



Caribbean Large Marine Ecosystem (CLME) Project

REPORT OF THE TDA/SAP TRAINING WORKSHOP AND KICK-OFF SESSION

UN HOUSE, HASTINGS, BARBADOS
OCTOBER 23 – NOVEMBER 1, 2006



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**CARIBBEAN LARGE MARINE ECOSYSTEM (CLME) PROJECT
TDA/SAP TRAINING WORKSHOP AND KICK-OFF SESSION
UN HOUSE, Hastings, Barbados, October 23- November 1, 2006**

Attendees¹

Dr. Jorge Angulo, Cuba
Dr. Leo Brewster, Barbados
Ms Felicity Burrows, Bahamas
Mr. Bisessar Chakalall, FAO-WECAFC
Dr. Lucia Fanning, CLME Project
Mr. Paul Fanning, FAO-LAPE Project
Dr. Diego Gil, Colombia
Mr. Milton Haughton, CARICOM-CRFM
Dr. Sherry Heileman, Trinidad
Dr. Lorna Inniss, Barbados
Ms. Joyce Leslie, Barbados
Dr. Robin Mahon, UWI and CLME Project
Mr. Sergio Martinez, SICA OSPESCA
Mr. Louverture Ostine, Haiti
Mr. Adrian Oviedo, Honduras
Dr. Scott Parsons, Canada
Mr. Terrence Phillips, CARICOM-CRFM
Ms. Claudia Santizo, Guatemala
Ms. Bertha Simmons, CLME Project
Mr. Derrick Theophile, Dominica
Dr. Cesar Toro, IOC (UNESCO) – IOCARIIBE
Mr. Tim Turner, TDA/SAP Trainer

Purpose

The purpose of the meeting was to bring together technical experts, representative of the three sub-regional groupings within the Wider Caribbean (Guianas-Brazil; Insular Caribbean; Central South America) to participate in activities related to the development of a preliminary Transboundary Diagnostic Analysis for the Caribbean LME and the

¹ See Appendix 1 for detailed contact listing.

development of the CLME full-sized Project Document. Specifically, the 10-day session was broken into 2 separate but related activities:

- a) A GEF-developed training workshop on Transboundary Diagnostic Analysis(TDA)/Strategic Action Programme (SAP)
- b) A brain-storming Kick-Off session in which the application of the TDA/SAP methodology was discussed within the context of the Caribbean LME in order to assist in developing the full-sized Project Document.

TDA/SAP Training Workshop – October 23 – 26, 2006

As approved by the CLME Steering Committee and described in the CLME Project Implementation Plan, a core group of technical experts, including consultants, national and regional experts, attended the GEF TDA/SAP training session, led by GEF specialist, Mr. Timothy Turner. The TDA/SAP training manual, available in its entirety at www.iwlearn.net, was reviewed by the Trainer and Project Unit staff in advance of the workshop and a decision was made to tailor the workshop to the needs of the CLME Project. This decision is reflected in the agenda developed for the workshop, attached as Appendix 2a.

The training programme was presented by the trainer using PowerPoint slides, developed by GEF and provided to workshop participants in advance of the training, along with a participant's manual specific to each module and background material appropriate to the TDA/SAP process. Participants were also provided with a CD of the workshop material. As presented to the participants, the focus of each module was as follows:

Module 1 presented an introduction to the GEF TDA/SAP process and its relevance to the

success of the GEF International Waters Programme objectives.

Module 3 provided an overview of tools to identify and prioritize transboundary issues and their socioeconomic effects.

Module 6 elaborated on the governance aspects of transboundary living marine resources and stakeholder involvement.

Module 5 focused on the strategic action planning process, including setting ecological quality objectives (EcoQOs), identifying options for addressing the root causes of the priority issues within the region and for reaching a negotiated agreement of proposed action plans.

The TDA/SAP Training workshop was originally scheduled for 5 days, covering the period October 23 – 28, 2006. However, the material for the modules was covered in 3 days, due in part to the style used by the Trainer to cover the material, which resulted in a limited amount of additional information being provided to participants, over what was already described in the presentations. While the content of each PowerPoint presentation was covered, participants indicated that more time could have been used by the trainer to elaborate on the material presented in the presentations, drawing more

heavily on examples based on the trainer's considerable practical knowledge of the subject matter. Nonetheless, the TDA/SAP Training workshop exposed the technical experts to the methodology being advanced by GEF for conducting the TDA and SAP and allowed the time saved from the workshop to be transferred to the Kick-Off session. During that time, participants, the trainer and Project Unit staff were able to discuss the application of TDA/SAP methodology within the context of the Caribbean LME and discuss procedures and information needed to develop the full-sized Project Document.

A separate report of the TDA/SAP Training Workshop is being provided by the Trainer.

CLME Kick-Off Session – October 27 – November 1, 2006

Following the completion of the TDA/SAP Training, participants turned their attention to the Kick-Off Session. As reflected in the agenda (see Appendix 2b), the session was expected to address 3 main objectives:

1. to apply the information and tools provided during the TDA/SAP training workshop specifically within the context of the Wider Caribbean;
2. to clarify the data and information needed and available to successfully complete CLME Project deliverables, thematic reports and full-sized Project Document, within the allotted time frame;
3. to develop a template to solicit country-specific and region-specific information required for the 3 sub-regional thematic reports, the 2 thematic regional reports, the stakeholder assessment report and the incremental cost analysis report needed for the full-sized project submission.

The entire kick-off session was extremely interactive, taking full advantage of the breadth and depth of knowledge, expertise and experience of the participants with respect to the governance of transboundary living marine resource issues in the context of the Wider Caribbean. Participants were challenged to produce a number of outputs from the session and achieved these using both plenary and break-out group discussions. For the break-out group discussions, participants were grouped according to their membership in each of the 3 sub-regions of the Wider Caribbean or their knowledge with respect to regional thematic reports on Governance and Stakeholder Assessment.

Overview and Conceptual Governance Framework for the Caribbean LME

To ensure that all participants were at the same level of understanding with respect to the goals and objectives of the CLME Project, the Project Unit provided an overview, highlighting the emphasis being given to the need to develop a governance framework that would allow for the sustainable management of the shared living marine resources of the Caribbean LME. The question of how this could be accomplished led to a presentation and discussion of a proposed governance framework that identified 4 propositions, focusing on two well-known components of LME-level governance, namely the policy cycle and multiple levels of jurisdiction inherent in LMEs. Participants agreed that the proposed framework was needed to explain the current situation within the Caribbean LME where policy cycles, leading to a suite of generally unconnected decisions, were being undertaken by a range of stakeholders at the local, national,

subregional, regional and international levels. To further advance the development of the framework, the Project Unit offered to draft a paper for review by the participants of the session with the intention of publishing in a peer-reviewed journal. An illustration of the proposed governance framework and its propositions are provided in Appendix 3.

Components of the Full-sized Project

Under the guidance of the GEF specialist, participants were asked to break into sub-regional groups to discuss a number of topics relating to the various components of the full-sized Project Document.

In particular, each of the 3 subregional groups was asked to identify areas of concern with respect to shared LMRs within the subregion and key stakeholders at each jurisdictional level. They were also asked to assess the current Transboundary LMR Management Regimes in their geographic area and to suggest recommendations for improvement within the context of the proposed Governance framework. Each sub-group reported back to the full complement of participants on the existing governance arrangements and gaps and questions of clarification and suggestions for improvement were offered. The outputs of this exercise are provided in Appendix 4. It was recommended that in identifying areas of concern for shared LMRs, considerable work had already been done, in particular by the developers of the CLME Project and the Global Integrated Water Assessment (GIWA) effort for the Caribbean undertaken by UNEP. Participants agreed that these efforts should be drawn upon instead of attempting to “reinvent the wheel”. It was also strongly recommended that the CLME Project efforts on stakeholder assessment and in determining co-financing partners should be guided by work currently being undertaken by the White Water to Blue Water Initiative.

The subregional groups, led by the lead consultant for each group and the regional thematic consultants were then charged with discussing the details of their respective reports, including the development a draft Table of Contents for each of the subregional preliminary TDA reports and to report back to plenary. In addition, the two regional consultants for the Fisheries Governance and the Stakeholder Assessment consultancies were also asked to develop a draft Table of Contents for their respective thematic reports, with assistance from participants not participating in the subregional grouping discussions. The outputs of this exercise are provided in Appendix 5 along with workplans for accomplishing the work from each of the consultants.

With the discussion of the regional governance framework and Table of Contents for the draft subregional TDAs completed, the work of the participants shifted to a discussion of the pilots to be undertaken during the implementation of full-sized project. It was suggested that pilots should span the range of complexity inherent in the Caribbean LME and be used to test the applicability of the governance framework to sustainably manage shared resources of concern within the Wider Caribbean. Shared resources of concern for potential pilots were identified to be flying fish, lobster and conch, shrimp and groundfish, reef ecosystem and large pelagics. Each subregional group was asked to develop a preliminary pilot, focusing on one of the identified resources, for discussion

and inclusion in the full-sized Project Document. Groups were advised that their discussion on the pilot should not be limited to their subregion. Each group presented their preliminary ideas to plenary where once again, questions of clarification and suggestions for improvements were offered. The outputs of this exercise is provided in Appendix 6.

Discussion on Pilot Projects

Under the guidance of the GEF specialist, considerable progress was made in understanding the need and importance of having clearly articulated pilot proposals for inclusion in the Project Document. Given the short timelines, it was stressed that the pilots needed to be developed over the next two months with feedback being provided to the GEF specialist during this time period as the drafter of the Project Document. Mr. Turner indicated that there was a template for the pilots to follow which he will be providing to the Project Unit .He stated that the description of these pilots should have an approximate length of 20 pages and that the completion of these will benefit considerably from the discussion expected at the TDA Synthesis and Causal Chain Analysis workshop, schedule for late February. Participants were also reminded that the pilots also required regional champions to be identified who would take ownership of the pilots (drafting and implementing) and that co-financing and partnership arrangement needed to in place and described.

Discussions then centered on the breakdown of expenditures for the full-sized project and the time period for the project. Participants determined that with an expected US \$9 million, (of which \$0.7 million is already allocated to the PDF-B phase), the following breakdown should be used to guide the development of the various components of the full-sized project over a 4-year time period:

- Project Coordination - \$1.3 million
- Finalization of the TDA/SAP - \$1.5 million
- Pilots
 - Regional Governance, including large pelagics – \$1.5 million
 - Lobster and conch - \$1.2 million
 - Shrimp and Groundfish - \$ 0.8 million
 - Flyingfish - \$0.5 million
 - Reef ecosystem - \$1.5 million

In addition to the resources of concern identified and/or the proposed objectives for the pilots, participants were invited to bring forward new ideas that they thought would be better than those already identified, providing the appropriate rationale for their suggestions. It was also stressed that pilot projects needed to focus more on national, local and subregional levels as well as on a specific idea. For example, the pilot focusing on lobster and conch was seen as meeting a number of key criteria, including transferability of lessons learned throughout and external to the region.

Partnership Strategy

Given the number of countries and territories involved in the CLME Project, the participants discussed ways in which partners could be engaged throughout the project and in a variety of roles, in keeping with the proposed governance framework. The Project Unit presented a brief overview of a proposed partnership strategy which included:

- Identification of key stakeholders, with assistance from WW2BW
- Developing an inventory of pertinent activities occurring at multiple levels within the Caribbean LME as a first step in identifying co-funders and assessing levels of support
- Identification of an action plan that would strategically target key partners for co-financing.

Appendix 7 provides an identification of the diversity of stakeholders involved in CLME governance, depending on the stage in the policy cycle and the jurisdictional level.

Development of Template to Solicit Country-Specific Information

To assist with the need to have a thorough understanding of current activities and future plans with regards to LMRs within the region and to assist with the development of all sub-regional and regional reports, pilots and stakeholders analysis, participants discussed ways to best access the needed information. It was decided that a template would be developed and sent to all participating countries requesting country specific information. At the same time, the Project Unit would take the lead on developing a preliminary inventory of regional activities while subregional organizations would be contacted to advise on activities occurring and planned at that level. The participants worked in plenary on completing the template which is attached as Appendix 8 and undertook to follow up with the delivery of the requested information in their respective countries. The Project Unit undertook to circulate the template to all Steering Committee members and GEF Operational Focal Points, copied to participants of the workshop.

Other Relevant Project/Programs Presentations

Given the level of expertise and knowledge present among the participants and to contribute to raising awareness of what activities have been/are being undertaken within the region, brief presentations were made on a selection of relevant projects/programs. These includes information on CARICOM/CRFM by Mr. Milton Haughton, on OSPESCA by Mr. Sergio Martinez, on GIWA by Dr. Sherry Heileman, on WECAFC by Mr. Bisessar Chakalall, on the Lesser Antilles Pelagic Ecosystem project by Mr. Paul Fanning, on CCAD by Ms. Claudia Santizo and on CARSEA by Dr. Robin Mahon.

Project Timelines

The participants were made aware of the stringent timeline under which the project had to operate in order to be included on the agenda for the November meeting of the GEF Council. The timelines described were as follows:

- Nov 1-Jan 23 – Solicit info from countries; undertake consultancies, refine pilots with input from TTT; finalize and begin implementation of stakeholder strategy
- Jan 23 - Draft thematic reports and concept paper due
 - 3 sub-regional preliminary TDAs
 - 2 regional governance reports
 - 1 stakeholder assessment report
 - 1 concept paper
- Feb 1 – send reports and paper to TTT and countries
- Feb 23 – Causal Chain Analysis & TDA Synthesis Workshop
- Mar 1-29 – draft integrated TDA and draft FSP completed
- Mar 30 – send out TDA and FSP to countries for review at IMC
- Apr 30 – comments due
- May 15 – Steering Committee Meeting to approve TDA and FSP
- May 30 – Finalize TDA and FSP for submission to UNDP and GEF-SEC

Comments and Closing Remarks

There was unanimous agreement that the technical experts assembled for the session were a valuable asset to achieve the goal of the CLME Project and all participants agreed to serve as the Technical Task Team for the duration of the PDF-B phase of the project. It was also agreed in principle that the group would continue in this capacity during the implementation of the full-sized project. The facilitators express their hope that the participants continue as a core group and even suggest the possibility of expanding it. It was observed that the group would be providing ground work and base knowledge for SAP implementation.

As for the participants they observed that:

- The TDA/SAP Training workshop could have benefited from more examples being used by the Trainer to elaborate on the concepts and methodology being presented.
- Participants recommended that given the detailed discussions associated with the kick-off session, it would have been helpful for them to have had more information in advance so as to be better prepared for the discussions.
- Participants urged that the GEF specialist and Project Unit send out copies of the draft pilot projects to the Technical Task Team in order for them to be better able to assist with its improvement and to identify projects within countries that can be linked with the pilots, obtain letters of support and solicit co-funding.
- It was also suggested that the pilot focusing on the Guinas-Brazil subregion could be used to make the case for this subregion to be

identified as the separate LME that it is in terms of its distinct ecological characteristics.

Finally, to close the session the organizers congratulated the group for the work done over the entire 10 days, acknowledging it was a challenging work. To assist with ongoing input, an electronic chat group was established and members shared their SKYPE addresses as a means of maintaining verbal communication with each other. It was also reiterated that the present group would constitute a core group for the project not only for the PDF-B but also for the full project implementation, which will hopefully begin in 2008.

Appendix 1: List of TDA Workshop/Kick-Off Session Attendees

Participant	Position	E-mail address	No.
Jorge Angulo	Lead Consultant (Cuba) Stakeholder Analysis	jorge@cim.uh.cu University of Havana, Calle 16 #114 y 1ra Miramar Playa, Habana, Cuba Phone 537-203-0617	1
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Lorna Inniss	National Representative (Barbados)	linnis@coastal.gov.bb Coastal Zone Management Unit Bay Street, Bridgetown, Barbados Phone 246-427-5045 Fax 246-435-0677	10

Joyce Leslie	National Representative (Barbados)	Fishbarbados_dcfo@caribsurf.com Fisheries Division Princess Alice Highway, Bridgetown, Barbados Phone 246-426-3745	11
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Appendix 2a: Final Agenda for the CLME TDA/SAP Training Course

(23RD – 25TH October 2006)

Venue: Bridgetown, Barbados

Monday 23 October

9:00 – 10:30	Welcome, Introduction of participants and outline of the training course.
11:00 – 12:30	Module 1: Overview - General Principles Module 1: Overview – The TDA/SAP Process
12:30 – 14:00	Lunch
14:00 – 15:30	Module 3: Joint Fact Finding 1 - General Principles
16:00 – 17:30	Module 3: Joint Fact Finding 1 - Preparation and Initial Identification & Prioritization of Transboundary Problems

Tuesday 24 October

9:00 – 10:30	Module 3: Joint Fact Finding 1 - Preparation and Initial Identification & Prioritization of Transboundary Problems
11:00 – 12:30	Module 3: Practical session - Preparation and Initial Identification & Prioritization of Transboundary Problems
12:30 – 14:00	Lunch
14:00 – 17:30	Module 4: Joint Fact Finding 2 – General Principles Module 4: Joint Fact Finding 2 – Causal chain analysis, drafting the TDA

Wednesday 25 October

9:00 – 10:30	Module 6: Governance Analysis and Stakeholder Involvement – General Principles
11:00 – 12:30	Module 6: <i>Governance Analysis and Stakeholder Involvement - Stakeholder Consultation and Analysis; Institutional and Policy Analysis</i>
12:30 – 14:00	Lunch
14:00 – 15:30	Module 5: Formulating the SAP - General Principles. Bridging the TDA and SAP; Brainstorming Ways to Attain the EcoQOs. Examination of alternative policies, legal instrument reforms and investments
16:00 – 17:30	Module 5: Formulating the SAP -. Developing targets, agreeing the institutional framework and setting measurable indicators. Drafting the Action Programmes.

Appendix 2b: Final Agenda for the CLME kick-off session

(26th October – 1st November 2006)

Thursday 26 October

10:30 – 12:30	A Conceptual Governance Framework for the CLME
12:30 – 14:00	Lunch
14:00 – 15:30	Sub-regional Stakeholder Identification at Multiple Scales
16:00 – 17:30	Sub-regional Assessment of Current Transboundary LMR Management Regimes

Friday 27 October

9:00 – 12:30	Sub-regional Assessment of Current Transboundary LMR Management Regimes – Recommendations within the context of proposed Governance framework
	Discussion on Governance framework
	Partnership Strategy
	Discussion on Building Blocks for FSP (including pilots)
12:30 – 14:00	Lunch
14:00 – 17:00	Group work on building blocks

Saturday 28 October

9:00 – 12:00	Table of Contents for draft TDAs and template for country - specific info (e.g. info needed to construct ICA tables and for stakeholder identification and analysis
12:00	Return to Hotel

Monday 30 October

9:30 – 10:30	Available information and methodology - GIWA, CARSEA, LAPE, CRFM/CFP, OSPESCA, WECAF
11:00 – 12:30	Discussion of TORs for the CLME Thematic Reports
12:30 – 14:00	Lunch
14:00 – 15:30	Group work on thematic reports
16:00 – 17:30	Plenary - Work plan for Completing Tasks - Conclusions on roles and responsibilities

Tuesday 31 October

9:00 – 12:30	Drafting questions for the Template for Country-Specific Information for all sub-regional and regional reports and stakeholder analysis (Groups)
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12:30 – 14:00	Lunch
14:00 – 17:30	Finalizing Template for Country-Specific Information for all sub-regional and regional reports and stakeholder analysis (Groups)

Wednesday 1 November

9:00 – 10:30	Comments and closing remarks
11:00 – 12:30	Consultants meeting with PU

Appendix 3: Overview and Conceptual Governance Framework for the Caribbean LME

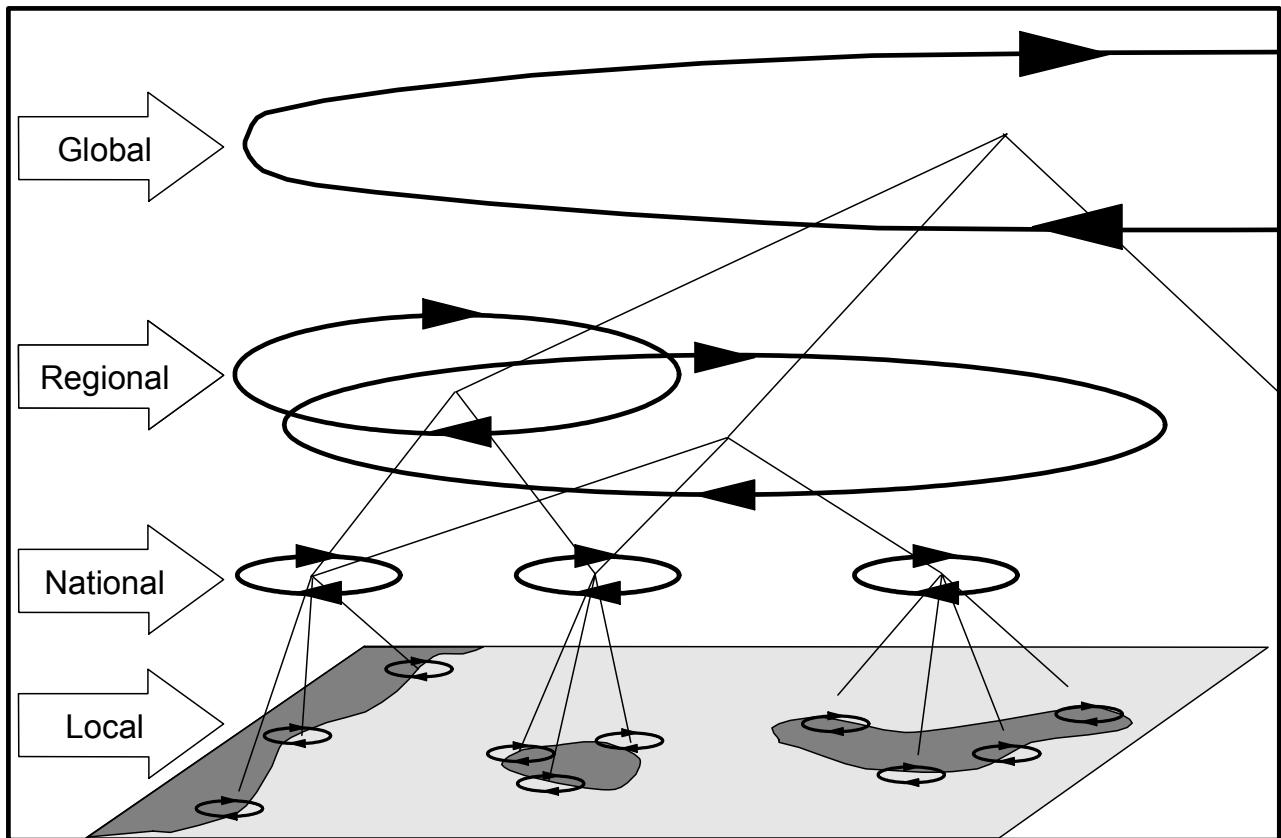


Figure 1. The multi-scale component of the proposed governance framework with vertical and horizontal linkages among the different policy cycles. The multi-level linkages do not necessarily imply a controlling function.

The proposed LME governance framework comprises complete policy cycles at multiple jurisdictional levels that are networked through both vertical and lateral linkages. It is based on four propositions that we consider to be fundamental properties of the framework:

- Any interruption at any stage of the policy cycle will result in dysfunctional governance of the target resources or ecosystems.
- Vertical linkages between functional policy cycles are necessary for effective transboundary LMR governance.
- Horizontal linkages between functional policy cycles are often necessary for effective transboundary LMR governance
- Linkages specific to the ‘analysis and advice’ and ‘decision-making’ stages of functional policy cycles are essential for effective multi-scale LMR governance

Appendix 4: Subregional Reporting on Gap Analysis and stakeholders

a) Guianas-Brazil Subregion

	Decision Making	Analysis	Implem-entation	Review and Evaluation	Data and Information	COMMENTS
GLOBAL						
FAO		X	X	X	X	Coordination
UNEP		X	X	X	X	Coord.
WWF		X	X	X	X	
REGIONAL						Coord.
WECAF		X	X	X	X	
CCA		X	X	X	X	Capacity issue
WIDE CAST		X	X	X	X	Turtles
SUB REGIONAL						
CRFM	X	X	X	X	X	Coord
NATIONAL						
Governments	X	X	X	X	X	Dependent on Capacity
EU (Fr. Guiana)	X	X	X	X	X	
MINAG (DOF)	X	X	X	X	X	
MIN. ENVT	X	X	X	X	X	
Min. Health	X	X	X	X	X	
Min. FA	X	X	X	X	X	
Coast Guard	X	X	X	X	X	
Sea Defence Agency	X	X	X	X	X	
Institutions (research/academic)						
Universities		X	X	X	X	
IMA (T & T)		X	X	X	X	
FONIAP (Venezuela)	X	X	X	X	X	
IBAMA & SEMARNAP (Brazil)	X	X	X	X	X	
IFREMER (Fr. Guiana)	X	X	X	X	X	
NGO's						
WWF		X	X	X	X	
CI		X	X	X	X	Turtles
Resource Users						
Fishers/Fishers Groups	X		X	X	X	
Fishing Industry/fishers association	X		X	X	X	
Boat builders etc.					X	
Aquaculturist/assoc.					X	
Sports/recreational fishers					X	
Local						
Local government	X		X			Coord
Fishers/PF groups	X		X	X	X	
Aquaculture					X	
Farmers/farmers group					X	
CBOs (ENVT/fisheries)?						

Stakeholder Questionnaire
One – on- One Interview

1. In your view what do you think are the things that are causing a decline in shrimp landings?

By-Catch and Discards

2 (a) Do you consider by-catch and discards to be a problem in the shrimp fishery, and, if so, to what extent?

2 (b) Are you aware of any actions being taken to reduce or utilize by-catch, and how effective do you consider them to be?

Pollution

3 (a) What impact do you think pollution is having on the shrimp fishery?

3 (b) What do you consider the three main sources of pollution to be in order of significance?

3 © How can we significantly reduce the impact of the most significant source of pollution that you have identified?

Fluctuating Climate

4. Do you think that changes in weather pattern are having a significant impact on shrimp landings, and, if so, how severe?

Habitat and Community Modification

5. Do you think that the discharges from the Amazon, Orinoco, Essequibo and other rivers of the Guiana-Brazil area are contributing to the decline in shrimp landings, and, if so, to what extent?

Governance

6 (a) What is the Fisheries Department doing to address the problem of declining shrimp landings?

6 (b) What else can they do to address the problem of declining shrimp landings?

b) Centra/South America Subregion

**IDENTIFICATION OF FACILITIES AND NEEDS FOR THE
CENTRAL/SOUTH AMERICA CONSULTATION**

Issue	Facilities	Needs
Reviewing information - Migratory resources - Resources with transboundary distribution as adults - Resources with transboundary larval dispersal - Dispersal of pathogens, pollutant and invasive species - Resources with transboundary trophic linkages	There is fishery information for the seven central America countries in OSPESCA; also accessed from national offices. FAO countries profiles with information related to the topics are available. Environmental information of central America from the SICA/CCAD; for the others countries in GIWA reports.	Environmental information can be found in the web, but also it must be located by the members of the TTT in each country. Direct contacts with environmental experts are needed for a better understanding of the local problems.
Key informants and information from the template used	Key informants can be located through the different associations – fishermen, industry, environmental ministries, etc.	Same as above, in the case of the environmental information.
Assessing roles and responsibility of key stakeholders	Same as above.	Same as above.
Assessing the legal, institutional and policy regimes	Central America information is in OSPESCA; others countries can be done through ministries web pages.	Same as above.
Identifying information gaps	From the analysis of all the gathered information.	Prioritize for those who need more intervention.
Writing of the report - For the transboundary living resources identified during the workshop. - Five LME modules	Identify the details giving priority to those that need a sustainable management.	
Summary and conclusions.	According to the TDA methodology Same as above.	

Stakeholder Questionnaire

One – on- One Interview

Date

Name

Type of Organization

Sector

1. In your opinion, which are the three most important problems causing living marine resources reduction in your country? Why?
2. Which do you think are the possible solutions to these problems?
3. Which are the most important causes related with habitat modification and destruction?
4. Do you believe that pollution is affecting the abundance of living marine resources in the Caribbean? Why?

Nothing Low Medium High

5. Do you think that the sector that you are part of, have any influence in living marine resources? How?
6. Do you know any laws related to the management of living marines resources? List them. Do you believe that this legal framework is adequate?
7. Do you believe that overfishing is affecting the abundance of living marine resources in the Caribbean? Why?

c) Insular Caribbean Subregion
MANAGEMENT SYSTEMS FOR REEF FISH

	Bahamas	Barbados	Cuba	Dominica	Haiti
Int'l Frameworks e.g. FAO Fish Stocks Agreement? CITES CBD					
Regional Frameworks e.g. WECAF Cartagena Conv – SPAW protocol					
Sub-regional bodies: OECS CRFM		x		x x	
Min. Fisheries/Div	x	x	x	x	x
Min. Env./Div	x	x	x		x
Reef fish dev & mgt plans	x	x	x	x	x
Open access	x	x		x	x
Fishing agreements/joint ventures	?				
Legislation					
Fishing capacity/effort limitation				x	
Limited entry				x	
No-take zones	x	x	x	x	x
Quotas/TAC	x				
Size/life stage limits	x	x	x	x	
Protected species		x			
Gear/method restrictions	?	x	x	x	
Closed seasons	x	x	x	x	
Data collection, assessments	x	x	x	x	x
Monitoring, surveillance	x	x	x	x	
Other					
Pollution-related					
Habitat-related	x	x	x	x	x
MPAs	x	x	x	x	x
Supporting activities					
Public awareness/education	x			x	
Community involvement	x	x		x	
Fishing Co-ops	x		x		x

Recommendations to improve existing management measures

1. Improve the above (implementation, compliance, enforcement, data collection, reporting, etc)
2. Holistic approach – maintaining a healthy ecosystem: habitat protection, controlling pollution, maintaining species composition, etc.
3. Management based on credible and timely data and information, as well as socio-economic considerations
4. Network of protected areas, including mangroves, sea grass beds, coral reefs – possibly linked among countries
5. Greater collaboration among countries in assessment, management, harmonization of policy & legislation, etc.
6. Increasing co-management
7. Alternative livelihoods for artisanal fishers

8. A regional reef fish mgt plan, regional database, etc...
9. Standard set of indicators, effective monitoring and evaluation
10. Regional reef fish mgt body?

INSULAR CARIBBEAN - STAKEHOLDERS

STAGE	LOCAL	NAT'L	REGIONAL	GLOBAL
Decision-making	National gov't, local gov't bodies, ministries, fishing co-ops, local communities, Civil society	National gov't (ministry of fisheries, min. environment), Commissions, Ad hoc committees, Environmental Management Authorities	Regional conventions (Cartegena), regional bodies (e.g. CRFM, CARICOM, OECS), UN regional bodies,	Int'l conventions (UNCLOS, CBD), In'l Programmes of Action (GPA), UN organizations? (e.g. FAO, UNEP), ICCAT, IWC...
Analysis & advice	National gov't, local gov't bodies, ministries, fishing co-ops, local communities, civil society	Academic and research institutions, advisory commissions, Ad hoc committees, nat'l gov't, expert groups	Regional conventions, regional bodies (e.g. CRFM, CARICOM, OECS, WECAFC), UN regional bodies, expert groups	Int'l conventions, In'l Programmes of Action (GPA), World Bank, UN organizations, GEF, ICCAT, Int'l NGOs, IWC
Implementation	Nat'l gov't, local gov't bodies, ministries, local communities,	National gov't, public organizations, NGOs		
Review & evaluation	National gov't, local gov't bodies, ministries, Academic and research institutions, NGOs	Academic and research institutions, advisory commissions, nat'l gov't, expert groups, NGOs	Regional conventions, regional bodies (e.g. CRFM, CARICOM, OECS, WECAFC), UN regional bodies, expert groups	Int'l conventions, In'l Programmes of Action (GPA), World Bank, UN organizations, GEF, ICCAT, Int'l NGOs, IWC
Data & Information	National gov't, local gov't bodies, ministries, Academic and research institutions National gov't, local gov't bodies, ministries, Academic and research institutions	Academic and research institutions, NGOs	Regional conventions, regional bodies (e.g. CRFM, CARICOM, OECS, WECAFC?), UN regional bodies, expert groups	Int'l conventions, In'l Programmes of Action (GPA), World Bank, UN organizations, GEF, ICCAT, Int'l NGOs.....

Stakeholder Questionnaire

One – on- One Interview

Purpose: Determining major perceived transboundary problems (Overexploitation, pollution, habitat degradation) among stakeholders

Criteria for coming up with questions: e.g. severity of environmental impact, socio-economic impacts, feasibility of solutions, if expected to worsen in future, etc.

QUESTIONS (May have to simplify terms for ease of understanding by lay persons).

Date: Profession or sector:

1. On a scale of 0 -3 (0: no importance; 1: slight; 2: moderate; 3: great; or don't know), rank the following concerns in terms of importance in your region/country:

Overexploitation: Which species:
Habitat degradation: Which habitat(s) e.g. coral reefs, mangroves:
Pollution: By what, e.g. oil, solid waste:

2. Under each concern, rank the issues in order of importance (using same ranking system as above):

Overexploitation:
Excessive by-catch & discards:
etc, etc.....

Habitat degradation:
Loss of ecosystems:
etc, etc.....

Pollution:
Sewage:
Oil:
etc, etc.....

3. Do you think the problem is caused by another country/countries?

Overexploitation: Yes: No: Don't know:
Habitat degradation: Yes: No: Don't know:
Pollution: Yes: No: Don't know:

If no: what causes it in your country (list of possible causes/sectors be provided for each concern?) or don't know:

and do you think it affects neighbouring countries:

4. Do you think that any of these three concerns influence any of the others, and if so, in what way?

5. Rank the severity of the impacts of these 3 concerns on your livelihood (or food security, health, recreational activities, income etc, etc.) on scale of 0-3 (0: none, 1: slight, 2: moderate, 3: severe, or don't know):

6. Rank the severity of the impacts of these 3 concerns on your country's economy (e.g. reduced tourist arrivals, reduced fish exports, etc.) on scale of 0-3:

7. Do you think this problem will get worse in the future: Yes: No: Don't know

8. Do you think this problem can be solved in the foreseeable future:
Yes: No: Don't know: Why?

9. If Yes to 7, whom do you think can address this problem:
Government: Me: etc.....: All of above:

10. What do you think you can do to improve the situation?

Appendix 5: Subregional Preliminary TDA Table of Contents and Work Plans

a) Guianas-Brazil Sub-Regional Preliminary TDA

Table of Contents

1. Description of the Guiana – Brazil LME

- Physical and geographical characteristics (Map)
- Status of the major rivers (Amazon, Orinoco, Essequibo, etc.)
- Climate in the Guiana – Brazil Area
- Ecological Status
 - Status of the natural ecosystems and biodiversity
 - Fisheries resources (shrimp, groundfish, red snappers, etc.)
 - Forestry resources and deforestation
 - Agriculture
 - Mining
 - Land degradation
 - Climate change
- Socio-economic situation
 - Demographic trends
 - Economic indicators (GDP, contribution by fisheries, forestry, agriculture, mining, per capita income, employment, forex, production)
 - Social Indicators (Health - availability of medical care/services, infant mortality rate)
- Institutional setting

2. Priority Transboundary Problems

Key transboundary problems and priority scores

- Overfishing/Declining Catches
- Habitat and Community Modification
- Pollution and Contamination
- IUU Fishing

Key environmental impacts, socio-economic consequences and sectors

Overfishing/Declining Landings

(Shrimp (large penaeids, seabob) , Groundfish (species identified in S&G Meetings), Red snappers – Declining landings, By-catch and discards, destructive fishing practices, gear interaction, impact on biological and genetic diversity)

- Short description of the problem and a justification of its transboundary importance
- Environmental impacts and socio-economic consequences
 - Socioeconomic consequences
 - Environmental impacts
- Linkages with other transboundary problems
- Casual Chain Analysis
 - Immediate Cause
 - Underlying Cause
 - Root Cause
- Knowledge gaps
- Summary
- Conclusion

Habitat and Community Modification (Habitat Degradation)

(Discharges from the Amazon, etc., mangrove destruction)

- Short description of the problem and a justification of its transboundary importance
- Environmental impacts and socio-economic consequences
 - Socioeconomic consequences
 - Environmental impacts
- Linkages with other transboundary problems
- Casual Chain Analysis
 - Immediate Cause
 - Underlying Cause
 - Root Cause
- Knowledge gaps
- Summary
- Conclusion

Pollution and Contamination

(Hydrocarbon, heavy metals from mining?)

- Short description of the problem and a justification of its transboundary importance
- Environmental impacts and socio-economic consequences
 - Socioeconomic consequences
 - Environmental impacts
- Linkages with other transboundary problems
- Casual Chain Analysis
 - Immediate Cause
 - Underlying Cause
 - Root Cause
- Knowledge gaps
- Summary
- Conclusion

IUU Fishing

- Short description of the problem and a justification of its transboundary importance
- Environmental impacts and socio-economic consequences
 - Socioeconomic consequences
 - Environmental impacts
- Linkages with other transboundary problems
- Casual Chain Analysis
 - Immediate Cause
 - Underlying Cause
 - Root Cause
- Knowledge gaps
- Summary
- Conclusion

3. Stakeholder analysis

- Identify/List Stakeholders

- Overfishing/Declining Catches
- Habitat and Community Modification
- Pollution and Contamination
- IUU Fishing

4. Governance analysis

- Policy, legal and institutional analyses
- Transboundary cooperation (bilateral, multilateral agreements, Amazon Treaty (?), partnerships)

- Conclusion

5. Findings and Conclusions

- Overfishing/Declining Catches
- Habitat and Community Modification
- Pollution and Contamination
- IUU Fishing
- Governance

Glossary of terms used in the TDA

Abbreviations and acronyms

Annexes

References

(By transboundary problem)

Work Plan November 1, 2006 – January 23, 2007

- Information gathering, including from PCU, NIC, CLME Focal Point
- Literature review
- Drafting of Thematic Report.

Preparing the Thematic Reports

- **Accessing information:** (List of Reports, Websites, etc.) GIWA Reports, LME Chapters (Caribbean Sea and Brazil), CARSEA Report, World Bank Reports (Poverty [artisanal fishers], UNDP Country Reports, FAO Country Profiles (Fisheries, Forestry (?))), FAO S&G Reports, FAO S&G National Consultation Reports, National Environmental Profiles/Plans, National Dev. Strategies/Plans, FMPs, Forestry Development Plans, ICM Plans, Demographic Reports, Labour and Health Stats, National Biodiversity Action Plans, NGO Reports (WWF – Guyana and Suriname, CI, etc.), etc. (Reports in English and Spanish. If in Dutch, French or Portuguese.....request English version, if any, or English summaries if available).
- **Country Questionnaire:** Timing – Preliminary Transboundary Problems Identification - on the right track (?)
- **Networking/Communication:** PCU (Coordination, information, feedback/review), Steering Committee (Review/Feedback), TTT (Information, feedback/review), NICs (Information, feedback/review), CLME Focal points (Contact, information, feedback), Consultants (Preparation of thematic reports, information exchange).

b) Central/South America Sub-Regional Preliminary TDA Consultancy

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Executive Summary

- 1. Introduction**
- 2. Methodology**
 - 2.1. Background
 - 2.2. Central/South America Methodology
- 3. Description of the Sub-Region**
 - 3.1. Geographical
 - 3.2. Ecological
 - 3.3. Socioeconomics
 - 3.4. Institutional
- 4. Priority transboundary problems**
 - 4.1. Introduction to the transboundary problems and priority scores
 - 4.2. Fish and overfishing
 - Shrimps
 - Lobster
 - Conch
 - Snapper
 - Grouper
 - Pelagic species
 - Turtle
 - 4.3. Pollution
 - Fisheries
 - Tourism
 - Industry
 - Others
 - 4.4. Habitat degradation
 - Fisheries
 - Tourism
 - Industry
 - Others
 - 4.5. Transboundary impact on the Central/South America Sub-Region
- 5. Stakeholder review**
- 6. Overarching root causes**
- 7. Summary and conclusions**

References

Annexes

Time table for the Central/South America consultation

	November				December				January			
	I	II	III	IV	I	II	III	IV	I	II	III	IV
Identify contacts & roles	■											
Reviewing information	■	■	■	■								
Identifying problems		■										
Institutional issues			■									
Information gaps				■	■							
Write the report					■	■	■					
Submit draft						■						
Draft modification							■	■				
Final report								■	■			

c) Insular Caribbean

Table of Contents

1. Description of sub-region

Physical, geographical, biological, ecological, oceanographic characteristics
SIDs peculiarities

2. Socio-economic background

Demographics
SIDs vulnerabilities
Economic & social indicators
Human Development Indicators
Major economic sectors
Importance of marine living resources (general terms)

3. Major environmental problems (DPSIR framework)

Overfishing: Description (major species, distribution of life history stages, gears, employment, % GDP, exports, trends in landings, transboundary issues, drivers), justification of transboundary elements, linkages with other issues, socio-economic consequences

Responses (Institutional arrangements, management frameworks, etc.) and assessment of effectiveness
Knowledge gaps
Possible options for addressing problem, institutional and other requirements.

Habitat degradation: Description of habitats & biodiversity, dependent sectors (tourism, employment, etc), extent of habitat degradation by habitat types, impacts on biodiversity, causes (incl. transboundary), socio-economic consequences (incl. transboundary)

Responses (institutional arrangements, legislation, MPAs, etc) and assessment of effectiveness
Knowledge gaps.
Possible options for addressing problem, institutional and other requirements.

Pollution: Major pollutants and sources (incl. transboundary), socio-economic impacts
Responses and assessment of effectiveness
Knowledge gaps
Possible options for addressing problem, institutional and other requirements.

Prioritization of problems: justification for assigning priority (ecological, socio-economic consideration)

(Climate change?)

4. Causal chain analysis (integrate in 3?)

- 5. Summary and Conclusions**
- 6. References**
- 7. Annexes**

INSULAR CARIBBEAN WORK PLAN (Nov 2006 – Feb 2007)

Task	Weeks	NOV				DEC				JAN				FEB				Responsible
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	
1. Assemble & review global, regional & sub-regional reports		X	X	X														Lead consultant
2. Contact regional & sub-regional institutions & projects; solicit data & info		X																Lead consultant
3. Conduct searches for additional info at global, regional & sub-regional levels			X	X	X													Lead consultant
4. Review info from 2 & 3			X	X	X													Lead consultant
5. Stakeholder analysis??																		
6. Identify & prioritize transboundary concerns					X	X												
7. Begin drafting TDA				X	X	X	X											Lead consultant
8. Contact national agencies and authorities & solicit data & info		X	X															Country
9. Conduct searches for additional info to fill gaps (national level)				X	X	X												Country
10. Assemble & send data and info to LC as they become available				X	X	X	X											Country
11. Identify & fill remaining gaps					X	X	X											All
12. Complete TDA draft								X	X									Lead consultant
13. Circulate draft to countries, PCU, etc for review and further inputs									X									Lead consultant
14. Review process									X	X								Country, Interministerial team, PCU, etc
15. Revise draft										X								Lead consultant
16. Submit TDA											X							Lead consultant

INSULAR CARIBBEAN – SOURCES OF INFORMATION AND WORK PLAN

Identification of transboundary problem	What is needed/country (time series where possible)	Sources	Gaps/ possible sources
Socio-economic background	Total population, pop. density, major economic sectors (% GDP), tourist arrivals, Human Development Index, peculiarities of SIDS, etc.	UNDP Human Dev. Report, World Factbook, CTO, GIWA, UNEP SIDS, GEO-LAC & GEO-3 reports CARICOM	
Fisheries overexploitation	Major fisheries (species & gear, artisanal vs industrial, foreign fishing) If stocks shared with other countries Any info on IUU, poaching? Landing statistics/species (preferably time series) – database? Status reports Socio-economic data: employment, % GDP, market value, export value, trade in fisheries products Fisheries legal framework, management plans & activities	FAO CRFM Fisheries/Environment Ministries or Div. NGOs OECS CARICOM IFREMER GIWA UNEP SIDS, GEO-LAC & GEO-3 Academic & research institutions	Transboundary aspects for some fisheries
Marine Pollution	Major industries Coastal development activities Data on pollutants, types, sources, etc. Data & information of impacts of pollution on habitats Incidence of spills, HABs, fish kills, etc. Sources, including from other countries Incidence of marine pollution-related illnesses Pollution-related economic losses Monitoring programmes, any legislation?	CAR RCU GIWA OECS CEHI Ministries NGOs Academic & research institutions GPA issues in Caribbean SIDS report GIWA UNEP SIDS, GEO-LAC & GEO-3 GESAMP	Transboundary aspects
Habitat	Types & associated species and abundance, maps, extent, coastal land use maps, area of habitat degradation/loss over time and causes (incl. transboundary), socio-economic importance (uses, sectors, employment, impacts, etc), coastal zone management plans, legislation, monitoring programmes, records of invasives & impacts, existing MPAs, biodiversity	Ministries NGOs Academic & research institutions UNEP-WCMC WRI Reefs at Risk report Status of Coral World's Reefs (Wilkinson) GIWA AGRRA report CBD	Transboundary aspects
Climate change	Evidence of SLR, global warming, climate change (e.g. increase erosion, coral bleaching, etc), socio-economic impacts	Ministries Academic & research institutions Adaptation to climate change programme? IPCC reports	

d) Stakeholder Assessment

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Executive Summary

Introduction

Methodology

Stakeholders Identification (Governance, tourism, fisheries, habitat degradation and pollution)

- Local Stakeholders (to be completed from sub-regional TDA)
- National Stakeholders (to be completed from sub-regional TDA)
- Sub regional
 - CRFM
- Regional Stakeholders
 - OSPESCA
- International Stakeholders
 - IMO

Stakeholders Current Roles Assessment

- Local Stakeholders
- National Stakeholder
- Sub regional
- Regional Stakeholder
- International Stakeholder

Stakeholders Potential Roles

- Local Stakeholders
- National Stakeholder
- Sub regional
- Regional Stakeholder
- International Stakeholder

Stakeholders Capacity Assessment

- Local Stakeholders
- National Stakeholder
- Sub regional
- Regional Stakeholder
- International Stakeholder

Identify ways of enhancing Stakeholder Involvement in the Project

Conclusion

Appendices

Draft Questionnaire Guide:

1. Identify key stakeholders at sub regional, regional and international level
2. Current and Potential Roles of stakeholders
3. Perception of Stakeholder Capacity to carry out Potential Role
4. Mechanism to enhance stakeholder participation/involvement
5. Other????

Cronograma de Trabajo

Mes/Actividad	Noviembre				Diciembre				Enero		
	1	2	3	4	1	2	3	4	1	2	3
Semanas											
Elaborar guia de cuestionario	X										
Revisar Literatura	x	x									
Contactar Informantes claves		x	x	x							
Procesamiento de Informacion						x	x	x			
Elaboracion de Documento									X	x	

Persons to Contact

Bissesar Chakallal
 Terrence Phillips
 Milton Haughton
 Sergio Martinez
 Claudia Santizo
 Angel Rivera
 Peter Murray (OECS)
 Janice Cumberbatch
 CCA (Kemraj, Leslie)
 CANARI (Yves, Sara)
 CTO
 UNEP
 Patrick McConney
 Robin Mahon
 David Bradford
 Guillermo Garcia (IOCARIBE GOOS)
 Pedro Alcolado (GEF/Cuba)
 Jose Luis (WWF)

e) **Fisheries Governance**

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FISHERIES GOVERNANCE

REVIEW AND ASSESSMENT OF CURRENT ARRANGEMENTS
FOR GOVERNANCE OF TRANSBOUNDARY FISHERIES RESOURCES IN THE WIDER
CARIBBEAN

CHARACTERISTICS OF THE WIDER CARIBBEAN, INCLUDING SUBREGIONAL SPECIFICITIES

DESIRABLE COMPONENTS OF GOVERNANCE OF TRANSBOUNDARY FISHERIES
RESOURCES IN THE WIDER CARIBBEAN

GAPS IN ORGANIZATIONAL AND INSTITUTIONAL ARRANGEMENTS

OPTIONS FOR IMPROVED GOVERNANCE OF TRANSBOUNDARY FISHERIES RESOURCES IN
THE WIDER CARIBBEAN

CONCLUSIONS AND RECOMMENDATIONS

APPENDICES

Appendix 6: Preliminary Outputs on Proposed Pilots

a) Strengthening Mechanisms for Improved Management of Shrimp and groundfish fisheries of the North Brazil Shelf LME.

Scale level	Policy Cycle Stage				
	Data/Information	Analysis and Advice	Decision Making	Implementation	Review and Evaluation
Local	<p>Data collection systems (catch, effort, biological, social, economic environmental, etc.)</p> <p>Record local knowledge.</p>	Include data and information inputs generated by fishing community	<p>Identify and develop mechanisms for management of fisheries at the community level.</p> <p>Improve stakeholder participation (fisher and other relevant community groups) in the decision-making process.</p>	<p>Relevant decisions implemented by fishing community based on the level of decentralized authority with assistance from National level</p> <p>Identify and develop mechanisms to encourage “self-policing”.</p>	<p>Define the indicators.</p> <p>Provide inputs to the policy cycle</p>
	Strengthen relevant local government agencies.	Provide options	Organise and/or strengthen fisher and other stakeholder groups at local level.	With support from National level	Provide inputs to the policy cycle
	Develop programme for awareness building and knowledge sharing (field school approach) among stakeholders.			With support from National level	
National		Defined by national level authority with inputs from local level	Options for strengthening national mechanisms for participation in the decision making processes.	Decisions implemented by national level authority e.g. strengthen MCS	<p>Define the indicators.</p> <p>Provide inputs to the policy cycle</p>
	Improve on the data collection systems based on feedback from review and evaluation	Undertake analyses for community related and national level fisheries and	Promote and develop mechanisms to improve intersectoral interface and	By local and national levels	

		provide inputs to decision making.	planning.		
	Institutional structure, capacities	Undertake analyses and provide policy options	Update and implement FMPs. Promote an ecosystem-based approach to fisheries management.	By relevant agencies Strengthen relevant agencies	Define the indicators.
	Awareness building (field school approach) among stakeholders.	Undertake analyses. provide policy options	Establish or strengthen trawler owner, processors and other stakeholder organizations at national level.	by National level	
		Promote intersectoral planning, collaboration/ cooperation.	Integrated ecosystem approach to natural resource use	Implemented by the economic sectors involved	Provide inputs to the policy cycle
Regional	Establish a protocol for sharing data and information involving regional partners (e.g. FAO/ WECAFC, CRFM)	Options the development of a multidisciplinary shrimp & groundfish working group comprising countries of North Brazil Shelf LME	North Brazil LME approaches to managing shared resources.	Design and establish mechanisms for management of the shared resources.	Define the indicators. Provide inputs to the policy cycle
	Promote and facilitate harmonisation of data collection systems.	Regional Partners (e.g FAO/ WECAFC, CRFM) provide policy advice.	Promote ecosystem-based approach to fisheries management.	Implementation at all levels	Provide inputs to the policy cycle Define the indicators
	.	Networking of stakeholder groups, NGOs and partners at the regional level for inputs to decision making.	Facilitating stakeholder inputs		
Note: Actions/activities at the local level depend heavily on sustained inputs and technical support from the national level. Similarly, actions at the regional level depend on inputs from the national level. Thus, the national level serves as the pivot around which the local and regional levels revolve and could be described as the primary driver of the proposed LME governance framework. Implementation is at all levels and depends on the degree of authority accorded to the jurisdictional levels.					

b) Creating a regional network to gather and manage data on shared living marine resources

OBJECTIVE: To create a regional network to gather and management data

	Data & Info	Analysis & advice	Decision making	Implementation	Review & evaluation
Local level	Gather the information from fishers		Local governments, fisher asosiations	Training on law application for stakeholders	
	Impel the participation of the fishers to facilitate the data collection		To enforce the mechanism of comanagement		
National level	To strengthen the fishing offices to obtain the fisheries data	To strength the mechanism for information transference and advice	To integrate the fisheries policies with conservation policies	Training on law application for stakeholders	
	To strength the collection of the artisanal fishery activities			Equipment	
Sub-regional level	Impel the standardization or harmonization of the statistics systems	To harmonize the evaluation and analysis methods	SICA/OSPESCA, CARICOM, CCAD, ?	Training on law application for stakeholders	
Regional level	To share the information with all countries of the region	Creation of a regional network to advice to the decision makers	To create a technical advisor committee		To create or enforce a supervising office
	Impel the standardization or harmonization of the statistics systems		To integrate the fisheries policies with conservation policies		
Partners	Ministries and fisheries offices, fishers asosiations (OECAP, CONFEPESCA, OSPESCA, CCAD)	Ministries, fisheries offices, universities, FAO, SICA/OSPESCA.	Ministry and their fisheries offices, SICA/OSPESCA,	Ministries, fisheries offices, law enforce offices, fishers and asosiations (OECAP, CONFEPESCA, SICA/OSPESCA, Others)	

c) Improving Governance Mechanisms for Reef Ecosystems by enhancing Management of Marine Multiple Use Areas (MMUA) in the Caribbean

Objectives: (some examples)

- Improving community involvement in management of MMUA
- Strengthening local awareness and outreach and education programs
- Strengthening capacity for MMUA management
- Build partnerships for future collaboration in various sectors
- Build government support for preservation and better management
- Explore alternative means of livelihood

Project Plan: Where?

Established MPA's and assess gaps to improve management – Local-National level

- Three –four sites throughout the region (screening process for selection of sites based on agreed criteria)
- Commonly artisanal use areas
- Area with diverse habitats (mangroves, seagrass, coral reefs...)
- Dominant nursery and breeding grounds
- Building on ongoing activities

Who is involved? Major stakeholders, examples:

- NGO's
- Academic Institutions and Researchers
- Government officials
- Resource users - Local communities, people in tourism, fisheries, etc.

What?

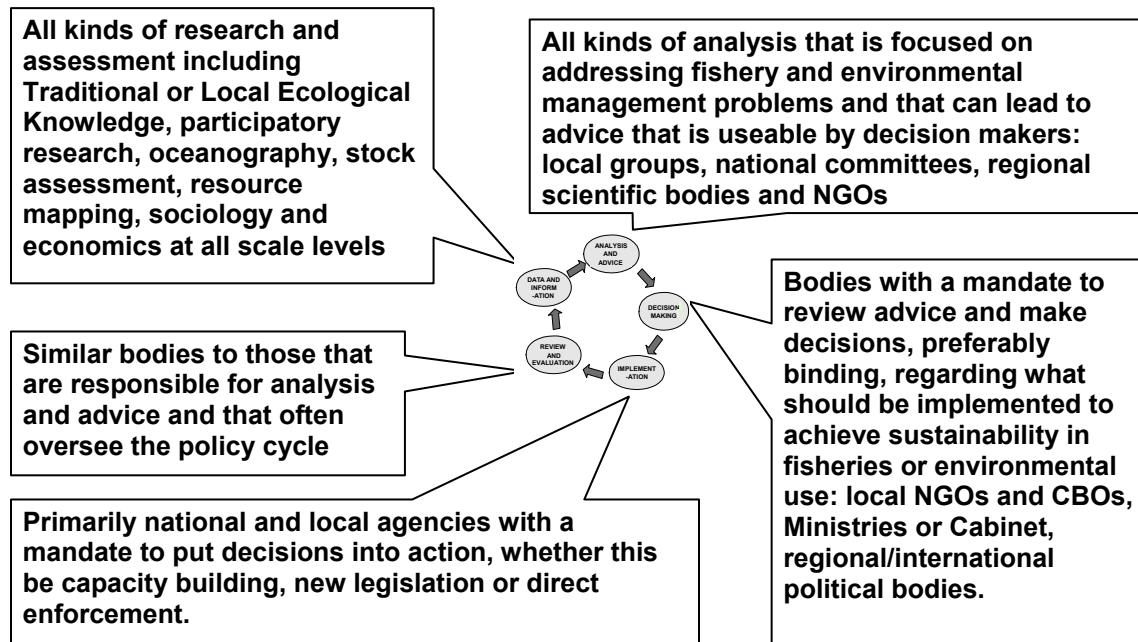
Stage in cycle	Gaps
Decision Making	Community input, Political will, Mechanism/process to link each stage of the cycle etc.
Implementation	Delays in implementation, Lack of Enforcement, Community Involvement etc.
Review and Evaluation/ Analysis and Advice	Lack of multidisciplinary group of experts, and Funding, Stakeholder participation, etc.
Data and Information	Limited social, ecological and economic data, Validity and Timeliness of data, Community input, etc.

Activities:

- Developing a system that addresses the gaps
- Clearly defined roles and responsibilities
- Strengthening Community Involvement, and Enforcement
- Improving/establishing outreach and education programs
- Establishing or improving existing data and information systems
- Developing a monitoring system for selected indicators e.g., socioeconomic, ecological, etc.
- Developing a mechanism/process to strengthen the links in the cycle
- Developing a plan to transfer the lessons learned to other MPA's

Partners: Stakeholders at Local and National levels

Appendix 7: Diversity of stakeholders that may be involved in CLME Governance



Appendix 8: Request for information from member countries and other project partners

Brief Project Description

The overall objective of the CLME project is the sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an integrated management approach that will meet the WSSD target for sustainable fisheries. The expected outputs include an analysis of the transboundary living marine resource issues (Transboundary Diagnostic Analysis- TDA) and an agreed preliminary Strategic Action Program (SAP) for Caribbean LME shared living marine resources during PDF-B. The project will also fill knowledge gaps, implement sustainable legal, policy and institutional reforms and put in place LME level monitoring, evaluation and reporting processes for shared LMR ecosystem management.

Request for Country-Specific Information

In order to assist with the development of an integrated TDA from the entire LME and its adjacent region, the Project Unit is requesting all CLME member countries and other project partners to provide the information requested in the attached template.

In order to have a country-consensus position, it is recommended that the requested information be discussed by your Inter-Ministerial/Inter-Sectoral Committee so that the views from the different sectors and levels of participation within your country, as represented on the Committee, may be considered prior to filling out the template. Other partners are requested to provide a response that reflects their understanding of their constituencies.

Your assistance in providing your response to the template by **December 29, 2006** is essential so that your input can be instrumental in shaping the development of the integrated TDA and CLME Project Concept Paper.

CLME Project Template: Please return to CLME Project Unit by December 29, 2006

1. General information.

a) Name of Country or Organization:

b) Composition of CLME Inter-Ministerial/Intersectoral Committee:

i) Identify National Government Ministries:

ii) Identify any other levels of government:

iii) Identify any non-government members:

iv) Identify Chairmanship the Committee:

c) Total # of members on the Committee _____

d) Does the Committee deal with matters other than the CLME Project? Matters related to the CLME project? List.

2. Major areas of concern

The following areas of concern have been identified as affecting the sustainability of transboundary living marine resources in a number of regions: *Over-Fishing; Pollution and Contamination; Habitat Degradation.*

What are your country's perceived **major** areas of concern regarding your **transboundary living marine resources**? Please rank in order of importance where 1 is greatest:

1 _____

2 _____

3 _____

4 _____

5 _____

3. Origin and Causes

For your top three areas of concern, please identify where, in your opinion, the concern originated and the causes for the concern:

Origin of Area of Concern #1:

Causes for Area of Concern #1:

Origin of Area of Concern #2:

Causes for Area of Concern #2:

Origin of Area of Concern #3:

Causes for Area of Concern #3:

4. **Maritime Neighbours:**

- a) How many neighbouring countries share **transboundary living marine resources** with your country? _____
b) Please identify countries _____

5. **With respect to area of concern #1 identified in question 2 above,**

- i) Are any of your neighbouring countries contributing to this area of concern? Yes ____; No ____

If yes, please provide a brief explanation? For instance, if the concern is pollution, it would be useful to know what kind of pollution, e.g. sediments, oils.....If overfishing, useful to know the species.

If yes, please indicate the severity of impact on the environment, the economy and on society on a scale of 0 to 3, where 0 means no impact, 1 means minor impact, 2 means major impact and 3 means severe impact.

Please check 9 for “don’t know”:

- Environmental impacts: 0 ____ 1 ____ 2 ____ 3 ____ 9 ____ (Don’t know)
- Economic impacts: 0 ____ 1 ____ 2 ____ 3 ____ 9 ____ (Don’t know)
- Social impacts: 0 ____ 1 ____ 2 ____ 3 ____ 9 ____ (Don’t know)

- ii) Is your country having an impact on any of your neighbouring countries? Yes ____; No ____

If yes, please provide a brief explanation? For instance, if the concern is pollution, it would be useful to know what kind of pollution, e.g. sediments, oils.....If overfishing, useful to know the species.

If yes, please indicate the severity of impact on the environment, the economy and on society on a scale of 0 to 3, where 0 means no impact, 1 means minor impact, 2 means major impact and 3 means severe impact.

Please check 9 for “don’t know”:

- Environmental impacts: 0 ____ 1 ____ 2 ____ 3 ____ 9 ____ (Don’t know)
- Economic impacts: 0 ____ 1 ____ 2 ____ 3 ____ 9 ____ (Don’t know)
- Social impacts: 0 ____ 1 ____ 2 ____ 3 ____ 9 ____ (Don’t know)

- iii) Using the template provided at the back of this questionnaire, please identify any actions being taken by your country to address the area of concern?

- Key Ongoing Projects/Activities, including joint projects with neighbouring/other countries
- Resources committed
- Stakeholders involved (primary; secondary)
- Beneficiaries
- Effectiveness of actions

- iv) Using the template provided at the back of this questionnaire, please identify any known additional activities planned to be undertaken by your country

- Resources (financial, technical, human)
- Timescale

- Stakeholders involved (primary; secondary)
- Beneficiaries
- Likely outputs

- v) Please identify any additional potential solutions that can assist with addressing the area of concern.
- vi) Please identify types of information (scientific, economic and/or social) **most** needed to assist with addressing the area of concern.
- vii) Please indicate where you think interventions would be most successful in addressing the area of concern, using a scale of 0 to 3, where 0 means not important, 1 means somewhat important, 2 means very important and 3 means absolutely necessary. Please check 9 for “don’t know”:
- | | | |
|--|--|--------------|
| • More data and information | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • More monitoring and enforcement | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • More laws | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • More inter-ministerial level decision-making | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • More private and NGO involvement | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • Better implementation of decisions | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • Collaborative effort with neighbouring/other countries | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • Other (please explain) | | |

6. With respect to area of concern #2 identified in question 2 above,

- i) Are any of your neighbouring countries contributing to this area of concern? Yes ; No

If yes, please provide a brief explanation? For instance, if the concern is pollution, it would be useful to know what kind of pollution, e.g. sediments, oils.....If overfishing, useful to know the species.

If yes, please indicate the severity of impact on the environment, the economy and on society on a scale of 0 to 3, where 0 means no impact, 1 means minor impact, 2 means major impact and 3 means severe impact. Please check 9 for “don’t know”:

- | | | |
|--------------------------|--|--------------|
| • Environmental impacts: | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • Economic impacts: | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |
| • Social impacts: | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> 9 <input type="text"/> | (Don’t know) |

- ii) Is your country having an impact on any of your neighbouring countries? Yes ; No

If yes, please provide a brief explanation? For instance, if the concern is pollution, it would be useful to know what kind of pollution, e.g. sediments, oils.....If overfishing, useful to know the species.

If yes, please indicate the severity of impact on the environment, the economy and on society on a scale of 0 to 3, where 0 means no impact, 1 means minor impact, 2 means major impact and 3 means severe impact.

Please check 9 for “don’t know”:

- | | | |
|--------------------------|---|-------------------------------------|
| • Environmental impacts: | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • Economic impacts: | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • Social impacts: | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |

iii) Using the template provided at the back of this questionnaire, please identify any actions being taken by your country to address the area of concern?

- Key Ongoing Projects/Activities, including joint projects with neighbouring/other countries
- Resources committed
- Stakeholders involved (primary; secondary)
- Beneficiaries
- Effectiveness of actions

iv) Using the template provided at the back of this questionnaire, please identify any known additional activities planned to be undertaken by your country

- Resources (financial, technical, human)
- Timescale
- Stakeholders involved (primary; secondary)
- Beneficiaries
- Likely outputs

v) Please identify any additional potential solutions that can assist with addressing the area of concern.

vi) Please identify type of information (scientific, economic and/or social) **most** needed to assist with addressing the area of concern.

vii) Please indicate where you think interventions would be most successful in addressing the area of concern, using a scale of 0 to 3, where 0 means not important, 1 means somewhat important, 2 means very important and 3 means absolutely necessary. Please check 9 for “don’t know”:

- | | | |
|--|---|-------------------------------------|
| • More data and information | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • More monitoring and enforcement | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • More laws | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • More inter-ministerial level decision-making | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • More private and NGO involvement | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • Better implementation of decisions | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • Collaborative effort with neighbouring/other countries | 0 <input type="text"/> 1 <input type="text"/> 2 <input type="text"/> 3 <input type="text"/> | 9 <input type="text"/> (Don’t know) |
| • Other (please explain) | | |

7. With respect to area of concern #3 identified in question 2 above,

i) Are any of your neighbouring countries contributing to this area of concern? Yes ; No

If yes, please provide a brief explanation? For instance, if the concern is pollution, it would be useful to know what kind of pollution, e.g. sediments, oils.....If overfishing, useful to know the species.

If yes, please indicate the severity of impact on the environment, the economy and on society on a scale of 0 to 3, where 0 means no impact, 1 means minor impact, 2 means major impact and 3 means severe impact.

Please check 9 for “don’t know”:

- Environmental impacts: 0 1 2 3 9 (Don’t know)
- Economic impacts: 0 1 2 3 9 (Don’t know)
- Social impacts: 0 1 2 3 9 (Don’t know)

ii) Is your country having an impact on any of your neighbouring countries? Yes ; No

If yes, please provide a brief explanation? For instance, if the concern is pollution, it would be useful to know what kind of pollution, e.g. sediments, oils.....If overfishing, useful to know the species.

If yes, please indicate the severity of impact on the environment, the economy and on society on a scale of 0 to 3, where 0 means no impact, 1 means minor impact, 2 means major impact and 3 means severe impact.

Please check 9 for “don’t know”:

- Environmental impacts: 0 1 2 3 9 (Don’t know)
- Economic impacts: 0 1 2 3 9 (Don’t know)
- Social impacts: 0 1 2 3 9 (Don’t know)

iii) Using the template provided at the back of this questionnaire, please identify any actions being taken by your country to address the area of concern?

- Key Ongoing Projects/Activities, including joint projects with neighbouring/other countries
- Resources committed
- Stakeholders involved (primary; secondary)
- Beneficiaries
- Effectiveness of actions

iv) Using the template provided at the back of this questionnaire, please identify any known additional activities planned to be undertaken by your country

- Resources (financial, technical, human)
- Timescale
- Stakeholders involved (primary; secondary)
- Beneficiaries
- Likely outputs

v) Please identify any additional potential solutions that can assist with addressing the area of concern.

vi) Please identify type of information (scientific, economic and/or social) **most** needed to assist with addressing the area of concern.

vii) Please indicate where you think interventions would be most successful in addressing the area of concern, using a scale of 0 to 3, where 0 means not important, 1 means somewhat important, 2 means very important and 3 means absolutely necessary. Please check 9 for “don’t know”:

- More data and information 0 1 2 3 9 (Don’t know)
- More monitoring and enforcement 0 1 2 3 9 (Don’t know)
- More laws 0 1 2 3 9 (Don’t know)

- | | | | | | | |
|--|------------------------|------------------------|------------------------|------------------------|------------------------|--------------|
| • More inter-ministerial level decision-making | <input type="text"/> 0 | <input type="text"/> 1 | <input type="text"/> 2 | <input type="text"/> 3 | <input type="text"/> 9 | (Don't know) |
| • More private and NGO involvement | <input type="text"/> 0 | <input type="text"/> 1 | <input type="text"/> 2 | <input type="text"/> 3 | <input type="text"/> 9 | (Don't know) |
| • Better implementation of decisions | <input type="text"/> 0 | <input type="text"/> 1 | <input type="text"/> 2 | <input type="text"/> 3 | <input type="text"/> 9 | (Don't know) |
| • Collaborative effort with neighbouring/other countries | <input type="text"/> 0 | <input type="text"/> 1 | <input type="text"/> 2 | <input type="text"/> 3 | <input type="text"/> 9 | (Don't know) |
| • Other (please explain) | | | | | | |

8. Please indicate below any relevant documents, including national development plans, sectoral plans and policies, country-specific information, etc. you think the CLME Project Task Team should be aware of when developing the Transboundary Diagnostic Analysis and Project Concept Paper for the member countries of the CLME Project.

Current Activities to Address Area of Concern

Area of Concern	Activity/Project	Resources Committed	Projected Timescale	Key Beneficiaries	Possible Evaluation of Effectiveness of actions

Planned Activities to Address Area of Concern

Area of Concern	Activity/Project and Projected Timescale	Resources Committed	Partners Involved	Key Beneficiaries	Likely Outputs