connect outcomes, outputs and activities, and justify who benefits and in what ways from the Programme. The ToC logically explains how the Programme will implement specific activities to overcome identified barriers to achieve the desired adaptation outcomes.
- A narrative of the ToC should be prepared along with a ToC diagram. This narrative will describe the barriers to achieving the desired Programme outcomes. The narrative should clearly describe the current paradigm / systems / practices that prevent adaptation from taking place. Barriers can be social, cultural, political, economic, financial, or market-based. The ToC narrative will also describe how the program will overcome these barriers to achieve desired outcomes through implementation of specific activities.
- Programme indicators, workplan and implementation plan should include all the necessary detail for implementation of the activities described in Components A and B of the Concept Note. The workplan will be an internal document for the programme partners that will indicate the resources that will be needed for each activity so that the budget can be developed. The implementation timetable (FP annex 5) will be a simplified version of the workplan that includes program milestones in the format required by GCF.
- Indicators in the logical framework should be as quantifiable as possible – some qualitative indicators are possible, but they should be limited. Means of Verification should be clear for each activity and will contribute to the M&E plan Annex 11 for the Programme.
- Results against performance and the paradigm shift should help justify investment in the Programme and also feed into the Programme’s sustainability and exit strategies.

- The Monitoring Plan and Impact Evaluation Plan for the Programme should describe data collection methodologies including estimated timelines and budgets. It should summarise the overall project impacts. With guidance from CI and program partners, the consultancy will develop the M&E plan, including indicative budget at the output level for the project as Annex 11 to the FP. The program Impact Evaluation Plan will also be developed to meet the requirements of the GCF and will be based on input from CI and SPC. The M&E plan should include an analysis of options for monitoring impacts beyond the end of the Programme implementation period, for example, through existing national monitoring programmes. Among other indicators, the M&E plan should include measures of national household income and expenditure surveys (HIES) to assess changes in tuna consumption by coastal communities as a way of measuring the effectiveness of strengthening National FAD Programmes to increase access to tuna for coastal communities and as a measure of the effectiveness of securing a minimum frequency of transshipping operations in regional ports to increase access to tuna in urban areas.
- Respond to feedback from CI and the GCF on the products from the consultancy and make revisions as required.

### **C. Deliverable 3: Financial and Economic Analysis**

#### Objectives

- Assess the Programme's proposed use of GCF resources and co-finance to determine the effectiveness and efficiency of these resources in sustainably achieving the objectives.
- The Financial and Economic analysis (FEA) will be based on the core content of the proposal included in the logframe activities and the expected performance against investment criteria. This deliverable will present the anticipated economic benefits of the Programme.
- Demonstrate the long-term financial sustainability of the Programme.

#### Deliverable

- Complete a financial and economic analysis (FEA) report, including an Excel spreadsheet and accompanying narrative report required for Annex 3, which details the results of the FEA for the Funding Proposal. The FEA should cite data sources and evidence, explain assumptions and methods used, provide interpretation of the results and include the programme's Economic Internal Rate of Return (EIRR) and Financial Internal Rate of Return (FIRR), and a sensitivity analysis. The Excel

spreadsheet should show all the calculations used for the FEA. Worksheets should be unlocked, well-organized, include all formulas and clearly label data and results.

### Activities and Responsibilities

- Create a brief narrative on the project options, respective interventions, incentives and financing models based on the Feasibility Study.
- Describe the financial efficiency and effectiveness of the proposed Programme, considering the proposed financing and the adaptation impacts that the project aims to achieve, and explain how this compares to an appropriate benchmark.
- Determine the expected economic rate of return based on a comparison of scenarios with and without the project. Also include the economic impacts / ROI of each component.
- Determine the Project's expected financial return on investment to illustrate the need for GCF funding and illustrate overall cost effectiveness relative to current practice and known alternatives.
- Determine the opportunity cost for business-as-usual activities in a "with" and "without" project scenario.
- Describe the Financial and Economic Analysis in a spreadsheet format to be used as Annex 3 of the FP.
- Provide a narrative description of the Financial and Economic Analysis and key results from it.
- Respond to feedback from CI and the GCF and make revisions as required.

### **D. Deliverable 4: ESMF Assessments and Plans – ESIA/ESMP, Stakeholder Engagement Plan, Gender Assessment and Action Plan, Indigenous Peoples Plan, Community Health and Safety Plan, and Accountability and Grievance Mechanism**

#### Objective

- Develop the relevant Environmental and Social Management Framework (ESMF) plans/mitigation measures as identified by the Safeguard Screening Process and in accordance with the CI GCF Agency's ESMF. Within this overall objective, the Consultancy will:
  - Carry out an Environmental and Social Impact Assessment (ESIA) for the Programme based on the proposed activities in the revised Programme logframe. The ESIA should identify, predict and assess the potential environmental and social impacts of the programme and evaluate alternatives. Based on the ESIA, develop the Programme's Environmental and Social Management Plan (ESMP) including appropriate mitigation, management and monitoring measures following

the process and format described in the CI GCF Agency's ESMF. For details of additional requirements for the content of the ESMP see the CI GCF Agency's ESMF to ensure that all CI and GCF environmental and social policy requirements are respected.

- Based on the initial Environmental and Social screening for the Programme, prepare an Indigenous Peoples Plan; a Community Health, Safety and Security Plan; an Accountability and Grievance Mechanism; and a Gender Assessment and Action Plan.

### Deliverables

- 4.1 Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP) following the CI GCF Agency's ESMF guidelines that includes, but is not limited to the ESS Standards triggered during the screening process.
- 4.2 Stakeholder Assessment and Engagement Plan following the requirements set out in the CI GCF Agency's ESMF (including summary of consultations undertaken as part of the Programme design).
- 4.3 Gender Assessment (following the requirements set out in the CI GCF Agency's ESMF and Action Plan (following GCF's format). Please refer to the GCF gender mainstreaming manual to ensure that the relevant information for the Gender Assessment and Gender Action Plans is collected and included: <https://www.greenclimate.fund/node/7607>
- 4.4 Indigenous Peoples Plan that includes a description of the Indigenous Peoples to be impacted by the Programme as well as a plan for ensuring the principles of free, prior and informed consent are applied and upheld.
- 4.5 Community Health, Safety and Security Plan that includes a risk assessment and the development of mitigation and risk management interventions for identified risks to community health and safety.
- 4.6 Accountability and Grievance Mechanism that includes local contact channels that ensure the mechanism is accessible to all stakeholders.

### Activities

1. **Conduct desk review and primary data collection** in each of the participating countries to support the completion of the Assessments and Plans.

2. **Collect gender-responsive baseline data** relevant to Programme planning, implementation and monitoring; identify project beneficiaries (sex-disaggregated) and vulnerable groups, and the barriers that could prevent their participation and access to project benefits; engage with the identified beneficiaries and groups during the stakeholder engagement to validate gender baseline data and information, and seek input into the design of the project to address the identified barriers for men, women, and vulnerable groups. The data collected should identify the vulnerabilities of women to climate change with a focus on the fishing sector.
3. **Hold Stakeholder consultation meetings and focus group discussions, and conduct interviews with men and women to engage key stakeholder groups** to further support the completion of assessments of stakeholders, Indigenous Peoples and gender to develop activities, action plans, and budgets and contribute to the TOC, logframe and workplan, in a transparent and participatory process.
4. **Hold consultation meetings with Indigenous Peoples groups, leaders and representatives** following FPIC guidelines to ensure they participate in the design of the Programme and are fully informed and seek their free, prior and informed consent.
5. Complete an **Environmental and Social Impact Assessment (ESIA)** describing the context of the countries, Programme areas, and potential impacts of the interventions among other GCF requirements for an ESIA. The ESIA requires analysis of the socio-economic stress factors and increased vulnerability of local communities and other economic sectors in the context of anthropogenic threats. The assessment for communities will include a focus on impacts, ESS risks and access to/control over resources by women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) given the Programme's context.
6. **Record and summarize ESS and stakeholder engagement activities** including Free, Prior, Informed Consent (FPIC) documentation and provide the list of activities and documentation and include it in the Stakeholder Engagement Plan (using the CI GCF Agency's template).
7. **Examine the risks to small-scale fishers, government staff, and partners** as a result of new and increased fishing in and around FADs and develop actions to avoid, mitigate and minimize risks to these stakeholders.
8. Using the assessments and feedback from consultations with stakeholders, **conduct collaborative and participatory Programme planning** that includes the development of the **Stakeholder Engagement Plan, Gender Assessment and Action Plan** and the **Environmental and**

**Social Management Plan** (which includes the **Indigenous Peoples Plan, and Community Health, Safety and Security Plan**). These plans will be implemented during execution of the Programme in conjunction with, and aligned to, the TOC, logframe and workplan.

9. **Develop and socialize an Accountability and Grievance Mechanism (AGM) Manual** with key stakeholders and partners in each participating country to ensure communication channels and processes are adequate to meet the needs of all stakeholder groups effectively. The AGM needs to address CI's and GCF's grievance redress policies, and any national requirements, and must provide information on GCF's independent redress mechanism.
10. Provide technical support to the main Executing Entity (EE), The Pacific Community (SPC) and implementing partners (FFA, FAO, SPREP), to ensure the **Environmental and Social Management Framework (ESMF)** of the CI GCF Agency is applied across the Programme and that safeguards and gender policy requirements flow down to the EE and all implementing partners.
11. **Address reviews and feedback** to respond to CI and GCF input and make changes as requested.

#### Roles and Responsibilities

1. Based on the safeguard screening, the consultants will be responsible for managing and overseeing the completion of the following safeguard plans and associated assessments in accordance and compliance with CI and GCF requirements: the Stakeholder Engagement Plan, the Gender Assessment and Action Plan, Environmental and Social Impact Assessment (ESIA), the Environmental and Social Management Plan, the Indigenous Peoples Plan, and Community Health, Safety and Security Plan.
2. The consultants, working closely with CI and other Programme partners, are responsible for undertaking desk research and primary data collection, including interviews, focus groups, and consultations with stakeholders in each of the participating countries to conduct a thorough assessment of target stakeholder groups (including women, youth and vulnerable/marginalized groups), Indigenous Peoples and gender. These assessments will inform the development of the required ESMF plans, TOC, Programme logframe and workplan. Based on guidance from CI and GCF, these assessments will investigate the influences/interests/impacts of stakeholders related to the Programme; gender-differentiated roles and responsibilities in the management and use of resources and habitats in the locations where the

Programme will take place; Gender-based violence (GBV), and social dynamics of Indigenous Peoples in the regional, national and localized context of the Programme activities.

*The following approach to consultation meetings is proposed (to be confirmed/refined as part of the inception report that is deliverable 1 for the consultants):*

- A **virtual meeting** with NDAs and Heads of Fisheries from the 14 participating countries to refresh knowledge of the Programme and to map out the needs and plans for informing all stakeholders about the design and proposed implementation of the regional tuna programme. CI staff (including country staff), partners and major and local consultants will attend this virtual meeting.
- Local consultants familiar with the requirements for developing GCF Funding Proposals will then be used to assist CI staff and partners and the main consulting firm **to organise meetings with HoF, Provincial Fisheries Officers and any other relevant national government agencies in each country (1 day)** to identify in particular how the activities within Component A of the regional tuna programme – strengthening National FAD Programmes – will be implemented in the local context.
- Once HoF, Provincial Fisheries Officers and other relevant government agencies have worked further on refining the Programme activities, **national level stakeholder consultation meetings (1 day)** will be organised in each country with ~40 participants drawn from government, private sector, and civil society (including federations of community groups where possible, IPs, and men and women fishing cooperatives/groups/representatives). In the event that the pandemic continues to prevent travel to the participating countries, the national meetings with national consultants and stakeholders will be run using a hybrid model, with CI and partners and the international consultants joining remotely. The logistics of organising the national consultation meetings will be undertaken by service providers engaged directly by CI in each of the programme countries. The consultants will work closely with CI and the service providers to organise the meetings so that they can achieve the desired outcomes.
- **Two community meetings** per country will be organized to gather a sample of information and views related to the Programme, including information to help develop the Indigenous Peoples Plan and the Gender Assessment and Action Plan. The community meetings would be organized by the national consultants, and attended by HoF staff, and by CI and SPC staff wherever possible.

- Once the Programme documentation has been finalized (final draft), key elements will be presented in national validation meetings in each country.
  - Programme documentation, notably the ESMP, gender assessment and action plan, will be made available in person and online for comment for 1 month prior to submission.
  - The Programme will seek to use any official national consultation processes in place in each country to solicit feedback on the “final draft” documents.
3. The consultants, working closely with CI and other Programme partners, are responsible for undertaking a participatory gender assessment consisting of a mix of desk review and direct stakeholder consultation (e.g., through focus groups, key informant interviews, a baseline survey, other stakeholder engagement, livelihoods and benefit sharing questions) that will be summarized in a gender assessment and used to inform activities for the Gender Action Plan. This assessment will include consideration of gender-based violence, sexual exploitation and other acute issues and concerns. The assessment will identify responsible entities to address gender issues in the Programme countries to be included as part of the programme steering and technical committees as appropriate (e.g., ministries responsible for women’s affairs, gender focal points and experts).
  4. The consultants will ensure the equal representation of women, men, and other vulnerable groups and will guide the Programme development team in using participatory techniques that involve both women and men in assessments and discussions. The consultants will use the preparation of the gender assessment to collect data and evidence on gender issues in the sectors/(s) of intervention and the context of the Programme. In addition, stakeholder engagement and consultations during project preparation will identify the needs and priorities of men and women that the Programme can address. The information collected will provide insights on the challenges and opportunities presented for women and ensure that collection of information includes the needs and priorities of women and men in relation to the Programme. The assessment of challenges and opportunities will also include economic and social dimensions in the local context so that the Programme will be able to meet its objectives. Information collected through the Gender Assessment will be analysed and used to identify opportunities to increase participation and access to Programme benefits by both men and women, including the Programme’s activities that offer targeted opportunities.

5. The consultants are responsible for engaging with experts to make recommendations on specific actions to reduce, mitigate or eliminate risks to stakeholders from the Programme. The recommendations will focus on risks to small-scale fishers, government staff and partners from new and increased fishing on or around FADs.
6. The consultants, working closely with CI and other Programme partners, are responsible for undertaking and leading a comprehensive and participatory process in collaboration with key partners in which the following plans will be completed according to GCF requirements: Stakeholder Engagement Plan, Gender Action Plan, ESIA / Environmental and Social Management Plan (including the Indigenous Peoples Plan, and Community Health, Safety and Security Plan). These plans will be informed by the assessments and specific activities and actions will be integrated into the Programme TOC, logframe and workplan. All plans associated with the Programme will be reviewed and feedback/input from stakeholders incorporated following adequate consultation and disclosure with stakeholders.
7. The consultants, working closely with CI and other Programme partners, are responsible for completing a Gender Action Plan in the GCF template format for the Programme, informed by the gender assessment and based on the logframe and baselines that identifies actions to mitigate and/or minimize barriers to equal participation of men and women as well as opportunities to maximize the participation of marginalized groups. The Gender Assessment will explore vulnerabilities of women to climate change with a focus on the fishing sector and the Gender Action Plan will detail how the project can address their needs and priorities. The gender-responsive actions and outputs will facilitate implementation of activities that promote gender equality and women's empowerment. The Gender Action Plan will also specify performance indicators, timelines and responsibilities for implementation and a budget for implementation of activities. The plan will include provision for a full-time gender expert dedicated to the Programme and tasked with implementation and monitoring (in collaboration with monitoring and evaluation staff) of the Gender Action Plan. Last, the plan will include a proposed terms of reference for the gender expert position.

The Gender Action Plan will include gender-sensitive performance indicators with sex-disaggregated targets, timelines, and responsibilities. Targets will include vulnerable groups (such as female-headed households) as beneficiaries of the Programme. Targets should be based on the information collected as part of the baseline and vulnerability assessments.

The consultants will also ensure full incorporation of outcomes of the gender-related studies and develop specific activities related to gender into the design

of the Programme, its logical framework and its funding proposal including sex-disaggregated targets and gender sensitive indicators.

8. The consultants will be responsible for developing a Programme-level grievance mechanism outlined in a thorough Accountability and Grievance Mechanism Manual and to socialize it with target stakeholder groups.
9. The consultants, working closely with CI, are responsible for providing technical support to the EEs and implementing partners to ensure the GCF Environmental and Social policies and requirements flow down to activities funded under this Programme.

This work will be undertaken within 12 months of signing the contract. The consultant(s) shall also be available during months 13–15 to address any questions by CI and the other project partners, and between months 16–21 to address any feedback/requested revision from GCF.

## **7. Methodology of the consultancy**

The Consultancy Team will coordinate with CI's Center for Ocean and the Asia-Pacific Field Division, the governments of participating countries, project partners and other stakeholders in the proposal development, and will incorporate feedback from the stakeholder engagement process, CI technical experts, the CI-GCF Agency (acting as the Programme's Accredited Entity), and the GCF.

The Funding Proposal will be developed through the deliverables and activities described in this TOR as well as the Feasibility Study, and through work on implementation arrangements led by CI, funded separately.

The Consultancy will preferably be carried out by a team of professionals under the supervision of a Lead Consultant to successfully complete the deliverables for Activities 2–4 required by CI to develop the Funding Proposal and is also expected to engage local consultants experienced in contributing to GCF or similar proposals. The objectives, responsibilities, outputs and required qualifications have been organized by expertise but can be re-arranged depending on the team composition proposed by the consultant(s).

## **8. Consultant Profile**

The profiles preferred for this consultancy are outlined below.

### **a. Team Leader**

- I. Profession:
  - Postgraduate or other advanced university degree (at least M.Sc. or equivalent) in biology, ecology or related social science.
- II. Experience:
  - At least 10 years of professional experience in developing and implementing projects funded by the GCF, GEF, IFC, or other multilateral donors.
  - Experience in designing, implementing and monitoring stakeholder engagement plans that include governments, companies, local communities and Indigenous peoples, preferably related to climate-change mitigation and adaptation.
  - Preferred experience working in the Pacific Island region on climate change mitigation and adaptation programmes, sustainable financing or environmental sustainability issues.
- III. Skills:
  - Demonstrated analytical ability and drafting major reports.
  - Excellent written and verbal communication skills in English.

**b. Professional Specialist on Environmental and Social safeguards**

- I. Profession:
  - Postgraduate or other advanced university degree (at least M.Sc. or equivalent) in biology, ecology or related social science.
- II. Experience:
  - At least 10 years of professional experience in environmental and social safeguards management in climate-change projects, preferably with funding from a multilateral donor.
  - Demonstrated experience in working with local communities, Indigenous peoples and vulnerable groups, and producing and implementing the relevant plans for GCF projects.

- Demonstrated experience in working in marine fisheries.
- Preferred experience in the Pacific Islands region working on climate change adaptation programmes, and/or environmental sustainability and Indigenous peoples issues.

III. Skills:

- Demonstrated analytical ability and drafting major reports.
- Excellent written and verbal communication skills in English.

**c. Professional Specialist in Gender Analysis**

I. Profession:

- Postgraduate or other advanced university degree (at least M.Sc. or equivalent) in sociology ecology or related social science.

II. Experience:

- At least 10 years of professional experience in conducting gender analyses and developing gender action plans (indicators, baselines) and gender strategies, preferably in the context of multilateral donor safeguards.
- Demonstrated experience in working with local communities and vulnerable groups.
- Preferred experience in Pacific Islands region working on climate change adaptation, and/or environmental sustainability and Indigenous peoples issues.

III. Skills:

- Demonstrated analytical ability and drafting major reports.
- Excellent written and verbal communication skills in English.

**d. Professional Specialist in Project Design/Logframes**

I. Profession:

- Postgraduate or other advanced university degree (at least M.Sc. or equivalent) in biology, ecology or related science.
- II. Experience
- At least 10 years of professional experience in designing large-sized marine resource and/or fisheries management projects including logframes, workplans, monitoring and evaluation plans.
  - Demonstrated experience in developing projects and other deliverables listed above related to GCF, GEF, or other similar donors.
  - Demonstrated experience in working with government entities on climate change response and planning.
  - Preferred experience in Pacific Islands region working on climate change, and/or environmental sustainability and Indigenous Peoples issues.
- III. Skills:
- Demonstrated analytical ability, project design, and report writing.
  - Ability to travel and demonstrated experience in undertaking independent field work in remote areas.
  - Excellent written and verbal communication skills in English.

**e. Professional Specialist on Economic and Financial Studies**

- I. Profession:
- Master's degree or its equivalent in Economics or closely related disciplines.
- II. Experience:
- A minimum of seven (7) years relevant professional experience in the area of financial modeling and economic studies related to marine resource management and fisheries.
  - Proven knowledge of fisheries economic models and experience working in the Pacific Islands region or other heavily marine fisheries dependent economies.

III. Skills:

- Excellent written and verbal communication skills in English.
- Competence in the use of standard Microsoft Office applications (Word, Excel, Access, PowerPoint).

## 9. Deliverables Schedule

The deadline for execution of this consultancy is 21 months from the signing of the contract. The delivery of the products or deliverables will be made according to the following schedule:

	<b>Deliverable(s)</b>	<b>Delivery Timeframe</b>	<b>Payment schedule</b>
1	Inception report	Within one month after signature of the contractual agreement	20% of the total amount
2	Programme design and indicators	Month 4 of consultancy	20% of the total amount
3	Economic and Financial Analysis	Month 8 of consultancy	20% of the total amount
4	Safeguard Assessments and Plans - Stakeholder Engagement Plan, Gender Action Plan, Environmental and Social Impact Assessment, Environmental and Social Management Plan (including Indigenous Peoples Plan, Community Health and Safety Plan, and Accountability and Grievance Mechanism)	Month 12 of consultancy	20% of the total amount
6	Revised content from above deliverables pending GCF feedback	Month 21 of consultancy	20% of the total amount

The reports and final documents of each deliverable should be delivered in digital format, and should contain all original working files (Word, Excel, PDF, JPG, etc).



It is important to recall that each deliverable should be recorded as a milestone and should be presented as a draft for review and approval by the CI project and proposal writing team; the consulting team must respond to requests for revisions within 5 working days.

In addition, it should be noted that for the payment of the deliverables indicated, the work products must be approved by the CI-GCF agency.