



## United Nations Development Programme

### Countries:

*GEF-eligible countries:* Antigua and Barbuda, Barbados, Belize, Brazil, Colombia, Costa Rica, Dominica, Dominican Republic, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Panama, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago. *Non-GEF-eligible country:* United States of America

### PROJECT DOCUMENT<sup>1</sup>

**Project Title:** CLME<sup>+</sup>: Catalysing Implementation of the Strategic Action Programme for the Sustainable Management of shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems

**UNDAF Outcome(s):** n/a

#### UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:

Outcome 2; Output 2.5 – Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use and access and benefit sharing of natural resources, biodiversity and ecosystems in line with international conventions and national legislation; Output 2.5.2

#### UNDP Strategic Plan Secondary Outcome:

**Expected CP Outcome(s):** n/a

**Expected CPAP Output (s):** n/a

**Executing Entity/Implementing Partner:** United Nations Office for Project Services (UNOPS)

**Implementing Entity/Responsible Partners:** United Nations Office for Project Services (UNOPS)

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<sup>1</sup> For UNDP supported GEF funded projects as this includes GEF-specific requirements

**Brief Description**

The UNDP/GEF Project “CLME<sup>+</sup>: *Catalysing Implementation of the Strategic Action Programme for the Sustainable Management of shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems*” (GEF ID 5542; 2015-2019) is a 5-year project that specifically aims at facilitating the implementation of the 10-year politically endorsed *Strategic Action Programme for the Sustainable Management of the Shared Living Marine Resources of the Caribbean and North Brazil Shelf Large Marine Ecosystems* (CLME<sup>+</sup> SAP). The project seeks to achieve this by facilitating ecosystem based management/an ecosystem approach to fisheries (EBM/EAF) within the CLME<sup>+</sup> region, in such a way that a sustainable and climate resilient provision of goods and services from the region’s living marine resources can be secured. Given its regional and comprehensive nature, the UNDP/GEF CLME<sup>+</sup> Project is uniquely positioned to address the root causes of environmental degradation, in particular the gaps and weaknesses in transboundary and cross-sectoral governance arrangements. In this same context, the project will assist stakeholders in achieving improved coordination, collaboration and integration among the wide array of ongoing and newly planned projects and initiatives that are of relevance to the wider objectives of the CLME<sup>+</sup> SAP.

Project Period:	5 years
Atlas Award ID:	00085866
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PIMS #	5247
Start date:	March 2015
End Date	February 2020
Management Arrangements	UN agency execution
PAC Meeting Date	_____

Total resources required	US\$ 146.653.695
Total allocated resources:	US\$ 146.653.695
o GEF	US\$ 12.500.000
o UNDP	US\$ 2.619.579
o Governments	US\$ 98.117.248
o Other Agencies	US\$ 30.025.349
o CSO & Academia	US\$ 3.391.519

Agreed by Government of Antigua and Barbuda:

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Date/Month/Year

Agreed by Government of Barbados:

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Date/Month/Year

Agreed by Government of Belize:

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Agreed by Government of Brazil:

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## Acronyms

ACS	Association of Caribbean States
ACP	African, Caribbean and Pacific
AMEP	Assessment and Management of Environment Pollution
APR	Annual Performance Report (UNDP)
BAU	Business-as-Usual
BioPAMA	Biodiversity and Protected Area Management Programme (IUCN)
BMUB	Federal Ministry for the Environment, Nature Conservation, Building & Nuclear Safety (Germany)
BMZ	Federal Ministry for Economic Cooperation and Development (Germany)
BPOA	Barbados Programme of Action for the Sustainable Development of SIDS
CABI	Centre for Agricultural Bioscience International
CAMPAM	Caribbean Marine Protected Area Network and Forum
CANARI	Caribbean Natural Resource Institute
CARICOM	Caribbean Community and Common Market
CAST	Caribbean Alliance for Sustainable Tourism
CATS	Caribbean Aqua-Terrestrial Solutions Programme
CBO	Community-Based Organisation
CBD	Convention on Biological Diversity
CCA	Casual Chain Analysis
CCAD*	Central American Commission for Environment and Development
CCCCC	Caribbean Community Climate Change Center
CCCFP	Caribbean Community Common Fisheries Policy
CCI	Caribbean Challenge Initiative
CEHI	Caribbean Environment Health Institute
CEP	Caribbean Environment Programme (UNEP)
CERMES	Centre for Resource Management and Environmental Studies
CETA	Communications, Education, Training and Awareness (UNEP-CAR/RCU)
CFMC	Caribbean Fisheries Management Council
CI	Conservation International
CITES	Convention on the International Trade of Endangered Species
CLME	Caribbean Large Marine Ecosystem
CLME <sup>+</sup>	Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME Project)
CMA2	Caribbean Marine Atlas Project
CO <sub>2</sub>	Carbon Dioxide
COCATRAM*	Central American Commission on Maritime Transport
CONANP	Commission on Protected Areas (Mexico)
CONFEPESCA*	Confederation of Artisanal Fishers of Central America

CoP	Community of Practice
COP	Conference of Parties
COTED	Council for Trade and Economic Development
CPUE	Catch Per Unit Effort
CREW	Caribbean Regional Fund for Wastewater Management
CRFM	Caribbean Regional Fisheries Mechanism
CSAP	Civil Society Action Programme
CSME	CARICOM Single Market and Economy
CSO	Civil Society Organisation
CTO	Caribbean Tourism Organisation
DoI	Declaration of Intention
DPSIR	Driver Pressure Status Impact Response
DSS	Decision Support system
EA	Executing Agency
EAF	Ecosystem Approach to Fisheries
EBM	Ecosystem-based Management
ECLAC	Economic Commission for Latin America and the Caribbean
ECMMAN	Eastern Caribbean Marine Managed Areas Network Project
EcoQO	Ecosystem Quality Objective (CLME SAP)
ECROP	Eastern Caribbean Regional Ocean Policy
ERBM	Enhanced Results Based Management (UNDP)
EU	European Union
FAO	Food and Agricultural Organisation
FAO- WECAFC	Food and Agricultural Organisation of the United Nations - Western Central Atlantic Fisheries Commission
FFO	Fisher Folk Organisations
FIP	Fisheries Improvement Project
FUNBIO	Fundo Brasileiro para a Biodiversidade (Brazil)
GCFI	Gulf and Caribbean Fisheries Institute
GCRMN	Global Coral Reef Monitoring Network
GDP	Gross Domestic Product
GEB	Global Environmental Benefits
GEF	Global Environment Facility
GEAF	Governance Effectiveness Assessment Framework
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GPA	Global Programme of Action for the Protection of the Marine Environment from Land Based Activities
GoMLME	Gulf of Mexico Large Marine Ecosystem
HQ	Headquarters (UNDP/GEF)

IABS	Instituto Brasileiro de Desenvolvimento e Sustentabilidade (Brazil)
IAS	Invasive Alien Species
ICCAT	International Commission for the Conservation of the Atlantic Tuna
ICM	Integrated Coastal Management
ICMBio	Instituto Chico Mendes de Conservacao da Biodiversidade
ICM	Integrated Coastal Management
ICRI	International Coral Reef Initiative
IDB	Inter-American Development Bank
IGM	Inter- Governmental Meeting
IGO	Inter-Governmental Organisation
ILO	International Labour Organisation
IMO	International Maritime Organisation
INVEMAR	Instituto de Investigaciones Marinas (Colombia)
IOC	Intergovernmental Oceanographic Commission of UNESCO
IOCARIBE	IOC UNESCO Sub-commission for the Caribbean Sea and Adjacent Regions
IUU	Illegal, Unreported and Unregulated fishing
IW	International Waters
IWC	International Waters Conference
IWEco	Integrating Water, Land and Ecosystem Management in Caribbean Small Island Developing States (GEF)
IW-LEARN	International Waters Learning Exchange and Resource Network
JPOA	Johannesburg Plan of Action
KfW	Kreditanstalt Für Wiederaufbau (German Development Bank)
LAC	Latin America and the Caribbean
LBS	Protocol concerning Pollution from Land-Based Sources and Activities (Cartagena Convention)
LME	Large Marine Ecosystem
LME COP	Strengthening Global Governance of Large Marine Ecosystems and their Coasts through enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools
LMR	Living Marine Resources (CLME Project)
M&E	Monitoring and Evaluation
MAR R2R*	Integrated Transboundary Ridges-to-Reef Management of the Mesoamerican Reef
MARPOL	International Convention for the Prevention of Pollution from Ships
MCS	Monitoring, Control and Surveillance
MDGs	Millennium Development Goals
MOU	Memorandum of Understanding
MPA	Marine Protected Area
MSFD	Marine Strategy Framework Directive (EU)
MSI	Mauritius Strategy for the further Implementation of the BPOA

MSY	Maximum Sustainable Yield
MTE	Mid-Term Evaluation (CLME Project)
NAP	National Action Plan
NBSAP	National Biodiversity Strategies and Action Plans
NBSLME	North Brazil Shelf Large Marine Ecosystem
NGO	Non-Governmental Organisation
NOAA	National Oceanic and Atmospheric Administration
NPOA	National Plans of Action
OECS	Organisation of Eastern Caribbean States
OHI	Ocean Health Index
OLDEPESCA*	Latin American Organization for Fisheries Development
OSP	Oil Spills Protocol (Cartagena Convention)
OSPESCA*	Organization of the Central American Fisheries and Aquaculture Sector
PAG	(CLME+ Strategic Action) Programme Advisory Group
PCU	Project Coordinating Unit
PEG	Project Executive Group (CLME Project)
PIR	Project Implementation Review (UNDP)
PPG	Project Preparation Grant
PPI	Project, Programme, Initiatives (CLME Project)
PPR	Principal Project Representative
PPRR	Principal Project Resident Representative
ProDoc	Project Document
PSAP	Private Sector Action Programme (CLME Project)
PSC	Project Steering Committee (CLME Project)
RAC	Regional Activity Centers
REBYC-II LAC	FAO implemented Sustainable Management of By-catch in Latin America and the Caribbean Trawl Fisheries
REEF	Reef Environmental Education Foundation
REMP	Regional Environmental/Ecosystem Monitoring Programme (CLME Project)
RFB	Regional Fisheries Body
RFMO	Regional Fisheries Management Organisation
RGB	Regional Governance Body
RGF	Regional Governance Framework (CLME Project)
RTA	Regional Technical Advisory
SAP	Strategic Action Programme (CLME Project)
SBAA	Standard Basic Assistance Agreement (between UNDP and programme country)
SBO	Societal Benefits Objective (CLME SAP)
SCM	Steering Committee Meetings (CLME Project)
SD	Strategic Direction (CLME SAP)

SGI	Small Grant Initiatives (CLME Project)
SGP	Small Grants Programme (GEF)
SICA*	Central American Integration System
SIDS	Small Island Developing States
sLMR	shared Living Marine Resources (CLME Project)
SMEs	Small and Medium Sized Enterprises
SPAW	Specially Protected Areas and Wildlife Protocol (Cartagena Convention)
STAC	Scientific Technical Advisory Committee
STAP	Scientific and Technical Advisory Panel
TDA	Transboundary Diagnostic Analysis (CLME Project)
TE	Terminal Evaluation (UNDP/GEF projects; CLME Project)
TNC	The Nature Conservancy
TORs	Terms of Reference
TWAP	Transboundary Waters Assessment Programme
UN	United Nations
UNCED	United Nations Conference on Environment and Development
UNCLOS	United Nations Convention on the Law of the Sea
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNOPS	United Nations Office for Project Services
USA	United States of America
USD	United States Dollars
UWI	University of the West Indies
WCR	Wider Caribbean Region
WEC-GPSO	Water & Energy Cluster of the Global Partner Services Office
WFD	Water Framework Directive (EU)
WRI	World Resource Institute
WSSD	World Summit on Sustainable Development
WWF	World Wildlife Fund

\* Spanish acronym

## Background and Brief Project Description

The region of the Caribbean and North Brazil Shelf Large Marine Ecosystems (the “CLME<sup>+</sup> region”) constitutes one of the geopolitically most diverse and complex sets of Large Marine Ecosystems (LMEs) in the world. Twenty-six independent States and eighteen dependent/associated territories are located within, or border the CLME<sup>+</sup>. Over the past decades, shared living marine resources in the CLME<sup>+</sup> region have become increasingly impacted by habitat degradation, unsustainable fisheries practices and pollution. This situation is now seriously jeopardizing the region’s opportunities for sustainable *blue growth*.

But there is hope. Baseline analyses point to the existence of a multitude of –*unfortunately often fragmented and insufficiently coordinated*– programmes, projects and initiatives at sub-regional, national and local levels, which aim at reducing environmental stressors, and at achieving enhanced status of ecosystems and fish stocks. However, causal chain analyses conducted under the UNDP/GEF foundational capacity building project “CLME” (GEF ID 1032; 2009-2014) identified **weaknesses in transboundary and cross-sectoral governance arrangements as the over-arching root cause for the 3 key transboundary problems** cited above. If better articulated and coordinated among each other, and more strongly tied to a solid and enhanced regional governance framework, a substantial increase of the positive impacts of the many ongoing and newly planned efforts in the region could be achieved.

During the CLME Project, a “10-year CLME<sup>+</sup> Strategic Action Programme for the Sustainable Management of the shared Living Marine Resources of the Caribbean and North Brazil Shelf Large Marine Ecosystems” (the “CLME<sup>+</sup> SAP”) was developed and politically endorsed by over 20 CLME<sup>+</sup> States. The present UNDP/GEF CLME<sup>+</sup> Project (GEF ID 5542; 2015-2019) is a 5-year project that specifically aims at supporting the implementation of this 10-year CLME<sup>+</sup> SAP. However, as an ambitious and broad “umbrella” SAP, it is acknowledged that SAP implementation cannot be achieved through a single project or initiative. Rather, better articulation, coordination and collaboration among the wide array of ongoing and newly planned projects and initiatives will be required. The CLME<sup>+</sup> project is uniquely positioned in this context to catalyse the implementation of the SAP, and to help achieving the required coordination and integration of efforts.

Given the abundance of projects and initiatives in the region that can deal with stress reduction at the local or national scale, the CLME<sup>+</sup> project has clearly identified its niche among all regional projects and initiatives, and therefore puts a major focus on the enhancement of governance architecture and processes. This is strongly reflected in the project’s results framework, and the associated indicators and targets. Whereas substantial actions on stress reduction could be expected from a typical SAP implementation project, in the specific context of the CLME<sup>+</sup>, and giving due consideration to its scale, uniqueness and complexity, a too strong focus on specific stress reduction measures at the local or sub-regional level would quickly exhaust the available funds under this project (and hence result in unsustainable outcomes), whereas such local or sub-regional actions could very well be addressed by many of the other existing, or newly planned projects and initiatives. None of these other projects and initiatives however would be equally well positioned to address the gaps in the overarching governance arrangements in the CLME<sup>+</sup>. Whereas modest stress reduction actions are thus foreseen to take place under the CLME<sup>+</sup> Project (Component 3), major attention will be given to addressing the root causes of environmental degradation, by strengthening collaborative arrangements and enhancing institutional and human capacity (Component 1, 2 and 3). This will be done while simultaneously evaluating the feasibility and needs, and identifying the resources required, to catalyse an unprecedented upscaling of stress reduction and restoration actions over the next decade. A sound and integrated planning and monitoring and evaluation framework to track progress and measure distance-to-targets will be collaboratively developed, through an enhanced, broad “Partnership for the implementation of the CLME<sup>+</sup> SAP”.

*Section 1 of this Project Document provides a rather detailed description of the baseline. Readers familiar with the CLME Project, the CLME<sup>+</sup> SAP and the baseline situation in the region with regard to living marine resources governance, may wish to immediately focus their attention on this document’s Sections 2 to 5.*



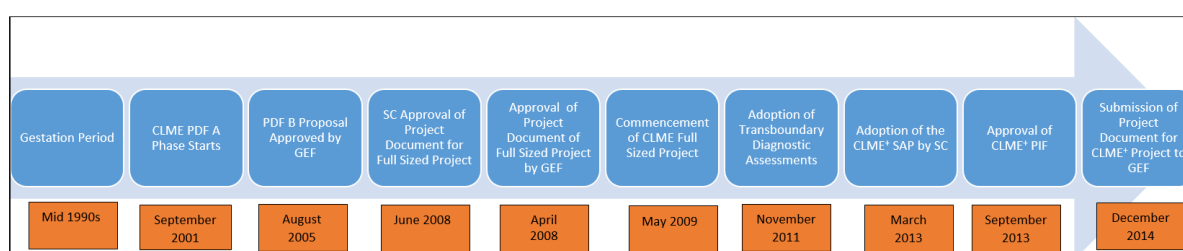
# 1 Situation Analysis

## 1.1 Introduction: GEF support for the CLME+ Strategic Action Programme (CLME+ SAP)

Large Marine Ecosystems (LMEs) are regions of the world's oceans, encompassing coastal areas from river basins and estuaries to the seaward boundaries of continental shelves and the outer margins of the major ocean current systems, and/or occupying semi-enclosed seas. LMEs typically cover relatively large areas, characterized by distinct bathymetry, hydrography, productivity, and trophically dependent populations of marine species (NOAA, 2014). Globally, 66 different LMEs have been delineated. The LME concept was developed by the US National Oceanic and Atmospheric Administration (NOAA) as a meaningful geospatial unit for the implementation of an ecosystem-based management (EBM) approach. Due to the transboundary nature of many LMEs, their adoption as a management unit generally requires inter-national coordination and collaboration.

Since 1995, the Global Environment Facility (GEF), through its International Waters (IW) Focal Area, has been fostering the use of the LME approach. GEF LME supported projects bring together coastal States with concerned international agencies and regional organisations and other key stakeholders to address issues pertaining to the marine environment. Under these projects, science-based information on major transboundary environmental concerns are analysed, and root causes of environmental degradation are identified. Based on the results of these analyses (known as *Transboundary Diagnostic Analyses* or “TDAs”), countries jointly determine and agree upon priority actions to deal with these transboundary concerns, through the development and political endorsement of a *Strategic Action Programme* (SAP).

Between 2001 and 2014, co-financing has been provided by the GEF to the countries that share the *Caribbean and North Brazil Shelf Large Marine Ecosystems* (CLME and NBSLME, resp.), to support the preparations for, and implementation of a “foundational capacity building phase” for enhanced, joint LME-based living marine resources management. During this phase, the Full Sized UNDP/GEF Project “Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem and Adjacent Regions” (“CLME Project”, GEF ID 1032) was implemented between 2009 and 2014.



**Figure 1. Timeline and important milestones towards the operationalization of the 5-year CLME+ Project**

Under the CLME Project, a series of TDAs were produced for the 3 ecosystem subtypes known to support the most important fisheries and biodiversity in the CLME region: (a) the reef ecosystem (incl. associated habitats); (b) the pelagic ecosystem; and (c) the continental shelf ecosystem. The three priority environmental problems, highlighted through these TDAs and common to the three ecosystem subtypes, were: (i) unsustainable exploitation of fish and other living resources; (ii) habitat degradation and ecosystem community modification; and (iii) pollution. Causal Chain Analyses (CCA’s) conducted under these TDAs further identified direct and root causes of these problems.

TDA and CCA results were combined with the outcomes of a series of case studies (incl. the analysis of existing governance arrangements) and interventions and used to steer the development of the “*Strategic Action Programme for the Sustainable Management of the Shared Living Marine Resources of the Caribbean and North Brazil Shelf Large Marine Ecosystems*” (the CLME<sup>+</sup> SAP, one of the main outputs from the CLME Project). The SAP is a 10-year programme consisting of 77 priority actions structured under 6 Strategies and 4 Sub-strategies. The SAP describes a long-term vision on the relationship between human society and the marine environment in the CLME, and provides a comprehensive roadmap towards sustainable living marine resources management, through strengthened and consolidated regional cooperation. The SAP puts particular emphasis on addressing the root causes of environmental degradation. It combines actions for improving governance arrangements with actions to enhance marine resources management capacity at the regional, national and local levels, and contemplates the implementation of high-priority management interventions and investments on the ground. To date, 31 Ministers in 22 different countries have formally endorsed the CLME<sup>+</sup> SAP.

At the Fourth Steering Committee Meeting of the CLME Project (Cartagena - Colombia, March 2013), participating countries expressed their interest in moving forward towards implementing the CLME<sup>+</sup> SAP and, in that regard, requested that high priority be given to the development of a proposal for a new project, to be implemented with renewed co-financing support from the GEF. Consequently, a Project Identification Form (PIF) was submitted by UNDP to the GEF Secretariat in September 2013. The PIF was included in the Work Programme that was approved by the GEF Council in November 2013. This way, a commitment was obtained from the GEF to support the development of the Project Document for a Full Sized UNDP/GEF Project that will allow the region to initiate and catalyse the implementation of the 10-year CLME<sup>+</sup> SAP.

The present *Project Document* (“*the CLME<sup>+</sup> ProDoc*”) constitutes the main reference document for the implementation of the 5-year Full Sized UNDP/GEF Project: “*Catalysing Implementation of the Strategic Action Programme for the Sustainable Management of shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems*” (“CLME<sup>+</sup>”<sup>2</sup>).

CLME<sup>+</sup> (GEF ID 5542) Project implementation will be supported by the GEF through a financial contribution of US\$ 12.5 million. The CLME<sup>+</sup> Project will seek to foster collaboration with and among other projects and initiatives (both GEF and non-GEF) that are of relevance to the SAP. On 3 December 2014, co-financing commitments for the implementation of the CLME<sup>+</sup> Project, made by countries, UN Agencies and international, regional and sub-regional partners amounted to approx. 123 million USD.

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<sup>2</sup> Please note the double meaning of the “+” sign added in superscript to the project acronym: on one hand, it refers to the fact that the project covers both the Caribbean Large Marine Ecosystem (CLME) and North Brazil Shelf Large Marine Ecosystem (NBSLME); on the other hand the “+” also refers to the catalytic effect the new project will have on the regional efforts for sustainable living marine resources management. The new “CLME<sup>+</sup>” Project builds upon the achievements of the GEF foundational capacity building project, which acronym was “CLME”.

## 1.2 The Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME<sup>+</sup>)

The semi-enclosed Caribbean Large Marine Ecosystem<sup>3</sup> (CLME; 3.3 million km<sup>2</sup>) is a distinct ecological region, bounded to the North by the Bahamas and the Florida Keys, to the East by the Windward Islands, to the South by the South American continent, and to the West by the Central American isthmus. The CLME largely corresponds to the boundaries of the Caribbean Sea, the second largest sea in the world. It is an ecosystem with overall moderate productivity rates that show considerable variability over space and time. The Caribbean Sea supports a broad array of commercial and subsistence fisheries, and constitutes a sub-area of a distinct and globally important bio-geographical region of coral reef development with high levels of endemism.

The North-Brazil Shelf Large Marine Ecosystem<sup>4</sup> (NBSLME; 1.1 million km<sup>2</sup>) extends along North-Eastern South America from the boundary with the Caribbean Sea in the NW to its southern limit near the Parnaíba River estuary in Brazil. High volumes of water and nutrients from terrestrial river basins in South America – including the Amazon and Orinoco basins- are transported by the North Brazil Current through this LME, into the Caribbean Sea. The highly productive North Brazil Shelf supports important fisheries, and has moderate levels of biodiversity characterized by an important degree of endemism.

Jointly, the *Caribbean and North Brazil Shelf Large Marine Ecosystems* (4.4 million km<sup>2</sup>) are further referred to in this document as CLME<sup>+</sup> (Figure 2).



**Figure 2. The CLME<sup>+</sup> region as defined under the UNDP/GEF “CLME<sup>+</sup>” Project<sup>5</sup> (please note that the CLME<sup>+</sup> region does not include the Gulf of Mexico LME)**

<sup>3</sup> The Encyclopedia of Earth (<http://www.eoearth.org/view/article/51cbcd2d7896bb431f690478/>)

<sup>4</sup> Idem (<http://www.eoearth.org/view/article/154877/>)

<sup>5</sup> Please note that the CLME<sup>+</sup> Region does not include the “Gulf of Mexico LME” (“GoMLME”). The GoMLME is the subject of a different GEF project. Notwithstanding this, provisions for the coordination of actions between projects on the GoMLME and the CLME<sup>+</sup> are being made.

### 1.2.1 Global significance of the CLME<sup>+</sup>

Being home to more than 100 million people, the CLME<sup>+</sup> constitutes a region of globally unique cultural and historical value, a consequence of its precolonial and colonial history, and of the indigenous, African, Asian and European roots of its current population. At the same time, the region supports a multitude of globally important economic activities and ecological processes.

The vast expanse of marine environment in the CLME<sup>+</sup> is of great importance for the global tourism, shipping, fishing and oil and gas industries. The Caribbean is the world's premier cruise tourism destination, commanding over 60% of the world cruise market. The Panama Canal, a critical hub for maritime traffic, handles about 5% of total world trade. It is expected to double its present transit volume, once the expansion of the Canal has been completed. In addition to this, plans exist for a second inter-oceanic canal in Nicaragua. The CLME<sup>+</sup> holds significant potential as a major producer of hydrocarbons, with Venezuela -ranking as the world's sixth largest net oil exporter in 2006- being one of the largest oil producers in the western hemisphere. With the advancement of technology, sea-bed exploration has grown exponentially in this region over the last few years, and the number of countries now producing oil and gas for export has increased. Further, the region provides global markets with important products derived from its fisheries (incl. shrimp, red snapper and emblematic species such as Caribbean spiny lobster and queen conch).

These economic activities take place in a region that occupies a globally relevant position in terms of its share in the total coverage of key tropical marine habitat/ecosystem types known to deliver substantial contributions to globally important ecological processes. Possibly almost 10% of the world's coral reefs, and around 20% of the world's remaining mangrove forests may be located within the CLME<sup>+</sup> region. In a similar way, it is estimated that at least 25 to 50% of the world's seagrass beds would be located within the CLME<sup>+</sup><sup>6</sup>. Within the North Brazil Shelf, the deltaic plains of the Orinoco and the Gulf of Paria in the north Atlantic coast of South America cover 27,630 km<sup>2</sup> and constitute one of the major wetlands in South America as well as one of the best preserved ecosystems in the world (Miloslavich, P. et al., 2011). Globally, such mangrove forests, seagrass beds and salt marshes contribute almost 50% of the total organic carbon burial in ocean sediments, known as 'blue carbon'. As such, they help in constraining the rise in atmospheric carbon dioxide, and provide nursery grounds for regionally and globally important fish stocks (Holmyard, N., 2014).

As a consequence of the prevalence of such important ecosystems in a unique, tropical biogeographic region, the CLME<sup>+</sup> is characterized by globally significant levels of marine biodiversity, with exceptionally high levels of endemism. In the area of the Caribbean Sea, a total of 12,046 marine species (approx. 1.400 species of fish) were identified by the Census of Marine Life<sup>7</sup>, with well over 90% of the fish, coral and crustacean species being endemic to the area (WRI, 2001). In addition to this species diversity, several emblematic animal species are known to permanently inhabit, or occasionally/seasonally visit or pass through the region: the CLME<sup>+</sup> includes nesting and foraging grounds, as well as important migration corridors, for six of seven extant marine turtle species, including the single-most important nesting site in the Western Hemisphere of the endangered green

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<sup>6</sup> A series of global, regional and national-level data sets exist on coral, mangrove and seagrass bed cover (e.g. World Atlas of Coral Reefs, World Atlas of Mangroves, World Atlas of Seagrass beds, IMaRS GIS data from the Millennium Coral Reef Mapping Project, UNEP WCMC and NOAA data sets, etc.); absolute numbers differ substantially across these data sets; it is expected that more accurate numbers may become available during the coming years, as the quality of the available data sets further improves

<sup>7</sup> <http://www.plosone.org/article/info%3Adoi%2F10.1371%2Fjournal.pone.0011916>

turtle (*Chelonia mydas mydas*), and 3 of the world's 4 largest nesting aggregations<sup>8</sup> for the emblematic and globally vulnerable leatherback turtle (*Dermochelys coriacea*). At least 34 marine mammal species<sup>9</sup> –i.e. more than 1/4 of the total global species count- are known to permanently inhabit and/or periodically pass through the waters of the Caribbean Sea (UNEP-CEP/RCU 2001). With annual aggregations of the world's biggest fish, the whale shark (*Rhincodon typus*), reported from ±10 tropical locations around the world, the Caribbean sea currently holds the world record of the largest reported single aggregation event -420 whale sharks- to date<sup>10</sup>.

### 1.2.2 Regional geopolitical context

The CLME<sup>+</sup> region constitutes one of the geopolitically most diverse and complex sets of LMEs in the world. Currently, there are twenty-six independent States and eighteen dependent/associated territories<sup>11</sup>, located within or bordering the CLME<sup>+</sup>.

Countries sharing the CLME<sup>+</sup> range from among the largest (e.g. Brazil) to the smallest (e.g. St. Kitts and Nevis), and from among the most developed (e.g. United States of America) to the least developed (e.g. Haiti) (CLME Project, 2013) in the world. A distinct feature of this region is the high number of Small Island Developing States (SIDS) - the highest concentration within any existing (set of) LME(s).

**Table 1. CLME<sup>+</sup> States, Territories, Associated States, Departments, Outermost Regions and Islands with a Special Status**

Independent Continental States	Independent Island States	Overseas dependent territories, associated states, outermost regions, departments and island with a special status <sup>12</sup>
Belize <sup>13</sup> Brazil Colombia Costa Rica Guatemala Guyana <sup>13</sup> Honduras Panama Mexico Nicaragua Suriname <sup>13</sup> Venezuela United States of America	Antigua & Barbuda <sup>13</sup> Bahamas, the <sup>13</sup> Barbados <sup>13</sup> Cuba <sup>13</sup> Dominica <sup>13</sup> Dominican Republic <sup>13</sup> Grenada <sup>13</sup> Haiti <sup>13</sup> Jamaica <sup>13</sup> St. Kitts & Nevis <sup>13</sup> Saint Lucia <sup>13</sup> St. Vincent & the Grenadines <sup>13</sup> Trinidad & Tobago <sup>13</sup>	Anguilla <sup>13</sup> ( <i>United Kingdom</i> ) Aruba <sup>13</sup> , Curaçao, St. Maarten <sup>14</sup> British Virgin Islands <sup>13</sup> ( <i>United Kingdom</i> ) Cayman Islands ( <i>United Kingdom</i> ) French Guiana <sup>15</sup> ( <i>France</i> ) Guadeloupe <sup>15</sup> ( <i>France</i> ) Montserrat <sup>13</sup> ( <i>United Kingdom</i> ) Martinique <sup>15</sup> ( <i>France</i> ) Puerto Rico <sup>13</sup> ( <i>United States of America</i> ) Bonaire, St. Eustatius, Saba <sup>16</sup> St. Barthélemy ( <i>France</i> ) St. Martin <sup>15</sup> ( <i>France</i> ) Turks and Caicos ( <i>United Kingdom</i> ) U.S. Virgin Islands <sup>13</sup> ( <i>United States of America</i> )

<sup>8</sup><http://api.ning.com/files/UFV1jUe-HMdv3sEqeHbxlv2HFVJbXKSzSzeUEgcstMLCsAvWkSEu0A7mW7rWJCTZpwl6lwi0NaY-1ok9FN8RM-HJWX7xhr8H/PatinoMartinez2008.pdf>

<sup>9</sup> 31 cetacean, 2 pinnipeds, and 1 sirenian; of the pinnipeds, the West Indian monk seal is considered extinct

<sup>10</sup> <http://www.plosone.org/article/info%3Adoi%2F10.1371%2Fjournal.pone.0018994>

<sup>11</sup> This includes overseas dependent territories, outermost regions, associated states, departments and islands with a special status

<sup>12</sup> As of 10 October 2010, Holland, Aruba, Curaçao and St. Maarten are partners in the Kingdom of the Netherlands. The islands of Bonaire, Saba, and St. Eustatius have become "special municipalities" of Holland

<sup>13</sup> Low-lying coastal and/or Small Island Developing States (SIDS) as listed by the United Nations Department of Economic and Social Affairs; see <http://sustainabledevelopment.un.org/index.php?menu=1522>

<sup>14</sup> Kingdom of the Netherlands

<sup>15</sup> Outermost Regions (normally considered part of the European Union and subject to European law)

<sup>16</sup> Special Municipalities of Holland

The region's geopolitical reality is strongly influenced by its high diversity in terms of historical backgrounds, cultures, languages, country and population size, political systems and governance arrangements, as is reflected in the existing regional political and economic integration mechanisms: e.g. the Central American Integration System (SICA), the Caribbean Community (CARICOM), the Organisation of Eastern Caribbean States (OECS), and the Association of Caribbean States (ACS).

### **The Caribbean Community (CARICOM)**

The Caribbean Community (CARICOM) was established in 1973, expanding a previously established free-trade agreement with provisions for, e.g., the coordination of agricultural, industrial and foreign policies. The signing of a revised treaty in 2001 established the CARICOM Single Market and Economy (CSME). The objectives of CARICOM include, among others, to improve standards of living and work, to accelerate coordinated and sustained economic development, the expansion of trade and economic relations with third States; and to improve the effectiveness of Member States' foreign policies and enhanced functional co-operation. CLME<sup>+</sup> countries and territories that are CARICOM Member States and Associated Member States and Territories are shown in Table 2.

### **The Organisation of Eastern Caribbean States (OECS)**

The OECS came into being in 1981, when seven Eastern Caribbean countries signed a treaty agreeing to cooperate and promote unity and solidarity among the Members. A revised treaty was signed in 2010, establishing the OECS economic union, i.e. a single financial and economic space within which goods, people and capital move freely, monetary and fiscal policies are harmonised and where Members continue to adopt a common approach to matters relating to trade, health, education and environment. OECS Member States and Associate Member States are: Antigua & Barbuda; Dominica; Grenada; Montserrat; St. Kitts & Nevis; Saint Lucia; St. Vincent & the Grenadines (full Members); and Anguilla, the British Virgin Islands and, as of 4 February 2015, Martinique (Associate Members).

### **The Central American Integration System (SICA)**

Since 1993, the Central American Integration System (Spanish: *Sistema de la Integración Centroamericana*, or SICA) constitutes the economic and political organization of Central American states. It extends earlier cooperation arrangements for regional peace, political freedom, democracy and economic development. Member States are: Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica, Panama, Belize, and, since 2013, Dominican Republic (Table 2). Mexico, Chile and Brazil became regional observers, and the Republic of China, Spain, Germany and Japan became extra-regional observers.

### **The Association of Caribbean States (ACS)**

The ACS was established in 1994 to promote and encourage consultation, cooperation and concerted action among its more than 20 contracting States, countries and territories. Its objectives include the strengthening of the regional co-operation and integration process, with a view to creating an enhanced economic space in the region; preserving the environmental integrity of the Caribbean Sea, as a common patrimony of the peoples of the region; and promoting the sustainable development of the Greater Caribbean. As a forum for political dialogue, the ACS Membership has identified 5 areas of concern for the Association: (i) the preservation and conservation of the Caribbean Sea; (ii) Sustainable Tourism; (iii) Trade and Economic External Relations; (iv) Natural Disasters; and (v) Transport.

Table 2. CLME+ States and Territories and CARICOM, SICA, OECS and ACS memberships (status on 5 February 2015)

CLME+ COUNTRIES	GEF eligible	CARICO M	SICA	OECS	ACS	CLME+ COUNTRIES	GEF eligible	CARICO M	SICA	OECS	ACS
<b>A-G</b>						<b>H-Z</b>					
Anguilla		AM		AM		Haiti	Y	F			F
Antigua & Barbuda	Y	F		F	F	Honduras	Y		F		F
Aruba					AM	Jamaica	Y	F			F
Bahamas	Y	F			F	Martinique				AM	AM
Barbados	Y	F			F	Mexico	Y		O		F
Belize	Y	F	F		F	Montserrat		F		F	
Bonaire					AM	Nicaragua	Y		F		F
Brazil	Y		O			Panama	Y		F		F
BVI		AM		AM		Puerto Rico					
Cayman Islands		AM				Saba					AM
Colombia	Y				F	St. Barthelemy					AM
Costa Rica	Y		F		F	St. Eustatius					AM
Cuba	Y				F	St. Kitts & Nevis	Y	F		F	F
Curacao					AM	Saint Lucia	Y	F		F	F
Dominica	Y	F		F	F	St. Maarten					AM
Dominican Republic	Y		F		F	St. Martin					AM
French Guiana					AM	St. Vincent & Grenadines	Y	F		F	F
Grenada	Y	F		F	F	Suriname	Y	F			F
Guadeloupe					AM	Trinidad & Tobago	Y	F			F
Guatemala	Y		F		F	Turks & Caicos		AM			
Guyana	Y	F			F	Venezuela	Y				F
F = full member / AM = associated member / O = observer						USA					
						USVI					

### 1.2.3 Marine environment and human society in the CLME<sup>+</sup>

Coastal and marine ecosystems in the CLME<sup>+</sup> provide critical support for biodiversity and for food security, livelihoods and socio-economic development (and thus contribute to peace and stability) of the peoples of the CLME<sup>+</sup> region and far beyond.

The CLME<sup>+</sup> region is the most urbanized region in the developing world, with close to 80% of its population living in cities (UN Habitat, 2012). With about 116 million people living within 100 km of the coast, and nearly three-quarters of the population in coastal zones, the CLME<sup>+</sup> region is highly dependent on the goods and services provided by the marine ecosystems.

The wide range of goods and services provided to human society include **provisioning services** such as food (e.g. protein from fisheries), energy, wood, and bio-prospecting; **regulating services** such as shoreline stabilization, flood prevention, storm protection, climate regulation, hydrological services, nutrient and carbon sequestration, pollution control and waste disposal; **cultural and amenity services** such as sense of place, and tourism and recreation opportunities; and **supporting services** such as habitat provision, nutrient cycling, primary productivity and soil formation (UNEP, 2006).

Key economic activities in CLME<sup>+</sup> countries include **tourism, construction** (much of which is tourism-related), **mining** and **oil & gas extraction**, and **fishing**. The petroleum industry is a major economic sector in Venezuela, Mexico, and Trinidad and Tobago, the region's three largest oil exporters. According to the Caribbean Tourism Organisation (CTO)<sup>17</sup>, CTO Member States in the Caribbean welcomed more than 25 million stay-over visitors in 2013, which is up from 24.6 million in 2012 (CTO, 2014). Fuelled by the accommodations sector, visitors to the CTO region spent more than 28 billion dollars in 2013, an increase of 2.3 per cent when compared to 2012 (CTO, 2014).

Fisheries are a highly significant provider of food (protein), livelihoods and income in the CLME<sup>+</sup>. It is estimated that more than 900,000 people are employed directly in the primary sector (capture fishery), with another three million jobs in ancillary activities such as processors, net makers, and boat builders. In 2010 the CLME<sup>+</sup> countries and territories caught an estimated 1.25 million tonnes of fish within the FAO's Western Central Atlantic "Fishing Area 31".<sup>18</sup> The fisheries sector brings approximately USD 1.2 billion annually in export earnings into the Caribbean, with the United States of America being the principal destination of the exports.

Three marine ecosystem types are recognized as supporting the region's most important fisheries and biodiversity, and have been the subject of the analyses under the CLME Project's TDAs. The characteristics of each of these three "*fishery ecosystem types*", as well as their importance for regional<sup>19</sup> livelihoods and socio-economic development, are presented below.

#### 1.2.3.1 Coral Reefs and associated habitats

According to WRI (2011), the Caribbean sea contains about 26,000 km<sup>2</sup> or almost 10% of the world's **coral reefs**. Coral reefs are concentrated primarily within the Caribbean Sea and the Bahamas Bank. They are prolific providers not only of ecosystem goods and services such as food, but also of

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<sup>17</sup> CTO Government Members include: Anguilla, Antigua and Barbuda, Bahamas, Barbados, Belize, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Cuba, Curacao, Dominica, Grenada, Guadeloupe, Guyana, Haiti, Jamaica, Martinique, Montserrat, Puerto Rico, St. Eustatius, St. Kitts and Nevis, St. Maarten, Saint Lucia, St. Vincent and the Grenadines, Trinidad and Tobago, Turks and Caicos, United States Virgin Islands, and Venezuela.

<sup>18</sup> <http://www.fao.org/fishery/area/Area31/en>

<sup>19</sup> Global Environmental Benefits (GEBS) were already briefly highlighted under Section 1.2.

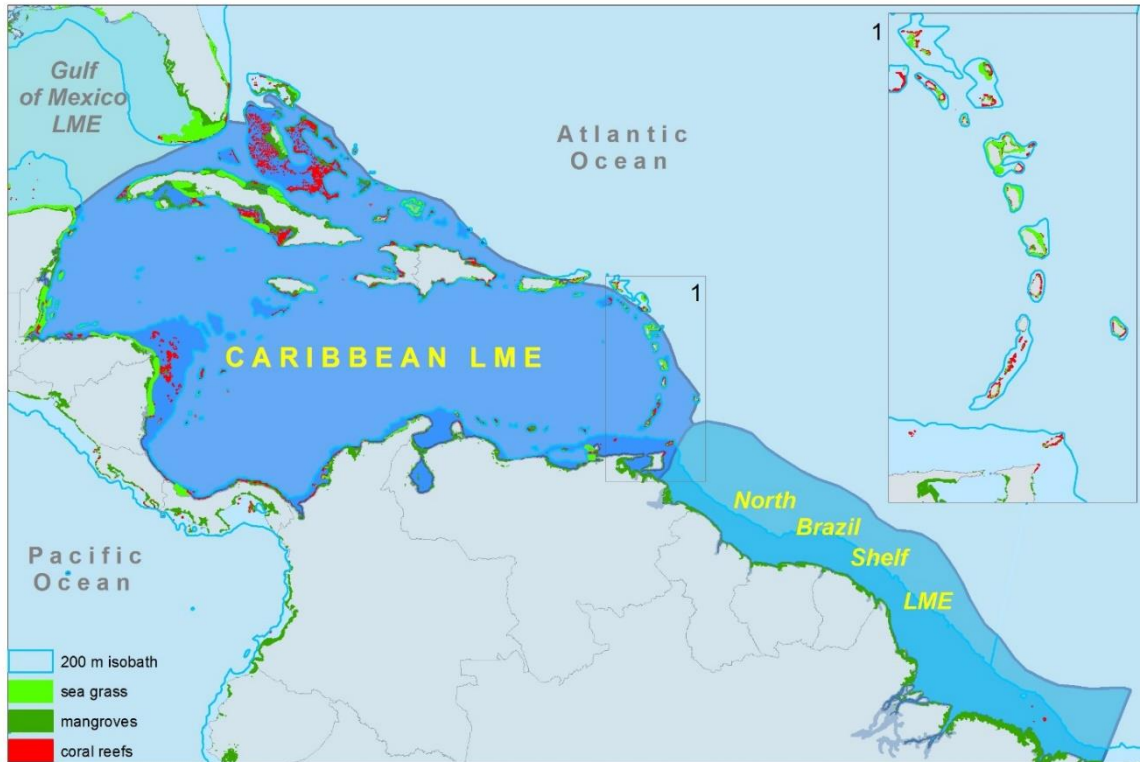


protection from storms, recreational opportunities and medicinal products. In the CLME<sup>+</sup>, coral reef systems constitute an important source of revenue and food for many coastal communities, as they provide habitat for important commercial species such as the Caribbean spiny lobster, and as they attract divers and snorkelers from all over the world. Coral reefs further play a critical role in the provision of the characteristically white sand that forms the region's many highly valued beaches, and as shoreline protection to important coastal infrastructure (Burke L., et al 2011). It is estimated that the region's reefs provide annual net benefits of USD \$391 million from fisheries, USD \$720 million from coastal protection, USD \$663 million from tourism/recreation and USD \$79 million from biodiversity value, delivering total annual benefits of at least USD \$1.85 billion (Schuhmann, P.W., 2011). The World Resources Institute (WRI) estimated in 2011 that more than 42 million people in the CLME<sup>+</sup> region are dependent on coral reefs as a source of food and/or for their livelihoods.

**Mangroves** (Spalding, M. et al., 2010) can be found along sheltered coastlines of almost all the countries and territories of the CLME<sup>+</sup>. With estimates of total mangrove cover in the CLME<sup>+</sup> region ranging from 22.000 to 32.000 km<sup>2</sup>, globally important stands (in terms of their extension, and hence, their share in the total amount of the world's mangroves) are found in (a.o.) Brazil, Mexico, Venezuela, Cuba and Colombia. Three species of mangrove, red, black and white, and one associated species, buttonwood, are common within the CLME<sup>+</sup>. As a provider of habitat, mangrove forests fulfil an essential role in critical stages of the life cycle of numerous economic and ecologically important marine species. In many areas of the CLME<sup>+</sup> region, they are critical to the protection of coastal areas and coastal communities. Increasing recognition is further given to the role of mangrove stands as an important sink for carbon dioxide. An estimate by WRI of the current contributions to the national economy of mangrove stands in Belize - with special attention to coastline protection services from mangrove stands located within 1km of the coast (an approx. 40.000 ha) gave numbers ranging from US\$174–\$249 million per year (Cooper, E. et al., 2009) Studies in Suriname (approx. 1.150 km<sup>2</sup> of mangroves) have shown that 60-80% of all fish sold at coastal fish markets originated from mangrove areas (Finlayson and Moser, 1991).

**Seagrass beds** (approx. 151,000 km<sup>2</sup> in the Caribbean LME alone) provide important ecosystem services, such as the stabilization of sediment, and act as nursery grounds for economically important species. Six species of **seagrass** are known to exist within the CLME<sup>+</sup> with the most common being turtle grass (*Thalassia testudinim*) (CARSEA, 2007). The direct monetary outputs are substantial since highly valued commercial catches (e.g. shrimp and queen conch) are dependent on these systems. Seagrasses provide protective shelter for many animal species and seagrass meadows are a source of food for manatees, turtles, some herbivorous fish, sea urchins and the economically and culturally very important Queen conch (*Strombus gigas*). The roots and rhizomes of seagrasses stabilise sediments and prevent erosion while the leaves filter suspended sediments and nutrients from the water column. Seagrass meadows are linked to other important marine habitats such as coral reefs, mangroves and salt marshes.

Together, coral reefs, mangroves and seagrass beds -which often occur in close proximity to each other- serve to enhance the productivity of the entire CLME<sup>+</sup>, with reefs acting as breakwaters providing a low energy environment to allow mangroves and sea grass beds to flourish. In return, seagrass beds and mangroves act as a barrier to excessive nutrients and sediments entering the reef environment (Harborne, A.R. et al., 2006).



**Figure 3. Approximate distributions of the 3 key ecosystem types in the CLME<sup>+</sup>**<sup>20</sup>

### 1.2.3.2 The Pelagic Ecosystem

A wide array of species – from small coastal pelagic fishes such as the four-wing flyingfish to large coastal and oceanic species including tunas, sharks, billfish, turtles and marine mammals/cetaceans – spend their full life cycle or part thereof in the pelagic ecosystem. Areas of high productivity in the pelagic zone are usually associated with coastal upwelling and ocean fronts.<sup>21</sup>

Provisioning services of the pelagic ecosystem hence include provision of fish for commercial, recreational and subsistence fishing. One of the main regulatory services includes that of climate regulation. Supporting services provided by the pelagic ecosystem include commercial shipping and recreational navigation routes, habitat for fish, eggs and larval stages of a number of marine organisms, transport of eggs and larvae to feeding and recruitment grounds, provision of adult fish migratory pathways, as well as habitat support to emblematic components of global and regional biodiversity such as sea turtles, sea birds and marine mammals (Tietze, U. and Singh-Renton, S., 2012).

In the CLME<sup>+</sup> region this ecosystem has acquired an increasingly important economic value for the fisheries sector, particularly as within the last decade(s), the decline of many reef and inshore fisheries, through overfishing, has resulted in the expansion of the large pelagic fisheries in the region. Apart from Venezuela (and the USA, which has some catches in the western Tropical Atlantic), the major fishing countries for large pelagic resources of the CLME<sup>+</sup> are in the Lesser Antilles, most of which are members of the Caribbean Regional Fisheries Mechanism (CRFM): Barbados, Grenada, Saint Lucia,

<sup>20</sup> All features represented in the map are indicative only. The 200 m isobath is used as a rough indication of the possible extension of the “continental shelf” ecosystem. This map is intended to be informative only and is not suitable for legal or surveying purposes.

<sup>21</sup> CLME Regional TDA

and Trinidad and Tobago. Substantial catches of large pelagic species are also taken by Martinique and Guadeloupe. Over the period 2000 – 2009, CARICOM countries reported to the International Commission for the Conservation of Atlantic Tunas (ICCAT) a total harvest of 135.226 tonnes of tuna, tuna-like and shark species (Tietze, U. and Singh-Renton, S., 2012).

Other important sources of revenue provided by the pelagic ecosystem include sport fishing. In Puerto Rico alone, the economic contribution of recreational bill fishing was estimated at approximately USD 4.75 million annually, with 200 jobs attributed to this activity (Schuhmann, P.W; 2011).

Other pelagic species provide opportunities for tourism activities that are of fast-growing popularity among visitors in the CLME<sup>+</sup>: whale watching activities are known to take place in at least 14 of the CLME<sup>+</sup> territories (Vail, 2005). Estimates for the Caribbean region derived from Hoyt (2001) and Hoyt and Hvenegaard (2002) suggest that nearly 89,000 people went whale, dolphin or porpoise watching in the wider Caribbean in 1999, generating revenues in excess of US\$11 million (Hoyt, E. and Hvenegaard G.T., 2002). More recent values from Alie (2008) suggest that up to 568,000 individuals engaged in Caribbean whale watching in 2006, generating nearly US\$23 million in revenues. Recreational diving with sharks in the Bahamas (reef/pelagic ecosystem) has been estimated to have generated US\$78 million in revenue in 2007 alone (Cline, W; 2008), while Norman and Catlin (2007) report a value of whale shark tourism in Belize of US\$1.32 million.

#### 1.2.3.3 *The Continental Shelf Ecosystem*

Within the CLME<sup>+</sup>, the continental shelf is particularly pronounced in the Guianas-Brazil sub-region (NBSLME), where it supports major shrimp and groundfish fisheries, including species of major commercial value such as red snapper and seabob shrimp. Other countries within the CLME<sup>+</sup> region with important shrimp and groundfish fisheries include: Panama, Nicaragua, Belize and Jamaica. There are also lesser fisheries taking place in the continental shelf ecosystem, such as fisheries for sharks, and for shelf-based schooling pelagic resources such as mackerels and jacks. However, unlike the reef and the pelagic ecosystem, as a distinct ecosystem the continental shelf has not been the focus for many economist working on ecosystem valuations.

Although ecosystem types/habitat types such as coral reefs, mangroves and seagrass beds will generally be located within the continental shelf area, most of the continental shelf ecosystem will generally be comprised of shallow and soft-sloping (0 to generally ±200m depth) sandy or muddy bottoms. Other habitats that are usually found to be associated with the continental shelf include beaches, tidal plains, saline and sweet marches, estuaries, deltas and flood plain forest (FAO, 2013).

The transboundary nature of the continental shelf ecosystem is much more pronounced in the area of the NBSLME than it is in the CLME.

The continental shelf ecosystem is the CLME<sup>+</sup> ecosystem where interactions among stakeholders of the different marine resources-based sectors, such as marine transportation, offshore energy, fisheries and marine-related tourism could potentially increase most, and threaten the sustainability of the goods and services provided by this ecosystem.<sup>22</sup>

*Despite the critical importance to human societies in the CLME<sup>+</sup> of the different marine ecosystems and ecosystem/habitat types described in this section, many of these systems are under serious threat from numerous human pressures, including overfishing, habitat destruction and community modification,*

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<sup>22</sup> CLME Regional TDA

*pollution, and climate change. These threats are further described under Section 1.3.1. (Waite, R., et al; 2014).*

#### 1.2.3.4 Key stakeholders

The marine environment of the CLME<sup>+</sup> is important to a vast number of people, both within and outside of the region, and pertaining to a variety of different stakeholder categories and groups. Some of the major stakeholder categories, and their approximate representativeness in origin and numbers (rough estimates), are given in Table 3.

**Table 3. CLME+ stakeholder types and associated primary and secondary stakeholders**

*(Note: this table does not attempt to provide an exhaustive overview)*

<b>Stakeholder type</b>	<b>Primary Stakeholders</b>	<b>Secondary Stakeholders</b>
Governments and (inter)governmental organizations	<ul style="list-style-type: none"> <li>▪ the 26 national governments of the sovereign CLME<sup>+</sup> States; their regional and local governments</li> <li>▪ the 18 local governments and 4 “home governments” of the dependent territories</li> <li>▪ the different regional (political) integration mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>▪ the different IGOs with a mandate related to the marine environment</li> <li>▪ the governments of the many other countries (ex-region) with a stake in the marine environment of the CLME<sup>+</sup></li> </ul>
Civil Society	<ul style="list-style-type: none"> <li>▪ 120 million people living within 100km from the coast in the CLME<sup>+</sup> region</li> <li>▪ 42 million people dependent on coral reefs for food/livelihoods</li> <li>▪ subsistence fishing and subsistence/livelihood support, “invaluable”</li> <li>▪ native Non-governmental organizations (NGOs)</li> </ul>	<ul style="list-style-type: none"> <li>▪ global seafood consumers</li> <li>▪ global visitors (stay-over tourists, &gt; 25 million/year)</li> <li>▪ global NGOs</li> <li>▪ the more than 7 billion people on earth who in several ways benefit from the CLME<sup>+</sup>'s contribution to global ecological processes</li> </ul>
Private Sector	<ul style="list-style-type: none"> <li>▪ the fishing sector (almost 4 million regional jobs; export earnings of USD 1,2 billion annually)</li> <li>▪ the tourism industry</li> <li>▪ the shipping &amp; logistics sector</li> <li>▪ the energy (oil &amp; gas) sector</li> </ul>	<ul style="list-style-type: none"> <li>▪ global seafood sector (importers)</li> <li>▪ other international markets for products originating from the CLME<sup>+</sup></li> </ul>

#### 1.2.4 Existing political commitments and declarations of intention (DoI)

Several international political commitments and declarations of intentions (DoI) relative to the governance, sustainable use, management and protection of the marine environment and its resources have been subscribed by CLME<sup>+</sup> countries. This is reflected, amongst others, in the ratification by CLME<sup>+</sup> countries of a series of global and regional Treaties and Conventions<sup>23</sup>.

##### 1.2.4.1 Key commitments and Dols of CLME<sup>+</sup> countries under global Treaties and Conventions

- **United Nations Convention on the Law of the Sea (UNCLOS)**

To date, most CLME<sup>+</sup> countries have ratified the 1982 **United Nations Convention on the Law of the Sea (UNCLOS)**. UNCLOS came into force in 1994 and provides a framework agreement for the governance of maritime issues, including those related to the delineation of maritime boundaries. It defines the rights and responsibilities of nations in their use of the world's oceans, and establishes guidelines for businesses, the environment, and the management of marine natural resources, with the aim of lessening the risk of international conflict and enhancing stability and peace. It is a critically important framework in a region such as the CLME<sup>+</sup> where States are in close proximity to each other and where many economically important marine resources (incl. ecosystems/habitats and fish species) are highly transboundary in nature. Under UNCLOS Article 63, States that share fish stocks are also legally obligated to collaborate in its management.

- **FAO Compliance Agreement, UN Fish Stocks Agreement and FAO Code of Conduct**

The **Agreement for the Implementation of the Provisions under UNCLOS relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (1995 UN Fish Stocks Agreement)** entered into force in 2001. By signing on to this agreement, CLME<sup>+</sup> signatories agree to the principle of international cooperation in the management of these fish stocks.

The **Agreement complements the 1993 FAO Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas (1993 FAO Compliance Agreement)**, through which signatory CLME<sup>+</sup> States agree to follow specific measures for fishing on the high seas (FAO, 2014).

Although voluntary the **FAO Code of Conduct for Responsible Fisheries** provides a reference framework for the development of comprehensive and integrated policies for improved fisheries management and food security. The Code sets out the principles and international standards of behaviour for responsible practices with a view to ensuring the effective conservation, management and development of living aquatic resources, with due respect for the ecosystem and biodiversity. The recently adopted **Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication**, a complement to the Code of Fisheries, seeks to enhance the contribution of small-scale fisheries to food security and nutrition and to support the progressive realization of the right to adequate food through empowering small-scale fishing communities to participate in decision-making, enjoy their human rights, and assume responsibilities for sustainable use of fishery resources.

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<sup>23</sup> It is important to note that not all CLME<sup>+</sup> countries have ratified the listed Treaties and Conventions. Table 5 illustrates the status of ratifications in the CLME<sup>+</sup>.

- **Convention on Biological Diversity (CBD)**

Most CLME<sup>+</sup> countries have also ratified the **Convention on Biological Diversity** (CBD; UN Conference on Environment and Development (UNCED), Rio de Janeiro). As a comprehensive, binding agreement, the CBD requires signatories to develop and implement national strategies for the sustainable use and protection of biodiversity. At the 10<sup>th</sup> meeting of the Conference of Parties (COP), held in Nagoya, Aichi Prefecture, Japan, a Strategic Plan for Biodiversity (including the “Aichi Biodiversity Targets”) was adopted for the period 2011-2020. Aichi Biodiversity Target 17 states that **National Biodiversity Strategies and Action Plans (NBSAPs)** are the principal instruments for implementing the Convention at the national level, and requires countries to (i) prepare a national biodiversity strategy (or equivalent instrument), and to (ii) ensure that this strategy is mainstreamed into the planning and activities of all those sectors whose activities can have an impact (positive and negative) on biodiversity.

**Table 4. Aichi Targets of particular relevance for the marine and coastal environment of the CLME<sup>+</sup>**

<b>Aichi Target #</b>	<b>Target description</b>	<b>Target date</b>
17	Countries have developed and adopted NBSAPs	2015
5	Rate of loss of natural habitats are halved	2020
6	Adoption of ecosystem based approaches and that all fisheries are harvested sustainably	
8	Pollution has been brought to levels not detrimental to ecosystem function and biodiversity	
9	Invasive species are managed and brought under control	
11	10 per cent of coastal and marine areas are conserved through effectively and equitably managed, ecologically representative and well-connected systems of marine protected areas (MPAs) and other effective area-based conservation measures	
12	Extinction of threatened species prevented	
14	Ecosystems that provide essential services, contribute to livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable	

- **RAMSAR Convention**

The majority of CLME<sup>+</sup> countries are also a signatory to the Convention on wetlands of international importance (Ramsar Convention). The “*Ramsar Convention*” (1971) is an intergovernmental treaty that provides the framework for national action and international cooperation for the conservation and wise use of wetlands and their resources. Wetlands under the RAMSAR convention include coastal ecosystems such as mangroves, shallow coral reefs and coastal lagoons. The Conference of the Parties (COP) generally meets each 3 years, to approve the triennial work plan.

Other relevant global agreements that encourage the cooperation of States in the sustainable management of their marine resources include Agenda 21, the Johannesburg Plan of Action (JPOA), Rio+20, the Millenium Development Goals (MDGs), Barbados Programme of Action (BPOA), Mauritius

Strategy (MSI) for the further Implementation of the BPOA, and Global Programme of Action for the Protection of the Marine Environment from Land Based Activities (GPA)<sup>24</sup>.

#### 1.2.4.2 Commitments and Dols of CLME<sup>+</sup> countries at the regional level

- **Cartagena Convention**

The **Convention for the Protection and Development of the Marine Environment in the wider Caribbean Region** (the “**Cartagena Convention**”) entered into force in 1983. It is a comprehensive umbrella agreement. At the level of the wider Caribbean, it currently provides the only legal framework for cooperative action for the protection and development of the marine environment. By signing on to the Convention, States agree to adopt measures to prevent, reduce and control pollution. States are also required to take measures to protect and preserve fragile ecosystems and habitats, as well as threatened species.<sup>25</sup> The Convention is supplemented by three Protocols: the Specially Protected Areas and Wildlife (SPAW) Protocol, the Land Based Sources of pollution (LBS) Protocol, and the Oil Spills Protocol. Updated ratification levels of the Convention and its protocols are available from <http://www.cep.unep.org/>. Contracting parties are given in Table 5. Although there are no specific targets articulated under the Convention and its related Protocols, targets are specified during the submission of the Assessment and Management of Environment Pollution (AMEP) and SPAW biennial work plans during the meetings of the contracting parties to the Convention.<sup>26</sup>

The Cartagena Convention is not the only Multilateral Environmental Agreement applicable in the region. Other applicable agreements include the previously described Convention on Biological Diversity, and also MARPOL 73/78, the Basel Convention, and others. However, its more focused geographic scope makes the Cartagena Convention an important complement to other, global agreements.

*The “wider Caribbean Region” (wCR), as defined under the Cartagena Convention, corresponds approximately to the areas covered by the Gulf of Mexico and Caribbean LMEs (GoMLME and CLME, resp.)<sup>27</sup>. As such, it overlaps substantially, but is not identical to the area covered by the CLME<sup>+</sup> Project and SAP, which cover both the Caribbean (CLME) and North Brazil Shelf LME (NBSLME), but exclude the GoMLME.*

#### 1.2.4.3 Global Dol on the Caribbean Sea

Through the United Nations Resolutions A/RES/61/197 and A/RES/67/205 “**Towards the sustainable development of the Caribbean Sea for present and future generations**”, the Caribbean Sea is recognized as an area of unique biodiversity and a highly fragile ecosystem that requires relevant regional and international development partners to work together to develop and implement regional initiatives to promote the sustainable conservation and management of coastal and marine resources.

Through its adoption by the UN General Assembly in 2012, the resolution offers a high-level and up-to-date common basis upon which Caribbean States can take concerted action among themselves,

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<sup>24</sup> In addition to these, at the 69<sup>th</sup> Session of the United Nations General Assembly (UNGA), Member States discussed the report of the Open Working Group on the post-2015 “Sustainable Development Goals” (SDGs). The report includes a proposal for 17 goals and 169 targets, several of which are highly relevant to the sustainable management of shared marine resources.

<sup>25</sup> Available from: <http://www.cep.unep.org/cartagena-convention>

<sup>26</sup> For more information on the outlined targets, please visit <http://www.cep.unep.org/meetings/2014/igm-16-cop-13>

<sup>27</sup> The Convention covers the marine environment of the Gulf of Mexico, the Caribbean Sea and the areas of the Atlantic Ocean adjacent thereto, south of 30° north latitude and within 200 nautical miles of the Atlantic coasts of the States referred to in article 25 of the Convention

and upon which they can enlist global co-operation, in an effort to meet the objectives of better long-term management of the ecosystem.

**Table 5. Country ratification/acceptance/accession of global and regional MEAs**

that are of relevance to transboundary living marine resources in the CLME<sup>+</sup> Region (x = ratification, s=signed, as = accession) (data in the table reflect status on 08/14)

Countries	CBD	UNFCCC	UNCLOS	UN Fish Stocks Agreement	FAO Compliance Agreement	MARPOL 73/78 (Annex I/II)	MARPOL 73/78 (Annex III)	MARPOL 73/78 (Annex IV)	MARPOL 73/78 (Annex V)	MARPOL Protocol 97 (Annex VI)	Cartagena Convention	SPAW Protocol	LBS Protocol	CITES	RAMSAR
Antigua and Barbuda	x	x	x			x	x	x	x	x	x		x	x	x
Aruba															
Bahamas	x	x	x	x		x	x		x	x	x		x	x	x
Barbados	x	x	x	x	x	x	x	x	x	x	x	x		x	x
Belize	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Brazil	x	x	x	x	x	x	x	x	x	x				x	x
Colombia	x	x				x	x	x	x		x	x		x	x
Costa Rica	x	x	x	x							x			x	x
Cuba	x	x	x			x			x		x	x		x	x
Curacao															
Dominica	x	as	x			x	x		x		x			x	
Dominican Republic	x	x	x			x	x	x	x		x	x		x	x
France	x	x	x	x		x	x	x	x	x	x	x	x	x	x
Grenada	x	x	x								x			x	x
Guatemala	x	x	x			x	x	x	x		x			x	x
Guyana	x	x	x			x	x	x	x		x	x	x	x	
Haiti	x	x	x												
Honduras	x	x	x			x			x					x	x
Jamaica	x	x	x			x	x	x	x	x	x			x	x
Mexico	x	x	x		x	x			x		x			x	x
Netherlands	x	x	x	x		x	x	x	x	x	x	x		x	x
Nicaragua	x	x	x			x	x	x	x		x			x	x
Panama	x	x	x	x		x	x	x	x	x	x	x	x	x	x
Saint Kitts and Nevis	x	x	x		x	x	x	x	x	x	x			x	
Saint Lucia	x	x	x	x	x	x	x	x	x		x	x	x	x	x
St. Vincent and the Grenadines	x	x	x	x		x	x	x	x	x	x	x		x	
Suriname	x	x	x			x	x	x	x					x	x
Trinidad and Tobago	x	x	x	x		x	x	x	x		x	x	x	x	x
United Kingdom	x	x	x	x		x	x	x	x	x	x			x	x
United States of America	s	x		x	x	x	x		x	x	x	x	x	x	x
Venezuela	x	x					x	x	x	x		x	x	x	x



## 1.3 Baseline Analysis

### 1.3.1 Threats to the CLME<sup>+</sup>

Despite their importance, in the CLME<sup>+</sup> many coastal and marine ecosystems and their sustained human uses are under threat from numerous pressures, including overfishing, pollution, habitat destruction and community modification, and climate change (Waite, R. et al; 2014).

Direct and indirect human pressures on the marine environment in the CLME<sup>+</sup> have grown exponentially over the past decades. As a consequence, the capacity of the marine ecosystems to provide the goods and services that are so critical to the region's livelihoods, sustained socio-economic development and well-being has become increasingly impacted by this multitude of human activities, exploitation and consumption patterns, and management decisions.

*Transboundary Diagnostic Analyses* (TDAs) conducted under the foundational capacity building *CLME Project* identified three inter-linked, key environmental problems with severe socio-economic impacts across the CLME<sup>+</sup> region and beyond: (i) **unsustainable fisheries**, resulting in over-exploited and collapsing fish stocks; (ii) **habitat degradation** and **community modification**; and (iii) marine **pollution**. It is recognised that in the absence of mitigation and adaptation measures, the impact of these problems will become further exacerbated as a consequence of **climate change** and associated sea-level rise, leading to a potentially profound environmental-economic crisis in the CLME<sup>+</sup> region by mid-century, if not earlier.

#### 1.3.1.1 Unsustainable fisheries

Available data –even when often very limited- on catch and associated effort, together with data on biological indicators, reveal overall high exploitation levels of marine fishery resources. This has led to the stocks of many economically important species becoming fully fished or over-exploited in the region. The problem of the unsustainability of fisheries and fishery practices in the region originates from a multitude of direct causes including the over-harvesting of target stocks and the impacts of fishery activities on fish species, size groups and/or life stages not directly targeted by the fishery itself (e.g. “bycatch”; the use of destructive or “harmful” practices or gear that leads to habitat degradation/ destruction, etc.). This is evidenced by the reduction of total fishery catch by CLME countries within FAO Area 31 (“Western Central Atlantic”) from approximately 1.79 million tonnes in the late 1990s to about 1.25 million tonnes in 2010<sup>28</sup>. Anecdotal information provided by stakeholders suggest declining catch per unit effort (CPUE) trends throughout many fisheries in the region, with fishers commonly reporting the need to fish further offshore and for longer periods of time in order to catch the same amount that they caught in times gone by (CRFM, 2013). The specific nature and direct causes of the problem and the required on-the-ground management solutions may vary depending on the ecosystem type, the species being fished, the type of fishery,<sup>29</sup> and/or the gear being deployed.

It is perceived by regional stakeholders that Illegal, Unreported and Unregulated (IUU) fishing is a particularly important threat to the sector, and is a key contributor to social injustice and to the unsustainability of fisheries in the CLME<sup>+</sup>. The scope and magnitude of the IUU fishing problem in the region is not well known, but encompasses fishing and related activities by both nationals and foreign fishers in waters under national jurisdiction and on the adjacent High Seas. It is accentuated by an

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<sup>28</sup> Statistics from FAO

<sup>29</sup> e.g. small-scale, industrial, recreational

inadequate institutional framework and limited financial and human capacity to monitor and enforce regulations – where these exist. A lack of awareness and/or access to viable legal alternatives of decent work<sup>30</sup> further adds to the complexity and severity of the problem.

IUU fishing has been identified as a major threat to, among others, the economically important spiny lobster, queen conch and shrimp fisheries. This can be illustrated by the practical example of Jamaica, where, reported values indicate that approximately 400 tonnes of lobster are produced in the country annually, whilst conservative figures suggest that twice this amount is fished illegally. In this particular case alone, the resulting estimated loss in annual revenue for the country already amounts to USD\$ 26 million/yr. (CRFM, 2013).

There are increasing reports of IUU fishing being linked and/or associated to other illegal activities such as human trafficking and the trade in contraband narcotics. This further complicates this issue, making it necessary that it is addressed from a multi-sectoral perspective.

#### 1.3.1.2 *Habitat degradation and modification of ecological community*

Degradation and/or destruction of key marine habitats is a severe problem across the region, with the integrity of a number of tropical marine habitats threatened by physical destruction and/or changes to their ecology, resulting in a reduced provision, or even a total loss of ecosystem goods and services.

Coastal habitats within the reef and continental shelf ecosystems of the CLME<sup>+</sup> are particularly subject to the impacts from a suite of anthropogenic factors: coastal development, overfishing and destructive fishing methods, irresponsible tourism, mining, oil and gas exploration, and marine and land-based sources of pollution (e.g. industrial and wastewater discharges, agrochemicals, and storm runoff), and the introduction of invasive species. Deep sea habitats are most likely also affected, but evidence on the levels at which these are being impacted within the CLME<sup>+</sup> is not available at present.

Increases in the sea surface temperature and acidification, a consequence of climate variability and change, hold the potential to cause further damage to many of these habitats.

According to the WRI, 75 percent of the region's **coral reefs** are at risk from overfishing and pollution (Figure 4). Overfishing caused steep reductions in the populations of herbivores, especially large parrotfishes, which are the most effective grazers on Caribbean reefs. It is now well understood that –often in combination with an excessive influx of nutrient from especially land-based sources– overfishing of important grazers such as the parrotfish, along with the unexplained disappearance in the early 1980s of the black sea urchin<sup>31</sup> (*Diadema Antillarum*, a well-known grazer of microalgae on reefs), has had dire consequences for many Caribbean reefs (Jackson et al. (Eds.), 2014).

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<sup>30</sup> According to the International Labour Organisation [ILO](#), Decent Work involves opportunities for work that is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and [equality of opportunity](#) and treatment for all women and men.

<sup>31</sup> Although the cause of the *Diadema* disease and the White-band coral disease in the Caribbean have never been certified, there is evidence that suggest that their occurrence may be associated to unidentified pathogens from other regions, introduced through bulge water of ships entering the Caribbean Sea through the Panama Canal.



Figure 4. Threat levels for coral reefs in the Caribbean Sea (Source: Reefs at Risk Revisited, WRI 2011)

In addition to the threats posed to coral reefs from fishing, pollution and direct physical impacts from recreation, invasive species like the lionfish pose an additional threat to coral reef biodiversity and community structure. Lionfish was accidentally introduced into the Caribbean Sea in the mid-1980s, and can now be found throughout the entire Caribbean Sea and adjacent areas of the Atlantic Ocean. The species has no known native predators in the CLME<sup>+</sup> itself, however it preys on a large variety of fish species, including ecologically and economically important species such as snappers, grouper and grunts. Through their potential to reduce fish biodiversity (and thus recreational attractiveness) on coral reefs (Waite, R; 2011), the lionfish is another threat to the region's USD 2.1 billion dive tourism industry.

Not only coral reefs but also mangrove forest, seagrass beds and coastal wetlands are the subject of ongoing degradation in the CLME<sup>+</sup>. It is estimated that a quarter of the **mangrove forests** in the CLME region have been lost between 1980 and 2005 as a result of coastal development (Waite, R. et al; 2014). Data on the degradation of other key marine habitats has not been obtained to date, although the perception of a general downward trend in the abundance and quality of these systems are widespread among stakeholders in the region.

In terms of the region-wide economic impacts of habitat degradation in the CLME<sup>+</sup>, estimates are currently available for the coral reef ecosystem, for which the annual loss in net revenues from tourism alone for the period between 2000 and 2015, due to the ongoing degradation of the region's reefs, has been estimated to range between USD \$100 - \$300 million/yr (WRI, 2011).

Even with the limited available data, it is clear that the combined problem of habitat degradation and ecosystem community modification severely impacts the tourism potential of the region, affects the sustainability of fisheries, and increases the vulnerability of coasts to extreme events and sea level rise.

Further, as has been illustrated through the practical examples given above, habitat degradation can typically not be seen as an isolated problem. Very often it will be closely associated with the other key problems identified for the CLME<sup>+</sup>, i.e. unsustainable fisheries and pollution (with climate change as a further aggravating factor).

#### *1.3.1.3 Pollution*

Sources of marine pollution in the CLME<sup>+</sup> are linked to a high intensity and diversity of both land-based and marine activities: e.g. tourism, households, industry, agriculture, forestry, mining, shipping and exploration for oil and gas. Impacts range from biological, physical and chemical impacts (as pollution affects water quality, the abundance and quality of fishery products, and the overall health of marine habitats), to visual impacts that can severely affect the amenity value of the region. All these impacts have a negative effect on tourism, fisheries, public health and biodiversity. Climate change can further exacerbate the impacts of pollution, through changes in runoff patterns and decreased ecosystem health -which may in turn result in reduced resilience of ecosystems towards contaminants. Although pollution affects all three key ecosystems, its impacts are typically more evident along the coastal zone.

As a semi-enclosed Sea, and with its multitude of fragile ecosystems, it can be anticipated that the Caribbean Sea environment (3,3 million km<sup>2</sup>) is highly susceptible to the inputs of land-based pollution originating from the activities of the more than 100 million people that permanently live in the approximate 2,2 million km<sup>2</sup> of land that drains into the Caribbean Sea. The intensive shipping and cruising activities, and the tens of millions of annual visitors to the region are considered another important (potential) direct source of pollution.

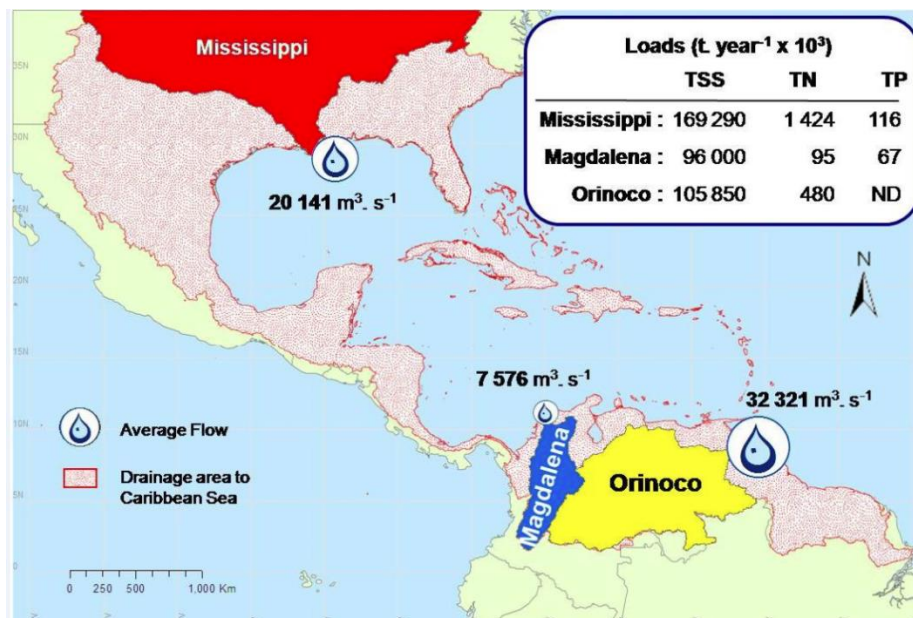
In addition to this, important freshwater and associated sediment and nutrient flows (and potentially pollutant flows) originate from major river basins such as the Amazon and Orinoco (NE South America) and enter into the marine and coastal environment of the NBSLME and –through the North Brazil Current- the CLME. Impacts from these river basins can be felt as far north as Saint Lucia.

Hence, pollution problems can be both local in nature, or affect vast expanses of marine environment and thus be highly transboundary – both from the perspective of its source area as well as from the perspective of the area of impact. Given the nature of certain pollution problems and the challenge they pose for many of the States and territories in the CLME<sup>+</sup> (in particular the SIDS), solutions to these problems will require, or at least benefit from, a well-coordinated region-wide or transboundary approach.

Since the mid 1990's, there has been a noted improvement in sanitation within the region. However, there are still many communities within this region that have limited access to basic sanitation. This lack of infrastructure and ineffectual treatment practices increases the sewage discharge into coastal areas of the CLME<sup>+</sup> causing risks to public health from direct contact with polluted water and the consumption of seafood with different degrees of contamination (UNEP-UCR/CEP, 2010). Increased nutrient discharge from wastewater, directly or indirectly (e.g. through water courses) into the marine environment, can also lead to eutrophication that can result in local dead zones and/or algal overgrowth of local coral reefs. Increased nutrient and sediment discharges can also originate from

bad land use practices and, together with point source impacts, can ultimately lead to more widespread (although much more gradual, long-term) changes in trophic status.

In this sense, at the regional level, the impacts of sediment and nutrient discharges associated with poor land-use practices constitute one of the biggest, and –due to their distributed nature- very complex permanent threats to the marine environment in the CLME<sup>+</sup> (UNEP-UCR/CEP, 2010).



**Figure 5. Freshwater discharge (m/sec) and pollutant loads (ton/year) into the wider Caribbean region from the main terrestrial river basins (amended from UNEP TR33 Revised)**

Marine litter is another significant pollutant issue for the CLME<sup>+</sup>, with a high negative impact on sensitive marine species (e.g. sea turtles) and on the region’s multi-million dollar tourism industry. Beaches lined with garbage are a deterrent to many tourists who aim to visit the region for its glorious beaches and natural beauty. Marine litter also provides a medium for invasive species that could ‘hitch’ a ride for long distances into other regions. Plastics, and more specifically micro-plastics are becoming a growing concern, as there is mounting evidence of toxic plastic pellets entering the food-web, with potentially important negative implications for major, economically important fisheries in the CLME<sup>+</sup>.

#### 1.3.1.4 Climate variability and change

Significant impacts from climate variability and change are expected to be experienced in the coastal and marine environments of the CLME<sup>+</sup> over the next decades. Sea level rise, increasing coastal water temperatures (often resulting in coral bleaching), ocean acidification, and increasing frequency and strength of extreme events such as tropical storms, hurricanes and droughts pose a significant threat to the region’s coastal zones and maritime areas, and regional economies.

Although its effects on marine organisms have not been fully explored, ocean acidification is expected to be a limiting factor in the development of corals, as well as other organisms with calcium carbonate shells and exoskeletons (Nurse, L. A, 2011). With global CO<sub>2</sub> emissions continuing to rise, reef habitats and associated fauna are increasingly under threat.

Increasing sea surface temperatures can lead to widespread bleaching of coral reefs, which are already under threat from habitat degradation and pollution.

Without adequate mitigation and adaptation measures, cumulative losses to the coral reef ecosystem would be over USD \$900 million per decade in 2010, 2020 and 2030 (Lorde T. et al; 2013).

Under a Business-as-Usual (BaU) scenario, it is estimated that the value of ecosystems goods & services in the CLME<sup>+</sup> including those of recreational and tourism amenities, biodiversity protection, breeding zones for fish, and protection from storm surges, could fall to an estimated value of USD \$2.7 billion in 2050, down from USD \$64.7 billion in 2030 (Lorde T. et al., 2013).

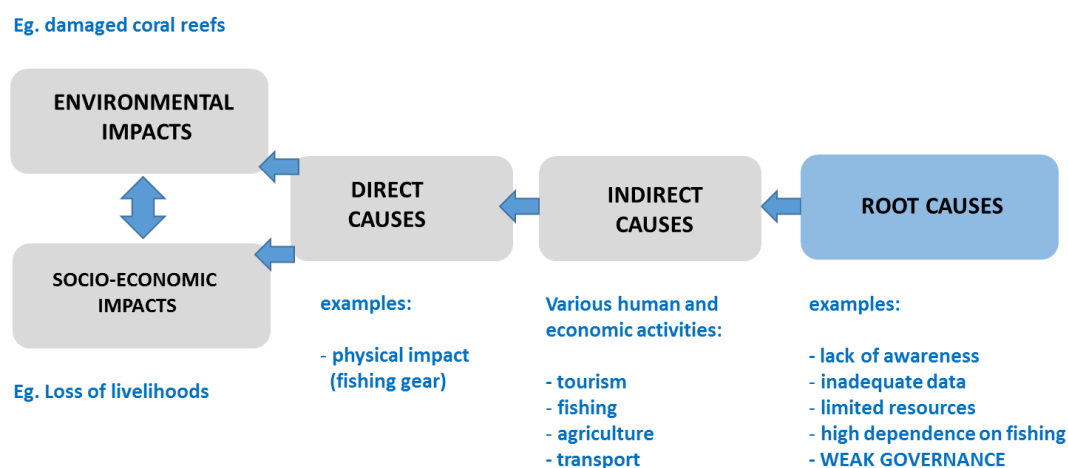
The high dependence of the CLME<sup>+</sup> countries on the marine ecosystems and their associated living marine resources, combined with their high environmental vulnerability, underscores the importance of ecosystem conservation (and where applicable, restoration) and of the sustainable exploitation of associated living marine resources. This is even more the case in the context of a changing global climate (situation over which the countries of the region have little or no control). Climatic change will require that solutions to be implemented for sustainable ecosystem and resources management are screened for their robustness to the uncertainties associated with such change, and for their contributions to enhanced overall resilience of the socio-ecological systems of the CLME<sup>+</sup>.

Ultimately, the level of impacts from all key environmental problems described above, will depend on the kind and level of mitigation and adaptation efforts that will be undertaken by the region in the next decade(s).

### 1.3.2 Root causes

As part of the TDAs<sup>32</sup> conducted under the CLME Project, Causal Chain Analyses (CCAs)<sup>33</sup> were developed to link the three key environmental problems (and their associated socio-economic impacts) described under Section 1.3.1 to their *direct, intermediate* and *root* causes.

Figure 6. Simplified Causal Chain



<sup>32</sup> <http://www.clmeproject.org/clmetdas2.html>

<sup>33</sup> <http://www.clmeproject.org/clmetdas3.html>

Under the CLME Project, and following the GEF's TDA/SAP approach, the importance of tackling the root causes of environmental degradation has been fully acknowledged. Whilst addressing direct causes can lead to results at the local-scale in the short-term, it is recognized that such an approach is not sustainable or cost-effective if at a wider regional level the root causes of the identified issues are not eradicated or controlled<sup>34</sup>. Addressing root causes at the ecosystem level<sup>35</sup> will therefore be necessary in order to achieve region-wide and globally relevant, sustainable impacts and results.

The following seven cross-cutting root causes were identified:

- (i) ***weak governance (incl. legal and institutional frameworks);***
- (ii) ***limited human and financial resources;***
- (iii) ***inadequate (access to) data and information/knowledge;***
- (iv) ***inadequate public awareness and involvement;***
- (v) ***inadequate consideration of the value of ecosystem goods and services;***
- (vi) ***population and cultural pressures;***
- (vii) ***trade and external dependency***

Dealing with these root causes constitutes a core element of the long-term solution for the key environmental and associated socio-economic problems in the CLME<sup>+</sup> (Section 1.3.3), and has been given due consideration in the development of the regionally endorsed *CLME<sup>+</sup> Strategic Action Programme (SAP)*. As a project that will catalyse the implementation of this SAP, eliminating root causes of environmental degradation has been given high priority in the development of the project's strategy (Section 0), and constitutes the backbone of the CLME<sup>+</sup> Project's Logical Frame (LogFrame; see Section 3).

### 1.3.3 Long-term solution

#### 1.3.3.1 Long-term vision for the CLME<sup>+</sup>

Previous sections in this Project Document highlighted the strong dependence of sustained economic growth, social well-being and political stability in the CLME<sup>+</sup> region (and beyond) on the provision of marine ecosystem goods and services.

Within the region, broad consensus has now been achieved on: the need to implement an ecosystem approach (EBM/EAF) for sLMR management; the critical importance of addressing root causes of environmental degradation; and the necessity of mainstreaming climate change mitigation and adaptation considerations across all sectors with a stake in the marine environment. This consensus has been largely achieved through the foundational capacity building support provided by the GEF during the period 2009-2014.

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<sup>34</sup> e.g. field campaigns to reduce illegal fishing implemented by a single country may not be cost-effective and may not yield the desired results if regional and/or local root causes such as *insufficiently harmonized legal frameworks* and the *lack of alternative livelihoods* remain unresolved.

<sup>35</sup> e.g. at the scale of the *fishery ecosystem*, or at the *LME-level*

In this same context, the following *long-term Vision* for the marine environment in the CLME<sup>+</sup> was developed and adopted:

*“Healthy marine ecosystems that are adequately valued and protected through robust, integrative and inclusive governance arrangements at regional, sub-regional, national and local levels, which in turn effectively enable adaptive management that maximizes, in a sustainable manner, the provision of goods and services in support of enhanced livelihoods and human well-being” (CLME<sup>+</sup> SAP, p. 17)*

This long-term vision for the CLME<sup>+</sup> acknowledges that, in a context of increasing environmental pressures and demands for natural resources - exacerbated by climate change and population growth - a sustained provision of goods and services will require substantial improvements in the coordination of resources use among the different societal groups with a stake in the marine environment.

Awareness has consequently grown within the region that urgent steps must be taken towards the implementation of an integrative and well-coordinated and ecosystem-based, multi-level governance model for the adaptive management and sustainable use of marine resources across the CLME<sup>+</sup>. This recognition is in line with the progressive global acceptance of the fact that **“improved governance is urgently required if increasing economic activity in the ocean is to be effectively managed and environmental degradation halted and reversed”** (The Economist, 2014).

*Interactive governance* emphasises the solving of societal problems and the creation of societal opportunities through interactions among civil, public and private actors. Such an interactive and collaborative approach will be essential if the above goal and a transition to a **blue economy** in the region are to be achieved. Increased involvement of these different societal actors in formal governance processes will therefore be of critical importance. An integrated regional governance framework should thus involve all sectors with a stake in the marine environment (e.g. fisheries, tourism, shipping, oil and gas, etc.)

#### 1.3.3.2 *Catalyzing the implementation of the long-term solution*

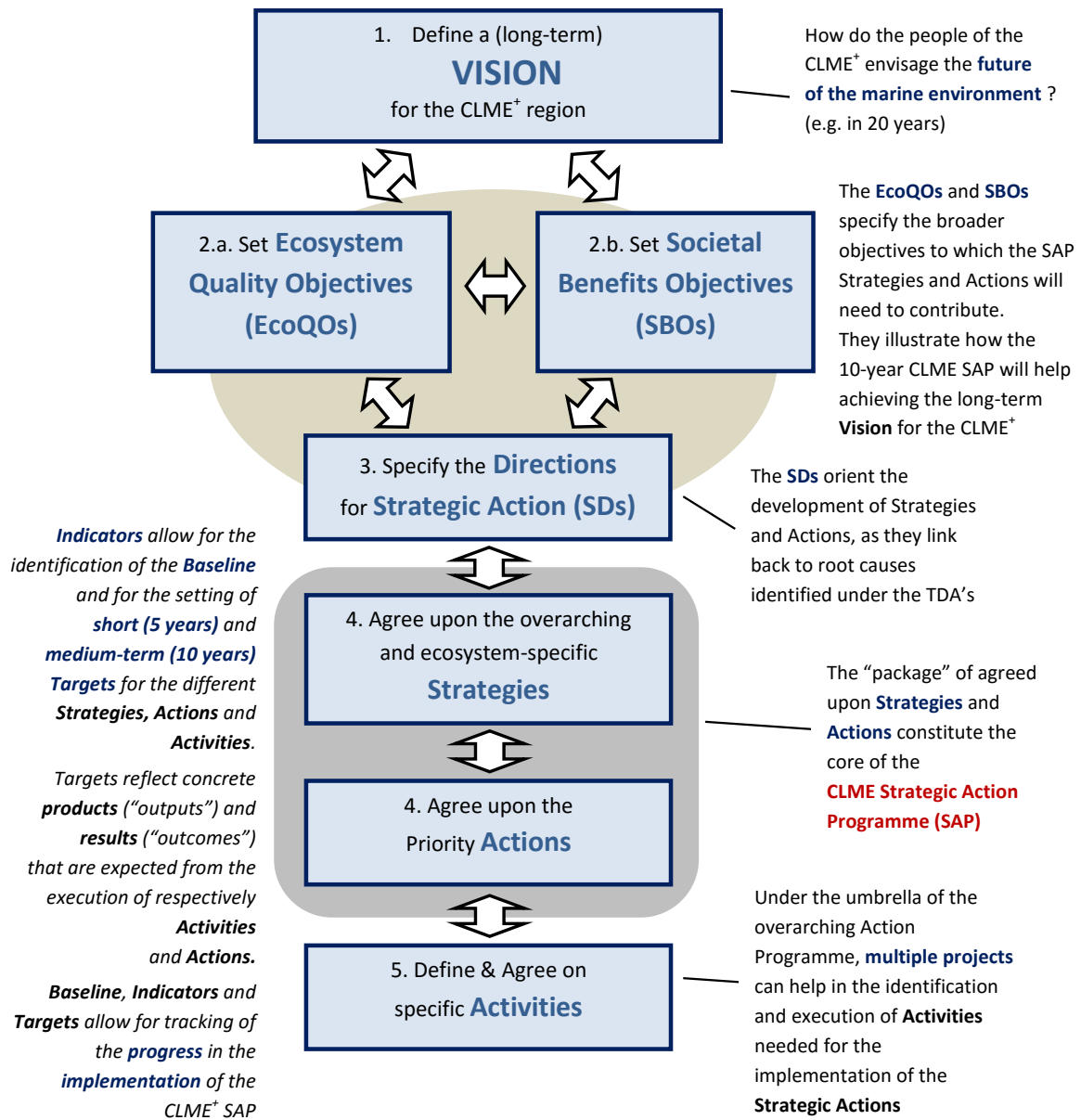
By adopting the long-term vision, the States and territories in the CLME<sup>+</sup> region recognize that establishing ocean governance and management arrangements within the next 20 years will be essential for the restoration and long-term maintenance of the health of the marine environment and of the associated societal benefits. To assist the region in the implementation of the actions and measures (i.e. the *long-term solution*) that will be required to achieve this vision, support was provided by the GEF for the development of a regional Strategic Action Programme (SAP).

In this context, and in recognition of the complexity of the CLME<sup>+</sup> region and the existing constraints in terms of financial, technical, human and organisational capacity, a progressive, step-wise approach is being pursued. A 10-year “CLME<sup>+</sup> Strategic Action Programme” has been developed that will contribute to the long-term vision, by putting an initial focus on the integration of the approaches for the **management of fisheries** with those for the **protection of the marine environment**.

The SAP development process followed the conceptual approach depicted in Figure 7: following the definition of the long-term vision for the CLME<sup>+</sup> region, the over-arching *Ecosystem Quality* and associated *Societal Benefits Objectives* were identified as a first step during the SAP development process. The root causes of environmental degradation identified under the TDAs (Section 1.3.2) were then used to define the overall *Directions* for the *Strategies* and *Actions* under the SAP. With the adoption of the ecosystem approach (EBM/EAF), and giving due consideration to both the existing



governance arrangements in the CLME<sup>+</sup> (Section 1.3.5) as well as the 3 key transboundary environmental problems (Section 1.3.1), priority *Actions* for the enhancement of governance arrangements, of institutional and stakeholder capacity, and for management actions in the field, were then structured under a series of *Strategies* and *Sub-Strategies* (Figure 7).



**Figure 7. The SAP development & implementation process in 5 steps**

Through the SAP, the countries of the region commit to the implementation of a comprehensive package of 6 coordinated Strategies and 4 Sub-Strategies, and a total of 77 priority Actions, with an initial focus **on governance and management of shared Living Marine Resources**.

At the overarching, LME level, the 3 main strategies under the SAP are:

**(S1)** *Enhance the regional governance arrangements for the protection of the marine environment;*

**(S2)** *Enhance the regional governance arrangements for sustainable fisheries;*

**(S3)** *Establish and operationalise a regional policy coordination mechanism for ocean governance, with an initial focus on shared living marine resources;*

In order to foster the adoption and implementation of EBM/EAF at the level of the 3 CLME<sup>+</sup> “fishery ecosystem types”<sup>36</sup>, 3 additional Strategies were incorporated under the SAP.

**(S4)** *Enhance the governance arrangements for ecosystem-based management of reefs and associated ecosystems (incl. sea grass beds, mangroves, reef slopes and coastal lagoons);*

**(S5)** *Enhance the governance arrangements for implementing an ecosystem approach for pelagic fisheries;*

**(S6)** *Implementing EBM/EAF of the Guianas-Brazil continental shelf, with special reference to the shrimp and groundfish fisheries;*

In addition to this, the CLME<sup>+</sup> SAP contemplates 4 Sub-Strategies, focussing on fisheries of key economic and/or social importance in the region:

**(S4A)** *Enhance the governance arrangements for implementing an ecosystem approach for spiny lobster fisheries;*

**(S4B)** *Enhance the governance arrangements for implementation an ecosystem approach for queen conch fisheries;*

**(S5A)** *Enhance the governance arrangements for implementation an ecosystem approach for flyingfish fisheries;*

**(S5B)** *Enhance the governance arrangements for implementation an ecosystem approach for large pelagics fisheries;*

Both short-term (0-5 years) and medium-term (6-10 years) actions have been included under each strategy.

#### 1.3.3.3 *The CLME<sup>+</sup> SAP: an umbrella programme*

The political endorsement by the CLME<sup>+</sup> countries in 2013<sup>37</sup> of this SAP now provides the region with a formal, broad integrative “umbrella” framework for action under which coordination, cooperation and information exchange among the many sLMR-related projects and initiatives that take place in the region can be achieved. The strategies and associated timelines specified under the CLME<sup>+</sup> SAP provide a roadmap that will help countries, regional organisations, multi-lateral and bilateral donors

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<sup>36</sup> described under Section 1.2.3

<sup>37</sup> By early 2014, 31 Ministers in 22 different countries had formally endorsed the CLME<sup>+</sup> SAP

in their efforts to gradually expand capacities and knowledge, and strengthen the frameworks and arrangements for region-wide cooperation, coordination and decision-making.

As considerable resources have already been invested in a myriad of regional and sub-regional organisations, SAP strategies towards the proposed long-term solution for the CLME<sup>+</sup> will contribute to the further strengthening of organisations that already successfully exercise leadership - largely within their existing geographical or thematic areas of responsibility. In line with their long-term mandate, it is anticipated that these organizations will assume key responsibilities over the execution and/or coordination of key actions under the different strategies. Enhanced coordination and collaboration among organizations, arrangements, programmes, projects and initiatives will be critically needed, and was an important cross-cutting criterion used throughout the SAP development process.

The SAP was therefore designed as an “umbrella programme”, not to be implemented through a single project, but rather as a reference framework and means to bring together the different stakeholders and projects and initiatives working in the CLME<sup>+</sup>.

The GEF co-funded CLME<sup>+</sup> Project (2015-2019) will contribute to creating the enabling conditions for improved and sustainable sLMR governance and management in the CLME<sup>+</sup> region during the first half of the 10-year SAP implementation period. At the same time, gradual expansion of both the scale of the actions and of the scope of the framework (e.g. by more fully integrating other productive sectors such as shipping and oil/gas) can then be planned, as additional awareness is being built and stakeholders – including the private sector and international or regional development banks - become increasingly involved.

#### 1.3.4 Barriers to success

Geopolitical complexity/fragmentation of the CLME<sup>+</sup> region lies at the basis of the highly transboundary nature of not only marine ecosystems, habitats and the range of living marine resources and fish stocks, but also of the identified priority environmental problems.

With the people and economies of the CLME<sup>+</sup> being so critically dependent on the goods and services provided by these threatened ecosystems and habitats, dealing successfully with both direct and root causes of these problems will require substantial expansion and enhancement of the gradually emerging, but still insufficient levels of coordination and collaboration among CLME<sup>+</sup> countries and organisations with a stake in the marine environment<sup>38</sup>.

With the limitations of human and financial resources in the region being recognized as an important root cause, the absence of transitory incremental funding and coordination support to kick-start SAP implementation would constitute a substantial barrier to catalysing change in the region, and thus to achieving the CLME<sup>+</sup> SAP's expected objectives, outcomes and outputs (including a progressive reduction, over the medium and long-term, of the levels of donor dependency for sLMR governance). This is even more so the case given the high discrepancies in development levels, and financial and logistical capacities of the CLME<sup>+</sup> States and Territories, which range from among the largest and most

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<sup>38</sup> Technical studies on sLMR governance conducted under the CLME Project have shown that management of marine ecosystems and their associated resources in the CLME<sup>+</sup> has traditionally been conducted in a highly fragmented manner, with individual habitats or fish stocks assessed and managed separately, and with little consideration to preserving the overall ecosystem health

powerful countries in the region and even globally, to the smallest, least developed and most vulnerable States (including 22 SIDS).

Climate change may offset the potential positive results of actions dealing with the priority issues described above. Absence of the mainstreaming of climate change adaptation in sLMR governance decisions and management actions would therefore constitute an important potential barrier to achieving sustainable outcomes from SAP implementation.

Insufficient communication, co-ordination and information exchange among the myriad of sLMR-related projects, activities and initiatives that are underway or planned within the CLME<sup>+</sup> region constitutes an important additional barrier to achieving the societal and environmental benefits expected from such substantial investments.

### 1.3.5 SAP implementation baseline: progress and gaps

In many parts of the region, considerable efforts have already been made or are currently ongoing to deal with the priority environmental problems and -up to a certain extent- their associated root causes, described under Sections 1.3.1 and 1.3.2. Notwithstanding this, many gaps remain to be filled if within the next 10 years substantial progress towards effective implementation of EBM/EAF is to be achieved.

(Sub-)Regional Fisheries Bodies have been created over the past decades. These include the *Western Central Atlantic Fisheries Commission* of FAO (FAO-WECAFC; 1973) - which covers all CLME<sup>+</sup> countries but currently has an advisory mandate only; the *Organisation of the Fisheries and Aquaculture Sector of the Central American Isthmus* (SICA-OSPESCA; 1995); and the *Caribbean Regional Fisheries Mechanism* (CARICOM-CRFM; 2002).

At the level of the wider Caribbean, the Caribbean Environment Programme (CEP) was established under UNEP in 1981. The geographic scope of work of the CEP includes the Gulf of Mexico and Caribbean LMEs, but does not extend sufficiently down southwards<sup>39</sup> to also fully encompass the NBSLME. At the sub-regional levels, the Central American Commission on Environment and Development (CCAD, 1989) has been established under SICA.

These and other existing and newly emerging governance arrangements in the CLME<sup>+</sup> region are complemented by a myriad of programmes, projects and initiatives dealing with sLMR, both at the local, national and sub-regional levels (Cooke et al 2014).

These initiatives include e.g. sub-regional and national-level projects to strengthen networks of marine protected areas (MPAs) and marine management areas (MMAs), and to support the sustainable financing and development of human and institutional capacity for MPA and MMA management, as well as to control and curb the impact of invasive species (such as the lion-fish) and climate change. Several Fisheries Improvement Projects (FIPs) are ongoing and/or planned (e.g. Bahamas, Brazil, Honduras, Mexico, Nicaragua, Saint Lucia and Suriname). Initial stock taking assessments of current policies and practices to reduce and manage bycatch, discards and other impacts of bottom/shrimp trawling on environment are being planned in a number of countries. There have also been and continue to be initiatives that are seeking to enhance the capacity of regional and national fisherfolk organisation networks to participate in governance. Numerous initiatives supported and/or implemented by countries and partner organisations within the CLME<sup>+</sup>

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<sup>39</sup> It does not include northern Brazil, which is part of the NBSLME

include a small grants facility, or a livelihoods component that promotes sustainable livelihoods at the community level through micro and small-sized enterprises. Multiple attempts have been, and are being made, to create data portals and promote indices and indicator sets in support of decision-making, with variable degrees of success. Mangrove and coral reef restoration techniques have been trialled. Capacity building workshops on negotiation for government officials and the development of project proposals for both government personnel and civil society groups have been conducted. Monitoring, Control and Surveillance measures are being implemented, also with varying degrees of success.

However, notwithstanding the vast amount of planned and ongoing work, in many cases the scale of these actions, together with a lack of coordination among initiatives, and the persistence of root causes to environmental degradation, have limited the overall scope, outcomes and sustainability of individual and cumulative success(es).

#### *1.3.5.1 Regional multi-level governance framework (SAP Strategies 1, 2 and 3)*

Especially from the 1970s onwards (Figure 8), a diverse array of regional and sub-regional organisations started to emerge to address both the challenges and opportunities of ocean governance within the wider Caribbean. This evolution has also resulted in increased complexities and in some instances duplication of efforts over time. Generally, specialized bodies to deal with environmental or fisheries matters were created at the sub-regional level as subsidiary bodies of the existing geopolitical integration mechanisms described under Section 1.2.2. Although many of these efforts have assisted in the advancement towards transboundary coordination and resources management, the particular geopolitical focus of many of these organizations resulted in a certain geographic “patchiness” of governance arrangements. As indicated also under Section 1.3.4, such patchiness could, in the absence of political willingness to achieve further coordination and integration, constitute an important *barrier to successful implementation of the EBM/EAF approach*.

As part of the TDAs undertaken under the CLME Project (GEF ID 1032), the issue of “*weaknesses in governance arrangements*” was identified as the over-arching root cause hampering the full adoption of an ecosystem approach in the region. A comprehensive analysis of the existing framework of global and (sub)regional institutions and organisations involved in Shared Living Marine Resources (sLMR) governance in the CLME<sup>+</sup> was prepared under the CLME Project by the *Centre for Resource Management and Environmental Studies of the University of West Indies (UWI - CERMES)* (Mahon, R. et al., 2013). Through this analysis, at least twenty-five institutions/organizations were identified as having a mandate on various aspects of living marine resource governance and management in the CLME<sup>+</sup>. These include: intergovernmental organisations, regional bodies, NGOs and a small number of private sector organisations. Many of the organizations listed in Figure 8 are expected to assume a key role in the implementation of the CLME<sup>+</sup> SAP.

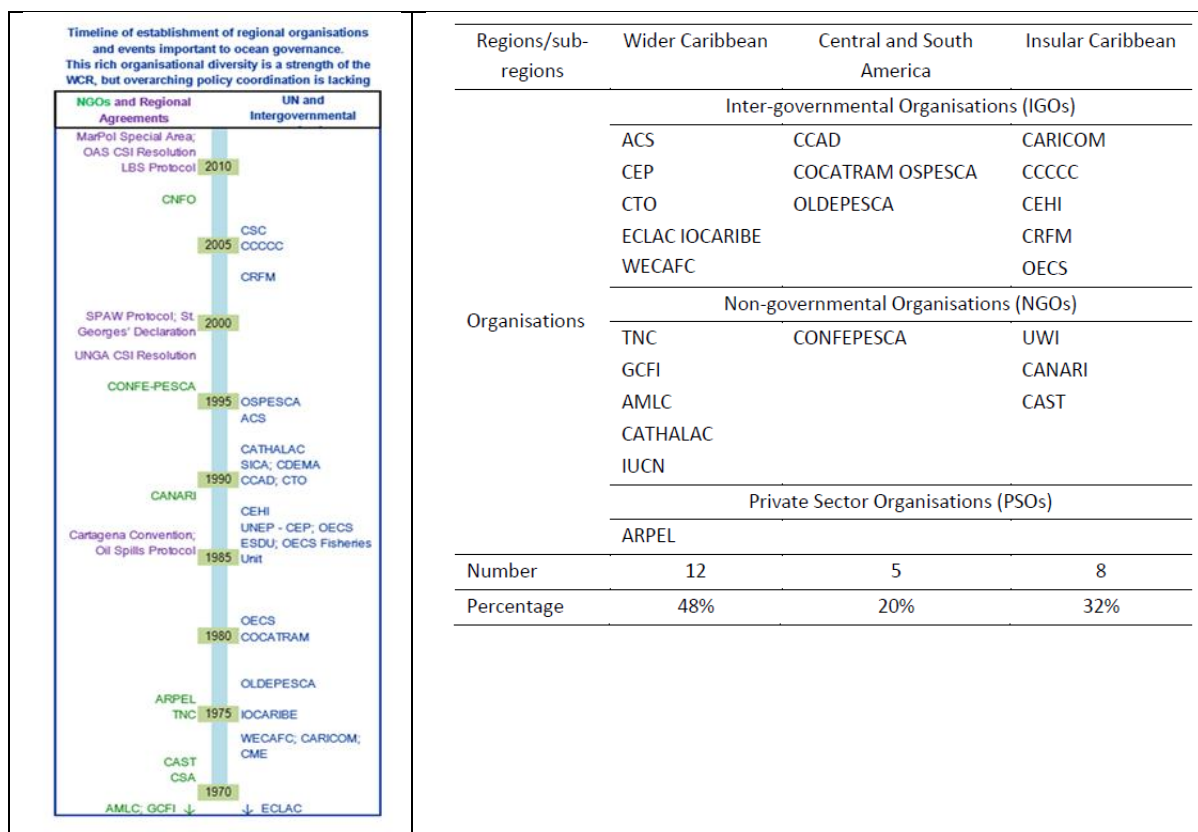


Figure 8. Timeline of establishment of regional organizations, plus typology and geographic scope<sup>40</sup>

The analysis however also highlighted important/critical gaps and missing linkages in the regional arrangements and processes. These gaps and missing linkages would now need to be addressed if successful ocean governance – with the adoption of the EBM/EAF approach – is to be achieved.

***UNEP Caribbean Environment Programme (UNEP CEP) (relevance: SAP Strategy 1 & 3, a.o.)***

Gestation of the UNEP Caribbean Environment Programme (CEP) initiated in 1976, with the aim of addressing a number of (then already considered pressing) issues such as land-based sources of pollution and over-exploitation of marine resources. In 1981, twenty-two Caribbean States adopted the Caribbean Action Plan. The action plan led to the adoption of a legal framework in 1983 – the Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region (WCR) (further referred to as the “Cartagena Convention”; entry into force: 1986) and later the three protocols addressing specific environmental issues namely, oil spills, specially protected areas and wildlife (SPAW) and marine pollution from land-based sources and activities (LBS). Implementation of the Convention and its associated protocols through UNEP CEP is facilitated by the UNEP Regional Coordinating Unit (CAR/RCU). As a consequence of the aforementioned process, the CEP currently includes the following three sub-programmes:

- Assessment and Management of Environment Pollution (AMEP)
- Specially Protected Areas and Wildlife (SPAW)
- Communications, Education, Training and Awareness (CETA)

<sup>40</sup> In 2013, CEHI became a part of the Caribbean Public Health Agency (CARPHA)

Biennial workplans for these sub-programmes are elaborated during the meetings of the LBS and SPAW Conference of Parties (COP), and adopted during the Intergovernmental Meetings (IGM) of the CEP,. Although the SPAW and AMEP sub-programmes both fall within the purview of the CEP and are supportive of the implementation of 2 protocols pertaining to the same convention, in the past there has been limited effort towards the integration of the biennial workplans of the two sub-programmes. Such integration would however ensure that both workplans become more mutually supportive through well-coordinated, synergetic actions that facilitate a more holistic approach to the problems faced by the marine environment in the WCR. Further, under the CLME+ Project it has also been recognized that, given the (partial) overlap between the WCR and NBSLME regions, and giving further consideration to the influence of the NBSLME on the CLME, issues pertaining to LBS pollution in the WCR cannot be fully addressed without the involvement and support of all major coastal states along the NBSLME. In light of the foregoing, at the Fifteenth Intergovernmental Meeting (IGM) in 2012, Member States encouraged the Secretariat to:

- Explore, as feasible, further alignment of CEP Workplan activities with the relevant interventions for the CLME+ SAP, particularly those relevant to the AMEP and SPAW Programme Areas.
- Explore opportunities and needs for collaboration with Brazil in areas of relevance to the Cartagena Convention and its Protocols (UNEP-CEP, 2012).

**Western Central Atlantic Fisheries Commission (FAO-WECAFC)** (relevance: SAP Strategy 2 & 3, a.o.)

The WECAFC convenes biennially. During these “Sessions of the WECAFC”, the Commissions’ biennial work plans are approved. At the 15<sup>th</sup> Session of WECAFC (2014), Costa Rica confirmed its membership to the organisation. WECAFC therefore now covers 30 CLME+ countries and territories, including all GEF eligible States. The Biennial Workplan of the 15<sup>th</sup> Session (2014-2015) was clearly reflective of a mainstreaming of the relevant CLME+ SAP Strategies & Actions into the WECAFC activities. Particularly with regard to the future of the WECAFC, the Commission concluded that for the time being the WECAFC shall continue to function as an advisory body, but further recognized that - as recommended under the CLME+ SAP- the future role and mandate of the organisation, and its relationship with the sub-regional fisheries bodies (OSPESCA, CRFM,...) should be further assessed (FAO, 2014).

**Eastern Caribbean Regional Ocean Policy (OECS-ECROP)** (relevance: SAP Strategy 1, 2, 3 and 4, a.o.)

The adoption in 2013 of the Eastern Caribbean Regional Ocean Policy (ECROP) by the Heads of Government of the Organisations of Eastern Caribbean States (OECS) makes it the first transboundary ocean policy agreement in the region. The ECROP provides the framework for enhanced coordination and management of ocean resources among and within the OECS Member States. This sub-regional Policy and the associated 3-year Action Plan (2013-2016) are well aligned with the regionally approved 10-year CLME+ SAP, and can be seen as being complementary and mutually supportive. As part of the Action Plan, the OECS Member States with the support of the OECS Commission committed to: (a) the development of a marine research strategy that identifies key information & knowledge requirements for decision making; (b) promoting the adoption of ecosystem based management by its Member States; and (c) the establishment of a network of marine protected areas.

**Caribbean Community Common Fisheries Policy (CARICOM-CCCFP)** (relevance: SAP Strategy 2-6)

The Agreement on the Establishment of the Caribbean Community Common Fisheries Policy (CCCFP) was approved by the CRFM Ministerial Council in 2014 and has been endorsed by the Council for Trade and Economic Development (COTED) as the definitive fisheries policy for the Caribbean Community.

It will: (a) govern the CARICOM fisheries through the establishment of measures for conservation, management, sustainable utilization and development of fisheries resources and related ecosystems; (b) build capacity amongst fishers; (c) optimize the social and economic returns from fisheries; and (d) promote competitive trade and stable market conditions.

**OSPESCA Regional Fisheries & Aquaculture Policy** (relevance: SAP Strategy 2, 3, 4, a.o.)

The first Regional Policy for the Integration of Fisheries and Aquaculture Activities in the SICA countries was formulated and applicable between 2005 and 2014. Currently, the achievements of this policy during this 10-year period, and the lines of actions that need to be continued, and those that need to be updated are being submitted to regional and national-level evaluation processes. By this means, the policy can be updated to conform to (a) the evolutions that the sector has experienced, and (b) future requirements so that alignment with the global dynamics of the sector and of the Central American integration exercise can be secured. The updated policy will hence cover the period 2015-2024. It will give consideration to all elements along the fisheries and aquaculture value chain and embrace the concepts of blue growth, the ecosystem focus and inter-sectoral and inter-institutional relations, and participatory gender equality. It is expected that the ultimate goal of the policy, once approved, will be to ensure the sustainable use of shared marine resources from the economic, environmental and social perspective.

**Regional Environmental Framework Strategy for Central America (ERAM-CCAD)** (relevance: SAP Strategy 1, 3, 4, a.o.)

The “Regional Environmental Framework Strategy” or “Estrategia Regional Ambiental Marco” (“ERAM”) for Central America, which will be applicable between 2015-2020, will give continuity and build upon the work done under the “Central American Regional Environmental Plan” (“Plan Ambiental Regional Centroamericano” or “PARCA”). The PARCA covered the period 2010-2014 and gave special attention to the issue of environmental governance. The objective of the new ERAM is to “promote regional integration in environmental matters, in support of the sustainable economic and social development of its people, through better articulated efforts and by maximizing the benefits of available resources”. Under the Strategy’s focal area “forest, seas and biodiversity”, special attention is given to: natural richness of the terrestrial and marine & coastal ecosystems (provision of ecosystem goods and services, genetic variability,...), conservation and restoration of habitats and ecosystems (e.g. conservation of mangrove forests; restoration of wetlands,...), sustainable fisheries and enhanced monitoring, control and surveillance, improved planning of the use of the coastal and marine space, and compliance with international agreements such as the Cartagena Convention, the Nagoya Protocol and the Convention on Biological Diversity.

**CRFM-OSPESCA Memorandum of Understanding (MoU) and Joint Action Plan**

(relevance: SAP Strategy 2, 4, 4A, 4B, 5, a.o.)

At the *Third*<sup>41</sup> CARICOM-SICA Summit of Heads of State (2011), Member States of both organizations reaffirmed the importance of the CARICOM-SICA relationship whilst at the same time recognising the need to strengthen ties in areas of common interest. In light of this, the Heads instructed the CRFM and OSPESCA to elaborate and promote a joint plan of action for the responsible management of migratory fish stocks and the spiny lobster within the Caribbean Sea. They also directed a joint CRFM-

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<sup>41</sup> The first and second Summit were held in 2002 and 2007, respectively.



OSPESCA Ministerial Meeting to strengthen collaboration between the two regional fisheries organisations for the improved conservation, management and sustainable development of their shared living marine resources.

Supported by the CLME Project, the first-ever *High Level CRFM-OSPESCA Meeting* was convened in September 2012 in Belize. During this monumental meeting the Ministers with responsibilities for Fisheries entered into a joint *Memorandum of Understanding (MOU) between both organizations*, to strengthen understanding and cooperation and promote and ensure the conservation and sustainable use of fishery and aquaculture resources in their member countries.

A *Joint Action Plan* developed and agreed upon by the meeting lists priority areas for improved cooperation and coordination between the 19 States that are members of either CRFM and/or OSPESCA<sup>42</sup>. These priority areas include the research and management of fisheries of regional interest such as the spiny lobster and large pelagics. It also calls for the development of a joint regional plan on combating Illegal Unregulated and Unreported Fishing (IUU) through strengthened Monitoring Control and Surveillance (MCS) Systems.

Notwithstanding the tremendous step forward taken towards EAF by both organizations, it is important to point out that the need remains for additional expansion of the geographic scope of the cooperation and coordination agreement. Such expansion will be necessary given the fact that several of the target fish stocks of the Action Plan, and several of the problems that are to be dealt with under the plan, are also shared with CLME<sup>+</sup> States which are not a member of any of the aforementioned sub-regional integration mechanisms (see Figure 9).



**Figure 9. Grey states & territories in the map do not belong to any of the 2 sub-regional fisheries bodies, OSPESCA and CRFM**

<sup>42</sup> Only Belize is member of both organisms

**European Marine Strategy Framework Directive (MSFD) and European Water Framework Directive (WFD), and USA Ocean Policy and Implementation Plan, and NOAA Caribbean Strategy**

Besides the 25 GEF eligible independent States - many of which collaborate under the (sub-)regional integration mechanisms and associated policies described above – the CLME<sup>+</sup> region also includes the USA (non-GEF eligible) and a total of 18 dependent and overseas territories, outermost regions and associated states of France, the United Kingdom, the Kingdom of the Netherlands and the USA (see Table 1, page 21).

Overseas Countries and Territories are not part of the EU. On the contrary, the EU law applies fully in Outermost Regions, unless specified otherwise (Cavalieri et al., 2011). Given the latter, reference is also made under this Section to two European Directives that hence are of relevance to the CLME<sup>+</sup> SAP and Project:

The European Marine Strategy Framework Directive (MSFD)<sup>43</sup> aims to protect more effectively the marine environment across Europe. It was adopted on 17 June 2008 and came into force on 15 June 2008. It was due to be transposed into national legislation by 15 July 2010. The European Commission produced in 2010 a set of detailed criteria and indicators to help Member States implement the Marine Directive. The Directive aims to achieve Good Environmental Status (GES) of the EU's marine waters by 2020 and to protect the resource base upon which marine-related economic and social activities depend. It is the first EU legislative instrument related to the protection of marine biodiversity, as it contains the explicit regulatory objective that "biodiversity is maintained by 2020", as the cornerstone for achieving GES. The Directive enshrines in a legislative framework the ecosystem approach to the management of human activities having an impact on the marine environment, integrating the concepts of environmental protection and sustainable use. In order to achieve GES by 2020, each Member State is required to develop a strategy for its marine waters (or Marine Strategy). In addition, because the Directive follows an adaptive management approach, the Marine Strategies must be kept up-to-date and reviewed every 6 years. Prior to the MSFD, the European Water Framework Directive (WFD) was already adopted in 2000. It expands the scope of water protection to all European waters (inland as well up to 1nm at the coastline) and sets clear objectives that a "good status" must be achieved for all European waters by 2015 and water use has to be sustainable throughout Europe. In the context of the CLME<sup>+</sup> SAP, it is of relevance as it can contribute to, and facilitate the adoption of the ridge-to-reef approach.

The NOAA Caribbean Strategy (USA) is intended to better coordinate and integrate the abilities of all NOAA offices to address regional issues and improve partnering, mission effectiveness, and international cooperation in the Caribbean region. As one of many Caribbean nations, the USA recognizes its vested interest in working internally, and with its partners in the region, to ensure a healthy ecosystem that is well understood and that supports the safety and livelihoods of its inhabitants. The strategy supports the USA National Ocean Policy, and the president's Climate Action Plan, addressing many high-priority objectives, but with a focus on the Caribbean region. The strategy has three interconnected goals, with subordinate objectives and near-term and long-term actions:

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<sup>43</sup> [http://ec.europa.eu/environment/marine/eu-coast-and-marine-policy/marine-strategy-framework-directive/index\\_en.htm](http://ec.europa.eu/environment/marine/eu-coast-and-marine-policy/marine-strategy-framework-directive/index_en.htm)

- Goal 1: Improved Conservation and Management of Ocean and Coastal Ecosystems and Resources
- Goal 2: Strengthened Understanding of, and Adaptation to, a Changing Climate
- Goal 3: Enhanced Multi-Hazard Monitoring, Forecasting, and Risk Management

NOAA recognizes that stronger participation of Caribbean countries will extend benefits to the interests of both the USA and the other Caribbean nations.

#### 1.3.5.2 IUU Fishing (Cross-cutting: SAP Strategies 2, 4, 5 and 6)

The issue of IUU Fishing has been highlighted under Section 1.3.1 as a growing threat to both fish stocks, the ecosystem, human livelihoods and social justice in the region. Due to the nature of many of the fisheries in the CLME<sup>+</sup>, characterized by a large amount of artisanal/small-scale boats with numerous landing sites, the traditional approach to combat IUU fishing has to be reconsidered. Numerous landing sites, open and *de facto* open access, the size of the fleet and the institutional limitations and challenges, and inadequate resources, make the combat of IUU fishing in the artisanal fisheries sector more difficult compared to the traditional approach used with industrial fisheries. The critical importance of this issue was already reflected in the 10-year OSPESCA Regional Fishery Policy (*Política de Integración de Pesca y Acuicultura en el Istmo Centroamericano*) adopted in 2005, which contains an Application Strategy for Surveillance and Control of fishing activities. Under the Regional Policy, several actions were implemented and regional regulations adopted. However, gaps still persist in the implementation of the Strategy, under which the initial focus was primarily on enforcement measures. Ideally, ensuring compliance should be strived for through a series of measures, including enforcement, education & awareness building, and also the provision of alternatives and enhancement of livelihoods.

Other binding agreements adopted by OSPESCA Member States also contain elements for addressing issues pertaining to IUU. The most recent binding agreement to be adopted is the Regulation to Prevent Deter and Eliminate IUU Fishing (Regulation OSP-08-2014). Under the regulation the sub-region is required to, amongst other things, prepare a Regional Plan of Action to Combat IUU Fishing, as well as to create a Network for Monitoring, Control and Surveillance (MCS).

In 2010, CRFM States adopted the *Castries Declaration on Illegal, Unreported and Unregulated (IUU) Fishing*. Through the Declaration, CRFM Member States call for the adoption of a comprehensive and integrated approach to prevent and deter IUU Fishing. The Declaration also underscores the need to implement MCS schemes with a view to increasing cost-effectiveness of surveillance activities.

In an attempt to implement the Castries Declaration, in 2014 the CRFM, through its Ministerial Council meeting adopted a *Regional Strategy on Monitoring Control and Surveillance to Combat Illegal, Unreported and Unregulated Fishing in the CARICOM/CARIFORUM Region* (MCS Strategy). Regional actions proposed in the Strategy reiterate the need for enhanced coordination, collaboration, integration and harmonisation of approaches as defined under the 2012 CRFM-OSPESCA Joint Action Plan, whilst proposed national actions focus more on strengthening national MCS capacity.

Notwithstanding the foregoing efforts by both CRFM and OSPESCA, there is recognition within the region that in order to adequately address the issue of IUU Fishing, commitments, coordination and collaboration beyond the geographic scope of the individual sub-regional geopolitical integration mechanisms will be required.

At its 15<sup>th</sup> Session and for the first time in its 40 years of existence, the WECAFC Commission adopted a range of management recommendations and resolutions. Adopted resolutions encourage, a.o., region-wide implementation of the Castries Declaration on IUU, and of the Port State Measures Agreement and the FAO Voluntary Guidelines on flag State performance. The Commission further also agreed to the establishment of a regional Working Group on IUU fishing under which a regional approach to the problem can then be articulated. Operationalization of this Working Group is still pending at this stage.

#### 1.3.5.3 Protection and restoration of key habitats and associated fisheries (SAP Strategy 4)

The significance of the coral reef and associated habitats such as mangroves, seagrass beds and coastal lagoons as well as the threats to these ecosystems/habitat types have been described under Sections 1.2.3.1 and 1.3.1 respectively. Within the CLME<sup>+</sup>, healthy coral reef ecosystems and associated habitats are critical to both the tourism and fisheries sectors and by extension, the livelihoods and well-being of coastal communities and Caribbean societies.

In an attempt to adopt the ecosystem-based approach in the management of the marine environment in the wider Caribbean and CLME<sup>+</sup>, the Secretariats of the SPAW Protocol and WECAFC initiated communication regarding the possibility of collaboration on the sustainable management of a number of important (reef) fish species. Such support for improved coordination and collaboration on matters of mutual interest (e.g. regional management plans and support to thematic working groups) was confirmed by the WECAFC Commission at its 15<sup>th</sup> Session, and constitutes an important step from the traditional sectoral approach towards EBM/EAF.

Sub-regionally, in 2012, two organisations under the umbrella of SICA, namely OSPESCA and CCAD, also entered into an Memorandum of Understanding (MoU) to work more closely together on matters pertaining to biodiversity, fisheries and the marine environment. Although not yet associated with a specific plan for joint action, this MoU reflects the clear intention of both organisations towards strengthened collaboration in the near future on matters –relating to the marine environment – that are of common interest. Strengthened coordination and collaboration between CCAD and OSPESCA will indeed allow the sub-region to move forward towards e.g. the implementation of EBM on the region's critically important reef ecosystem and its associated habitats (mangroves, seagrass beds...). These attempts at enhanced collaboration are consistent with, and can be seen as "early implementation" activities under Action 4.1 of CLME<sup>+</sup> SAP Strategy 4.

In 2008, a number of the region's SIDS and international organisations came together to launch the *Caribbean Challenge Initiative (CCI)*<sup>44</sup>, as an effort to provide greater leadership and to chart a new course for protecting and sustainably managing the marine and coastal environment in the insular Caribbean. Participating countries are Bahamas, British Virgin Islands, Dominican Republic, Grenada, Jamaica, Puerto Rico, St. Kitts & Nevis, Saint Lucia and St. Vincent & the Grenadines. As part of the Initiative, participating countries have committed to conserving at least 20% of the nearshore environments by 2020 as well as establish sustainable financing architecture that will generate funding for the marine and coastal environment. This commitment comes in addition to related Aichi Target 11 under the CBD, which aims at protecting 10% of the marine space<sup>45</sup>. Associated and/or parallel initiatives to the CCI include: the *Caribbean Biodiversity Fund*, *Debt-for-Nature*, *At the Waters' Edge*

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<sup>44</sup> <http://www.caribbeanchallengeinitiative.org/>

<sup>45</sup> EEZs

(GIZ/PIK/BMUB), ECMANN (TNC/BMUB-Germany), Sustainable Financing of Eastern Caribbean Marine Ecosystem (TNC/World Bank), and the *Caribbean Marine Biodiversity Activity* (TNC/USAID)

In 2014, a *Regional Coral Reef Plan of Action for CARICOM Member States* was endorsed by ministers and other officials at the 8<sup>th</sup> CRFM Ministerial Council Meeting. The Action Plan, which is aligned with the CLME<sup>+</sup> SAP, seeks to improve the health and resilience of the coral reefs in the CARICOM region and strengthen the adaptive capacity of coastal communities whilst also advocating for stronger action on climate change (Australia Caribbean Coral Reef Collaboration, 2014). Investment in achieving the goals and objectives of the plan will be supported through the development of an associated implementation plan, and a program of monitoring, evaluation and reporting.

National Biodiversity Strategies and Action Plans (NBSAPS), updated in alignment with the CBD Strategic Action Plan 2011-2020, were expected to be produced and submitted for the CBD COP 12. Several of the CLME<sup>+</sup> countries indeed produced such updated NBSAPs (with marine components to it), and opportunities for enhanced coordination and collaboration among nations, and common capacity building needs in relation to (the implementation of) these NBSAPS, were preliminary discussed in a CLME<sup>+</sup> steered session at a CBD sub-regional training workshop (2014).

At a more local scale, *C-FISH* (Caribsave) approaches marine conservation through partnerships between businesses, communities and governments. A variety of small grants programmes are also being executed across the region, to support grassroots level actions (CamPam SGP, GEF SGPs, CANARI SGP, etc.). Initiatives such as coral reef and mangrove restoration efforts are steadily increasing; most of them are however still disconnected and at a very local scale. Notwithstanding this, individual, country-level efforts are already being undertaken to leverage the substantial amount of financing that will be needed to raise coral reef restoration and rehabilitation to the urgently needed, much higher scale<sup>46,47</sup>.

In 2013, a Regional Strategy for the Control of the Invasive Lionfish in the Wider Caribbean was released by the Regional Lionfish Committee<sup>48</sup> (established in 2010), in 2013.

Better linkages between terrestrial activities and the marine environment under the concept of the ridge-to-reef approach (promoted under SAP Strategy 1) are or will soon be looked at under initiatives in the insular Caribbean such as the *Caribbean Aqua-Terrestrial Solutions Programme* (CARICOM, GIZ/BMZ) and IWEco (UNEP/UNDP/GEF) and in association with activities under the Guiana Shield Initiative (UNDP), and under the forthcoming *MAR2R* Project (WWF/CCAD/GEF) in the case of the countries of the Mesoamerican Barrier Reef. The *MARFund* (KfW) is then again a sustainable financing mechanism, specifically for solutions to issues affecting the Mesoamerican Reef.

Actions entailing a more holistic approach will indeed be urgently needed given the status description presented in the *“Reefs at Risk in the Caribbean”* (Burke et al., 2004), and conclusions included in the *“Caribbean Coral Reefs – Status 1970 – 2012”* (Jackson et al. (Eds.), 2014) reports.

The initiatives referred to above are only a subset of the vast array of programmes, projects and initiatives identified<sup>49</sup> under the baseline inventory conducted by CERMES (UWI) during the CLME<sup>+</sup> Project Preparation Period.

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<sup>46</sup> <http://www.caribbeannewsnow.com/topstory-Barbados-seeks-funding-for-reef-rehabilitation-project-22066.html>

<sup>47</sup> Guyana mangrove project; <http://www.mangrovesgy.org/home/>

<sup>48</sup> also known as Ad Hoc Committee for the Caribbean Regional Response to Lionfish Invasion (ICRI, UNEP CEP/SPAW-RAC, CONANP, Reef Check Dominican Republic, NOAA, CABI, REEF,...)

<sup>49</sup> a majority of which related to the CLME<sup>+</sup>'s coral reef ecosystem subtype

Enhanced articulation and coordination among the different initiatives is expected to facilitate possible economies of scale, and allow for higher returns on investments. The adoption of more holistic approaches that combine measures dealing with e.g. invasives, pollution, habitat degradation, unsustainable or detrimental fishing practices and enhanced/alternative livelihoods will however be an essential condition for long-term success.

#### 1.3.5.4 EAF for spiny lobster fisheries (SAP Strategy 4A)

The management of the Caribbean spiny lobster (*Panulirus argus*) is one of the top priority areas for cooperation agreed to under the 2012 *CRFM-OSPESCA Joint Action Plan*. As has been stated under Section 1.2.3, the Caribbean spiny lobster, which is known to be highly migratory - particularly during its larval stage (Butler et al., 2009) -, is an economically important fishery for a large number of CLME+ countries generating an estimated USD 456 million to fishers per year (Ehrhardt, N. M; 2005). The lobster chain, from harvest to distribution and consumption, is wide ranging throughout the Caribbean and beyond. Apart from retailers and restaurants, the principal chain actors are the importers, processors/exporters located in the Caribbean, various types of intermediaries, fishers, and regional and international consumers (Monnereau, I. and Helmsing, A.H.J. 2010).

It is estimated that approximately 50,000 lobster fishers are active in the Caribbean region, with an additional 200,000 people working in positions related to the lobster fishery (CRFM, 2011). Among the countries that harvested Caribbean spiny lobster from 1996 through 2005 and reported those landings to the FAO, the Bahamas had the largest average annual landings, followed by Cuba, Brazil, Nicaragua, and the United States of America (CFMC, NMFS, GMFMC, SAFMC, 2008). The transboundary nature of the resource, mobile fishing fleets, and the international aspects of the lobster trade closely link the fisheries throughout the region (CRFM, 2011). This thereby requires, as was recommended by Chakalall & Cochrane (2007), that a regional, cooperative and coordinated approach is adopted in the management of Caribbean spiny lobster fisheries (Chakalall, B. and Cochrane, K; 2007). Currently, control of fishing capacities and landings are rare, and a region-wide lack of effective enforcement prevents a sustainable management of the resource (CRFM, 2011). As such, there is a need for greater coordination and integration among States and for international support (incl. from markets) when defining, agreeing and implementing management measures for this shared species.

A *Joint OSPESCA/WECAFC/CFRM/CFMC Working Group on Spiny Lobster* was re-established by the WECAFC Commission in 2012 at its 14<sup>th</sup> Session. The Joint Spiny Lobster Working Group works to develop methodologies for the assessment and monitoring of spiny lobster stocks, as well as to provide management advice to countries and regional organisations.

Sub-regionally, OSPESCA Member States have adopted binding agreements that outline management measures for the spiny lobster, including the definition of a (largely) simultaneous closed season across the Central American fisheries (and including the Dominican Republic). This shared closed season has been in effect since 2009. OSPESCA States also have harmonized minimum size and weight for harvest and trade of spiny lobster.

As part of the CLME Project, a Sub-Regional Management Plan for the Central American Lobster Fishery was drafted. The Draft Lobster Plan seeks to promote the sustainable exploitation of the resource whilst at the same time ensuring social and economic benefits for stakeholders. However, there is a need for further consultation with stakeholders regarding the proposed management actions at the regional, sub-regional, national and local levels, as buy-in across the wider range of stakeholders will be essential for success. This way, formal adoption and implementation of the

proposed plan will become possible, and broadly supported. Further, an expanse of the current geopolitically defined geographic scope of the OSPESCA arrangements for sustainable lobster fisheries is projected to take place under both the SAP and the joint CRFM-OSPESCA Action Plan.

There is thus a need for greater efforts towards coordination, collaboration and harmonisation – wherever such proves to be meaningful from a stock (ecological reason) and/or market (compliance/enforcement) perspective- across the range of the Caribbean spiny lobster. Only by doing so can a sustainable exploitation of this economically important species be secured.

Effectiveness of such regionalization of policies and regulations can further be supported by national-level actions to improve fisheries practices, such as those aimed at under the Spiny Lobster Fishery Improvement Projects (FIPs) that are currently being executed or planned in Bahamas, Honduras, Nicaragua and Brazil.

Another, mostly national-level problem but which has stirred international commotion and concern is the high level of casualties and impaired fishermen in the industrial lobster scuba diving industry in some CLME+ countries. Despite a sub-regional regulation that bans industrial lobster scuba diving activities in Central American countries, absence of immediate alternative viable legal livelihoods, or of the means to implement them, have caused delays in the national-level application of this regulation. This has in turn led to, for example, a pledge by major seafood importers in the United States of America to take action to prevent Spiny Lobster caught by acknowledged unsafe diving practices in a given CLME+ country from entering their supply chains.<sup>50</sup> At the technical level, a proposal for a transit out of the scuba diving industry in Honduras has been made (Box, S., 2013).

#### *1.3.5.5 EAF for flyingfish fisheries (SAP Strategy 5A)*

Locally important four-wing flyingfish fisheries are concentrated in the southern end of the Lesser Antilles chain. Barbados, Tobago, Saint Lucia, Martinique and to a lesser extent Dominica and Grenada all participate in the targeted fishing of the eastern Caribbean four-wing flyingfish stock. Barbados accounts for about two-thirds of the regional catch of this resource. The fishing effort for flyingfish is highly seasonal (December – June), driven by the seasonal availability of both flyingfish and the large pelagic species, particularly dolphinfish which preys upon the flyingfish.

A joint *WECAFC/CRFM Working Group on Flyingfish in the Eastern Caribbean* was established in 2012 to, amongst other things: (a) revise and finalise the (then still) draft Sub-Regional Fisheries Management Plan for Flyingfish in the Eastern Caribbean, taking into account both the need to adopt an ecosystem approach to fisheries (EAF) management as well as climate change issues; and (b) monitor and provide advice on the implementation of the adopted Management Plan. With the support of the CLME Project (2009- 2014) a Ministerial Sub-Committee on Flyingfish was established. The Ministerial Sub Committee is responsible for providing recommendations for policy and management decisions to ensure the long-term conservation, management and sustainable use of the shared flyingfish resources, and to protect and safeguard their ecosystem within the Eastern Caribbean.

The adoption of the *Sub-Regional Fisheries Management Plan for Flyingfish in the Eastern Caribbean* (Flyingfish Management Plan), developed with the support of resources from the first CLME Project, took place at the 8<sup>th</sup> CRFM Ministerial Council Meeting in Dominica in 2014. The adoption of the Flyingfish Management Plan constitutes a milestone as it is the first time that a joint

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<sup>50</sup> [www.lobsterpledge.com](http://www.lobsterpledge.com)

management plan for a shared resource has been agreed upon within the CLME<sup>+</sup> region. By adopting the Flyingfish Management Plan, the six CFRM Member States that target the fishery (i.e. Barbados, Dominica, Grenada, Saint Lucia, St. Vincent and the Grenadines<sup>51</sup> and Trinidad and Tobago) agree to a number of joint management measures.

There is however still a need to also ensure a formal agreement on the collaborative management of the flyingfish fisheries between CFRM and France, because of Martinique’s participation in the fishery. Effectiveness of the sub-regional management plan would be affected if not all countries and territories participating in the fishery agree and commit to an active collaboration in its implementation.

As the Flyingfish Management Plan represents the first sub-regional plan approved within the CLME<sup>+</sup> with an ecosystem approach focus, progress with its implementation will undoubtedly provide important insights on how other fisheries could move from “business-as-usual” to a more ecosystem-based management approach.

#### 1.3.5.6 EBM/EAF for the continental shelf ecosystem (SAP Strategy 6)

The shrimp resources in the NBSLME support one of the most important export-oriented shrimp fisheries in the world. These resources include four of the larger penaeids (seabob, southern brown shrimp, pink spotted shrimp, southern pink shrimp and southern white shrimp). The groundfish resources include red snapper, weakfish, whitemouth croaker or corvina and sea catfish, with the red snapper probably being the most important groundfish in the region because of its wide distribution range and export value. The fisheries are multi-gear, multi-species and multinational, using fishing methods that range from artisanal to industrial (Booth, A. et al., 2001).

Despite the relatively stable catches experienced within the NBSLME, overexploitation was found to be severe, with evidence pointing to several fully or overexploited stocks, esp. in the case of groundfish. Also most shrimp species in the region seem to be subjected to increasing trends in fishing mortality (Heileman, S; 2008).

A number of the countries within the NBSLME have national laws that define some form of management measure for the shrimp and groundfish fisheries. However, these laws are often outdated and were not developed taking into account the transboundary nature of stocks and therefore the shared responsibility over its management. Many of the national management plans that were developed have not been, or are yet to be approved (Table 6).

**Table 6. Status of Management Plans Developed for Fisheries within the North-Brazil Shelf**

Country	Name of Plan	Status
Suriname	National Management Plan for Seabob (2010-2015)	Approved
Brazil	National Management Plan for Shrimp (2014)	Finalised (approval pending)
Guyana	Fisheries Management Plan (2007-2011)	Not approved
Trinidad and Tobago	Management Plan for the Trawl Fishery (dev. In 1992)	Not approved

<sup>51</sup> St. Vincent and the Grenadines currently target flyingfish mainly to be used as bait for large pelagics



Combined with a scarcity of management measures that embrace the EAF concept, the level of IUU fishing activities, and even “piracy” –both considered to be substantial in the region- add to the complexity of the challenge of achieving sustainable and socially just fisheries.

Concrete steps have however been taken in the past few years, and are being planned for the immediate future, not only by governments but also by the non-governmental sector.

At the national/local level, these consist of e.g.:

- Fisheries Improvement Projects (FIPs) for red snapper fisheries in Suriname (Seafarers Inc.) and Brazil (IABS-Brasil), and for spiny lobster in northern Brazil (CeDePesca)
- Innovative interventions that exploit new technologies such as mobile phone technology to enhance the livelihoods of fisherfolk involved in small-scale fisheries and to enhance sustainability, in Trinidad & Tobago (UWI) and Brazil (Conservation International Brazil)

At the sub-regional (NBSLME) level, a Joint *WECAFC/CRFM/IFREMER Working Group on Shrimp and Groundfish Fisheries*, originally established in an *ad hoc* manner in 1986, is now expected to become formally re-activated/established following a decision of the 15<sup>th</sup> Session of the WECAFC. Draft revised Terms of Reference (ToRs) have been developed and need to be discussed and agreed upon by the participating countries and partners. The scope of the working group will be to provide scientific and management advice for the sustainable management of the shrimp and groundfish resources of the *northern Brazil-Guianas shelf* (~the NBSLME region), with due attention for the principles of EAF.

Notwithstanding these positive steps, as recognized during the governance assessments conducted under the CLME Project more solid transboundary governance arrangements to ensure the effective adoption of EAF and to facilitate a more holistic EBM-based approach to the solution of the 3 interlinked priority problems identified under the CLME TDAs (i.e. unsustainable fisheries, habitat degradation and pollution), are yet to be put in place in this distinct sub-region of the CLME<sup>+</sup>.

Mangrove stands in the NBSLME are among the most important in the world, in terms of e.g. their uninterrupted extension. They are often associated with extensive networks of coastal lagoons and/or deltaic systems, and are hence supportive of substantial and globally important biodiversity. These same systems have proven to be critical nursery grounds for many of the fish stocks important to both commercial and small-scale fisheries. Earlier on, it was already indicated in this document how studies in Suriname have shown how 60-80% of all fish sold at coastal fish markets originated from mangrove areas (Finlayson and Moser, 1991). It was however especially their recognized role in coastal protection that led Guyana, with the support of the European Union and in light of the threats posed by climate change, to implement the Guyana Mangrove Restoration Project.<sup>52</sup> Direct and indirect benefits for the coastal and marine ecosystems of the NBSLME can also be derived from the work conducted to better protect the provision of goods and services from adjacent terrestrial ecosystems, under the well-established UNDP “Guiana Shield Facility” initiative<sup>53</sup>.

Besides the issues of unsustainable fishing practices and threats to critically important coastal habitats, the issue of pollution has also been brought forward by stakeholders at the consultation processes held during the CLME Project. Excessive sediment and nutrient loads, and pollution by mercury and other toxic elements/compounds from mining activities<sup>54</sup>, are having a –still to be

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<sup>52</sup> <http://www.mangrovesgy.org/home/>

<sup>53</sup> [http://www.undp.org/content/brussels/en/home/partnerships\\_initiatives/results/guiana-shield/](http://www.undp.org/content/brussels/en/home/partnerships_initiatives/results/guiana-shield/)

<sup>54</sup> E.g. both large-scale as well as small-scale (incl. illegal) gold mining activities are expanding rapidly along the Guiana Shield region, boundary to the NBSLME

adequately quantified – impact on coastal and marine habitats and associated living resources in the NBSLME.

The inclusion of specific Actions under Strategies, 1, 2, 3 and 6 of the CLME<sup>+</sup> SAP, together with the high-level political endorsement of the SAP document, makes it now possible for the CLME<sup>+</sup> Project to provide a formal platform for catalytic actions to enhance the transboundary governance arrangements needed to facilitate EAF/EBM, and to support the demonstration of on-the-ground solutions in the NBSLME.

#### *1.3.5.7 Knowledge exchange, M&E and Decision-Support Tools (cross-cutting, all SAP Strategies)*

Due consideration has been given across all strategies under the CLME<sup>+</sup> SAP to the need for better decision-making processes based on enhanced access to, and use of quality data and policy-relevant knowledge derived from science. This includes data on the valuation of ecosystem goods & services.

At a regional level, one of the oldest initiatives for knowledge exchange are the **annual meetings of the Gulf and Caribbean Fisheries Institute (GCFI)**. The GCFI was founded in 1947 to promote the exchange of current information on the use and management of marine resources in the Gulf and Caribbean region. From its beginning, GCFI has endeavoured to involve scientific, governmental, and commercial sectors to provide a broad perspective on relevant issues, and to encourage dialogue among groups that often operate in relative isolation from one another. It is anticipated that, during the SAP and CLME<sup>+</sup> Project implementation period, the annual GCFI meetings and associated side events can provide an important platform for exchange of knowledge and for critical review and discussion. A first step in this direction was taken in 2014, when the 67<sup>th</sup> GCFI meeting adopted a meeting agenda, subdivided in sessions which were reflective of the different Strategies of the CLME<sup>+</sup> SAP. Side events can further be used to build upon this annual confluence of key stakeholders for the purpose of planning of synergies and of collaborative efforts among members of the CLME<sup>+</sup> Partnership.

Efforts to establish platforms that can provide access to specific data and indicator sets, which can then be used in the context of the monitoring and evaluation of progress and impacts, and in support of decision-making, have been undertaken by a series of initiatives relevant to the CLME<sup>+</sup> SAP.

Such efforts include (but are not limited to) the preliminary work conducted under the CLME Project (**IMS-REMP**); the work by FAO on the **Fishery Resources Monitoring System (FIRMS)**; the establishment by TNC of a sub-regional GeoNode (called “**CaribNode**”) for MPA/MMA-related M&E and decision-support at the level of the OECS member states; **CamPam**’s online database and IUCN’s work on the “**Caribbean Observatory**” (BIOPAMA), both for marine protected areas; and the **Caribbean Marine Atlas** initiative. This last initiative has now been partially re-shaped under its second phase (i.e. the “**CMA2 Project**”) to be in full alignment with, and with the idea of becoming mutually supportive with the CLME<sup>+</sup> Project, in the context of the M&E of the implementation of the CLME<sup>+</sup> SAP. Encompassing the broader environment (not just marine) and the full Latin American and Caribbean region is the **LAC Initiative for Sustainable Development (ILAC)**, led by UNEP ROLAC. Relevant also in this context is to mention the Indicators Working Group of the LAC Forum of Ministers of Environment.

At the global level, but with compatible, nested initiatives nationally within the CLME<sup>+</sup>, Conservation International has been championing the development of the **Ocean Health Index (OHI)**. Additional international efforts worth mentioning under this baseline are the “international waters” and “governance” indicator-related efforts under the GEF-funded **TWAP**, **LME COP** and **IW:LEARN**

projects, as well as the **GEF IW Tracking Tool**, and the UN-steered **World Ocean Assessment**. The **World Database on MPAs**, the **Global Coral Reef Monitoring Network**, the **World Atlas of Mangroves** and the **Global Fisheries Improvement Projects (FIPs)** database (amongst many others) are other sources of reference, within a world-wide labyrinth filled with often much less authoritative information sites.

Demands for platforms have also arisen from e.g. mandates to report (and provide access to data) on the status of the global environment. At the CLME<sup>+</sup> level, formal reporting obligations for **State of the Convention Area Reporting (SOCAR)** exist under the LBS Protocol of the Cartagena Convention, where developments will be steered by UNEP CEP. During 2015 and at the level of Latin America and the Caribbean, UNEP ROLAC will be elaborating an updated **Regional Integrated Environmental Assessment GEO LAC**, through UNEP's online knowledge platform UNEP Live.

Work on the valuation of ecosystem goods and service for the Caribbean has been conducted by, a.o., the **World Resources Institute (WRI)**, and an analysis on existing work with recommendations on the way forward was produced under the CLME Project by **CERMES (UWI)**. Recently, platforms have also been created, such as the **Marine Ecosystem Services Partnership (MESP<sup>55</sup>)** to provide access to the results from valuation studies from across the globe.

Preliminary (baseline) inventories of potential useful pre-existing platforms in the CLME<sup>+</sup> region and beyond, and of best practices and technologies, and data and indicator sets typically required in the context of integrated coastal zone and shared living marine resources management, were produced following a participatory approach during the CLME<sup>+</sup> (PPG)-supported CMA2 inception workshop in August 2014.

Despite the existence of these many different initiatives, substantial challenge still remain, to fully address the data and knowledge-related needs, and decision-support mechanisms, described under the different Strategies of the CLME<sup>+</sup> SAP.

### 1.3.6 Business as Usual versus the Alternative Scenario

Notwithstanding the progress and (local/intermediate) successes referred to under the previous section, the cost-effectiveness and efficiency of actions, the potential for further up-scaling, and the overall impacts and sustainability of these outcomes -in terms of their expected environmental and socio-economic benefits- are often not materialized or at risk. For these benefits to be fully realised, the need for a functional governance framework at the overarching LME level - providing regional coordination, harmonization and monitoring and evaluation of efforts, building human and institutional capacity, improving knowledge and information levels and promoting sustainable financing mechanisms - must be urgently addressed.

Many existing and planned activities are aligned in their objectives with, and are essential for the achievement of the overall objectives of the CLME<sup>+</sup> SAP. However, many of these initiatives have been, or are being developed and implemented in an “*ad hoc*” manner, and issues are often being dealt with intermittently (“opportunity-based”). Such situation substantially increases the risks of: (i) gaps or overlaps in coverage of key issues, (ii) isolation/dis-continuation of efforts, (iii) competition amongst organizations and countries/stakeholders for limited donor funds, and inefficient use of funds; and (iv) insufficient tracking of progress & results, and disregard of the baseline in the development of new initiatives.

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<sup>55</sup> MESP for example already harvested results obtained from the CLME Project

The former is at least in part a consequence of the fact that adequate overarching governance arrangements and strategic frameworks for coordinated action have not been established. In light of this and despite the many efforts, many of the region's marine resources continue to be threatened and in decline. The rising threats posed by climate variability and change further make the systematic mainstreaming of climate change adaptation considerations increasingly urgent.

The broad political endorsement in 2013 of the 10-year *CLME+ SAP* now provides the region with an important reference framework for coordinated action. A critical barrier to achieving the objectives of this SAP are the costs of actions –including those of the operationalization of interim coordination arrangements- required to kick-start SAP implementation. In case the Alternative Scenario (i.e. catalyzing implementation of the *CLME+ SAP* through the GEF-funded co-financing of associated incremental costs) cannot be implemented, the baseline scenario will be maintained, and the region will fail to address -in a comprehensive and integrated way- the key root causes described under Section 1.3.2.

Under such a scenario, it is expected that overall environmental degradation will continue, and that:

- critical fish stocks -economically and socially very important to the region- will not become sufficiently restored, and that Maximum Sustainable Yield (MSY) across relevant geographic ranges will not be achieved;
- the specific areas and/or total extension of key habitats and ecosystems that become protected, restored and well-managed under such BaU scenario, will be insufficient to optimize the delivery of goods and services from sLMR in a sustainable and climate-resilient way.

Under this scenario delivery of such goods and services will become further impaired. Offsetting increased contaminant loads from a growing population will be insufficient, as investments in prevention, mitigation and remediation would be inadequate or too limited. Some of the associated socio-economic impacts foreseen include: increased unemployment and poverty, impacts on human health and well-being, forced migration, and a rise in illegal activities and conflicts among countries and stakeholder groups.

## 2 Project Strategy

### 2.1 Rationale

#### 2.1.1 CLME+ Project: catalyzing SAP implementation

As part of the strategic approach towards the achievement of the long-term vision for the marine environment in the CLME+ (Section 1.3.3.1), both short-term actions *-to be implemented within the first 5 years-* and medium-term actions *-to be completed within 6-10 years-* have been proposed under the 10-year CLME+ SAP.

It is now the aim of the CLME+ Project to help catalysing the implementation of the SAP during a 5-year period. Efforts under the project will therefore primarily contribute to creating the enabling conditions for improved and sustainable sLMR governance and management in the CLME+ region, with an initial focus on integrating the management of fisheries approaches with those for the protection of the marine environment. As such, the project objective will be to facilitate the implementation of the EBM/EAF approach for the 3 key CLME+ ecosystems and associated key fisheries, in line with the Strategies and Sub-Strategies of the endorsed SAP.

As part of the project rationale and sustainability strategy, increased awareness among the broader stakeholder community will be built, and additional stakeholders will become increasingly involved – including the private sector and international or regional development banks; due attention will also be given in this context to gender concerns. Expansion of both the scale of the actions and of the initial scope of the programme (e.g. by more fully integrating other productive sectors such as shipping and oil/gas) can then be gradually planned, and a progressive shift from facilitation of governance arrangements to full-scale implementation of management actions will be pursued.

#### 2.1.2 CLME+ Project Components

The CLME+ Project consists of **five complementary and inter-linked components**, as illustrated in Figure 11 below. The 5 components reflect the Project Rationale and Strategy, and are designed to collectively deliver the Project's objective: *Facilitating EBM/EAF in the CLME+ for the sustainable and climate resilient provision of goods and services from shared living marine resources.*

Each project “*component*” bundles a particular kind of activities and expected “*outputs*” or needs. Together, the activities (and associated outputs) bundled under a single project component will typically contribute to more than one SAP “*Strategy*”<sup>56</sup>. Consequently, any given project components’ “*outcome*” (i.e. result) will generally relate to multiple SAP Strategies.

As will become clear under Section 2.4., each project *output* may consist of different “*elements*”. The “*activities*” that are proposed under the Project for each of these *elements* are also listed under Section 2.4.

Many of the SAP's actions focus on addressing the root causes of transboundary problems (see Section 1.3.2. and Figure 10). The SAP recognizes in this context that structural changes and enhanced management capacity are essential pre-conditions for the up-scaling of impacts at larger spatial scales. However, it is important to acknowledge that results from such changes - in terms of effective, region-

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<sup>56</sup> e.g. activities to enhance governance arrangements are needed under both SAP Strategy 1, 2 and 3

wide improvements in environmental and socio-economic conditions in the CLME<sup>+</sup> - may only be obtained in the medium- and longer term.

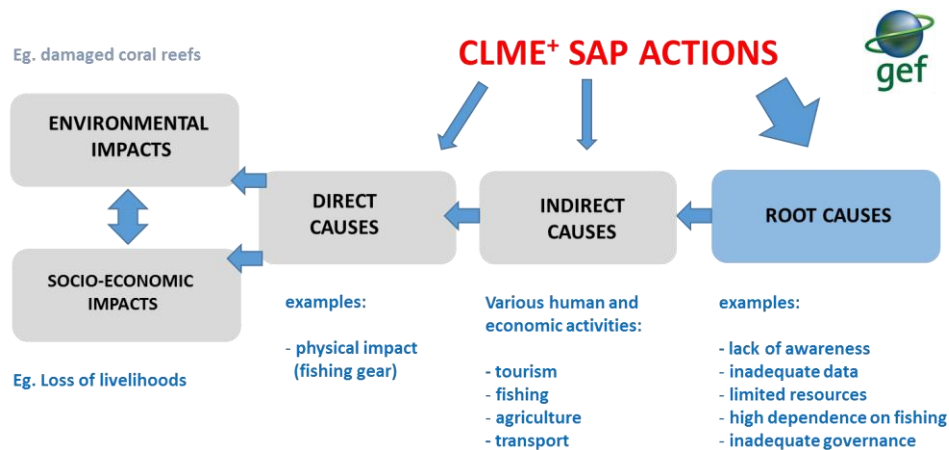


Figure 10. The CLME<sup>+</sup> SAP puts major focus on the root causes of environmental degradation, as a means to facilitate and optimize those native governance processes that will ultimately lead to enhanced conditions in the socio-ecological system

### COMPONENTS OF THE CLME<sup>+</sup> PROJECT

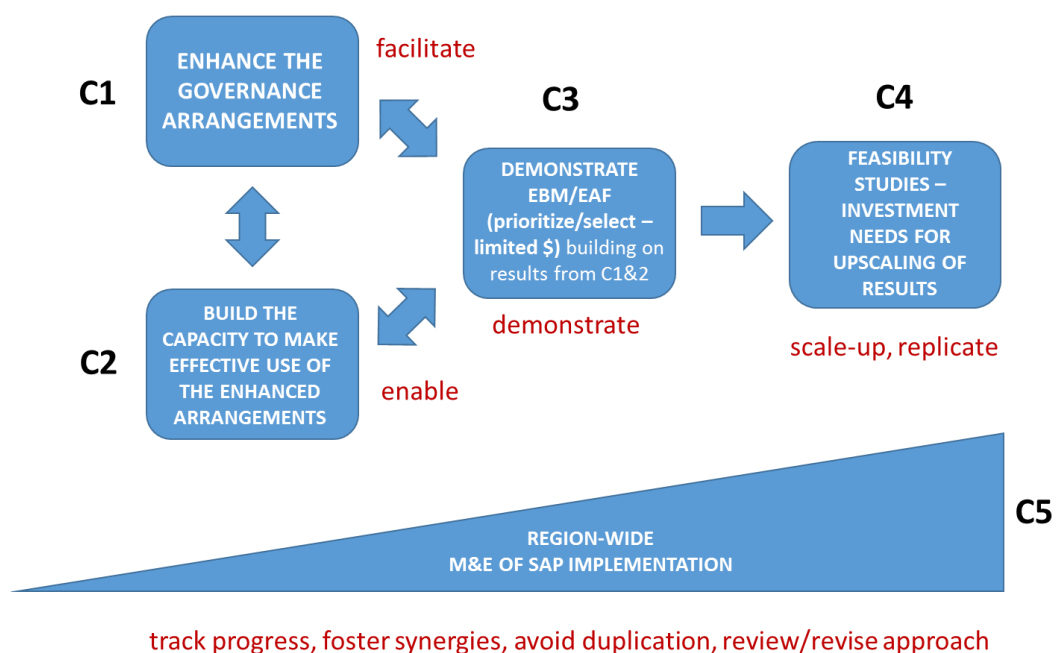


Figure 11. Complementarity, linkages and catalytic effects on overall SAP implementation of the 5 Components of the CLME<sup>+</sup> Project

In recognition of the above, the CLME<sup>+</sup> Project’s actions for structural changes in institutional, policy and legal frameworks (**Project Component 1**), and for increased human and institutional capacity and knowledge (**Project Component 2**), will be combined with a progressive implementation of measures

that will lead to “stress reduction”<sup>57</sup>, including innovative interventions<sup>58</sup>, and initiatives geared towards the replication and the incipient up-scaling of early results (especially under **Project Component 3**). In this way, as the region prepares for a major up-scaling of investments under the SAP: methods, technologies and techniques will be tested; best practices will be captured; and lessons learnt will be documented and shared.

In addition to the above, high-priority investments needed to achieve large-scale stress reduction in the medium term will be analysed under the CLME<sup>+</sup> Project, and associated investment opportunities and options will be identified and agreed upon (**Project Component 4**). Results from this process will facilitate full-scale implementation of the CLME<sup>+</sup> SAP (this is expected to result in a major up-scaling, towards the second half of the first decade of SAP implementation and beyond, of on-the-ground actions in the CLME<sup>+</sup> region).

This way, the CLME<sup>+</sup> Project is expected to kick-start a large-scale process that will lead to a more economically productive ocean, with benefits for coastal communities and ocean-linked businesses, and improved overall human well-being and social equity, while significantly reducing environmental risks and ecological scarcities (“Blue Economy”, UNEP 2013).

Synergies among projects and initiatives in the CLME<sup>+</sup> region will be fostered through the monitoring and assessment frameworks and the knowledge management and exchange mechanisms developed and implemented under **Project Component 5**. This component will further provide the means to track progress towards both specific and overall objectives of the CLME<sup>+</sup> SAP, and offer meaningful guidance for project managers and practitioners, regional governments and stakeholders, and donors alike, as it will facilitate both adaptive management and the identification of opportunities for synergies and collaboration.

The above approach is consistent with the aim of achieving enhanced human well-being (as a consequence of improved marine ecosystem status and protection) by addressing several of the most important root causes of environmental degradation in the Caribbean: weak governance arrangements (e.g. Component 1), and lack of human and financial capacity (e.g. Components 2, 3 and 4), inadequate knowledge, awareness and participation (e.g. Components 2, 3, 4 and 5), and inadequate ecosystem valuation in decision-making (e.g. Components 2, 3, 4 and 5), etc.

The five Project Components and their associated outcomes and outputs are further described in greater detail under Section 2.4. Table 7 below shows how root causes identified under the CLME TDAs will be addressed through the different project components.

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<sup>57</sup> full EAF/EBM policy cycle runs throughout the project implementation period, following an adaptive management approach

<sup>58</sup> with special attention for enhanced/alternative livelihoods

**Table 7. How the CLME+ Project components will address root causes identified under the CLME TDAs**

PROJECT COMPONENT	ROOT CAUSES THAT THE COMPONENT WILL ADDRESS
<ul style="list-style-type: none"> <li>• Enhancing the Governance Arrangements</li> </ul>	<ul style="list-style-type: none"> <li>• Weaknesses in governance arrangements (all Outputs)</li> <li>• Limited access to data &amp; information (e.g. Output 1.4,...)</li> <li>• Limited awareness (e.g. Output 1.1., 1.2., 1.3,...)</li> <li>• Limited financial resources (e.g. Output 1.5.,...)</li> <li>• ...</li> </ul>
<ul style="list-style-type: none"> <li>• Institutional &amp; Human Capacity building</li> </ul>	<ul style="list-style-type: none"> <li>• Limited human resources and human &amp; institutional capacity (<i>e.g. Outputs 2.1., 2.5.,...</i>)</li> <li>• Inadequate (access to) data &amp; information, knowledge (<i>e.g. Outputs 2.3., 2.6.,...</i>)</li> <li>• Inadequate awareness and participation of civil society and private sector, and the research community (Academia) (<i>e.g. Outputs 2.2., 2.4., 2.6.,...</i>)</li> <li>• Inadequate information on, and consideration of the value of ecosystem goods &amp; services (<i>e.g. Outputs 2.1, 2.6.,...</i>)</li> <li>• ...</li> </ul>
<ul style="list-style-type: none"> <li>• Transition to EBM/EAF</li> </ul>	<ul style="list-style-type: none"> <li>• Weak governance arrangements (<i>e.g. Outputs 3.1.– 3.4.,...</i>)</li> <li>• Limited capacity (<i>all Outputs</i>)</li> <li>• Inadequate (access to) data &amp; information (<i>e.g. Outputs 3.1.– 3.4.,...</i>)</li> <li>• Inadequate civil society and private sector awareness &amp; involvement (<i>all Outputs, Output 3.5.</i>)</li> <li>• Inadequate information on, and consideration of the value of ecosystem goods &amp; services (<i>e.g. Outputs 3.1.– 3.4.,...</i>)</li> <li>• ...</li> </ul>
<ul style="list-style-type: none"> <li>• Feasibility Studies &amp; Investment Plans</li> </ul>	<ul style="list-style-type: none"> <li>• Limited financial resources (<i>Output 4.2.</i>)</li> <li>• Inadequate participation of civil society and private sector (<i>both Outputs</i>)</li> <li>• Inadequate information &amp; knowledge (<i>Output 4.1.</i>)</li> <li>• Inadequate consideration of the value of ecosystem goods &amp; services (<i>e.g. Outputs 4.1, 4.2.,...</i>)</li> <li>• ...</li> </ul>
<ul style="list-style-type: none"> <li>• CLME+ Partnership, and M&amp;E of SAP implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Weak governance arrangements (<i>all Outputs</i>)</li> <li>• Limited human &amp; financial resources (<i>e.g. Outputs 5.1</i>)</li> <li>• Inadequate (access to) data &amp; information/knowledge (<i>e.g. Outputs 5.2, 5.3.</i>)</li> <li>• Inadequate awareness &amp; involvement of civil society &amp; private sector (<i>e.g. Outputs 5.1, 5.3.</i>)</li> <li>• ...</li> </ul>



### 2.1.3 Results-based management

Jointly, the five components of the CLME<sup>+</sup> Project are expected to achieve the project objective outlined above in Section 2.1.2 and detailed in the Results Framework (Section 3). The process of monitoring and assessment, as an integral element of results-based project management, is described fully in Section 2.4. The current section describes the tools and conceptual approaches that will be adopted to achieve the goals of the project, consistent with the project planning, and monitoring and evaluation (M&E) approach.

The over-arching (medium to long-term) goal for this project, *improving/assuring human well-being in the CLME<sup>+</sup>*, is intrinsically linked to *improved ecosystem and fish stock conditions*. These improved conditions are expected to be obtained in such a way that *social justice for all stakeholders*<sup>59</sup> is enhanced. This in turn will require that actions to *reduce or limit environmental/ecosystem stressors* are identified and implemented, through a step-wise process in which *key stakeholders are adequately engaged*. The “*Governance Effectiveness Assessment framework*” (Figure 12), adapted from the GEF Transboundary Waters Assessment Programme (TWAP, GEF ID 4489), thus provides a useful tool for results-based planning, coordination and management of activities under the CLME<sup>+</sup> Project and its Sub-Projects and interventions. Application of the framework will ensure that several of the root causes described under Section 1.3.2 (e.g. weaknesses in governance arrangements/architecture, weak capacity, and lack of stakeholder participation) are systematically addressed. The framework further also allows for the systematic incorporation of additional critical considerations pertaining to the fields of gender, interactive governance and readiness for climate change<sup>60</sup> into the planning and evaluation processes of CLME<sup>+</sup> Project activities. In addition to the GEAF, a modified “DPSIR<sup>61</sup> framework”, a well-established decision-support tool, is also being proposed to manage the successful implementation of this project (and by extension also other relevant activities under the CLME<sup>+</sup> SAP) towards *maximal results*.

Identifying, agreeing upon, and implementing cost-effective responses to efficiently address undesired environmental and socio-economic impacts from human actions requires a sound, participatory decision-making process that is ideally steered by organizations and institutions with a formal and broadly recognized mandate, and that makes use of the best available knowledge. Achieving effective shared living marine resources governance in the CLME<sup>+</sup> therefore demands a solid institutional/organizational framework, under which mandates for the functions of (i) analysis and advice; (ii) decision-making; (iii) implementation; (iv) review and evaluation; and (v) data & information management, are clearly assigned, and associated with well-defined thematic and geographic scopes. The baseline study (CLME/ UWI-CERMES, 2012) on governance architecture and process operationalization for sLMR management in the CLME<sup>+</sup>, provided key inputs for the development of the CLME<sup>+</sup> SAP, and remains an important reference framework for CLME<sup>+</sup> Project implementation.

These tools, together with the project M&E system will assist in assuring the achievement of the Project’s planned objective and outcomes.

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<sup>59</sup> With specific consideration of the gender dimensions of the expected outcomes

<sup>60</sup> Four key criteria that will be associated with the relevant process and impacts/status components of the GEAF are: (a) for gender: gender equality, and empowerment of women; (b) for climate readiness: robustness of proposed solution/management measures, and their contributions to enhanced resilience.

<sup>61</sup> Drivers, Pressures, Status, Impact, Response (for more details: see the “Strategy” sections of the *Sub-Project Annexes* to this Project Document)

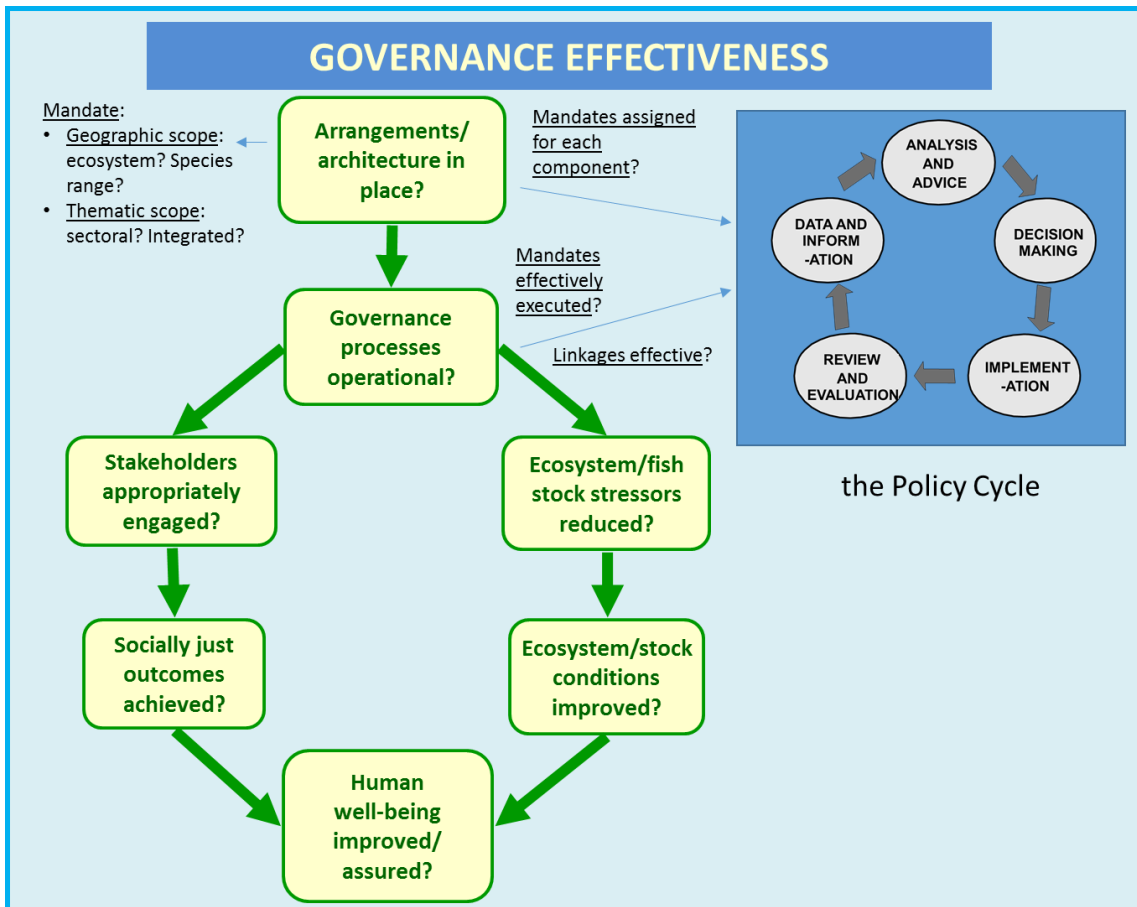


Figure 12. The adapted “Governance Effectiveness Assessment” framework used for this Project linking improved socio-economic and ecosystem conditions to more effective governance arrangements and processes

#### 2.1.4 Climate proofing of CLME+ actions and activities

The project's objective: "*Facilitating EBM/EAF in the CLME+ for the sustainable and **climate resilient** provision of goods and services (...)*" includes the explicit expectation that the solutions proposed under the project are "*climate-proofed*". This means that, wherever feasible, climate change considerations<sup>62</sup> should be brought into the equation during any major project-related analysis and decision-making process. In other words, climate change considerations will need to be mainstreamed into the programme of activities and the overall management of the CLME+ Project (e.g. development of the detailed stakeholder involvement plan, the project communication strategy, the action plans, pre-feasibility studies and investment plans, etc.)

During project implementation, the CLME+ Project will therefore seek to partner with regional organisations that can help in the assessment, and the raising of awareness among CLME+ partners and stakeholders, of the potential impacts of climate change and variability on the region's coastal communities, habitats and resources.

Such partnerships will help in the identification of solutions that are robust in the face of uncertainty associated with climate change, and/or contribute to enhancing the resilience of the socio-ecological systems under consideration. "Robustness" and "contributions to enhanced resilience" will therefore be 2 important criteria for the CLME+-proposed solutions. As indicated also under Section 0, the systematic incorporation of these criteria is compatible with the adoption of the GEAF framework as a planning and monitoring tool.

During the further fine-tuning, execution and adaptive management of the CLME+ Project, reference will further also be taken of the recommendations in the GEF IW:LEARN Guidance Manual on Climate Variability and Change (GEF-IW LEARN, 2014).

#### 2.1.5 Gender Mainstreaming

The need to give due consideration to gender concerns in CLME+ project planning, execution and M&E has already been briefly but specifically referred to under Section 2.1.1.

In this context, Sections 2.1.3 ("*Results-Based Management*"), 2.4. ("*Project Indicators and Impact Monitoring*") and 2.11 ("*Stakeholder Involvement Plan*") make specific reference to the gender dimension and to the GEF's "*Results Framework for Gender Mainstreaming in GEF Operations*". As indicated under these Sections, the adoption by the CLME+ Project of the "*Governance Effectiveness Assessment Framework*" (GEAF) and the promotion of its systematic use as a planning and monitoring tool, will allow to systematically include the gender dimension in project activities and beyond, through the following planning & evaluation elements of this framework: "*operational governance processes*", and the associated element "*appropriate engagement of stakeholders*", and the outcome element "*socially just results*".

Consideration of gender concerns in project planning and expected outcomes is also reflected through related, specific references included under Section 0 (esp. Sub-Sections 2.3.1, 2.3.2 and 2.3.3) and Section 3, and in specific elements of the results frameworks under the Sub-Project "ProDocs" (Annexes 4-7). In the context of the latter and through the use of the GEAF, it is expected that

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<sup>62</sup> Consideration will be given in this context to collaboration with academic partners involved in coupled climate modelling that integrates marine ecosystems at the scale of the CLME into these models (prospective partners: NOAA, GFDL @ Princeton, WHOI, Scripps, etc.).

additional elements will be added through the participatory processes to be undertaken during project implementation

**Table 8. Approach for Gender Mainstreaming under the CLME+ Project**

(adoption of the GEF Results Framework)

Objectives <sup>63</sup>	Gender Indicators	Approach taken/Means of Verification
<ul style="list-style-type: none"> <li>• Project design fully integrates gender concerns</li> <li>• Project implementation ensures gender equitable participation in and benefit from project activities</li> </ul> <p>Project monitoring and evaluation give adequate attention to gender mainstreaming</p>	<ul style="list-style-type: none"> <li>• Project conducts gender analyses during preparation and/or execution</li> <li>• Incorporation of gender sensitive project results framework, including specific gender sensitive actions, indicators, targets, and/or budget</li> <li>• Share of women and men as direct beneficiaries of project National/regional policies, plans and strategies that incorporate gender dimensions</li> </ul> <p>Project Implementation Reports, Mid-term Evaluation Reports, and Terminal Evaluation Report that incorporates gender equality/women’s empowerment issues and assess results/progress</p>	<ul style="list-style-type: none"> <li>• Systematic adoption of GEAF approach for (participatory) planning and evaluation purposes, by both the main project and its sub-projects</li> <li>• Specific references under Section 0, e.g.:               <ul style="list-style-type: none"> <li>- Outputs 1.2, 1.3, 2.1, 2.2, 2.5, etc.</li> </ul> </li> <li>• Specific references under the results framework (Section 3), e.g.:               <ul style="list-style-type: none"> <li>- Output 1.3. (Target B)</li> <li>- Output 2.1.</li> <li>- Output 2.2. (Target C)</li> <li>- Output 3.2 (see also Annex 4 - O4.3.T.P11)</li> <li>- Output 3.3 (Target C; See also Annex 5 – O2.2)</li> <li>- ...</li> </ul> </li> <li>• Project and Sub-Project Meeting Reports; Gender balance in project and sLMR governance bodies; PIRs; Mid-term Evaluation and Terminal Evaluation Reports</li> </ul>

### 2.1.6 Conformity of the Project with GEF Policies and Focal Area Strategies

Even though the GEF funding to co-finance the CLME+ Project will originate from the “*International Waters Focal Area*” allocation under the 5<sup>th</sup> Replenishment of the GEF Trust Fund (“GEF5”), the project’s conceptual design is also in line with the GEF’s rationale of promoting synergies among focal areas, and gives due consideration to the relevant, updated focal areas strategies under GEF6 (2014-18). Through the CLME+ Project, multiple Global Environmental Benefits (GEBs)<sup>64</sup> will be secured across the International Waters (IW) and Biodiversity (BD) Focal Areas.

The CLME+ project is consistent with the GEF5 and GEF6 International Waters strategy, goals and priorities:

#### **GEF5 International Waters Strategy:**

The project is designed to catalyze full-scale implementation of the endorsed CLME+ SAP and will primarily address the Strategic Objective IW-2: *Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems while considering climatic variability and change.* In addition, it will contribute to Objective IW3: *Support foundational capacity*

<sup>63</sup> Compatible with the GEF Results Framework for Gender Mainstreaming in GEF Operations

<sup>64</sup> <http://www.thegef.org/gef/GEB>

*building, portfolio learning and targeted research needs for joint ecosystem-based management of transboundary water systems.*

In addressing these Strategic Objectives the project is expected to realise Outcome 2.1 (*Implementation of agreed SAPs incorporates ecosystem-based approaches to management of LMEs,....*), Outcome 2.2 (*Institutions for joint ecosystem based and adaptive management for LMEs....*), Outcome 2.3 (*Innovative solutions implemented for reduced pollution rebuilding or protecting fish stocks....*). Outcome 2.4 has been addressed during the development of the CLME<sup>+</sup> SAP.

Under IW3, Outcome 3.1 (*Political commitment, shared vision, institutional capacity for joint ecosystem based management....*), Outcome 3.2 (*On-the-ground modest action implemented in water quality,....fisheries and coastal habitats....*) and Outcome 3.3 (*IW portfolio capacity and performance enhanced...)* will be realised.

#### **GEF6 International Waters Strategy:**

Even though -as was stated previously - GEF co-financing support for the project originates from GEF5, the project is very well aligned with Objective 3 of the International Waters Focal Areas Strategy under GEF 6. Through the CLME<sup>+</sup> Project, the region will seek to *catalyse investments to support the rebuilding of fish stocks, restore and protect coastal habitats and reduce pollution of the CLME<sup>+</sup>.*

Through synergetic actions, including through coordination with other programmes, projects and initiatives (PPIs), CLME<sup>+</sup> efforts will also contribute to the GEF6 Strategy on Biodiversity:

#### **Biodiversity Strategy:**

The project will contribute to the maintenance and/or restoration of the capacity of the pelagic, continental shelf, reefs and associated ecosystems to provide goods and services in support of sustainable human development and wellbeing, including through the conservation and sustainable use of habitats and biodiversity. More specifically, the project will contribute to Objective 1: *Improve sustainability of protected area systems*, Objective 2: *Reduce threats to globally significant biodiversity*, Objective 3: *Sustainable use of biodiversity*, and Objective 4: *Mainstream biodiversity conservation and sustainable use into production landscapes and seascapes and production sectors*. The project will contribute to: Outcome 1.2 (*Improved management effectiveness of protected areas*); Outcome 2.1 (*Increase in area of terrestrial and marine ecosystems of global significance in new protected areas*); Outcome 2.2 (*Improved management effectiveness of new protected areas*); Outcome 4.1 (*Improve management frameworks to prevent, control and manage invasive alien species (IAS)*); Outcome 6.1 (*Integrity and functioning of coral reef ecosystems maintained and area increased*); and Outcome 10.1 (*Biodiversity values and ecosystem service values integrated into accounting systems and internalised in development and finance policy and land-use planning and decision-making*).

The project seeks to demonstrate global benefits, by advocating EBM as a means to achieve a sustainable provision of coastal and marine ecosystem goods & services, including through sustainable fisheries and through the promotion of alternative options for enhanced livelihoods. Policy, institutional and legal initiatives and reforms and strategic partnerships will contribute to critical targets such as the recovery of fish stocks/sustainable fisheries, a.o. Habitat restoration, preservation and management actions will reduce stresses on ecosystems and fish stocks.

In working towards these GEF Strategic Objectives and Outcomes, the project will advance EBM-based actions that are consistent with the expectations under the applicable regional and global conventions

and agreements (e.g. the Cartagena Convention and its protocols, WSSD, Aichi targets of the CBD, etc.).

## 2.2 Incremental reasoning, and global, regional, national and local benefits

### 2.2.1 Incremental reasoning

Between 2009 and 2014, under the *foundational capacity and trust-building* “CLME Project”, unprecedented momentum was created in the CLME<sup>+</sup> region in the move from a sectoral, geographically fragmented approach to living marine resources management (the “*business-as-usual*” or BaU approach) to a more regionally integrative, *ecosystem-based approach*. During 2013, these efforts culminated in the region-wide political endorsement of a 10-year action programme (the CLME<sup>+</sup> SAP). As a “*roadmap*” document, the SAP now constitutes a fundamental part of the new baseline situation in the region.

However, as recognised in the SAP, the multitude of actions that will be needed, and the level of coordination among actions that will be required to fully address the key environmental problems in the CLME<sup>+</sup>, pose a major challenge towards its implementation. In order not to lose the created momentum, it is critical that SAP implementation can now be immediately initialized for an initial 5 years. Further catalytic and transitory support is therefore urgently needed to help co-finance the incremental costs of urgent transboundary action. During such period with transitional support, long-term sustainable financing mechanisms can then further be analysed and identified (see also Section 1.3.4 and 1.3.6.). It is precisely this critical immediate need for catalytic transboundary action which underpins and justifies the request for GEF financial support.

Many of the actions implemented and/or planned by the multitude of other initiatives and donors in the CLME<sup>+</sup> Region focus on dealing with the direct causes of environmental degradation, and/or have a more limited, sub-regional, national, or even local-level scope. In the current, socio-economically complex regional context, and with the reality of capacity constraints faced by the regions’ many SIDS, it is common for countries to give preference to such local/direct actions as they hold the potential to deliver more immediate, on-the-ground results - even if the scale of these actions may be too local to achieve delivery of region-wide or global benefits. Positive outcomes from such actions may easily become undone if coordination across sectors and sites/countries is not ensured, and root causes are not adequately dealt with.

The GEF (co-)funded CLME<sup>+</sup> Project activities will therefore put special emphasis on: (a) addressing root causes and barriers; (b) catalysing the adoption and implementation of EBM/EAF in a more meaningful region-wide context; and (c) fostering the replication and up-scaling of results (Sections 1.3. and 2.1.). The absence of GEF funding would not allow such activities to take place in a coordinated way. Under such scenario, the region would see a continuation of “business as usual”, with the persistence of the root causes that were identified by the TDA.

In the transitional phase, moving away from “*business-as-usual*” and towards a better integrated, multi-level and multi-sectoral governance approach will involve substantial incremental costs, which cannot be borne by the region itself.

Specific requirements for incremental cost (co-)funding from the GEF therefore include:

- further consolidation of the multi-level, nested governance framework for the CLME<sup>+</sup>
- the kick-starting of major transboundary and cross-regional coordination efforts

- the demonstration of innovative (EBM/EAF) approaches to sLMR management
- the M&E of progress and results from SAP implementation efforts

Transition towards these more solid management and coordination arrangements will then also allow to gradually reduce the often too high levels of dependency on support from (exclusively) traditional donors<sup>65</sup>.

Details on the allocation of financial support from the GEF across the different CLME<sup>+</sup> Project components are provided under Section 4. GEF co-financing requests for the project are compliant with the GEF Incremental Cost Policy<sup>66</sup>.

### 2.2.2 Global, regional and national benefits

Ensuring that the move towards EBM/EAF is made within the next decade will be critical to safeguard a provision of CLME<sup>+</sup> ecosystem goods and services at levels that are adequate to sustain human well-being and healthy economies, within the region and beyond.

To date, the LME-based CLME<sup>+</sup> Project is the only initiative in the region with a sufficiently broad geographic and thematic scope, able to catalyse and promote integration of the different key initiatives in the region, which, brought together will allow to materialize broad-scale implementation of EBM/EAF and hence the achievement of larger-scale benefits.

The overarching vision behind the CLME<sup>+</sup> SAP is to achieve, within a time frame of approximately twenty years, a healthy marine environment in the CLME<sup>+</sup> region, which maximizes in a sustainable way the benefits for livelihoods and human well-being obtained from marine ecosystem goods and services. Within this broader time frame, the 10-year SAP focuses on better governance and management of shared living marine resources by fostering progressive application of the EBM and EAF approaches and enhanced compliance with rules and regulations within the CLME<sup>+</sup>.

The current GEF Project aims at kick-starting the implementation of this SAP. By promoting the CLME<sup>+</sup> SAP as an overarching reference framework and by catalyzing its implementation, the GEF project will provide interim coordination and integration support for and amongst agencies, sectors and initiatives, allowing for a much higher return on the investments –and thus benefits – to be obtained from each individual initiative. At the same time, options for more permanent coordination mechanisms will be analysed and agreed upon, to ensure continuity of the outcomes obtained from the implementation of the CLME<sup>+</sup>.

This project will thus contribute to putting the long-term arrangements in place that will enhance the protection of globally important habitats, enable the recovery of, and optimized, sustainable exploitation of fish stocks, and strengthen the livelihoods of the population dependent on the CLME<sup>+</sup> resources (see “importance of the CLME<sup>+</sup>” under Sections 1.2.1 and 1.2.3).

Such strategic actions will reduce the three main ecosystem stressors identified under the CLME TDA’s, which will ultimately result in improved ecosystem status. Benefits will include improved food production, economic development and regional stability, as critical fish stocks (incl. spiny lobster, queen conch, reef fish etc.) will be sustainably managed, marine and coastal ecosystems (such as the CLME’s reefs and the NBSLME’s mangroves) will be better valued, protected and restored. It is

<sup>65</sup> Market mechanisms to recover –in part- the costs of governance arrangements should be explored

<sup>66</sup><http://www.thegef.org/gef/sites/thegef.org/files/documents/C.31.12%20Operational%20Guidelines%20for%20Incremental%20Costs.pdf>

expected that the protection of such natural, coastal and marine capital will strengthen the regions' ability to resist impacts from storms and sea level rise, which would otherwise result in increasing damage to coastal infrastructure as a consequence of climate variability and change. The region's globally important biodiversity will be better preserved, thereby allowing for the protection of critical assets (natural and man-made) necessary for the economically important tourism sector. Improved or alternative means of incomes and decent work will be created and promoted.

The proposed CLME<sup>+</sup> project and overarching SAP are supportive of the MDGs on sustainable development, the (draft) new SDGs including SDG #14 on oceans, WSSD targets on biodiversity, poverty, fish stocks and governance, and will contribute to the achievement of the Aichi Strategic Goals (A-E) (CBD COP 11).



## 2.3 Project objective, components, outcomes and outputs

The objective of the CLME<sup>+</sup> Project is to facilitate Ecosystem-Based Management (EBM) and the implementation of the Ecosystem Approach for the management of key fisheries (EAF) in the CLME<sup>+</sup>, in order to ensure the sustainable and climate-resilient provision of goods and services from shared living marine resources.

Within this context, the Project will kick-start and catalyse the implementation of the CLME<sup>+</sup> SAP, through a series of activities structured under 5 distinct Project Components. Project activities will address the different root causes of environmental degradation described under Section 1.3.2.

### 2.3.1 Project Component 1: Consolidating the institutional, policy and legal frameworks for sustainable and climate-resilient shared living marine resources governance in the CLME<sup>+</sup> region

During the CLME Project (GEF ID 1032), *Casual Chain Analyses (CCAs)* undertaken as part of the *Transboundary Diagnostic Analyses (TDAs)* identified *weak governance* as the main, over-arching root cause to the three transboundary problems in the CLME<sup>+</sup> region. More detailed insights acquired through the *Regional Governance Framework (RGF)* Case Study demonstrated that even though a multitude of regional and sub-regional arrangements for *shared Living Marine Resources (sLMR) governance* are already in place, many of these demand further strengthening and better integration (see: Mahon *et al.*, 2013). It is now widely recognized and accepted that within and among several of the existing arrangements, there is a need to review, clarify, expand and/or harmonize institutional and organizational mandates, and associated policies and legal frameworks.

Consequently, actions to enhance governance arrangements –*consistent* with the EBM/EAF approach– were incorporated under the different strategies of the SAP. They have been inspired by the technical proposal for a RGF developed under the CLME case study, and have been further shaped through the political consensus-building process that was followed during SAP development.

The existence of adequate governance arrangements is one of the seven elements evaluated under the “Governance Effectiveness Assessment Framework (GEAF)”<sup>67</sup>, and is a key concern of this Project:

Under COMPONENT 1 and through the outcome and outputs described below, the CLME<sup>+</sup> Project will enhance the institutional arrangements for sLMR governance at the regional (**Output 1.1.**) and national levels (**Output 1.2.**). It is recognized that sustainable sLMR management in the context of the project requires that key (aspects of) fisheries and environmental policies and regulations be updated and/or harmonized, within relevant geographic scopes. Planning for the mainstreaming of the “EBM/EAF”, the “*precautionary approach*” and “*knowledge-based management*” concepts and of gender concerns into (sub-)regional policies and associated national-level legislations and regulations (**Output 1.3**) is considered key to the definition, adoption and cost-effective implementation of sustainable, climate-resilient and socially just LMR management plans.

The issue of data management to support decision-making is a broad topic that cannot be fully addressed under this component. Whilst this component will be focusing on *inadequate access to data and information* (identified as a root cause under the TDAs) it should also be noted that even in instances where data quality and quantity are adequate, there may still be deficiencies in policy cycle implementation –e.g. relating to the science-policy interface– that can constrain decision-making. Further, the lack of (access to) data and information can also be linked to the *lack of awareness* on

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<sup>67</sup> For a description of the Regional Governance Assessment Framework, see Section 0 of this document.

environmental issues, another of the identified root causes. Making (existing) data and information - including traditional knowledge- available to the different stakeholders involved in policy cycle implementation<sup>68</sup> will indeed further facilitate the adoption of the EAF/EBM approach and the effective implementation of the CLME+ SAP. Memoranda of Understanding (MoUs) and Protocols on access and exchange mechanisms for key data and information sets that are relevant for region-wide governance processes will be developed under **Output 1.4**.

Limited *financial resources* were also listed as a root cause under the TDAs. The identification, and formal adoption by CLME+ stakeholders, of innovative and sustainable financing mechanisms for the continued operations of the governance and institutional arrangements established under this Component (**Output 1.5**) will be key to their long-term sustainability.

Activities under the aforementioned outputs will build upon the progress achieved in the region to date.<sup>69</sup>

#### **OUTCOME:**

#### ***Integrative governance arrangements for sustainable fisheries and for the protection of the marine environment, in line with the endorsed CLME+ SAP***

It is anticipated that the successful implementation of this project component will lead to the further consolidation of comprehensive, coordinated and integrative sLMR governance arrangements in the CLME+. In this context, this project component will give major attention to those processes and arrangements that are of region-wide relevance<sup>70</sup>.

This outcome is aligned with several of the Actions<sup>71</sup> under the regionally endorsed CLME+ SAP, and is reflective of the consensus in terms of regional priorities. Specifically, the Project's contributions will consist of the following outputs:

#### **OUTPUTS UNDER COMPONENT 1**

#### **Output 1.1. (O1.1.) Decisions on coordination & cooperation arrangements and institutional mandates, in line with CLME+ SAP Strategies 1 (environment), 2 (fisheries) and 3 (cross-sectoral policy coordination)**

This output will contain different elements, which can be linked to the 3 over-arching and regional-level SAP Strategies:

*Strategy 1: enhanced governance arrangements for the protection of the marine environment*

**A formal agreement between Brazil and the Cartagena Convention Secretariat (UNEP CEP) (Target T.PI1 in the project results framework under Output O1.1., or O1.1.T.PI1)** will facilitate collaboration and coordinated action between Brazil and the wider Caribbean Region<sup>72</sup> on environmental protection

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<sup>68</sup> The different elements of the policy cycle are shown in Figure 12 under Section 0.

<sup>69</sup> see Section 1.3, and in particular Section 1.3.5.

<sup>70</sup> additional strengthening of governance arrangements will also occur under the Sub-Projects (Component 3), where matters relating more specifically to the implementation of EBM/EAF at the sub-regional and national levels, or for selected key fisheries, will be dealt with

<sup>71</sup> e.g. CLME+ SAP actions 1.1, 1.2, 2.1, 2.2, 2.3, 3.1, 3.2, 3.3. and 3.4, and others

<sup>72</sup> as opposed to the geographic scope of the CLME+ SAP (which includes the northern part of Brazil), the *wider Caribbean Region* as defined under the Cartagena Convention does not include Brazil

in the NBSLME and CLME, in particular on matters relevant to the Convention and its Protocols (notably the LBS, Oil Spills and SPAW Protocols). Collaboration with Brazil is deemed important, given the substantial impacts from the terrestrial, fluvial and marine processes in Brazilian river basins (incl. the Amazon) and along its northern coastal zone on both LMEs, and considering the local and Global Environmental and Societal Benefits that the sustainable management of key transboundary ecosystem types (e.g. mangroves and coastal lagoons) along the NBSLME will deliver.

The agreement with Brazil is expected to further facilitate the inclusion of matters relevant to Brazil within the coordination arrangements between the region-wide governance bodies with a mandate for fisheries and those with a mandate for the protection of the marine environment (EBM/EAF approach). The current aim is to have the agreement between UNEP CEP and Brazil in place by UNEP CEP IGM 17/Cartagena Convention COP 14 (2016).

Proposed activities and milestones to achieve this element of Output 1.1. include:

- Development and negotiation of a Memorandum of Understanding (MoU) and Terms of Reference (ToRs) establishing the modalities for, and scope of the cooperation between Brazil and the Cartagena Convention Secretariat (UNEP CEP)
- Approval of the MoU and its ToRs by the Cartagena Convention Inter-Governmental Meeting (IGM) and the Conferences of the Parties (COPs) of the LBS and SPAW Protocols (IGM17 and associated COPs)

**A decision on a modality for the coordinated implementation of actions under the SPAW and LBS Protocols** under the Cartagena Convention (*Target T.PI2 under O1.1. in the project results framework, or O1.1.T.PI2*) will facilitate the adoption of more holistic solutions to the loss of key habitats and associated socio-economic opportunities.

Proposed activities under this element of the output will include (but not necessarily be limited to):

- Formal decision by the Cartagena Convention Inter-Governmental Meeting (IGM) and associated Conference of the Parties (IGM16 and COP 13; 2014) to pursue enhanced cooperation and coordination during the 2015-2016 biennium
- Development of roadmap for collaborative action between the SPAW and LBS Protocols by the end of Project Year 1
- Subsequent expansion (as applicable) of the modalities for coordination and collaboration, during the following biennia, with approval from the corresponding IGMs/COPs

*SAP Strategy 2: enhanced governance arrangements for sustainable fisheries management:*

**A decision among CLME<sup>+</sup> partners on the interim mechanism for the coordination of actions towards sustainable fisheries** (to be led by FAO-WECAFC, including in the first instance CRFM and OSPESCA (and possibly OECS) and covering the full CLME<sup>+</sup> region; *Target O1.1.T.PI3*) will facilitate coordination among the different existing regional and sub-regional fisheries bodies, and all CLME<sup>+</sup> countries (incl. those not represented in any of the existing sub-regional arrangements), for the implementation of the different fisheries-related Strategies of the CLME<sup>+</sup> SAP.

This interim arrangement is expected to be put in place by the end of the Project Inception Phase, and to remain operational while a proposal for a formal long-term and region-wide arrangement for sustainable fisheries is being prepared for approval and implementation.

Under the interim arrangement, a range of Working Groups/Technical Task Teams will be established and/or strengthened, in support of CLME+ Project activities under Project COMPONENTS 1-5. These will include:

- the regional *Technical Task Team on the formulation of the long-term governance arrangement(s) for sustainable fisheries in the CLME+* (to be established);
- the regional *Working Group on Illegal, Unreported and Unregulated (IUU) fishing* (already established but not yet operational)

In addition, the interim arrangement will also support the implementation of the fisheries (EAF) Sub-Projects under Project Component 3, amongst others, through the (already established):

- joint OSPESCA/WECAFC/CRFM/CFMC regional *Working Group on Spiny Lobster*;
- *WECAFC/CRFM/IFREMER (and OSPESCA) Working Group on Shrimp and Groundfish*;
- *WECAFC/CRFM Working Group on Four-wing Flyingfish*

As part of their tasks, and in accordance with the specifications included in their Terms of Reference (ToRs), it is anticipated that these Working Groups/Technical Task Teams will provide the inputs required to identify potential enhancements for the governance arrangements under Project COMPONENTS 1 (region-wide) and 3 (specific fisheries/ecosystems), to the development of policies and plans under COMPONENTS 1, 2 and 3, to the identification of major investment needs and opportunities under COMPONENT 4, and to the monitoring of progress of SAP implementation under COMPONENT 5.

Proposed activities to achieve this element of Output 1.1. include:

- Development and negotiation of a Memorandum of Understanding (MoU) and Terms of Reference (ToRs) establishing the composition, operational modalities and scope of the interim coordination mechanism, by August 2015
- Establishment, during the second half of 2015, of a Technical Task Team for the formulation of the long-term CLME+ fisheries governance arrangement(s)
- Review the role and mandate of the existing working groups, viz-a-viz requirements for implementing the CLME+ Project and SAP
- Development and/or revision (as applicable), and formal approval of the ToRs and mandate for the different working groups and technical task team(s)

**A formal multi-country decision on a robust, region-wide and long-term governance arrangement (or arrangements) for sustainable fisheries management** in the CLME+ region (*Target "O1.1.T.PI4" in the project results framework*) is expected to be obtained by the end of the Project. The approved institutional/organizational arrangement(s) will ultimately replace the interim arrangement that will operate during the CLME+ Project itself, and support the implementation of the 10-year SAP beyond the project's lifespan. The arrangement(s) aims at reconciling the geopolitical concerns underlying the currently existing sub-regional arrangements, with the need for an inclusive/participatory, regionally integrative and coordinated approach (and possibly with stronger mandate(s)) for sustainable ecosystem-based fisheries management in the CLME+.

The activities that will be required to deliver this element of Output 1.1 include:

- Technical (*incl. analysis of needs*) and economic evaluation (*incl. analysis of costs & benefits*), and screening of the political feasibility and social acceptability of different possible arrangements to come to a robust, region-wide governance mechanism for sustainable fisheries management (building upon, or strengthening the existing institutions; the former may include a possible reform of WECAFC's mandate and the option of transforming it into a Regional Fisheries Management Organization (RFMO))
- Development of a proposal which identifies and outlines options for consideration by the CLME<sup>+</sup> countries, based on the results from the work conducted under the previous point
- Building political consensus towards the selection and implementation of the preferred mechanism by the Project end (this includes the identification and approval of a sustainable financing mechanism – *see also Output 1.5.*)

*SAP Strategy 3: regional policy coordination mechanism for shared living marine resources governance:*

**A decision**, among the CLME<sup>+</sup> SAP endorsing parties and stakeholders, **on a mechanism to support coordinated implementation of the SAP (Target O1.1.T.PI5)** will ensure enhanced coordination, oversight and integration of activities for sustainable fisheries and for the protection of the marine environment under the CLME<sup>+</sup> Project and SAP. The organizations that will constitute the “core” of the institutional arrangements under the mechanism will also play a lead role in the establishment under Project COMPONENT 5 of the expanded “*Global CLME<sup>+</sup> Partnership*”.

Related to this element of Output 1.1., the following activities are expected to take place:

- Development of a Memorandum of Understanding (MoU) and Terms of Reference (ToRs) for an interim SAP coordination mechanism
- Approval of the interim mechanism and its ToRs at the CLME<sup>+</sup> Project Inception Meeting
- Development, and approval at the final Project Steering Committee meeting, of a plan for the continued coordination of SAP implementation beyond the CLME<sup>+</sup> project lifespan
- Formal establishment of a Technical Task Team, and development and approval<sup>73</sup> of its ToRs, to lead the development of an advanced proposal for a permanent policy coordination mechanism for sLMR management, with clear specification of the mechanism's mandate and its relationship to other existing and newly created sLMR/ocean governance arrangements in the CLME<sup>+</sup>

**Consensus** among the CLME<sup>+</sup>-participating countries **on a permanent, inclusive and sustainably financed policy coordination mechanism for sustainable and climate-resilient sLMR governance in the CLME<sup>+</sup> region (Target O1.1.T.PI6)** is expected to be obtained as a key element of Output 1.1, before the end of Project Year 4. **Formal political adoption** of this mechanism by the CLME<sup>+</sup> participating countries will then be pursued **during Project Year 5**. The coordination mechanism is expected to foster an integrative approach towards LME-level ocean governance, with special attention to EBM, to the development of the regional science-policy interface(s) and monitoring and evaluation mechanisms, and the promotion of the use of information on the value of ecosystem goods & services in decision-making. Under the CLME<sup>+</sup> Project and SAP, the initial focus of the mechanism will be on shared living marine resources governance (“building bridges” between fisheries bodies and those bodies with a mandate for the protection of the marine environment).

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<sup>73</sup> By the CLME<sup>+</sup> Project Steering Committee and/or the Interim SAP Coordination Mechanism and its associated RGBs, as will be discussed and decided upon at the Project Inception Meeting

Expected activities are:

- Technical (including analysis of needs, performance) and economic evaluation (including analysis of cost-benefits), and screening of political feasibility, of the different possible arrangements and mandate(s) for the permanent policy coordination mechanism
- Development of a proposal (including a ranking of options, as applicable) and submission of the proposal for review and consideration by the interim coordination mechanism, the Project Steering Committee and/or the different relevant sLMR governance mechanisms in the CLME<sup>+</sup>
- Building consensus on the preferred arrangement(s), and securing political approval by the Project's End, for the selected permanent mechanism for policy coordination (this includes the identification and approval of a sustainable financing mechanism – see also Output 1.5)

For the “needs and feasibility” analysis, care will be taken not to repeat, but rather to build upon the Regional Governance Framework Case Study (CLME Project) and other relevant existing work. Activities will be aligned with the intended spirit of the relevant actions under the politically endorsed CLME<sup>+</sup> SAP. Key evaluation criteria that will be considered for the screening of the different alternatives include: geographic/geopolitical inclusiveness of the identified institutional arrangement(s); probabilities of political acceptance/consensus for the arrangement(s); expected performance, sustainability, cost-effectiveness and added value of the associated operational mechanisms; clear and relevant mandate(s), and complementarity of the mechanism's mandate(s) with the mandates (existing and/or reformed under the CLME<sup>+</sup> Project or SAP) of the other regional and sub-regional organizations with a key role in the CLME<sup>+</sup> Regional Governance Framework; feasibility of further expansion of the arrangement in the medium- to long- term, to more fully embrace the concept of broader ocean governance (i.e. expansion from the initial focus on fisheries and environmental protection, including sectors such as tourism, shipping, oil and gas, etc.).

**Output 1.2. (O1.2.) *National Inter-sectoral coordination mechanisms in place (including science-policy interfaces, as feasible)* (Target O1.2.T.PI1)**

Successful implementation of EAF/EBM at the CLME<sup>+</sup> level will require good integration and coordination of efforts across key thematic areas (e.g. fisheries and environmental protection), and across the relevant geographic levels (e.g. local, national, sub-regional and regional).

Whilst the activities under **Output 1.1** focus on strengthening and improving collaboration at, and between the regional and sub-regional levels, **Output 1.2** focuses on fostering improved consultation and coordination processes between different sectors and stakeholders at the national level, and on their linkage with the (sub-)regional processes and arrangements.

This requires that inter-sectoral coordination mechanisms be established or enhanced (as applicable) in the different CLME<sup>+</sup> countries. Such in-country coordination mechanisms will be particularly important to achieve full country ownership over CLME<sup>+</sup> SAP and CLME<sup>+</sup> Project implementation, and positively impact the cost-effectiveness of SAP/project<sup>74</sup> governance and implementation.

In addition to this, in-country coordination will facilitate the implementation of EBM/EAF approaches under Project COMPONENT 3.

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<sup>74</sup> Project coordination & management arrangements are described under Section 5.1

Whereas for the most part the establishment and operationalization of these coordination mechanisms will be a country responsibility, the Project Coordination Unit (PCU) and Project partners will seek to provide technical support to the CLME+ countries during this process (see also Section 5.1.7 and 5.2.2).

Proposed GEF-supported activities associated with this Output therefore include:

- Complete the baseline analysis on the formal or *de facto* existence, composition, mandates (incl. whether their establishment was mandated through legislation) and *modus operandi* of relevant/likely inter-sectoral coordination mechanisms in the different CLME+ countries
- Evaluate, where and as feasible, the policy and legal environment/interventions that contribute to successful inter-sectoral committees
- Evaluate, where and as feasible, the impacts of functioning inter-sectoral coordination mechanisms on CLME+ Project outputs
- Identify (including through the use of gap analysis) the possible mechanisms and solutions to maximize policy and decision-making relevance and to ensure sustainability beyond the CLME+ Project lifespan, and disseminate good practices and lessons learnt among interested CLME+ partner countries
- Development of draft ToRs, and/or collection of existing good examples of such ToRs, and dissemination of these materials among interested CLME+ partner countries
- Conduct and support the above activities, through the use of regional workshops or other exchange mechanisms, as feasible (esp. in connection with the CLME+ EBM/EAF Demo projects), where lessons learnt, experiences and best practices will be shared and disseminated
- Analyse and strengthen –where needed- the gender dimension of national inter-sectoral coordination

In case of financial or logistical constraints, priority attention may be given to those countries in which the CLME+ Sub-Projects are being implemented under Project Component 3.

**Output 1.3 (O1.3.) Regional policies, declarations and/or regulations, and associated national-level legislation and/or plans, are appropriate to enable effective EBM/EAF in the CLME+ (Target O1.3.T.PI1)**

Success with the implementation of EAF/EBM will further also be dependent on the **institutionalization of both conceptual approaches through the relevant policy, legal and regulatory frameworks.**

This will require a revision of those regional policies/regulations and associated national legislations that at present do not support or are incompatible with the EBM/EAF approach. Such revision will generally include the adoption and integration within these policies and legal frameworks of important paradigms such as the “*precautionary approach*”, and the “*adaptive management*” and “*polluter pays*” principles. Due attention will also be given in this context to the **gender dimension**, relative to participatory processes and the achievement of socially just outcomes.

Recognising the transboundary nature of many resources, and thus the shared responsibility for their sustainable management, there is a need for increased efforts amongst countries to support and adopt, as feasible, compatible or harmonised management measures.

In order to achieve this output, the following activities are considered:

- Conduct a regional-level review of the status of relevant fisheries and environmental policy/regulations and legislation in terms of their compatibility with and support for EAF/EBM (i.e. enhanced baseline/gap analysis; with priority attention to what is needed to facilitate the implementation of the sub-projects under COMPONENT 3)
- Prepare a strategy/plan to support, under the CLME+ Project, the development and adoption of enhanced regional policies and declarations, and the harmonization of associated national-level legislation and plans
- Support the implementation of the plan, to give effect to national obligations under relevant regional and international agreements
- Support the OECS Commission in the review of their Fisheries Management and Development Strategy and Implementation Plan

**Output 1.4 (O1.4.) Data management, access and exchange arrangements to support adaptive management and the implementation of the CLME+ Project and SAP (Target O1.4.T.PI1)**

In more generic terms, the thematic area associated with this Output will be of relevance not only for (a) the M&E of CLME+ Project and SAP implementation (and thus for supporting region-wide adoption of the EBM/EAF approach), but also for (b) supporting the decision-making processes under the EBM/EAF sub-projects of COMPONENT 3.

Under COMPONENT 1 however, outputs and associated activities will relate in the first instance to element (a)<sup>75</sup> of the above description.

**Memoranda of Understanding (MoUs) and Protocols to facilitate access to, and exchange of key data, information and indicator sets** will be critical for the overall **Monitoring & Evaluation (M&E) of CLME+ Project and CLME+ SAP implementation**, and for the successful development of the “*State of the Marine Ecosystems and Shared Living Marine Resources in the CLME+ Region*” portals and report under COMPONENT 5.

The following activities will contribute to this element of the output:

- Identification of key data/indicator sets and types (incl. their minimum quality and format) required by end users in the context of the M&E activities (to be coordinated with activities under Output 5.2.)
- Identification of the owners, managers and relevant end users of these data sets (institutional/stakeholder responsibilities and rights)
- Development (incl. negotiation, as required) and adoption of (draft) agreements & protocols

In the context of this Output, a collaborative arrangement has already been formalized between the CLME+ Project and, amongst others, the Caribbean Marine Atlas initiative (CMA2 Project, FUST/IODE - IOC of UNESCO & INVEMAR). Collaboration with and among several of the other relevant (sub) regional and global initiatives described under Section 1.3.5.7 have been explored, and mutual

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<sup>75</sup> Protocols regarding data and information management & exchange to support decision-making processes during the implementation of the CLME+ Sub-Projects are associated to separate outputs under the CLME+ Sub-Projects (COMPONENT 3).



declarations of intent already exist. Progressive expansion and formalization of the collaborative arrangements will take place during Project Inception and implementation (e.g. with prospective partners such as: CCAD, WECAFC/FAO/FIRMS, TNC, CI, WWF, IUCN, UNEP ROLAC, UNEP WCMC, UNEP Live, WRI, UN ECLAC...; see also COMPONENT 5).

**Output 1.5 (O1.5.) Sustainable financing mechanism(s)/plan(s) to ensure short, medium and long-term operations of the enhanced arrangements for sLMR governance in the CLME<sup>+</sup> region (Target O1.5.T.PI1 and 2)**

Long-term sustainability of the different governance arrangements established and consolidated through Project COMPONENTS 1, 2 and 3 will need to be ensured. The aim of Output 1.5 will be to respond to the needs to sustainably finance and operate the different key elements of the CLME<sup>+</sup> Regional Governance Framework (RGF).

Activities under this output will thus link back to the different Strategies under the CLME<sup>+</sup> SAP.

- With the support and guidance of a Technical Task Team, undertake a consultancy(ies) to research alternatives, investigate feasibility and political acceptability, and propose medium/long-term (innovative) sustainable financial mechanism(s) for the permanent sLMR governance arrangements in the CLME<sup>+</sup>
- Review and analysis of the proposals by the relevant CLME<sup>+</sup> stakeholders (governments, private sector, civil society, donor community,..., as feasible/applicable)
- Development and approval, by the Project End, of the revised Sustainable Financing Plan(s) (incl. outline of the proposed timelines required to allow the governance arrangements to become financially sustainable)

**2.3.2 Project Component 2: Enhancing the capacity of key institutions and stakeholders to effectively implement knowledge-based EBM/EAF for sustainable shared living marine resources use in the CLME<sup>+</sup>**

Adequate governance arrangements and clear institutional mandates are pre-requisites for effective and efficient policy cycle implementation. However, “*putting the arrangements in place*” by itself will not be sufficient to ensure enhanced sLMR management and socially just outcomes. The *Causal Chain Analyses* (CCAs) conducted under the CLME TDAs pointed to the weaknesses in the institutions’ and stakeholders’ capacity<sup>76</sup> to make effective use of existing and newly created governance arrangements, as another root cause of environmental degradation.

Hence, it will be essential that institutions, organizations and individual stakeholders become progressively equipped with the capacity and means<sup>77</sup> needed to successfully exercise their mandates/rights under any given component of the policy cycle. Under this project component, the use of the term capacity building refers to “*the empowerment of the project’s stakeholders - which encompasses the ability, will and skills to initiate, plan, manage, undertake, organise, monitor/supervise and evaluate activities*”.

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<sup>76</sup> in its broader sense, and thus not restricted to “trained skills”

<sup>77</sup> incl. tools and resources, knowledge and information (e.g. *reference/guiding documents* such as regional action plans), and, in the case of stakeholders, rights and opportunities to participate or influence in decision-making

It is recognized that capacity building efforts should not be limited to governmental organisations only but should also seek to engage and empower civil society and private sector stakeholders, to ensure buy-in and support for the decisions that are being made; to increase and upscale the opportunities and potential for implementation; and to foster corporate responsibility and socially just outcomes. Also here, full consideration of the gender dimension of institutional and stakeholder capacity and stakeholder participation will be required.

Verifying that governance processes are operational, and that stakeholders are appropriately engaged, are two distinct key elements of the evaluation process conducted under the “Governance Effectiveness Assessment Framework” (GEAF) described under Section 0. The adoption of the GEAF as an important evaluation & guiding tool under the CLME+ Project Strategy<sup>78</sup> will therefore support the identification of more specific capacity building needs.

COMPONENT 2 will complement Project COMPONENT 1 as it will seek to build upon the developed governance arrangements. Through the outcome and outputs described below, special attention will be given, on one side, to weaker stakeholder groups, and on the other side, to those institutions, organizations and stakeholders (incl. businesses) that can play a key, pivotal/catalytic role in the implementation of the strategies of the CLME+ SAP.

Taking into account existing financial and logistical constraints, and in line with the recommendations of the GEF Scientific and Technical Advisory Panel (STAP), during CLME+ Project implementation itself the focus of activities under COMPONENT 2 will be narrowed down, by identifying stakeholder priorities and by looking for short-term opportunities that can produce major catalytic effects. For example, through the strengthening of key CLME+ Project partners (incl. regional and sub-regional governance bodies, and organized stakeholder groups<sup>79</sup>), these direct beneficiaries of the project will become enabled to, in turn, further enhance the capacity of their national constituencies, and of the local organisations and individual stakeholders they collaborate with<sup>80</sup>.

Outputs that –via a *learning-by-doing approach*- will directly enhance the institutions’ and stakeholder’s ability to implement or support EBM/EAF in the CLME+ region include: the collaborative development and delivery of action plans to deal with issues of cross-cutting, region-wide importance such as: Illegal, Unreported and Unregulated (IUU) fishing, habitat degradation and pollution (**Output 2.1**); and the collaborative development of a Civil Society and Private Sector Action Programme (C-SAP and P-SAP; **Output 2.2**)<sup>81</sup>. Also under Output 2.2, a CLME+ Project-supported *Small Grants coordination mechanism* will be promoted to support the implementation of priority actions identified in the C-SAP, and allow for better coordination amongst the different small grants initiatives (SGIs)<sup>82</sup> and projects in the region. This way, it will become possible to better address the specific needs and opportunities under the CLME+ SAP and the associated sectoral Action Programmes.

Good practices in the field of data and information management, and best available (innovative) tools and technologies –tailored to the capacity and needs of the region and its stakeholders- will be identified through **Output 2.3**. This will be done in collaboration with the FUST-supported “Caribbean

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<sup>78</sup> use of the GEAF is mainstreamed in both the main project (see e.g. Component 5) and into the strategic approach under each one of the sub-projects (see Component 3 and associated Annexes)

<sup>79</sup> with special attention to those involved in the sub-projects under Component 3

<sup>80</sup> application of the subsidiarity principle

<sup>81</sup> The C-SAP and P-SAP are expected to further complement the politically endorsed CLME+ SAP, which, in its current version, is strongly focussed on governmental action.

<sup>82</sup> Including a modest additional small grants contribution from the CLME+ Project itself; see also Output 3.5

Marine Atlas” CMA2 initiative (IODE, IOC of UNESCO) and other ongoing, related partner initiatives (TNC, IUCN, Conservation International, TWAP, IW:LEARN, etc.).

To enhance awareness, empower stakeholders and provide a pathway for better coordination and collaboration, an over-arching CLME<sup>+</sup> Communication and Dissemination Strategy will be developed (**Output 2.4**). The Strategy will contain central and decentralized components, targeting different relevant stakeholder groups. Well-coordinated implementation of the different elements of the Strategy will then take place under all CLME<sup>+</sup> Project components.

Even when under this component capacity building has been interpreted in its broader sense, training of stakeholders remains an essential element of it. Key training needs on matters of cross-cutting importance for the CLME<sup>+</sup> SAP will be identified under **Output 2.5** and incorporated in a (given the limited resources) initially modest, but expandable<sup>83</sup> Training Plan. Such cross-cutting training needs may then be addressed under COMPONENT 2, while training needs that more specifically relate to the Sub-Projects will be addressed under COMPONENT 3.

Finally, the development of targeted research strategies to support knowledge-based implementation of the EAF/EBM approach will take place under **Output 2.6**.

Combined, the outputs under Component 2 will increase awareness and enhance overall capacity and participation of key stakeholders in the different stages of policy cycle implementation: (i) *analysis & advice*; (ii) *decision-making*; (iii) *implementation*; (iv) *review & evaluation*, and (v) *data & information* collection, provision and management.

Complementary to the activities and outputs under COMPONENT 2, important additional “hands-on” capacity enhancement of stakeholders will also be achieved through the implementation of the CLME<sup>+</sup> Sub-Projects (COMPONENT 3) and through the activities under COMPONENTS 4 and 5.

## **OUTCOME:**

***Enhanced institutional and stakeholder capacity for sustainable and climate-resilient sLMR management at regional, sub-regional, national and local levels (with special attention to regional and sub-regional organisations with key roles in SAP implementation)***

Successful achievement of this outcome will contribute to the overall objective of the CLME<sup>+</sup> Project, as it will support the operationalization of governance processes and enhance the involvement of all stakeholder groups.

The expected outcome under COMPONENT 2 will address several of the root causes identified under the TDAs, such as *weak governance; limited human/financial resources and capacity; inadequate (access to) data and information; inadequate public awareness and participation; and inadequate information on and consideration of the value of ecosystem goods and services*.

## **OUTPUTS UNDER COMPONENT 2**

**Output 2.1. (O2.1.) Regional Action Plans for the management, conservation and sustainable use of fishery resources and for the protection of the marine environment, taking into account the implications on gender and the possible impacts of climate change**

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<sup>83</sup> The leveraging of additional financial resources or partner support during Project implementation may allow to further expand the initial plan

Decision-making on management principles, actions and approaches, and over-arching targets is one of the required steps in a full policy cycle run. Capacity for the implementation of such region-wide decision-making processes will be enhanced through the “hands-on” development and adoption of regional action plans under COMPONENT 2. These regional action plans will be mutually supportive with the more specific<sup>84</sup> EAF/EBM management plans and measures that will be developed and implemented under COMPONENT 3. The development of these plans will be supported by the working groups/technical task teams established under Project COMPONENT 1.

Output 2.1. consists of multiple elements, which in first instance relate to Strategies 1, 2 and 3 of the CLME+ SAP. However, they will also be relevant for Strategies (and Sub-Strategies): 4, (and 4A &B), 5 (and 5A&B) and 6.

**A “Regional Strategy and Action Plan against Illegal, Unreported and Unregulated Fishing, and a compatible/synergetic model National Plan of Action (IUU-NPOA)” (Target O2.1.T.PI1)** will provide a regional framework for the coordination of actions against IUU among the CLME+ countries and territories, and across the region’s different key fisheries. The action plan is expected to consider the combination of measures for (a) improved enforcement with (b) increased awareness building, and with (c) support for enhanced/alternative livelihoods. It will take reference of the existing baseline in the region (e.g. Castries Declaration on IUU Fishing and regional binding regulations already in place among OSPESCA States, as well as existing regional strategies and action plans developed for key fisheries). Approval of the Action Plan at the 16<sup>th</sup> Session of the WECAFC (2016) will facilitate the implementation of related interventions under COMPONENT3.

In order to achieve this element of Output 2.1., the following activities are considered:

- Preparation of an enhanced baseline (status report) on the situation of IUU fishing in the region, and of its impacts on stocks, the environment, socio-economics and social justice
- Development of the Regional Strategy and Action Plan (incl. a proposed timeline for implementation, and for its adoption at the national level)
- Adoption of the Regional Strategy and Action Plan by the Interim Fisheries Coordination Mechanism established under Component 1, and by the WECAFC Constituency at the 16<sup>th</sup> Session of the WECAFC (2016)
- Development of a draft model national action plan to combat IUU (IUU-NPOA)
- Dissemination of the draft-model NPOA to the CLME+ countries by Project Mid-Term, for their consideration and further use

These activities are to be led and/or supported by the IUU Working Group established during the 15<sup>th</sup> Session of WECAFC (2014) and to be operationalised in 2015 as part of Output 1.1.

**A “Regional Strategy and Action Plan for the valuation, protection and/or restoration of key marine habitats in the CLME+” (Target O2.1.T.PI2)** will strive to better coordinate and integrate the many different efforts that are being undertaken in the region.

In order to achieve this element of Output 2.1., the following activities are considered:

- Establish ToRs for the development of the “strategy and action plan”; with SPAW Scientific & Technical Advisory Committee (STAC) as reviewer of the draft strategy and plan (or another arrangement to coordinate & implement the below activities)

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<sup>84</sup> more specific in terms of the marine resources considered under these plans, as well as their geographic scope

- Further expand the baseline and complete the mapping of regionally relevant initiatives: e.g. work under SPAW Protocol and CaMPAM, the Caribbean Challenge Initiative (CCI), the ECMMAN Project, the MAR2R GEF Project Proposal, the CRFM Regional Coral Reef Plan, the Caribbean Aqua-Terrestrial Solutions Programme (CATS), etc.
- Analyse the marine component of the National Biodiversity Strategies and Action Plans (NBSAPs)<sup>85</sup> from the CLME+ countries and territories, including the existence of associated, projects and funding, and identify needs and opportunities for synergetic, transboundary action (incl. training needs<sup>86</sup>)
- Regional (capacity building) workshop on synergetic action for the marine component of CLME+ countries' NBSAPS (possibly in collaboration with IUCN and/or the CBD Secretariat)
- Identify gains versus incremental costs from enhanced coordination of efforts among CLME+ countries, and identify action points to fill critical gaps and foster synergies
- Align, as feasible, the timeline for the development, adoption and implementation of this regional Action Plan with the timeline of the CBD Strategic Plan for Biodiversity (2011-2020) and with the timeline of the established (sub)regional governance mechanisms (e.g. SPAW Protocol STACs and COPs and associated biennial work plans, etc.)
- Adoption of the action plan

A “Regional Action Plan for the reduction of impacts from excess nutrient loads on marine ecosystems” (*Target O2.1.T.PI3*) will be developed and delivered by at the latest the 4th LBS STAC (2018).

In order to achieve this element of Output 2.1., the following activities are considered:

- Establish a technical task team and/or utilise the existing LBS Scientific Technical Advisory Committee (STAC) for the development of the “strategy and action plan” (or another arrangement to coordinate & implement the below activities)
- Further expand the baseline and complete the mapping of regionally relevant initiatives: e.g. work under LBS Protocol, the World Bank Global Programme of Action, the MAR2R Project (GEF/WWF/CCAD, under development), the IWeco Project (GEF/UNEP/UNDP), etc.
- Identify “focal areas” for high-priority action (most affected ecosystem types and most important socio-economic impacts, incl. –as feasible- a characterization of their geographic spread; most important “regionally relevant” pollution sources, in terms of the transboundary nature of both sources and impacts)
- Align, as feasible, the timeline for the development, adoption and implementation of this “regional Action Plan” with the timeline of established governance mechanisms (LBS Protocol) and existing *National Plans of Action for the Protection of the Marine Environment from Land-based Activities* (NPOAs)
- Identify gains versus incremental costs from enhanced coordination of efforts among CLME+ countries, and identify action points to fill critical gaps and foster synergies
- Adoption of the action plan by 4<sup>th</sup> LBS STAC (2018)
- Assistance from UNEP-CEP to help a selected number of countries with their National Programmes of Action for the Protection of the Marine Environment from Land-based

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<sup>85</sup> <http://www.cbd.int/nbsap/>

<sup>86</sup> Preliminary feedback on perceived common training priorities were received from participating countries at a CLME-led brainstorming session conducted during the PPG phase at a regional CBD capacity building workshop in Belize, 2014.

Activities (to be linked with the Sub-Projects under Component 3). Lessons learnt and best practices collected from the region and elsewhere will inform the proposed NPAs.

**Output 2.2.** *Civil Society and Private Sector Action Programmes (C-SAP and P-SAP), that are sensitive to gender concerns and that complement and support the implementation of the politically endorsed CLME+ SAP*

This output will consist of 3 elements, inter-linked among themselves and with the over-arching CLME+ SAP.

In line with the concept of *interactive governance*<sup>87</sup>, the **Civil Society Action Programme (C-SAP; Target O2.2.T.PI1)** and **Private Sector Action Programme (P-SAP; Target O2.2T.PI2)** will strengthen the role, participation and ownership of civil society and private sector actors in achieving the long-term vision<sup>88</sup> for the marine environment in the CLME+ (reformulated here as *sustainable and socially just blue growth*). Both sectoral action programs will be expected to be mutually supportive. They will take reference of, and further complement the politically endorsed CLME+ SAP (which itself has a strong focus on governmental action), and build on related, existing and incipient private sector and civil society engagements and initiatives<sup>89</sup>.

Activities to achieve both elements of this output will include:

- Representation of key civil society and private sector groups, or associated groups, within the CLME+ Project governance (management & coordination) mechanisms; inclusion of key partners with pre-established relationships, or with comparative advantages for the engagement with civil society and private sector groups<sup>90</sup>, within the CLME+ Partnership<sup>91</sup> (*during the project inception phase*), and/or direct inclusion of these groups within this partnership (*throughout the project's lifetime*)
- Collaborative preparation of an expanded inventory of existing and incipient private sector and civil society engagements and initiatives (and associated stakeholders), with special attention to those initiatives with:
  - major relevance for the achievement of the overall objectives of the CLME+ SAP, and/or the more specific objectives of the different CLME+ SAP Strategies and Sub-Strategies<sup>92</sup>
  - with major replication and/or up-scaling potential
- Inventory of existing civil society/private sector awareness raising & capacity building initiatives and mechanisms, currently operational within the CLME+ Region (baseline)

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<sup>87</sup> Defined under Section 1.3.3.

<sup>88</sup> See Section 1.3.3.1

<sup>89</sup> A few examples of such private sector engagements/public-private partnerships ("PPPs") in the CLME+ region (ranging from the local/national to regional/transboundary scale) are: "Lionfish – Delicious Threat" ([www.pezleon.co](http://www.pezleon.co)); the lobster pledge ([www.lobsterpledge.com](http://www.lobsterpledge.com)); the C-FISH Fund (<http://c-fish.parknet.co.uk/c-fish-fund/>); the Caribbean Challenge Initiative ([www.caribbeanchallengeinitiative.org](http://www.caribbeanchallengeinitiative.org));

<sup>90</sup> Declarations of intention were already received in this context from e.g. TNC, Caribsave and WWF, during the Project Preparation Phase

<sup>91</sup> See Component 5

<sup>92</sup> The latter will occur in coordination with the corresponding activities under the Sub-Projects – see Component 3

- Identification of prospective key non-governmental partners (Community Based Organizations (CBOs), Fisher Folk Organisations (FFOs), Small and Medium Sized Enterprises (SMEs), major businesses,...)
- Consultations to identify stakeholder priorities under the CLME+ SAP (both in terms of capacity development/empowerment needs and needs for high-priority on-the-ground actions)
- Collaborative development of the sectoral action plans (giving due attention to the 3 priority problems identified under the CLME TDAs, and the potential for catalytic effects)
- Endorsement of the plan by the participating stakeholder groups

Development of activities under Output 2.2. will be closely linked with the development of investment plans under Project Component 4, and will benefit from the establishment of the CLME+ Partnership under Component 5.

A third element under Output 2.2. will consist of the (CLME+ Project-supported) establishment of a **Small Grants coordination facility/mechanism (Target O2.1.T.PI3)**. The facility/mechanism will allow to better coordinate and tailor the different small grants initiatives<sup>93</sup> and projects in the region towards the specific needs and opportunities under the CLME+ SAP and associated Action Programmes (C-SAP, P-SAP). The small grants initiatives themselves will contribute to increased stakeholder capacity and participation under the CLME+ SAP.

The coordination mechanism will further make it possible to better evaluate overall impacts of the different programmes, and as such help improving the policies, implementation modalities and complementarity of the different initiatives.

Actions by community based organizations (CBOs), national or local government departments and/or SMEs that are supported through the Small Grants coordination facility will benefit from the existence of the over-arching SAP framework and from the enhanced institutional, policy and legal frameworks established under Component 1. Small Grants facilitated through the coordination mechanism are also expected to contribute to, and support the implementation of CLME+ interventions under Component 3.

The following activities will contribute to this element of O2.2:

- Further completion –as necessary- of the inventory (initiated under the PPG phase) of existing Small Grant Programmes (SGPs) that are operational within the CLME+ Region, and that are of (potential) relevance for the objectives of the CLME+ SAP
- “awareness building & planning” workshop(s) to:
  - (a) inform regional and national-level coordinators of existing small-grants programmes (SGPs, e.g. those of the GEF, UNEP CEP/CampPAM, etc.) on the scope, goal and objectives of the CLME+ SAP
  - (b) develop collaborative (logistical and financial) arrangements to implement a mechanism or modalities for enhanced coordination and cooperation, and for improved mapping and evaluation of programme outputs & outcomes (incl. exchange of best practices)
- Operationalization of the SG coordination mechanism (incl. periodic mapping/evaluation of SGIs) by end of project month 18

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<sup>93</sup> including an additional, modest small grants contribution from the CLME+ Project itself

**Output 2.3. (O2.3.)** Identification of best/good practices in the field of data & information management (DIM), and of best available (innovative) technologies and tools, to support communication, awareness building (CAB) and decision-making (DM) processes

**An inventory of good/best practices and innovative technologies and tools for data & information management, to support communication, awareness building and decision-making processes,** relevant for the implementation of the CLME<sup>+</sup> Project and SAP, will constitute a first element of Output 2.3 (*Target O2.3.T.PI1*).

The following activities are considered under this element:

- Inventory of technologies, tools and approaches, deployable for communicating and raising awareness among the different stakeholder groups on the relevance of the CLME<sup>+</sup> SAP and Project, and for dynamically updating stakeholders and participants on the progress obtained in SAP and Project implementation (*to be achieved through the integration of activities under the CLME<sup>+</sup>, CMA2, Ocean Health Index (OHI), TWAP initiatives, etc.; opportunities for collaboration with additional initiatives will be further sought during project implementation*)
- Experts evaluation of the content of the inventory, and of the regional relevance, applicability and potential for sustainability of the identified solutions
- Reporting on the findings from the inventory and from the analysis of its content + dissemination among the broader CLME<sup>+</sup> and global LME stakeholder community (see also Output 2.4. and 5.3)

Test results from **innovative tools & technologies to enhance the capacity of civil society and private sector actors to support sustainable sLMR management, and to facilitate/enhance their involvement in policy cycle implementation** (*Target O2.3.T.PI2*)

Several CLME<sup>+</sup> sister initiatives will be testing the use of innovative technologies to empower civil society actors and enhance their contributions to sustainable sLMR management, e.g.:

The “mFisheries” initiative being implemented by University of the West Indies (UWI) will explore the potential for the use of smartphone technology to support small-scale fisherfolk, through bi-directional information exchange with fisheries (and other relevant) authorities, and among fisherfolk themselves. The +SustainableFisheries (Conservation International Brazil) will explore the potential of the same technology to support small-scale fisherfolk adopting more sustainable fisheries techniques, by linking fisherfolk and consumers/markets.

Both initiatives are expected to directly contribute to enhanced livelihoods of small-scale fisherfolk.

The following activities are considered under this element:

- Regional workshop to analyse results and extract good practices and lessons learnt from the pilot implementation of innovative technologies such as the mFisheries (UWI) and +SustainableFisheries (CI Brazil) tools
- Dissemination of results and analysis of opportunities for upscaling (the latter in connection with activities under Component 3 and 4)



**Output 2.4. (O2.4.) Overarching CLME<sup>+</sup> Communication Strategy, with central and decentralized components and responsibilities (Target O2.4.T.PI1)**

Successful SAP implementation will demand that awareness is raised among the broader CLME<sup>+</sup> stakeholder community, on the importance of the regionally endorsed SAP, and on the urgent need to adopt the EAF/EBM approach at the level of the Caribbean and North Brazil Shelf LMEs. In this same context, enhanced communication and information exchange among key actors involved in the different programmes, projects and initiatives that can contribute to the SAP objectives will be of crucial importance.

It is therefore anticipated that a CLME<sup>+</sup> Communication Strategy will help securing a sufficiently broad support base and buy-in from the different societal sectors, for collective and well-coordinated action. Further, such strategy will generate awareness among relevant stakeholder groups on the opportunities created to contribute to the objectives of the SAP, through the many existing and forthcoming projects and initiatives in the region (incl. small grants, training, etc.).

It is further recognized that, in full alignment with their formal mandate and/or recognized role within the CLME<sup>+</sup>, the responsibilities for the implementation of SAP Strategies and Actions, and of activities under the different Components of the CLME<sup>+</sup> Project, will be shared by a number of international and regional CLME<sup>+</sup> partners. In light of this, it is important that an **overarching, comprehensive CLME<sup>+</sup> Communications Strategy** is **collaboratively developed** and in place by the end of Project Year 1.

The strategy will outline the methods and suggested approaches for communicating information about the CLME<sup>+</sup> SAP process and the CLME<sup>+</sup> Project, tailored to the different practitioners and target stakeholder groups<sup>94</sup>.

Following its development and adoption, the Strategy –whose implementation will be largely decentralized- will be centrally coordinated/monitored (as applicable). Each one of the 5 CLME<sup>+</sup> Project Components is expected to contribute to the implementation of distinct elements of this overarching Communication Strategy. For this purpose, consideration will be given to the formal institutional mandates, and roles in CLME<sup>+</sup> Project & SAP implementation, of the different members of the interim SAP coordination mechanism (Output 1.1) and CLME<sup>+</sup> partnership (Output 5.1).

The following activities are considered under Output 2.4:

- Inventory of major existing communication & awareness building initiatives and mechanisms within the CLME<sup>+</sup> Region
- Collaborative development, involving the main project partners, of an overarching strategy that outlines the communications approach of the CLME<sup>+</sup> Project (incl. the identification of stakeholders, and of stakeholder-tailored communication methods, vehicles and materials, the definition of targets in terms of kind & and quantity of stakeholders to be reached, and identification and implementation of tracking/M&E mechanisms)
- Review, and if necessary periodic revision/expansion, of the stakeholder mapping exercise conducted during the PPG Phase

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<sup>94</sup> A detailed inventory of CLME<sup>+</sup> stakeholder groups was conducted during the PPG phase and is available for further reference

- Identify the central and de-centralized components of the strategy, and distribute responsibilities among the different CLME<sup>+</sup> partners, in alignment with their role/mandate for SLMR governance and management in the region
- Development of the “awareness building/stakeholder empowerment” sub-strategy/component, targeting the broader stakeholder community and broader public
- Further development of the sub-strategy targeting the CLME<sup>+</sup> Partnership (to be implemented under COMPONENT 5)
- Further development of the sub-strategy targeting the global LME Community of Practice (to be implemented under COMPONENT 5)
- Oversight of, and support for the collaborative implementation of the strategy by the CLME<sup>+</sup> PCU and/or interim SAP coordination mechanism, to ensure continued consistency
- M&E of strategy implementation, incl. the review and evaluation, and if necessary, revision of the Strategy by Project Mid-Term
- Sustainability plan

**Output 2.5. (O2.5.) *Strategy for the training of selected stakeholders on key issues of cross-cutting importance*** for the different Strategies of the CLME<sup>+</sup> SAP

It is recognized that all activities and outputs under the CLME<sup>+</sup> Project will, up to a certain extent, empower people and organizations, as these activities provide a “hands-on” practicing opportunity for those involved, and foster increased awareness among participants and beneficiaries. Even when under the Project (incl. COMPONENT 2) capacity building has been interpreted in this broader sense, the implementation of specific training activities, targeting specific stakeholder groups, remains an essential element of the overall capacity building efforts.

Key training needs on matters of cross-cutting importance for the CLME<sup>+</sup> SAP will be identified under **Output 2.5**, and incorporated in a gender-sensitive, (given the limited resources) modest but expandable<sup>95</sup> **Training Plan (O2.5.T.PI1)**. Such key cross-cutting training needs may then be directly addressed through **training workshops targeting key/cross-cutting issues related to the overall implementation of the SAP (O2.5.T.PI2)** under Component 2, while the training needs that more specifically relate to the Sub-Projects will be addressed under COMPONENT 3.

Due consideration will be given in the identification of priorities to the major weaknesses/missing linkages in the operationalization of governance arrangements supported under COMPONENT 1, and to the role of the different stakeholders in this process (policy cycle components).

It is further anticipated that a multiplier effect in terms of capacity building impacts can be achieved by applying the subsidiarity principle: empowerment and training of stakeholders within regional and sub-regional organizations and coordinating bodies, or national coordination units, will then allow these stakeholders to spread out the results among a much broader target public.

Activities under Output 2.5. include:

- Inventory of relevant, existing stakeholder empowerment and capacity building initiatives and mechanisms (targeting governmental bodies, civil society, CBOs, FFOs,...) within the CLME<sup>+</sup> region

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<sup>95</sup> The leveraging of additional financial resources or partner support during Project implementation may allow to further expand the initial plan

- Conduct or complement (as needed) existing training needs assessment, in coordination with other relevant activities (e.g. the development and implementation of the CLME+ Project thematic regional Action Plans under COMPONENT 2, and the EAF/EBM Management Plans under COMPONENT 3).
- Fine-tuning and validation of the draft training plan
- Progressive implementation of key training activities under the Plan (selected set of high-priority training activities/workshops, to be based on available CLME+ Project budget and additionally leveraged resources)

Where feasible the implementation of the Plan will be supported through the **development of (multi-lingual) training material (O2.5.T.PI3)** and the establishment of partnerships (e.g. UWI, UNU, NOAA International Capacity Building, IUCN, other regional universities, etc.), and through the identification and implementation of innovative training methods (e.g. multi-lingual on-line training modules and programmes) capable of achieving major catalytic effects, and of reaching larger stakeholder groups.

**Output 2.6. (O2.6.) *Targeted research strategies to address scientific demands from governance and management bodies dealing with fisheries and the protection and sustainable use of the marine environment (Target O2.6.T.PI1)***

To support the implementation of EBM/EAF and the achievement of the long-term vision for the CLME+, it becomes imperative to progressively expand the existing knowledge and enhance its use for awareness building and decision-making on key issues such as: ecosystem health, fish stock size, innovative environmental and stock assessment techniques, the social and economic value of ecosystem goods and services, and the impact of management options and decisions on ecosystems and fish stocks and other shared living marine resources.

With the aim of promoting a more effective use of results from science in real-world decision-making, scientific activities that specifically address the knowledge needs of the existing advisory and decision-making bodies need to be promoted among those that conduct, and those that set the policies and provide financial support for scientific research.

By delivering the distinct elements under Output 2.6. (described below), the project will facilitate a better identification, and better communication to the scientific community, of the priority data, information and knowledge needs as they are perceived by policy advisors, decision-makers and managers.

In addition to this, through the actual process of producing these elements of this output, and following a “learning-by-doing” approach, the capacity of key policy makers and resource managers (i.e. those mandated to work on the “decision-making” and “implementation” components of the CLME+ Sub-Projects policy cycles) to influence and guide the scientific agenda will be strengthened.

Achievement of this output will constitute one of the steps in a gradual move towards a more systematic uptake of results from monitoring and research in policy development and resources management, and is thus a distinct contribution to an enhanced science-policy interface.

Overall, Output 2.6. corresponds to an action under CLME+ SAP Strategy 3 (Action 3.5). At the same time, its distinct elements can be linked to additional actions under several of the strategies and sub-

strategies of the SAP (e.g. 1.6, 1.7, 2.10, 2.11, etc.). The following elements<sup>96</sup> are considered under O2.6:

**A strategy to expand the knowledge base required for the implementation of EAF in the CLME<sup>+</sup> region** will facilitate enhanced implementation of this approach in the medium-term. Under the CLME<sup>+</sup> Project priority focus will be given to research, data and information needed to support the sustainable management of spiny lobster, flyingfish and shrimp & groundfish fisheries.

Early results from the **strategy to expand the knowledge base to support habitat protection and restoration in the CLME<sup>+</sup> region** (with special attention to the protection and restoration of coral reefs, mangroves and seagrass beds) may be helpful for the implementation of related site specific interventions under COMPONENT 3; once further developed and implemented, the strategy will be of great importance to support the development of related investment plans under COMPONENT 4.

**A strategy to expand the knowledge base required for the efficient and cost-effective reduction of LBS pollution in the CLME<sup>+</sup>** (with special attention to those types of LBS pollution mostly affecting human well-being and sustainable socio-economic development) will largely fulfil the same role as the strategy above, but within its own thematic scope.

A cross-cutting element of Output 2.6, to be integrated into the previous strategies, or to be delivered as a separate document (to be decided), consists of a **strategy to expand the regional knowledge base on the value of goods and services provided by the different key marine ecosystems in the CLME<sup>+</sup>**. This strategy needs to build on previous regional and global work (e.g. TEEB, WRI and MESP<sup>97</sup>), acknowledge existing knowledge gaps, and focus on pre-identified and projected practical knowledge needs, especially in connection to the other 3 thematic strategies described above (e.g. valuation of the impacts of LBS pollution on ecosystem goods & services in the region, valuation of the socio-economic benefits (to be) obtained from the implementation of EAF and from habitat protection and restoration measures, etc..)

Similar activities are proposed to achieve the distinct elements of Output 2.6.:

- Identification<sup>98</sup> of priority knowledge gaps and specific demands from stakeholders with key advisory and decision-making roles in the CLME<sup>+</sup> Sub-Project policy cycles
- Prioritization of scientific work to be conducted
- Development of the research strategy documents, based on the results of the previous activities
- Approval of the developed strategies by the corresponding Advisory and/or Decision-making bodies (i.e. pre-existing or developed under Component 1, and linked to the relevant policy cycles)
- Dissemination of the approved strategies among the scientific community (including through the use of e-groups, presentations at relevant fora such as, e.g., the annual Gulf and Caribbean Fisheries Institute (GCFI) meetings, etc.) and to the regional and global financing mechanisms for scientific research

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<sup>96</sup> During project execution and for reasons of economy it may be decided to produce a single output document consisting of several chapters, each chapter relating to a distinct element of the output.

<sup>97</sup> Marine Ecosystem Services Partnership, <http://www.marineecosystems-services.org/>

<sup>98</sup> Where possible and appropriate, use will be made for this purpose of the existing meetings of the scientific & technical committees already established under the corresponding governance arrangements

- [Integration of the existing work conducted by the OECS on the development of a sub-regional research strategy, into the activities listed above]

*Early results from the implementation of these strategies, where available, will be used to support enhanced policy cycle implementation under the CLME<sup>+</sup> Sub-Projects (Component 3) and the development of (pre-)feasibility studies and investment plans (Component 4).*

### 2.3.3 Project Component 3: Implementing EBM/EAF in the CLME<sup>+</sup> region

Under COMPONENT 3 and through the outcome and outputs described below, the CLME<sup>+</sup> Project will showcase the steps required to move from Business-as-Usual to an Ecosystem-based Management approach for key ecosystems and associated fisheries in the CLME<sup>+</sup> region.

This will be done through the implementation of a series of “CLME<sup>+</sup> Sub-Projects”<sup>99</sup> that will support: the progressive transition to an ecosystem approach for the Caribbean spiny lobster fisheries (**Output 3.1.**), for the four-wing flyingfish fisheries (**Output 3.2.**) and for the North Brazil Shelf shrimp and groundfish fisheries (**Output 3.3.**); and the progressive adoption of more holistic, ecosystem-based management approaches for selected sites within the CLME and NBSLME (**Output 3.4.**). Under this last sub-project, on-site initiatives will coordinate efforts to protect key habitats and/or address priority pollution issues with the efforts towards more sustainable fisheries management. A fifth output will provide modest additional *small grants* support to complement planned or ongoing initiatives, this as to foster and expand their civil society-based components (**Output 3.5.**).

COMPONENT 3 activities will be facilitated by the existing achievements in terms of the established governance arrangements and mechanisms, described under the baseline in Section 1.3.5 and in the corresponding sections of the sub-project documents. As results from the project’s activities under COMPONENT 1 and 2 start becoming available, the activities under COMPONENT 3 will progressively build further upon these results.

Activities under all outputs, but especially those under Outputs 3.4. and 3.5, will further strive to build upon and be complementary with prior<sup>100</sup>, or ongoing and newly planned projects and initiatives<sup>101</sup>.

Progress towards the above outputs will therefore benefit from the enhanced coordination with other relevant, related regional and sub-regional initiatives (see also Section 2.7). Activities under COMPONENT 3 will be screened for their contributions to the enhanced resilience of the CLME<sup>+</sup>’s socio-ecological system to climatic and societal change, and will be sensitive to gender concerns (gender equality, empowerment of women,..; as applicable).

#### **OUTCOME:**

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<sup>99</sup> Criteria for the selection of the sub-projects/intervention areas & sites under Component 3 (C3) include: continuity of efforts initiated under CLME; consideration of results from baseline mapping of other PPIs; identification of gaps; identification of opportunities for major impacts/catalytic effects; stakeholder priorities; relevance from the perspective of priority issues and root causes identified under CLME; geographic and thematic scope and coverage of the full bundle of activities under C3 (taking also into consideration the results from the PPI inventory; linkages of activities under C3 with the focus/work conducted under C1 and C2; potential for contributions from C3 to activities under C4

<sup>100</sup> e.g. those from case studies and pilot under the CLME Project in the case of outputs 3.1-3.3

<sup>101</sup> Outputs 3.4 and 3.5 will aim at expanding other ongoing or planned initiatives ((supported by the GEF and/or other donors), this as to enable the adoption of a more holistic, ecosystem-based management approach.

***Progressive reduction of environmental stresses (with particular attention to socially just solutions and the enhancement of livelihoods) demonstrated, across the thematic and geographic scope of the CLME+ SAP***

To contribute to this outcome, activities under COMPONENT 3 will build upon the results from the CLME Project (2009-2014) as well as on the progressive achievements obtained during the execution of activities under COMPONENTS 1 and 2 of the current CLME+ project (2015-2019).

The CLME+ Sub-Projects under COMPONENT 3 have been shaped around the different elements of the “Governance Effectiveness Assessment Framework” (GEAF) described under Section 0, and aim at conducting full policy cycle runs<sup>102</sup>.

They have been designed in such a way that, combined, they will largely cover the geographic and thematic scope of the CLME+ SAP.

They will address several of the root causes identified under the TDAs mostly at the sub-regional and/or site specific level, for selected fisheries and/or ecosystem/habitat types (“*demonstration scale*”): e.g. *weak governance arrangements, limited capacity, inadequate (access to) data and information, inadequate public awareness and involvement*.

The management plans that will be developed, and/or whose implementation will be kick-started under these CLME+ Sub-Projects, will provide an opportunity whereby a group of countries and diversity of stakeholders, either politically or geographically affiliated, take action under a joint approach for a shared resource. It is envisaged that many of these plans will be developed, and their implementation will be monitored and reviewed, with the support of the working groups established and/or supported under COMPONENT 1.

Wherever possible, insights acquired from the work conducted under COMPONENT 3 will be used in the development of the investment plans aiming at major upscaling and replication of EBM/EAF efforts under COMPONENT 4. Lessons learnt from the EBM/EAF efforts under Component 3 will feed into a set of Experience Notes under Output 5.3 (COMPONENT 5).

### **OUTPUTS UNDER COMPONENT 3**

**Output 3.1. (O3.1.) *Well-planned, progressive transition to an ecosystem approach for the Caribbean spiny lobster fisheries (demonstration at the sub-regional level)***

This output can be linked to Sub-Strategy 4A (and Strategy 4) of the CLME+ SAP:

*SAP Sub-Strategy 4A: enhance the governance arrangements for implementing an ecosystem approach for spiny lobster fisheries*

*(SAP Strategy 4: enhance the governance arrangements for ecosystem-based management of reefs and associated habitats (e.g. seagrass beds, mangroves, reef slopes and coastal lagoons)*

The geographic scope of the Sub-Project will be variable and will depend on the specific activity. It will range from:

- (a) for on-the-ground/site specific activities: the SICA countries plus Colombia, Jamaica and the Bahamas (direct participants), USA (and possibly Europe) (key market(s))

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<sup>102</sup> The different components of a typical policy cycle are illustrated in Figure 12.

- (b) in the context of the development of the regional management plan, and the dissemination of best practices & lessons learnt: all CLME+ States with a stake in the Spiny lobster fisheries

The Objectives of the Sub-Project are:

1. Enhance the transboundary and cross-sectorial coordination arrangements for the sustainable management of Caribbean spiny lobster stocks, aiming at the long-term human well-being of direct and indirect stakeholders
2. Enhance the capacity of (sub-)regional and national-level stakeholders to effectively implement full policy/decision-making cycles for Caribbean spiny lobster fisheries governance and management
3. On-the-ground implementation of enhanced spiny lobster fisheries management/stress reduction actions
4. Track progress towards EAF, and capture and disseminate best practices and lessons learnt, to facilitate replication and up-scaling to other countries and other fisheries in the CLME+

The activities, outputs and outcomes that will be produced to contribute to these objectives are described with more detail under **Annex 3**, and include:

- Formal adoption of the Governance Effectiveness Assessment Framework (GEAF), for the long-term planning and M&E of progress towards stock/ecosystem and socio-economic targets for the fishery, by WECAFC Session 16
- Development and approval of a (sub-)regional EAF Management Plan for the Caribbean spiny lobster fisheries
- Development and implementation of a M&E framework (including the determination of baseline values and the participatory setting of stock-related and socio-economic targets) to facilitate adaptive management and track progress with the implementation of the approved sub-regional management plan
- Mainstreaming of management measures outlined in the (sub-)regional plan into National Fisheries Management Plans of the participating CLME+ States (e.g. simultaneous closed seasons)
- Implementation of common management measures (e.g. simultaneous/coordinated closed seasons, coordinated measures against IUU incl. enhanced MCS and awareness building, traceability mechanism, and measures that will promote alternative/enhanced livelihoods)
- Enhanced stock assessments and identification of priority research needs to further support the progressive adoption of the EAF approach for spiny lobster fisheries in the CLME+ region (contribution to Output 2.6)
- Twinning exchanges with other CLME+ stakeholders not directly involved in the Sub-Project
- Implementation of the relevant, de-centralized components of the CLME+ Communication and Training Strategies
- (Preliminary) review & evaluation of progress and formulation of advice, under an adaptive management approach (full policy cycle run)

Work on this output will occur in coordination with the spiny lobster fisheries improvement projects and certification efforts that are planned and/or ongoing in the CLME+ (e.g. Bahamas, Nicaragua, Honduras).

**Output 3.2. (O3.2.) Well-planned, progressive transition to an ecosystem approach for the shrimp and groundfish fisheries of the NBSLME**

This output can be linked to the following Strategies of the CLME+ SAP:

*SAP Strategy 6: implement EBM/EAF of the Guianas-Brazil continental shelf with special reference to the shrimp and groundfish fishery*

*SAP Strategy 1: enhance the regional governance arrangements for the protection of the marine environment*

The geographic scope of the Sub-Project corresponds to the North Brazil Shelf LME and the CLME+ countries that participate in the shrimp & groundfish fisheries in this LME, more specifically: Trinidad & Tobago, Venezuela, Guyana, Suriname, French Guiana and Brazil. Through the dissemination of best practices & lessons learnt, the Sub-Project will also be beneficial to (a) other countries with transboundary shelf/shrimp & groundfish fisheries in the CLME+ region, and (b) other CLME+ fisheries (all CLME+ States) aiming at adopting the EAF approach.

The Objectives of the Sub- Project are:

1. Optimize the transboundary coordination and collaboration for the sustainable management of shrimp & groundfish stocks on the NBSLME, to foster long-term human well-being of direct and indirect stakeholders
2. Full policy cycle implementation at the sub-regional (NBSLME) level, through the development, approval and initiation of implementation of a sub-regional shrimp and groundfish fisheries management plan
3. Full policy cycle implementation at the national level, through the development, approval and initiation of implementation of national fisheries management plans (with special attention to IUU and safety at sea, and enhanced stakeholder participation/contributions in the transition to EAF)
4. Capture and disseminate best practices and lessons learnt, for the replication and up-scaling of the EAF approach in other CLME+ fisheries

The activities, outputs and outcomes that will be produced to contribute to these objectives are described with more detail under **Annex 4**, and include:

- Formal adoption of the Governance Effectiveness Assessment Framework (GEAF), for the long-term planning and M&E of progress towards stock/ecosystem and socio-economic targets for the fishery, by WECAFC Session 16
- Sub-regional arrangement for participatory governance and management of the shrimp and ground fish fisheries, including a decision-making capacity for policy formulation and management
- Sub-regional data policy to support EAF management of the fishery
- Operational sub-regional data and information repository on fisheries and their associated ecosystems in the NBSLME
- Establishing an enhanced baseline on stock/ecosystem and socio-economic stressors in the NBSLME, with special attention to IUU fishing



- Development and approval of plans and agreements, at the sub-regional and national levels, to support actions against Illegal, Unreported and Unregulated (IUU) fishing in the shrimp & groundfish fisheries (building upon the results from Output 2.1)
- Participatory development and adoption of a Regional Management Plan for the shrimp and groundfish resources of the North Brazil Shelf LME, and of national implementation plans
- Enhanced MCS measures to combat Illegal, Unreported and Unregulated (IUU) fisheries, at sub-regional and national levels:
  - the signing of MoUs specific to actions to address IUU between States
  - The development and approval of MCS protocols
  - Preparation of training and inspection manuals that address aspects of MCS and establishment of training programmes for inspectors

**Output 3.3. (O3.3.) Well-planned, progressive transition to an ecosystem approach for the eastern Caribbean flyingfish fisheries**

This output can be linked to Sub-Strategy 5A (and Strategy 5) of the CLME<sup>+</sup> SAP:

*SAP Sub-Strategy 5A: enhance the governance arrangements for implementing an ecosystem approach for flyingfish fisheries*

*(SAP Strategy 5: enhance the governance arrangements for implementing an ecosystem approach for pelagic fisheries)*

The geographic scope of the Sub-Project corresponds to: the CRFM countries and French Overseas Territories participating in the eastern Caribbean flyingfish fisheries (i.e. Barbados, Trinidad & Tobago, Saint Lucia, Dominica, Martinique, St. Vincent and the Grenadines). In extension, the project will be of importance for, a.o., those CLME<sup>+</sup> countries targeting pelagic species (such as Dolphinfish or Mahi Mahi) that depend on the eastern Caribbean flyingfish stocks. Through the dissemination of best practices & lessons learnt, the Sub-Project will also be beneficial to (a) other CLME<sup>+</sup> States with a stake in flyingfish fisheries, and (b) other CLME<sup>+</sup> fisheries (all CLME<sup>+</sup> States) aiming at adopting the EAF approach.

The Objectives of this Sub-Project are:

1. Optimize the transboundary coordination for the sustainable management of eastern Caribbean four-wing flyingfish stocks, to foster long-term human well-being of direct and indirect stakeholders
2. Full policy cycle implementation at the sub-regional level, through the review, updating, adoption and implementation of the sub-regional management plan for flyingfish fisheries
3. Full policy cycle implementation at the national level
4. Capture and disseminate best practices and lessons learnt, for the replication and up-scaling of the EAF approach in other CLME<sup>+</sup> fisheries

As has already been articulated under Section 1.3.5, the Sub-regional Fisheries Management Plan for Flyingfish in the Eastern Caribbean (finalised as part of activities under CLME Project -GEF ID 1032) represents the first sub-regional fisheries management plan to be approved at the transboundary level

within the CLME<sup>+</sup> Region. In light of this, the activities to be implemented as part of this output are linked to the measures agreed upon in the management plan by the main fishing States of Barbados, Dominica, Grenada, Trinidad and Tobago, Saint Lucia and St. Vincent & the Grenadines.

It should further be noted that early results and best practices emanating from this sub-project will also be used to inform the other Sub-Projects to be implemented under COMPONENT 3.

Activities under this output are described with more detail under **Annex 5** and will include:

- Formal adoption of the Governance Effectiveness Assessment Framework (GEAF), for the long-term planning and M&E of progress towards stock/ecosystem and socio-economic targets for the fishery, by WECAFC Session 16
- Strengthen the existing CRFM Sub-Regional Committee on Flyingfish to a decision-making body
- Formalize relationship between the CRFM and France to ensure France's (Martinique) involvement in the management measures in place for the flyingfish fishery
- Develop and initiate the implementation of national management plans for flyingfish fisheries consistent with the sub-regional fisheries management plan
- Establish sub-regional flyingfish vessel registry database
- Establish improved Monitoring, Control, Surveillance (MCS) and other compliance mechanisms for flyingfish fisheries
- Promote and support the establishment of national training and public awareness programmes to strengthen fishers' participation in the management process

**Output 3.4. (O3.4.) *Demonstrating the transition to an Ecosystem-Based Management (EBM) approach at the sub-regional/site level in the CLME<sup>+</sup> (with special attention to the integration with Output 3.2 in the case of the NBSLME sub-region)***

This output can be linked to the following Strategies of the CLME<sup>+</sup> SAP:

*SAP Strategy 6: implement EBM/EAF of the Guianas-Brazil continental shelf with special reference to the shrimp and groundfish fishery*

*SAP Strategy 4: enhance the governance arrangements for ecosystem-based management of reefs and associated ecosystems*

Output 3.4. will also seek to illustrate –through a number of site specific interventions- the important dependencies and functional linkages between the three transboundary issues of unsustainable fisheries, habitat degradation and pollution, identified under the CLME TDAS.

In general terms, the sub-project activities of Output 3.4. will take place within the wider geographic scope of the CLME<sup>+</sup>. However, specific “interventions” under Output 3.4. will focus on (selected sites within) a sub-set of countries. Special –but not exclusive- attention will be given in this context to identifying a (set of) site(s) within the NBSLME, given the observed relatively lower level of attention to the NBSLME among the pool of PPIs identified in the baseline inventory.

Activities to be undertaken at the specific sites in the NBSLME under O3.4. will seek to integrate with the work conducted under Output 3.3 towards more sustainable fisheries and/or the enhancement of associated livelihoods. This is in alignment with the aim of the activities under O3.4. to come to a site-level demonstration of the concept of EBM, through the coordinated implementation of a holistic

package of actions that will allow to also consider and address the impacts arising from the 3 inter-linked priority issues identified under the CLME TDAs: fisheries ↔ habitats ↔ pollution (see also SAP Strategy 6).

It is further anticipated that an adequate selection and agreement, among CLME<sup>+</sup> stakeholders, of specific project sites under O3.4. will provide for a direct opportunity to give practical relevance to the enhanced coordination arrangements that are expected to become established as a result of actions under Output 1.1. Of these, we specifically refer to: **(i)** the arrangement for enhanced coordination in the context of the implementation of the SPAW and LBS Protocols (O1.1.T.PI2 in Section 3); and **(ii)** the formal agreement for mutual coordination/collaboration between Brazil and the Cartagena Convention Secretariat (**O1.1.T.PI1** in Section 3)

Whether in the NBSLME or CLME, activities under O3.4 will seek to build upon, and complement those of other planned or ongoing projects and activities.

Although implemented at specific sites, best practices and lesson learnt from the Sub-Project's implementation will be of interest to the wider CLME<sup>+</sup> region, and to the broader Cartagena Convention (LBS/SPAW) and WECAFC constituencies.

The Objectives of the Sub-Project are:

1. Operationalize the coordination and cooperation mechanisms established under Output 1.1., to test and demonstrate application of EBM principles at the intervention level.
2. Demonstrate, through on-the-ground initiatives, innovative and participatory, cross-sectoral approaches to deal in a holistic way with the 3 priority problems of pollution, habitat degradation and unsustainable fishing, within the NBSLME and CLME
3. Capture and disseminate best practices and lessons learnt, for the replication and up-scaling of the EBM approach within and beyond the CLME<sup>+</sup>

Pre-identified activities, and principles that will be adopted, to contribute to these objectives include:

- Screening, identification and selection of the intervention sites, during the CLME<sup>+</sup> Project Inception Phase and/or in the context of the joint LBS-SPAW planning activities<sup>103</sup> (and with the aid/collaboration of the members of the CLME<sup>+</sup> PEG, Steering Committee, SPAW/LBS STAC and invited members of the CLME<sup>+</sup> Partnership)
- Experimental adoption of the Governance Effectiveness Assessment Framework (GEAF) at specific sites, for the planning and M&E of progress towards environmental (habitats, pollution), fish stock and socio-economic targets
- Collaborative definition of the intervention sites' project targets
- Development of the detailed sub-project documents, including specifications on the co-executing arrangements, and with attention to the pre-identified generic milestones and targets specified under Section 3

Prospective activities under O3.4. will be expected to contribute to the adoption at the level of the specific sites, of a holistic approach, by supporting the implementation of more comprehensive packages of measures. These will then allow to simultaneously deal with the various matters that are

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<sup>103</sup> see Output 1.1.

affecting the sustainable provision of ecosystem goods and services at these sites, e.g.<sup>104</sup>: unsustainable fishing practices, habitat degradation and community modifications (invasive species) and pollution, and the cross-cutting issue of climate change. They will bear in mind the over-arching goals of social justice and enhanced human well-being.

Prospective activities under this element of O3.3. may further include:

- Identification (and where feasible the mapping of) important spawning and nursery areas (local, national, sub-regional) for economically and ecologically important species along the North-Brazil Shelf LME; determine whether important spawning and nursery areas are associated with habitats such as mangroves, coastal wetlands and seagrass beds
- Develop and test the implementation of a methodology to identify (and where feasible map) marine pollution hotspots<sup>105</sup>, and characterize pollution sources and types, and magnitude of (potential) impacts
- Habitat protection and restoration initiatives that will support enhanced community participation (particularly the participation of women) and management of coastal habitats
- Initiative on alternative livelihoods (seamoss farming) compatible with national-level efforts towards EBM/ICM in the leeward islands, based on the experience and lessons learnt from a similar initiative in Saint Lucia

**Output 3.5. (O3.5.)** *Modest small grants support for the implementation of actions under the C-SAP and/or P-SAP (developed under Output 2.2) that will contribute to the achievement of Outputs 3.1.-3.4. (with special attention to enhanced livelihoods)*

This output can potentially link to any of the following Strategies of the CLME<sup>+</sup> SAP: Strategies 1, 2, 4, 5 and 6. Output 3.5. is further linked to Output 2.2 under COMPONENT 2.

A variety of small grants programmes and initiatives (SGPIs) exist, and additional ones are being planned in the CLME<sup>+</sup> region. Existing SGPIs were typically developed in disconnection from the CLME<sup>+</sup> SAP, and in the absence of associated CLME<sup>+</sup> Civil Society and Private Sector Action Programmes.

A limited “small grants reserve” under the CLME<sup>+</sup> Project (with an approximate contribution of GEF funds of around USD 150.000 – 200.000) may allow to fill in gaps in terms of civil society or private sector (SME) support under the programmed actions related to, e.g., Outputs 3.1, 3.2., 3.3. and 3.4.

Prospective activities under Output 3.5. can be located within the wider geographic scope of the CLME<sup>+</sup>.

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<sup>104</sup> As relevant & feasible within the budget & timeframe; at least 5 of the listed issues should be dealt with: habitat protection; habitat restoration; promote sustainable fishing practices; (iv) eliminate harmful fishing practices (IUU, grazer species); control pollution; mitigate marine impacts from pollution; control/mitigate impacts from invasives; enhanced resilience towards impacts of climate change; sustainable financing; enhanced/alternative livelihoods, social justice (with special attention to the role of women and minority groups)

<sup>105</sup> Special attention will be given in this context to matters relating to pollution that are known to affect fisheries and fish nursery habitats

### 2.3.4 Project Component 4: (Pre-)Feasibility assessments to identify major high-priority investment needs and opportunities in the CLME+ region

The lack of financial resources for governmental action is recognized as an important root cause of the region's limitations, in terms of the scale at which actions to address environmental degradation and to support the development of a blue economy can currently be implemented.

Transitory incremental funding will now be provided by the GEF through the CLME+ Project. However, these resources will only allow to initiate CLME+ SAP implementation. Full-scale SAP implementation and the achievement of its long-term objectives and overarching goal will demand a total volume of investments, up to between 1 and 2 orders of magnitude from the transitory funding provided by the GEF. Such will require a substantial increase in the involvement of the private sector, civil society, and the broader international donor community and development banks.

In order to avoid a stall in SAP implementation efforts after the CLME+ Project comes to an end, and in order to ensure that a substantial up-scaling of actions can take place, the 4<sup>th</sup> Component of the CLME+ Project has been specifically designed to assist the region and its stakeholders in the preparation, approval and delivery of investments plans, and in their efforts to start identifying sources and start leveraging the funds –including from private sector and development banks– required to implement these plans.

Under COMPONENT 4 and through the outcome and outputs described below, the CLME+ Project will deliver enhanced insights and understanding on high-priority investment needs and opportunities to: (a) halt and reverse, at the regional scale, the loss of ecosystem goods and services; and to (b) stimulate sustainable, ocean-linked businesses and economic growth (**Output 4.1.**). The updated and completed baselines on lessons learnt from site specific investments and demonstrated best practices, their current levels of application in the region and elsewhere, and their costs-efficiency and expected return-on-investment, will be used in the development of detailed medium- and long-term (10-20 years) investment plans (**Output 4.2.**). Activities under these outputs will thus build upon progress achieved in the region to date, complemented with global experiences and with early results obtained from Project COMPONENT 3.

Activities under COMPONENT 1, 2, 3 and 5 of this Project will all contribute to creating the enabling platform upon which the investments identified under COMPONENT 4 can then be built.

#### OUTCOME

***Financing catalysed for the up-scaling of priority actions for the protection of the marine environment and for ensuring sustainable, climate-resilient livelihoods and socio-economic development from sLMR use in the CLME+***

Successful implementation of this component will facilitate the targeted leveraging, from a variety of sources including the private sector and development banks, of the financial resources that are required to achieve a substantial up-scaling of priority investments under the CLME+ SAP. Such investments will in turn be expected to:

- facilitate the implementation of large scale, well-coordinated and knowledge-based efforts for the restoration and enhanced protection of key habitats known to be of critical importance for the region's sustained socio-economic development ("blue growth") and the well-being of its peoples

- facilitate the implementation of a variety of technologies, tools and infrastructure works to support sustainable fisheries development and contribute to enhanced livelihoods and human well-being
- facilitate the implementation of substantial on-the-ground investments to reduce the impacts of pollution on human well-being and on the region's socio-economic development, with a focus on measures that safeguard and/or restore the provision of marine ecosystem goods and services in areas with major development potential and/or needs

As such, activities under Component 4 will ensure that actions under the SAP move beyond the planning scale, and that measurable impacts can be created at national, regional, and -as relevant and feasible- global scales, within the next decade.

The expected outcome will contribute to addressing, amongst others, the following root causes: *limited financial resources, inadequate public and private involvement, and inadequate information and knowledge.*

#### **OUTPUTS UNDER COMPONENT 4:**

**Output 4.1. (O4.1) (Pre-)Feasibility reports on major investment needs and opportunities (incl. budget estimates, scope of work, private sector involvement, potential benefits and timescales) (Target O4.1.T.PI1 and 2)**

Ideally, this output will contain different elements, relating to the (kind and approximate magnitude of) investments needed to deal with each one of the three priority problems identified under the TDAs. Consideration of the cross-cutting and over-arching goals of enhanced livelihoods, socially just outcomes and increased resilience of the socio-ecological system to climate variability and change, will be mainstreamed into the development process for each individual element. Special attention will be given to the role of the private sector and civil society (*return-on-investments; "blue growth"*).

✓ *habitat degradation and modification of ecosystem communities (expected investment components: enhanced protection + stress reduction + restoration)*

**A baseline and (pre-)feasibility assessment report on the needs and opportunities for investments for the enhanced protection and restoration of key habitats**, with special attention to coral reefs, seagrass beds and mangroves

The report will take reference of findings and recommendations from e.g. the *"Toolbox for Action: Review of what's working in marine habitat conservation and what's not"* developed by the *Habitat Community of Practice* under the *Global Partnership for Oceans*, and from *"Status and Trends of Caribbean Coral Reefs: 1970-2012"* (Jackson et al., 2014), *a.o.* It will thus harvest the relevant knowledge acquired from regional and global research, and build upon identified best practices and lessons learnt from the multitude of existing (currently mostly small-scale) habitat restoration initiatives in the CLME<sup>+</sup>. Where feasible, the report will also integrate additional knowledge acquired from the relevant activities under CLME<sup>+</sup> Project COMPONENT 3 (i.e. early results). Due attention will be given to the value of ecosystem goods & services, as to quantify *opportunity costs (EBM vs BaU; see also Section 1.3.6)*.

In order to achieve this element of Output 4.1., proposed activities include:

- As feasible, utilize existing networks of experts (e.g. SPAW STAC,...)<sup>106</sup> to provide guidance for the development/review/approval of a work plan and timeline (*timeline needs to be compatible with CLME+ Project timeline and timeline of the established regional governance processes in the CLME+*)
- Complete the inventory of existing efforts in the region (location, scale, type, stakeholders involved, status, cost/investments made, results obtained, potential for up-scaling/replication, etc.)
- Analyse benefits that can be obtained from enhanced habitat protection/restoration (valuation of ecosystem goods & services; cost-benefits/opportunity costs)
- Review and identify best practices and lessons learnt and analyse potential for replication and up-scaling, based on results from previous 2 points
- Pre-screening of identified options/potential measures and solutions: robustness in face of the uncertainties related to climate variability and change, and contributions to enhanced resilience of the socio-ecological system under consideration
- Identification of priority geographic focus areas in the CLME+ region; criteria proposed for consideration are:
  - Potential for short-term return-on-investment (on site)
  - Potential for medium to long-term return-on-investment (replicability & up-scaling potential)
  - Current gaps (geographic, thematic,...)
- Build and expand the regional partnership for action on enhanced protection and restoration of habitats, with due attention to the wider donor community and inclusion of non-governmental actors, e.g. private sector & civil society representatives (e.g. the organization of a donor conference and the establishment of a business forum will be considered in this context)
- Develop report

✓ *unsustainable fisheries*

**A baseline and (pre-)feasibility assessment report on the opportunities and needs for priority investments in the development & management of sustainable fisheries,** in-line with the management plans developed under COMPONENT 3, will be delivered by Project Mid-Term.

The proposed activities to achieve this element of O4.1. include:

- As feasible, utilize existing networks of experts<sup>107</sup> to provide guidance to the development/review/approval of a work plan and timeline (*timeline needs to be compatible with CLME+ Project timeline and timeline of established regional governance processes in the CLME+*)
- Complete the inventory of existing efforts in the region (location, scale, type, stakeholders involved, status, cost/investments made, results obtained, potential for up-scaling/replication, etc.)
- Analyse benefits that can be obtained (valuation of ecosystem goods & services)

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<sup>106</sup> Current thinking considers a Technical Task Team with representatives from UNEP SPAW STAC, TNC, Caribsave, CCCCC, etc.; ensure representation of private sector and civil society

<sup>107</sup> With inclusion of private sector and civil society representatives

- Review and identify best practices and lessons learnt and analyse potential for replication and up-scaling, based on results from previous 2 points
- Pre-screening of identified options/potential measures and solutions: robustness in face of the uncertainties related to climate variability and change, and contributions to enhanced resilience of the socio-ecological system that is being addressed
- Identification of priority geographic focus areas in the CLME<sup>+</sup> region; criteria proposed for consideration are:
  - Potential for short-term return-on-investment (on site)
  - Potential for medium to long-term return-on-investment (replicability & up-scaling potential)
  - Current gaps (geographic, thematic,...)
- Build and expand the regional partnership (incl. private sector and civil society representatives) for action on sustainable fisheries management (e.g., the organization of a donor conference and the establishment of a business forum will be considered in this context)
- Develop report

✓ *pollution*

**A baseline and (pre-)feasibility assessment report on the needs and opportunities for investments to reduce the impacts of pollution on human well-being and to safeguard the goods & services delivered by marine ecosystems and associated living resources to human society.**

In order to achieve this output, proposed activities to be undertaken under Component 4 include:

- As feasible, utilize existing networks of experts (e.g. LBS STAC)<sup>108</sup> to provide guidance to the development/review/approval of a work plan and timeline (*timeline needs to be compatible with CLME<sup>+</sup> Project timeline and timeline of established regional governance processes in the CLME<sup>+</sup>*), based on the preliminary results obtained from the work conducted by the World Bank (Global Partnership on Oceans) and UNEP CEP, and in line with the recommendations of the 2<sup>nd</sup> LBS STAC
- Mapping key areas, type and magnitude of impacts from pollution on socio-economic development and human well-being, to determine where: **(i)** critical needs exist to avoid increasing socio-economic losses from pollution; **(ii)** best options for recovery from existing negative impacts exist, with the aim of pre-identifying where and how highest benefits from investments can be obtained
- Cost-benefit evaluation of different existing solutions (with consideration to both grey and green/blue infrastructure – the latter includes linkage with report # 1 on habitats)
- Complete the inventory of existing efforts in the region (location, scale, status, type, stakeholders involved, investments made, results obtained, potential for up-scaling/replication, etc.)
- Review and identify best practices and lessons learnt, analyse potential for replication and up-scaling

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<sup>108</sup> With inclusion of private sector, development banks and civil society representatives



- Pre-screening of identified options/potential measures & solutions: robustness in face of the uncertainties related to climate variability and change, and contributions to enhanced resilience of the socio-ecological system that is being addressed
- Identification of priority geographic focus areas in the CLME<sup>+</sup> region; criteria proposed for consideration are:
  - Potential for short-term return-on-investment (on site)
  - Potential for medium to long-term return-on-investment (replicability & up-scaling potential)
  - Current gaps (geographic, thematic,...)
- Build and expand the regional partnership (incl. private sector and civil society representatives) for action to reduce the impacts of (e.g., the organization of a donor conference and the establishment of a business forum will be considered in this context)
- Develop report

**Output 4.2. (O4.2.) *Investment plans (incl. specifications for private sector and civil society involvement) to deal with key issues identified under the CLME TDAs, and to catalyse larger infrastructure loans and investments developed and approved by relevant SAP stakeholders (Targets O4.2.T.PI1-4)***

The investment plans to be developed under this output will detail the planned/confirmed investments that emanate from the more generic results of the pre-feasibility studies undertaken as part of Output 4.1. The projected elements of this output are:

**An investment plan for large-scale action on habitat protection and restoration, with special attention to habitats of critical importance in terms of current and potential future provisions of ecosystem goods & services (“blue growth”), and contributions to Global Environmental Benefits (GEBs)**

**An investment plan for on-the-ground measures to support sustainable fisheries management & development (“blue growth”), with the aim of ensuring enhanced/sustainable livelihoods, while fostering social justice and safeguarding & improving human well-being and health**

**An investment plan that outlines and costs high-priority actions to reduce LBS pollution, with special attention to pollution sources known to cause substantial impacts on the provision of those ecosystem goods and services that are of critical importance for human well-being and sustained socio-economic development**

These 3 element of Output 4.2. will require the implementation of the following type of activities:

- Definition of Working Group composition, ToRs, work plan and timeline, to ensure adequate representation of governmental, civil society, private sector stakeholders and representatives from donor community and development banks, and to ensure work plan and timeline are compatible with overall timeline of CLME<sup>+</sup> Project and of decision-making processes under the relevant, established regional governance mechanisms in the CLME<sup>+</sup>
- Develop draft and revised investment plan; final screening of specific investments considered for inclusion in the plan in terms of their robustness in face of the uncertainties related to climate variability and change, and their contributions to enhanced resilience of the socio-ecological system that is being addressed
- Approval of final (revised) plan

### 2.3.5 Project Component 5: Monitoring & assessing progress of and results from the overall implementation of the CLME+ SAP, and experience sharing with the global LME practitioners community

Insufficient communication, co-ordination and information exchange among primary CLME+ SAP stakeholders<sup>109</sup> and among the myriad of existing and planned projects, activities and initiatives in the region constitutes an important barrier to fully achieving the societal and environmental benefits<sup>110</sup> expected from these multiple investments. With the endorsement of the CLME+ SAP, a broad and comprehensive framework is now available to support better coordination of actions, so that major benefits can be obtained more effectively and efficiently.

The establishment of a “**Global Partnership for the implementation of the CLME+ Strategic Action Programme**” (the “**CLME+ Partnership**”<sup>111</sup>) –which is expected to bring together the different stakeholders, donors and development partners- will be key to achieving such coordinated action under the framework of the SAP.

By means of the outcome and associated outputs under COMPONENT 5, the CLME+ Project has been specifically designed to enable the establishment and progressive expansion of such Global Partnership (**Output 5.1.**). Under this partnership, the development of a joint CLME+ SAP Monitoring and Evaluation (M&E) framework and associated, dashboard-type “*CLME+ status*” web portal(s) and reporting tool (**Output 5.2.**) will facilitate better communication, and thus also better co-ordination and collaboration towards the objectives of the SAP.

Selected elements of the overarching Communication Strategy developed under COMPONENT 2 (esp. those targeting the CLME+ Partnership and global LME COP, and those relevant to matters relating to the overall objectives of the SAP), will be implemented through COMPONENT 5 (**Output 5.3**). Building upon the results from the previous output, Output 5.3. will then also further promote ownership and accountability, enable adaptive planning & management of SAP implementation, and make it possible to better respond to evolving priorities, opportunities and needs.

The scope of activities under Output 5.3 will reach beyond the CLME+ region itself, as mutual benefits for the CLME+ Partnership and for the global GEF/IW/LME Practitioners Community will be secured through project twinning activities and through the global dissemination, collection and exchange of best practices and lessons learnt.

#### **OUTCOME**

***The potential for maximizing regional socio-economic benefits and Global Environmental Benefits from SAP implementation will be increased through:***

- a) **enhanced coordination and collaboration** among sLMR programmes, projects, initiatives (PPIs) and stakeholders, within the CLME+ region and beyond, to be achieved through the establishment and progressive expansion of the “CLME+ Partnership”

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<sup>109</sup> In the context of COMPONENT 5, with primary CLME+ SAP stakeholders we specifically refer to those institutions, organizations and donors whose formal mandate and/or recognized role in the context of sLMR management in the CLME+ creates the expectation that they are major, active or potential contributors to the over-arching objectives of the SAP

<sup>110</sup> Including expected Global Environmental Benefits (GEBs) under the GEF IW and BD Focal Areas

<sup>111</sup> For the purpose of outreach on, and promotion of the CLME+ approach, consideration will be given among the members under the Partnership to the potential proclamation of a regional “**Day of the Marine Environment**” in the CLME+

- b) **optimized and adaptive management of sLMR-related PPIs** in the region, to be supported by effective and collaborative SAP M&E tools
- c) **exchange of best/good practices and lessons learnt among the global LME Community of Practice (CoP)**, leading to enhanced efficiency and effectiveness of measures under the CLME<sup>+</sup> SAP

#### **OUTPUTS UNDER COMPONENT 5:**

**Output 5.1. (O5.1.)** Cooperation (incl. through formal and/or informal frameworks and partnerships) among development partners, programmes, projects, initiatives (PPIs) and countries/territories with a stake in the CLME<sup>+</sup> SAP (“CLME<sup>+</sup> SAP Partnership”) **(Targets O5.1.T.PI1-6)**

This effort will build upon the partnerships that were already successfully established during the first CLME Project and the CLME<sup>+</sup> Project Preparation Phase (PPG Phase).<sup>112</sup>

Proposed activities that will contribute to Output 5.1. include:

- further expansion of the “baseline” inventory (initiated during the CLME<sup>+</sup> PPG phase) of: (a) primary stakeholders and (prospective) partners, and (b) relevant, existing and planned programmes, projects and initiatives (“PPIs”)
- further enhancement of the basic PPI database structure developed during the PPG phase
- maintenance and periodic updating of the PPI database content
- negotiation and conclusion of collaborative/partnership arrangements (MoUs, others,...) with prospective CLME<sup>+</sup> Project/CLME<sup>+</sup> SAP partners
- development of generic (and, where applicable, partner-specific) Terms of Reference (ToRs) for the collaborative arrangements under the CLME<sup>+</sup> Partnership
- leveraging of additional contributions towards CLME<sup>+</sup> SAP implementation (increase in total investments portfolio value)

**Output 5.2. (O5.2.)** A prototype CLME<sup>+</sup> ecosystem status and SAP implementation M&E mechanism will be developed during the Project Inception Phase, and progressively expanded and improved throughout the project’s duration (in line with the expansion of the CLME<sup>+</sup> Partnership).<sup>113</sup>

Operationalization (by the end of Project Year 1) of the M&E mechanism will be supported through the activities under Output 5.3. Both outputs will be produced in collaboration with, amongst others, the “Caribbean Marine Atlas” CMA2 initiative (FUST/IODE – IOC of UNECO) and the efforts on the “State of the Convention Area Report” (SOCAR) under the Work Programme of the LBS Protocol. O5.2 is further expected to contribute to the further regional appropriation, adaptation and institutionalization of the TDA/SAP approach, which was initiated which GEF support under the CLME Project (2009-14).

Output 5.2. will consist of the following 3 distinctive, complementary elements:

- ✓ **Common, or compatible approaches and/or protocol(s) for the joint monitoring & assessment of overall SAP implementation (and CLME<sup>+</sup> status and conditions)**

<sup>112</sup> See e.g. Section 5, and the partner *co-financing commitment and declaration of intention (DoI)* letters in the Annexes to the Project Document

<sup>113</sup>It should be noted that this output has linkages with outputs under C1 and C2.

- ✓ **“CLME<sup>+</sup> SAP Monitoring & Evaluation” and “State of the Marine Ecosystems and shared Living Marine Resource in the CLME<sup>+</sup>” web portal(s) and reporting outline**
- ✓ **Sustainability Strategy/Plan for the periodic updating of the Report/Portals beyond the CLME<sup>+</sup> Project’s lifespan**

In recognition of the fact that the CLME<sup>+</sup> Project is a 5-year initiative, and with the 10-year SAP being nested within the broader regional-level aim of achieving effective ocean governance within a 20-years timeframe, due efforts will be made to ensure that activities under the elements of Output 5.2. build as much as possible on existing/planned activities of organizations and institutions with a formal, broadly accepted mandate or role relating to sLMR governance and management.

**Common, or compatible approaches and/or protocol(s) for the joint monitoring & assessment of overall SAP implementation and of CLME<sup>+</sup> status and conditions**, and for the further institutionalization of the TDA/SAP approach, will be developed and consensus obtained (**Target 05.2.T.PI1-3**).

For this purpose, use will be made of concepts originating from the modular approach under the LME Programme (NOAA)<sup>114</sup>, the GEF IW M&E Strategy, the DPSIR framework<sup>115</sup>, the Governance Effectiveness Assessment Framework (GEAF) and the Transboundary Waters Assessment Programme (TWAP Project, GEF ID 4489). Linkages will further be sought with the Ocean Health Index (OHI) initiative spearheaded/led by Conservation International, and with the currently existing national and regional-level monitoring and reporting obligations<sup>116</sup> and needs, as far as these are relevant to the SAP. Activities under this Output will be coordinated with those under Output 1.4.

The first element of Output 5.2. is compatible with the “umbrella programme” concept of the SAP, as it aims to further strengthen partnerships by fostering collaborative M&E processes, incl. on actions under the SAP that fall outside of the scope of the CLME<sup>+</sup> Project itself.

Activities under this element of Output 5.2. are expected to include:

- pre-screening of potentially relevant key indicators for SAP M&E, under the different relevant indicator categories (e.g. governance architecture, process indicators, stress reduction, stock status, ecosystem status and associated socio-economic indicators, etc.)
- consensus on an initial indicator set for the joint M&E of SAP implementation, incl. indicators on status of CLME<sup>+</sup> ecosystems and associated living resources
- measures to ensure that the CLME<sup>+</sup> countries and regional organisations have the systems in place, including the funds and the political will, to continue to monitor and assess the impact of investments after the project closure.
- development and implementation of a collaborative framework (incl. protocols on approaches) for the production and exchange/dissemination of baseline values and periodical updates (progress/change in status) for key CLME<sup>+</sup>/SAP indicators

Activities will be coordinated with those described under Output 1.4.

**A “SAP Implementation M&E” and “State of the Marine Ecosystems and shared Living Marine Resources in the CLME<sup>+</sup>” web portal (or set of portals) and report outline** will be developed, possibly

<sup>114</sup> [http://lme.edc.uri.edu/index.php?option=com\\_content&view=category&layout=blog&id=48&Itemid=79](http://lme.edc.uri.edu/index.php?option=com_content&view=category&layout=blog&id=48&Itemid=79)

<sup>115</sup> See the corresponding descriptions on the DPSIR framework under the “Sub-Project” Annexes to this Project Document

<sup>116</sup> E.g. those under regional and global conventions, such as resp. the Cartagena Convention and the CBD and UNFCCC

combined with other (innovative) dissemination means (**Target 05.2.T.PI1-2**). For this purpose, activities under this element of Output 5.2 will build upon the results obtained under Output 2.6.

The web portal (or combination of inter-linked portals, hosted by CLME<sup>+</sup> partners in alignment with their mandates and adhering to the principle of subsidiarity) will be designed in such a way that key aspects of CLME<sup>+</sup> ecosystem status, and results from CLME<sup>+</sup> SAP M&E (incl. the long-term monitoring of impacts of the investments under the CLME<sup>+</sup> Project) can be depicted and communicated, by making use of the materials that will be developed under Output 5.3. For the purpose of SAP implementation M&E, the use of a “dashboard”/“traffic light” functionality will be considered.

With the involvement of members of the CLME<sup>+</sup> Partnership a “**Sustainability Strategy/Plan**” (**05.2.T.PI3**) will be developed which will allow for the periodic updating of the State of the Marine Environment Report beyond the lifespan of the CLME<sup>+</sup> Project. Such a plan will also seek to propose a mechanism that will allow for the long-term adoption and implementation of the cyclical TDA/SAP process, initiated during the first CLME Project (GEF ID 1032).

Hence, the web portal(s) will provide the members of resp. the CLME<sup>+</sup> Partnership, and of the broader stakeholder community and general public, with access to periodically updated key indicators relating to CLME<sup>+</sup> SAP processes and objectives, and to information on the status of key ecosystems and associated living resources in the CLME<sup>+</sup>.

Activities that will contribute to this element of O5.2. include:

- collaborative development of an outline for the first “*State of the Marine Ecosystems and associated Living Resources in the CLME<sup>+</sup> region*” report (report outline will be reflective of the CLME<sup>+</sup> SAP Strategies, and take into account existing organizational mandates and/or recognized roles among the members of the CLME<sup>+</sup> Partnership)
- in connection with and in support of the previous activity, integrate the CLME<sup>+</sup> Status and SAP M&E web portal development with the development of the “*State of ...*” reporting Strategy
- foster the further regional appropriation and institutionalization, and long-term adoption of the cyclical TDA/SAP process, by conceptually mainstreaming the approach into the design of the CLME<sup>+</sup> SAP M&E web portal and “*State of ...*” reporting dynamics and prospective content
- consensus obtained on, and political support for long-term partner responsibilities (hosting and maintenance arrangements for web portals, provision of content for portals and for the report, and sustainable financing mechanism)

Measures will thus be taken to ensure that the CLME<sup>+</sup> countries and regional organisations have the systems in place, including the funds and the political will, to continue to monitor and assess the impact of investments after the project closure.

Given the formal mandates of UNEP CEP under the Cartagena Convention with regard to the LBS and SPAW Protocols, it is anticipated that UNEP CEP will take a lead role in the partnership to be established for the development of the “*State of the Marine Environment*” sections. In a similar way, it is anticipated that the interim arrangement for sustainable fisheries established under Component 1 of the Project, will coordinate the development of the “*Status of Marine Fisheries*” section of the Portal/Report. In an initial phase, overall coordination of the Portal/Report development is anticipated to be conducted through the interim “SAP implementation coordination” mechanism (to be established under O1.1) and (operationally) led by the CLME<sup>+</sup> PCU, until a more permanent coordination mechanism has been defined as part of the Sustainability Strategy/Plan.

Further synergies will also be sought with other ongoing and planned initiatives, including the “Regional Integrated Environmental Assessment GEO LAC” coordinated at the Latin American and Caribbean level by UNEP ROLAC and others that were (preliminarily) identified under Section 1.3.5.7.

**Output 5.3. (O5.3.)** *Communication, twinning and knowledge exchange activities targeting the CLME+ Partnership and global LME Community of Practice*, to be implemented throughout the Project’s duration, will put in practice the corresponding elements of the over-arching Communication Strategy<sup>117</sup> developed under COMPONENT 2.

Communication towards and among the members of the CLME+ Partnership will enhance awareness, coordination and collaboration among current and prospective CLME+ partners and will help reducing overlap in efforts, enable complementarity of actions and facilitate synergetic effects towards the overall objectives of the CLME+ SAP. Communication activities under this element of O5.3. will be particularly geared towards the collaborative production of a first “State of the Marine Ecosystems and associated Living Resources” report, and relevant content for the web portal(s) developed under O5.2.

Although the members of the CLME+ Partnership will thus be the primary stakeholders of Output 5.3., in order to further maximize regional and global benefits from the support provided by the GEF (and in fulfilment of the associated donor requirement), O5.3 will also contain a distinct element that focusses on twinning, dissemination and knowledge exchange across the global LME Practitioners Community.

Overall coherence of activities under Output 5.3. will be supported through the provisions under the over-arching CLME+ Communication Strategy (Output 2.4), and further promoted through the oversight/coordinating role that will be assigned to the CLME+ PCU and interim SAP implementation coordination mechanism (established under Output 1.1). Activities under Output 5.3 will consequently also be coordinated with the communication and awareness building activities to be implemented as part of the Sub-Projects under COMPONENT 3, and will be mutually supportive.

Output 5.3 will consist of the following 2 distinctive elements (described in further detail below):

- ✓ **Implementation of selected elements of the CLME+ SAP/CLME+ Project Communication Strategy, targeting the existing and prospective members of the CLME+ Partnership**
- ✓ **Global dissemination, collaboration, and sharing of experiences among the global LME practitioners community**

For the **implementation of those elements under the CLME+ Communication Strategy (O2.4) that specifically target the CLME+ Partnership (Target O5.3.T.PI1-2)**, the following activities are foreseen to take place under COMPONENT 5:

- Coordinated development of CLME+ SAP/Project-related content on CLME+ partner websites (incl. a central “CLME+ Project” website, initially managed through the CLME+ PCU)<sup>118</sup>

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<sup>117</sup> And, where applicable, the Training Plan (e.g. inter-LME twinning activities)

<sup>118</sup> The de-centralized approach, involving organizations with a long-term mandate for sLMR governance and management in the CLME+, will contribute to the sustainability of this result beyond the project lifespan

- Coordinated development of content for the CLME<sup>+</sup> Status and SAP M&E web portal(s) and “State of...” report
- Production of CLME<sup>+</sup> Project booklet, leaflets and quarterly newsletters, or similar dissemination materials, that will build awareness on the CLME<sup>+</sup> Project and SAP, and showcase over-arching and/or distinguished project results (target public: (a) current and prospective members of the CLME<sup>+</sup> Partnership; (b) the wider CLME<sup>+</sup> stakeholder community)
- Exchange of CLME<sup>+</sup> SAP-related or relevant communication materials and reports, among CLME<sup>+</sup> partners (incl. through the use of repositories and/or mailing lists)

**Global dissemination, collaboration, and sharing of experiences among LMEs (Target O5.3.T.PI3-5)**

holds the important potential to lead to more efficient and cost-effective -and thus more successful- implementation of actions, both within the CLME<sup>+</sup> as well as in other [GEF-supported] Large Marine Ecosystems or LMEs. The exchange of experiences, best practices and lessons learnt, and (where feasible and relevant to the Project’s objective) “hands-on” collaboration/twinning activities involving practitioners and stakeholders from other LMEs will therefore be fostered by the CLME<sup>+</sup> Project through this element of O5.3.

This will be achieved through networking activities with the global LME practitioners community (e.g. through IW:LEARN, TWAP, the LME COP Project, and the Global LME Conferences). For example, a pre-identified interest exists in this context to further explore potential twinning opportunities on the monitoring & evaluation of SAP implementation, and the associated development of marine atlases/information portals, with the [forthcoming]/[proposed] “SAPPHIRE” Project on the Agulhas and Somali Current LME (currently under development).

Activities under this element of O5.3. will include:

- Participation of the CLME<sup>+</sup> Project in the biennial GEF International Waters Conferences (IWC)
- Participation of the CLME<sup>+</sup> Project in the annual LME Consultative Group meetings
- Participation of the CLME<sup>+</sup> Project in the Global LME Conferences
- The production and dissemination of CLME<sup>+</sup> Experience Notes<sup>119</sup>
- Participation of the CLME<sup>+</sup> Project in IW:LEARN/LME COP twinning exchanges, and regional workshops (to be coordinated with the IW:LEARN and LME COP Projects)

For this purpose, at least 1% of the CLME<sup>+</sup> GEF grant will be dedicated to support IW:LEARN/LME COP-related dissemination, twinning & exchange activities.

## 2.4 Project Indicators and Impact Monitoring

Throughout its execution, the CLME<sup>+</sup> Project will implement and use a solid Monitoring and Evaluation (M&E) framework, to track and evaluate progress, and monitor impacts. This framework will be consistent with GEF and UNDP requirements (see also Section 6), including those on gender, and will take reference of the expected outcomes and outputs described under Section 0 (see the Project Results Framework, Section 3).

In addition, the project will also assist in establishing a long-term M&E framework for managing progress towards the overall implementation of the CLME<sup>+</sup> SAP programme. This SAP M&E framework will be developed under Project Component 5, through collaborative efforts with members of the

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<sup>119</sup> Materials produced under the previous element this Output can also be used for this purpose (and vice versa)

CLME+ Partnership. It will be utilized during and beyond the lifespan (and scope) of the CLME+ project itself (the first CLME+ SAP is a 10-year programme, and broader than the project, and will be updated towards the end of the initial 10 year period towards longer-term implementation). A certain amount of overlap will exist between both M&E frameworks, allowing for certain synergistic effects. Above all, the frameworks will be complementary, serving respectively the purposes of M&E of the 5-year project and of the 10-year SAP.

For the CLME+ Project M&E framework, the following considerations are of special relevance:<sup>120</sup>

- as a project that aims at kick-starting SAP implementation, and with its strong focus on being a catalyst for governance processes, most CLME+ Project Indicators (especially those from Components 1, 2 and 5) fall under the “**Process Indicators**” Category
- independent of the indicator category, special efforts have been undertaken to use as much as possible **SMART**<sup>121</sup> indicators and targets under the Project Results Framework (“logframe”) in Section 3
- reference is further made to the mandatory use of the GEF IW tracking tool, and to the adoption of indicators from the GEF’s “Results Framework for Gender Mainstreaming in GEF Operations” (see also Table 8)

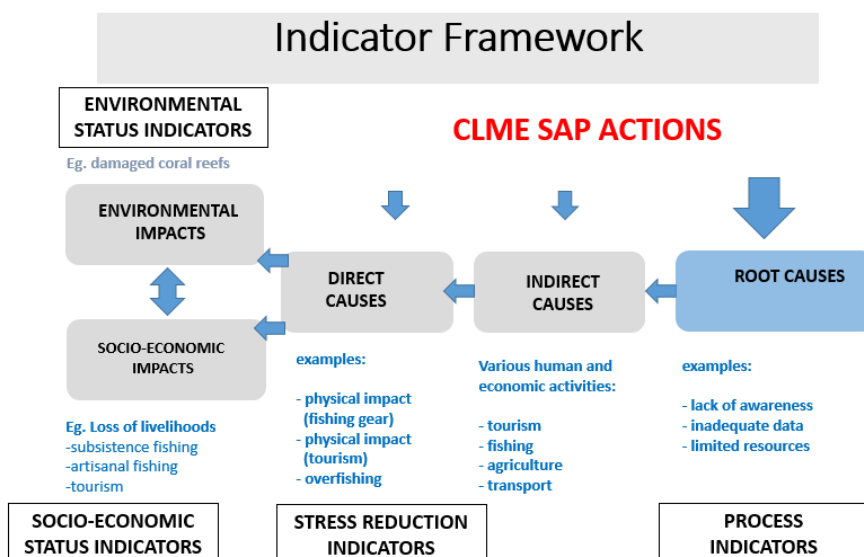


Figure 13. The different types of indicators typically used for the M&E of results under GEF (co)funded International Waters Projects

Even though it is acknowledged that most of the CLME+ Project’s indicators and targets will relate to the “**process**” category, it is of utmost importance that at all times the support provided by the CLME+ Project to governance processes remains embedded within the over-arching context of *achieving impacts, in terms of improved human well-being, through enhanced ecosystem conditions*. For this reason and with certain periodicity, the adequacy of the used processes and pre-established associated targets under the project, and of the progress towards these targets, will need to be critically re-assessed and - where applicable - revised.

<sup>120</sup> They will also be largely applicable to the SAP M&E framework.

<sup>121</sup> SMART indicators are: Specific, Measurable, Achievable, Relevant and Time-bound.



It is therefore essential that to the best possible extent expected (over-arching) long-term, **socio-economic and environmental outcomes (targets)** of the CLME<sup>+</sup> Project's activities (and of the SAP) **become defined during the first year(s) of project execution**<sup>122</sup>.

As part of the process of operationalizing the CLME<sup>+</sup> governance arrangements (Component 1), and once due participation of relevant stakeholder groups becomes ensured (Component 2 and 3), more specific "**Stress Reduction**", "**Environmental Status**" and "**Socio-economic Status**" Indicators and associated targets can then be defined.

These will then become part of the overarching M&E Framework for SAP implementation, and their use can then also be mainstreamed into the "*State of the Marine Ecosystems and associated living resources in the CLME<sup>+</sup> region*" Report(s). Both are developments that will be supported through the activities under CLME<sup>+</sup> Project Component 5.

Under Section 2.1.5., it has been highlighted how the "Governance Effectiveness Assessment Framework" (GEAF; TWAP Project<sup>123</sup>) will be used as a results-based planning and assessment<sup>124</sup> framework for overall CLME<sup>+</sup> Project and CLME<sup>+</sup> Sub-Project (and SAP) implementation. In this context, the 7 assessment levels of the framework had been previously linked to the different Components of the CLME<sup>+</sup> Project. An association between these levels and the typical GEF indicator categories (including those on gender, and expanded with the governance indicator types adopted under TWAP) can now also be made. These associations are illustrated in Figure 14.

In the context of the M&E of the CLME<sup>+</sup> SAP, the following additional principles, concepts & ongoing activities will also be given consideration:

- the modularity of the NOAA-proposed approach to the management of LMEs (5-modules)<sup>125</sup>
- the subdivision of the SAP in 6 Strategies, 4 Sub-Strategies and 76 actions (and the need for associated indicators)
- the need to institutionalize the TDA/SAP approach, to ensure long-term uptake & continuity
- relevant existing international, regional and national reporting obligations (e.g. CBD, SOCAR reporting under the LBS Protocol, etc.)
- other relevant ongoing processes and initiatives (Ocean Health Index, World Ocean Assessment, TWAP, etc.)
- the GEF's Results Framework for Gender Mainstreaming (see also Section 2.11)

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<sup>122</sup> In the absence of (access to) adequate baseline information and/or scientific-technical knowledge, and as long as mechanisms for the adequate implementation of participatory consultation/decision-making processes have not yet been put in place, it may be difficult or less meaningful or even less acceptable to put forward specific quantitative targets for these environmental and socio-economic indicators. In such cases however, commitments should be made to put such indicators and targets in place (even if they are semi-qualitative only in an initial phase) as soon as technically feasible and socially and politically acceptable.

<sup>123</sup> <http://www.geftwap.org/water-systems/large-marine-ecosystems>

<sup>124</sup> including the assessment of the levels of mainstreaming of gender and climate proofing/readiness considerations into the planning and implementation of CLME<sup>+</sup> Project and SAP actions; regarding gender, specific reference is made in this context to the following elements of the framework: "*operational governance processes*", "*stakeholders appropriately engaged*", and "*socially just outcomes achieved*"

<sup>125</sup> <http://lme.edc.uri.edu/>

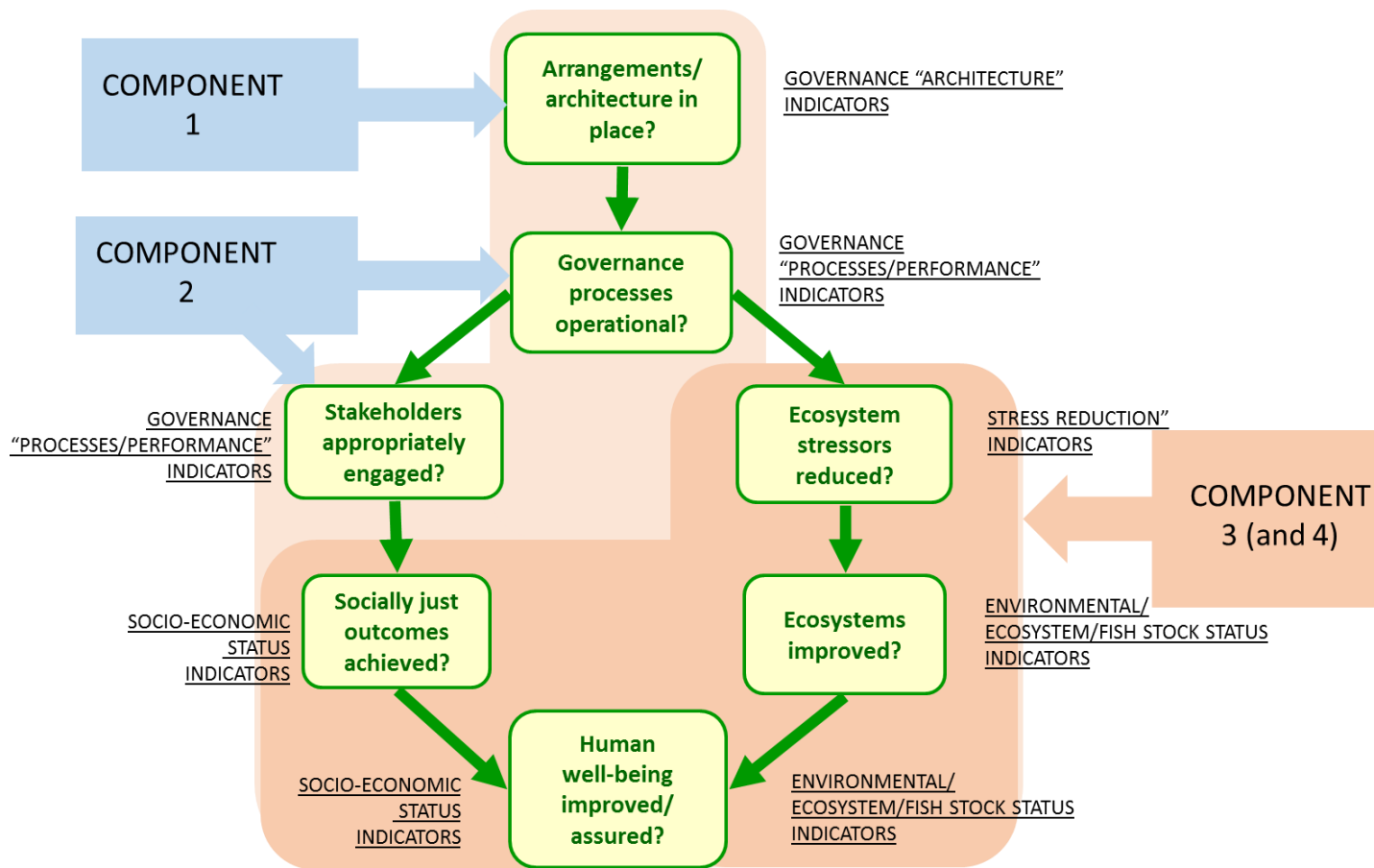


Figure 14. The 7 levels of the Governance Effectiveness Assessment Framework (GEAF), and their association with (a) CLME+ Project Components, and (b) GEF IW/TWAP indicator categories

## 2.5 Risks, and Mitigation Strategies

Risk	Rating	Mitigation Strategy
Operating the governance framework for sLMR is not financially sustainable in the long-term	M-H	CLME+ SAP and Project need to demonstrate benefits of the RGF. Project workplan includes the development of a sustainable financing strategy for the RGF (strategy needs to consider and promote a gradual reduction of donor dependency). Integration of subsidiarity principle within, and enhanced coordination across the RGF will lead to enhanced efficiency in use of available resources. Alternatives to physical meetings of RGBs need to be explored, where feasible. Financial considerations need to be included in project activities that support decisions regarding the strengthening/expansion of the governance arrangements. Seek stronger involvement in (and contributions to) regional sLMR governance from regional stakeholders (incl. civil society and private sector), including those from financially strongest sectors
Failure of region to work together towards regional EBM/EAF governance	L-M	The development and region-wide political endorsement of the SAP has demonstrated countries' willingness to cooperate and search consensus. Activities under Components 1, 2, 3 and 5 in particular will further support this region-wide cooperation and consensus-building. Leadership role under the Project for well-established regional organizations that are backed by their constituency countries.
Fragmentation of efforts and lack of coordination among projects and initiatives resulting in low return on investment and failure to achieve GEBs	L-M	CLME+ SAP was regionally endorsed and constitutes a formal reference framework for coordinated action. Incorporation of Component 5 in the CLME+ Project design (mapping of initiatives, establishment of partnerships, joint tracking of progress) directly aims at mitigating this well-recognized risk. Leading role in execution of SAP Strategies for (sub-)regional organisations with a formal mandate adds authority to the quest for better integration and coordination. Use of results from comprehensive technical study on institutional mandates/policy cycle gaps conducted during foundational capacity building phase (CLME) will be of use. Increased awareness exists among projects, programmes and initiatives of the need for enhanced coordination. First steps to build and expand CLME+ Partnership already undertaken during PPG phase.
Environmental and Societal Change (including climate change, political change)	M- H	Mainstreaming of adaptation criteria in the design and implementation of CLME+ SAP activities: (i) evaluation of the robustness of proposed solutions in the context of climatic and political uncertainty; (ii) screening of the potential of the proposed solutions/actions to contribute to enhanced resilience of the socio-ecological system. Strong involvement of and ownership by well-established (sub-) regional governance bodies and organizations will buffer/reduce susceptibility of project outcomes to political change. Similar for enhanced role for private sector and civil society.

Risk	Rating	Mitigation Strategy
Lack of parallel commitments on the part of Governments and potential donors to ensure financial sustainability beyond the life of the Project	L-M	Strong coordination with, and involvement of governments and other donors in the implementation of the CLME+ SAP will be promoted through Project Component 5. Analyses of financial needs are planned during CLME+ SAP and Project implementation. Development of investment plans, sustainable financing strategies, contemplated under the Project.
Limited public awareness and interest in ecosystem approaches, and inertia/resistance to change	L-M	The project will directly AND indirectly engage (e.g. through the partners, under the broader partnership to be established under Component 5) with the wider stakeholder community to increase awareness and to emphasise local benefits of ecosystem-based management approaches.
Limited scientific data and information, and limited willingness or capacity of national authorities to share data	L-M	Strong attention under SAP Strategies and CLME+ Project to enhanced data & information management. Development of regional-level or national data policy will be key in many cases. Coordinated development of “research strategies” that identify knowledge gaps, can assist in increasing the proportion of research that is demand-driven and thus help increasing the relevance of the knowledge base.
Significant differences in participating countries’ size, geographic configuration, development status and economic and logistical capacities may impact on feasibility of project outcomes & outputs	L-M	Strong emphasis on horizontal cooperation with sub-regional governance bodies and organizations. In the regional and international context, the strengthening of the sub-regional bodies will subsequently lead to the further empowerment of their individual member states. This will help to balance relative strengths and priorities, and actually provides an incentive for all countries to support the project outcomes. Additionally, the project will encourage South-South cooperation by generating opportunities for countries with greater capacity and experience in management of specific fisheries and marine habitats, to share their expertise with others. Networking and coordination among bodies, organizations and initiatives will allow to maximize the levels of support that can be provided in the context of the project.
The project is unable to successfully engage the full range of stakeholders	L-M	During the Project Preparation Grant a detailed analysis was undertaken to assist with the identification of the different stakeholder groups. During the project inception phase, an over-arching Project/SAP Communications Strategy will be developed, with de-centralized components. Active involvement of regional bodies, organizations and partners with broad constituencies and well-established stakeholder relationships in the execution of the Strategy (subsidiarity principle) will distribute the weight of efforts and allow to engage a much broader stakeholder community.

Risk	Rating	Mitigation Strategy
<p>Multitude of countries and stakeholders, multitude of initiatives in the region. Dependency on (long-term) commitments/partnerships and co-financing to achieve project outcomes and outputs.</p>	<p>M</p>	<p>Pre-established CLME “partnership” includes the key Regional Governance Bodies (RGBs), with constituencies covering the full region. High-level political endorsement of SAP and key roles for RGBs in project (co-)execution maximizes regional ownership and strengthens central position/role of CLME+ initiative. Expansion of partnership initiated during PPG phase, collaboration and co-financing commitments and formal and informal expression of interest/declarations of intentions have been received. Substantial co-financing commitments obtained during Project Preparation Phase (more expected during implementation). Inventory of relevant programmes, projects and initiatives during PPG phase will facilitate further development and consolidation of collaborative agreements during project inception phase.</p>
<p>Project Coordination Unit and Management Team incapable of effectively executing and managing a highly complex project</p>	<p>M-H</p>	<p>Clear distribution of responsibilities among GEF Agency and Executing Agency, and among the Management Support Team and Project Coordination Unit (PCU) internally (both under the Executing Agency). Co-execution arrangements with key (sub-)regional partners with a formal mandate and/or well-recognized long-term role relating to sLMR governance and management in the CLME+. Budget allocation adequate to support efficient, effective and stable PCU (within limits allowed - GEF management cap). Continuous promotion of concept of regional and national-level project ownership, to enhance the effective support base for PCU and MT. Due consideration, up to the extent feasible, of recommendations from CLME MTE and TE: well-thought composition of PCU (project budget and GEF management cap allowing), with thoughtfully developed ToRs and robust screening of candidates. UNOPS reforms under development/implementation expected to lead to further increase in performance.</p>

## 2.6 Country and regional ownership: eligibility and drivenness

During the CLME Project (GEF ID 1032), the CLME<sup>+</sup> Strategic Action Programme (SAP) was formulated between 2011 and 2013 following a highly participatory approach<sup>126</sup>. Technical approval for the final content of this 10-year SAP was obtained from the CLME Project Steering Committee at its final meeting, which took place in March 2013 in Cartagena, Colombia.

At this meeting, country representatives requested support for the development of a UNDP/GEF Project Identification Form (PIF) that would allow to obtain renewed co-financing, to help catalysing the implementation of the approved SAP.

Following this meeting and until today, the SAP has then become formally endorsed by 31 Ministers, representing 22 different countries in the CLME<sup>+</sup> region. 21 of these countries are eligible for direct financial support from the GEF. Besides the endorsements by GEF eligible countries, the SAP was also formally endorsed by the United States of America, a major co-financer of the CLME Project.

The CLME<sup>+</sup> PIF<sup>127</sup> (GEF ID 5542) was submitted to the GEF Secretariat, and became formally included in the Work Programme prepared by the 45<sup>th</sup> GEF Council Meeting (November 2014). Continuing the participatory approach initiated during the development of the CLME<sup>+</sup> SAP and PIF, the CLME<sup>+</sup> Project Document was then prepared, with direct financial support from the GEF, NOAA and the Flanders UNESCO Science Trust Fund (FUST) and the in-kind contributions from regional partners, countries and stakeholders.

The development of both the CLME<sup>+</sup> SAP and CLME<sup>+</sup> Project Document has been driven by the needs and the priorities of the CLME<sup>+</sup> countries and regional organizations and stakeholders, also expressed in a multitude of recent (often sectoral, or sub-regional or national-level) plans, strategies, declarations, policies and regulations:

- Global and regional agreements that call for the improved governance and management of marine resources, and that are supported by all, or a sub-set of the CLME<sup>+</sup> participating countries. These include: Agenda 21, World Summit on Sustainable Development/Johannesburg Programme of Implementation, Barbados Programme of Action, Millennium Development Goals, the Aichi Biodiversity Targets, the Rio+20 Targets, the Cartagena Convention and its Protocols, and the St. George's Declaration
- The adoption of the Eastern Caribbean Regional Ocean Policy in 2013, at the 57<sup>th</sup> Organisation of Eastern Caribbean Heads of Government Meeting
- The formulation and adoption of the Caribbean Community Common Fisheries Policy in 2014 at the 8<sup>th</sup> CRFM Ministerial Council
- The adoption of the Caribbean Community Regional Science Policy, by the Heads of Government in 2007
- The adoption of a Regional Framework for Achieving Development Resilient to Climate Change, as well as an Implementation Plan by the Heads of Government of the Caribbean Community in June 2011

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<sup>126</sup> The SAP Core Development Team consisted of the CLME Project Coordination Unit plus representatives of key (sub-)Regional Governance Bodies (RGBs) and regional organizations with a formal mandate and/or well-acknowledged role relating to the sustainable management of the region's shared living marine resources. Draft content for the SAP was submitted for consultation to Steering Committee members, and discussed with stakeholders at regional events

<sup>127</sup> The PIF had been previously approved by 21 GEF Operational Focal Points (OFFPs) from the CLME<sup>+</sup> region

- The adoption of the 2008 Campeche Declaration on the Mesoamerican Strategy for Environmental Sustainability
- The adoption of the Sub-Regional Flyingfish Management Plan at the 8<sup>th</sup> CRFM Ministerial Council in May 2014
- The adoption of the OSPESCA-CRFM Joint Action Plan, at the 1<sup>st</sup> High-Level Joint OSPESCA-CRFM Ministerial Meeting in September 2012
- The renewal of the Central American Fisheries Policy (ongoing in December 2014)
- The renewal of the 5-year Central American Regional Environmental Plan (CCAD-PARCA/ERAM; ongoing in December 2014)
- The national plans and strategies related to the sustainable management of the marine space and its resources, in e.g. Barbados, Belize, Colombia, Jamaica, Grenada, and Nicaragua

Reference is further made to the UN Resolution A/C.2/67/L.41 *“Towards the sustainable development of the Caribbean Sea for present and future generations”* (“Caribbean Sea Initiative”), promoted through the Association of Caribbean States (ACS). This resolution recognizes that the Caribbean Sea is an area of unique biodiversity and a highly fragile ecosystem that requires relevant regional and international development partners to work together to develop and implement regional initiatives to promote the sustainable conservation and management of coastal and marine resources. Underpinned by this Resolution, a regionally-endorsed call is being made through the CLME<sup>+</sup> SAP for international and region-wide support for its implementation.

Continued ownership and drivenness will further be ensured through the project coordination & management arrangements specifically tailored to this purpose (see Section 5.1), through the Stakeholder Plan (see Section 2.11 and associated documentation), and through the adoption of the Governance Effectiveness Assessment Framework (GEAF) as a key element of the Project Strategy (see Section 0), as well as through the adoption of a dynamic SAP M&E framework (to be developed under Component 5) which will allow stakeholders to track and comment/provide feedback on the progress and achievements of the CLME<sup>+</sup> Project and SAP.

## 2.7 Co-ordination with other related initiatives

A large number of interventions supportive of/compatible with the overall goal and objectives of the CLME<sup>+</sup> SAP are currently being implemented or are being planned for implementation within the CLME<sup>+</sup> region and beyond. In full recognition of this fact, and in order to reduce replication and duplication of efforts and to maximize the potential for complementary, collaborative and synergetic action, an inventory of existing programmes, projects and initiatives (PPIs) that were considered to be relevant to the CLME<sup>+</sup> Project and SAP was commissioned as part of the CLME<sup>+</sup> project preparation (PPG) phase.

The analysis undertaken by CERMES (UWI) identified over 160 such PPIs (Cooke et al., 2014). The results of this analysis reflect the enormous potential for collaborative and synergetic efforts amongst donors, partners and countries, but are also indicative of a highly complex network of organizations and associated stakes, with an associated high risk for duplication and repetition of efforts.

With its *raison d'être* being the *catalysing of the full-scale implementation of the (broad-ranging) CLME<sup>+</sup> SAP*, and by covering the full geographic scope of the Caribbean and North Brazil Shelf LMEs, the CLME<sup>+</sup> Project is uniquely positioned to support better coordination and collaboration among the key PPIs relevant to this action programme. Related efforts were already initiated under the CLME Project (GEF ID 1032) and have continued throughout the CLME<sup>+</sup> Project Preparation Period.

The progressive results of these efforts are reflected in, e.g.:

- the collaborative and consultative approaches followed during the CLME<sup>+</sup> SAP and CLME<sup>+</sup> Project development processes, with active participation of a series of key IGOs and RGBs
- the broad high-level political endorsement of the CLME<sup>+</sup> SAP by more than 20 countries, and more than 30 ministers
- the specific design of the CLME<sup>+</sup> Project Strategy including the configuration of the 5 Project Components (with the inclusion of a specific Component to foster a progressive expansion of the region-wide “CLME<sup>+</sup> Partnership”), and the thoughtful identification of project outcomes and outputs under these different components, bearing other existing PPIs in mind
- the planned (confirmed and prospective) co-executing arrangements for the CLME<sup>+</sup> Project and SAP, which aim at involving key IGOs, RGBs and NGO's in the CLME<sup>+</sup> Partnership, such as FAO-WECAFC, UNEP CEP, IOC of UNESCO, OSPESCA, CRFM, OECS, UWI, CANARI, GCFI, Caribsava, a.o.,. Coordination with other initiatives will be facilitated by the fact that many of these CLME<sup>+</sup> partners are also responsible for, or will participate in many of the PPIs identified through the inventory (see also Sections 0 and 2.7.2)
- the total amount of co-financing commitments, and the origin of co-financing commitment letters received to date for the CLME<sup>+</sup> Project, and the additional formal and informal expressions of interest and declarations of intention for collaboration in the context of the CLME<sup>+</sup> Project and SAP

It is anticipated in this context that the support provided by the CLME<sup>+</sup> Project through its Component 5 (see Section 2.3.5) will be key to improved regional coordination and collaboration.

A selection of relevant PPIs identified during the CLME<sup>+</sup> PPG phase is further listed under this Section of the Prodoc, together with an indication of their relevance to the CLME<sup>+</sup> Project and SAP.



### 2.7.1 GEF co-funded initiatives

The CLME+ Project will strive for optimal coordination and integration of activities (as feasible) among “CLME+” (GEF ID 5542) and other relevant GEF-funded projects in the CLME+ region and beyond. A non-exhaustive listing of such projects is given in what follows.

#### 2.7.1.1 Multi-country GEF Project, within or adjacent to the CLME+ Region

**Table 9. Projects addressing the transboundary issue of pollution**

Countries	Project Name & Description	GEF Agency (and partners)	Approx. impl. period & Status	Most relevant SAP Strategy
Thirteen of the 25 CLME+ GEF-eligible countries participate in CREW: <b>Antigua &amp; Barbuda, Barbados, Belize, Costa Rica, Jamaica, Guatemala, Guyana, Honduras, Panama, Saint Lucia, Saint Vincent &amp; the Grenadines, Suriname, and Trinidad &amp; Tobago</b>	<b>CREW:</b> The “ <i>Caribbean Regional Fund for Wastewater Management</i> ” Project established in 2011, seeks to provide sustainable financing for the wastewater sector, support policy and legislative reforms, and foster regional dialogue and knowledge exchange among key stakeholders in the Wider Caribbean Region. The four-year project is being implemented by the Inter-American Development Bank (IDB) and United Nations Environment Programme (UNEP). (GEF ID 3766; <a href="http://www.gefcrew.org">http://www.gefcrew.org</a> )	IDB & UNEP	2011-15? (under implementation)	SAP S1, 4 and 6
Ten of the CLME+'s Caribbean SIDS are participating in this project, including <b>Antigua &amp; Barbuda, Cuba, Dominican Republic, Jamaica, St. Kitts &amp; Nevis, St. Lucia, St. Vincent &amp; the Grenadines and Trinidad &amp; Tobago.</b>	<b>IWEco:</b> The “ <i>Integrating Water, Land and Ecosystems Management in Caribbean Small Island Developing States</i> ” Project is a five-year project to be implemented by UNEP. UNDP is the Co-Implementing Agency contributing to the Knowledge Management component of the project and providing support to community-based initiatives under the GEF Small Grants Programme (SGP). The project will focus on the implementation of an integrated approach to water, land and ecosystems services management, supported by policy, institutional and legislative reforms, and implementation of effective appropriate technologies to accelerate contribution to global targets on access to safe and reliable water supplies and improved sanitation, and contributing to improved ecosystem functioning in the Caribbean.	UNEP & UNDP	2015-21* *ProDoc submitted for CEO Endorsement	SAP S1, 4 and 6

<p>Much of the GEF (co-)financed work under this project will be focused within <b>Mexico</b> and their territorial waters as the <b>United States of America</b> is not eligible for financial support from the GEF.</p>	<p><b>GoMLE SAP implementation:</b> The <i>“Implementation of the Strategic Action Programme of the Gulf of Mexico Large Marine Ecosystem”</i> Project, is a five year project that seeks to implement the Strategic Action Programme developed and agreed upon by Mexico and the United States of America during the first Gulf of Mexico LME Project. The project will seek to improve water quality, rehabilitate the coastal and marine ecosystem, and avoid depletion of marine resources of the Gulf of Mexico LME. (GEF ID 6952)</p>	<p>UNIDO</p>	<p>2015-21?*</p> <p>*PIF approved; ProDoc under development</p>	<p>SAP S1, 2, 3 and 4</p>
<p><b>Belize, Guatemala, Honduras and Mexico</b></p>	<p><b>MAR2R:</b> The <i>“Integrated Transboundary Ridges-to-Reef Management of the Mesoamerican Reef”</i> Project to be implemented by the World Wildlife Fund is a 5-year project expected to commence in 2015(6). The project is expected to support regional collaboration for the ridge-to-reef management of the transboundary Mesoamerican Reef, by demonstrating its advantages and improving regional, national and local capacities for the integrated management and governance of its freshwater, coastal, and marine resources. The project has four components designed to address key threats and barriers to the management and conservation of the transboundary MAR resources. (GEF ID 5765)</p>	<p>WWF (CCAD)</p>	<p>2015-22?*</p> <p>* PIF approved; ProDoc under development</p>	<p>SAP S1 and 4</p>
<p><b>Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname and Venezuela.</b></p>	<p><b>Amazon River Basin Project:</b> The <i>“Integrated and Sustainable Management of Transboundary Water Resources in the Amazon River Basin Considering Climate Variability and Change”</i> - which commenced in 2009- seeks to strengthen, in a coordinated and coherent manner, the institutional framework for planning and executing activities for the protection and sustainable management of the water resources of the Amazon River Basin. (GEF ID 2364)</p>	<p>UNEP (ACTO)</p>	<p>2009-2015 Under implementation</p>	<p>SAP S1 and 6</p>
<p><b>Haiti, Dominican Republic</b></p>	<p><b>Artibonite River Basin Project:</b> The <i>“Reducing conflicting water uses in the Artibonite river basin through the development and adoption of a multi-focal area Strategic Action Programme”</i> Project is implemented by UNDP and has as its immediate objective the promotion of comprehensive, integrated ecosystem-based reforms, demonstrations and investments for the sustainable management of a strategic international watershed (that drains into the Caribbean). (GEF ID 2929; <a href="http://www.artibonite.org">http://www.artibonite.org</a>)</p>	<p>UNDP</p>	<p>Under implementation</p>	<p>SAP S4</p>

**Table 10. Projects addressing the transboundary issue of unsustainable fisheries**

Countries	Project Name & Description	GEF Agency (executing agencies/ partners)	Approx. impl. period & Status	Most relevant SAP Strategy
<p><b>Antigua and Barbuda, Dominica, Grenada, St Kitts and Nevis Saint Lucia, St Vincent and the Grenadines, and Trinidad and Tobago.</b></p>	<p>The “<b>Climate Change Adaptation in the Eastern Caribbean Fisheries Sector</b>” Project is a 5-year project, expected to commence in 2015. The project will seek to increase resilience and reduce vulnerability to climate change impacts in the eastern Caribbean fisheries sector, through the introduction of adaptation measures in fisheries management and capacity building of fisherfolk and aquaculturists. It is anticipated that through the project a number of win-win adaptation strategies will be implemented including: policy adjustments to mainstream climate change adaptation into fisheries policies, strategies and management plans, as well as the development and introduction of practical climate change adaptive fisheries management tools.</p>	<p>FAO</p>	<p>2015-22?*</p> <p>* PIF approved; ProDoc under development</p>	<p>SAP S2, 3, 4, 5 and 6 (CLME+ flyingfish demo)</p>
<p><b>Brazil, Colombia, Costa Rica, Mexico, Suriname and Trinidad and Tobago</b></p>	<p><b>REBYC-II LAC:</b> The “<b>Sustainable Management of By-catch in Latin America and the Caribbean Trawl Fisheries</b>” is a 5-year project that is seeking to enhance the management of by-catch and conservation of ‘blue forest’ habitats in Latin America and the Caribbean bottom/shrimp trawl fisheries through effective public and private sector partnership and adoption of best practices that support sustainable livelihoods. It is anticipated that the project will provide an opportunity for a major scaling up and strengthening of participatory and sustainable fisheries and by-catch management within a globally important fisheries sector. (GEF ID 5304)</p>	<p>FAO</p>	<p>2015-22?*</p> <p>*PIF approved; ProDoc under development</p>	<p>S2, 3 and 6 (CLME+ shrimp &amp; ground-fish demo)</p>
<p><b>Global</b></p>	<p><b>GEF Coastal Fisheries Initiative</b> (focus in Latin America on Ecuador, Chile and Peru)</p>	<p>FAO</p>	<p>Under development</p>	<p>SAP S2, 3, 4, 5 and 6</p>

Table 11. Projects addressing the transboundary issue of habitat degradation and community modification

Countries	Project Name & Description	GEF Agency (executing agencies/ partners)	Approx. impl. period & Status	Most relevant SAP Strategy
Antigua & Barbuda, Grenada, St. Kitts and Nevis, Saint Lucia and St. Vincent and the Grenadines.	The <i>“Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems Project”</i> seeks to improve the management effectiveness of existing and expanded protected area networks across the Eastern Caribbean through the establishment of sustainable financing mechanism.	World Bank (TNC)	<i>Under implementation</i>	<i>S1, 3 and 4</i>
CLME+ Participating countries are: <b>Brazil, Jamaica, Bahamas, Venezuela.</b> Other non-CLME+ participating countries also make use of the CLME+ marine space	<b>Globalast Partnerships:</b> The <i>“Building Partnerships to Assist Developing Countries to Reduce the Transfer of Harmful Aquatic Organisms in Ships' Ballast Water” Project</i> has as its overall objective: to promote the development of regional partnerships that will implement coordinated long-term measures to minimize the adverse impacts of aquatic invasive species transferred through ships' ballast water on coastal and marine ecosystems, economy, human health and well-being in accordance with the relevant IMO international Convention  (GEF ID 2261; <a href="http://www.globallast.org">http://www.globallast.org</a> )	UNDP (IMO)	<i>Under implementation</i>	<i>SAP S4</i>

**Table 12. Cross-cutting GEF projects of relevance to the CLME<sup>+</sup>**

Countries	Project Name & Description	GEF Agency (executing agencies/ partners)	Approx. impl. period & Status	Most relevant SAP Strategy
Prospective participating CLME <sup>+</sup> countries are: <b>Caribbean SIDs</b>	The “ <b>Regional cooperation to develop and manage environmental information for decision-making in the Caribbean</b> ” aims to enhance the capacities for Caribbean countries to collect and manage, disseminate and use a core set of environmental data for decision making.	UNEP ROLAC	PIF being revised	<i>S1, 3 and 4</i>
<b>Antigua &amp; Barbuda, Bahamas, Barbados, Brazil, Belize, Costa Rica, Cuba, Dominica, Dominican Republic, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, St. Kitts &amp; Nevis, Saint Lucia, St. Vincent &amp; the Grenadines, Suriname, Trinidad &amp; Tobago and Venezuela</b>	<b>GEF SGP:</b> Established in 1992, the year of the Rio Earth Summit, the GEF Small Grants Programme embodies the very essence of sustainable development by "thinking globally, acting locally". By providing financial and technical support to projects that conserve and restore the environment while enhancing people’s well-being and livelihoods, SGP demonstrates that community action can maintain the fine balance between human needs and environmental imperatives. (GEF ID; <a href="https://sgp.undp.org/">https://sgp.undp.org/</a> )	UNDP (UNOPS)	<i>Under implementation</i>	<i>CLME<sup>+</sup> Components 2, 3 and 5</i>

2.7.1.2 International/Global GEF Project, relevant to the CLME+ Region and SAP

**Table 13. Relevant International/Global GEF projects**

Project Name & Description	GEF Agency (executing agencies/ partners)	Approx. impl. period & Status	Most relevant SAP Strategy
<p><b>IW:LEARN:</b> The “<i>International Waters: Learning Exchange And Resources Network</i>” (IW:LEARN) Project seeks to strengthen knowledge management capacity and promote learning of disseminated experiences, tools and methodologies for transboundary waters management – across and beyond the GEF IW portfolio, together with a global network of partners in order to improve the effectiveness of GEF IW and partner projects to deliver tangible results and scaled-up investments. (GEF ID 5729; <a href="http://iwlearn.net/">http://iwlearn.net/</a>)</p>	UNDP, UNEP (various exec partners)	* PIF approved; ProDoc under development	CLME+ Component 5
<p><b>LME LEARN:</b> The “<i>Strengthening Global Governance of Large Marine Ecosystems and their Coasts through enhanced Sharing and Application of LME/ICM/MPA Knowledge and Information Tools</i>” is a global project that aims at improving ecosystem-based governance of Large Marine Ecosystems and their coasts by generating knowledge, building capacity, harnessing public and private partners and supporting south-to-south learning and north-to-south learning. The project will identify the priority issues affecting governance of the LMEs, along with their associated coastal zones, and marine protected areas, as well as their underlying root causes, and by integrating these in a global ecosystem-based governance framework founded on global coordination and cooperation. (GEF ID 5278)</p>	UNDP (UNESCO-IOC)	ProDoc submitted for CEO endorsement in Dec 2014; expected to start March 2015	CLME+ Component 5
<p><b>TWAP:</b> The “<i>Transboundary Waters Assessment Programme: Aquifers, Lake/Reservoir Basins, River Basins, Large Marine Ecosystems, and Open Ocean to catalyse sound environmental Management</i>” Project (TWAP) aims to provide a baseline assessment to identify and evaluate changes caused by human activities and natural processes to transboundary water systems, and the consequences such changes have on human populations. (GEF ID 4489; <a href="http://www.geftwap.org">http://www.geftwap.org</a>)</p>	UNEP (DHI, UNESCO-IHP, UNESCO-IOC, ILEC)	Under implementation	CLME+ Component 5
<p><b>Blue Forest Project:</b> The “<i>Global Standardized Methodologies for Carbon Accounting and Ecosystem Services Valuation of Blue Forests</i>” Project will help advance the sustainable financing of coastal ecosystem management through values associated with carbon and wider ecosystem services. The project will achieve this through a coordinated international approach combining research, policy development, technical advice and practical tools coupled with small-scale interventions. The project will build on existing initiatives and projects and provide tools for up-scaling internationally.</p>	UNEP (GRID ARENDAL, UNEP ROLAC)	2015-19* CEO endorsed	S1, 4 and 6

Participating CLME+ country(s): <b>Guatemala, Honduras, Nicaragua</b>			
<p>The “<b>Global Sustainable Supply Chains for Marine Commodities</b>” Project aims at mainstreaming sustainability into seafood supply chains through market and policy mechanisms and partnerships, with the overarching goal of rebuilding and protecting fish stocks and livelihoods. (GEF ID 5271)</p> <p>Participating CLME+ country(s): <b>Costa Rica</b></p>	UNDP (SFP)	<i>ProDoc submitted for CEO endorsement in November 2014</i>	<i>S2, 4, 5 and 6</i>

2.7.1.3 National-level GEF Projects, within the CLME+ Region

**Table 14. Relevant National-level GEF projects being implemented in CLME+ participating countries**

GEF ID	Country	Project Name	GEF Agency	Executing Agency	Status	Most relevant SAP Strategy
3729	Bahamas	Building a Sustainable National Marine Protected Areas Network	UNEP	UNEP	Under Implementation	S4
4637	Brazil	Marine and Coastal Protected Areas (GEF MAR)	WB	Ministry of Environment (MMA), ICMBio, FUNBIO, Petrobras	CEO Endorsed	S4
3826	Colombia	Designing and Implementing a National Sub-System of Marine Protected Areas (SMPA)	UNDP	INVEMAR, and Administrative Unit of the Protected Areas System of Colombia (UAESPNN)	Under Implementation	S4
3956	Costa Rica	Consolidating Costa Rica's Marine Protected Areas (MPAs)	UNDP	National System of Conservation Areas (SINAC)/Ministry of Environment, Energy, and Telecommunications (MINAET)	Under Implementation	S4
3607	Cuba	Application of a Regional Approach to the Management of Marine and Coastal Protected Areas in Cuba's Southern Archipelagos	UNDP	Ministry of Science, Technology and Environment (CITMA), through the National Center for Protected Areas (CNAP); WWF Canada	Under Implementation	S4
5069	Grenada	Implementing a "Ridge to Reef" Approach to Protecting Biodiversity and Ecosystem Functions within and around Protected Areas	UNDP	Ministry of Agriculture (Fisheries and Forestry Department); Ministry of Environment	CEO Endorsed	S1, S4
4716	Guatemala	Conservation and Sustainable Use of	UNDP	Ministry of the Environment and Natural Resources of Guatemala (MARN); National	CEO Endorsed	S4



		Biodiversity in Coastal and Marine Protected Areas (MPAs)		Council of Protected Areas (CONAP); The Nature Conservancy (TNC)		
4708	Honduras	Strengthening the Sub-system of Coastal and Marine Protected Areas	UNDP	Directorate of Biodiversity (DIBIO) of the Environment Ministry (SERNA), Institute of Forest Conservation and Development (ICF) and General Directorate of Fisheries (DIGEPESCA) of the Ministry of Environment and Livestock (SAG)	CEO Endorsed	S4
3764	Jamaica	Strengthening the Operational and Financial Sustainability of the National Protected Area System	UNDP	National Environment and Planning Agency NEPA (Leading Executing Agency), Forestry Department, Jamaica National Heritage Trust, Ministry of Health and Environment, The Nature Conservancy	Under Implementation	S4
5078	St. Kitts & Nevis	Conserving Biodiversity and Reducing Habitat Degradation in Protected Areas and their Buffer Zones	UNDP	Ministry of Sustainable Development	CEO Endorsed	S4
3865	Venezuela	Strengthening the Marine and Coastal Protected Areas System	UNDP	Popular Power Ministry for the Environment	Under Implementation	S4

## 2.7.2 Other relevant initiatives (non-GEF)

A substantial amount of non-GEF funded initiatives relevant to the CLME+ SAP are being implemented or planned at the regional, sub-regional and national levels. A **non-exhaustive** list of such PPIs, with which collaboration under the CLME+ Project have been planned, or with which opportunities for collaboration will be further explored during the project inception phase and throughout the project's implementation, is included below.

**Table 15. Selection of non-GEF funded PPIs of relevance to the CLME+ SAP**

<b>Project Title</b>	<b>Project Summary/Info</b>	<b>Scope</b>	<b>Status</b>	<b>Main CLME+ Project Component and/or SAP Strategy</b>
(Cooperation with CLME+: <b>P</b> = planned; <b>I</b> = Initiated; <b>EoI</b> = Expression of Interest; <b>DoI</b> = Declaration of Intention; <b>TBE</b> = To be Explored)				
<b>Strengthening Caribbean fisherfolk to participate in governance (CANARI)</b>	To improve the contribution of the small scale fisheries sector to food security in the Caribbean islands through building the capacity of regional and national fisherfolk organisation networks to participate in fisheries governance and management.	Anguilla, Antigua and Barbuda, the Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago and Turks and Caicos Islands	<b>P&amp;I</b>	<b>SAP Strategy 2, 4, 5, 6; Project Component 2</b>
<b>Eastern Caribbean Marine Managed Areas Network (ECMMAN, TNC)</b>	The project will focus on four components: <ul style="list-style-type: none"> <li>- Establishing new and strengthening existing marine management areas;</li> <li>- Supporting fisher organizations and providing support for new livelihood opportunities;</li> <li>- Improving access to data and information regarding management of marine resources; and</li> <li>- Instituting sustainable funding mechanisms to support marine management as part of the Caribbean Challenge Initiative.</li> </ul>	Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, Saint Lucia, and St. Vincent and the Grenadines	<b>P&amp;I</b>	<b>SAP Strategy 4; Project Component 2, 4, 5</b>
<b>Caribbean Marine Atlas 2 (IODE of UNESCO, FUST)</b>	Contribute to better Integrated Coastal Zone (ICZ) and shared Living Marine Resources (sLMR) Governance and Management, by providing key stakeholders with a spatial data-based mechanism for information discovery and decision-support.	Barbados, Belize, Colombia, Cuba, Dominica, Jamaica, Mexico, Netherlands Antilles, Panama, St. Kitts & Nevis, Trinidad & Tobago,	<b>P&amp;I</b>	<b>All SAP Strategies; Project</b>

		Turks & Caicos, United Kingdom, United States, Venezuela		<b>Component 2, 3, 5</b>
<b>Ocean Teacher (IODE of UNESCO, FUST)</b>	Training & Capacity Building	Global (regional node to be established in Colombia)	<b>P&amp;I</b>	<b>Component 2</b>
<b>CTA Project</b>	The purpose of the project is to continue the engagement of fisherfolk organizations with policy processes and decision-makers for the implementation of key regional fisheries policies facilitated. The overall objective of the project is to contribute to the development of a sustainable and profitable industry, the improvement of the quality of fisherfolk lives and nutrition in the CFRM/CARIFORUM Region.	CFRM Member States	<b>P</b>	<b>SAP Strategies 2, 4, 5, 6; Project Component 2</b>
<b>Biodiversity And Protected Area Management Programme (BIOPAMA – IUCN)</b>	BIOPAMA aims to address threats to biodiversity in African, Caribbean and Pacific (ACP) countries, while reducing poverty in communities in and around protected areas. Specifically, the programme will enhance existing institutions and networks by making the best available science and knowledge available for building capacity to improve policies and better decision-making on biodiversity conservation, protected areas management and access and benefit sharing.	African, Caribbean and Pacific (ACP) countries	<b>P&amp;I</b>	<b>Strategy 4; Project Component 2, 4, 5</b>
<b>Blue Solutions</b>	Implementing the CBD strategic plan in the field of marine and coastal biodiversity (“PN 2012.9058.4”; BMU, Germany) is focused on providing experienced-based knowledge and support international communication among projects on this topic	Caribbean, Dominican Republic, Grenada, Costa Rica		<b>Strategy 1, 4; Project Component 2, 3, 4, and 5</b>
<b>Enhancing the Adaptive Capacity of Rural Economies and Natural Resources to Climate Change (BMZ, Germany)</b>	“PN 2011.9777.1” (BMZ, Germany) is focused on protecting marine ecosystems in the CARICOM-Countries - which is focused on.	CARICOM Countries	<b>TBE</b>	<b>Strategy 4; Project Component 2, 3, 4, 5</b>
<b>ReefFix - Haiti</b>	Toward the Development of Haiti’s System of Marine Protected Areas (MPAs) An Ecosystem Services Assessment for the Creation of Haiti’s	Haiti	<b>TBE</b>	

<b>(Mexico, Monaco and OAS)</b>	System of MPAs (An Integrated Coastal Zone Management Ecosystem Services Valuation and Capacity Building Project for the Caribbean )			
<b>Caribbean Marine Biodiversity Activity (TNC, USAID)</b>	To reduce threats to marine-coastal biodiversity in priority areas in the Caribbean—including high biodiversity ecosystems such as coral reefs, mangroves, and seagrass beds—in order to achieve sustained biodiversity conservation, maintain critical ecosystem services, and realize tangible improvements in human wellbeing for communities adjacent to marine protected areas	Insular Caribbean, with major focus on Haiti, Dominican Republic, Jamaica, Grenada, St. Vincent & the Grenadines + support to Caribbean Challenge Initiative	<b>Eol</b>	<b>SAP Strategy 2, 4; Project Component 2, 4, 5</b>
<b>mFisheries (UWI)</b>	<a href="http://cirp.org.tt/mfisheries/">http://cirp.org.tt/mfisheries/</a>	Trinidad & Tobago, with possible extension to other CARICOM countries	<b>P&amp;I; TBE</b>	<b>SAP Strategy 2,5, 6; Project Component 2, 3</b>
<b>+Sustainable Fisheries (Conservation International Brazil, Google Grant)</b>	<a href="http://www.conservation.org.br/">http://www.conservation.org.br/</a>	Northern Brazil	<b>Eol; TBE</b>	<b>SAP Strategy 2, 6; Project Component 2, 3</b>
<b>Ocean Health Index (Conservation International)</b>	<a href="http://www.oceanhealthindex.org/">http://www.oceanhealthindex.org/</a>	Global + national-level work in Colombia, Panama, + Eol of OECS and other CLME+ countries	<b>P&amp;I</b>	<b>All SAP Strategies; Project Component 2, 5</b>
<b>Billfish Project (FAO/NOAA)</b>	Introduction of billfish management and conservation in the Western Central Atlantic Region - Recapture lost wealth and contribute to sustainable livelihoods in the Western Central Atlantic region through investment in economically, technically and ecologically feasible billfish fisheries management and conservation	Selected WECAFC countries (Caribbean)		<b>SAP Strategy 5B</b>
<b>C-FISH (Caribsave)</b>	<a href="http://c-fish.org/what-we-do/alternative-livelihoods/">http://c-fish.org/what-we-do/alternative-livelihoods/</a>	Jamaica, Grenada, Saint Lucia, St. Vincent & the Grenadines	<b>DoI</b>	<b>SAP Strategy 2, 4; Project Component 2, 3</b>
<b>NOAA (Southeast Fisheries)</b>	NOAA LME Programme; NOAA Caribbean Strategy; NOAA Lionfish Strategy; NOAA Coral Reef Conservation Programme (CRCP); NOAA Habitat Conservation (Restoration Centre); NOAA Grants/Capacity Building	Global, Caribbean, CLME+	<b>P&amp;I</b>	<b>All SAP Strategies; Project</b>

<b>Science Centre SEFSC, others)</b>				<b>Component 1, 2, 3, 4, 5</b>
<b>Marine Ecosystem Services Partnership</b>	<a href="http://www.marineecosystems-services.org/">http://www.marineecosystems-services.org/</a>	global	<b>P&amp;I</b>	<b>SAP Strategy 1 and 2</b>
<b>Wealth Accounting and the Valuation of Ecosystem Services - WAVES (World Bank)</b>	<a href="https://www.wavespartnership.org/en">https://www.wavespartnership.org/en</a>	global	<b>TBE</b>	<b>SAP Strategy 1, 2, 3; Project Component 2, 5</b>
<b>Guiana Shield Facility (UNDP)</b>	<a href="http://www.guianashield.org/">http://www.guianashield.org/</a>	Brazil, Colombia Guyana, Suriname, French Guiana	<b>P</b>	<b>SAP Strategy 2; Project Component 5</b>
<b>CAPNET (UNDP)</b>	<a href="http://www.cap-net.org/">http://www.cap-net.org/</a>	24 CLME+ countries	<b>P</b>	<b>SAP Strategy 1; Project Component 2</b>
<b>Global Partnership for Oceans (World Bank)</b>	<a href="http://www.globalpartnershipforoceans.org/">http://www.globalpartnershipforoceans.org/</a>	global	<b>Eol; TBE</b>	<b>SAP Strategy 2, 4, 6; Project Component 2, 4</b>
<b>World Ocean Council</b>	<a href="http://www.oceancouncil.org/site/">http://www.oceancouncil.org/site/</a>	global	<b>Eol; TBE</b>	
<b>United Nations University</b>	International course on mangrove ecosystems - course materials available <a href="http://inweh.unu.edu/mangroves-course/">http://inweh.unu.edu/mangroves-course/</a>	global	<b>Eol; TBE</b>	<b>SAP Strategy 4, 6; Project Component 2</b>
<b>GCFI annual meetings</b>	<a href="http://www.gcfi.org/index.php">http://www.gcfi.org/index.php</a>	GoMLME, CLME, part of NBSLME	<b>P&amp;I</b>	<b>All SAP Strategies; Project Component 1, 2, 3, 4, 5</b>

<b>UNEP Live</b>	UNEP Live ( <a href="http://www.uneplive.org">www.uneplive.org</a> ) is an online, dynamic platform created to support the UN Environment Assembly in keeping the environment under review. It serves as a knowledge management platform, using global services combined with regional, national and local data to identify key and emerging issues and support the development of integrated environmental assessments on the state, trends and outlooks of the environment. UNEP Live supports the development of the Global Environment Outlook report (GEO 6) and its regional assessments. Particularly relevant components are: the National Reporting System, an application to manipulate and display indicators to create synthetic reports, and the online Communities of Practice: working spaces where the substantive parts of the Atlas can be discussed and developed.		<b>Eol</b>	<b>All SAP Strategies; Project Component 1,2,3, 5</b>
<b>Systematic integration of EBM in islands and their MPAs</b>	Integration of the EBM approach by island States	Island States within the CLME+ Project	<b>TBE</b>	<b>Strategy 4 and Project Component 3</b>
<b>Sanitary and Phytosanitary Measures (SPS) Project</b>	Increase production and trade in agriculture and fisheries which meet international standards while protecting plant, animal and human health and the environment.	CARIFORUM	<b>TBE</b>	<b>Strategies 2, 4,5,5 Component 3</b>

## 2.8 Cost-efficiency and effectiveness

The CLME<sup>+</sup> project has been designed to be cost-efficient and effective in several different ways:

- From a project execution perspective, cost-efficient use of the project budget will be achieved by keeping expenditure on project management down to less than 10% of the total budget. This will be achieved through “smart choices” in terms of staffing & operating the PCU, facilitated through the mainstreaming of project governance & execution processes with the work plans & agendas of the existing (sub-)regional organizations with a mandate or well-recognized supportive role for sLMR management.
- Cost-effectiveness of the GEF contribution is further also achieved through the leveraging of a substantial co-financing contribution, which, at the time of Project Document submission for GEF approval, reached already above USD 130 million or a co-finance to GEF ratio exceeding 10 to 1. Further actions have been embedded in the project results frameworks that are expected to lead to a further increase of total project-related investments.
- The project has also been specifically designed to substantially enhance cost-effectiveness of the broader regional and international efforts aimed at achieving the objectives of the CLME<sup>+</sup> SAP; CLME<sup>+</sup> project activities put a strong focus on creating the enabling conditions (e.g. strengthened governance arrangements and capacity, and enhanced coordination and cooperation among the many regional initiatives) that will then support increased effectiveness and sustainability of on-the-ground actions and investments.

### **Cost-efficiency and effectiveness of the project execution arrangements**

The design adopted by the CLME<sup>+</sup> Project and described under e.g. Sections 5 and 6 offers a cost-efficient and effective solution to the overall oversight, coordination and management of a significant regional project involving over 20 GEF-eligible countries and more than 10 regional partner organisations. The budget for project management activities is within the GEF limits. In order to achieve this, the project has been designed to make extensive use of the existence of regional organisations with a formal mandate for sLMR management. Co-executing arrangements with key RGBs will be reflective of the comparative advantages of each organization and as such (a) lower the operational costs of the PCU; (b) allow to reach a much broader community and variety of stakeholders, and (c) enable a much more efficient and effective implementation of a large range of actions. Not only does this offer a cost effective solution for project execution, but it (d) further assists with the strengthening of these organisations and their role in the RGF, and thereby contributes to the sustainability of the project intervention and outcomes.

Taking into consideration the existing dynamics of native regional governance processes and the periodicity of associated meetings (e.g. biennial work plans of the established RGBs, and the associated bi-annual, annual and/or biennial meetings of specific Working Groups, Advisory and Decision Making Bodies; see Figure 15), milestones and targets under the project results framework have been planned in such a way that optimal use can be made of these existing governance processes to review and plan for, and achieve project outputs and outcomes. This will make it possible to reduce the frequency (and thus associated costs) of meetings of, a.o., project-specific governance bodies (e.g. 3 Steering Committee Meetings instead of 5, plus the possibility of much more targeted -and thus efficient- agenda's for these meetings). Use of innovative IT will also be promoted to further reduce costs. As such, the combined measures planned under this innovative approach are expected to lead

to an increase in the sense-of-ownership of countries and stakeholders over the project, instead of the decrease that otherwise might be expected from a lower project meeting frequency alone.

### **Cost-effective action towards SAP goals**

The mainstreaming of project activities into the workplans of regional (and where appropriate) national organisations will not only enhance their long-term sustainability but also reduce the risks of duplication of efforts. Such mainstreaming will also allow the goals and actions of the SAP to become integrated into the national action plans that the CLME+ countries are or will be developing in the context of their commitments under global or regional conventions or agreements. This approach, rather than supporting a more traditional 'SAP to NAP' exercise, will contribute substantially to the cost-effectiveness of both the CLME+ Project as well as of country actions, by avoiding unnecessary (and often even counter-productive) "double work".

Even though improvements are observed, many of the existing baseline activities and PPIs in the CLME+ region are still reflective of an *ad hoc* (opportunity-based) approach. Such approach has often been compounded by a lack of (vision and/or opportunities for) a more programmatic approach and cross-regional and cross-sectoral integration, resulting in less effective and inefficient use of the limited human and financial resources. The actions under the CLME+ Project that will strengthen the RGF, together with the forging of a broad partnership among the many programmes, projects and initiatives that take place in the region (the "CLME+ Partnership") will create the enabling conditions that will allow for much more cost-effective and efficient implementation of actions.

With its focus on the root causes of environmental degradation and on enhancing coordination, collaboration and synergies, the GEF incremental cost co-financing for the CLME+ Project will thus result in a *much higher return on the investments* from the different sLMR-related activities in the region, in terms of *more substantial and wide-ranging impacts and more sustainable results*. Without the GEF funds the regional and global benefits expected of the investments made by other programmes, projects and initiatives, related to the SAP, would not be fully realised/optimized.



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RAMSAR COP 12	SP 2013-2015															12	SP 2016-2018															13	SP 2019-2021																																

Figure 15. Confirmed and anticipated timelines of planning processes and meetings of Regional Governance Bodies with mandates relevant to the CLME+ SAP

## 2.9 Sustainability

The sustainable provision of goods and services from sLMRs is the overarching objective of the CLME<sup>+</sup> SAP. Ensuring the sustainability in time of the processes and outcomes that are expected to lead to the achievement of this objective was a special consideration during the entire CLME<sup>+</sup> SAP and CLME<sup>+</sup> Project formulation process:

- The 5-year CLME<sup>+</sup> Project is embedded within and catalytic to the implementation of the widely politically endorsed 10-year SAP. The SAP itself is embedded within the context of the region's aim to work towards a 20-year vision on the marine environment (*see Section 1.3.3.1*).
- SAP actions and project outcomes, outputs and activities are reflective of the needs and priorities, and existing plans and commitments of the CLME<sup>+</sup> countries and associated regional and sub-regional governance bodies and development partners (*see Section 1.3.5*).
- For the coordination and execution of its actions, the project will build as much as possible upon those elements of the regional governance framework that are already solid and in place. To make this happen, major project co-executing arrangements will be made with those RGBs that are well-established and have a formal long-term mandate that is key to the sustainable management of sLMR in the region. These RGBs include: UNEP CEP, FAO-WECAFC, OSPESCA, CRFM, etc... (*see Section 5.1*).
- The project will further embed as much as possible its activities within the context of ongoing native governance processes, and target the delivery of project outputs and outcomes in alignment with, and embed them within the key regional decision-making events that will take place during the project implementation period. This effort is reflected in the design of the project results framework and project work plan, under which clear references are made to the ongoing governance processes, including the periodicity of well-established decision-making fora in the region (*See Section 3*).
- By this means, and through the efforts of these RGBs and other key CLME<sup>+</sup> project partners to further fully involve their constituencies, regional and national-level ownership over the project will be maximized.

Combined, the previous points will contribute to ensuring the continuity of efforts initiated, and the sustainability of outcomes achieved under the project, well beyond the project's own lifespan.

Some further examples of how sustainability of project processes and outcomes has been considered in the project's design are given below:

### Sustainability of processes

Through the project's activities, the consolidation of the multi-level, nested regional governance framework set forward under the SAP will be supported: the project will help fill gaps and establish missing linkages, and will strengthen capacity and help building experiences by assigning leadership roles to RGBs in the project's execution. The development and adoption of a sustainable financing strategy for the regional governance framework during the project, will further ensure continued operations of the enhanced RGF.

The specific composition of the Project Executive Group<sup>128</sup> – on which the key RGBs related to sLMR will sit- will facilitate its gradual transition during the project into a (Strategic Action) Programme Advisory/Executive Group (or will alternatively provide the bases for the establishment of such PAG). This PAG will then continue to support SAP implementation, beyond the CLME+ project lifespan.

It is further expected that, through the region-wide collaboration on the development of a “*State of the Marine Ecosystems and associated living resources*” report and web portal under Project Component 5, and by linking this effort to the mandatory reporting obligations of CLME+ countries and organizations under global conventions and international and regional agreements, the GEF-promoted TDA/SAP approach –a process which is supposed to undergo periodic revision and updates- can become mainstreamed within the work programme of the regional organizations with a key mandate or well-recognized long-term role in sLMR management in the CLME+.

The conceptualization of the CLME+ SAP as an “umbrella programme” will allow other programmes, projects and initiatives, executed during (in parallel) or after the CLME+ Project, to also take ownership over the CLME+ SAP. This fact, together with the efforts under Component 5 to establish a broader “CLME+ Partnership”, and to collaboratively work on a regional M&E framework to track progress with the implementation of the SAP, will further contribute to the continuity of SAP-related activities beyond the CLME+ Project itself.

The development of more specific strategic action plans (e.g. under Component 2), under the umbrella of the more generic SAP, and the development of feasibility studies and investment plans for the up-scaling of actions under Component 3, are also part of the strategy for the sustainability and up-scaling of processes initiated, and results obtained, under the project.

National inter-sectoral coordination and consultation will be further promoted under the CLME+ Project. Taking into account the limited financial and human resources in particularly the SIDS, the project will encourage the use of existing inter-sectoral committees. The strengthening of the already existing organizations under the project will enhance the chances for the long-term sustainability of this important practice in the context of EBM/EF<sup>129</sup>.

#### Sustainability of environmental and socio-economic outcomes

By promoting more holistic solutions (EBM, EAF approach), in which measures to deal with unsustainable fisheries, habitat degradation and pollution are combined in a comprehensive package of actions, the project will contribute to more sustainable impacts from the individual investments, both in the marine environment and in the communities dependent on associated ecosystem services.

Achieving sustainability of project outcomes will also be strived for by giving full consideration to the need to mainstream *climate change adaptation* (robustness of solutions, and *resilience* of outcomes) in the development and execution of specific activities and initiatives under the SAP.

#### Stakeholder buy-in

Active involvement of the wider array of stakeholders in project implementation is considered important to achieve buy-in for project processes and outputs, and is thus an essential factor of overall project success.

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<sup>128</sup> see also Section 5.1.5

<sup>129</sup> See also Section 5.1.7

Project partners will therefore promote and engage in the use of inclusive and participatory approaches. Special attention will be given to the involvement of women, indigenous groups and communities that are highly dependent for food and income on the sLMR.

## 2.10 Replication & up-scaling of results

It is recognized that a major up-scaling of the EBM/EAF efforts in the region will be essential to achieve the overall longer-term objectives of the SAP. The proposed 5-year *CLME+ Project* specifically aims at catalysing the implementation of this broader 10-year action programme.

Besides kick-starting SAP implementation, through its 5 distinct Components the CLME+ Project has also been specifically designed to encourage and facilitate uptake of lessons learnt, and replication and up-scaling of best practices, within the CLME+ region and beyond.

The CLME+ Project will create the supporting platform required for such future replication/up-scaling within the region, as it will strengthen the institutional and legal frameworks (Component 1), enhance the human and institutional capacity (Component 2), test, replicate and demonstrate solutions (Component 3), and foster better coordination and collaboration among stakeholders, GEF focal areas and different donor initiatives (Component 5).

In the short-term, i.e. during the execution of the CLME+ Project (the first 5 years of SAP implementation), moderate up-scaling of early results will take place under Component 3. Lessons learnt and best practices from Component 3, together with the results from the feasibility studies (Component 4), will create additional awareness and will be used to elaborate major investment plans. Using these investment plans, prospective donors and potential investors will then be attracted.

This will provide the basis for a substantial expansion within the second half of this decade, of the actions needed to achieve the overall SAP objectives (within 10 years), and to more fully contribute to the SAP's overarching long-term goal (within 20 years). In the medium to long-term, up-scaling will also include the gradual expansion of the scope of CLME+ actions from their initial focus on shared living marine resources management to fully integrated ocean governance within the Caribbean Sea and North Brazil Shelf regions.

In this way, the project is also expected to increase the potential of CLME+ partners to contribute to the achievement of major GEBs during the next decade.

## 2.11 Stakeholder involvement plan

*Due to the peculiarities of the CLME+ Region, including the large number of countries and stakeholder groups involved in the project, it is essential that consideration be given to the adoption of innovative/strategically developed approaches under the CLME+ Stakeholder Involvement Plan.*

Successful implementation of the CLME+ Project can only occur through the involvement and participation of its many stakeholders and project partners. These include, a.o., national government agencies, intergovernmental organisations, civil society groups and non-governmental organisations, national and regional private sector companies and associations, and academia (see

Table 16). A simplified categorization of key stakeholders was included under Section 1.2.3. The results from a more detailed analysis of key stakeholder groups conducted during the PPG phase are summarized below in

**Table 16.** The detailed results are available as an Excel file, and build on previous efforts conducted under the CLME Project (GEF ID 1032) and its associated Case Studies and Pilot Projects (incl. the governance assessments), and on additional work advanced during the CLME+ Project Preparation Phase (the “PPG” phase).

Key concepts/principles adopted by the project to make it possible to secure adequate levels of involvement from this wide array of CLME+ stakeholders, and to ensure a real sense of ownership and socially just project outcomes, are: *(i)* the concept of “**networking**”; and *(ii)* the “**subsidiarity**” principle. Due consideration will also be given to the cross-cutting goals of **gender equality** and the **empowerment of weaker stakeholder groups**.

Following these concepts/principles, stakeholder involvement in the CLME+ Project (and related CLME+ SAP implementation efforts) will be secured mainly via 4 routes:

1. From project inception onwards, key (sub)regional and national-level stakeholders will be involved in, and have ownership over the **project coordination and management arrangements** described under Section 5.1; responsibility will be given to these “first-level” stakeholders to reach out to, and liaise with their constituencies and stakeholder groups<sup>130</sup>
2. related to the previous point, project activities will be mainstreamed into the **established/standard governance processes** (and associated work plans) of **key regional governance bodies** and **project partners**<sup>131</sup>; as such, the project will further be able to build upon their existing constituencies and networks, and on pre-established stakeholder participation processes and mechanisms
3. a progressive expansion of the “**CLME+ Partnership**” will be pursued under Project Component 5; also this approach will allow to make optimal use of existing stakeholder associations and participation processes/mechanisms
4. adoption by the project of the **Governance Effectiveness Assessment Framework** (GEAF; see Section 0) as a planning and a monitoring & evaluation tool will reinforce and ensure the **mainstreaming of the participatory approach** in all major project activities

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<sup>130</sup> application of the subsidiarity principle/de-centralized approach: i.e. the only logical approach for a project such as the CLME+ which has more than 20 participating countries and more than 10 partner organisations, each with their own (substantive) set of stakeholders

<sup>131</sup> see e.g. the section on “Co-Executing Agencies”, i.e. Section 5.1.3, and the associated Section 5.1.8 reflecting the Alignment of project coordination & management with regional governance processes

An example under the first route is the fact that care will be taken as to ensure that key stakeholder groups from

**Table 16** –and with special attention to civil society and the private sector- are represented on the CLME+ Project Steering Committee.

A practical example under “route 2” is the pre-existing association between the Regional Fisheries Bodies CRFM and OSPESCA with the civil society organizations (fisherfolk organizations, to be more precise in this case) “CNFO” and “CONFEPESCA”, respectively.

Through the CLME+ Partnership (“route 3”), organisations such as IGOs, CBOs, NGOs, Donors and the private sector will seek to improve coordination and collaboration amongst their individual programmes, projects and initiatives, in support of an enhanced implementation of the CLME+ SAP. Under this route, already prior to the initiation of the full-sized CLME+ Project, preparatory steps towards the inclusion of the NGOs “Caribsave” and “The Nature Conservancy” (“TNC”) in the CLME+ Partnership had been undertaken. Both organizations will for example bring the experience of active collaboration with the private sector to the CLME+ Partnership<sup>132</sup>.

Adoption of the Governance Effectiveness Assessment Framework (GEAF; “route 4”) for both the main CLME+ Project as well as for its different Sub-Projects makes it now possible to systematically plan for the involvement of key stakeholders from private sector, civil society and academia through the association of relevant indicators and targets to the different elements of this planning and evaluation framework. For example, the elements of the logframe “stakeholder involvement” and “socially just outcomes” ensured that targets relating to “private sector participation” and “gender equality/empowerment of women” were included in the “spiny lobster” and “flyingfish” sub-project results frameworks, respectively (see Annexes 3 and 5).

It is further important to note that planning and securing adequate levels of stakeholder involvement under the CLME+ project is not a static endeavour: during project execution, planning will continue and expand beyond the pre-planning that already took place during the project preparation phase. Examples of how opportunities will be created for the up-scaling of the participation of civil society, private sector and development banks are given in Figure 16 and Table 17.

From the figures, it can be seen, for example, how an important association can be made between the processes for stakeholder involvement and the development of the project’s over-arching Communications Strategy (project inception phase) under Output 2.4. This Communication Strategy, which will have central and decentralized components that will build upon, and will be reflective of the nested, multi-level regional governance framework (and under which the subsidiarity principle will thus be fully applied) will be critical in securing the broad support base and buy-in required from the different societal sectors, for collective and coordinated action towards the objectives of the CLME+ SAP. The development of targeted research strategies will further help bridging the science-policy gap (enhanced involvement of academic sector), whereas the development of the civil society and private sector action programmes (C-SAP and P-SAP; Output 2.2) and a better coordination of the different small grants programmes in the region (Output 2.2) will stimulate the role of these sectors in SAP implementation. The CLME+ status and SAP M&E web portals (Output 5.3) will allow stakeholders to follow up more closely on, and become active participate in SAP implementation. The investment

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<sup>132</sup> The C-FISH Fund (CARIBSAVE) is a new private-public partnership specially designed to provide sustainable financial support to Caribbean fish sanctuaries. It will use a range of innovative and “business-based” fund-raising mechanisms that will both support livelihoods and encourage the engagement of tourists, donors and stakeholders. It currently already has the support of Virgin Holidays, The Travel Foundation, The Sandals Foundation and Royal Caribbean.

plans are further expected to consolidate and up-scale private sector participation (O4.2) (see e.g. the timeline of relevant processes under Figure 16).

**Table 16. CLME+ stakeholder types and description of (expected) general roles and responsibilities in project implementation**

Type of organisation	Examples	General roles, responsibilities in the CLME+ project
National governments	<p>Ministries responsible for:</p> <ul style="list-style-type: none"> <li>▪ Food Security (Fisheries, Aquaculture, Agriculture, Forestry)</li> <li>▪ Environment/ Sustainable Development</li> <li>▪ Tourism</li> <li>▪ Finance and Planning</li> <li>▪ Foreign Affairs</li> <li>▪ Energy and Mining</li> </ul> <p>Meteorological Services; Coast Guards; Statistics;...</p>	<p><u>Overall:</u></p> <ul style="list-style-type: none"> <li>▪ National governments should address all three transboundary issues</li> <li>▪ In execution of specific roles and responsibilities, national government agencies should develop and implement mechanisms to facilitate participation of stakeholders in the CLME+ and related programmes and projects</li> </ul> <p><u>Specific:</u></p> <ul style="list-style-type: none"> <li>▪ Develop, enforce, monitor and evaluate policies related to the shared marine resources (e.g. ministries responsible for environment, fisheries, finance, foreign affairs, tourism)</li> <li>▪ Lead or participate in development and implementation of national and regional programmes, projects and initiatives aimed at reducing habitat degradation, pollution and unsustainable fisheries</li> <li>▪ Act as focal points of the CLME+ project that are responsible for implementation at the national level</li> <li>▪ Create and manage protected areas</li> <li>▪ Collect, manage, analyse and share information relevant to the governance of the shared marine space</li> </ul>
Inter-governmental technical organisations (IGOs)	<ul style="list-style-type: none"> <li>▪ United Nations Development Programme (UNDP)</li> <li>▪ Food and Agriculture Organisation of the United Nations (FAO)</li> <li>▪ Caribbean Environment Programme of the United Nations Environment Programme (UNEP-CEP)</li> <li>▪ Caribbean Public Health Agency (CARPHA)</li> <li>▪ Organisation of Eastern Caribbean States (OECS)/ Secretariat</li> <li>▪ Caribbean Regional Fisheries Mechanism (CRFM)/Secretariat</li> <li>▪ Organización del Sector Pesquero y Acuícola del Istmo Centroamericano (OSPESCA)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Design, implement and evaluate policies and programmes at the regional level on behalf of national governments, particularly those relating to mainstreaming EBM/EAF in ocean governance</li> <li>▪ Provide technical assistance to national governments to ratify, implement, review and evaluate policies and programmes</li> <li>▪ Conduct research and information management (particularly collection, management, analysis of data), analysis and advice and decision-making at the regional level</li> <li>▪ Provides links between regional governments and global programmes of the IGOs</li> </ul>

Type of organisation	Examples	General roles, responsibilities in the CLME+ project
National and regional private sector companies and associations	<ul style="list-style-type: none"> <li>▪ Regional and national private sector associations (e.g. Caribbean Hotel and Tourism Association [CHTA], national chambers of commerce)</li> <li>▪ Individual large and medium-sized companies (e.g. fishing companies; hotels, restaurants, oil and gas companies; shipping companies, banks, insurance companies)</li> <li>▪ Small and micro enterprises and their associations (e.g. fishers and national fisherfolk organisations; tour operators and associations)</li> </ul>	<p><u>Overall:</u></p> <ul style="list-style-type: none"> <li>▪ Diverse group with varied and often competing interests, roles and responsibilities (e.g. oil companies are key stakeholders in pollution and habitat degradation issues rather than in unsustainable fishing, while fishing companies are key stakeholders in addressing all transboundary issues)</li> </ul> <p><u>Specific:</u></p> <ul style="list-style-type: none"> <li>▪ Provide and collect data and information on different aspects of the shared marine space and the factors affecting it</li> <li>▪ Assist in implementation of the policies and application of best practices to ensure that recommended environmental, safety and other standards and regulations are being met</li> <li>▪ Some private sector groups directly involved in decision making on the different transboundary issues (e.g. oil companies involved in decision-making on marine pollution)</li> <li>▪ Assist in development of policies, regulations and plans related to the marine environment</li> <li>▪ Support implementation of local, national and regional projects via corporate social responsibility programmes (e.g. oil companies, hotels)</li> </ul>
National and regional academia and research institutes	<ul style="list-style-type: none"> <li>▪ Centre for Resource Management and Environmental Studies of the University of the West Indies (UWI - CERMES)</li> <li>▪ INVEMAR</li> <li>▪ IFREMER</li> <li>▪ Gulf and Caribbean Fisheries Institute (GCFI)<sup>133</sup></li> </ul>	<ul style="list-style-type: none"> <li>▪ Conduct research and collect, manage, analyse and share information on the three transboundary issues and climate change</li> <li>▪ Provide technical analysis and advice to IGOs and national governments on policy implications of research</li> <li>▪ Assist in technical review and evaluation of policies at the regional and national levels</li> </ul>
National and regional media	<ul style="list-style-type: none"> <li>▪ CaribVision</li> <li>▪ CMC</li> </ul>	<ul style="list-style-type: none"> <li>▪ Assist in developing awareness about the value of the marine ecosystems and the services that they provide</li> <li>▪ Share information relevant to addressing the three transboundary issues in the shared marine space</li> <li>▪ Act as independent 'watchdog' and investigate and communicate key issues to public</li> </ul>

<sup>133</sup> Is at the same time an NGO



Type of organisation	Examples	General roles, responsibilities in the CLME+ project
Multi and bilateral organisations providing technical and funding support, and development banks	<ul style="list-style-type: none"> <li>▪ USAID</li> <li>▪ Department for International Development (DFID)</li> <li>▪ AusAID</li> <li>▪ GIZ</li> <li>▪ World Bank</li> <li>▪ Inter-american Development Bank</li> </ul>	<ul style="list-style-type: none"> <li>▪ Support data collection/management and analysis, capacity building, interventions/ sub-projects, etc.</li> <li>▪ Provide technical and financial assistance to formulate and implement regional and national policies and programmes</li> </ul>
National and regional non-governmental organisations, civil society organisations, and gender groups including associations of resource users	<ul style="list-style-type: none"> <li>▪ The Nature Conservancy (TNC)</li> <li>▪ International Union for Conservation of Nature (IUCN)</li> <li>▪ Caribbean Natural Resources Institute (CANARI)</li> <li>▪ Caribsave</li> <li>▪ Caribbean Network of Fisherfolk Organisations (CNFO)</li> <li>▪ Conservation International</li> <li>▪ World Wide Fund for Nature (WWF)</li> <li>▪ Confederation of Fishermen of Central America (CONFEPESCA)</li> <li>▪ Women in Fishing Association</li> <li>▪ Caribbean Male Action Network</li> </ul> <p>Resource user associations (e.g. national sport fishing and dive associations)</p>	<ul style="list-style-type: none"> <li>▪ Support data collection and management, conduct independent research, collate and manage information and communicate / make available (e.g. online databases)</li> <li>▪ Provide technical assistance and participate in the analysis and advice and decision-making on policies at the national and regional levels</li> <li>▪ Support review and evaluation of implementation of policies developed for EBM/EAF in the CLME</li> <li>▪ Build capacity and awareness of their members and partners</li> <li>▪ Implement projects and programmes on EBM/EAF in the CLME</li> </ul>



**Table 17. Specific opportunities through which participation of private sector and development banks will be secured and up-scaled during project implementation**

<b>Project Components</b>	<b>Opportunities for participation of Private Sector (PS) and/or Development Banks (DB)</b>
<p><b>Component 1</b> Strengthening and consolidating the institutional, policy and legal frameworks for sustainable and climate-resilient shared living marine resources governance</p>	<ul style="list-style-type: none"> <li>• <i>PS participation in Working Group on IUU fishing, lobster,...</i></li> <li>• <i>PS/DB participation in meetings of the regional governance bodies</i></li> <li>• <i>PS/DB participation in evaluation of cost-benefits of enhanced regional fisheries governance mechanisms</i></li> <li>• <i>Identification of potential PS contributions to the sustainable financing mechanisms for regional ocean governance (fisheries coordination mechanism, policy coordination mechanism, etc.)</i></li> <li>• <i>National level: PS consultation through NICs</i></li> <li>• <i>PP contributions to development of data infrastructure (e.g. software/hardware, datasets)</i></li> </ul>
<p><b>Component 2</b> Enhancing the capacity of key institutions and stakeholders to effectively implement knowledge-based EBM/EAF</p>	<ul style="list-style-type: none"> <li>• <i>Participation of PS/DB in identification/pre-screening of needs and opportunities for habitat protection &amp; restoration actions, pollution prevention/mitigation, and associated generic target setting</i></li> <li>• <i>Building the capacity of small and medium sized enterprises to implement successful “blue businesses”</i></li> <li>• <i>Support of the private sector towards the development, and posterior implementation of the Regional Strategy and Action Plan on IUU Fishing, to be demonstrated e.g. through Component 3</i></li> </ul>
<p><b>Component 3</b> Implementing EBM/EAF</p>	<ul style="list-style-type: none"> <li>• <i>Involvement of industry in fisheries data collection and management (see e.g. sub-project documents, in Annex to the CLME+ Project Document)</i></li> <li>• <i>PS contributions to eliminate IUU and unsafe fishing practices (e.g. lobster pledge, traceability, certification,...)</i></li> <li>• <i>Partnership with private sector to promote the use of innovative technologies in coastal communities</i></li> </ul>
<p><b>Component 4</b> (Pre-)Feasibility studies to identify major high-priority investment needs and opportunities in the CLME+ region</p>	<ul style="list-style-type: none"> <li>• <i>Private sector participation in the development of (pre)feasibility studies &amp; investment plans</i> <ul style="list-style-type: none"> <li>○ <i>valuation of ecosystem goods &amp; services of relevance to private sector stakeholders; validation of results</i></li> <li>○ <i>analysis of returns-on-investment, and investment needs</i></li> <li>○ <i>identification of private sector contributions</i></li> </ul> </li> <li>• <i>PS commitments to support the implementation of at least two of the investment plans</i></li> </ul>
<p><b>Component 5</b> M&amp;E of the SAP, and experience sharing with the global LME community</p>	<ul style="list-style-type: none"> <li>• <i>Direct and indirect<sup>135</sup> association<sup>136</sup> of PS and DBs with the CLME+ Partnership</i></li> <li>• <i>PS/DB contributions to the development, and periodic updating of the “State of the Marine Ecosystems and associated living resources” report and web portals</i></li> </ul>
<p><b>CLME+ Project Co-ordination &amp; Management</b></p>	<ul style="list-style-type: none"> <li>• <i>Participation of PS/DB representatives in Project Steering Committee Meetings, possibly Project Executive Group, in the SAP implementation coordination mechanism, and in the NICs</i></li> </ul>

<sup>135</sup> Indirect association can constitute a first, exploratory step, e.g. through the association with the CLME+ Partnership of a partner with well-established private sector relationships

<sup>136</sup> Ethical considerations relating to a formal association of private sector groups with CLME+ project processes directly steered by UN organizations are to be considered. Modalities will be explored and criteria will be identified during the project inception phase by the Project Executive Group, and presented to the Project Steering Committee.

### 3 Project Results Framework

<p><b>This project will contribute to achieving the following Regional Programme Outcome as defined in the politically endorsed 10-year CLME+ SAP:</b></p> <p>“Healthy reef, continental shelf and pelagic ecosystems”</p>
<p><b>Regional Programme Outcome Indicators:</b></p> <p>“The provision of goods and services by the marine ecosystems of the CLME+ is such that it optimizes the systems’ contributions to societal well-being and to the region’s development needs (including the preservation of aesthetic, cultural, traditional, health and scientific values of the ecosystems).”</p>
<p><b>UNDP Strategic Plan Environment and Sustainable Development Primary Outcome:</b></p> <p>Outcome 2; Output 2.5 – Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use and access and benefit sharing of natural resources, biodiversity and ecosystems in line with international conventions and national legislation; Output 2.5.2</p>
<p><b>Applicable GEF Strategic Objective and Program:</b></p> <p><b>GEF 5 Strategic Objective IW-2</b> (primary) Catalyse multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems while considering climatic variability and change</p> <p><b>GEF5 Strategic Objective IW-3</b> (secondary) Support foundational capacity building, portfolio learning and targeted research needs for joint ecosystem-based management of transboundary water systems</p> <p>(In addition, the project is also aligned with <b>GEF6 Strategic Objective IW-3</b>: Rebuilding marine fisheries, restore and protect coastal habitats, and reduce pollution of coasts and LMEs</p>
<p><b>Applicable GEF Expected Outcomes:</b></p> <p><b>GEF5 IW-2: Outcome 2.1</b> (Implementation of agreed SAPs incorporates ecosystem-based approaches to management of LMEs,...); <b>Outcome 2.2</b> (Institutions for joint ecosystem based and adaptive management for LMEs....); <b>Outcome 2.3</b> (Innovative solutions implemented for reduced pollution rebuilding or protecting fish stocks....)</p> <p><b>GEF5 IW-3: Outcome 3.1</b> (Political commitment, shared vision, institutional capacity for joint ecosystem based management....); <b>Outcome 3.2</b> (On-the-ground modest action implemented in water quality, fisheries and coastal habitats....); <b>Outcome 3.3</b> (IW portfolio capacity and performance enhanced...)</p> <p>(in addition, the project will also contribute to certain objectives and outcomes under the GEF Biodiversity Strategy – see Section 2.1.6)</p>
<p><b>Applicable GEF Outcome Indicators: 2.1.</b> Implementation of national/local reforms; functioning of national inter-ministry committees; <b>2.2.</b> Cooperation frameworks adopted &amp; include sustainable financing; <b>2.3.</b> Measurable results for reducing land-based pollution, habitat, and sustainable fisheries from local demonstrations; <b>2.4.</b> Updated SAPs and capacity development surveys</p>

Project Objective<sup>137</sup>

*Facilitating EBM/EAF in the CLME+ for the sustainable and climate-resilient provision of goods and services from shared living marine resources, in line with the endorsed CLME+ SAP*

COMPONENT 1: CONSOLIDATING THE INSTITUTIONAL, POLICY AND LEGAL FRAMEWORKS FOR SUSTAINABLE AND CLIMATE-RESILIENT SHARED LIVING MARINE RESOURCES (sLMR) GOVERNANCE IN THE CLME+ REGION					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>138</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>139</sup>
<b>OUTCOME 1<sup>140</sup></b>  <b>Integrative governance arrangements for sustainable fisheries and for the protection of the marine environment</b>	<b>PI1. Solid transboundary and cross-sectoral governance arrangements in place</b>	Substantial gaps & weaknesses in governance arrangements, identified under the CLME Project (GEF ID 1032)  Technical proposal for a Regional Governance Framework (RGF)  Politically endorsed 10-year CLME+ SAP, shaped on the RGF proposal  <i>For more details on the baseline: see Project Document Section 1 as well as the COMPONENT 1 Outputs</i>	<b>T.PI1. Multi-level, nested Regional Governance Framework for sLMR in place, in-line with the endorsed CLME+ SAP, and with associated sustainable financing plan</b>	<i>Standard reporting practices/outputs<sup>141</sup></i>  <i>Component 1 Outputs and their associated Targets and SoV</i>	<u>Assumption:</u> Countries are fully engaged and support the objectives of the CLME+ Project  <u>Risk:</u> Lack of political will at the regional and national levels to support the strengthening of the governance arrangements
<b>Output1.1 (O1.1)</b>  <b>Decisions on coordination &amp; cooperation arrangements and institutional mandates, in line with SAP Strategies 1 (environment), 2 (fisheries) and 3 (cross-sectoral policy coordination)</b>	<b>PI1. No CLME+ countries are excluded from formal participation in the regional coordination mechanisms for the protection of the marine environment</b>  <b>PI2. Coordination mechanism among the region-wide arrangements dealing with</b>	Baseline analysis and technical proposal for multi-level, nested RGF  Regionally endorsed SAP presents roadmap towards enhanced coordination & cooperation arrangements  With the exception of Brazil, all CLME+ countries can become signatories to the Cartagena Convention and its	<b>T.PI1. Formal agreement between Brazil and the Cartagena Convention Secretariat</b> for the coordination of actions relevant to the Convention and its Protocols, by Cartagena Convention COP 14 (2016)  <b>T.PI2. (Milestone) Decision on a modality for the coordination of actions under the SPAW and LBS Protocols, at Cartagena Convention</b>	<i>Standard reporting practices/outputs<sup>141</sup>; esp. reports/formal decisions and/or endorsements, e.g. from IGM/COP/STAC/Ministerial Council meetings</i>  Memoranda of Understanding, formal	<u>Assumption:</u> Regional and international partners are engaged in project design, implementation and are perceived as mutually beneficial  <u>Assumption:</u> Countries within the CLME+ Region are in full support of the need for increased coordination

<sup>137</sup> Objective (Atlas output) monitored quarterly in ERBM, and annually in APR/PIR

<sup>138</sup> Even when not explicitly mentioned, the endorsed CLME+ SAP, with its 6 Strategies and 4 sub-strategies, constitutes part of the baseline for all outputs in this Project Results Framework

<sup>139</sup> See also Section 2.5 of the CLME+ Project Document

<sup>140</sup> All Outcomes monitored annually in the APR/PIR

<sup>141</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 1: CONSOLIDATING THE INSTITUTIONAL, POLICY AND LEGAL FRAMEWORKS FOR SUSTAINABLE AND CLIMATE-RESILIENT SHARED LIVING MARINE RESOURCES (sLMR) GOVERNANCE IN THE CLME+ REGION					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>138</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>139</sup>
	<p><b><i>pollution and habitat degradation</i></b></p> <p><b>PI3. <i>Interim region-wide coordination mechanism for sustainable fisheries management</i></b></p> <p><b>PI4. <i>Region-wide permanent arrangement for sustainable, ecosystem-based fisheries management</i></b></p> <p><b>PI5. <i>"SAP implementation" coordination mechanism</i></b>, integrating the arrangements for sustainable fisheries and the protection of the marine environment</p> <p><b>PI6. <i>Permanent policy coordination mechanism</i></b></p>	<p>Protocols. At the 15<sup>th</sup> IGM of the Caribbean Environment Programme (CEP) Member States encouraged the Secretariat to explore opportunities and needs for collaboration with Brazil in areas of relevance to the Convention and its Protocols</p> <p>Contracting Parties to the Cartagena Convention have requested the Secretariat to explore opportunities for greater integration between the LBS and SPAW Protocol Work Programmes</p> <p>Three Regional Fisheries Bodies (RFBs) exist within the CLME+; 2 of these (OSPESCA, CRFM) have formal mandate for all policy cycle components but are sub-regional only; WECAFC covers full region but has no associated high-level formal/binding decision-making mechanism.</p> <p>MoU between CRFM and OSPESCA, established during the CLME Project</p> <p>No formally established "CLME+ SAP implementation" coordination mechanism; informal acceptance that SAP/CLME+ ProDoc Core Development Team membership can provide the initial (expandable) basis for this mechanism</p>	<p>COP 13 (2014); <b>(Target) <i>Roadmap for collaborative action on SPAW and LBS</i></b> available by end of Project Year 1 (PY1)</p> <p><b>T.PI3. <i>Decision</i></b> among CLME+ partners <b><i>on the interim coordination mechanism for sustainable fisheries</i></b>, by the end of the Project Inception Phase</p> <p><b>T.PI4. (Milestone)</b> Feasibility analysis (technical &amp; economic feasibility, and political &amp; social acceptance) of different region-wide governance arrangements for sustainable fisheries, available by Project Mid-Term (PMT); <b>(Target) <i>Formal multi-country decision on a robust, region-wide governance arrangement for sustainable, ecosystem-based fisheries management</i></b>, by Project End (PE)</p> <p><b>T.PI5. (Milestone)</b> Interim mechanism to support coordinated SAP implementation<sup>142</sup>, established by end of PY1; <b>(Target) <i>Institutional arrangement(s) and operational mechanism to coordinate SAP implementation efforts</i></b> beyond</p>	<p>inter-agency cooperation frameworks, or similar</p> <p>Technical reports</p> <p>(Permanent digital records; project + partner websites, a.o.)</p>	<p>and cooperation amongst the regional and sub-regional governance arrangements</p> <p><u>Risk:</u> Lack of political will, arrangement with Brazil not binding, different priorities and difficulties in reaching consensus among countries and organizations</p> <p><u>Risk:</u> Regional organisations are not willing to work together to coordinate their activities</p>

<sup>142</sup> For more details, see also Section 5.2 of this Project Document

COMPONENT 1: CONSOLIDATING THE INSTITUTIONAL, POLICY AND LEGAL FRAMEWORKS FOR SUSTAINABLE AND CLIMATE-RESILIENT SHARED LIVING MARINE RESOURCES (sLMR) GOVERNANCE IN THE CLME+ REGION					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>138</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>139</sup>
		Consensus has not been achieved to date regarding a permanent policy coordination mechanism for sLMR in the CLME+ Region	project life span, consolidated before PE  <b>T.PI6. (Target A) Consensus</b> among CLME+-participating countries <b>on a permanent, inclusive and sustainably financed policy coordination mechanism</b> for sLRM governance, by end of PY4; <b>(Target B)</b> Formal adoption by the CLME+-participating countries of the mechanism, by PE		
<b>Output 1.2 (O1.2)</b>  <i>National Inter-sectoral Coordination (NIC) mechanisms</i> (including science-policy interfaces) in place	<b>PI1. Functioning NIC mechanism(s)</b>	A variety of mechanisms exists, in a sub-set of the CLME+ countries; not all mechanisms are, or have been sustainable in time  Some success stories of inter-sectoral coordination under the CLME Project; in many cases inter-sectoral coordination is still sub-optimal  Lack of in-depth analysis and guidance on good practices  No comprehensive region-wide analysis of baseline situation in CLME+ countries available to date (partial progress obtained)	<b>T.PI1. (Milestone) Completed baseline analysis</b> of NIC mechanisms, including identification of good practices, by end of PY1; <b>(Target) Sustainable NIC mechanisms operating in at least 60% of CLME+ participating countries</b> , by PE	Standard reporting practices/outputs <sup>143</sup>  Minutes/records of NIC operations  Additional, trans-sectoral endorsements of the CLME+ SAP, and multi-sectoral national co-financing contributions reported  Baseline and updated NIC mechanisms inventory reports	<u>Assumption:</u> There is willingness to build on either existing mechanisms or to develop new ones, to improve coordination amongst sectors  <u>Risk:</u> Especially in SIDS, institutions may be overburdened with competing interests, with resulting stakeholder fatigue  <u>Risk:</u> No sustainability arrangements in place

<sup>143</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 1: CONSOLIDATING THE INSTITUTIONAL, POLICY AND LEGAL FRAMEWORKS FOR SUSTAINABLE AND CLIMATE-RESILIENT SHARED LIVING MARINE RESOURCES (sLMR) GOVERNANCE IN THE CLME+ REGION					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>138</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>139</sup>
Output 1.3. (O1.3)  <i>Regional policies, declarations and/or regulations, and associated national-level legislation and/or plans, are appropriate to enable effective EBM/EAF in the CLME+</i>	PI1. <i>Concept of climate-resilient EBM/EAF embedded in key regional policies, declarations and/or regulations, and national legislation and/or plans</i>	In the last few years a number of policies and declarations which support the EBM/EAF approaches have been adopted at the (sub)regional levels; in many cases associated national-level legislation and plans still need to be updated  CRFM Common Fisheries Policy formally approved during CLME+ PPG phase  OSPESCA/SICA new fisheries policy and CCAD/SICA new 5-year regional environmental strategy (ERAM, 2015-20) under development/in consultation at time of CLME+ ProDoc development	<b>T.PI1. (Milestone)</b> Strategy to support the mainstreaming of EBM/EAF concept and principles in policies, declarations, regulations, plans and legislation, available by PMT; <b>(Target A) EBM/EAF concepts and key principles integrated in at least 4 (sub)-regional policies relevant to the SAP, and in updated fisheries/environmental legislation, in at least 60% of CLME+ countries where such updates occur</b> between PMT and PE; <b>(Target B) Gender concerns mainstreamed</b> and incorporated in at least 3 (sub) regional policies relevant to the SAP, by PE	<i>Standard</i> reporting practices/outputs <sup>144</sup>  Report on the support plan (incl. description of the current baseline)  (sub)regional and national policy documents, declarations, regulations, legislation, and plans  Summary report/indicators on achieved progress	<u>Assumption:</u> Importance of EBM/EAF is recognized and there is high-level support for the mainstreaming of EBM/EAF principles in regional policies and declarations  <u>Assumption:</u> There is strong political will at the national level to support the timely development & adoption of updated legislation & plans  <u>Risk:</u> Potential conflicts between countries over the use and management of shared resources  <u>Risk:</u> Very lengthy processes associated with the development & adoption of national legislation and plans
Output 1.4 (O1.4)	PI1. <i>Arrangements for the management, access and exchange of key data,</i>	A draft data sharing policy was developed under the CLME IMS/REMP pilot project	<b>T.PI1. MoUs and protocols</b> to facilitate access to/exchange of national and (sub)regional data sets	<i>Standard</i> reporting practices/outputs <sup>146</sup>	<u>Assumption:</u> Countries and regional organisations are prepared and willing to

<sup>144</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

<sup>146</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals



COMPONENT 1: CONSOLIDATING THE INSTITUTIONAL, POLICY AND LEGAL FRAMEWORKS FOR SUSTAINABLE AND CLIMATE-RESILIENT SHARED LIVING MARINE RESOURCES (sLMR) GOVERNANCE IN THE CLME+ REGION					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>138</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>139</sup>
<b>Data management, access &amp; exchange arrangements</b> support adaptive management and implementation of the CLME+ Project and SAP <sup>145</sup>	<b>information and indicator sets</b> identified as being critical for the overall <b>Monitoring &amp; Evaluation (M&amp;E) of Project and SAP</b> implementation	Preliminary explorations on possible collaborative efforts and existing data platforms, by 30+ stakeholders during the CLME-supported CMA2 inception workshop (2014)  Operationalization of data platforms to support SAP M&E, incorporated as a major objective in the “Caribbean Marine Atlas 2” Project (2014-17)	developed and <b>adopted by at least 40% of the relevant CLME+ partner organizations</b> , by PMT	Declarations of Intent, MoUs, Protocols and/or other cooperation agreements	establish arrangements that allow for the sharing of key data and information sets  <u>Risk:</u> Countries (and/or regional organisations) unable to come to an agreement regarding the exchange and sharing of key data and information
<b>Output 1.5 (O1.5)</b> <b>Sustainable financing mechanism(s) to ensure short, medium and long-term operations of the sLMR governance arrangements</b>	<b>PI1. Sustainable Financing Plan for the Regional Governance Framework (RGF)</b>  <b>PI2. High-level endorsement of the plan</b>	Strong fluctuations in operational capacity and strong donor dependency of regional governance bodies, due to absence of sustainable financing mechanisms  Technical RGF proposal exists (CLME Project); however the technical document does not propose a comprehensive, sustainable financing mechanism	<b>T.PI1. (Milestone)</b> Sustainable financing plan (proposal), incl. evaluation and comparison of options, to be delivered by end of PY3; <b>(Target) Final version of the plan</b> addresses feedback from CLME+ partners on the initial proposal and is delivered by the end of PY4  <b>T.PI2. Support for the Sustainable Financing Plan confirmed by at least 14 CLME+ countries</b> , by PE	<i>Standard</i> reporting practices/outputs <sup>146</sup>  Technical report  Meeting minutes or similar documents reflecting high-level endorsement of the mechanism by relevant stakeholders	<u>Assumption:</u> Countries understand the need for, and are willing to provide sustained support for the RGF  <u>Risk:</u> Limited financial capacity of CLME+ countries, especially SIDS; uncertainty regarding macro-economic scenarios

<sup>145</sup> Linked to Output 5.2 under Component 5

COMPONENT 2: ENHANCING THE CAPACITY OF KEY INSTITUTIONS AND STAKEHOLDERS TO EFFECTIVELY IMPLEMENT KNOWLEDGE-BASED EBM/EAF FOR SUSTAINABLE SHARED LIVING MARINE RESOURCES (sLMR) USE IN THE CLME+ ( <i>SUBSIDIARITY PRINCIPLE APPLIES</i> )					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>147</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>148</sup>
<p><b>OUTCOME 2</b></p> <p><b>Enhanced institutional and stakeholder capacity</b> for sLMR management at regional, sub-regional, national and local levels (with special attention to regional and sub-regional organizations with key roles in SAP implementation)</p>	<p><b>PI1. Capacity to sustainably govern the sLMR of the CLME+</b>, to the benefit of the people of the region and beyond</p>	<p>Weak human and institutional capacity, insufficient (access to) data and knowledge bases, lack of awareness, and lack of stakeholder participation were identified as root causes of environmental degradation under the CLME TDAs</p> <p>Governance assessments further pointed to dysfunctional policy cycles; linkages between science and decision-making often not operational or insufficiently used; weak implementation capacity; weak M&amp;E</p> <p>Many efforts ongoing in the region, but insufficiently coordinated; lack of over-arching strategy/plan</p> <p><i>For more details on the baseline: see Project Document Section 1 as well as the COMPONENT 2 Outputs</i></p>	<p><b>T.PI1. Enhanced sLMR management capacity</b></p> <p>for:</p> <p><b>(Target A) all 3 priority problems identified under the TDAs, and with due consideration of the issue of climate change;</b></p> <p><b>(Target B) full policy cycle implementation;</b></p> <p>achieved among:</p> <p><b>(Target C) governmental, civil society and private sector stakeholders; incl. better (use of) support from academia;</b></p> <p>at:</p> <p><b>(Target D) regional, sub-regional and national levels;</b></p>	<p><i>Standard reporting practices/outputs<sup>149</sup></i></p> <p><i>Component 2 Outputs and their associated Targets and SoV</i></p>	<p><u>Assumption:</u> Stakeholders have outlined and agree on the key capacity development needs required for improved sLMR management within the CLME+ Region</p> <p><u>Assumption:</u> Willingness of organisations (both regionally and nationally) to be fully engaged in capacity building activities</p> <p><u>Risk:</u> Regional organisations and countries are unable to agree on the key capacity development needs required to support improved management of the region's sLMR</p>

<sup>147</sup> Even when not explicitly mentioned, the endorsed CLME+ SAP, with its 6 Strategies and 4 sub-strategies, constitutes part of the baseline for all outputs in this Project Results Framework

<sup>148</sup> See also Section 2.5 of the Project Document

<sup>149</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 2: ENHANCING THE CAPACITY OF KEY INSTITUTIONS AND STAKEHOLDERS TO EFFECTIVELY IMPLEMENT KNOWLEDGE-BASED EBM/EAF FOR SUSTAINABLE SHARED LIVING MARINE RESOURCES (SLMR) USE IN THE CLME+ ( <i>SUBSIDIARITY PRINCIPLE APPLIES</i> )					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>147</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>148</sup>
<p><b>Output 2.1 (O2.1)</b></p> <p><i>Regional Action Plans for the management, conservation and sustainable use of fishery resources and for the protection of the marine environment, taking into account the implications on gender and the possible impacts of climate change</i></p>	<p><b>PI1. Regional Strategy and Action Plan against IUU, and compatible model National Plan of Action (IUU-NPOA)</b></p> <p><b>PI2. Regional Strategy and Action Plan for the valuation, protection and/or restoration of key marine habitats</b></p> <p><b>PI3. Regional Action Plan for the reduction of impacts from excess nutrient loads on the marine environment</b></p>	<p>FAO guidelines (e.g. small scale fisheries, others);</p> <p>European Marine Strategy Framework Directive and Water Framework Directive; US National Ocean Policy &amp; Implementation Plan; NOAA Caribbean Strategy<sup>150</sup></p> <p>IPOA-IUU; 4<sup>th</sup> Global Fisheries Enforcement Training Workshop (International MCS Network); Castries Declaration on IUU Fishing (CARICOM); OSPESCA-CRFM MoU and Joint Action Plan, incl. IUU as priority issue; CARICOM/CARIFORCUM IUU/MCS Strategy; OSPESCA Regulation OSP-08-2014 and Satellite Monitoring &amp; Control System; NPOAs-IUU in a limited number of CLME+ countries; Decision at WECAFC Session 15 to establish a regional IUU Working Group; the above baseline initiatives/results however do not cover the full CLME+ region/ensure coordination of actions among adjacent states</p> <p>CBD Strategic Plan 2011-2020: several (but not all) CLME+ countries with</p>	<p><b>T.PI1. (Target A) Regional Strategy and Action Plan against IUU</b> developed, and approved at the 16<sup>th</sup> WECAFC Session in 2016; <b>(Target B) Model National Plans of Action against IUU</b> developed and disseminated among CLME+ countries by PMT</p> <p><b>T.PI2. Regional Strategy and Action Plan for key marine habitats</b> covers at least 50% of CLME+ countries, by end of PY3</p> <p><b>T.PI3. Regional Action Plan for reducing nutrient loads</b> covers at least 30% of CLME+ countries and is adopted at the latest by LBS STAC 4 (2018)</p>	<p>Standard reporting practices/outputs<sup>151</sup></p> <p>Regional Strategy/Action Plan documents</p> <p>Minutes of meetings of regional organisations</p>	<p><u>Assumption:</u> The project is in line with identified and agreed regional and sub-regional priorities actions</p> <p><u>Assumption:</u> Strong stakeholder participation and buy-in in the development of proposed regional action plans which will further reinforce support from policy and decision makers at all levels.</p> <p><u>Risk:</u> Changes in policy decisions and regional and sub-regional priorities result in limited support for the proposed regional strategies and actions plans</p> <p><u>Risk:</u> CLME+ countries are unable to come to an agreement on what should be included in the regional strategies and action plans</p>

<sup>150</sup> Relevant for dependent and overseas territories of France, the Netherlands and the UK, and for the USA and its dependent territories, respectively

<sup>151</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 2: ENHANCING THE CAPACITY OF KEY INSTITUTIONS AND STAKEHOLDERS TO EFFECTIVELY IMPLEMENT KNOWLEDGE-BASED EBM/EAF FOR SUSTAINABLE SHARED LIVING MARINE RESOURCES (SLMR) USE IN THE CLME+ ( <i>SUBSIDIARITY PRINCIPLE APPLIES</i> )					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>147</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>148</sup>
		<p>updated NBSAPs (CBD), but no RBSAPs; possible IUCN support to NBSAP development; Global Programme of Action for the Protection of the Marine Environment from Land-Based Sources of Pollution (GPA); SPAW and LBS Protocols, with gradually increasing ratification levels</p> <p>CCAD draft 2015-20 ERAM; CRFM Regional Coral Reef Action plan (2014-2019); NOAA Caribbean Strategy; Regional Lionfish Strategy</p> <p>ICRI-GCRMN report: <i>Status and Trends of Caribbean Coral Reefs: 1970-2012</i>; WRI Reports: Reefs at Risk in the Caribbean/Coastal Capital; WRI/ICRI work on economic valuation; Handbook for Caribbean Coral Reef Managers (FORCE Project); WB GPO Habitat Working Group Toolbox for Action (draft); WB GPO baseline study on LBS Pollution in the Caribbean</p> <p>Projects/Initiatives: Caribbean Challenge Initiative, Guyana Mangrove Restoration Project, ECCMAN, Caribbean Marine Biodiversity Activity (CMBA), MARFund, CATS, MAR2R concept note, etc.; multitude of local mangrove, seagrass &amp; coral reef restoration initiatives (mostly small-scale, no over-arching regional</p>			

COMPONENT 2: ENHANCING THE CAPACITY OF KEY INSTITUTIONS AND STAKEHOLDERS TO EFFECTIVELY IMPLEMENT KNOWLEDGE-BASED EBM/EAF FOR SUSTAINABLE SHARED LIVING MARINE RESOURCES (SLMR) USE IN THE CLME+ ( <i>SUBSIDIARITY PRINCIPLE APPLIES</i> )					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>147</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>148</sup>
		strategy); local/national-level lion-fish control initiatives, etc.			
<p><b>Output 2.2 (O2.2)</b></p> <p><i>Civil Society and Private Sector Action Programmes (C-SAP and P-SAP)</i>, that are sensitive to gender concerns and complement and support the implementation of the CLME+ SAP</p>	<p><b>PI1. Civil Society Action Programme “C-SAP”</b>, compatible with the CLME+ SAP</p> <p><b>PI2 Private Sector Action Programme “P-SAP”</b>, compatible with the CLME+ SAP</p> <p><b>PI3. Coordination facility</b> or mechanism <i>for Small Grants Programmes</i> in the CLME+</p>	<p>Strong initial focus of CLME Project and CLME+ SAP on governmental action, with less attention to role of civil society and private sector</p> <p>Isolated, smaller-scale or sectoral/sub-regional private sector initiatives exist (sustainable fisheries, habitat restoration, etc.), but no over-arching, holistic LME-based vision or strategy; <i>step-wise progress will be necessary</i></p> <p>A multitude of “permanent” and project-based “Small Grants” support mechanisms for CBO-based actions exist in the CLME+ region; however, to date, limited use has been made of the CLME+ SAP as a roadmap for the development and execution of these Small Grants (SG) initiatives; limited coordination among the different SG initiatives; substantial opportunity for enhanced synergies and complementarity</p> <p>Regional Civil Society Organisation CANARI appointed as member of the CLME+ ProDoc Core Development</p>	<p><b>T.PI1. (Target A) “C-SAP” document delivered and adopted by at least 8 CBO/FFO organizations</b>, by PMT; <b>(Target B) Direct participation of at least 5 CBO/FFO organizations in concrete stress reduction/ecosystem restoration activities</b>, across the CLME+ region, by PE; <b>(Target C) Increase of resp. 30% and 50% of the number of women that are active members of the Caribbean Network of Fisherfolk Organizations (CNFO)</b>, by PMT and PE</p> <p><b>T.PI2 (Milestone) “P-SAP” document delivered by Project Month 28;</b> <b>(Target A) “P-SAP” adopted by at least 15 private sector organizations/partners (incl. at least 3 with regional-level impacts), by end of PY3;</b> integration with the investment plan(s) of Output 4.2 achieved by PE; <b>(Target B) direct participation in the implementation of SAP priority actions by at least 8 private sector partners, of which at least 3 multi-nationals</b>, by PE; <b>(Target C) Active private sector</b></p>	<p>Standard reporting practices/outputs<sup>152</sup></p> <p>C-SAP Document</p> <p>P-SAP Document</p> <p>MoU or similar for enhanced coordination among SG initiatives</p>	<p><u>Assumption:</u> The private sector is increasingly aware of the need to promote socially responsible investments and business practices, as way of enhancing the value of their assets.</p> <p><u>Assumption:</u> Civil society groups have the capacity to be fully engaged in the CLME+ Project</p> <p><u>Risk:</u> Project is unable to fully engage the private sector participation</p> <p><u>Risk:</u> Civil Society Organisations and Groups do not feel fully engaged to contribute in the CLME+ Project that is primarily focused on ocean governance</p>

<sup>152</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 2: ENHANCING THE CAPACITY OF KEY INSTITUTIONS AND STAKEHOLDERS TO EFFECTIVELY IMPLEMENT KNOWLEDGE-BASED EBM/EAF FOR SUSTAINABLE SHARED LIVING MARINE RESOURCES (SLMR) USE IN THE CLME+ ( <i>SUBSIDIARITY PRINCIPLE APPLIES</i> )					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>147</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>148</sup>
		Team, and actively participating in ProDoc development process  Declarations of Intent for collaboration with CLME+ from 4 key regional NGOs with leadership role in private partnership development (WWF, TNC, CI and Caribsava)	<i>participation</i> in SAP implementation <i>in at least 12 CLME+ countries</i> , by PE  T.PI3. <i>Small Grants coordination facility/mechanism</i> operational by end of Project Month 18		
Output 2.3 (O2.3)  <i>Identification of good practices for data &amp; information management (DIM), and of best available (innovative) technologies and tools, to support communication, awareness building (CAB) and decision-making (DM) processes</i>	PI1. <i>Inventory of good practices and innovative technologies &amp; tools for data &amp; information management (DIM)</i> , to support <i>communication, awareness building (CAB) and decision-making (DM)</i>  PI2. Innovative tools tested; potential to enhance active civil society & private sector participation in SLMR governance upscaled		T.PI1. (Milestone) <i>Inventory of good practices for DIM/CAB/DM</i> available by end of Project Inception Phase; (Target) <i>Inventory updated, and disseminated</i> among CLME+ Partnership, by PE  T.PI2. (Milestone) <i>Innovative DIM/CAB/DM tools tested and results documented from at least 3 CLME+ countries</i> , by PMT; (Target) <i>Conclusions</i> from the tests <i>applied to the CLME+ Sub-Projects</i> under COMPONENT 3, <i>and/or</i> used in the development of <i>Investment Plans</i> under COMPONENT 4, by PE	Standard reporting practices/outputs <sup>153</sup>  Inventory reports  Reports on test results	<u>Assumption:</u> There is agreement that the project needs to identify, adopt and implement the use of innovative tools and technologies if the project objectives are to be met  <u>Risk:</u> Regional organisations and countries are unwilling to participate in the inventory to identify best practices
Output 2.4 (O2.4)  <i>Overarching CLME+ Communication Strategy</i>	PI1. Collaboratively developed <i>Communication Strategy with central and decentralized components and responsibilities</i> , targeting the different key	Currently, no strategy exists to coordinate communication and dissemination activities (in support of the CLME+ Project and SAP) among the	T.PI1 (Target A) First version of the <i>Communications Strategy</i> by end of PY1; (Target B) By PMT, components of the (updated) Communications Strategy (“Sub-Strategies”) cover at least: <i>communication arrangements</i>	Standard reporting practices/outputs <sup>153</sup>  Strategy document, with indication of	<u>Assumption:</u> The need for, and benefits from coordinated communication are well understood by CLME+ stakeholders; the concept of a strategy with

<sup>153</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 2: ENHANCING THE CAPACITY OF KEY INSTITUTIONS AND STAKEHOLDERS TO EFFECTIVELY IMPLEMENT KNOWLEDGE-BASED EBM/EAF FOR SUSTAINABLE SHARED LIVING MARINE RESOURCES (SLMR) USE IN THE CLME+ ( <i>SUBSIDIARITY PRINCIPLE APPLIES</i> )					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>147</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>148</sup>
	CLME+/LME COP stakeholder groups	confirmed and prospective CLME+ partners  A number of regional partners have their own Communications Strategy in which elements related to the CLME Project have been integrated, however this is not guided from an overarching level to ensure consistency and maximize efficiency and effectiveness in the dissemination of project messages	<b><i>among the CLME+ Partnership; general awareness building among the broader CLME+ stakeholder community; experience exchange with the global LME Practitioners Community</i></b>	collaborating/endorsing partners  Printed and digital communication materials	decentralized components is broadly supported  <u>Risk:</u> adoption of such innovative approach may suffer from <i>inertia</i> ; a continuation of business-as-usual (ad hoc approach) would lead to a deviation from the agreed strategy
<b>Output 2.5 (O2.5)</b>  <b><i>Strategy for the training of selected stakeholders on issues of cross-cutting importance for the SAP Strategies</i></b>	<b>PI1. Training Strategy</b>  <b>PI2. Training Workshops</b> , and representative participation of key CLME+ stakeholder groups at these workshops  <b>PI3. Availability of</b> (where feasible, multi-lingual) <b>training materials</b>	Many different training initiatives, relevant to sLMR governance and management have been, and are currently being undertaken or planned in the region  Notwithstanding this, lack of capacity remains one of the major root causes of environmental degradation  Coordination among the many initiatives is very limited; an ad hoc/opportunistic approach to training and capacity building remains prevalent, and results in replication & duplication of efforts; limited integration; limited monitoring of impacts; there is substantial opportunity for enhanced synergies, complementarity and for the creation of economies of scale	<b>T.PI1. Training Strategy document</b> is developed by end of PY1  <b>T.PI2. At least 5 Training Workshops</b> implemented by PE, <b><i>involving at least 70% of CLME+ countries and 60% of organizations with a formal mandate under the RGF</i></b>  <b>T.PI3.</b> (Multi-lingual, where feasible) <b><i>training materials made permanently available</i></b> to CLME+ stakeholders, by PE	Inventory of existing and planned training initiatives and efforts  Training Strategy document  Workshop reports and participants lists  Training materials	<u>Assumption:</u> Key regional partners are willing to work together to define and implement a common training strategy  <u>Assumption:</u> Financial resources are available to undertake the training workshops  <u>Risk:</u> Unsynchronized work programmes, work load & understaffing complicates enhanced coordination/planning among agencies; success depends on number and strength of operational partnerships

**COMPONENT 2: ENHANCING THE CAPACITY OF KEY INSTITUTIONS AND STAKEHOLDERS TO EFFECTIVELY IMPLEMENT KNOWLEDGE-BASED EBM/EAF FOR SUSTAINABLE SHARED LIVING MARINE RESOURCES (SLMR) USE IN THE CLME+ (SUBSIDIARITY PRINCIPLE APPLIES)**

Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>147</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>148</sup>
<p><b>Output 2.6 (O2.6)</b></p> <p><i>Targeted research strategies</i> to address scientific demands from organizations dealing with fisheries and the protection and sustainable use of the marine environment</p>	<p><b>PI1. Research Strategy Document(s)</b> produced, and <b>number of CLME+ SAP priorities addressed</b> under the documents</p>	<p>International and regional/national financing mechanisms for scientific research exist; substantial benefits can be obtained for sLMR-related decision-making &amp; management from an increase in demand-driven research</p> <p>GCFI provides an important annual forum for the dissemination of scientific research on sLMR in the CLME+, and for the interaction among academia, NGOs and governmental bodies</p> <p>Several Scientific &amp; Technical Advisory Groups on matters relating to sLMR have been established in the region</p> <p>OECS is pioneering the development of a sub-regional Research Strategy</p>	<p><b>T.PI1.</b> The Research Strategies will be expected to expand the knowledge base required to: (a) successfully implement the EAF approach in the CLME+; (b) support habitat protection and restoration efforts; (c) effectively reduce impacts from LBS pollution on key marine habitats</p> <p><b>(Milestone)</b> At least 1 regional Research Strategy developed, addressing the needs for at least 1 of the themes mentioned above, by end of PY2; <b>(Target A)</b> <i>At least 2 regional Research Strategies developed and endorsed</i> by relevant sLMR governance bodies, <i>addressing the needs for at least 2 of the above mentioned themes</i>, by PE</p>	<p><i>Standard</i> reporting practices/outputs<sup>154</sup></p> <p>Strategy documents</p> <p>MoU with GCFI</p> <p>Proceedings of annual GCFI meetings (2013-2019)</p>	<p><u>Assumption:</u> Scientific and research institutions/groups are fully engaged and is a contributor to the CLME+ Project outcomes</p> <p><u>Risk:</u> Failure to obtain a consensus on research strategies by projected deadline</p>

<sup>154</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals



COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
<b>OUTCOME 3</b>  <b>Progressive reduction of environmental stresses, and enhancement of livelihoods demonstrated, across the thematic and geographical scope of the CLME+ SAP</b>	<b>O3.P/SRI1. Transition towards the implementation of EAF</b> in the CLME+ (sustainable and climate-resilient fisheries)  <b>O3.P/SRI2. Transition towards the implementation of EBM,</b> demonstrated <sup>157</sup> in the CLME and NBSLME at different levels and spatial scales	<i>For more details on the baseline: see Project Document Section 1, COMPONENT 3 Outputs and Annexes 3-6</i>	<b>O3.T.P/SRI1</b> <b>(Target A - PI)</b> Across the 3 fishery ecosystem types and involving at least 70% of CLME+ countries, measurable progress for the first 3 elements of the Governance Effectiveness Assessment Framework (GEAF): <b>governance arrangements in place, processes operational, and stakeholders involved, for at least 3 priority fisheries under the SAP<sup>158</sup>;</b>  <b>(Target B – PI &amp; SRI)</b> medium to long-term <b>targets<sup>159</sup> established through interactive governance, and measurable intermediate progress</b> for the GEAF element: <b>“fish stock stress reduction” (IUU, harvest</b>	<i>Standard reporting practices/outputs<sup>161</sup></i>  <i>Component 3 Outputs and their associated Targets and SoV</i>	<i>See the more detailed description under the Outputs and under Section 2.5 of the Project Document</i>

<sup>155</sup> Even when not explicitly mentioned, the endorsed CLME+ SAP constitutes part of the baseline for all outputs in this Project Results Framework

<sup>156</sup> See also Section 2.5 of the Project Document

<sup>157</sup> These CLME+ actions will aim at implementing (demonstrating) a holistic approach: they will foster the implementation of a comprehensive package of measures that will jointly deal with the different matters affecting the intervention sites (as feasible and most relevant): unsustainable fishing practices, habitat degradation and community modifications (invasive species) and pollution, plus the cross-cutting issue of climate change. They will bear in mind the over-arching goals of social justice (incl. gender) and enhanced human well-being. For this purpose, the CLME+ initiatives will aim to build upon other ongoing donor initiatives (both GEF and non-GEF) that may currently only be focussing on part of the issues described above. Selection of the sites will occur during the CLME+ Project Inception Phase following a participatory approach. O3.P/SRI2 will contribute to the strengthening of the CLME+ Partnership, to be established under Output 5.1. O3.P/SRI2 may further provide an opportunity to demonstrate the importance, and bring into practice, the arrangements resulting from Output 1.1.

<sup>158</sup> **(1)** Spiny lobster fisheries: fisheries ecosystem type = “reefs and associated system”, LME = “CLME”, SAP Strategy 4A; **(2)** Shrimp & Groundfish fisheries: fisheries ecosystem type = continental shelf”, LME = “NBSLME”, SAP Strategy 6; **(3)** Four-wing flyingfish fisheries (eastern Caribbean stock): fisheries ecosystem type = “pelagic ecosystem”, LME = “CLME”, SAP Strategy 5A

<sup>159</sup> These will be expected to be aligned with existing global/(sub-)regional commitments/targets & timelines (e.g. Johannesburg POI; relevant targets under the forthcoming SDGs, existing regional fishery management plans...-see also the corresponding outputs under this Component, and the GEF IW Tracking Tool for more details)

<sup>161</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
			<p><i>limitations (seasons – areas – species – size), fleet capacity, harmful fishing practices, alternatives, human health &amp; social justice), for at least 3 priority fisheries under the SAP;</i></p> <p><b>(Target C – PI &amp; SRI)</b> medium to long-term <b>targets established</b> through interactive governance, and <b>measurable progress for: “socially just outcomes”, and “improved human well-being”</b> for <b>at least 2 of the fishery ecosystem types</b></p> <p>O3.T.P/SRI2</p> <p><b>(Target A - PI)</b> In both the CLME and NBSLME, covering the ecosystem types “coral reefs and associated systems” and “continental shelf” and involving <b>at least 5 countries: measurable progress</b> at the intervention site level, for the first 3 elements of the GEAF: <b>arrangements in place; processes operational; and stakeholders involved</b></p> <p><b>(Target B – PI &amp; SRI)</b> medium to long-term <b>targets established</b> through interactive governance, and <b>measurable intermediate progress</b> for: <b>“stress reduction”</b> (habitat loss/degradation, community modification (invasives, over-</p>		

COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
			fishing), pollution inputs) <sup>160</sup> at at least 2 intervention sites;  (Target C – PI & SRI) medium to long-term targets established and measurable progress for: “socially just outcomes”, and “improved human well-being”, at at least 2 intervention sites		
<b>Output 3.1 (O3.1)</b>  Well-planned, progressive transition to an ecosystem approach for the Caribbean spiny lobster fisheries (demonstration at the sub-regional level)	<b>PI1. Formal long-term adoption of the Governance Effectiveness Assessment Framework (GEAF),</b> for the planning and M&E of progress towards environmental and socio-economic targets in the spiny lobster fisheries (EAF)  <b>PI2. Organizational mandates</b> cover full policy cycle; <b>arrangements are in place to facilitate enhanced participation of civil society &amp; private sector</b> actors, within a	<i>Most recent information on the status of P. argus across the Caribbean region indicate that it is being fully or overexploited throughout most of its range; however, the status could not be reliably estimated in some areas due to a lack of data.</i>  OSPESCA-CRFM MoU and Joint Action Plan; the plan includes spiny lobster fisheries management as priority issue requiring joint/coordinated efforts  WECAFC/OSPESCA/CRFM/CFMC spiny lobster working group	<b>T.PI1. (Milestone A) GEAF approach adopted</b> by key stakeholders (e.g. RFBs), by WECAFC Session 16; <b>(Milestone B) GEAF used to establish enhanced baseline values and EAF targets, within 12-18 months</b> of Sub-Project initiation <sup>162</sup> ; <b>(Target) process targets,</b> and (where applicable/feasible) stock and associated ecosystem & socio-economic <b>stress reduction and status targets systematically tracked and evaluated,</b> throughout the sub-project lifespan  <b>T.PI2. Clear organizational mandates and stakeholder roles in all policy cycle components,</b> and arrangement	<i>Standard</i> reporting practices/outputs <sup>163</sup>  Minutes (incl. participants lists) from meetings of WECAFC, CRFM, OSPESCA, CFMC, spiny lobster and IUU working group  Press articles, official closed season announcements  Sub-Project progress reports, including updated governance assessments (architecture,	Assumption: Countries & regional organisations adopt the ecosystem approach

<sup>160</sup> These will be expected to be aligned with existing global/(sub-)regional commitments/targets & timelines (e.g. CBD and relevant Aichi Targets; Caribbean Challenge Initiative; Cartagena Convention LBS and SPAW Protocols,...see also the corresponding output under this Component, and the GEF IW tracking tool for more info)

<sup>162</sup> Stock targets, and associated ecosystem and socio-economic/social justice targets

<sup>163</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
	<p>meaningful geographic scope</p> <p><b>SRI1. Comprehensive package of stress reduction measures</b> (stock/socio-economic stressors, incl. IUU fishing and fishery-related human health hazards) within a meaningful geographic scope</p> <p><i>(a more detailed Spiny Lobster Sub-Project Results Framework is included in Annex 3 to the CLME+ Project Document)</i></p>	<p>Sub-regional spiny lobster management plan (OSPESCA countries only), can serve as basis for regional management plan</p> <p>Spiny lobster fishing closed season in many CLME+ countries, with largely synchronized implementation in OSPESCA countries, and other management measures adopted (incl. OSPESCA Spiny Lobster Fisheries Regulation OSP-02-09)</p> <p>Work on spiny lobster fisheries certification in several CLME+ countries (WWF, TNC,...)</p> <p>Enhanced understanding of spiny lobster stock/connectivity from recent, innovative research</p> <p>Findings from spiny lobster pilot and associated governance case studies under the CLME Project</p> <p><i>For more details on the baseline: see Section 1 and Annex 3</i></p>	<p>in place to facilitate interactive governance <b>in at least the key range countries of the south central stock</b>, by SPE</p> <p><b>T.SRI1. (Target A) regional management plan adopted by end of Sub-Project Year 2; (Target B) Implementation of the simultaneous 4-month closed season in at least 6 of the 7 CLME+ OSPESCA Member States</b>, throughout the sub-project period; <b>(Target C) simultaneous or largely synchronized closed season in at least 60% of CLME+ countries</b> for which such measure is deemed meaningful (from a stock biology, and/or common market perspective), by SPE; <b>(Target D) coordinated measures against IUU</b>, tailored to spiny lobster fisheries and with due attention to socially just solutions, implemented <b>across the key range countries for the south central stock</b> by SPE; <b>(Target E) at least 8 countries from the CLME+ have adopted, and are implementing, a lobster traceability system by SPE</b>; <b>(Target F) aimed reduction in IUU spiny lobster fishing of at least 30% in min. 3 countries</b>, by SPE; <b>(Target G) aimed reduction in spiny lobster fisheries-related human health hazards of at least 30% in min. 1</b></p>	operationalization indicators)	

COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
			<p>country, by SPE; <b>(Target H)</b> at least 1 <i>on-site evaluation of alternatives to established fishing methods</i>, to enhance human well-being</p> <p><i>(a more detailed Sub-Project Results Framework, incl. additional, sub-project outputs and associated targets, is included in Annex 3)</i></p>		
<p><b>Output 3.2 (O3.2)</b></p> <p>Well-planned, progressive <i>transition to an ecosystem approach for the shrimp and groundfish (S&amp;GF) fisheries</i> of the NBSLME</p>	<p><b>PI1. Formal long-term adoption of the Governance Effectiveness Assessment Framework (GEAF)</b>, for the planning and M&amp;E of progress towards environmental and socio-economic targets (EAF) in the shrimp and groundfish fisheries in the NBSLME</p> <p><b>PI2. Organizational mandates</b> cover full policy cycle; <b>arrangements are in place to facilitate enhanced participation of civil society &amp; private sector</b> actors, within the</p>	<p><i>Most recent information on the status of the most important commercially fished shrimp &amp; groundfish species on the NBSLME indicate fully exploited to overexploited stocks; however, data coverage, quality and availability (access) is acknowledged to remain deficient; with the exception of the recently re-established shrimp &amp; groundfish working group, no transboundary governance arrangements specific to the S&amp;GF fisheries in place in the NBSLME</i></p> <p>WECAFC/CRFM/IFREMER shrimp &amp; groundfish working group</p> <p>2 FIPS, 1 national MSC-certified fishery</p>	<p><b>T.PI1. (Milestone A) GEAF approach adopted</b> by relevant stakeholders (e.g. WECAFC, CRFM,...) by WECAFC Session 16; <b>(Milestone B)</b> GEAF used to establish <i>enhanced baseline values and EAF targets</i> within 12-24 months of Sub-Project initiation<sup>164</sup>; <b>(Target) process targets</b>, and (where applicable/feasible) <i>stock and associated ecosystem and socio-economic stress reduction and status targets systematically tracked and evaluated</i>, throughout the Sub-Project lifespan</p> <p><b>T.PI2. Clear organizational mandates &amp; stakeholder roles</b> in all policy cycle components, and <i>arrangement in place to facilitate interactive</i></p>	<p>Standard reporting practices/outputs<sup>166</sup></p> <p>Minutes (incl. participants lists) from meetings of WECAFC, CRFM, IFREMER, IUU working group,...</p> <p>Relevant press releases</p> <p>Sub-Project progress reports, including updated governance assessments (architecture, operationalization indicators)</p>	

<sup>164</sup> Stock targets, and associated ecosystem and socio-economic/social justice targets

<sup>166</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
	<p>geographic scope of the NBSLME</p> <p><b>P&amp;SRI1. Stress reduction measures</b> (stock/socio-economic stressors, incl. IUU fishing) <b>defined, agreed upon;</b> implementation of measures <b>demonstrated</b> within the NBSLME</p> <p><i>(a more detailed Shrimp &amp; Groundfish Sub-Project Results Framework is included in Annex 4 to the CLME+ Project Document)</i></p>	<p>Findings from S&amp;GF (and associated governance) case studies under the CLME Project</p> <p><i>For more details on the baseline: see Section 1 and Annex 4</i></p>	<p><b><i>governance, at both the transboundary and country-level (at least 3 countries),</i></b> by SPE</p> <p><b>T.P&amp;SRI1. (Target A - PI) regional EAF fisheries management plan (FMP)</b> developed &amp; adopted; <b>(Target B - PI) regional EAF action plan against IUU</b> adopted, <b><i>tailored to the NBSLME</i></b> and with due attention for socially just solutions; <b>(Target C - P) at least 50% of NBSLME countries with national EAF FMPs, with measures from the IUU R-POA mainstreamed</b> into these FMPs; <b>(Target D - SR) implementation of actions</b> under the FMPs <b><i>to combat IUU fishing initiated by at least 3 governments;</i></b> <b>(Target E - SR) civil society/private sector actions against IUU fishing</b> implemented <b><i>for at least 2 fisheries;</i></b> <b>(Target F - SR) aimed reduction of at least 25% of transboundary IUU activities<sup>165</sup> for a selected fishery, among at least 2 neighbouring countries,</b> by SPE</p> <p><i>(a more detailed S&amp;GF Sub-Project Results Framework, , incl. additional, outputs &amp; targets, is included under Annex 4)</i></p>		

<sup>165</sup> Where feasible, measures against IUU fishing will aim at being synergetic with the aim of reducing human hazards among fisherfolk (e.g. fisherfolk, weather-related hazards, etc.)

COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
<p><b>Output 3.3 (O3.3)</b></p> <p>Well-planned, progressive <i>transition to an ecosystem approach for the Eastern Caribbean flyingfish fisheries</i></p>	<p><b>PI1. Formal long-term adoption of the Governance Effectiveness Assessment Framework (GEAF),</b> for the planning and M&amp;E of progress towards environmental and socio-economic targets in the flyingfish fisheries (EAF)</p> <p><b>PI2. Organizational mandates</b> cover full policy cycle; <b>arrangements are in place to facilitate enhanced participation of civil society &amp; private sector</b> actors; solutions for remaining key weaknesses and gaps in transboundary governance arrangements</p> <p><b>P&amp;SRI1. National-level adoption of harmonized stress limiting/reducing measures</b> (stock/socio-economic stressors); <b>implementation initiated</b> within countries sharing</p>	<p><i>Available data indicates the eastern Caribbean flyingfish stock would currently not be over-fished, but risk of future collapse exists if adequate measures to sustainably manage the stock are not put in place; application of precautionary principle is required because of data gaps and data quality issues;</i></p> <p><i>Transboundary nature of the resource and trophic linkages with other economically &amp; ecologically important species demands for adoption of EAF approach;</i></p> <p>CRFM/WECAFC flyingfish fisheries working group;</p> <p>CRFM Ministerial Sub-Committee on flyingfish</p> <p>Sub-regional flyingfish fisheries management plan formally endorsed in 2014 (CRFM/CARICOM)</p> <p>Findings from flyingfish pilot and associated governance case studies under the CLME Project</p>	<p><b>T.PI1. (Milestone A) GEAF approach adopted</b> by relevant stakeholders (RFBs), by WECAFC Session 16; <b>(Milestone B) GEAF used to establish enhanced baseline values and EAF-based targets</b> within 12-18 months of Sub-Project initiation<sup>167</sup>; <b>(Target) process targets,</b> and (where applicable/feasible) towards <b>stock and associated ecosystem and socio-economic stress reduction and status targets, periodically tracked and evaluated</b></p> <p><b>T.PI2. (Target A) Arrangement(s) for full involvement of French Overseas Territories</b> in flyingfish management <b>in place</b> by SPE; <b>(Target B) Enhanced knowledge &amp; information base</b> to support fine-tuning, adoption and implementation of EAF management measures, by SPE</p> <p><b>T.P&amp;SRI1. (Milestone - P) Revised and enhanced sub-regional plan finalized/approved by SPE;</b> <b>(Target A – P &amp; SR) Stress reduction/limiting measures, identified</b> under the sub-regional and national plans, and</p>	<p>Standard reporting practices/outputs<sup>168</sup></p> <p>Minutes from meetings of WECAFC, CRFM, flyingfish and IUU working group,...</p> <p>Sub-Project progress reports, including updated governance assessments (architecture, operationalization indicators)</p> <p>Sub-regional Fisheries Management Plan</p> <p>National Fisheries Management Plans</p> <p>Sub-Regional Flyingfish Fisheries Management Plan</p> <p>National Fisheries Management Plans adopt EAF approach to flyingfish fisheries</p>	<p>Assumption: Countries &amp; regional organisations adopt the ecosystem approach</p>

<sup>167</sup> Stock targets, and associated ecosystem and socio-economic/social justice targets

<sup>168</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

**COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS**

Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
	<p>the Eastern Caribbean stock</p> <p><i>(a more detailed Flyingfish Sub-Project Results Framework is included in Annex 5 to the CLME+ Project Document)</i></p>	<p><i>For more details on the baseline: see Section 1 and Annex 5</i></p>	<p><b>initiated in at least 2 countries</b>, by SPY4; <b>(Target B - SR)</b> implementation of <b>management plan measures in at least 4 countries participating in the fishery by SPE</b>; <b>(Target C - SR)</b> Vessel registry system implemented in <b>at least 1 country, by SPE</b>; <b>(Target D - SR)</b> <b>at least 1 business case for enhanced livelihoods, with special attention to the role of women</b>, developed and tested, by SPE; <b>(Target E – sP &amp; SR)</b> <b>fishery remains its status of “not over-fished”</b> at SPE; <b>management plans/measures in place that will allow to maintain this status in the medium- to long-term</b></p> <p><i>(a more detailed Sub-Project Results Framework, incl. additional outputs &amp; targets, is included in Annex 5)</i></p>		
<p><b>Output 3.4 (O3.4)</b></p> <p>Demonstrating the <b>transition to an Ecosystem-Based Management (EBM) approach</b> at the sub-regional/site level in the CLME+, with special</p>	<p><b>PI1. Experimental adoption of the Governance Effectiveness Assessment Framework (GEAF)</b> at the CLME+ intervention sites, for the planning and M&amp;E of progress towards</p>	<p><i>For more details on the baseline: see Section 1</i></p>	<p><b>T.PI1. (Milestone A) GEAF approach adopted</b> by relevant stakeholders, for the different intervention sites;</p> <p><b>(Milestone B)</b> GEAF used to establish <b>enhanced baseline values and EBM targets</b> (process, stress reduction</p>	<p>Standard reporting practices/outputs<sup>170</sup></p>	<p>Assumption: Countries &amp; regional organisations adopt the ecosystem approach</p>

<sup>170</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals



**COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS**

Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
<p>attention to the integration with Output 3.2 in the case of the NBSLME sub-region</p>	<p>environmental (habitats, pollution), fish stock and socio-economic targets*</p> <p>(*intervention sites &amp; targets to be defined through a participatory approach)</p> <p><b>PI2. Organizational mandates</b> cover full policy cycle; <b>arrangements are in place to facilitate enhanced participation of civil society &amp; private sector</b> actors;</p> <p><b>SRI1. Implementation of stress limiting/reducing measures</b> (ecosystem/socio-economic stressors) demonstrated</p> <p><i>(a detailed EBM Sub-Project Results Framework will be developed following a participatory approach, during the project inception phase)</i></p>		<p>and environmental &amp; socio-economic status indicators)<sup>169</sup>;</p> <p><b>(Target)</b> systematic M&amp;E of targets set under Milestone B, throughout the sub-project's lifespan</p> <p><b>T.PI2. Clear organizational mandates &amp; stakeholder roles</b> in all policy cycle components, and <b>arrangement in place to facilitate interactive governance, at both the transboundary and country-level (at least 3 countries)</b>, by SPE</p> <p><b>T.SRI1. (Target) at least 3 intervention sites</b> where a <b>comprehensive package of measures</b> is <b>under implementation that deals simultaneously with at least 5 of the following elements: (i)</b> habitat protection, <b>(ii)</b> habitat restoration; <b>(iii)</b> promotion of sustainable fishing practices; <b>(iv)</b> elimination of harmful fishing practices (e.g. measures against IUU, protection of grazer species); <b>(v)</b> measures to control pollution; <b>(vi)</b> measures to mitigate the impacts from pollution on marine habitats; <b>(vii)</b> control/mitigation of impacts from invasive species; <b>(viii)</b> enhanced resilience towards impacts of climate</p>		

<sup>169</sup> Stock targets, and associated ecosystem and socio-economic/social justice targets

COMPONENT 3: IMPLEMENTATION OF EBM/EAF INCLUDING THROUGH REPLICATION OF BEST PRACTICES AND THE UP-SCALING OF EARLY RESULTS, AND DEMONSTRATION OF IMPROVED/ALTERNATIVE LIVELIHOODS					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>155</sup>	Milestones & Project Targets (SPY = Sub-Project Year; SPE = Sub-Project End)	Source of verification (SoV)	Risks and Assumptions <sup>156</sup>
			change; <b>(ix)</b> sustainable financing; <b>(x)</b> enhanced/alternative livelihoods, social justice (with special attention to the role of women and minority groups)  <i>(a detailed Sub-Project Results Framework will be developed following a participatory approach, during the Project Inception Phase)</i>		
<b>Output 3.5 (O3.5)</b>  Modest <i>small grants support for the implementation of C-SAP and/or P-SAP actions</i> (see Output 2.2) that will contribute to Outputs 3.1-3.4. (with special attention to livelihoods)	<b>PI1.</b> Number of <b>C-SAP/P-SAP actions supported/co-financed</b> ; clear linkages with the transition to EAF/EBM under Outputs 3.1-3.4.	A variety of small grants programmes and initiatives (SGPIs) exist in the CLME+; these were typically developed in disconnection from the CLME+ SAP  A “small grants reserve” under the CLME+ Project will contribute to enhanced ownership of civil society and/or private sector stakeholders over Outputs 3.1-3. 4.  <i>For more details on the baseline: see Section 1</i>	<b>T.PI1. (Target A) At least 1 initiative under the C-SAP, and at least 1 initiative under the P-SAP co-financed; (Target B) both actions linked to, and supportive of at least 2 other Outputs under this Project Component</b>	<i>Standard reports</i> <sup>170</sup>  Reports from the Sub-Projects  Grant documents; reports from the grants coordination mechanism established under Output 2.2	

COMPONENT 4: (PRE-)FEASIBILITY ASSESSMENTS TO IDENTIFY MAJOR HIGH-PRIORITY INVESTMENT NEEDS AND OPPORTUNITIES IN THE CLME+ REGION					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>171</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>172</sup>
<b>OUTCOME 4</b>  Financing catalysed for the up-scaling of priority actions for the protection of the marine environment and for ensuring sustainable, climate-resilient livelihoods and socio-economic development from sLMR use	<b>PI1. Investments planned to substantially reduce environmental stressors during the next decade; indication of the (anticipated) source of the financial resources</b>  <b>PI2. Substantial reduction of key environmental stressors projected</b> at the regional level; projected time-frame	Current investments are too small-scale or too disconnected to halt & reverse environmental degradation in the CLME+  Some recent bigger-scale initiatives, but at the sub-regional level(s) only  Lack of baseline evaluation of the real magnitude of the needs  <i>For more details on the baseline: see Project Document Section 1 as well as the COMPONENT 4 Outputs</i>	<b>T.PI1. Plans to up-scale investments to address min. 2 of the priority problems identified under the TDA's, available by PE; contributions from all societal sectors secured:</b> governments, private sector, civil society, development banks & international donor community  <b>T.PI2. Projected reduction of 30% for key stressors (where applicable/needed), to be achieved within a 10-year period<sup>173</sup></b>	<i>Standard reporting practices/outputs</i>  <i>Component 4 Outputs and their associated Targets and SoV</i>	<u>Assumption:</u> Sufficient data and information available to inform the development of transboundary investments plans  <u>Risk:</u> Insufficient funds available to develop meaningful investment plans to address identified transboundary issues
<b>Output 4.1 (O4.1)</b>  <i>(Pre-)feasibility reports on major investment needs and opportunities (incl. budget estimates, scope of work, private sector involvement, potential benefits and required timescales)</i>	<b>PI1. Number of baseline and feasibility assessments</b> delivered + timeframe for delivery  <b>PI2. Climate change, gender considerations and ecosystem valuations mainstreamed</b> in each analysis	Existing studies/analyses, globally <sup>174</sup> , or locally within the CLME+ (pilot studies, incl. those from the CLME Project)  Preliminary GPO work on pollution in the Caribbean; existing ecosystem goods & services valuations for the Caribbean <sup>175</sup> ; existing climate change projections & impacts analyses <sup>176</sup>	<b>T.PI1. (Milestone)</b> At least 1 baseline & (pre-)feasibility report available by PMT; <b>(Target) Feasibility Assessments for at least 2 priority problems,</b> available by PE  <b>T.PI2.</b> Proposed solutions are fully reflective of ecosystem values, climate change and gender considerations	Baseline & assessment reports (permanent digital records), incl. section describing assessment methodology and results (robustness, resilience)  <i>Standard reporting tools<sup>177</sup></i>	<u>Assumption:</u> Sufficient data can be assembled to support the baseline & (pre-)feasibility assessments (incl. cost-benefit analyses)  <u>Risk:</u> data quality/coverage/access issues cause large error margins for certain areas

<sup>171</sup> Even when not explicitly mentioned, the endorsed CLME+ SAP constitutes part of the baseline for all outputs in this Project Results Framework

<sup>172</sup> See also Section 2.5 of the Project Document

<sup>173</sup> percentages are preliminary/indicative only, final percentages will need to be evaluated, case by case and in coordination with stakeholders, during Project implementation (function of desired, science-backed and politically supported long-term targets)

<sup>174</sup> See e.g. [www.globalpartnershipforoceans.org/habitat-working-group](http://www.globalpartnershipforoceans.org/habitat-working-group)

<sup>175</sup> See e.g. [www.marineecosystemservices.org/databases](http://www.marineecosystemservices.org/databases); [www.wri.org/our-work/project/coastal-capital-economic-valuation-coastal-ecosystems-caribbean](http://www.wri.org/our-work/project/coastal-capital-economic-valuation-coastal-ecosystems-caribbean); [www.teebweb.org/](http://www.teebweb.org/); etc.

<sup>176</sup> See e.g. <http://www.ipcc.ch/report/ar5/wg2/>; <http://www.caribbeanclimate.bz/>; etc.

<sup>177</sup> PIRs, Steering Committee Meeting & Executive Group meeting reports, MTE report, TE report, meetings + meeting reports of regional governance bodies, CLME+ partners, project website

COMPONENT 4: (PRE-)FEASIBILITY ASSESSMENTS TO IDENTIFY MAJOR HIGH-PRIORITY INVESTMENT NEEDS AND OPPORTUNITIES IN THE CLME+ REGION					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>171</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>172</sup>
<p><b>Output 4.2 (O4.2)</b></p> <p><i>Investment plans</i> (incl. specifications for private sector and civil society involvement) to deal with key issues identified under the CLME TDAs<sup>178</sup></p>	<p><b>PI1. Number of SAP-related investment plans,</b> and timeframe for implementation. Number and description of <b>key issues dealt with</b>, and expected beneficiaries of the investment plans</p> <p><b>PI2. Level of stakeholder endorsement/buy-in</b></p> <p><b>PI3. Level of financing committed for the short-term initiation</b> of highest-priority investments</p> <p><b>PI4. Amount of potential financing &amp; identified sources,</b> for the implementation of the CLME+ investment plans</p> <p><b>PI1P. Projected levels of reduction for key stressors,</b> at national/regional levels</p>	<p>To date, no investment plans exist in the CLME+ region that: use the LME perspective, are aligned with the priority actions outlined in the SAP, and seek to involve both the private sector and civil society</p>	<p><b>T.PI1. At least two</b> public &amp; private sector <i>investment plans, addressing both LMEs</i>, with investments in at least 40% of the CLME+ countries, <i>developed</i> by PE. The plans seek to <i>facilitate larger infrastructure loans and investments to address at least 2</i> of the following <i>SAP priorities</i>:</p> <ul style="list-style-type: none"> <li>• Habitat protection/restoration</li> <li>• Pollution prevention/mitigation</li> <li>• Sustainable fisheries</li> </ul> <p><b>T.PI2. Formal approval of at least 2 plans</b> by the beneficiaries (countries /stakeholder representatives) by PE</p> <p><b>T.PI3. At least USD 25 million committed</b> by end of PY4, <i>to initiate implementation</i> during PY5</p> <p><b>T.PI4. Potential financing sources identified for at least 33% of the required budgets,</b> by PE</p> <p><b>PI1P. Projected reduction</b> at national/regional levels<sup>179</sup> <i>for key stressors: 15% and 30% within</i> resp. the initial 5, and <b>10 years of implementation</b><sup>180</sup></p>	<p><i>Standard</i> reporting practices/outputs<sup>177</sup>, in particular Final Project Steering Committee minutes, and/or minutes from relevant Regional Governance Bodies</p> <p>Investment plans (technical documents; permanent digital records)</p>	<p><u>Assumption:</u> CLME+ countries and partner organisations are committed to contributing to the development of the investment plans</p> <p><u>Assumption:</u> Pre-feasibility studies are successful at confirming priority investments and scope of work</p> <p><u>Risk:</u> The countries are not in support of the investment plans developed as part of the CLME+ Project</p> <p><u>Risk:</u> International donors may have other investment priorities and are unable to commit to investments plans</p>

<sup>178</sup> The investment plans to be developed under this output will detail the planned/confirmed investments that emanate from the more generic results of the pre-feasibility studies undertaken as part of Output 4.1.

<sup>179</sup> As applicable: will depend on the specifications under the plans, in terms of their geographic focus

<sup>180</sup> percentages are preliminary, final values will need to be evaluated with stakeholders during Project implementation (function of desired, science-backed & politically supported long-term targets)

COMPONENT 5: MONITORING & ASSESSING PROGRESS OF AND RESULTS FROM THE OVERALL IMPLEMENTATION OF THE CLME+ SAP, AND EXPERIENCE SHARING WITH THE GLOBAL LME PRACTITIONERS COMMUNITY <sup>181</sup>					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>182</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>183</sup>
<b>OUTCOME 5</b>  Regional socio-economic benefits and Global Environmental Benefits from SAP implementation are maximised through enhanced collaboration, planning & adaptive management, and exchange of experiences and lessons learnt	<b>PI1. enhanced coordination and collaboration</b> among sLMR programmes, projects and initiatives in the region  <b>PI2. optimised, adaptive management</b> of sLMR-related projects and initiatives in the region  <b>PI3. exchange of best/good practices and lessons learnt</b> among the global LME Community of Practice (CoP)	More than 100 regional and sub-regional initiatives dealing with sLMR in the CLME+  Politically endorsed CLME+ SAP provides platform for enhanced coordination and collaboration  Over-arching M&E mechanism needed to enhance planning, and to track & evaluate progress, at the LME level  <i>For more details on the baseline: see Project Document Section 1 as well as the COMPONENT 5 Outputs</i>	<b>T.PI1. (Target A) CLME+ Partnership includes the vast majority of CLME+ countries and (sub)regional organizations</b> with a formal mandate or work programme relevant to the SAP; <b>(Target B) by PE, total investment in support of SAP implementation valued at ≥ 25 times the size of the CLME+ GEF grant</b>  <b>T.PI2. CLME+ SAP M&amp;E mechanism in place</b> to track & evaluate progress and to enhance performance and strategic decision-making  <b>T.PI3. Key messages</b> on SAP implementation <b>exchanged and disseminated</b> among CLME+ stakeholders and global LME COP	<i>Standard reporting practices/outputs<sup>184</sup></i>  <i>Component 5 Outputs and their associated Targets and SoV</i>	<u>Assumption:</u> CLME+ outcomes successfully achieved and best practices shared with the global LME community  <u>Risk:</u> Global Environmental Benefits not realised under the CLME+ Project
<b>Output 5.1 (O5.1)</b>  <b>Cooperation</b> (incl. through formal and/or informal frameworks and partnerships) <b>among development partners,</b>	<b>PI1. Number of independent countries</b> that actively participate in SAP implementation  <b>PI2. Number of dependent territories</b> that actively	CLME+ SAP signed by 31 Ministers, representing 21 GEF-eligible and 1 non-eligible countries; CLME+ PIF endorsed by GEF OFPs from 21 countries  Inventory during PPG phase of existing programmes, projects and initiatives	<b>T.PI1. Active involvement of min. 70% of CLME+ countries in Project and SAP implementation,</b> by PMT; <b>further up-scaled to 90% by PE</b>	SAP endorsement letters; CLME+ support letters from GEF OFPs	<u>Assumption:</u> There is full support of the CLME+ Partnership arrangement by CLME+ Stakeholders  <u>Assumption:</u> CLME+ stakeholders are committed

<sup>181</sup> As a minimum, 1% of the GEF grant is to be allocated towards IW:LEARN activities, such as participation in IWCs and other learning exchanges, website development and maintenance, Results Notes, Experience Notes, etc.

<sup>182</sup> Even when not explicitly mentioned, the endorsed CLME+ SAP constitutes part of the baseline for all outputs in this Project Results Framework

<sup>183</sup> See also Section 2.5 of the Project Document

<sup>184</sup> PIRs and MTE & TE reports; meeting reports from Steering Committee & Project Executive Group, regional governance bodies and other project partners; project website and SAP M&E portals

COMPONENT 5: MONITORING & ASSESSING PROGRESS OF AND RESULTS FROM THE OVERALL IMPLEMENTATION OF THE CLME+ SAP, AND EXPERIENCE SHARING WITH THE GLOBAL LME PRACTITIONERS COMMUNITY <sup>181</sup>					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>182</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>183</sup>
<i>programmes, projects, initiatives (PPIs) and countries/territories</i> with a stake in the SAP (“ <i>CLME+ SAP Partnership</i> ”)	<p>participate in SAP implementation</p> <p><b>PI3. Number (and name) of organizations and development partners</b> that actively cooperate with SAP implementation, with indication of number of: governmental, civil society and private sector partners</p> <p><b>PI4. Number of PPIs</b> formally/informally linked to, and actively coordinating/collaborating on actions related to the CLME+ SAP</p> <p><b>PI5. Amount (and source) of co-financing declared/leveraged</b>, linked to SAP implementation</p>	<p>(PPIs) relevant to the SAP, and being implemented by donors, regional and sub-regional organisations and CLME+ countries; results in basic database</p> <p>(Preliminary) stakeholder inventories conducted under PPG (incl. Caribbean Marine Atlas – CMA2 inception workshop)</p> <p>CLME+ implementation partnerships (incl. co-financing commitments) confirmed during PPG phase with: UNDP, FAO-WECAFC, UNEP CEP, IOC of UNESCO CRFM, OSPESCA, CANARI, UWI-CERMES, NOAA, OECS, GCFI</p> <p>Prospective talks on partnerships during PPG phase with: TNC, WWF, CI, IUCN (BIOPAMA), Caribsave, Smithsonian, UNEP ROLAC, CCAD, CCCC, CARPHA, IMO, World Bank, a.o.; Declarations of Intent from TNC, WWF, CI, CCAD</p> <p>Prospective talks with dependent territories</p>	<p><b>T.PI2. Active involvement of min. 33% of CLME+ dependent territories</b> in Project &amp; SAP implementation by PE</p> <p><b>T.PI3. Active participation of at least 12 organizations with mandates highly relevant<sup>185</sup> to the SAP</b>, by PMT. <b>Formal commitments from/active participation by major civil society and private sector partners: combined, at least 8, resp. 13 partners by PMT and PE</b></p> <p><b>T.PI4. (Milestone)</b> at least 15% of identified PPIs are actively engaged in SAP implementation by PMT. <b>(Target) At least 30% of PPIs identified in database have been actively engaged in coordinated implementation of the SAP</b>, by PE</p> <p><b>T.PI5.</b> Coordination of PPIs towards SAP implementation results in a <b>total “portfolio”/investment value of at least USD 180 million by PMT, and of USD 350 million by PE</b></p>	<p>Co-financing commitment letters; co-financing reporting documents</p> <p>Partnership MoUs + practical proof of collaboration: website logos, joint publications, inter-linked websites &amp; data portals, etc.</p> <p>PPI database &amp; its periodic updates</p> <p><i>Standard reporting practices/outputs<sup>186</sup></i></p>	<p>to supporting CLME+ SAP implementation after the end of the CLME+ Project</p> <p><u>Risk:</u> Countries, regional organisations, NGOs and donors are unwilling to be part of the CLME+ Partnership</p> <p><u>Risk:</u> Failure to adopt co-operation frameworks</p>
Output 5.2 (O.5.2)	<b>PI1. Framework, approaches and/or protocols for the joint M&amp;E</b>	No such over-arching mechanism/coordinated efforts exist within the CLME+ region; some “baseline elements”	<b>T.PI1. CLME+ indicator sets, monitoring approaches and/or protocols</b> adopted (incl. assignment	<i>Standard reporting practices/outputs<sup>186</sup></i> ; incl. long-term strategies and	<u>Assumption:</u> Stakeholders recognize and value benefits of monitoring and

<sup>185</sup> see UWI-CERMES Technical Report Nr 60 (Mahon *et al.*, 2013)

<sup>186</sup> PIRs, Steering Committee Meeting & Executive Group meeting reports, MTE report, TE report, meetings + meeting reports of regional governance bodies, CLME+ partners, project website

COMPONENT 5: MONITORING & ASSESSING PROGRESS OF AND RESULTS FROM THE OVERALL IMPLEMENTATION OF THE CLME+ SAP, AND EXPERIENCE SHARING WITH THE GLOBAL LME PRACTITIONERS COMMUNITY <sup>181</sup>					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>182</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>183</sup>
A prototype <b>CLME+ ecosystem status and SAP implementation M&amp;E mechanism</b>	<p>of progress towards goals &amp; objectives <i>of the CLME+ SAP</i></p> <p><b>PI2. Outline of SAP implementation M&amp;E and “State of the Marine Ecosystems and shared Living Marine Resources in the CLME+” web portal(s) and report(s)</b></p> <p><b>PI3. Sustainability Strategy</b> for the periodic updating of the report/portals beyond the CLME+ Project’s lifespan (i.e. long-term adoption the of TDA/SAP approach, incl. its mainstreaming into regional governance and reporting processes)</p>	<p>on which CLME+ activities will build include:</p> <p>Basic draft proposal for (part of) the SAP M&amp;E framework as annex in CLME+ SAP document</p> <p>Relevant elements of logframes of those PPIs that are known/expected to contribute to the objectives of the CLME+ SAP</p> <p>Existing work in CLME+ region on Ocean Health Index (incl. OHI indicator framework)</p> <p>Existing reporting obligations under relevant international conventions, incl. preliminary work on SOCAR under the LBS Protocol of the Cartagena Convention</p> <p>Example “State of” reports from other regions</p> <p>GEF IW tracking tool</p>	<p>of long-term responsibilities) by at least 33% of the members of the “CLME+ Partnership”, incl. all members of the interim SAP coordination mechanism<sup>187</sup>, by PMT</p> <p><b>T.PI2. Table of Content for the “State of...CLME+” report and structure for the (network of) web portal(s)</b> developed and adopted by all contributing parties (incl. all members of the interim SAP implementation coordination mechanism), by PMT</p> <p><b>T.PI3. CLME+ M&amp;E Sustainability Plan</b> approved and adopted by at least 60% of the key “State of...” contributors, by PE; responsibilities of contributors aligned and compatible with contributors’ formal mandates under the RGF and/or recognized long-term roles in the region<sup>188</sup></p>	<p>multi-annual work plans of relevant regional governance bodies</p> <p>Meeting reports; protocols/guidance documents</p> <p>Document describing “State of” and network of web sites/portals outline</p> <p>Document describing Sustainability Strategy/Plan</p>	<p>evaluation framework and are willing to contribute to its sustainability</p> <p><u>Risk:</u> Stakeholders are unable to reach agreement on the structure of the <i>State of the Marine Ecosystems and shared Living Marine Resources in the CLME+ web portal(s)</i></p>
<b>Output 5.3 (O.5.3)</b>	<b>PI1. CLME+ Project website(s)</b> online and with	CLME Project (GEF ID 1032) website IMS/REMP pilot, CLME Project	<b>T.PI1. (Milestone) Project website(s)</b> with relevant content & functionality online by end of PY1; project after-	Standard reports <sup>186</sup>	<u>Assumption:</u> Willingness to make continued investment

<sup>187</sup> For more information on the interim SAP coordination mechanism: see Output 1.1 (*Target T.PI5*), as well as Section 5.2 of this Project Document

<sup>188</sup> Measures will be taken to ensure that CLME+ countries and regional organisations have the systems in place, including the funds and the political will, to continue to monitor & assess the impact of CLME+ Project investments after the project closure.

COMPONENT 5: MONITORING & ASSESSING PROGRESS OF AND RESULTS FROM THE OVERALL IMPLEMENTATION OF THE CLME+ SAP, AND EXPERIENCE SHARING WITH THE GLOBAL LME PRACTITIONERS COMMUNITY <sup>181</sup>					
Outcomes & Outputs	Indicator(s) (PI = process indicator; SRI = stress reduction indicator)	Baseline <sup>182</sup>	Milestones & Project Targets (PY = Project Year; PMT = Project Mid-Term; PE = Project End)	Source of verification (SoV)	Risks and Assumptions <sup>183</sup>
<b>Communication, twinning and knowledge exchange</b> activities targeting the CLME+ Partnership and global LME Community of Practice (COP)	<p>dynamic/periodically updated content</p> <p><b>PI2.</b> Inputs from CLME+ partners for the <b>CLME+ Ecosystem Status and SAP M&amp;E web portal(s)</b>, and <b>“State of...” report</b></p> <p><b>PI3.</b> <b>CLME+ Project represented at relevant events</b> of the GEF IW and Global LME COP</p> <p><b>PI4.</b> <b>CLME+ Experience Notes</b></p> <p><b>PI5.</b> Share of the CLME+ GEF grant <b>dedicated</b> to dissemination &amp; experience exchange linked to <b>IW:LEARN</b> or similar/related initiatives</p>	<p>SOCAR (State of Convention Area) reporting obligation under Cartagena Convention</p> <p>Work on Ocean Health Index (Conservation International), Fisheries Resources Monitoring System (FIRMS, FAO), Caribbean Observatory (IUCN-BIOPAMA), Caribbean Marine Atlas (IOC of UNESCO), TNC Geonode, etc., and other existing experiences globally</p> <p>CMA2-CLME+ planning meetings (2013, 2014)</p> <p>CLME experiences from previous IW twinning workshops, LME COP meetings, etc.</p>	<p>life plan by PE. <b>(Target) Dynamic content</b> (updated at least each 4 months) throughout Project implementation</p> <p><b>T.PI2.</b> Content developed &amp; online for <b>CLME+ Status and SAP M&amp;E web portal(s)</b> by PMT, and first “State of ....” report by at the latest PE</p> <p><b>T.PI3.</b> Active <b>participation of CLME+ in: 3 IW Conferences</b> (2015-17-19); min. 3 <b>LME Consultative Group Meetings</b>; min. 3 <b>IW:LEARN twinnings/exchanges</b>; min. 2 <b>regional IW:LEARN workshops</b></p> <p><b>T.PI4.</b> <b>(Target A) Min. 3 Experience Notes on SAP implementation, and 4 on EBM/EAF in the CLME+</b></p> <p><b>T.PI5.</b> <b>Min. 1% of CLME+ GEF grant dedicated to IW:LEARN-related dissemination, twinning &amp; exchange activities</b></p>	<p>Project website(s); site contents &amp; visitor statistics</p> <p>MoU’s with partners; sections of the CLME+ Status and SAP M&amp;E web portal(s) and web portal content &amp; partner logo’s reflective of SAP issues, their geographic scope, and of institutional mandates;</p> <p>“State of...” report, incl. contributors list</p> <p>Meeting/Workshop Reports and Conference Proceedings</p> <p>Permanent digital records (e.g. Experience Notes) (IW: LEARN website, and/or alternative sites)</p> <p>Co-financing reporting</p>	<p>in knowledge sharing amongst stakeholders</p> <p><u>Assumption:</u> Key project partners are willing to contribute material to the project website</p> <p><u>Risk:</u> Insufficient project funds available to allow for meaningful participation in the IW conferences and LME meetings</p> <p><u>Risk:</u> CLME+ Sub-Projects are not finalised in time to contribute to the development of the project Experience Notes</p>



## 4 Total Budget and Workplan

**Table 18. Budget allocations per Project Component, Budget Line and Project Year**

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Total (USD)	See Budget Note:
<b>OUTCOME 1 (COMPONENT 1)</b> as per the results framework): <b>Strengthening the institutional, policy and legal frameworks for sustainable and climate-resilient shared living marine resources governance in the CLME+ region</b>	UNOPS	62000	GEF	71200	International Consultants	126,236	126,236	159,486	150,258	126,236	688,452	c1.1
				71300	Local Consultants	21,778	21,778	33,618	45,456	45,456	168,086	c1.2
				71600	Travel	77,925	85,925	87,925	67,925	75,925	395,625	c1.3
				72100	Contractual services	267,462	172,462	257,150	123,337	125,837	946,248	c1.4
				72200	Equipment and Furniture	1,600	1,600	1,600	1,600	1,600	8,000	c1.5
				72500	Supplies	2,400	2,400	2,400	2,400	2,400	12,000	c1.6
				72800	Information Technology Equipment	960	960	960	960	960	4,800	c1.7
				73100	Rental and Maintenance	8,100	8,099	8,099	8,099	8,099	40,496	c1.8
				74500	Miscellaneous	2,160	2,160	2,160	2,160	2,160	10,800	
				<b>sub-total GEF</b>						<b>508,621</b>	<b>421,620</b>	<b>553,398</b>
<b>OUTCOME 2 (COMPONENT 2)</b> as per the results framework): <b>Enhancing the capacity of key institutions and stakeholders to effectively</b>	UNOPS	62000	GEF	71200	International Consultants	212,190	225,162	234,191	234,191	234,191	1,139,925	c2.1
				71300	Local Consultants	21,779	21,779	33,617	45,457	45,457	168,089	c2.2
				71600	Travel	79,975	54,003	54,975	49,975	19,975	258,903	c2.3
				72100	Contractual services	129,525	222,525	179,525	74,525	26,525	632,625	c2.4
				72200	Equipment and Furniture	1,600	1,600	1,600	1,600	1,600	8,000	c2.5

implement EBM/EAF in the CLME+				72500	Supplies	2,400	2,400	2,400	2,400	2,400	12,000	c2.6
				72800	Information Technology Equipment	960	960	960	960	960	4,800	c2.7
				73100	Rental and Maintenance	7,200	7,200	7,200	7,200	7,200	36,000	c2.8
				74500	Miscellaneous	2,160	2,160	2,160	2,160	2,160	10,800	
				sub-total GEF		457,789	537,789	516,628	418,468	340,468	2,271,142	
OUTCOME 3 (COMPONENT 3 as per the results framework): Piloting the implementation of EBM/EAF	UNOPS	62000	GEF	71200	International Consultants	154,463	154,463	154,463	154,463	154,463	772,315	c3.1
				71300	Local Consultants	65,336	65,336	71,256	77,175	77,175	356,278	c3.2
				71600	Travel	74,017	78,183	78,183	74,017	78,183	382,583	c3.3
				72100	Contractual services	641,283	856,617	759,367	848,533	330,617	3,436,417	c3.4
				72200	Equipment and Furniture	3,600	3,600	3,600	3,600	3,600	18,000	c3.5
				72500	Supplies	5,400	5,400	5,400	5,400	5,400	27,000	c3.6
				72800	Information Technology Equipment	2,160	2,160	2,160	2,160	2,160	10,800	c3.7
				73100	Rental and Maintenance	16,200	16,200	16,200	16,200	16,200	81,000	c3.8
				74500	Miscellaneous	4,860	4,860	4,860	4,860	4,860	24,300	
				sub-total GEF		967,319	1,186,819	1,095,489	1,186,408	672,658	5,108,693	
OUTCOME 4 (COMPONENT 4 as per the results framework): (Pre-)Feasibility studies to identify major high-priority investment	UNOPS	62000	GEF	71200	International Consultants	8,906	8,906	8,906	8,905	8,905	44,528	c4.1
				71600	Travel	2,000	2,000	2,000	2,000	2,000	10,000	c4.3
				72100	Contractual services	32,222	64,444	112,444	160,445	160,445	530,000	c4.4
				72200	Equipment and Furniture	400	400	400	400	400	2,000	c4.5
				72500	Supplies	600	600	600	600	600	3,000	c4.6

needs and opportunities in the CLME+ region				72800	Information Technology Equipment	240	240	240	240	240	1,200	c4.7	
				73100	Rental and Maintenance	900	900	900	900	900	900	4,500	c4.8
				74500	Miscellaneous	540	540	540	540	540	540	2,700	
				sub-total GEF		45,808	78,030	126,030	174,030	174,030	597,928		
OUTCOME 5 (COMPONENT 5 as per the results framework): Monitoring and assessing the overall implementation of the CLME+ SAP, and experience sharing with the global LME practitioners community	UNOPS	62000	GEF	71200	International Consultants	17,767	17,767	17,767	17,767	17,767	88,835	c5.1	
				71300	Local Consultants	-	-	29,598	59,196	59,196	147,990	c5.2	
				71600	Travel	70,000	76,000	86,000	54,000	74,000	360,000	c5.3	
				72100	Contractual services	100,000	105,000	70,000	55,000	60,000	390,000	c5.4	
				72200	Equipment and Furniture	800	800	800	800	800	4,000	c5.5	
				72500	Supplies	1,200	1,200	1,200	1,200	1,200	6,000	c5.6	
				72800	Information Technology Equipment	480	480	480	480	480	2,400	c5.7	
				73100	Rental and Maintenance	3,602	3,602	3,602	3,602	3,602	18,010	c5.8	
				74200	Audio Visual and Printing	7,000	10,000	22,000	25,000	24,732	88,732	c5.9	
				74500	Miscellaneous	1,080	1,080	1,080	1,080	1,080	5,400	c5.10	
				sub-total GEF		201,929	215,929	232,527	218,125	242,857	1,111,367		
Project management (This is not to appear as an Outcome in the Results Framework and should not exceed 10% of project budget)	UNOPS	62000	GEF	71200	International Consultants	103,912	106,507	114,962	113,117	108,312	546,810	pm1	
				71300	Local Consultants	21,779	21,779	33,618	45,457	45,457	168,090	pm2	
				71600	Travel	6,078	5,922	6,182	4,958	5,002	28,142	pm3	
				72100	Contractual services	23,410	28,421	27,570	25,237	14,068	118,706	pm4	
				72200	Equipment and Furniture	160	160	160	160	160	800	pm5	

			72500	Supplies	240	240	240	240	240	1,200	pm6
			72800	Information Technology Equipment	96	96	96	96	96	480	pm7
			73100	Rental and Maintenance	720	720	720	720	720	3,600	pm8
			74200	Audio Visual and Printing	140	200	440	500	495	1,775	pm9
			74500	Miscellaneous	79,056	49,476	47,436	45,396	45,396	266,760	pm10
			<b>sub-total GEF</b>		<b>235,591</b>	<b>213,521</b>	<b>231,424</b>	<b>235,881</b>	<b>219,946</b>	<b>1,136,363</b>	
<b>PROJECT TOTAL GEF FUNDS</b>					<b>2,417,057</b>	<b>2,653,708</b>	<b>2,755,496</b>	<b>2,635,107</b>	<b>2,038,632</b>	<b>12,500,000</b>	

#### Summary of Funds

Source	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Total (USD)
GEF	2,417,057	2,653,708	2,755,496	2,635,107	2,038,632	<b>12,500,000</b>
GEF Agency (UNDP)	1,123,915	623,916	623,916	123,916	123,916	<b>2,619,579</b>
Other IGOs	9,658,772	5,134,599	5,134,599	4,618,460	5,478,918	<b>30,025,349</b>
National Governments	28,081,957	18,352,466	17,227,608	17,227,608	17,227,608	<b>98,117,248</b>
CSOs	1,202,341	639,378	301,600	301,600	301,600	<b>2,746,519</b>
Academia	129,000	129,000	129,000	129,000	129,000	<b>645,000</b>
<b>Total</b>	<b>42,613,042</b>	<b>27,533,067</b>	<b>26,172,220</b>	<b>25,035,692</b>	<b>25,299,675</b>	<b>146,653,695</b>

## Budget Notes

- c1.1-c5.1** includes (i) the share of technical coordination/support activities in the total costs of senior Project Coordination Unit (PCU) staff, for the full duration of the 5-year project (regional project coordinator, senior project officer, stakeholder/communications specialist); (ii) other international consultants that will support delivery of Outputs 1.1 (Targets T.PI4 and T.PI5), 1.2, 1.3, 1.4, 1.5, 2.2, 2.3, 2.4, 4.1, 4.2, 5.2
- c1.2-c5.2** share of technical & operational support activities of local Project Coordination Unit (PCU) staff, for the full duration of the 5-year project (operations coordinator, operations assistant)
- c1.3-c5.3** includes: (i) approx. US\$ 500.000 in total for 3 project steering committee (PSC) and 5 project executive group (PEG) meetings (travel & allowances); (ii) approx. US\$ 113.000 in total to support better coordinated and synergetic meetings of key regional governance bodies, and to support better integration and alignment of CLME+ project processes with regional governance processes ((incremental) travel & allowances; cost-sharing arrangements); (iii) annual travel reserve of approx. US\$ 40.000/year to support CLME+ PCU representation in regional and relevant international meetings, to enhance and expand the CLME+ partnership and to leverage additional co-financing
- c.1.4-c5.4** includes: (i) approx. US\$ 166.000 in total for contractual services for 3 project steering committee (PSC) and 5 project executive group (PEG) meetings (e.g. hotel services, simultaneous translation services, etc.); (ii) approx. US\$ 57.000 in total for contractual services to support better coordinated and synergetic meetings of key regional governance bodies, and to support better integration and alignment of CLME+ project processes with regional governance processes (cost-sharing arrangements, incremental costs); (iii) approx. US\$ 16.000/year for translation of project materials (meeting documents, reports, plans, dissemination materials) (proportional contribution from each budget component proportional to component size)
- c1.5-c5.5** provision of approx. US\$ 40.000 for furniture & equipment for the CLME+ regional Project Coordination Unit
- c1.6-c5.6** provision of approx. US\$ 1.000/month for office supplies for the CLME+ regional Project Coordination Unit (60 months)
- c1.7-c5.7** IT equipment for the CLME+ regional Project Coordination Unit, approx. US\$ 24.000
- c1.8-c5.8** costs of project coordination unit office space (allocations to the different project component budgets, proportional to their overall share in the total project grant)
- c1.4** travel budget to support, e.g., Outputs 1.1. (esp. targets T.PI1, PI5 and PI6) and Outputs 1.4
- c1.5** includes co-executing arrangements with relevant governance bodies with formal mandates related to Outputs 1.1 and 1.3, plus independent analyses & development of proposals for permanent coordination mechanisms (Output 1.1) and financing mechanism for the regional governance framework (Output 1.5)
- c2.4-2.5** includes approx. US\$ 160.000 and US\$ 540.000 to cover resp. travel costs and contractual services (inter-agency agreements, grants agreements, contracts) associated to the delivery of the action plans (Output 2.1, IUU, habitats and pollution), the C-SAP and P-SAP, the development of the over-arching communication strategy with its central (PCU) and de-centralized components (project partners), the training plan and the organization (cost-sharing with siter projects) of training workshops
- c3.4** includes interagency agreements and grant agreements for the implementation of the CLME+ sub-projects: US\$ 950.000,00 for Sub-Project # 1 (EAF for spiny lobster fisheries); US\$ 950.000,00 for Sub-Project # 2 (EAF for shrimp & groundfish fisheries, NBSLME); US\$ 750.000,00 for Sub-Project # 3 (EAF for flyingfish fisheries); US\$ 510.000,00 for Sub-Project # 4 (EBM for CLME and NBSLME); US\$ 150.000,00 (small-grants support for the C-SAP and/or P-SAP. Project partners will include (a.o.): FAO-WECAFC, CRFM, OSPESCA, UNEP CEP
- c4.4** includes co-executing arrangements with (sub)-regional governance bodies for the development of the (pre-)feasibility studies and investment plans (e.g UNEP CEP, FAO-WECAFC,...)
- c5.2** includes costs (local consultant fees) for FUST/IOC of UNESCO Caribbean Marine Atlas (CMA2) – UNDP/GEF CLME+ liaison person; role of CMA2/CLME+ liaison person: coordinate the efforts (to be initiated under CMA2, 2014-2017) on the development of a CLME+ SAP decision-support/M&E platform (cost sharing: contribution from Flanders Unesco Science Trust Fund (FUST) will finance first 2.5-3 years; CLME+ contribution will cover consultancy fees during remaining part of CLME+ Project
- c5.3** includes separate budget provisions for: (i) GEF IWC8 (2015), IWC9 (2017) and IWC10 (2019) Conferences (1 PCU staff member & 2 country representatives), for annual LME LEARN meetings and for LME conferences, and –depending on ticket costs during next 5 years, possible for cost-sharing participation of CLME+ representative(s) at (regional) IW:LEARN twinning workshops; (ii) 4 regional workshops on the “SAP M&E” and “State of the Marine Ecosystems and associated Living Resources” portals (and Atlas/report)
- c5.4** includes development of CLME+ Project website, CLME+ SAP M&E portal and production of “State of the Marine Ecosystems and associated Living Resources” report
- c5.9** PCU budget for audiovisual and printing costs is allocated to Component 5: under the CLME+ Communication Strategy (with delegation of responsibility for its de-centralized components through the inter-agency and grant agreements under the different project components), the CLME+ PCU’s responsibility for the production of audio-visual and printed materials will mostly relate to Component 5, more specifically Output 5.3. (“state of the marine ecosystems” atlas/report; dissemination materials (incl. for the GEF IWC conferences); experience notes, etc.)
- c5.1-c5.10** the criterion that the project must allocate at least 1% of the GEF grant towards IW:LEARN activities is fully met
- pm1, pm 2** share of PCU staff costs allocated to project management services (versus technical/operational coordination & assistance)
- pm3-pm10** (project management services)
- pm10** includes locally managed direct costs (UNOPS WEC project management support)



## 5 CLME+ Project and CLME+ SAP coordination and management arrangements

### 5.1 CLME+ Project Coordination and Management Arrangements

The organizational structure for the coordination and management of the CLME+ Project is illustrated in Figure 17.

A Project Steering Committee (PSC) will be established and will carry out the function of a Project Board. The PSC will consist of country (beneficiary) representatives, the GEF Agency, the Executing Agency and the main Project Partners, other formal partners (“full members”), and observers. Care will be taken in this context as to ensure that the key stakeholder groups listed in

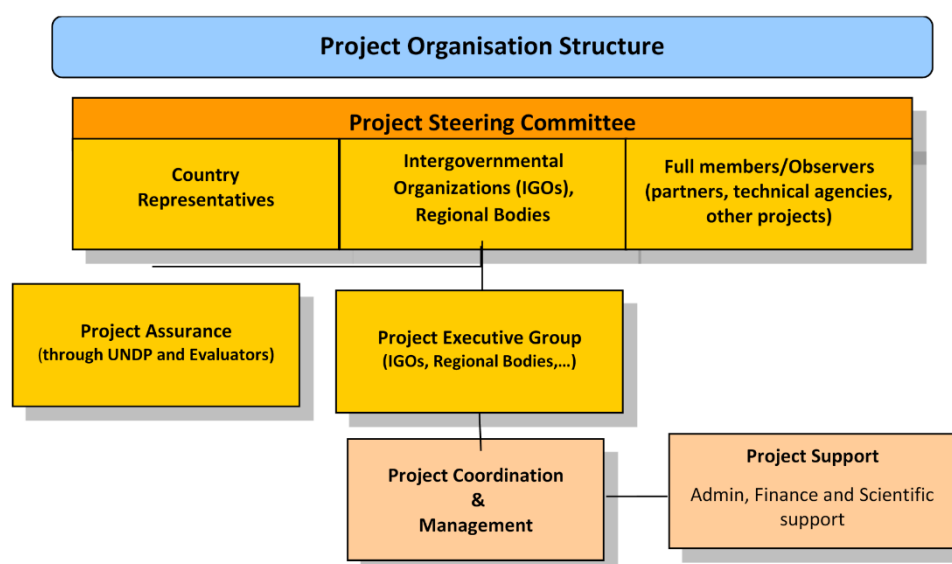
**Table 16** (page 143)<sup>189</sup> are represented on the CLME+ Project Steering Committee.

The main Project Partners (as further defined under Section 5.1.3), besides their representation on the PSC, will also sit on the separate Project Executive Group (PEG).

The Project Executive Group will coordinate and plan issues pertaining to the collaborative execution of the CLME+ Project, and will thus be expected to consist of representatives of the following organizations: the GEF Agency (UNDP), the Executing Agency (UNOPS), and the main partner UN Agencies and regional partners (e.g. the RGBs with a mandate for sLMR).

Project Assurance will occur through UNDP and independent evaluators (see also Section 6).

As the Executing Agency, UNOPS will establish the Project Coordination Unit (PCU). The PCU will be mandated to conduct the day-to-day coordination and management of the project. For this purpose, the PCU will receive administrative and financial management support from the WEC Cluster (GPSO) of UNOPS.



**Figure 17. Schematic representation of Project governance, management & coordination mechanisms**

<sup>189</sup> These stakeholder groups are: National governments; Inter-governmental Organisations (IGOs); Private Sector Companies and/or Associations; Academia and/or Research Institutes; Media; Multi- and Bilateral Organisations; Civil Society Organisations including associations of resource users

### 5.1.1 GEF Agency

The Project will be implemented by the United Nations Development Programme (UNDP/GEF), with substantive technical oversight provided by the Regional Technical Advisor (RTA) on Water and Oceans for Latin America and the Caribbean. As with the foundational project, UNDP/GEF HQ will serve as the Principal Project Resident Representative (PPRR).

### 5.1.2 Executing Agency (EA)<sup>190</sup>

The United Nations Office for Project Services (UNOPS), through the Water & Energy Cluster of the Global Partner Services Office (WEC-GPSO), will serve as the Executing Agency (EA) for the CLME+ Project. The EA will be responsible for, a.o., the following activities, required to achieve the project objectives, outputs and outcomes:

- project planning, coordination, management, monitoring and reporting
- procurement of goods and services, including human resources
- financial management, including overseeing financial expenditures against project budgets, as indicated in the Project Document and/or revised by the Project Coordination Unit and approved by the Project Steering Committee

The EA will ensure that all activities including procurement services are carried out in strict compliance with UNOPS rules and procedures as recognized by UNDP GEF.

The EA will be responsible for the establishment, adequate staffing and uninterrupted functioning, throughout the project's life span, of the regional Project Coordination Unit (PCU).

### 5.1.3 Project partners

Based on the formal long-term mandates and/or broadly recognized roles and comparative advantages of key (sub) regional institutions, UN and non-governmental organizations on matters relevant to the CLME+ Project and SAP, UNOPS will enter into a series of co-operation arrangements:

#### Responsible parties

Inter-agency arrangements will be further formalized during the Project Inception Phase with key UN system partners (through standard UN inter-agency agreements) including: the United Nations Environment Programme (UNEP CAR/RCU), the Food and Agricultural Organisation of the United Nation (FAO-WECAFC), and the Intergovernmental Oceanographic Commission (IOC) of UNESCO. Other, non-UN partners include intergovernmental and non-governmental organizations such as the Organization of the Fisheries and Aquaculture Sector of the Central-American Isthmus (OSPESCA/SICA), the Caribbean Regional Fisheries Mechanism (CRFM/CARICOM), the Caribbean Natural Resources Institute (CANARI), the Gulf and Caribbean Fisheries Institute (GCFI), the Centre for Resource Management and Environmental Studies (CERMES) of the University of the West Indies (UWI), OECS. Roles for these project partners will be in alignment with their formal mandates and/or comparative advantage. UNDP and UNOPS will manage the identification, selection and contracting of such implementation partners through established procedures.

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<sup>190</sup> Legally, the "Executing Agency" described under this section is referred to as "Implementing Partner" by UNDP (see Section 7)



### Additional implementation arrangements

Additional arrangements will be negotiated and formalized during the Project Inception and Implementation Phase, using similar criteria as those used for the pre-established arrangements referred to under the previous point.

These arrangements will be established with full consideration of the applicable UNDP and GEF principles and procedures, incl. cost-efficiency and effectiveness.

#### 5.1.4 Project Steering Committee (PSC)

A Project Steering Committee (PSC) will be established to oversee project execution and to ensure continued regional ownership. The PSC will provide overall strategic policy and management direction for the project and play a critical role in reviewing and approving the project planning & execution conducted by the PCU, the Executing Agency and the PEG members. In line with the adoption of an adaptive management approach, the PSC will review project progress, make recommendations and adopt the (biennial) project work plans and budget.

It is expected that three major (physical) meetings of the Steering Committee will take place during the project implementation period: (a) the Project Inception Meeting, (b) the Project Mid-Term Meeting, and (c) the Final Project Meeting. For this purpose, optimal alignment with both (a) the key elements of the GEF/UNDP framework for Project Monitoring & Evaluation (described under Section 6), and (b) the most relevant native regional governance processes (see Figure 15. Confirmed and anticipated timelines of planning processes and meetings of Regional Governance Bodies with mandates relevant to the CLME+ SAP) will be sought.

Whenever feasible, approval by the Steering Committee members of interim revisions (as applicable) of the biennial project work plans and budgets will be sought by electronic means, in order to optimize cost-efficiency of the project management arrangements.

Draft Terms of Reference (ToRs) for the CLME+ Steering Committee Meeting are included in Annexes. The draft ToRs will be reviewed (and revised, where needed or desired) at the CLME+ Inception Steering Committee Meeting.

The CLME+ Project Steering Committee is expected to be composed of:

- National Representatives from all participating States
- Representatives from the Dependent Territories within the CLME+ Region (France, Netherlands, United Kingdom, United States)
- Representative of the GEF Agency (UNDP)
- Representatives of the Executing Agency (UNOPS)
- Representatives of the Project Partners
- Representatives of key co-financing partners (CLME+ partnership members)
- *At least one (strategically appointed) representative of key stakeholder groups listed in*
- Table 16 (Section 2.11)

Additional stakeholder representatives from private sector, academia, CSOs, NGOs etc.<sup>191</sup> can be invited to become a member of the PSC during the project execution.

Other parties can be invited as observers to the Project Steering Committee Meetings, as deemed relevant and beneficial for the implementation of the CLME+ Project and SAP.

The CLME+ Project Coordination Unit will provide the Secretariat to the PSC.

At all times, the PSC's role will be functional within, and conform to the policies, conditions and regulations of the UN and the GEF.

#### 5.1.5 Project Executive Group (PEG)

A Project Executive Group (PEG) will be established during the project inception phase, to analyse, discuss and resolve, coordinate and plan issues pertaining to project execution (e.g. staffing, coordination, problem-solving,...), throughout the project's duration. PEG members will communicate and discuss specific aspects of the project's implementation, as required to ensure efficient and effective execution of the CLME+ Project. The PEG will be expected to meet physically at least once every year; possible additional interim meetings (where needed) will ideally be conducted via teleconference.

The PCU will serve as the Secretariat to the PEG. The membership of the PEG will include, but not necessarily be limited to: UNDP, UNOPS, UNEP CEP, FAO-WECAFC, CRFM, OSPESCA, IOC of UNESCO, CANARI, OECS and UWI-CERMES.

The PEG may decide upon additional memberships during the project's lifespan.

#### 5.1.6 Project Coordination Unit (PCU)

A Project Coordination Unit (PCU) will be established by UNOPS GPSO (WEC). The PCU will be responsible for the day-to-day coordination and oversight of the CLME+ Project. The PCU will further be responsible for the project's financial and administrative management<sup>192</sup>, for periodic reporting to the PEG and PSC, and for the (co)-execution of selected project activities.

The PCU will also work on the establishment, strengthening and expansion of the CLME+ Partnership (see Section 2.3.5), and on a mechanism to monitor and evaluate progress towards the objectives of the CLME+ SAP.

It is anticipated that the PCU will be staffed with the following core positions:

- Regional Project Coordinator (RPC)
- Senior Project Officer (SPO)
- Operations Coordinator & Finances Manager (OCFM)
- Operations & Financial Assistant (OFA)

In addition to this, the PCU operations will be supported by the following 2 specialists, of which it is currently expected that they will work from within the PCU's offices, under out-sourced contracts:

- Communications Specialist

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<sup>191</sup> as agreed by the PSC members of the PSC at the Inception Steering Committee Meeting, and with the possibility for periodic revisions

<sup>192</sup> with administrative support from the WEC team in Copenhagen, Denmark

- CMA2 liaison person<sup>193</sup>

Draft Terms of Reference (ToRs) for the key positions at the PCU are included in the Annexes to this document.

It is anticipated that the PCU will be hosted by IOCARIBE of the IOC of UNESCO (Cartagena, Colombia), the Offices of IOCARIBE, of IOC of UNESCO, in Cartagena, Colombia, giving continuation to the arrangements established with IOCARIBE during the CLME Project (GEF ID 1032).

### 5.1.7 National-level arrangements

At the national level, arrangements to oversee, support, contribute to, and harvest the results from the implementation of the CLME<sup>+</sup> Project will be expected to consist of:

- a formally appointed CLME<sup>+</sup> Project **National Focal Point**
- operational **National Inter-sectoral Consultation & Coordination Mechanism(s)**

#### The CLME<sup>+</sup> Project “National Focal Point” (NFP):

Given the role of the Project Steering Committee to provide *strategic policy and management direction*, and considering the project’s strategic role as a catalytic tool for the *implementation of the politically endorsed SAP*, it is recommended that - wherever feasible - the NFP appointed to the CLME<sup>+</sup> Project should hold a senior position within a relevant Ministry.

Complementing the appointment of a NFP with Sectoral Project Contacts among the different relevant ministries or institutions will be put to the consideration of the Steering Committee Members at the Inception Steering Committee Meeting. Such action can be part of the operationalization of national inter-sectoral consultation & coordination mechanism(s)

#### The “National Inter-sectoral Consultation & Coordination” (NIC) mechanism(s):

Under the adoption of the EBM/EAF approach, it is strongly recommended that inter-sectoral consultation and coordination becomes a well-established practice at both national and regional levels.

NICs are intended to promote effective inter-sectoral and inter-ministerial dialogue, and to provide input and undertake actions on matters pertaining to the implementation of the CLME<sup>+</sup> Project (and by extension the CLME<sup>+</sup> SAP – see also Section 5.2.2). Ideally, NICs and their members will also provide an interface with the supra-national governance processes relevant to the CLME<sup>+</sup> Project (e.g. Cartagena Convention, CBD, WECAFC STAC, RFB councils and working groups, etc.).

A national NIC mechanism can therefore consist of a single formally established body or arrangement, or multiple arrangements where the arrangement of choice, to be used in the context of any given matter relevant to the CLME<sup>+</sup> Project, may depend on the specific nature of the matter to be dealt with.

Depending on the baseline situation in each country, the use of existing and/or creation of new permanent mechanisms may be recommendable (where feasible) above the establishment of a

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<sup>193</sup> The CMA2 Liaison Person will ensure close coordination between the “Caribbean Marine Atlas – Phase 2” (CMA2) and CLME<sup>+</sup> Projects, especially in the context of the development of SAP M&E and “State of the ecosystems” portals and reports

project-specific mechanism (which then would cease to exist once the project ends). Advantages of the use of existing mechanisms can include: (a) avoidance of replication/overlap/dis-coordination; (b) increased chances for continuation of NIC operations beyond the CLME+ Project lifespan (continuation of NIC processes will be needed during the second half of the 10-year SAP implementation period).

Whilst the specific composition of the NIC(s) is to be determined by each country, it is anticipated that the NIC mechanism may include representatives from the following Ministries and/or Departments: Fisheries, Environment, Forestry, Foreign Affairs, Coast Guard, Statistics, Finances, and Tourism, amongst others. Participation of academia, private sector and civil society representatives in the NIC mechanisms will allow these sectors to more actively participate, and contribute to the achievement of the goal and objectives of the project and the SAP.

In order to support the enhanced operations of NICs, further guidelines (recommendations, best practices) are expected to be produced as a result of the activities under Project Output 1.2.

### 5.1.8 Alignment of project coordination & management with regional governance processes

In order to optimize the use of financial resources, to maximize the potential that substantial outputs and impacts from the CLME+ Project can be achieved within the project's 5-year implementation period, and to further ensure continuity of processes initiated under the project, due consideration has been given in the project's design to the alignment of project activities (incl. project meetings) with the established governance processes of those IGOs and native RGBs whose work programmes are most relevant to the CLME+ Project and SAP.

It is recognized however that - *adopting the concept of adaptive project management* - re-planning at the inception workshop (and during the project) may be needed in case unforeseen delays would produce in project inception (and execution).

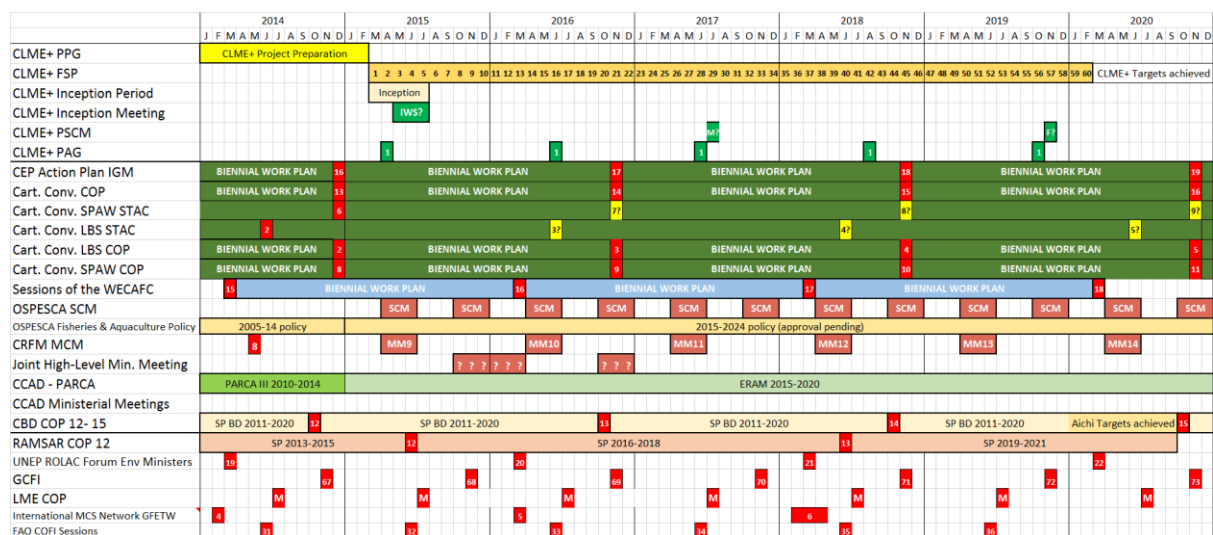


Figure 18. Consideration of the established governance processes of native RGBs, relevant to the CLME+ Project and SAP

## 5.2 Project support to CLME+ SAP implementation

### 5.2.1 Regional-level arrangements for SAP implementation

As part of the activities under CLME+ Project Component 1, **over-arching coordination arrangements for SAP implementation** are to be developed and formally adopted (see Section 2.3.1 and Section 3 - Targets O1.1.T.PI2-5).

Many of the (prospective) CLME+ PEG members are a part of the existing transboundary governance arrangements that currently support the management of shared living marine resources in the CLME+ region. These organizations constitute the basis for the enhanced, multi-level, nested Regional Governance Framework that the CLME+ Project will help to build. By extension these PEG members should thus also be involved, and take a lead in the coordination of the implementation of the SAP.

Giving consideration to the formal, long-term mandate of these organizations, it is recognised that coordinated implementation of the CLME+ SAP indeed needs to be anchored within and across these existing legal and institutional arrangements. As an initiative that aims at catalyzing the implementation of the SAP, the CLME+ Project therefore does not seek to duplicate the work of these existing mechanisms, but rather to further build upon, and assist in the strengthening of what is already in place.

It is therefore anticipated that the (membership of the) CLME+ Project Executive Group (PEG) can serve as the basis for these Interim SAP Implementation Coordination mechanisms, which are to be established under Project Output 1.1. The Project Inception Phase will evaluate if current PEG members should be supported in this role by additional key members from the CLME+ Partnership.

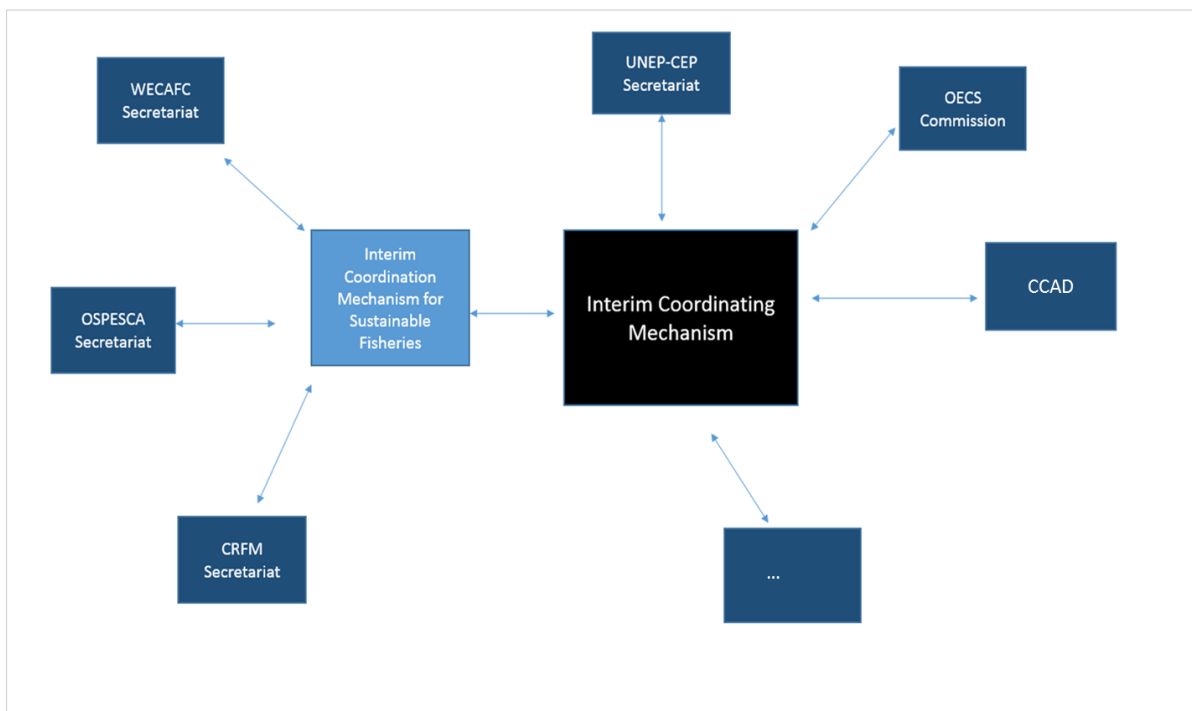
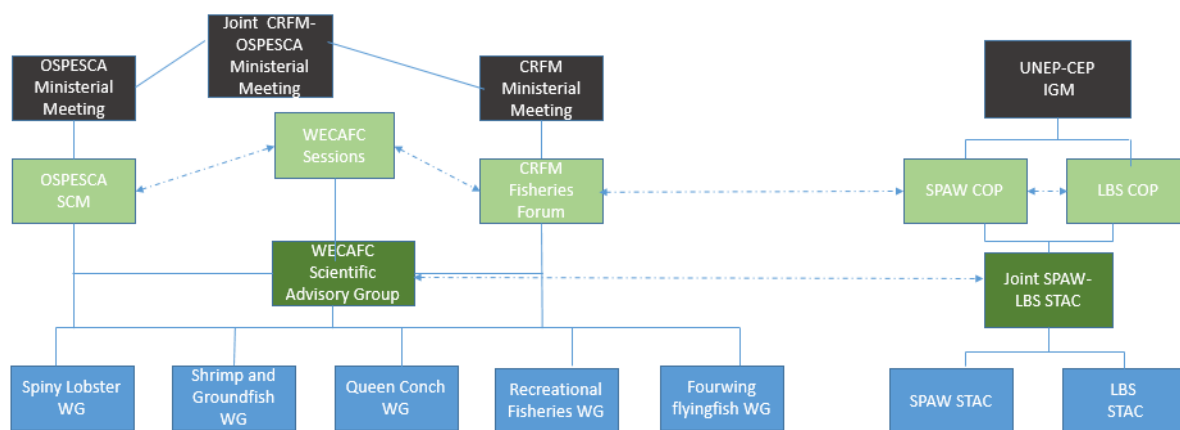


Figure 19. Schematic draft representation of the interim SAP Implementation Coordination Mechanisms

A first mechanism that is required under Output 1.1. is the Interim Coordination Mechanism for Sustainable Fisheries (Figure 19), to be established during the project inception phase and to be succeeded towards the end of the CLME+ Project by a formal long-term and region-wide arrangement for sustainable fisheries. During the project, the Interim Coordination Mechanism for Sustainable Fisheries will serve as the mechanism for collaboration and coordination amongst the Secretariats of the three Regional Fisheries Bodies.

A second mechanism aims at linking the coordination of fisheries policies and management-related actions under the CLME+ Project with those relating to the protection of the marine environment (e.g. actions against habitat degradation and pollution).

In addition to the adoption of the over-arching coordination arrangements, the establishment and operationalization of **coordination & execution mechanisms** tailored to more **specific fisheries and environmental problems** and aiming at full policy cycle implementation will be supported through project activities under especially (but not exclusively) Project Component 3. In this context, the CLME+ Project activities will be integrated within the work plans of the mechanisms detailed in Figure 20. For example, matters pertaining to the status of stocks of socio-economically important species such as the Caribbean spiny lobster, flyingfish, queen conch and shrimp and groundfish,<sup>194</sup> will be addressed as part of the Joint Working Group meetings of the concerned RFBs. Scientific and management recommendations emanating from these scientific working group meetings are placed before the policy and management bodies of the three regional fisheries bodies for their consideration. Once the recommendations of the Joint Working Groups are reviewed and consensus obtained, they are then submitted for approval to the Ministerial Meetings of (as applicable): the sub-Regional Fisheries Bodies of SICA and CARICOM (OSPESCA and CRFM, respectively). However, decision-making mechanism for fisheries matters pertaining particularly to the NBSLME and at the over-arching regional level (i.e. all CLME+ States & Territories, including those that are not members of OSPESCA and CRFM) are currently lacking. Under Project Component 1 and 3, the CLME+ Project will work with the regional partners to address these gaps.



**Figure 20. Advisory and decision-making mechanisms relevant to the SAP Strategies and Sub-strategies**

(several of the elements and linkages indicated in the figure are currently still not operational, or operate in an ad hoc way; the CLME+ Project will contribute to their operationalization and/or consolidation)

<sup>194</sup> The CLME+ SAP includes specific (Sub-)Strategies that seek to support the improved governance and management of these species.

## 5.2.2 National-level arrangements for SAP implementation

At the national level, arrangements to support, contribute to, and harvest the results from the implementation of the CLME+ SAP can contemplate the appointment of national focal/contact points for the different SAP Strategies. Such appointments can take reference of the existing CLME+ NFP and national focal or contact points under the international conventions and/or (sub-)regional governance body(s) that are most relevant to the specific SAP Strategy under consideration.

It is anticipated that, by extension, use of the National Inter-sectoral Coordination and Collaboration (NIC) mechanisms referred to under Section 5.1.7 can also be considered for the purpose of internal consultation and coordination on matters relating to the implementation of the SAP.

## 5.2.3 The CLME+ SAP Partnership

Giving consideration to the conceptual development of the 10-year CLME+ SAP as an “umbrella programme”, it is recognized that full implementation of this politically endorsed SAP will require the collaboration among the multitude of organizations, programmes, projects, initiatives and associated stakeholders that are working on or have a stake in the sustainable management of sLMR in the CLME+ region.

As a catalyst towards the full-scale implementation of the SAP, under its Component 5 the CLME+ Project will support the development of a broad “**Global Partnership for the implementation of the CLME+ Strategic Action Programme**”.

The aim of the partnership will be to promote and establish better coordination and collaboration & synergies towards the objectives of the SAP, as more fully described under Section 2.3.5.

Core members of the partnership will include the full members of the CLME+ Project Executive Group (PEG) and Steering Committee (PSC), including those parties that have politically endorsed the SAP and/or formally committed to collaboration and co-financing support to the CLME+ Project.

*Additional stakeholders can formally or informally join the CLME+ Partnership. Adherence to the partnership can entail a series of modalities, ranging from (initially) an Expression of Interest (EoI) or Declaration of Intention (DoI; Aide-Memoire), to: formal political endorsement of the SAP by a country/territory or one of its Ministries, written commitments to support and/or co-finance implementation of the CLME+ Project and/or SAP, grant agreements, UN2UN inter-agency agreements, etc.*

## 6 UNDP/GEF Project Monitoring Framework and Evaluation

Project execution performance will be monitored through the following standard UNDP/GEF M&E activities. The associated M&E budget is provided in Table 20.

### **Project start:**

A Project Inception Workshop will be held within the first 5 months of project start, with participation of those with assigned roles in the project organisation structure listed under Section 5.1. The Inception Workshop is crucial to building ownership for the project results and to plan the annual work plans for the first 2 project years. It is anticipated that the Inception Workshop will also be the de facto first meeting of the Project Steering Committee.

The Inception Workshop will address a number of key issues including:

- a) Assisting all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP RSC, UNOPS and PCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. Terms of Reference incl. those for project staff may be discussed again, if needed.
- b) Based on the Project Results Framework and the International Waters GEF Tracking Tool, the Annual Work Plans for the first 2 years<sup>195</sup> will be finalized. Indicators, targets and their means of verification will be reviewed, revised (as needed) and agreed, and assumptions and risks will be re-checked.
- c) A detailed overview of reporting, monitoring and evaluation (M&E) requirements will be provided. The Monitoring and Evaluation work plan budget will be agreed and scheduled.
- d) Financial reporting procedures and obligations will be discussed
- e) Project governance meetings will be planned and scheduled, and the overall project governance mechanisms will be reviewed and further fine-tuned, giving particular attention to cost-efficiency, enhanced stakeholder ownership, and the continuity of efforts towards SAP implementation beyond the project life span. Roles and responsibilities of all project organisation structures will be clarified and a meeting/reporting calendar will be elaborated. A Project Executive Group (PEG) meeting will be scheduled within the first 12 months following the inception workshop.

Together with the UNDP/GEF approved Project Document, the Inception Workshop Report will constitute a key reference document for the Project and will be prepared and shared with participants to clarify and formalize various agreements and plans decided during the meeting.

### **Quarterly:**

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.

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<sup>195</sup> Mostly detailed for the first year



- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Based on the information recorded in ATLAS, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Where appropriate and pertinent, other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

#### **Annually:**

- Annual Project Review/Project Implementation Report (APR/PIR): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (1 July to 30 June). The APR/PIR combines both UNDP and GEF reporting requirements.

The APR/PIR includes, but is not limited to, reporting on the following:

- Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
- Project outputs delivered per project outcome (annual)
- Lesson learned/good practice
- Annual Work Programme (AWP) and other expenditure reports
- Risk and adaptive management
- ATLAS Quarterly Performance Review (QPR)
- GEF IW Tracking Tool indicators

#### **Periodic Monitoring through site visits:**

The UNDP/GEF RCU will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Executive Group (PEG) may also join these visits. A Field Visit Report/BTOR will be prepared by the UNDP/GEF RCU and will be circulated no less than one month after the visit to the project team and PEG members.

#### **Mid-term of project cycle:**

The project will undergo an independent Mid-Term Evaluation (MTE) at the mid-point of project implementation. The Mid-Term Evaluation will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; it will highlight issues requiring decisions and actions, and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organisation, terms of reference and timing of the Mid-Term Evaluation will be decided after consultation between the parties. The Terms of Reference for this Mid-Term Evaluation will be prepared by UNOPS based on guidance from the UNDP/GEF RCU and UNDP-GEF M&E. The management response and the evaluation will be uploaded to UNDP corporate systems, in particular the UNDP Evaluation Office Evaluation Resource Center (ERC).

Information in the GEF International Waters Tracking Tool will also be updated during the mid-term evaluation cycle.

#### **End of Project:**

An independent Terminal Evaluation (TE) will take place three months prior to the final Project Steering Committee meeting and will be undertaken in accordance with UNDP and GEF guidance. This final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The Terminal Evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by UNOPS based on guidance from the UNDP RCU and UNDP-GEF M&E.

The Terminal Evaluation (TE) will also provide recommendations for follow-up activities and requires a management response which is to be uploaded to PIMS and to the UNDP Evaluation Office Evaluation Resource Center (ERC).

The GEF International Waters Tracking Tool will also be completed during the Terminal Evaluation.

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarise the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

#### **Learning and knowledge sharing:**

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums, including but not limited to IW:LEARN. At least 1% of GEF project budget will be dedicated to GEF IW portfolio learning through IW:LEARN, LME:LEARN and other relevant mechanisms.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks (e.g. the LME Consultative Group), which may be of benefit to project implementation through lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

#### **Communications and visibility requirements:**

The Project will fully comply with UNDP and GEF Branding Guidelines, Communication and Visibility Guidelines, as required and/or appropriate:

UNDP branding guidelines can be accessed at: <http://intra.undp.org/coa/branding.shtml>

Specific guidelines on UNDP logo use can be accessed at:

<http://intra.undp.org/branding/useOfLogo.html>

Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be obtained from: [http://www.thegef.org/gef/GEF\\_logo](http://www.thegef.org/gef/GEF_logo)

The UNDP logo can be obtained from: <http://intra.undp.org/coa/branding.shtml>.

Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at:

[http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08\\_Branding\\_the\\_GEF%20final\\_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf)

Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

Where other agencies and partners provide co-financing support, their guidelines will also be taken into account in the design of appropriate communications products.

**Table 20. M&E work plan and budget**

<b>Type of M&amp;E activity</b>	<b>Responsible Parties</b>	<b>Budget US\$</b> <i>Excluding project team staff time</i>	<b>Time frame</b>
<i>Inception Workshop and Report</i>	<ul style="list-style-type: none"> <li>▪ Regional Project Coordinator (RPC) and Team (PCU), UNOPS WEC</li> <li>▪ UNDP RTA, UNDP GEF</li> </ul>	<i>Indicative cost: 150.000</i>	<i>Within first 5 months of project start up</i>
<i>Measurement of Means of Verification of project results</i>	<ul style="list-style-type: none"> <li>▪ UNDP GEF RTA/RPC will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.</li> </ul>	<i>To be finalized in Inception Phase and Workshop</i>  <i>Indicative cost: 30.000</i>	<i>Start, mid and end of project (during evaluation cycle) and annually when required</i>
<i>Measurement of Means of Verification for project progress on output and implementation</i>	<ul style="list-style-type: none"> <li>▪ Oversight by RPC</li> <li>▪ Project Team</li> </ul>	<i>To be determined as part of the Annual Work Plan's preparation</i> <i>Indicative cost: 3.000 annually (total: 15.000)</i>	<i>Annually prior to ARR/PIR and to the definition of Annual Work Plans</i>
<i>ARR/PIR</i>	<ul style="list-style-type: none"> <li>▪ RPC and Team</li> <li>▪ UNDP RTA</li> <li>▪ UNOPS (financial)</li> </ul>	<i>None</i>	<i>Annually</i>
<i>Periodic status/ progress reports</i>	<ul style="list-style-type: none"> <li>▪ RPC and Team</li> </ul>	<i>None</i>	<i>Quarterly</i>
<i>Mid-Term Evaluation</i>	<ul style="list-style-type: none"> <li>▪ RPC and Team</li> <li>▪ UNOPS</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	<i>Indicative cost: 40.000</i>	<i>At the mid-point of project implementation</i>
<i>Terminal Evaluation</i>	<ul style="list-style-type: none"> <li>▪ RPC and Team</li> <li>▪ UNOPS</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	<i>Indicative cost : 40.000</i>	<i>At least three months before the end of project implementation</i>
<i>Project Terminal Report</i>	<ul style="list-style-type: none"> <li>▪ RPC and Team</li> <li>▪ UNDP RTA</li> <li>▪ Project partners</li> </ul>	<i>0</i>	<i>At least three months before the end of the project</i>
<i>Audit</i>	<ul style="list-style-type: none"> <li>▪ UNOPS</li> <li>▪ UNDP RTA</li> <li>▪ RPC and Team</li> </ul>	<i>Indicative cost: 3.000 annually (total: 15.000)</i>	<i>Yearly</i>
<i>Visits to field sites</i>	<ul style="list-style-type: none"> <li>▪ UNDP RTA (as appropriate)</li> <li>▪ Government representatives</li> </ul>	<i>For GEF supported projects, paid from IA fees and operational budget</i>	<i>Yearly</i>
<b>TOTAL indicative COST</b> <i>Excluding project team staff time and UNDP staff and travel expenses</i>		<b>US\$ 265.000</b> <i>(+/- 2% of total budget)</i>	

## 7 Legal Context

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAA’s for the specific countries; or (ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof.

This project will be implemented by UNOPS in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The Implementing Partner will request from UNDP financial funds in accordance with UNDP procedures. The audit of the project managed by a UN Agency is carried out by the duly appointed auditors of that agency and in accordance with the regulations and rules of the UN Agency. The audit must be conducted in conformity with generally accepted common auditing standards and in accordance with the professional judgment of the auditor. The audit may refer to the standards and terms of reference established for the United Nations Board of Auditors

The responsibility for the safety and security of the Project and its personnel and property rests with the Implementing Partner. The Implementing Partner shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to the Executing Partner’s security, and the full implementation of the security plan. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via

[http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

## 8 Annexes

Annex 1: UNDP Risk Matrix

Annex 2: Project Gantt Chart (milestones & targets of the project outputs)

Annex 3: CLME<sup>+</sup> Sub-Project Number 1 – EAF for the Caribbean Spiny Lobster

Annex 4: CLME<sup>+</sup> Sub-Project Number 2 – EAF for the Shrimp and Groundfish Fishery

Annex 5: CLME<sup>+</sup> Sub-Project Number 3 – EAF for the Eastern Caribbean Flyingfish

Annex 6: CLME<sup>+</sup> Sub-Project Number 4 - Ecosystem-Based Management (EBM) approach at the specific sites in the CLME<sup>+</sup>

Annex 7: Draft Terms of Reference for CLME<sup>+</sup> Project Coordinating Unit Staff

Annex 8: Draft Terms of Reference CLME<sup>+</sup> Project Steering Committee

Annex 9: Draft Terms of Reference CLME<sup>+</sup> Project Executive Group

Annex 10: Co-financing Commitment Letters and Letters of Intent

Annex 11: GEF International Waters Tracking Tool

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## Annex 1. UNDP Risk Matrix

### Annex 1. UNDP Risk Matrix

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Operating the governance framework for sLMR is not financially sustainable in the long-term	Aug 13	Financial	<p>Many of the outputs of the CLME+ Project are working to ensure the most appropriate governance framework for sLMR with this region. If however the region is unable to agree on a mechanism to ensure the long-term sustainability of the governance framework, many of the achievements attained as part of the project will be lost and the region will revert to BaU.</p> <p>P =3 I =5</p>	<p>SAP actions gradually reduce donor dependency of governance arrangements. Application of subsidiarity principle and enhanced region-wide capacity and cooperation enhance efficiency in use of available financial resources. Financial considerations are included in decisions regarding the strengthening/expansion of the governance arrangements. Strong involvement in all activities from regional stakeholders.</p>	<p>CLME+ PCU</p> <p>Interim/Permanent Coordinating Mechanism</p> <p>CLME+ Region</p>			
2	Failure to agree on a common approach to regional	Aug 13	Strategic	<p>The objective of the CLME+ Project involves facilitating the implementation</p>	<p>The development and region-wide political endorsement of the SAP has demonstrated countries' willingness to</p>	<p>CLME+ PCU</p> <p>Interim/Permanent</p>			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	EBM/EAF governance			<p>of EBM/EAF within the CLME+ Region.</p> <p>Failure to agree on a common approach to regional EBM/EAF will result in the project not being able to achieve its objective and a continued <i>ad hoc</i> approach to governance and management of the region's marine resources.</p> <p>P =2</p> <p>I =4</p>	<p>cooperate and activities under Components 1, 2 and 3 in particular will further support this cooperation. Support of regional organisations backed by their constituency countries.</p>	<p>Coordinating Mechanism</p> <p>CLME+ Region</p>			
3	Fragmentation of efforts and lack of coordination among projects and initiatives resulting in low return on investment and	Aug 13	Operational	<p>Fragmentation of efforts and lack of coordination among projects and initiatives being implemented in the region will impact on what the CLME+ Project seeks to undertake within</p>	<p>CLME+ SAP as regionally endorsed guidance/reference framework for coordinated action. Incorporation of Component 5 in the SAP implementation project design (mapping of initiatives, tracking of progress, establishment of partnerships). Leading role in</p>	<p>CLME+ PCU</p> <p>CLME+ Project Partners</p>			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	failure to achieve GEB			<p>the region, which includes catalyzing the implementation of the CLME+ SAP. Continued fragmentation and lack of coordination could result in duplication of efforts instead of building on the outputs and results from tested and tried approaches that have had successful results in the CLME+.</p> <p>P = 3 I = 3</p>	execution of SAP Strategies for (sub) regional organisations with formal mandate. Use of results from comprehensive technical study on institutional mandates/policy cycle gaps conducted during foundational capacity building phase (CLME)				
4	Environmental and Societal Change (including climate change, political change)	Aug 13	Environmental, Political	The impact of this risk should not have a major impact on the project, due to the fact that during project design climate change and variability were	Mainstreaming of climate adaptation/mitigation criteria in the design and implementation of CLME+ SAP activities: (i) evaluation of the robustness of proposed solutions in the context of climatic and political	CLME+ PCU  Interim/Permanent Coordinating Mechanism			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
				<p>taken into consideration and as such the robustness of many of the proposed activities were assessed. Further efforts were also taken during the PPG to ensure that a strong sense of ownership of the project activities existed among the regional and sub-regional partner organizations.</p> <p>P =4 I =3</p>	<p>uncertainty; (ii) contribution of the proposed solutions/actions to enhancing the resilience of the socio-ecological system. Strong involvement of and ownership by (sub-) regional bodies will reduce susceptibility of project outcomes to political change.</p>				
5	Lack of parallel commitment on the part of Governments and potential donors to ensure financial sustainability	Aug 13	Financial	<p>P = 3 I =4</p>	<p>Strong coordination with, and involvement of governments and other donors in the implementation of the CLME+ SAP will be promoted through Component 5. Analyses of financial needs will be conducted during SAP implementation.</p>	CLME+ Project Partners and CLME+ Countries			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	beyond the life of the Project								
6	Limited public interest and awareness of ecosystem approaches	Aug 13	Environmental	If this risk was to occur, it would impact on the effectiveness and sustainability of mechanisms and arrangements to be established and strengthened under the CLME+ Project. The region would then revert to BaU  P = 2 I = 3	Through both Components 2 and 3 the project will engage with the wider stakeholders to increase awareness and emphasise local benefits of ecosystem management approaches	CLME+ PCU			
7	Limited scientific data and information and inability of national fisheries authorities to share data	Aug 13	Organizational	This will have an impact on many of the activities proposed under the project components. However it will have the greatest impact under output 5.2 particularly the development of the "State of the	Strong attention under SAP Strategies to enhanced data & information management, and coordinated research, including through the development of regional-level data policy and coordinated research strategies	CLME+ PCU  CLME+ Project Partners  CLME+ Countries			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
				<p>Marine Ecosystems and associated Living Resources in the CLME+ region” Report.</p> <p>P =4</p> <p>I =4</p>					
8	Significant difference in participating countries’ size, geographic configuration, development and economic level limit achievement of project outcomes	Aug 13		<p>Although the CLME+ Region consist of a number of disparities regarding the size, development and geographic configuration due to the fact that the project has an emphasis on cooperation particularly between the regional and sub-regional organizations, it is expected that this risk will have minimal impact on</p>	<p>The project has an emphasis on horizontal cooperation with sub-regional bodies, and on networking among bodies and organizations at the national and regional levels in order to set the bases for region-wide ecosystem management approaches. In the regional and international context, the strengthening of the sub-regional bodies will empower their individual member states. This will help to balance relative strengths and priorities, and actually provides an incentive for all countries to support the project outcomes. Additionally, the project will encourage South-South cooperation by generating</p>	Interim/Permanent Coordinating Mechanism			

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
				<p>implementation of project activities.</p> <p>P = 2</p> <p>I = 3</p>	<p>opportunities for countries with greater capacity and experience in management of specific fisheries, to share their expertise with others.</p>				
9	<p>The project is unable to successfully engage the full range of stakeholders</p>	10 Oct. 14	Strategic	<p>There are a number of stakeholders within the CLME+ Region that are dependent on the region's marine resources. If the project fails to fully engage the stakeholders, full buy-in regarding the proposed governance and management mechanisms and arrangements will not be achieved and project outcomes will not be sustainable.</p> <p>P = 2</p> <p>I = 4</p>	<p>During the Project Preparation Grant a detailed stakeholder analysis was undertaken to assist with the identification of the major stakeholder groups that would have an interest in the project outputs. Further during the project inception phase it is anticipated that the project's Communications Strategy will be developed. Amongst other things, the strategy would outline ways for engaging stakeholders during project implementation.</p>	<p>CLME+ PCU</p> <p>CLME+ Project partners</p>			



#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
10	Project Management Unit incapable of effectively managing the implementation of the Project	10 Oct. 14	Operational	<p>This would impact overall project implementation and would result in a delay or in some cases inability to successfully complete or even begin to implement a number of the proposed activities. In the extreme case it could mean that the project is unable to achieve its objective.</p> <p>P =3 I =4</p>	<p>Emphasis will be placed on developing strong Terms of References to support the recruitment of staff for the CLME+ Project Coordinating Unit. Further it is anticipated that candidates will go through a robust screening process during the selection phase.</p> <p>UONPS reforms in modalities resulting in more attractive remuneration and benefits package aligned with ICSC scales and with due consideration of conditions at duty stations to the extent possible.</p>	<p>UNDP UNOPS</p>			

Annex 2. Project Gantt Chart (Milestones and Targets of the Project Outputs)



Annex 3. CLME<sup>+</sup> Sub-Project Number 1 – EAF for the  
Caribbean Spiny Lobster

(SEPARATE FILE)

Annex 4. CLME<sup>+</sup> Sub-Project Number 2 – EAF for the Shrimp  
and Groundfish Fishery

(SEPARATE FILE)

Annex 5. CLME<sup>+</sup> Sub-Project Number 3 – EAF for the Eastern  
Caribbean Flyingfish

(SEPARATE FILE)

Annex 6. CLME<sup>+</sup> Sub-Project Number 4 - Ecosystem-Based Management (EBM) approach at specific sites in the CLME<sup>+</sup>

(SEPARATE FILE)

Annex 7. Draft Terms of Reference for CLME<sup>+</sup> Project  
Coordinating Unit Staff



## **Draft Terms of Reference for the Regional Project Coordinator (RPC)**

### ***Duties and Responsibilities***

The Regional Project Coordinator (RPC) shall be responsible for the overall coordination of all aspects of the CLME+ project. He/she shall liaise directly with designated officials of the Participating Countries, other Members of the PSC, the Implementing Agency, the Executing Agency and Project Partners, UNDP Country Offices, existing and potential additional project donors and stakeholders, and others as deemed appropriate and necessary by the PSC or by the RPC him/herself. The RPC will also be responsible for the management of the project as well as for the delivery of a number of technical activities. The budget and associated work plan will provide guidance on the day-to-day implementation based on the approved Project Document and on the integration of the various donor-funded parallel initiatives. The RPC will be responsible for oversight of the sub-projects, and will provide guidance and orientation with a view to ensuring that these are fully aligned and harmonized with work undertaken within the main project. He/she shall be responsible for delivery of all substantive, managerial and financial reports from and on behalf of the Project. He/she will provide overall supervision for all staff in the Project Coordination Unit, as well as guiding and supervising all external policy relations, especially those related to other Projects, Programmes and Initiatives linked or linkable to the CLME+ Project and CLME+ SAP.

### ***General responsibilities of the RPC include:***

- Directly supervise the day to day work of the PCU through a team consisting of professional, technical and administrative staff
- Prepare an Operational Work Plan for the duration of the project and corresponding Annual Work Plans based on the Project Document and Inception Report, under the general supervision of the Project Steering Committee and in close consultation and coordination with related Projects, National Focal Points, GEF Partners and relevant donors
- Coordinate and monitor the activities described in the Work Plan
- Coordinate the SAP implementation process<sup>196</sup> and monitor the Regional Governance Framework development
- Oversee implementation of the sub-projects, supervise the collection and analysis of lessons learned and best practices, and design replication strategies
- Organize and supervise all reporting activities to the GEF, Implementing and Executing agencies, ensuring adherence to the Agencies' administrative, financial and technical reporting requirements:
  - Ensure project compliance with all UN and GEF policies, regulations and procedures, as well as reporting requirements
- Ensure consistency between the various project elements and related activities provided or funded by other donor organizations
- Prepare and/or oversee the development of Terms of Reference for consultants and contractors; Coordinate and oversee preparation of the substantive and operational reports from the Program, including the revised TDA
- Promote the Project and seek opportunities to leverage additional co-funding
- Represent the Project at meetings and other project related fora within the region and globally, as required.

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<sup>196</sup> As far as corresponds, in the context of the implementation of the CLME+ Project

***Administrative responsibilities of the RPC include:***

- Oversee and manage project finances including approval of all administrative and financial reports, external communications and travel requests, as well as the acquisition of equipment, goods and services
- Manage the PCU, its staff, budget, in line with UNOPS/UN Rules & Regulations
- Keep the Steering Committee informed of project development including through the organization of Steering Committee meetings
- Prepare the agenda and all technical background documentation, in consultation with other partners, for Steering Committee meetings
- Acts as Secretary to the SC meetings

***Qualifications and Experience***

**a. Education**

- Post-graduate degree (Masters or similar or equivalent related working experience) in Fisheries, Marine Governance, Environmental, Natural Resources or Marine Ecosystems Management or a directly related field.

**b. Work Experience**

- At least ten years of working experience in the fields related to the assignment, at national and international levels.
- Demonstrated experience in management and coordination of multi-disciplinary projects, preferably of bi-national or regional scope, including team-building skills
- Demonstrated experience in the preparation of planning documents for large marine and coastal ecosystems (management plans, strategies or legal instruments)
- Familiarity with the goals and procedures of international organizations, in particular those of the GEF, UNDP and UNOPS, and those of other partner institutions related to the CLME+ project, will be considered an asset.
- Experience in administration for budget and human resources management required.
- Previous work experience in one or more of the participating countries, and previous work experience in the region on issues related to the Project, will be favourably considered.

**c. Key Competencies**

- The successful candidate will be fluent in both oral and written English and Spanish. Knowledge of French and other languages used in the region will be considered an asset.
- Demonstrated diplomatic, interpersonal, networking and negotiating skills
- Excellent analytical skills. Effective oral and written presentation & communication skills.
- Good planning and organizational skills, ability to work under tight deadlines.
- Demonstrated management, interpersonal and networking skills.
- Ability to work both independently and as a member of a team.

- Adherence to UN Core Values: commitment to team work, accountability, creativity, client orientation, continuous learning, technological awareness, openness to change and ability to manage complex situations, respect for diversity.
- Good professional knowledge of main office computer applications

## **Draft Terms of Reference for the Senior Project Officer (SPO)**

### ***General Responsibilities:***

The Senior Project Officer (SPO) shall be the Deputy Project Manager and, as such, she/he shall work together with the Regional Project Coordinator (RPC) on the overall day-to-day coordination of all aspects of the CLME Project. She/he will have general responsibility for ensuring the Project's high quality technical outputs, including those arising from the implementation of Components 1, 2 and 3. She/he shall also deliver substantial contributions to the Project Coordination Unit's role in coordinating the successful implementation of the Strategic Action Programme within the CLME+. The SPO shall assume the RPC's responsibilities in the case of the RPC's absence.

### ***Specific Duties:***

Under the overall supervision and direction of the RPC, the SPO shall:

- Prepare, and/or contribute to the preparation of the CLME project reports & documents, as required.
- Contribute to the preparation of the project's Annual Work Plans.
- Prepare Terms of Reference and Request for Awards for Consultants and Contractors-
- Oversee all contracts, grants and Inter-Agency Agreements (IAAs) under implementation by the project, and conduct the corresponding technical quality controls; this task includes but is not limited to:
  - Overseeing the day-to-day implementation of the sub-projects and ensure close collaboration with the project's major technical partners.
  - The development and use of Monitor Plans to follow up on the implementation of contracts, grants and IAAs under the CLME Project
- Report back and provide recommendations to the RPC, based on the findings of his/her work.
- Prepare technical content for all relevant project meetings (e.g. annual meetings of the project Steering Committee)
- Prepare relevant technical dissemination materials for a variety of other dissemination events (e.g. seminars, congress, agency workshops, etc) as applicable.
- Represent the Project at technical meetings within the region and globally and present the prepared technical materials at these events, as required.
- Other related duties as required by the project and instructed by the RPC.

### ***Qualifications and Experience***

#### **d. Education**

- Post-graduate degree (Master or similar or equivalent related working experience) in Fisheries, Marine Governance, Environmental, Natural Resources or Marine Ecosystems Management or a directly related field.

#### **e. Work Experience**

- A minimum of 5 years of working experience in the fields related to the assignment, at both national and international levels.
- Expertise in environmental and fisheries management, with demonstrated experience in the field.

- Demonstrated experience in the preparation of planning documents for large marine and coastal ecosystems (management plans, strategies or legal instruments)
- Familiarity with the goals and procedures of international organizations, in particular those of the GEF, UNDP and IOC UNESCO, and those of other partner institutions related to the CLME project, will be considered an asset.
- Previous work experience in one or more of the participating countries, and previous work experience in the region on issues related to the Project, will be favorably considered.

**f. Key Competencies**

- The successful candidate will be fluent in at least English or Spanish, preferably both.
- Excellent analytical and communication skills.
- Good planning and organizational skills, ability to work under tight deadlines.
- Demonstrated management, interpersonal and networking skills.
- Ability to work both independently and as a member of a team.
- Adherence to UN Core Values: commitment to team work, accountability, creativity, client orientation, continuous learning, technological awareness, openness to change and ability to manage complex situations, respect for diversity.
- Good professional knowledge of main office computer applications

## **Draft Terms of Reference: Operations Coordinator & Finances Manager**

### ***General Responsibilities:***

The Operations Coordinator & Finances Manager will act on all operational and managerial aspects of the project to ensure efficient and effective project operations and management. This includes operational planning, strategic financial and human resources management, efficient procurement and logistical services, and security, consistent with UNOPS rules and regulations. The main role is to lead the daily operations, ensuring smooth functioning of the project activities, consistent services delivery and constant evaluation and readjustment of the operations to take into account changes in the operating environment as and when needed.

The Operations Coordinator & Finances Manager will assist the RPC with operational, contractual, financial and assets management aspects of the project. She/he will maintain records of the project and project activities to facilitate reporting and assisting with the smooth operation of the PCU , ensuring compliance with UNOPS/UNDP/GEF rules and procedures

### ***Specific Duties:***

#### ***1. Coordination of Operations:***

- Coordinate, plan and execute the operational & logistical aspects related to the implementation of technical project activities
- Support the Regional Project Coordinator and Senior Project Officer in the execution of technical project activities, as required

#### ***2. Financial resources management:***

- Manage the Project accounts using the UN ERP system. The Budget/Operations Manager will be responsible for ensuring that all Atlas guidelines are adhered to and that all deadlines are met.
- Assist in the process of periodic financial planning, based on inputs received for this purpose from senior management
- Prepare quarterly financial reports on a quarterly basis, or as instructed by senior management
- Assist with the preparation and execution of the CLME+ annual budget and all related documentation e.g. expenditure requests, cash statements, budget revisions, etc.
- Ensure outputs/products are submitted prior to the issuance of payments/payment vouchers and provide general project financial oversight.
- Maintain the project files, coordinate mailings and dissemination of materials to the Steering Committee, and maintain records of the Steering Committee recommendations with respect to project management. Including regular updating of the electronic blue file in UNOPS Management Workspace.
- Proper planning, expenditure tracking and audit of financial resources, in accordance with UNOPS rules and regulations.
- Organization and oversight of cash management processes, including liquidity management, recommendation of account level, risk assessment, timely accounting and reconciliation of all transactions, security for cash assets on site.

- Implementation of a finance management system in accordance with UNOPS Financial Rules and Regulations;
- Monitoring of budget expenditures and budget status, ensuring that funds allocated are not exceeded or that additional funds are allocated when required; response to queries on financial and administrative matters.

3. Human resources management:

- Project compliance with corporate human resources policies and strategies.
- Oversight of recruitment processes in accordance with UNOPS rules and regulations, appropriate use of different contractual modalities, contracts management, OM performing the function of HR Manager.
- Maintenance of the proper performance management and staff development systems.
- Maintenance of the recruitment system for national personnel, in accordance to UNOPS HR manual and in collaboration with the relevant sections in UNOPS, undertaking recruitment process for national consultants and administering contracts on behalf of Regional Office;
- Periodic review of staff entitlements under special circumstances and recommendation for improvement to UNOPS Headquarters HR for approval and implementation;
- Definition of training plans for staff involved in the delivery of support services
- Preparation and submission of Quarterly Staffing Tables
- Leave monitoring in GLS and HCM

4. Efficient procurement services:

- Project compliance with the UNOPS procurement manual and corporate rules and regulations
- Procurement strategies including sourcing strategy, supplier selection and evaluation, quality management, customer relationship management, e-procurement promotion and introduction, performance measurement.
- Oversight of procurement processes and logistical services in accordance with UNOPS rules and regulations
- Development and implementation of a procurement management system in relation to planning, awarding, administering and monitoring of all matters related to procurement, in accordance with UNOPS Procurement Manual;
- Preparation of tendering documents for international procurement requirements; the establishment of shortlist of suitable contractors/suppliers, and the preparation and issue of local tenders. Together with the requesting programme component, evaluation of bids or proposals received and recommendations for contract awards;
- Efficient implementation of a vendor database and use of the system to record the listing, updating, evaluation and monitoring of performance of service providers and vendors;
- Provision of guidance on all procurement matters
- Management of the movement of personnel and equipment into and within the project office.
- Implementation of an equipment management and accounting system for all UNOPS managed equipment in accordance UNOPS equipment policy.

5. Management of security-related issues:

- Analysis and identification of potential issues related to security and proposal of strategies and proposal of options to be reviewed by management.
- Implementation of a comprehensive security policy for the project office

### ***Qualifications and Experience***

#### **a. Education:**

- Master's Degree or equivalent in Business Administration, Public Administration, Finance, Economics or related field.
- A first-level university degree with relevant combination of academic qualifications and 2 years additional experience related to the nature of the position may be accepted in lieu of an advanced university degree.

#### **b. Work Experience**

- At least five years proven experience in the national or international level in providing project management services including finances and/or managing staff and operational systems
- Previous work experience with international development projects, and in particular GEF International Waters projects will be considered strong assets.

#### **c. Key Competencies**

- Fluency in both written and oral English and Spanish
- Excellent computer skills including management of complex spreadsheets and databases.
- Focus on results and responding positively to feedback
- Consistently approaching work with energy and positive, constructive spirit
- Adherence to UN Core Values: commitment to team work, accountability, creativity, client orientation, continuous learning, technological awareness, openness to change and ability to manage complex situations, respect for diversity.
- Good organizational, interpersonal and communications skills
- Good editing skills for the production of publications and dissemination materials will be considered an additional asset.



## **Draft Terms of Reference for the CLME<sup>+</sup> Operations and Financial Assistant (OFA)**

### ***General Responsibilities***

As a member of the CLME<sup>+</sup> Project Coordination Unit (PCU), the Operations Assistant (OFA) will perform a variety of administrative and secretarial, financial and communications/outreach services in order to ensure the efficient daily running of the PCU and in support of the CLME<sup>+</sup> Project activities.

### ***Specific Duties:***

- Provide general administrative and secretarial services to the Project, ensuring full compliance with UNOPS rules and regulations.
- Handle all procurement of services, goods and works in full compliance with UNOPS procurement processes, rules, regulations, policies and strategies,
- Maintain a regularly updated database on the status of procurements done by the Project and an efficient filing system of all procurement documents,
- Ensure administrative follow-up of office operations undertaken with Office and/or Project partners, respond to enquiries from external and internal Office and/or Project Partners and advise them appropriately,
- Enter purchase orders into the UNOPS financial management system,
- Assist all staff members of the Regional Project Coordination Office for any job that will need administrative, secretarial and logistic backstopping,
- Support in liaising with CLME partner countries, organizations and stakeholders, related projects and other relevant regional or national initiatives and entities.
- Organize the logistical aspects of CLME meetings, workshops and PCU staff member travel
- Assist the OM in the review, analysis, monitoring and reporting of expenditures against approved and/or authorized expenditures.
- Disseminate information about meetings, provide secretarial services to meetings and circulate minutes and reports
- Assist with the formatting of project deliverables and communication materials, with particular attention to language, visual presentation and quality control.
- Administer the operation of office machines such as faxes, photocopier, telephones, etc.
- Other administrative and secretarial tasks, as and when necessary.

### ***Qualifications and Experience***

#### **a. Education:**

- Diploma of higher education in fields relevant to the specific duties of the job of Operations Assistant.

#### **b. Work Experience:**

- A minimum of 5 years' experience in working with Office administrative, procurement and logistics management issues.
- Specialized training in secretarial activities /business administration, or relevant work experience relating to the specific duties of Operations Assistant.

- Previous work experience with international development projects, and in particular GEF International Waters projects will be considered strong assets.

**c. Key Competencies:**

- Fluency in both written and oral English and Spanish
- Proven experience and skills in the use of standard office packages (e.g. MS Office)
- Focus on results and responding positively to feedback
- Consistently approaching work with energy and positive, constructive spirit
- Adherence to UN Core Values: commitment to team work, accountability, creativity, client orientation, continuous learning, technological awareness, openness to change and ability to manage complex situations, respect for diversity.
- Good organizational, interpersonal and communications skills
- Good editing skills for the production of publications and dissemination materials will be considered an additional asset.

## **Draft Terms of Reference for the CLME+ Communications Specialist (CS)**

### ***General Responsibilities:***

The Communications Specialist (CS) will assist the RPC in promoting and improving public understanding the CLME+ Project. She/he shall work with the RPC to promote the project regionally and to develop promotional materials and events. The CS shall report directly to the RPC.

### ***Specific Duties:***

- Development and implementation of the project's Communication Strategy, including the identification of key target groups and the development of adequate dissemination and exchange mechanisms for key CLME Project messages and info.
- Assist in the development of comprehensive outreach plans for project's ongoing sub-projects and interventions.
- Improve internal and external communications of the CLME+ Project
- Dissemination in the media of CLME+ best practices
- Advise the RPC on strategic communications for the project
- Review, edit, and/or write communications material for the RPC.
- Contribute with layout, content, etc to the ongoing improvement and updating of the CLME+ Project website.
- Work closely with the Information Technology Assistant on the ongoing updating and improvement of the CLME+ Project website.
- Preparation of Terms of Reference (ToRs) for Consultants and Contractors, in those cases in which it is decided to contract external services for the implementation of specific parts of the Communications Strategy.
- Support the overall implementation of the regional components of the project on the use of the GEF IW Tracking Tool & GEF IW LEARN and assist in coordinating the work of consultants.

### ***Qualifications and Experience***

#### **a. Education**

- Masters degree in one or several fields relevant to the position, such as: communications/social sciences, graphical design/editing, marketing and/or environmental sciences or a combination of formal education and equivalent practical work experiences.

#### **b. Work Experience**

- Proven experience in the development and/or implementation of communications strategies, and the production and design of high-quality dissemination materials.
- Previous work experience in one or more of the CLME participating countries, and work experience in the region and/or on issues related to the Project and the position of Communications Specialist.

- Familiarity with the GEF, in particular the “International Waters” Focal Area and the concept of “Large Marine Ecosystems”, familiarity with project partner organizations will be considered an asset.
- Proven experience in the design, implementation, maintenance and periodic updating of websites will be considered an important asset.

**c. Key Competencies**

- Fluency in spoken and written Spanish and English is an important requirement
- Knowledge of other regionally relevant languages will be considered an additional asset.
- Adherence to UN Core Values: commitment to team work, accountability, creativity, client orientation, continuous learning, technological awareness, openness to change and ability to manage complex situations, respect for diversity.
- Good organizational, interpersonal and communications skills.
- Ability to work under pressure and against tight deadlines
- Focus on results, and responding positively to feedback
- Good writing and editing skills, including a penchant for detail
- Ability to work collaboratively, as a member of a team, as well as to work independently within the assigned areas of responsibility

## Annex 8. Draft Terms of Reference CLME+ Project Steering Committee

## **Terms of Reference for the Project Steering Committee (PSC)**

### **Responsibilities**

The Project Steering Committee (PSC) will provide overall strategic policy and management direction for the project and play a critical role in reviewing and approving the project planning & execution conducted by the PCU and the Executing Agency. In line with the adoption of an adaptive management approach, the PSC will review project progress, make recommendations and adopt the (biennial) project work plans and budget.

Figure 15. Confirmed and anticipated timelines of planning processes and meetings of Regional Governance Bodies with mandates relevant to the CLME+ SAP) will be sought.

Whenever feasible, approval by the Steering Committee members of interim revisions (as applicable) of the biennial project work plans and budgets will be sought by electronic means, in order to optimize cost-efficiency of the project management arrangements.

### **Specific Duties**

Specific functions of the Steering Committee will include:

- Provide overall strategic policy and management direction to the Project;
- Review Project activities to assess the progress of the Project;
- Review and approve the Project work plan and budget and any changes thereto, in accordance with GEF, UNDP and UNOPS guidelines;
- Provide strategic direction on the work plan;
- Assist in identifying and allocating Project support for activities consistent with Project objectives;
- Facilitate and promote regional and national inter-project coordination;
- Share and disseminate Project-funded and Project-generated results and experiences, and
- Any other business brought before the SC by one of its members.

As the PSC will provide overall guidance to the Project it will not be expected to deal with day-to-day management and administration of the Project. This will be handled by the Regional Project Coordinator (RPC), in coordination with the Executing Agency, and under guidance from the Offices of the Implementing Agency (to ensure conformity with UN's requirements).

The PSC is especially responsible for evaluation and monitoring of Project outputs and achievements. In its formal meetings, the PSC will be expected to review the Project work plan and budget expenditure, based on the RPC's report. The PSC should be consulted for supporting any changes to the work plan or budget, and is responsible for ensuring that the Project remains on target with respect to its outputs. Where necessary, the PSC will support definition of new targets in coordination with, and approval from, the Implementing/Executing Agencies.

### **Membership**

The CLME+ Project Steering Committee is expected to be composed of:

- National Representatives from all participating States
- Representatives from the Dependent Territories within the CLME+ Region (France, Netherlands, United Kingdom, United States)
- Representative of the GEF Agency (UNDP)
- Representatives of the Executing Agency (UNOPS)
- Representatives of the Project Partners
- Representatives of key co-financing partners (CLME+ partnership members)
- *Representation from the key stakeholder group categories identified as part of the CLME+ Project (including representatives from private sector, academia, CSOs, NGOs etc.)*

Other parties can be invited as observers to the Project Steering Committee Meetings, as deemed relevant and beneficial for the implementation of the CLME+ Project and SAP.

### **Frequency and Conduct of Meetings**

It is anticipated that there will be at least three full meetings of the PSC to take place at the following times during the duration of the CLME+ Project:

- Project Inception
- Project Midterm
- Project End

Other options such as meetings of representative groupings of the PSC, teleconferencing and e-mail will be explored to allow for discussion and review of project matters during the years when no formal Steering Committee Meeting are planned.

The RPC will be responsible for ensuring close liaison within the PSC. Formal meetings will be scheduled and arranged by the PCU in consultation with, and at the request of, the other SC members.

### **Cost of Participation in PSC**

The cost of participation in meetings of the PSC will be met by the Project for GEF-eligible countries and organisations. The location of the PSC meetings will be guided first and foremost by budgetary considerations.

## Annex 9. Draft Terms of Reference CLME+ Project Executive Group



## **Terms of Reference for the Project Executive Group (PEG)**

### **Responsibilities**

A Project Executive Group (PEG) consisting of the main implementation partner organisations will be established during the project inception phase, to analyse, discuss and resolve issues pertaining to project execution (e.g. staffing, coordination, problem-solving,...), throughout the project's duration. PEG members will communicate and discuss specific aspects of the project's implementation, as required to ensure efficient and effective execution of the CLME+ Project. The PCU will serve as the Secretariat to the PEG.

### **Specific Duties**

Specific functions of the Project Executive Group will include:

- Provide overall strategic policy and management direction to the Project;
- Review Project activities to assess the progress of the Project;
- Analyse, discuss and resolve any issues and problems faced during project execution
- Assist in identifying and allocating Project support for activities consistent with Project objectives;
- Facilitate and promote regional inter-project coordination;
- Any other business brought before the PEG by one of its members.

### **Membership**

The Project Executive Group is expected to be comprised of representatives from the following organisations:

- UNDP
- UNOPS
- UNEP-CEP
- FAO-WECAFC
- UNESCO-IOC
- CRFM
- OSPESCA
- OECS Commission
- CANARI
- CERMES

The PEG may decide upon additional memberships during the project's lifespan.

### **Frequency and Conduct of Meetings**

The PEG will be expected to meet physically at least once every year generally in association with other regional or Project Steering Committee meetings. Additional interim meetings of the PEG (where needed) will ideally be conducted via teleconference.

### **Cost of Participation in PEG**

The cost of participation in meetings of the PEG will be met by the Project for GEF-eligible parties such as native regional organizations<sup>197</sup>.

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## Annex 10. Co-financing Commitment Letters and Letters of Intent

## Annex 11. GEF International Waters Tracking Tool

## Annex 12. UNDP Social & Environmental Screening