

Governance arrangements for marine ecosystems of the Wider Caribbean Region

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*Sustainable Management of the Shared
Living Marine Resources of the
Caribbean Large Marine Ecosystem
(CLME) and Adjacent Regions*

Governance arrangements for marine ecosystems of the Wider Caribbean Region

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Summary

Introduction

The Caribbean Large Marine Ecosystem and Adjacent Areas (CLME) Project aims to improve management of shared living marine resources (LMRs) within the Wider Caribbean Region (WCR). The Transboundary Diagnostic Analyses (TDAs) for the three fisheries ecosystems have identified weak governance as a root cause of the problems facing these social ecological systems. The CLME Project has a strong emphasis on assessing LMR governance systems and on proposing ways of strengthening them. The treatment of governance in the CLME Project is based on the LME Governance Framework developed during the PDF-B Phase. The CLME Project was designed to begin the process of building the LME Governance Framework for the WCR through a series of targeted activities, pilot projects and case studies. The governance assessment aspect of these pilots and case studies has been approached through a common methodology. In the CLME Project the following broad and inclusive definition of governance has been adopted. *“Governance is the whole of public as well as private interactions taken to solve societal problems and create societal opportunities. It includes the formulation and application of principles guiding those interactions and care for institutions that enable them.”*

The CLME Project also includes the Regional Governance Framework (RGF) component that is aimed at analyzing the regional ocean governance situation in the WCR and proposing an RGF as a basis for the Strategic Action Programme (SAP) that is a major output of the Project. The RGF component of the CLME Project combines information drawn from the pilots and case studies with information from additional governance analyses at the level of the entire WCR and also with other studies conducted outside the CLME Project to develop a multi-scale, multi-level RGF. This report describes the work done and the RGF that has been proposed for the SAP.

The development of the RGF has evolved over the duration of the CLME Project, starting with the PDF-B, through interaction with relevant regional organisations. Therefore what is presented here is viewed as a consensus rather than a set of options among which the regional organizations and countries must now decide.

Governance assessment

The governance assessment approach and methodology for the CLME project builds on the methodology developed for the GEF Transboundary Waters Assessment Programme (TWAP). The TWAP approach and methodology has two levels. Level 1 assesses governance architecture. This is the main focus of the assessment for the RGF. It comprises four steps: (1) Identifying the system to be governed, (2) Identifying issues to be governed, (3) identifying and evaluating the arrangements for each issue, (4) assessing the extent of integration and linkage of

arrangements. An arrangement is a policy process or cycle that may involve multiple organizations at several levels on geographical and institutional scales (see Box 1).

The system to be governed in this case is the WCR. The main transboundary issues to be governed were identified in the CLME Project TDA reports as unsustainable exploitation of fisheries, pollution and habitat degradation. However, these were broken into sub-issues and into management units qualified by geography, marine ecosystem type and fisheries type. Arrangements were evaluated by identifying if there were actors responsible for the main policy functions that are essential for effective governance. The extent to which there were responsible actors was used to estimate the percent completeness of the arrangements.

The degree of completeness for the six arrangements assessed for the entire WCR system ranges from 15% - 50% (Table 1) with an overall average of 43%. For the 24 individual sub-issues assessed, it ranges more widely from 0% – 71%. There are no studies from other parts of the world or IW water systems with which to compare these findings but they do suggest that there is a the need to focus attention on building and enhancing governance architecture if effective governance of living marine resources (LMR) is to be achieved in the WCR.

The degree of integration of arrangements for issues within the six systems assessed ranged from zero in the case of the North Brazil Shelf LME to 100% in the case of large pelagic fisheries. In the case of flyingfish, the question of integration was not applicable as there was only one issue. The findings indicate that there is a considerable amount of scope for improvement in the integration of arrangements that is necessary for an effective ecosystem approach. In some cases this will be as simple as building or enhancing lateral linkages, while in others it is the result of scale mismatch in the relevant arrangements.

The overall conclusion from the assessments of governance architecture is that there are many weaknesses in the governance arrangements that can be diagnosed using the assessment methods developed for TWAP and this project and addressed by specific interventions.

The preliminary assessments of governance performance and principles in the CLME Project suggest that there is considerable scope for interventions to improve the extent to which these principles are observed and perceived to be observed in living marine resource governance processes in the WCR.

It is recommended that as living marine resource governance arrangements are developed in the WCR, they should include explicit assessment of the presence of both procedural and fundamental principles in governance processes.

The interfaces between countries and regional and international agreements and activities are considered to be critical components of the framework (vertical linkage) in need of strengthening. *It is recommended that where National Intersectoral Committees (NICs) do not*

exist or are not functioning well, countries form and operationalise or enhance them to serve as a means of integrating ocean affairs at the national level.

It is recommended that a comprehensive assessment that would assess the performance of WCR countries with regard to the four levels of engagement should be reflected in the SAP and should be a significant part of a Regional Environmental Monitoring Programme. In particular, the feasibility of increasing efficiency and effectiveness of country engagement in regional and national processes through collective representation by subregional and regional organizations should be explored.

The Regional Governance Framework

With regard to higher level integration and linkage of arrangements, the geopolitical complexity of the region and the nested, multi-scale and multi-level nature of the living marine resources and the ecosystems that support them inevitably lead to a complex Regional Governance Framework both institutionally and geographically. Therefore a consideration of the integration and linkages among arrangements leads to a set of nested arrangements at both operational and policy levels.

The framework proposed is the overall structure that is thought to be needed for effective governance of LMR in the WCR. It is important to note that a considerable part of the proposed framework already exists. Many regional and subregional organizations are already fulfilling all or part of the roles intended for various parts of the framework. Therefore, in developing the framework, it is important to determine where the many organizations currently involved in transboundary LMR governance in the WCR are involved in the framework.

Planning for strengthening the framework will involve engaging these organizations to determine if they are willing to:

- (a) continue these roles
- (b) expand their mandate and activities to take up appropriate functions within the framework
- (c) develop the interactions and linkages that will be essential if the framework is to function as an effective regional ocean governance framework.

While much of the regional governance architecture which is considered to be necessary exists, there are weak areas and gaps that require attention. However, before strengthening and gap filling activities can be pursued, there is a major first step required. This is the explicit recognition by the countries and organizations of the WCR that this is the desired approach to ocean governance. There should be explicit adoption of the RGF.

Once adopted, the framework building activities needed to strengthen it can be pursued. This would include the explicit steps and activities needed to build and enhance the framework. The recognition and adoption step could be a turning point in the regional conversation about ocean governance from one that is sectoral and organization focused to one that is holistic and focused on addressing issues with an ecosystem approach.

Following are the main recommendations from the governance assessment that pertain to the integrative regional levels of the framework. These provide the basis for the new conversation and a roadmap for moving to a holistic regional perspective.

Regional ocean governance policy arrangement

The operationalisation of a regional ocean governance policy coordination mechanism that would coordinate the entire framework is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Establishing the Secretariat of the CSC,*
- *Developing the CSC as a regional science policy interface for oceans governance with focus on living marine resources,*
- *Establishing a data and information capacity for the CSC as described by the Expert Consultation and initiated by the CLME Project,*
- *Using the CSC to promote ocean governance in general and EAF/EBM in particular within the subregional IGOs - CARICOM (COTED and COFCOR), SICA and OECS.*

This mechanism would be an appropriate one to lead the following activities that should be included in the SAP:

- *Development of a regional ocean governance policy for the WCR, and*
- *Promotion of the use of valuation information in regional decision making and policy setting, by*
 - *Development and implementation of a strategy for promoting the use of valuation information*
 - *Support for pilot gap filling studies of ecosystem value in deficient areas*
 - *Development of regional level estimates and synthesis of marine ecosystem value*

Regional sub-arrangement for marine pollution

The promotion of a regional sub-arrangement for addressing pollution led by the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Explicit recognition and endorsement of the role of UNEP as lead in this arrangement by state parties*
- *Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.*

Regional sub-arrangement for habitat degradation

The promotion of a regional sub-arrangement for addressing coastal and marine habitat degradation led by the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Explicit recognition and endorsement of the role as partners in this arrangement by state parties*
- *Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.*

Regional sub-arrangement for fisheries

The promotion of a regional sub-arrangement for addressing unsustainable use of fisheries resources led by WECAFC is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Explicit recognition and endorsement of the role as partners in this arrangement by state parties*
- *Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.*

The promotion of a regional sub-arrangement to address unsustainable use of coral reef fisheries ecosystems within the above regional sub-arrangement for fisheries and led by WECAFC and the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Explicit recognition and endorsement of the role as partners in this arrangement by state parties*
- *Plans for specific activities aimed at developing this role and institutionalizing a policy process for developing these plans and tracking their implementation*
- *Developing a regional EAF/EBM management plan for reef fisheries ecosystems with regional, subregional and pilot national components including;*
 - *Linkages with the regional sub-arrangements for other fisheries ecosystems, pollution and habitat destruction*
 - *Identifying key transboundary areas that require governance attention and supporting pilot governance assessment and enhancement*
 - *A network of relevant agencies and other actors*

There should be specific interventions in the SAP within the context of the regional arrangement for reef fisheries and biodiversity to address sustainable use of lobster resources in Central America and elsewhere in the WCR (based on a review of the relevance of FAO (2007) classification of lobster stocks):

- *The governance arrangement for Central American lobster fisheries should be strengthened*
 - *This should build on the efforts achieved to date by OSPESCA which should be the lead organization for Group II (North Central) and Group III (South Central) stocks*
 - *Formal engagement status (participating non-member) should be considered for non-SICA members harvesting these stocks so as to enhance the governance arrangement for this fisheries*
 - *A transboundary governance arrangement that allows for the integration of issues affecting the CA lobster fisheries (Groups II and III), including explicit arrangements linking habitat degradation and land-based sources of pollution*
- *A governance arrangement for other major lobster areas should be explored and developed as a secondary priority action.*
 - *For Group IV (Southern stocks), consideration should be given to developing a transboundary mechanism for the South-Eastern Caribbean although this appears to be a lesser priority. For Group I (Northern) stocks, it is recommended that these countries collaborate, along with arrangements for Groups II, III and IV, under the umbrella of a strengthened FAO-WECAFC.*

The recommendations provided in this report, together with those outlined in the governance assessment reports for the pilot projects and case studies are considered to comprise the actions required to move the RGF forward in the next phase of the CLME Project and to provide a strong structural foundation for effective governance of LMR in the WCR.

Acronyms and abbreviations

| | |
|----------|---|
| ACS | Association of Caribbean States |
| CANARI | Caribbean Natural Resources Institute |
| CARICOM | Caribbean Community and Common Market |
| CBD | Convention on Biological Diversity |
| CCA | Causal Chain Analysis |
| CEP | Caribbean Environment Programme |
| CERMES | Centre for Resource Management and Environmental Studies |
| CFRAMP | CARICOM Fisheries Resource Assessment and Management Programme |
| CLME | Caribbean Large Marine Ecosystem |
| CRFM | Caribbean Regional Fisheries Mechanism |
| CSC | Caribbean Sea Commission |
| CSI | Caribbean Sea Initiative |
| EA | Ecosystem Approach |
| EBM | Ecosystem-based Management |
| EEZ | Exclusive Economic Zone |
| FAO | Food and Agricultural Organization |
| IFREMER | Institute Français pour l'exploitation de la mer |
| IMO | International Maritime Organization |
| IOC | Intergovernmental Oceanographic Commission of UNESCO |
| IOCARIBE | Inter-governmental Oceanographic Commission – Caribbean Subcommittee |
| IUU | Illegal, Unregulated and Unreported (fishing) |
| LME | Large Marine Ecosystem |
| LMR | Living Marine Resources |
| LOSC | Law of the Sea Convention |
| MCS | Monitoring, Control and Surveillance |
| MEA | Multilateral Environmental Agreement |
| NBC | North Brazil Current |
| NGO | Non-Governmental Organization |
| NIC | National Inter-ministerial/Inter-sectoral Committee |
| OECS | Organisation of Eastern Caribbean States |
| OSPESCA | Organización del Sector Pesquero y Acuicola del Istmo Centroamericano |
| REMP | Regional Environmental Monitoring Programme |
| SAP | Strategic Action Programme |

| | |
|----------|---|
| SICA | El Sistema de la Integración Centroamericana |
| TDA | Transboundary Diagnostic Analysis |
| TED | Turtle Excluder Device |
| TWAP | GEF Transboundary Waters Assessment Project |
| UN | United Nations |
| UNCLOS | United Nations Convention on the Law of the Sea |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |
| WCR | Wider Caribbean Region |
| WECAFC | Western Central Atlantic Fishery Commission |
| WIDECAST | Wider Caribbean Sea Turtle Network |
| WSSD | World Summit on Sustainable Development |

1 Introduction to the CLME Project and LME Governance Framework

The Caribbean Large Marine Ecosystem and Adjacent Areas (CLME) Project¹ aims to improve management of shared living marine resources (LMRs) in the Wider Caribbean Region (WCR). The Causal Chain Analyses carried out during the Transboundary Diagnostic Analyses for the three fisheries ecosystems have identified weak governance as a root cause of the problems facing these social ecological systems (CLME 2011, Heileman 2011, Mahon et al 2011a, Phillips 2011). Overfishing, pollution and habitat degradation were the three main transboundary issues identified (Heileman 2011, Phillips 2011). Thus the emphasis is on examining governance arrangements for these transboundary issues. In the CLME Project the following broad and inclusive definition of governance has been adopted. “Governance is the whole of public as well as private interactions taken to solve societal problems and create societal opportunities. It includes the formulation and application of principles guiding those interactions and care for institutions that enable them” (Kooiman 2003; Kooiman et al 2005).

The CLME Project has a strong emphasis on assessing LMR governance systems and on proposing ways of strengthening them. The background to the way that governance is treated in the CLME Project, including the development of the LME Governance Framework during the PDF-B Phase of the CLME Project, is described in several journal articles and reports (Fanning et al 2007, Mahon et al 2008, Fanning et al 2009a) and in the CLME Project Transboundary Diagnostic Analysis (TDA) for Governance (Mahon et al 2011a).

In summary, the foundation of the LME Governance Framework is a generic policy cycle; an iterative process that should lead to incremental improvement in management. The different stages in the cycle—data and information, synthesis and provision of advice, decision-making, implementation, and review and evaluation—require different inputs and actors, although there is overlap. For effective governance of LMEs, the policy cycle must be operational at several scale levels. The most obvious of these are local, national, regional (LME region) and international (Fanning et al 2007).

The CLME Project was designed to begin the process of building the LME Governance Framework for the WCR through a series of targeted activities, pilot projects and case studies (referred to collectively hereafter as project components) aimed at specific parts of the framework and at testing the effectiveness of the LME Governance Framework concept (Mahon et al 2008, Fanning et al 2009a)². The purpose of the pilot projects and case studies was to

¹<http://www.clmeproject.org/portal/default.aspx>

²With the reorientation of the CLME Project to an Ecosystem Approach to Fisheries (EAF), and the identification of three major ecosystem types in the Wider Caribbean Region (reef, pelagic and continental shelf), these case studies might be more properly referred to as fisheries ecosystem studies.

explore and understand various key parts of the framework in a 'learning-by-doing' mode. The intention was to explore how developing functionality of policy cycles and linkages in various parts of the framework could lead to improved transboundary LMR governance in the WCR. These CLME project components were designed to encompass the full range of transboundary LMR situations with emphasis on different levels of the framework and different geographical regions of the WCR. The governance assessment aspect of these components has been approached through a common methodology.

In addition to the project components of the CLME Project, there is the Regional Governance Framework (RGF) component that is aimed at analyzing the regional ocean governance situation in the WCR and proposing an RGF as a basis for the Strategic Action Programme that is a major output of the Project. The RGF component of the CLME Project combines information drawn from the pilots and case studies with information from additional governance analyses at the level of the entire WCR and also with other studies conducted outside the CLME Project to develop a multi-scale, multi-level RGF³. This report describes the work done and the RGF that has been proposed for the SAP, and constitutes the overarching report on the RGF.

2 Governance assessment and development of the Regional Governance Framework

The RGF proposed in this report has evolved over the duration of the CLME Project, starting with the PDF-B, through interaction with regional stakeholder organisations. Much of the conceptual basis for the framework was developed in the PDF-B and was accepted by the countries and regional organisations at that stage. What is presented here takes the concepts to the next stage of an actual framework addressing actual issues and identifying organizations and the roles that they would play in the framework. What is presented here is based on assessment and consultation with key partner organizations and is viewed as a consensus to be proposed to the countries for adoption rather than a set of options among which the regional organizations and countries must decide.

2.1 Approach to developing the RGF

In a deliberate effort to provide a concise report to the CLME Project Team, it is important to note that this assessment and proposal does not reiterate, but rather builds on findings arising from work conducted during both the PDF-B and Full Project phases of the CLME Project. With the exception of one document on the interactions among regional organizations involved in ocean governance, (provided as an Appendix to this report), all of the documents have been

³ Scales refer to measures such as time, space (geography), jurisdiction (political). Within each scale there are levels such as local, national, sub-regional, and regional or such as fast and slow.

made available to the CLME Project Team. References to these documents are provided below and it is expected that readers of this report will be familiar with these essential background to the topics being discussed.

2.1.1 Documents pertaining to the LMR Governance Assessment Approach

The LMR governance assessment approach that was used for the CLME project (Mahon et al 2011d) builds on the methodology⁴ developed by Mahon et al (2011b, 2011c) for the Transboundary Waters Assessment Programme (TWAP)⁵. Details of this methodology are provided by Mahon et al (2012). It has been applied in the following project components.

- Continental shelf fisheries ecosystem of the Guianas-Brazil region (Mahon and Phillips 2012)
- Central American lobster fishery ecosystem (Fanning 2012)
- Large pelagic fisheries ecosystem (CERMES 2012b)
- Flyingfish fishery ecosystem (CERMES 2012a)
- Pedro Bank Jamaica reef fishery ecosystem (Mahon 2012)
- Seaflower Biosphere Reserve, Colombia, reef fishery ecosystem (Mahon and Prada 2012)

In this report, the governance assessment methodology will be applied broadly to the entire WCR using the outputs of the above studies conducted during the course of this contract.

2.1.2 Documents pertaining to understanding governance-specific linkages, including the science policy interface

- Assessment of the roles, responsibilities and interactions of regional organizations involved in regional ocean governance (Appendix 1);
- The perception of demand for, and desirable characteristics of, a regional science policy interface (McConney et al 2012);
- The status of economic valuation of marine ecosystem goods and services in the WCR (Schuhmann 2012).

These documents were generated during the course of the contract as key sources of knowledge for understanding the context of regional governance in the WCR.

⁴ Approach refers to the conceptual background and basis for the assessment while methodology refers to the detailed steps for conducting it.

⁵ <http://twap.iwlearn.org/>

2.1.3 Documents and activities relevant to the assessment of regional governance generated in support of the CLME Project

- The symposium on 'Marine ecosystem-based management in the Caribbean: an essential component of Principled Ocean Governance' (Fanning et al 2009b, Fanning et al 2011)
- Communication and coordination mechanisms by which states interact with regional organisations and projects (Mahon et al 2010)
- The Expert Consultation on the Operationalisation of the Caribbean Sea Commission (ACS-CERMES 2010)
- Ongoing activities and outputs of regional IGOs such as the Caribbean Regional Fisheries Mechanism, OSPESCA, OECS and the UNEP-CEP

2.2 Governance assessment methodology

As indicated above, the LMR governance assessment approach for the CLME project (Mahon et al 2011d) builds on the methodology developed by Mahon et al (2011b, 2011c) for the Transboundary Waters Assessment Programme (TWAP). TWAP is a GEF project to develop indicators for monitoring all aspects of the projects in The GEF's International Waters (IW) portfolio⁶. The discussion and methodology paper prepared by Mahon et al (2011b) for the TWAP addresses the monitoring of governance, with a focus on the Large Marine Ecosystem (LME) component of the IW Programme. The governance assessment approach and methodology for the TWAP were developed for the entire GEF LME programme, not only the CLME. However, to a large extent, this TWAP approach and methodology was based on experience gained by the authors in developing the CLME Project. Consequently, adoption and adaptation for use in the CLME Pilots and Case Studies is considered to be appropriate.

The TWAP approach and methodology that has been adopted and adapted for use in the CLME Project is a two-Level one as described by Mahon et al (2011b, 2011c) and summarized in Figure 1. The adaptation of this methodology to the CLME Project is described in detail by Mahon et al (2012). Level 1 assesses governance architecture and some key characteristics are reviewed in Box 1. Level 2 assesses the performance of the arrangements identified in Level 1. In this report only the level 1 assessment will be pursued as this relates directly to governance architecture which is the focus of the Regional Governance Framework. Some preliminary level 2 assessments were carried out for the project components and those reports can be consulted for details.

⁶ <http://www.thegef.org/gef/node/1296>

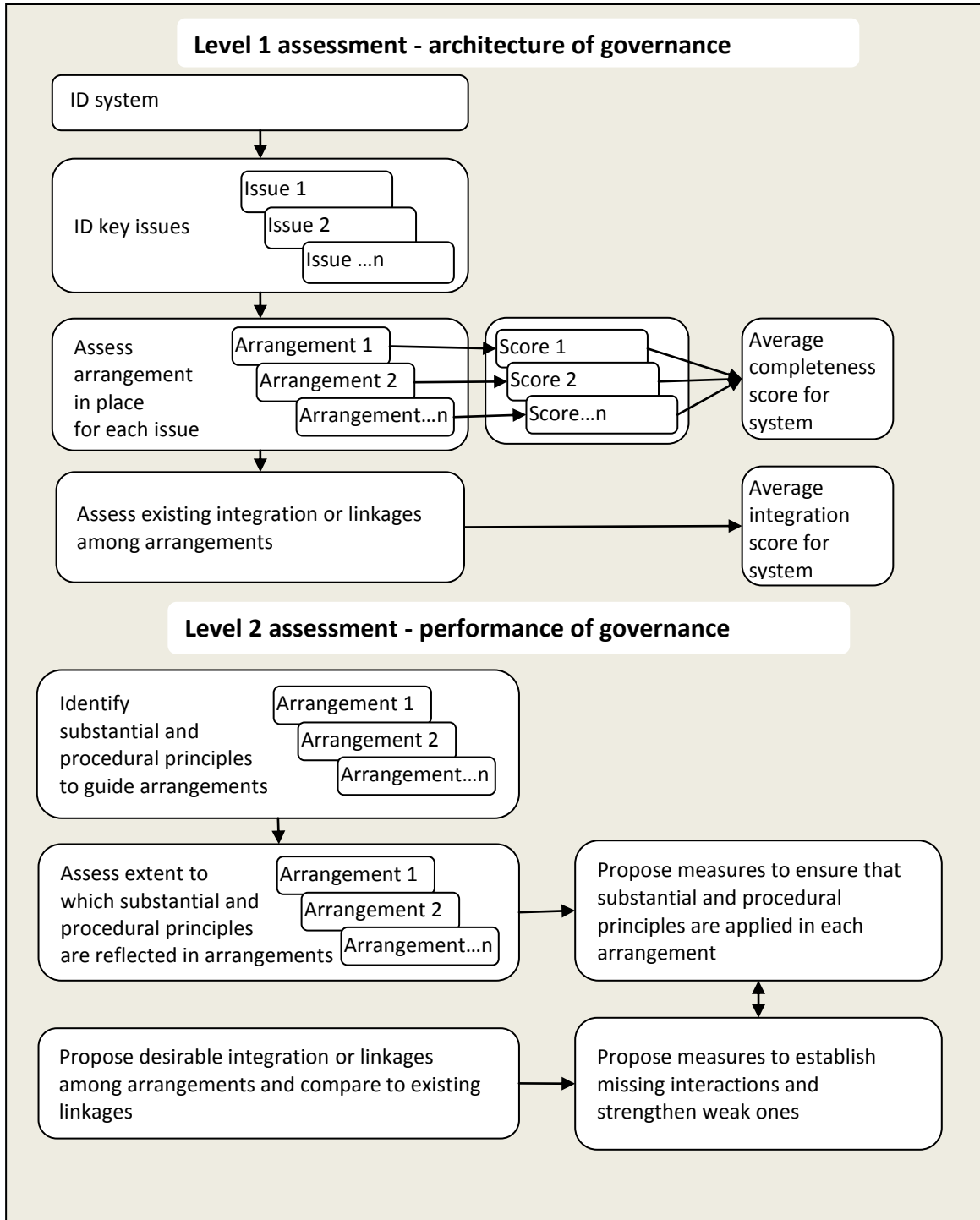


Figure 1. Level 1 and Level 2 process for assessing governance for CLME fishery ecosystems (Mahon et al 2012a)

Box 1

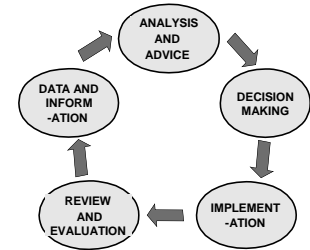
Governance issues and arrangements: Key characteristics that underpin the Regional Governance Framework and assessment

The Regional Governance Framework is made up of linked governance arrangements. There must be one arrangement for each actual or potential issue.

Governance arrangements

To be effective each 'governance arrangement' must have:

- A complete policy process that can - take up data and information, generate advice, make decisions, implement decisions and review all aspects of the process (as per figure at right)
- Capacity for (1) Policy advice and decision-making (2) Management planning and decision-making (3) Day-to-day action.



Similar issues may be covered by similar arrangements, which may be integrated for efficiency and to achieve EBM

An arrangement may involve multiple organizations at several geographical and institutional scale levels.

Governance issues

The definition of 'issues' has been a difficult aspect of developing the RGF because issues can be defined very broadly or broken down into very detailed sub-issues. For example, marine pollution can be broken down into land-based and marine-based. In turn land-based pollution can be broken into sub-issues such as industrial point source pollution, agricultural runoff, and groundwater percolation into the marine environment.

Issues can also be partitioned in several other ways, for example, geographically or by marine ecosystem. To illustrate, overfishing is an issue that for the purposes of establishing appropriate governance arrangements will need to be subdivided by ecosystem type (e.g. reef, pelagic), and possibly within that by resource type (e.g. for reefs, reef fishes, lobster, conch), or geographically (e.g. for lobster, the different lobster areas of the WCR).

In order to avoid the cumbersome terminology of issues, sub-issues, sub-sub-issues, etc. we refer to the matter to be addressed by an arrangement as an issue at whatever level of breakdown or partitioning is considered to be appropriate for a separate governance arrangement.

3 Assessment of governance architecture in the WCR

3.1 System to be governed

Governance of LMR must be place-based (Crowder et al 2006, Young et al 2007). Therefore, the geographical boundaries of the system and the countries involved in the fishery ecosystem must be clearly identified as a basis for determining issues and arrangements.

This assessment covers the entire Wider Caribbean Region (WCR) (Figure 2) which is a recognized geopolitical entity defined by the Cartagena Convention for which the UNEP Regional Coordinating Unit is the Secretariat. It extends from the mouth of the Amazon River, Brazil, in the south, through the insular Caribbean, Central America, the Gulf of Mexico and north along the east coast of North America to Cape Hatteras. Other regional organisations also perceive this as an ocean management area. There are four LMEs within the WCR: The Caribbean Sea LME, the Gulf of Mexico LME, the North Brazil Shelf LME and the Southeast US Continental Shelf LME. The WCR includes 29 countries and 15 territories that are dependencies of France, United Kingdom, United States and The Netherlands. The EEZs of these countries encompass the entire region out to 200 nautical miles east of the Lesser Antilles resulting in sharing of living marine resources and associated transboundary resource management issues to a high degree.

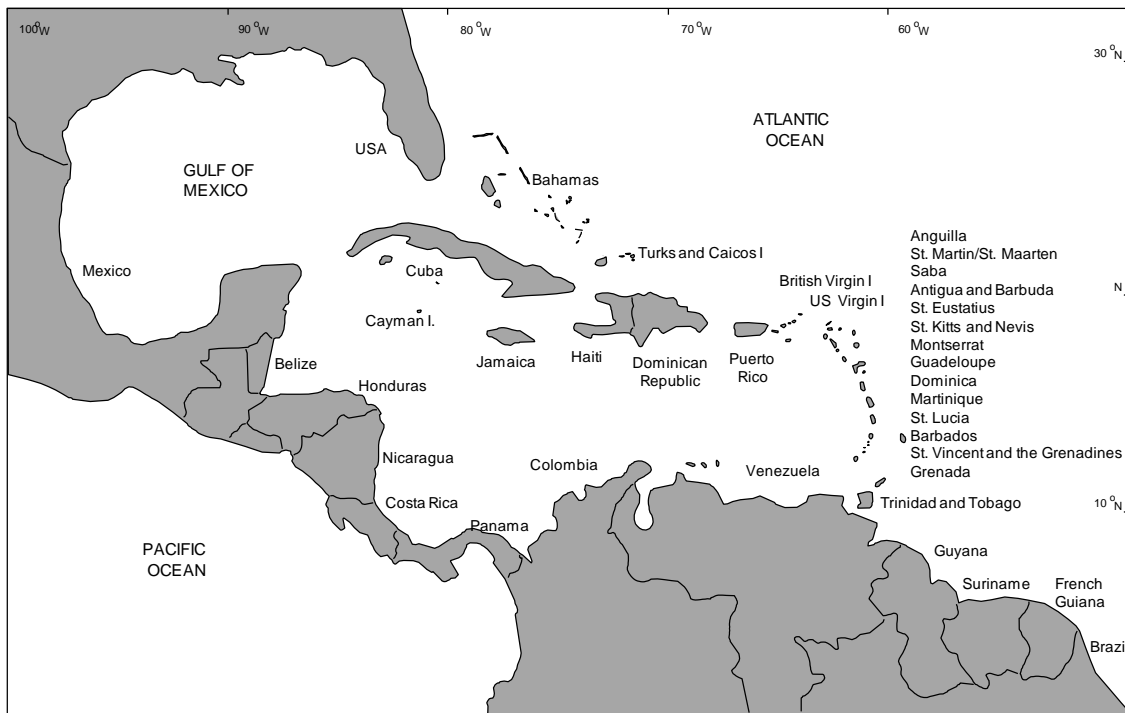


Figure 2. The Wider Caribbean Region

3.2 Issues to be governed

The desired approach to governance of the living marine resources of the Wider Caribbean Region is an integrated one that is consistent with ecosystem based management (EBM) or the ecosystem approach to fisheries (EAF) of FAO. This requires that the full range of issues that may be relevant to sustainable use of living marine resources be considered.

An effort was made to elaborate what the EAF/EBM would mean for the WCR in 2008 at the 'Regional symposium on marine EBM in the Wider Caribbean' (Fanning et al 2011). A facilitated process was used to develop a vision for marine EAF/EBM for the fisheries ecosystems of the WCR and to identify strategic direction to be pursued in achieving EAF/EBM (Mahon et al 2011).

The term 'issue' has a specific meaning and context in the assessment (Box 1). The key issues to be considered for governance in the present assessment were identified by the Transboundary Diagnostic Analyses for the three fisheries ecosystems and for governance (Heileman 2011, Mahon et al 2011, and Phillips 2011). As described in Box 1 there is a high degree of subdivision and nesting of the issues that are considered to need governance arrangements.

Following is a list showing the three broad issues and their nested sub-issues, each of which is considered to require a separate governance arrangement within the Regional Governance Framework.

- Issue: Unsustainable use of the fisheries resources
 - Unsustainable use of continental shelf fisheries ecosystems
 - North Brazil Shelf LME (assessed Mahon and Phillips 2012)
 - Other areas
 - Unsustainable use of reef fisheries ecosystems – reef fishes and other biodiversity
 - Pedro Bank fisheries ecosystem (Mahon 2012a)
 - Seaflower Marine Protected Area (Mahon 2012b)
 - Other reef fisheries ecosystems
 - Unsustainable use of lobster fisheries ecosystems
 - Central America – North Central/South Central stocks (Groups II and III)(Fanning 2012)
 - Northern stock (Group I)
 - Southern stock (Group IV)
 - Unsustainable use of pelagic fisheries ecosystem
 - Large pelagics– coastal and oceanic (CERMES 2012b)
 - Eastern Caribbean flyingfish (CERMES 2012a)
- Issue: Marine pollution
 - Land-based sources of pollution
 - Marine based sources of pollution
- Issue: Coastal and marine habitat degradation and destruction (wetlands/mangroves)

As governance reforms are implemented and governance processes practiced, there may be the need to take up other issues or to further partition some of the issues above. For example there are other important fisheries in the reef ecosystem, such as conch and coastal pelagic, as well as many minor fisheries, such as sea urchins, octopus and marine algae that should be brought into the issue set and framework in the future. An important fishery that may be considered as part of the reef ecosystem or as a fishery ecosystem in its own right is the deep slope of island and continental shelves from which snapper and groupers resources are harvested.

For marine pollution and coastal and marine habitat degradation, the lack of breakdown is mainly due to the fact that these issues were not the primary focus of the CLME governance assessment. As these are more comprehensively assessed, it can be expected that there will be sub-issues requiring their own assessments and arrangements. In some cases there may be arrangements that already exist but are not well known or have not been recognized as such and that can be incorporated into the framework.

3.3 Regional arrangements for the issues

In this section we summarise and evaluate the findings of the seven governance assessments that were carried out in the project components to inform the development of the SAP in general and the RGF in particular (Table 1).

3.3.1 Completeness of policy cycles

The degree of completeness for the six arrangements assessed for the entire WCR system ranges from 15% - 50% (Table 1) with an overall average of 43%. For the 24 individual issues assessed it ranges more widely from 0% – 71%. There are no studies from other parts of the world or IW water systems with which to compare these findings but they do suggest that there is a need to focus attention on building and enhancing governance architecture if effective governance of LMR is to be achieved in the WCR.

In Figure 3 the issues are broken down into four categories: Biodiversity/habitat degradation, fisheries, pollution and other (piracy and disaster risk reduction). This figure must be interpreted with caution as the overall sample size is small (24) and the biodiversity/habitat and other categories have only 4 and 2 cases respectively. Nonetheless, for fisheries and pollution the fact that the interquartile ranges do not overlap suggest that there may be a real difference in architecture between these two issues.

Table 1. Comparison of issues, governance arrangements and levels of priority and integration across the Pilot Projects and Case Studies assessed for the CLME Project

| Ecosystems | CLME Pilots/Case Studies | Countries and/or study sites | Identified Issues | Arrangements/issuesc ompleteness | Assessed level of priority and integration | | |
|---------------------------------------|---|---|--|----------------------------------|---|-----|--|
| Continental shelf fisheries ecosystem | Shrimp and groundfish on the Guianas-Brazil shelf | Brazil, French Guiana, Suriname, Guyana, Trinidad and Tobago, Venezuela | 1. Fisheries for shrimp and groundfish | 48% | Priority = Medium (6/9) Integration = 0% | | |
| | | | 2. Land-based pollution | 19% | | | |
| | | | 3. Coastal habitat destruction | 86% | | | |
| | | | 4. Piracy | 0% | | | |
| | | | Overall | 38% | | | |
| Reef fisheries ecosystem | Biodiversity and reef fisheries | Jamaica - Pedro Bank | 1. Finfish fishing (consider invasive lionfish) | 40% | Priority = Medium (5.5/9) Integration = 57% | | |
| | | | 2. Conch fishing | 61% | | | |
| | | | 3. Lobster fishing | 50% | | | |
| | | | | | 4. Seabird and sea turtle biodiversity | 42% | |
| | | | | | 5. Land based pollution | 27% | |
| | | | | | 6. Marine-based pollution | 40% | |
| | | | Overall | 43% | | | |
| | | Colombia - Seaflower MPA | 1. Fisheries | 57% | Priority = Low Integration = | | |
| | | | 2. Reef ecosystem biodiversity and structure | 67% | | | |
| | | | 3. Land and marine sources of pollution | 71% | | | |
| | | | 4. Natural disaster risk management | 48% | | | |
| | | | Overall | 61% | | | |
| | Lobster pilot | Belize, Honduras, Guatemala, Nicaragua, Costa Rica, Panama | 1. Overfishing | 61% | Priority = Low to medium (4.6/9) Integration = 55% | | |
| | | | 2. Illegal fishing | 48% | | | |
| | | | 3. Monitoring, control and surveillance | 33% | | | |
| | | | 4. Habitat degradation and biodiversity protection | 33% | | | |
| | | | 5. Land-based sources of marine pollution | 38% | | | |
| | | | 6. Marine-based sources of pollution | 43% | | | |
| | | | Overall | 43% | | | |
| Pelagic fisheries ecosystem | Large pelagics | All WCR countries | 1. Overfishing oceanic large pelagics | 71% | Priority = Low to medium (5/9) | | |
| | | | 2. Overfishing coastal large pelagic | 14% | | | |
| | | | 3. Managing ocean environmental quality | 10% | Integration = 100% | | |
| | | | Overall | 32% | | | |

| Ecosystems | CLME Pilots/Case Studies | Countries and/or study sites | Identified Issues | Arrangements/issuessc ompletteness | Assessed level of priority and integration |
|------------|------------------------------|--|--|------------------------------------|---|
| | Eastern Caribbean flyingfish | Barbados, Dominica, France (Martinique), Grenada, St. Vincent and the Grenadines, St. Lucia, and Trinidad and Tobago | 1. Resource sharing (allocation, access and IUU fishing) | 43% | Priority = Medium to high (6/9) Integration = Not applicable |
| | | | Overall | 43% | |
| | | | WCR overall average | 43% | |

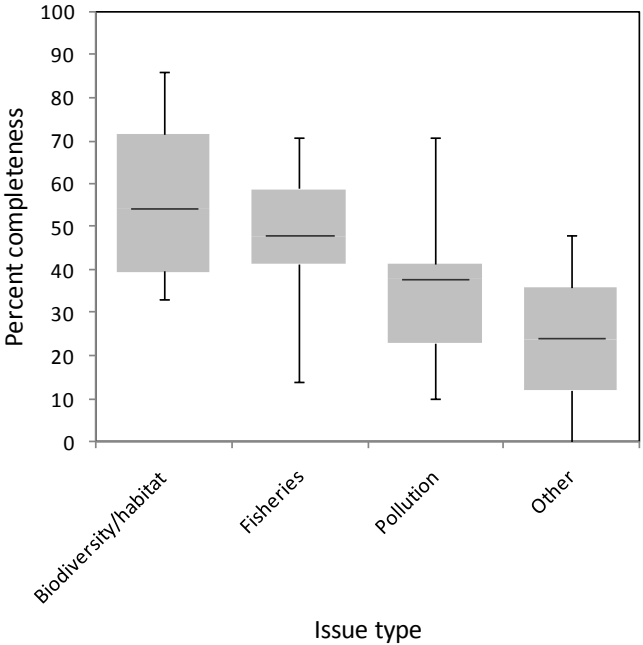


Figure 3. The medians, upper and lower quartiles and ranges of percent completeness for the 24 issues assessed divided into four categories.

The completeness scores for individual policy cycle stages for all 24 issues covered by the assessments are summarized in Figure 4. Of the 168 scores assigned to policy cycle stages, 15% were zeros (indicating that no arrangement was in place for the policy cycle stage), 42% were

ones (indicating a low level of completeness), 39% were twos (indicating a medium level of completeness) while only 5% were threes (indicating a high level of completeness). This indicates that there is a considerable amount of improvement needed to move these governance arrangements to a situation where the minimum score in any stage of any policy cycles is a two; which could be viewed as the minimum acceptable level.

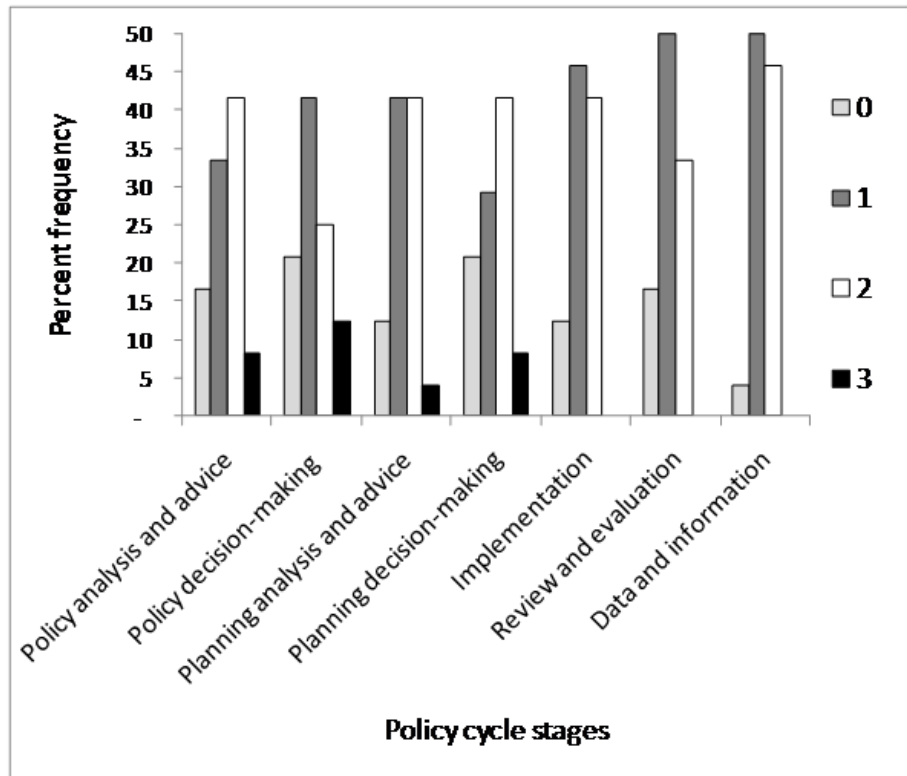


Figure 4. The percent frequency of completeness scores for policy cycles stages across all 24 issues assessed (0 = absent, 1 = low (ad hoc, irregular, unsupported by formal documentation or little known by stakeholders), 2 = medium, 3 = high (clearly identifiable, regular, documented or supported by policy and legislation and widely known among stakeholders))

Closer inspection of Figure 4 indicates that the distribution of scores was similar across all policy cycles stages. However, there is a tendency for the analysis and advice and decision-making stages to have a higher incidence of threes than the other stages. These higher scores are mostly from the national level assessments in which decision-making is clearly seen as being the responsibility of ministers and cabinets. The conclusion from this perspective on the policy cycles associated with the governance arrangements assessed is that any stage of the policy cycle may be absent or weak and thus contribute to incompleteness of the overall process and the breakdown of governance. This underscores the need to look at the entire process in each case to determine where the weakness may lie and to use this as a basis for discussion among stakeholders regarding how to address the problem. Further probing of the process using the

level 2 assessment tool applied in some components can provide insight into what is lacking and needs fixing.

3.3.2 Integration of arrangements for issues within systems

The degree of integration of arrangements for issues within the six systems assessed ranged from zero in the case of the North Brazil Shelf LME to 100% in the case of large pelagic fisheries (Table 1). In the case of flyingfish the question of integration was not applicable as there was only one issue. These findings indicate that there is a considerable amount of scope for institutional reform that would facilitate the integration of arrangements that is necessary for an effective ecosystem approach. In some cases this will be as simple as building or enhancing lateral linkages between arrangements, while in others it is the result of scale mismatch in the relevant arrangements.

3.3.3 Overall conclusion from the assessments of governance architecture

The overall conclusion from the assessments of governance architecture is that there are many weaknesses in the governance arrangements that can be diagnosed using the assessment methods developed for TWAP and this project. These weaknesses can be addressed by specific interventions. The recommendations provided in the reports for the six components indicate what these interventions should be.

The arrangements assessed in Table 1 are considered to cover the major set of fisheries ecosystems and their LMRs in the CLME Project area. However, they are not a comprehensive set either geographically or in terms of LMRs. Therefore, the RGF must also be flexible and capable of incorporating new arrangements as the need for them is identified and they are developed. It should also be noted that these assessments are the first of their type and that they are based on inputs from stakeholders who for the most part are not accustomed to thinking about institutional architecture. As these assessments become more frequent and extensive and stakeholders become more familiar with the concepts and methods, the assessments will improve. This is just the beginning of a different type of conversation than has been the norm in the region for living marine resources.

3.4 Integration and linkage of arrangements between systems - at the regional scale

The assessments reported upon in the previous section are of specific fishery ecosystems and fisheries. There is the need for a higher or more overarching architecture that will integrate these and other arrangements. As has frequently been emphasized for the WCR, the geopolitical complexity of the region and the nested, multi-scale and multi-level nature of the living marine resources and the ecosystems that support them inevitably lead to a complex Regional Governance Framework comprising multiple scales and levels both institutionally and

geographically. Therefore a consideration of the integration and linkages among arrangements leads to a set of nested arrangements at both operational and policy levels such as is depicted in Figure 5a and 5b. The subdivision into policy and planning/operations is conceptually important for effective governance, but may be artificial in institutional terms since policy and planning/operations may be taken care of within the same institutional arrangement. They have been presented separately here for discussion purposes.

The remainder of this section will elaborate on the RGF structure outlined in Figure 5 which identifies the overall structure that is thought to be needed for effective governance of LMR in the WCR. The task here is to identify the parts of the framework that already exist and where there is the need to enhance or add to it; including building linkages among existing parts of the framework. A considerable part of the proposed framework already exists. Many regional and sub-regional organizations are already fulfilling all or part of the roles intended for various parts of the framework. Therefore, in developing the framework, it is important to determine where and how the many organizations currently involved in transboundary living marine resource governance in the WCR are involved in the framework. Planning for strengthening the framework will involve engaging these organizations to determine if they are willing to:

- (a) continue these roles;
- (b) expand their mandates and activities to take up appropriate functions within the framework;
- (c) develop the interactions and linkages that will be essential if the framework is to function as an effective regional ocean governance framework.

An analysis of the mandates and activities of regional organizations was carried out in support of developing the Regional Governance Framework (Appendix 1). Altogether 25 regional or subregional organizations were found to have an interest in transboundary living marine resources. The mandates and activities were reviewed with reference to the major issue areas identified in the TDAs as well as the three fisheries ecosystems ((CLME 2011, Heileman 2011, Mahon et al 2011a, Phillips 2011). The analysis presented in Appendix 1 facilitates the identification of which organizations should be involved in the various framework areas identified in Figure 5, and whether this should be in a lead or supporting role.

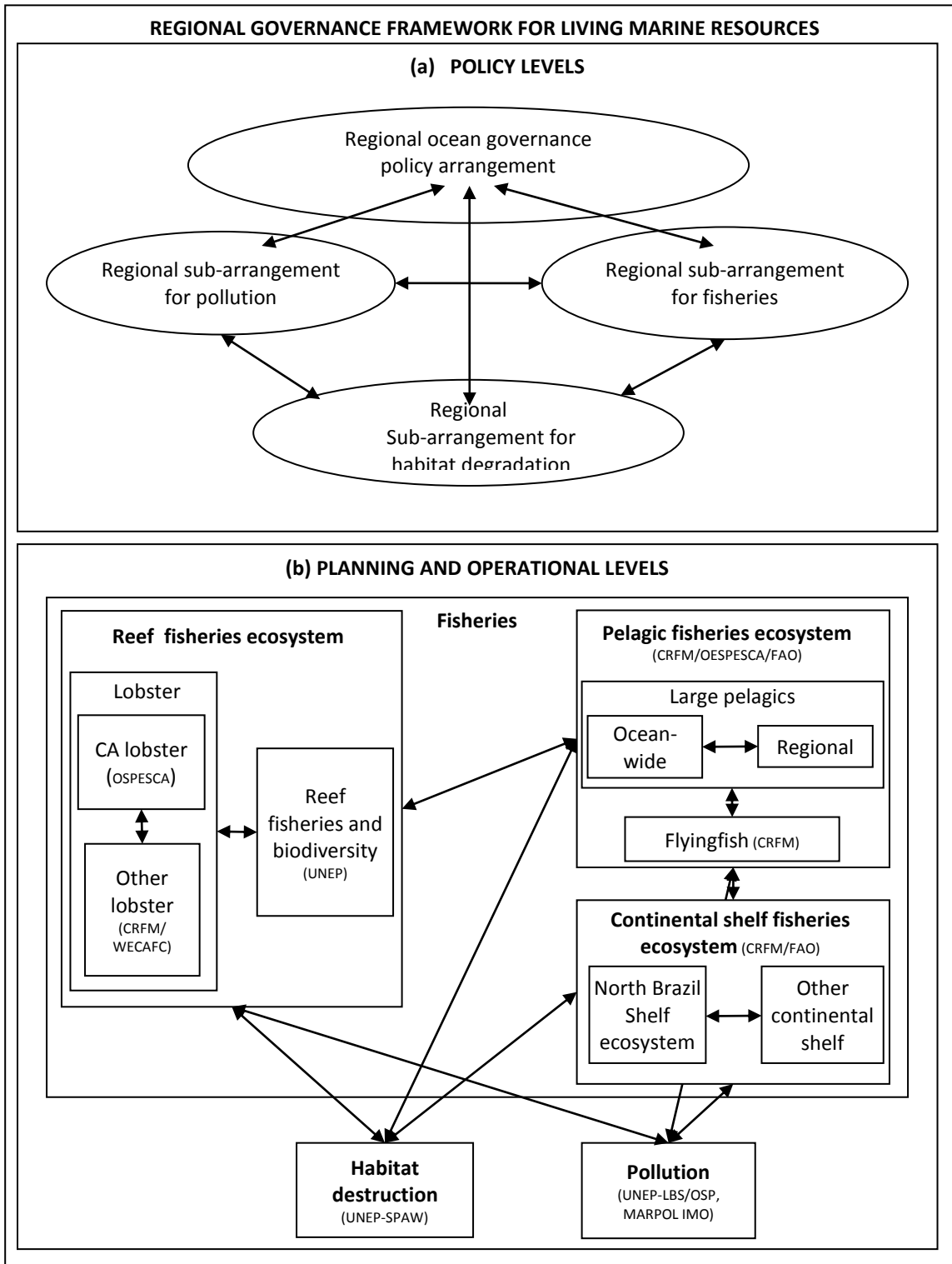


Figure 5: Diagrammatic representation of the nested, multi-scale level nature of the proposed Regional Governance Framework for EAF of living marine resources in the WCR (likely lead organization)

3.4.1 Regional ocean governance policy arrangement

The need for an overarching arrangement for ocean policy coordination in the region that can deal with the three LMR issues as well as other ocean governance issues has often been noted. The function of such an arrangement would be expected to extend beyond the governance of living marine resources to include other sectors that should be integrated into ocean governance: tourism, shipping, oil and gas, minerals, etc. Such an arrangement must have the geopolitical scope to include all the countries of the WCR and must also have the oceans focus needed to give ocean policy and governance the prominence that it should have in the WCR where there is such intense use of and dependency upon the sea.

The challenge is to find an organization that can play the lead role in ocean policy coordination at the level of the WCR. Such an organization should have:

- Full membership of countries in the WCR,
- The potential for a complete policy cycle,
- Especially with access to a high level policy-making body.

Thus far, there is only one organization that approaches the geopolitical scope and oceans focus needed; the Caribbean Sea Commission (CSC) of the Association of Caribbean States (ACS) (Appendix 1). The CSC was established in 2008 to 'promote and oversee the sustainable use of the Caribbean Sea'. Thus its mandate closely approximates the perceived role of an organization that would lead ocean policy coordination in the region. In light of this, the CSC held an Expert Consultation in 2010 at which it outlined its proposed approach to pursuing this role and sought feedback and endorsement from many of the organizations reviewed in Appendix 1, as well as some national ones (ACS-CERMES 2010).

The proposed role of the CSC envisaged it as having the following characteristics:

- It would make best use of the full range of information and expertise available in the region by creating an effective network;
- It would allow for two-way communication and information flow: upwards from information sources through an advisory mechanism to policy makers and back down for feedback and queries;
- Its processes would be regular and transparent.

The Consultation addressed three topics that are significant for the CSC:

- Regional ocean governance architecture and the role of the CSC
- The science-policy interface of the CSC
- The information system to support the interface.

Participants, who represented the majority of regional and sub-regional organizations with an interest in LMR in the WCR, concluded that the proposed structure and operation of the CSC could provide considerable added-value to the current ocean governance arrangements in the Wider Caribbean Region (Box 2). Many participants indicated their willingness and the readiness of their organisations to take part in the process of building the CSC. These conclusions and recommendations were endorsed by the ACS Council and the CSC was given a mandate to seek the funding required to pursue these objectives.

A primary difficulty with the uptake by the CSC of the lead role for ocean policy coordination in the region is that not all countries with an interest in ocean governance in the WCR are included in the ACS. The United States of America is not eligible for membership. With regard to the CSC itself, one objective is stated as follows: *‘to establish a forum where the parties States and Associate Members of the ACS and other interested States and territories could consider, examine and review the economic, social and recreational uses of the Caribbean Sea, its resources and related activities, including those undertaken within the framework of intergovernmental organizations, and to identify fields in which they could benefit from enhanced international co-operation, co-ordination and concerted action;’*. This suggests that ‘other interested states’ are entitled to participate if they wish. However, it is not clear if this includes non-ACS countries. Even if the US can participate in the CSC as an interested state, it cannot participate in any decision-making/policy-setting by the ACS council.

Box 2

Conclusions of the Expert Consultation on Operationalisation of the Caribbean Sea Commission

General conclusions

- The Caribbean Sea is a common shared resource and that the function of the CSC should be to oversee and promote the sustainable use of the Caribbean Sea as a whole;
- Considerable expertise and information is available within the various groups present, but seldom used by decision-makers;
- The likely reason is that many sources are unconnected to science-policy interfaces;
- There is the need for a regional science-policy interface;
- The CSC should focus on the connection between science, policy making and policy coherence at the regional level;
- The proposed structure was workable with modifications;
- Participants were committed to working together to build this interface.

Ideas, recommendations and constraints from the Working Groups

- The CSC can promote cooperation at both regional and national levels by facilitating networking among existing formal bodies and promoting mechanisms needed to build consensus at national and regional levels;
- The CSC should work as much as possible through existing mechanisms and organisations to avoid overlaps and duplication of effort. It must clearly define its own role in relation to regional partners;
- National level inputs and engagement are critical for success as decisions of the CSC are implemented by countries. Mechanisms are needed for obtaining national commitment for implementation;
- Clear planning should underlie the development of the CSC in all areas to produce clear definitions of the roles and functions of the CSC and its Sub-commissions as well as of roles and responsibilities of partners - a Strategic Action Plan that includes regular evaluation of programmes to identify strengths, weaknesses and effectiveness is needed;
- Legal arrangements are important and ultimately a legally binding instrument under which there could be consequences or sanctions will be needed to protect the resources of the Caribbean;
- Dedicated financial and human resources are essential for the CSC to achieve its objectives. These include both start-up and sustainable financing;
- The CSC needs a dedicated Secretariat with staff, funding, and appropriate location to support its work and that of the Sub-commissions;
- Several key principles for success include, transparency of activities and open access to sharing of information, inclusivity, with national and regional partners being fully engaged in planning and decision-making, efficiency and effectiveness, ensured through regular monitoring and evaluation;
- The information system to support the science policy interface should be distributed rather than a central repository.
 - It should provide a regional portal for data and information gathering and interpretation.
 - It should facilitate equitable access to information in participating countries and by all organisations in the region;
- Communication will be the key to the success of the CSC. Information and communication strategies are needed for policy makers, national and regional partners and the general public;
 - Communication should promote bringing science to policymakers and help policy makers frame appropriate questions for scientists.
 - Public information is a key element if the benefits of the CSC are to be recognised in the region
- Capacity building is essential for success of the CSC especially the information system owing to widely different capacities of countries to provide and generate information.

This situation is likely to create problems with the CSC being recognized by stakeholders as a competent body for ocean governance in the WCR. To be so considered, all interested parties must be able to participate. Options for addressing this difficulty include:

- Making the US eligible for membership in the ACS
- Dissociating the CSC from the ACS and establishing its own ministerial decision-making body.

Set out below and in following sections are recommendations for the SAP that parties interested in WCR ocean governance should carefully consider in light of the RGF assessment.

The operationalisation of a regional ocean governance policy coordination mechanism that would coordinate the entire framework is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- ***Establishing the Secretariat of the CSC,***
- ***Developing the CSC as a regional science policy interface for oceans governance with focus on living marine resources,***
- ***Establishing a data and information capacity for the CSC as described by the Expert Consultation and initiated by the CLME Project,***
- ***Using the CSC to promote ocean governance in general and EAF/EBM in particular within the subregional IGOs -CARICOM (COTED and COFCOR), SICA and OECS.***

This mechanism would be an appropriate one to lead the following activities that should be included in the SAP:

- ***Development of a regional ocean governance policy for the WCR, and***
- ***Promotion of the use of valuation information in regional decision making and policy setting, by***
 - ***Development and implementation of a strategy for promoting the use of valuation information***
 - ***Support for pilot gap filling studies of ecosystem value in deficient areas***
 - ***Development of regional level estimates and synthesis of marine ecosystem value***

3.4.2 Regional sub-arrangement for marine pollution

The broad transboundary issue of marine pollution requires a regional sub-arrangement. This issue can be treated as two sub-issues: Land-based sources of pollution (LBS) and marine-based sources of pollution (MBS). In both cases they are being addressed by well established active organizations whose activities can be enhanced to take up the roles envisaged. In the case of LBS, the UNEP CEP is the secretariat for the LBS Protocol of the Cartagena Convention and has been actively promoting national and regional initiatives to address this issue on multiple spatial scale levels. In the case of MBS, the IMO has been pursuing many aspects of this issue through the MarPol Convention and its Annexes. However, while the IMO has a 'regional

presence' it does not have a regional body comparable to that of UNEP, FAO or UNESCO-IOC. It would therefore fall to the UNEP CEP RCU to act as the regional body that would facilitate the implementation of the MarPol Convention (a global MEA) within the WCR.

The regional sub-arrangement for marine pollution would therefore be led by UNEP CEP which would address both sub-issues and promote interaction with the regional sub-arrangements for fisheries and habitat degradation. The policy cycle for the LBS aspect of marine pollution can be considered to be complete in the sense that there is scope for all five stages under the UNEP CEP in connection with the LBS Protocol. The situation is less clear for MBS as there does not appear to be a regional process that addresses more than the marine oil spill aspect of this sub-issue. Pursuit of this regional sub-arrangement would require explicit recognition and endorsement of the roles of the organisation by state parties. Next steps would require plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.

There are at least 17 other organizations in the WCR that are actively involved in various aspects of the policy cycle with regard to marine pollution- AMLC, ARPEL, CATHALAC, CTO, GCFI, IOCARIBE, TNC, WECAFC, CAST, CEHI, CRFM, UWI, OECS, CCAD, COCATRAM, OSPESCA (Appendix 1). The regional sub-arrangement would seek to promote collaboration among them. An initial assessment of the extent to which these organizations interact (regardless to policy cycle stage) is depicted in (Figure 6). The CEP is clearly the most central organization in the network in regard to the number of connections with other organizations. Overall, however, connectivity in this network appears to be low, although there are no absolute standards for optimal levels of connectivity. A more detailed analysis of these interactions is in progress and will be available to inform the implementation of the SAP.

One of the institutional matters that will require attention for both sub-issues is the arrangements for interaction at smaller spatial scales than the entire WCR. Both organizations operate at the scale of the entire WCR. However, for there to be effective input into EAF/EBM in marine ecosystems that are smaller than the WCR, there will be the need to define geographical subunits for operational purposes (Box 3). This question of nested arrangements for issues will be revisited at other places in the discussion of the Regional Governance Framework.

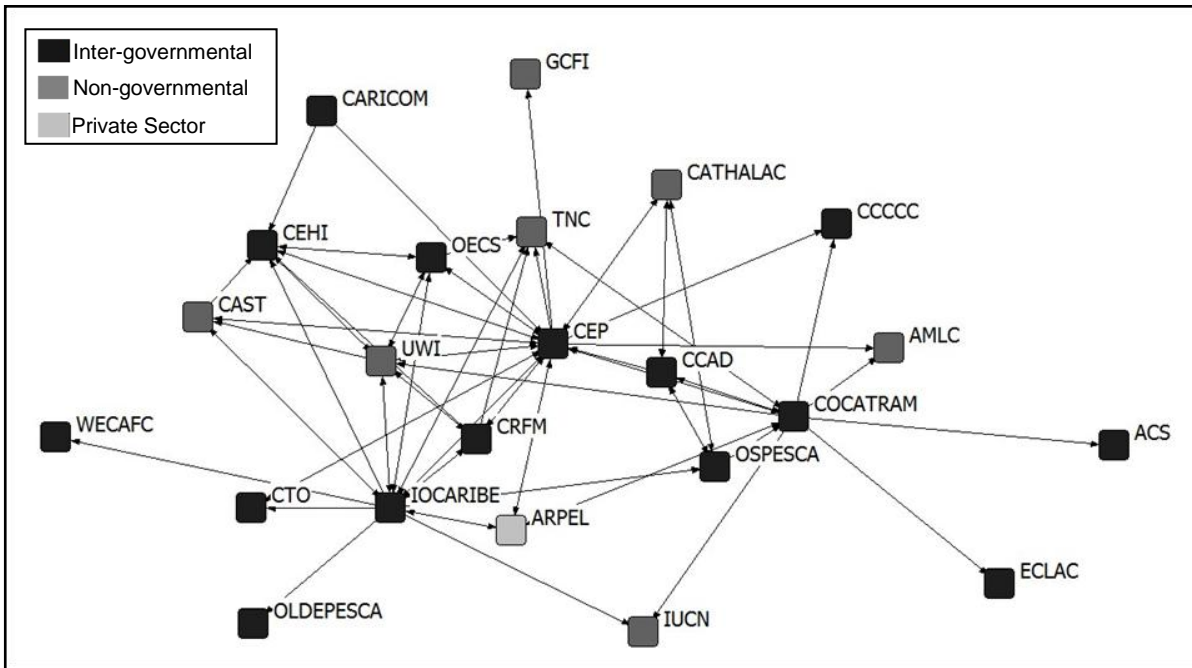


Figure 6. The network of interactions among organizations that indicated an interest in the issue of marine pollution (see list of acronyms to identify organizations) (density = 15% of possible interactions).

Box 3

Nesting within regional sub-arrangements for the Ecosystem Approach at lower scale levels.

For regional arrangements and sub-arrangements effective input into EAF/EBM at the scale levels of marine ecosystems that are smaller than the WCR will require that geographical subregional arrangements be defined for operational purposes. This matter has been most fully developed with regard to the Guianas-Brazil Continental Shelf Fisheries Ecosystem (North Brazil Shelf LME) (Mahon and Phillips 2012). To elaborate briefly; that ecosystem should be treated as an entity for governance purposes. Therefore, it will need arrangements at the scale of that ecosystem or in other words that involve specifically the six countries that share the ecosystem. While an arrangement could be identified at that scale for fisheries, there was none for LBS (nor would there be one for MBS) within which those six countries could address their LBS issues and relate them to (a) other facets of EAF/EBM at the level of the Guianas-Brazil Continental Shelf Fisheries Ecosystem and (b) LBS initiatives at the WCR level.

SAP recommendation:

The promotion of a regional sub-arrangement for pollution led by the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- **Explicit recognition and endorsement of the role of UNEP as lead in this arrangement by state parties**

- ***Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.***

3.4.3 Regional sub-arrangement for habitat degradation

The broad transboundary issue of coastal and marine habitat degradation requires a regional sub-arrangement. It is not entirely clear which organization has a mandate to take the lead in the coordination of initiatives to address this issue and in integrating it into marine pollution and fisheries in order to achieve an ecosystem approach. It could be argued that maintenance of habitats is such an integral component of fisheries that it should not be treated as a separate issue, and that it should be taken up as a component of the two other key transboundary issue areas of fisheries and pollution. However, there is a marine biodiversity aspect to habitat degradation that, while related to fisheries, may be of equal and parallel importance to an extent that it should be treated separately. This may be especially true in cases where the goods and services provided by the habitats and their biodiversity are related more to tourism sustainability than to fisheries. This is often the case for marine habitats and biodiversity in the WCR (Schuhmann 2012). For these reasons and also because habitat degradation was identified as a separate major issue in the TDAs, we propose that it be treated separately in the SAP and that its relationship to the other issues be explored and evaluated during SAP implementation.

Given the broad scope of the Cartagena convention regarding protection of the marine environment in the WCR⁷, it appears to be the most appropriate umbrella under which to address coastal and marine habitat degradation. Thus the appropriate lead organization would be the RCU of the UNEP CEP. The Cartagena Convention has a strong focus on pollution which has already been noted in the previous section. It is less clear about other aspects of habitat degradation. With regard to protected areas, its scope as stated in Article 10 is relatively narrow, being to “...take all appropriate measures to protect and preserve rare or fragile ecosystems, as well as the habitat of depleted, threatened or endangered species, in the Convention area.” The Specially Protected Areas and Wildlife (SPAW) Protocol of the Cartagena Convention elaborates on Article 10 but does not really broaden the scope beyond rare or fragile ecosystems and threatened or endangered species. There is the need to broaden the discourse on coastal and marine habitat destruction and degradation beyond protected areas

⁷ Cartagena Convention Article 4.1: The Contracting Parties shall, individually or jointly, take all appropriate measures in conformity with international law and in accordance with this Convention and those of its protocols in force to which they are parties to prevent, reduce and control pollution of the Convention area and to ensure sound environmental management, using for this purpose the best practicable means at their disposal and in accordance with their capabilities.

and endangered species to encompass ecosystem health in a holistic way as envisaged by the ecosystem approach.

The regional sub-arrangement for coastal and marine habitat degradation should be led by the UNEP RCU which should promote interaction with the regional sub-arrangements for fisheries and pollution. This would represent a significant expansion in scope for the RCU and would need to be adequately resourced. There would also be the need for development of a policy process to address this issue. This might require a separate sub-process within the existing process for the Cartagena Convention (Appendix 1). Pursuit of this regional sub-arrangement would require explicit recognition and endorsement of the role as partners in this arrangement by state parties. Next steps would require plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.

As with the case of pollution, an institutional matter that will require attention is the arrangements for interaction at smaller spatial scales than the entire WCR. The UNEP CEP operates at the scale of the entire WCR. However, for there to be effective input into EAF/EBM at the scale of the marine ecosystems that are smaller than and nested within the WCR there will be the need to define geographical subunits for operational purposes (Box 2).

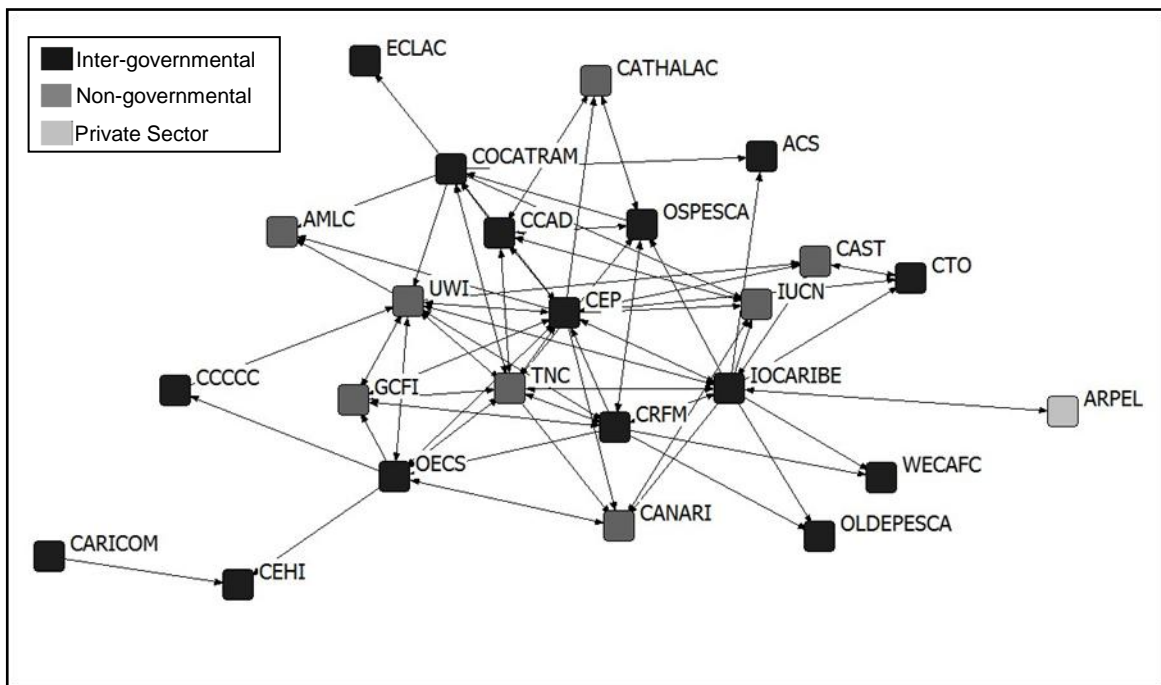


Figure 7. The network of interactions among organizations that indicated an interest in the issue of habitat degradation (see list of acronyms to identify organisations (density = 17% of possible interactions)).

There are at least 17 other organizations in the WCR that are actively involved in various aspects of the policy cycle with regard to coastal and marine habitat degradation - AMLC, CATHALAC, CTO, GCFI, IOCARIBE, IUCN, TNC, CANARI, CAST, CCCCC, CEHI, CRFM, UWI, OECS, CCAD, COCATRAM, OSPESCA (Appendix 1). The regional sub-arrangement would seek to promote collaboration among them. An initial assessment of the extent to which these organizations interact (regardless to policy cycle stage) is depicted in the network diagram in Figure 7. The network shows the central role of the CEP, TNC and IOCARIBE in this area. A more detailed analysis of these interactions is in progress and will be available to inform the implementation of the SAP.

SAP recommendations:

The promotion of a regional sub-arrangement for coastal and marine habitat degradation led by the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- ***Explicit recognition and endorsement of the role as partners in this arrangement by state parties***
- ***Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.***

3.4.4 Regional sub-arrangement for fisheries

The broad transboundary issue of overexploitation of fisheries resources is considered to require a regional sub-arrangement (Figure5). This is the transboundary issue area that received the most detailed attention in the TDAs and also in the Pilot Projects and Case Studies of the CLME FSP. The nature of the nested structure that is considered necessary for effective fisheries governance in the WCR, including EAF/EBM, is therefore more clear for this issue than for the other two major issues, and proposals for the SAP are more detailed (Figure 5).

There are four well-established, active regional and subregional organizations that must have significant roles in a regional fisheries arrangement (CRFM, OECS, OSPESCA, WECAFC). Of these, WECAFC is best positioned to play the lead role, in terms of its membership, which includes all WCR countries and Brazil. However, the support of the other three organizations will be critical to its effective uptake of this role. As will be developed later in this section, the UNEP CEP RCU will also be a critical partner with regard to reef fisheries (and also due to its recommended role as lead for the pollution and habitat degradation regional sub-arrangements). The six countries that are not members of OECS, CRFM or OSPESCA (Brazil, Colombia, Cuba, Mexico, USA and Venezuela) are all major stakeholders in fisheries in the region and their engagement is critical. WECAFC provides a forum in which to bring them together with member countries of the other organizations. For a comprehensive review of WECAFC from its inception to 2008 see Renard and Chakalall (2009). It is important to note that the present structure of WECAFC only

allows for a coordinating role, as it does not have any decision-making authority (Appendix 1). Advice from WECAFC would have to be taken up in decision-making bodies of the other IGOs with a primary responsibility for fisheries (CRFM, OECS, OSPESCA).

The uptake of this role would represent an expansion in scope for WECAFC and would need to be adequately resourced. Pursuit of this regional sub-arrangement would require explicit recognition and endorsement of the role as partners in this arrangement by state parties. Next steps would require plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.

There are at least 12 other organizations in the WCR that are actively involved in various aspects of the policy cycle with regard to overexploitation of fishery resources - AMLC, CNFO, GCFI, IOCARIBE, IUCN, TNC, CANARI, CARICOM, UWI, CCAD, CONFEPESCA, OLDEPESCA (Appendix 1). The regional sub-arrangement would seek to promote collaboration among them. An initial assessment of the extent to which these organizations interact (regardless to policy cycle stage) is depicted in (Figure 8). The network demonstrates the central roles played by IGOs CRFM, OECS, OSPESCA and WECAFC. A more detailed analysis of these interactions is in progress and will be available to inform the implementation of the SAP.

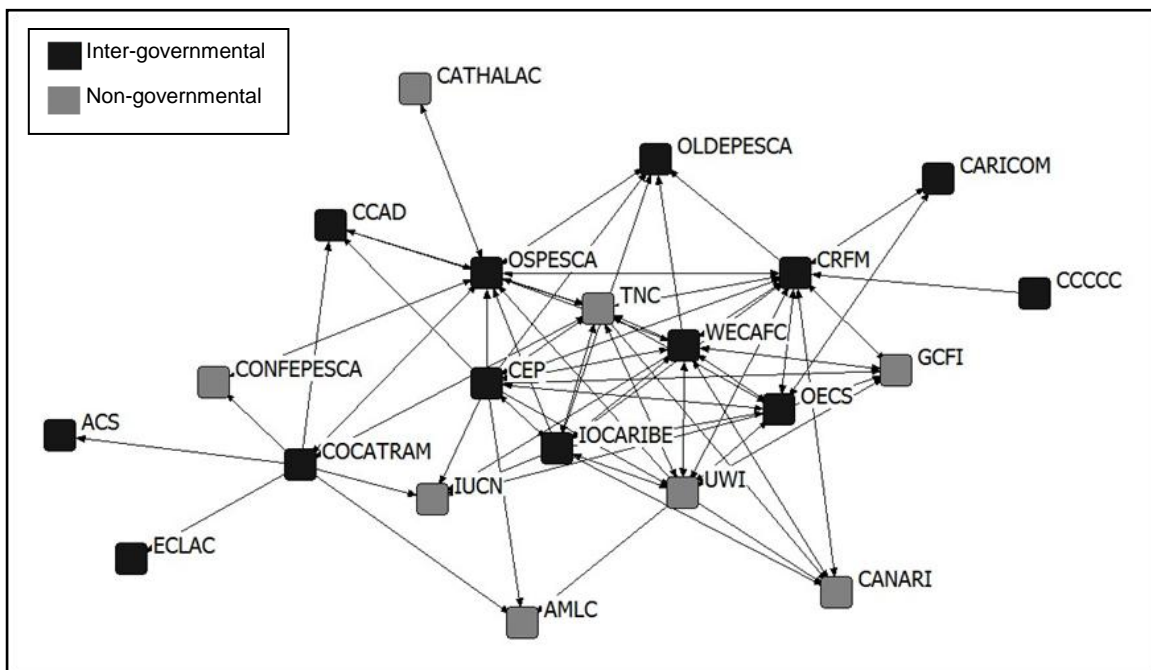


Figure 8. The network of interactions among organizations that indicated an interest in the issue of fisheries overexploitation (see list of acronyms to identify organisations (density = 24% of possible interactions).

The institutional matter pertaining to arrangements for interaction at smaller spatial scales than the entire WCR will be dealt with more explicitly in this section by looking at the arrangements for the various fisheries ecosystems: continental shelf, pelagic and reef. The various organizations involved in fisheries do however provide a richer set of options for nesting governance arrangements at scales that are appropriate for fishery ecosystems than is the case for pollution and habitat degradation.

SAP recommendation:

The promotion of a regional sub-arrangement for unsustainable use of fisheries resources led by WECAFC is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- ***Explicit recognition and endorsement of the role as partners in this arrangement by state parties***
- ***Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.***

3.4.4.1 Reef fisheries ecosystem

The reef fisheries ecosystem requires specific attention within the overall fisheries sub-arrangement. Coral reefs are vital for the economies of most WCR countries and have received a great deal of attention. However, the focus has also tended to be national and local in nature, with regional initiatives relating mainly to sharing of expertise and experience. While management of reef resources may be mainly local/national, there is a regional level, transboundary aspect that requires explicit attention, and thus the need for a regional arrangement within the fisheries sub-arrangement to ensure that it receives this attention.

Some of the areas that this arrangement would be expected to address include: consideration of a network of coastal and marine protected areas that provides effective coverage of representative habitats at the regional level (for example while the area of reefs covered in the region is increasing, some habitats such as reef walls are poorly represented); connectivity among reefs within the WCR; extent of reefs that are physically transboundary and thus require bilateral or multilateral cooperation to ensure sustainable use; reef related fauna with distribution that is more subregional/regional, such as sea turtles. These are small but significant gaps in governance that need to be filled explicitly by establishing a regional sub-arrangement for reefs. Given that this arrangement will operate at the intersection of fisheries and coral reefs, it would be best led jointly by UNEP CEP and WECAFC, probably facilitated by an MOU.

SAP recommendation:

The promotion of a regional sub-arrangement to address unsustainable use of coral reef fisheries ecosystems led by WECAFC and the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- ***Explicit recognition and endorsement of the role as partners in this arrangement by state parties***
- ***Plans for specific activities aimed at developing this role and institutionalizing a policy process for developing these plans and tracking their implementation***
- ***Developing a regional EAF/EBM management plan for reef fisheries ecosystems with regional, subregional and pilot national components including;***
 - ***Linkages with the regional sub-arrangements for other fisheries ecosystems, pollution and habitat destruction***
 - ***Identifying key transboundary areas that require governance attention and supporting pilot governance assessment and enhancement***
 - ***A network of relevant agencies and other actors***

Within reef fisheries ecosystems, lobster fisheries are the most valuable fisheries resources and support fisheries that generate livelihoods, revenue and a foreign exchange. They are sufficiently important to have been given specific attention in the CLME Project and to be considered as requiring focused attention in the SAP. The Pilot Project implemented by OSPESCA focused attention on the fisheries ecosystem for lobster in Central America. A governance assessment was carried out and resulted in the following specific recommendations for the SAP (Fanning 2012).

SAP recommendation:

There should be specific interventions in the SAP within the context of the regional arrangement for reef fisheries and biodiversity to address sustainable use of lobster resources in Central America and elsewhere in the WCR (based on a review of the relevance of FAO (2007) classification of lobster stocks):

- ***The governance arrangement for Central American lobster fisheries should be strengthened***
 - ***This should build on the efforts achieved to date by OSPESCA which should be the lead organization for Group II (North Central) and Group III (South Central) stocks***
 - ***Formal engagement status (participating non-member) should be considered for non-SICA members harvesting these stocks so as to enhance the governance arrangement for this fisheries***

- ***A transboundary governance arrangement that allows for the integration of issues affecting the CA lobster fisheries (Groups II and III), including explicit arrangements linking habitat degradation and land-based sources of pollution***
- ***A governance arrangement for other major lobster areas should be explored and developed as a secondary priority action.***
- ***For Group IV (Southern stocks), consideration should be given to developing a transboundary mechanism for the South-Eastern Caribbean although this appears to be a lesser priority. For Group I (Northern) stocks, it is recommended that these countries collaborate, along with arrangements for Groups II, III and IV, under the umbrella of a strengthened FAO-WECAFC.***

3.4.4.2 Pelagic fisheries ecosystem

The assessments carried out for the pelagic fisheries ecosystem – flyingfish, regional large pelagics, ocean-wide large pelagics (CERMES 2012a, CERMES 2012b) - point to the need for explicit attention to enhancing the governance arrangements for these fisheries (see also Table 1). Detailed recommendations for large pelagic and flyingfish have been provided in the reports for those fisheries systems (CERMES 2012a, 2012b). There is also the need to ensure that linkages among the two categories of large pelagics, flyingfish, and other species in the pelagic ecosystem such as seabirds, sea turtles and cetaceans are considered in the policy process for this fisheries ecosystem. Similarly, linkages between the fisheries aspect of the pelagic fisheries ecosystem and marine pollution must be included in the policy process.

Within the regional sub-arrangement for fisheries to be led by WECAFC, the CRFM has been identified as the organization that should take the lead for pelagic fisheries. As described in CERMES (2012b) the CRFM will need to formalize this role by developing an appropriate policy process that includes non-CARICOM Member States with an interest in these fisheries. It will also need to engage most of the other organizations listed above as having an interest in fisheries.

3.4.4.3 Continental shelf fisheries ecosystem

The assessment carried out for the continental shelf fisheries ecosystem of the North Brazil Shelf LME points to the need for explicit attention to enhancing the governance arrangements for this LME, and detailed recommendations have been provided (Mahon and Phillips 2012)(see also Table 1). These recommendations consider linkages between the fisheries aspect of this fisheries ecosystem and marine pollution and habitat degradation. In the case of this system, there is the need for a further linkage to arrangements to address piracy (considered here to be any act of maritime theft whether inside or outside of territorial sea limits).

Within the regional sub-arrangement for fisheries to be led by WECAFC, FAO and CRFM have been identified as the organizations that should take the lead for the continental shelf fisheries ecosystem. There are some other areas of continental shelf fisheries ecosystem in the WCR for which governance arrangements should also be considered, but these are mostly within single EEZs so that a continental shelf fisheries ecosystem arrangement extending beyond the NBS LME may not be a high priority.

4 Assessment of governance performance and principles

Mahon et al (2011) outline a suite of seven categories of indicators that must be used to acquire a full assessment of the performance of governance of International Waters systems: architecture, process, pressure, state, stakeholder, engagement, social justice and human well-being. This assessment deals largely with the assessment of one aspect of process indicators; the extent to which principles considered to be important in governance processes are thought to be observed in the arrangements by the stakeholders involved. This is approached through assessment of the extent to which 13 principles considered to be important for EBM of living marine resources in the Wider Caribbean are thought to be observed in the processes being assessed (Mahon et al. 2012)

Guidance in regard to appropriate principles for the WCR was sought in Mahon et al (2011d) where Caribbean stakeholders rate the principles that they thought would be most important for EBM in the Wider Caribbean. Suites of principles developed by Lockwood et al (2008), Lockwood et al 2010, Garcia et al 2010 were also consulted. These include both fundamental principles and procedural principles (Table 2). The latter predominate as the assessment focuses on performance of the governance process, rather than outcomes. However, the fundamental principles (e.g. equity, inclusiveness, representativeness, and legitimacy) are directly relevant to the achievement of stakeholder involvement and the likelihood of socially just outcomes, which are two more of the seven main categories of indicators.

The approach to assessment of principles described above and by Mahon et al (2011d) was applied in most of the case studies and pilot projects as summarized in Table 3. Principles were rated on a scale of 1-4 (None = 1, Low = 2, Medium = 3, High = 4). In some cases several different types of stakeholders were asked to contribute to the assessment.

Table 2. Principles assessed and the statements that were used to assess them

| Principle | Statement |
|--------------------|---|
| Accountability | The persons/agencies responsible for the governance processes can be held responsible for their action/inaction |
| Adaptability | The process has ways of learning from its experiences and changing what it does |
| Appropriateness | Under normal conditions, this process seems like the right one for what it is trying to achieve |
| Capability | The human and financial resources needed for the process meet its responsibility are available. |
| Effectiveness | This process should succeed in leading to sustainable use of ecosystem resources and/or control harmful practices |
| Efficiency | This process makes good use of the money, time and human resources available and does not waste them. |
| Equity | Benefits and burdens that arise from this process are shared fairly, but not necessarily equally, among stakeholders |
| Inclusiveness | All those who will be affected by this process also have a say in how it works and are not excluded for any reason. |
| Integration | This process is well connected and coordinated with other related processes. |
| Legitimacy | The majority of people affected by this process see it as correct and support it, including the authority of leaders |
| Representativeness | The people involved in this process are accepted by all as being able to speak on behalf of the groups they represent |
| Responsiveness | When circumstances change this process can respond to the changes in what most think is a reasonable period of time |
| Transparency | The way that this process works and its outcomes are clearly known to stakeholders through information sharing |

The plots in Figure 9 show that overall the scores for perception of principles being observed in the arrangements were in the low to medium range. Capacity was perceived as being particularly low. Efficiency, inclusiveness, integration and representation also rated low. Putting all the assessments together as has been done in Figure 9 tends to mask the considerable variability that emerged from the various assessments. This variability can be explored by referring to the actual assessments. For example, in the Guianas-Brazil continental shelf assessment the three different groups of assessors had quite different perspectives on the observance of principles (Figure 10).

Table 3. Application of the assessment of principles in the CLME case studies and pilot projects

| Case study/pilot project | Assessment applied |
|--|--|
| Shared Stocks of the Central American Lobster Fisheries (Fanning 2012) | The principles were rated for the arrangements for the issues of: overfishing, illegal fishing, MCS, Habitat and biodiversity, LBS and MBS by OSPESCA experts. |
| Guianas-Brazil continental shelf ecosystem (Mahon and Phillips 2012) | The principles were rated for the arrangements for the issue offisheries for shrimp and groundfish by (1) heads of fisheries departments, (2) technical staff of fisheries departments, (3) fishing industry representatives |
| Pedro Bank (Mahon 2012) | The principles were rated for the arrangements for the issues of: finfish fishing, conch fishing, lobster fishing, seabird and sea turtle biodiversity, LBS and MBS, by (1) Fisheries Division, (2) NEPA,(3) Maritime Authority, (4) Jamaica Coast Guard, (5) a commercial fishing company, (6) the Jamaica Fishers Cooperative Union, (7) fishers from the Pedro Cays and (7) The Nature Conservancy (TNC). |
| Pelagic fisheries ecosystem (CERMES 2012a) | The principles were rated for the arrangements for the issues of: overfishing oceanic large pelagic, overfishing coastal large pelagic, managing ocean environmental quality, by the CERMES expert |
| Flyingfish fisheries (CERMES 2012b) | The principles were rated for the arrangements for the issue of resource sharing by the CERMES expert. |

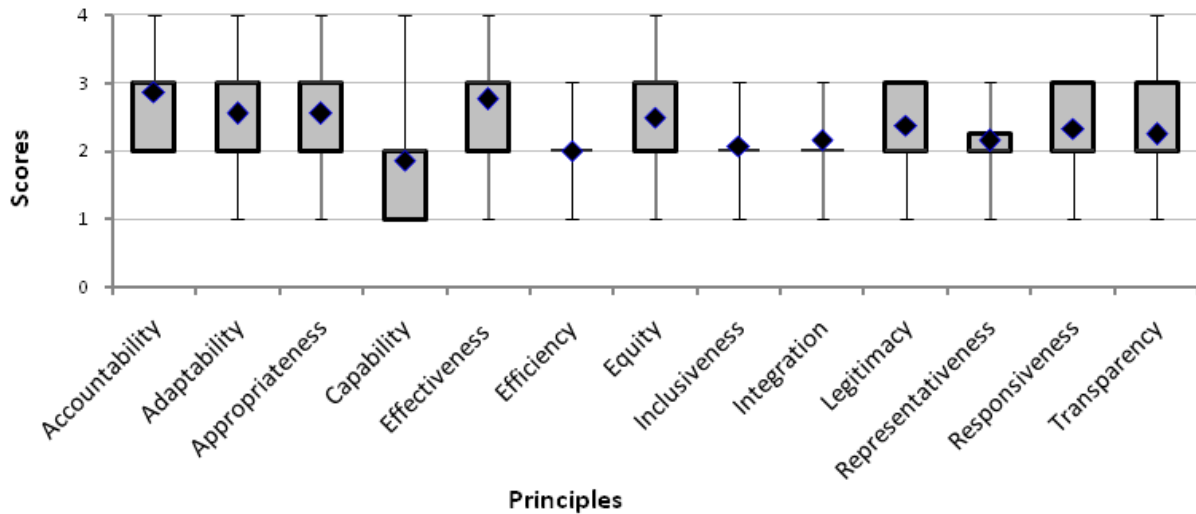


Figure 9. Box and whisker plots of scores for each principle from all assessments ranking perception of observance of each principle (None = 1, Low =2, Medium = 3, High = 4, diamonds

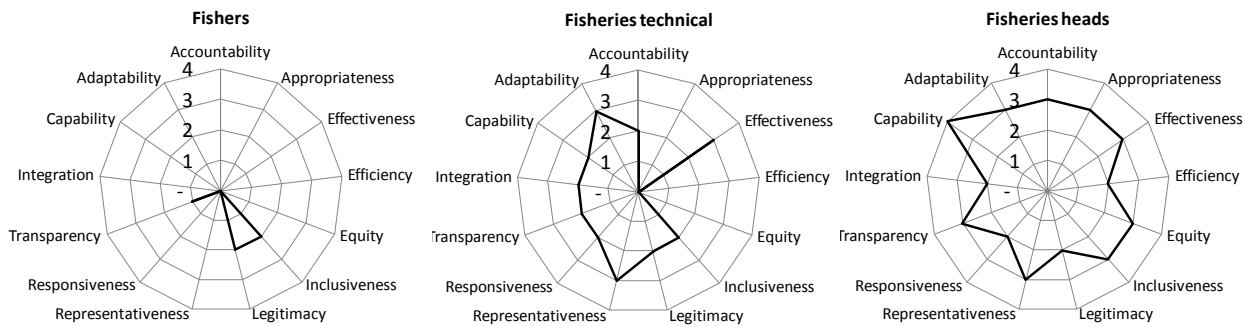


Figure 10. Assessment by three stakeholders categories of the extent to which desired principles are considered to be represented, in the governance processes for the fisheries issue identified for the Guianas-Brazil continental shelf fisheries ecosystem based on agreement with presence of principles (1 = disagree strongly, 2 = disagree, 3 = agree, 4= agree strongly)(Mahon and Phillips 2012).

This assessment is considered to be very preliminary, albeit the first of its kind in the WCR. It points to the need for governance processes to monitor the perception of observance of principles. The assessment process developed and presented here relies on the input from stakeholders. If this is provided in an unbiased way, it provides the opportunity for dialogue among stakeholders regarding why they perceive observance of principles to be low, and what could be done to improve it. This is a first step towards the system specific and/or issue specific determination of which principles stakeholders consider to be important and to be in need of improvement. It should lead to the development of agreed standards for those principles and indicators for those standards. ***It is recommended that as living marine resource governance arrangements are developed in the WCR, they should include explicit assessment of the observation of both procedural and fundamental principles in governance processes.***

5 Country engagement in regional and global MEAs and processes

The extent to which countries engage in regional and global MEAs and processes will have a significant impact on the functionality of specific arrangements and of the framework as a whole. This engagement is a critical part of the vertical linkages that can make the network effective. This aspect of the framework was not comprehensively assessed, but some information was assembled and may be useful in improving the functionality of the RGF.

It should be noted that a supporting study was carried out examining national level mechanisms for integrated engagement with regional activities related to oceans (Mahon et al 2010). Senior officials in all WCR countries were surveyed to determine what mechanisms were in place and eight countries were selected for in-depth assessment. The study revealed a wide diversity of national level mechanisms for engagement across the WCR. These mechanisms range from ‘all informal’ to ‘informal preparation but formal feedback’ to ‘all formal’. In all but a few countries the mechanism was not well geared towards engaging civil society and private

sector stakeholders. The need for attention to this aspect of governance is prominent in most regional and international multilateral agreements. The study provided recommendations for improvement of these mechanisms in three categories: (1) meeting preparation and feedback processes; (2) cross-sectoral integration; and (3) civil society and private sector engagement.

The formation of the National Intersectoral Committees (NICs) that are recommended by the GEF and called for by other UN Agencies (e.g. the International Maritime Organisation) could provide the interface between the regional and national aspects of transboundary governance.

It is recommended that where these committees do not exist or are not functioning well, countries form and operationalise or enhance them to serve as a means of integrating ocean affairs at the national level.

Country level engagement in regional and global processes can take several forms:

1. Signing the agreement or becoming a member of the organization
2. Attending the meetings with a participant of appropriate level
3. Attending the meetings and actively taking part
4. Implementing agreed activities at the national level, including enabling legislation.

Table 3 shows the situation in the WCR with regard to the first of the engagement forms listed above; the signing of global and regional multilateral agreements. Thirteen such agreements that are considered to be important for marine EBM in the WCR are shown. In general, it appears that countries of the WCR are well subscribed to the agreements listed. While attention should be paid to getting all countries to ratify these and other important agreements, it is participation and implementation as per points 2-4 above that requires serious attention.

It is recommended that a comprehensive assessment that would assess the performance of countries with regard to the four levels of engagement should be reflected in the SAP and should be a significant part of a Regional Environmental Monitoring Programme.

In particular, the feasibility of increasing efficiency and effectiveness of country engagement in regional and national processes through collective representation by subregional and regional organizations should be explored.

Table 3. Country ratification of global and regional MEAs with relevance to transboundary living marine resources (x = ratification/signature, ac = acceptance, as = accession, p = simplified procedure, b = consent to be bound). See Appendix 2 for a guide to these agreements.

| Countries | CBD | UNFCC | 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 |
|------------------------------|-----|-------|--------|--------------------------|--------------------------|---------------------------|--------------------------|-------------------------|------------------------|-------------------------------|----------------------|---------------|--------------|
| Antigua & Barbuda | x | x | x | | | x | x | x | x | x | x | | x |
| Aruba | | | | | | | | | | | | | |
| Bahamas | x | x | x | x | | x | x | | x | x | x | | x |
| Barbados | 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 |
| Colombia | x | x | s | | | x | x | x | x | | x | x | |
| Costa Rica | x | x | x | x | | | | | | | x | | |
| Cuba | x | x | x | | | x | | | x | | x | x | |
| Curacao | | | | | | | | | | | | | |
| Dominica | x | as | x | | | x | x | | x | | x | | |
| Dominican Republic | x | x | x | | | x | x | x | x | | x | x | |
| France | x | x | x | x | | x | x | x | x | x | x | x | x |
| Grenada | x | x | x | | | | | | | | x | | |
| Guatemala | x | x | x | | | x | x | x | x | | x | | |
| Guyana | x | x | x | | | x | x | x | x | | x | x | x |
| Haiti | x | x | x | | | | | | | | | | |
| Honduras | x | x | x | | | x | | | x | | | | |
| Jamaica | x | x | x | | | x | x | x | x | x | x | | |
| Mexico | x | x | x | | x | x | | | x | | x | | |
| Netherlands | as | x | x | x | | x | x | x | x | x | x | x | |
| Nicaragua | x | x | x | | | x | x | x | x | | x | | |
| Panama | x | x | x | x | | x | x | x | x | x | x | x | x |
| Saint Kitts & Nevis | x | x | x | | x | x | x | x | x | x | x | | |
| Saint Lucia | as | x | x | x | x | x | x | x | x | | x | x | x |
| St. Vincent & the Grenadines | as | as | x | x | | x | x | x | x | x | x | x | |
| Suriname | x | x | x | | | x | x | x | x | | | | |
| Trinidad & Tobago | x | x | x | x | | x | x | x | x | | x | x | x |
| United Kingdom | x | x | as | x | | x | x | x | x | x | x | | |
| United States of America | s | x | | x | x | x | x | | x | x | x | x | x |
| Venezuela | x | x | | | | | x | x | x | x | | x | x |

6 Conclusions and recommendations for the Regional Governance Framework

This analysis and assessment confirm the view that given the complexity of the WCR and the diversity of established organizations already involved in ocean governance, a network approach to ocean governance in the WCR will be the most appropriate approach to ocean governance in the WCR. Within the context of this approach, there will of course need to be binding arrangements for particular management issues at management levels appropriate to the geographical scale of the issue. We will not elaborate on the conceptual basis for a network approach here as it has been elaborated in detail elsewhere (Parsons 2007, Mahon et al 2011a, 2011b). We do note however, that there is a growing conceptual basis in the global governance literature for the application of a network governance approach or regime in complex transboundary situations rather than the conventional hierarchical approach. We note also that the network approach is consistent with functional cooperation approach that underpins many of CARICOM's integrating activities⁸

An RGF for ocean governance in the Wider Caribbean Region will comprise many governance arrangements and processes at levels from local to regional with the vertical and lateral linkages needed for intersectoral integration as has been elaborated in the LME Governance Framework upon which the RGF is based (Fanning et al 2011). While the emphasis in this report is on the levels above local and national, we will first look briefly at the importance of the national level in a functional RGF before addressing the sub-regional and regional aspects of the framework.

6.1 National plans and capacity

Development and implementation of a Regional Governance Framework must be matched by national capacity to implement agreed actions at the national level, and to participate effectively in regional processes. National Action Plans that relate to the regional activities are considered by the GEF to be an essential component of transboundary project implementation. In addition, there is the need for National Intersectoral Committees (NICs) that will provide the interface between the regional and national aspects of transboundary governance.

Guidance in the development of NICs, whether as an entirely new entity or by building on existing national arrangements is provided by a recent study of communication and coordination mechanisms by which states in the WCR interact with regional organisations and projects (Mahon et al 2010).

⁸ A Community For All : Declaration on Functional Cooperation, Issued by The Heads of Government of The Caribbean Community on the Occasion of the Twenty-Eighth Meeting of the Conference, 1-4 July 2007, Needham's Point, Barbados

It is recommended that where NICS committees do not exist or are not functioning well, countries form and operationalise or enhance them to serve as a means of integrating ocean affairs at the national level.

It is recommended that a comprehensive assessment that would assess the performance of WCR countries with regard to the four forms of engagement should be reflected in the SAP and should be a significant part of a Regional Environmental Monitoring Programme. In particular, the feasibility of increasing efficiency and effectiveness of country engagement in regional and national processes through collective representation by subregional and regional organizations should be explored.

6.2 Assessment of arrangements in the pilot projects and case studies

The assessment of arrangements in the pilots and case studies provide information on the functionality of governance at the level of resource systems and provide insight into the extent to which governance architecture is in place for these systems. The entire set of issues and arrangements was assessed for six LMR systems in the WCR with a view to a better understanding of the governance architecture and processes. For the systems studied completeness ranged from 15% to 50%. For the 24 arrangements and issues studied, within those systems, completeness ranges more widely from 0% – 71%. The broad conclusion to be drawn from those studies is that there is considerable room and need for attention to improving governance architecture as a basis for effective LMR governance in the WCR.

The methodology used in the studies has provided detailed information on where these weaknesses lie, and for each study there are detailed recommendations for strengthening governance arrangements. These range widely from putting in place or strengthening particular stages of particular policy cycles, to establishing policy cycles that are needed but do not exist. These detailed recommendations can be found in the respective reports and are not repeated here.

The other aspect of governance architecture that was examined was the extent to which the arrangements for the various issues were integrated as is needed for the ecosystem approach to LMR governance. Integrating mechanisms were found to be weak or absent in all systems studied. Recommendations for improving or establishing integration mechanisms are also provided in the reports.

The specific recommendations referred to above address the interventions needed to improve governance architecture in the systems examined. However there are other systems that were not assessed. The assessment methodology developed should be applied more widely across LMR systems in the WCR and used to monitor changes over time in governance architecture and processes. At the same time, the methodology can be improved. It should be noted that

this type of detailed assessment has not been conducted for marine systems before; therefore there is scope to expand and refine the approach.

We conclude this section by emphasizing that established governance architecture that (1) can address all necessary policy functions and (2) is well known to all stakeholders, is fundamental to the principled functioning of governance processes. These processes are in turn essential for effective governance that can lead to reduction in pressures on marine ecosystems. These in turn are essential to halt the declines or bring about the recovery of their state needed for sustainability and support of human well being (Figure 1).

6.3 Assessment of governance performance and principles

The preliminary assessments of governance performance and principles in the CLME Project suggest that there is considerable scope for interventions to improve the extent to which these principles are observed and perceived to be observed in living marine resource governance processes in the WCR.

It is recommended that as living marine resource governance arrangements are developed in the WCR, they should include explicit assessment of the observation of both procedural and fundamental principles in governance processes.

6.4 The regional integrative levels of the Regional Governance Framework – Summary of Recommendations

In this section, we focus on the architecture needed for integration of ocean governance at the level of the entire WCR. While much of the regional governance architecture which is considered to be necessary exists, there are weak areas and gaps that require attention. However, before strengthening and gap filling activities can be pursued, there is a major first step required. This is the explicit recognition by the countries and organizations of the WCR that this is the desired approach to ocean governance. There should be explicit adoption of the RGF.

Once the RGF is adopted, the framework building activities needed to strengthen it can be pursued. The recognition and adoption step could be a turning point in the regional conversation about ocean governance from one that is sectoral and organization focused to one that is holistic and focused on addressing issues with an ecosystem approach.

Following are the main recommendations from the governance assessment that pertain to the integrative regional levels of the framework. These provide the basis for the new conversation and a roadmap for moving to a holistic regional perspective.

Regional ocean governance policy arrangement

The operationalisation of a regional ocean governance policy coordination mechanism that would coordinate the entire framework is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Establishing the Secretariat of the CSC,*
- *Developing the CSC as a regional science policy interface for oceans governance with focus on living marine resources,*
- *Establishing a data and information capacity for the CSC as described by the Expert Consultation and initiated by the CLME Project,*
- *Using the CSC to promote ocean governance in general and EAF/EBM in particular within the subregional IGOs - CARICOM (COTED and COFCOR), SICA and OECS.*

This mechanism would be an appropriate one to lead the following activities that should be included in the SAP:

- *Development of a regional ocean governance policy for the WCR, and*
- *Promotion of the use of valuation information in regional decision making and policy setting, by*
 - *Development and implementation of a strategy for promoting the use of valuation information*
 - *Support for pilot gap filling studies of ecosystem value in deficient areas*
 - *Development of regional level estimates and synthesis of marine ecosystem value*

Regional sub-arrangement for marine pollution

The promotion of a regional sub-arrangement for addressing pollution led by the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Explicit recognition and endorsement of the role of UNEP as lead in this arrangement by state parties*
- *Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.*

Regional sub-arrangement for habitat degradation

The promotion of a regional sub-arrangement for addressing coastal and marine habitat degradation led by the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Explicit recognition and endorsement of the role as partners in this arrangement by state parties*

- *Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.*

Regional sub-arrangement for fisheries

The promotion of a regional sub-arrangement for addressing unsustainable use of fisheries resources led by WECAFC is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Explicit recognition and endorsement of the role as partners in this arrangement by state parties*
- *Plans for specific activities aimed at developing this role and institutionalization of a policy process for developing these plans and tracking their implementation.*

The promotion of a regional sub-arrangement to address unsustainable use of coral reef fisheries ecosystems within the above regional sub-arrangement for fisheries and led by WECAFC and the UNEP CEP is recommended for inclusion in the SAP. Progress towards this can be achieved by:

- *Explicit recognition and endorsement of the role as partners in this arrangement by state parties*
- *Plans for specific activities aimed at developing this role and institutionalizing a policy process for developing these plans and tracking their implementation*
- *Developing a regional EAF/EBM management plan for reef fisheries ecosystems with regional, subregional and pilot national components including:*
 - *Linkages with the regional sub-arrangements for other fisheries ecosystems, pollution and habitat destruction*
 - *Identifying key transboundary areas that require governance attention and supporting pilot governance assessment and enhancement*
 - *A network of relevant agencies and other actors*

There should be specific interventions in the SAP within the context of the regional arrangement for reef fisheries and biodiversity to address sustainable use of lobster resources in Central America and elsewhere in the WCR (based on a review of the relevance of FAO (2007) classification of lobster stocks):

- *The governance arrangement for Central American lobster fisheries should be strengthened*
 - *This should build on the efforts achieved to date by OSPESCA which should be the lead organization for Group II (North Central) and Group III (South Central) stocks*
 - *Formal engagement status (participating non-member) should be considered for non-SICA members harvesting these stocks so as to enhance the governance arrangement for this fisheries*

- *A transboundary governance arrangement that allows for the integration of issues affecting the CA lobster fisheries (Groups II and III), including explicit arrangements linking habitat degradation and land-based sources of pollution*
- *A governance arrangement for other major lobster areas should be explored and developed as a secondary priority action.*
- *For Group IV (Southern stocks), consideration should be given to developing a transboundary mechanism for the South-Eastern Caribbean although this appears to be a lesser priority. For Group I (Northern) stocks, it is recommended that these countries collaborate, along with arrangements for Groups II, III and IV, under the umbrella of a strengthened FAO-WECAFC.*

This set of recommendations together with those outlined in the governance assessment reports for the pilot projects and case studies are considered to be what is required to move the RGF forward in the next phase of the CLME Project and to provide a strong structural foundation for effective governance of LMR in the WCR.

7 References

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Appendix 1: Overview of regional organisations involved in ocean governance in the Wider Caribbean Region

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Introduction

This Appendix has identified and analysed the roles of organisations involved in ocean governance in the Wider Caribbean Region (WCR). Organisations that are not currently involved but can contribute to ocean governance were also considered. The organisations were selected based on two criteria: 1) geographical scope – organisations established to function in the WCR or any of its subregions and 2) involvement in transboundary living marine resource issues. The three main categories of transboundary issues of overexploitation of living marine resources, pollution and habitat degradation were identified in the Transboundary Diagnostic Analyses (TDAs) carried out for the Caribbean Large Marine Ecosystem (CLME) Project (Heileman 2011, Phillips 2011).

The entire WCR is treated in its entirety as well as in two subregions: 1) Central and South America and 2) Insular Caribbean. Thirty organisations were initially identified as operating at the level of the WCR or sub-regions of this area. Four of these organisations that initially appeared to meet the criteria for inclusion were ultimately not included in the analysis. Three of them neither identified themselves with nor were active in the issue areas: Caribbean Shipping Association (CSA), the Caribbean Disaster Emergency Management Agency (CDEMA) and the Caribbean Institute for Hydrology and Meteorology (CIMH). The fourth organisation was the Central American Integration System (SICA). SICA was not included separately because it cannot be functionally separated from its component organisations, all of which are treated separately but use SICA as their policy decision-making body. In contrast, several organisations that are part of CARICOM have their own ministerial bodies.

The Aquaculture and Fisheries Business Organisation (OECAP) and Caribbean Network of Fisherfolk Organisations (CNFO) were two additional organisations identified during interviews with the 25 organisations determined to be involved in ocean governance in the WCR. Though these two organisations have been recognised as contributing to ocean governance, they have not been included in the analysis presented in this document, but will be included in the final version.

Note that UWI was included as the only regional tertiary institution that met the above criteria. There are many other tertiary institutions that are not regional in terms of their geographical

scope but are key sources for some regional organisations in the data and information stage of the policy cycles for the key transboundary issues. These, as was the case with all national organisations, were not included.

The organisations were classified according to type: Inter-governmental organisations (IGO), non-governmental organisations (NGOs) and private sector organisations (PSO) and by region/subregions (Table 1). Twelve of the 25 organisations were at the level of the WCR (Table 1). Six of these organisations were intergovernmental, five were non-governmental and one was from the private sector. For Central and South America, five organisations were identified, four of which were IGOs and one was an NGO. Eight organisations were identified for the Insular Caribbean. Five of the eight organisations were IGOs and three were NGOs.

Table 1. Organisations by Region/sub-region

| Regions/sub-regions | Wider Caribbean | Central and South America | Insular Caribbean | |
|---------------------|---|---------------------------|-------------------|-----|
| Organisations | Inter-governmental Organisations (IGOs) | | | |
| | ACS | CCAD | CARICOM | |
| | CEP | COCATRAM OSPESCA | CCCCC | |
| | CTO | OLDEPESCA | CEHI | |
| | ECLAC IOCARIBE | | CRFM | |
| | WECAFC | | OECS | |
| | Non-governmental Organisations (NGOs) | | | |
| | TNC | CONFEPESCA | UWI | |
| | GCFI | | CANARI | |
| | AMLC | | CAST | |
| | CATHALAC | | | |
| | IUCN | | | |
| | Private Sector Organisations (PSOs) | | | |
| | ARPEL | | | |
| | Number | 12 | 5 | 8 |
| | Percentage | 48% | 20% | 32% |

Analysis of the roles of organisations

Mandated area of work

The overviews of the organisations that follow were prepared using the establishing agreements, by-laws and in some cases the information provided through the websites of the organisations. These sources provided the geographic scope, scope of work and the organisational structure of the organisations. An assessment of the mandates was carried out using these sources to determine which stages of the policy cycle (Figure 1) the organisations had a mandate to engage in. The stages of the policy cycle were data and information (DAE), analysis and advice (AAA), decision-making (DM), implementation (IMP) and review and evaluation (RAE). Although organisations' mandates for the three broad issue areas identified in the TDAs could be identified, they are only indicative of the potential for overlaps since there are both sub-issues and policy cycle stages to consider.

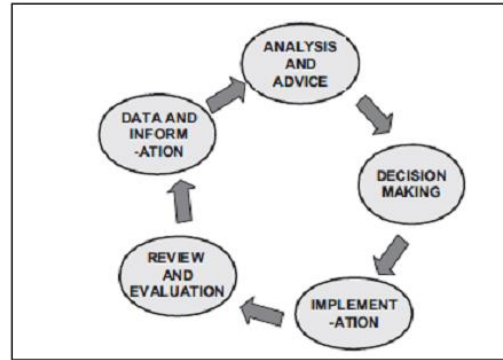


Figure 1. A generic policy cycle for the proposed large marine ecosystem governance framework (Fanning et al. 2007)

The presence or absence of a mandate for each of the three key transboundary issues was determined for each of the organisations and within the region/sub-regions (Table 2 and Figure 2). For some organisations it was not possible to determine a mandate that was specific to the three TDA issue areas, as only broad mandates were stated. The two broad mandate areas that emerged that encompassed LMR governance were the 'environment' and the 'coastal and marine environment'. Across all organisations, 10 had a mandate to contribute to the area of environment and 11 to the area of coastal and marine environment. Within the issue areas of pollution, overexploitation of living marine resources and habitat degradation 4, 12 and 5 organisations respectively were identified as having issue specific mandates.

Table 2. Issue areas covered by regional/sub-regional organisations involved in ocean governance in the Wider Caribbean Region

| Region/ subregion | Organisation | Key transboundary issues | | | Broad issues only | |
|--------------------------------------|----------------------|--------------------------|--|------------|-------------------|--------------------------------------|
| | | Habitat degradation | Over- exploitation of living marine resources | Pollution | Environ- ment | Coastal and marine environment |
| Wider Caribbean | ACS | | | | | 0 |
| | AMLC | | | | | 0 |
| | ARPEL | | | | 0 | |
| | CATHALAC | | 0 | | 0 | 0 |
| | CEP | 0 | 0 | 0 | | 0 |
| | CTO | | | | 0 | |
| | ECLAC | | | | 0 | |
| | GCFI | | 0 | | | |
| | IOCARIBE | | | | | 0 |
| | IUCN | | | | 0 | |
| | TNC | 0 | 0 | | | |
| | WECAFC | | 0 | | | 0 |
| | Sub-total | 2 | 5 | 1 | 5 | 6 |
| | Insular Caribbean | CANARI | | | | |
| CARICOM | | 0 | 0 | 0 | 0 | |
| CAST | | | | | 0 | |
| CCCCC | | | 0 | | | |
| CEHI | | | | 0 | 0 | |
| CRFM | | 0 | 0 | | | 0 |
| UWI | | | | | 0 | 0 |
| OECS | | | 0 | | | 0 |
| Sub-total | | 2 | 4 | 2 | 4 | 4 |
| Central/Sout h America | CCAD | 0 | | 0 | 0 | |
| | COCATRAM | | | | | 0 |
| | CONFEPESCA | | 0 | | | |
| | OSPESCA | | 0 | | | |
| | OLDEPESCA | | 0 | | | |
| | Sub-total | 1 | 3 | 1 | 1 | 1 |
| Total Number of Organisations | 5 | 12 | 4 | 10 | 11 | |
| Percentage | 20% | 48% | 16% | 40% | 44% | |

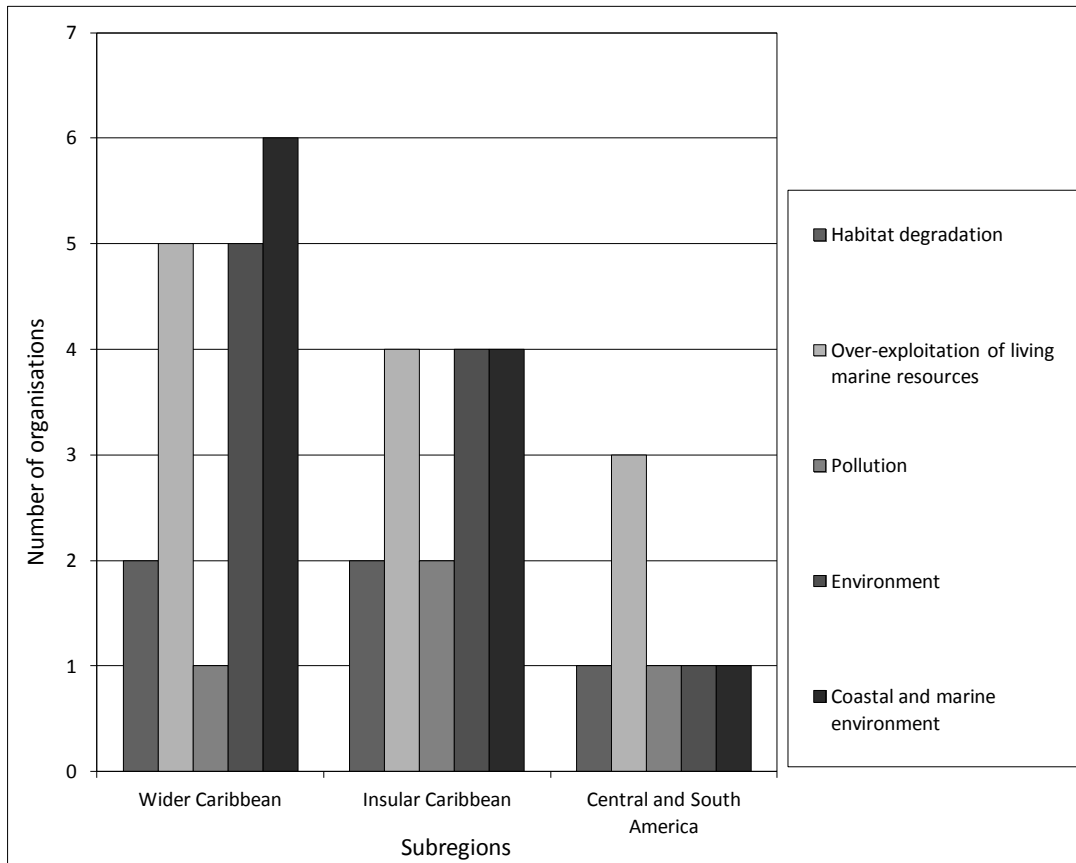


Figure 2. The distribution of regional organisations by subregion with regard to their mandated roles across ocean governance issues in the Wider Caribbean Region.

For the WCR, 5 of the 12 organisations were identified within the category of the environment. Six organisations were within the category of the coastal and marine environment. Across the issue areas however, there was less coverage of the issues by organisations. For pollution, habitat degradation and overexploitation, there were one, two and four organisations respectively. The Caribbean Environment Programme covered each of the three key issues.

For the Insular Caribbean, four organisations were within each of the broad issue areas of the environment and the coastal and marine environment. There were two organisations each represented in the issues of habitat degradation and pollution while three organisations were classified within the overexploitation category. CARICOM was the only organisation with a mandate across all three key issues.

For Central and South America, there were five organisations, four of which were IGOs and one was an NGO. One organisation each had responsibility across the broad issues of environment and the coastal and marine environment. One organisation was responsible for habitat degradation and pollution while three organisations were involved in the issue of overexploitation.

Actual area of work of the organisations

The actual activities of the organisations over the period 2005-2008 were determined from annual reports. There were some organisations however for which the necessary annual reports were not available for the period; either because the organisations did not produce annual reports, were not operational during the period or did not make these documents available for analysis. Documentation used as proxies for these sources included their newsletters, information culled from their websites as well as data from interviews.

The actual work of the 25 organisations was analysed across the three key transboundary issues and the two broad areas of work (Figure 3 and Table 3). The data for each region/sub-region are illustrated in Figure 3. The overall results showed that when actual area of work is compared to mandated area of work, there is a significant increase in the number of organisations involved in the three key transboundary issue areas. As would be expected, given that information on actual area of work is more detailed than the information on mandate, the number of organisations in the two broad issue areas decreased. Significant differences between actual area of work and mandated area of work were also reflected at the regional/sub-regional levels.

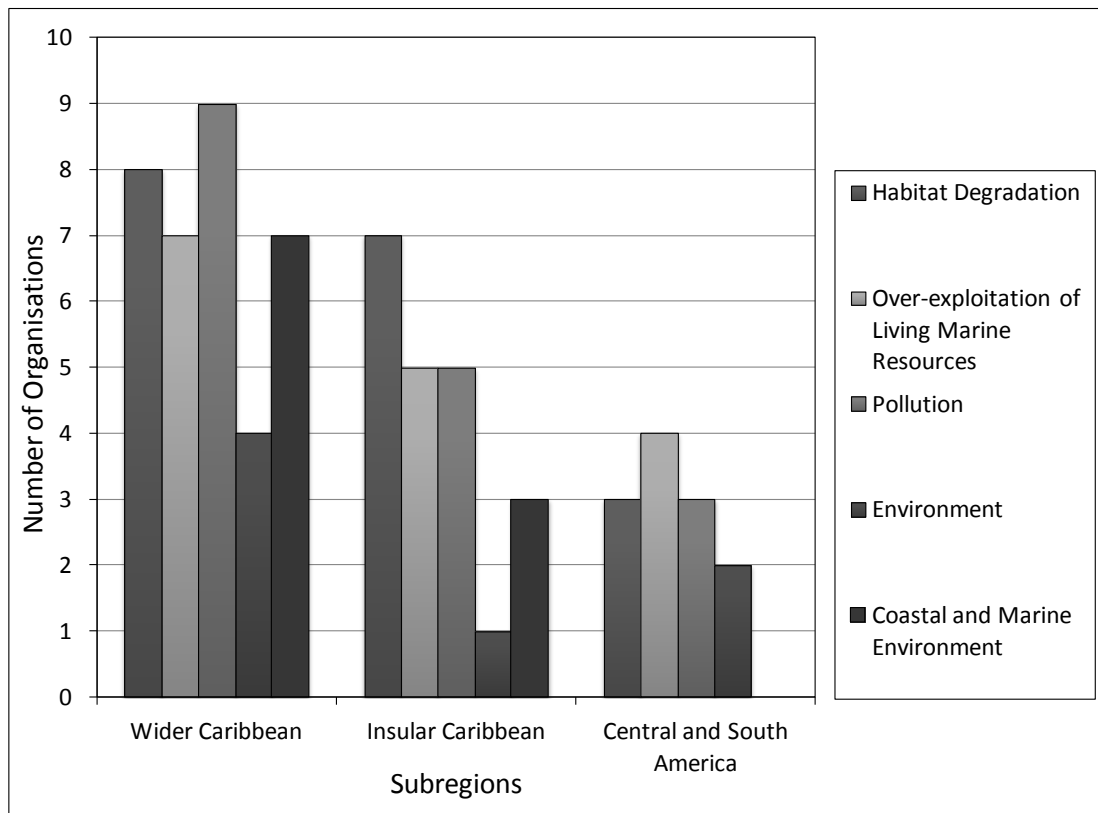


Figure 3. The distribution of the regional organisations with regard to their actual roles across ocean governance issues in the Wider Caribbean Region

Table 3. Actual issues covered by regional/sub-regional organisations involved in ocean governance in the Wider Caribbean Region

| Region/subregion | Organisations | Key transboundary issues | | | Broad issues only | |
|-----------------------|------------------|--------------------------|--|------------|-------------------|--------------------------------|
| | | Habitat degradation | Over-exploitation of living marine resources | Pollution | Environment | Coastal and marine environment |
| Wider Caribbean | ACS | | | | 0 | 0 |
| | AMLC | 0 | 0 | 0 | | |
| | ARPEL | | | 0 | 0 | |
| | CATHALAC | 0 | | 0 | | 0 |
| | CEP | 0 | 0 | 0 | | 0 |
| | CTO | 0 | | 0 | 0 | |
| | ECLAC | | | | | |
| | GCFI | 0 | 0 | 0 | | 0 |
| | IOCARIBE | 0 | 0 | 0 | | 0 |
| | IUCN | 0 | 0 | | 0 | 0 |
| | TNC | 0 | 0 | 0 | | 0 |
| | WECAFC | | 0 | 0 | | |
| | Sub-total | 8 | 7 | 9 | 4 | 7 |
| Insular Caribbean | CANARI | 0 | 0 | | | |
| | CARICOM | | 0 | | | |
| | CAST | 0 | | 0 | | |
| | CCCCC | 0 | | | | |
| | CEHI | 0 | | 0 | | |
| | CRFM | 0 | 0 | 0 | | 0 |
| | UWI | 0 | 0 | 0 | | 0 |
| | OECS | 0 | 0 | 0 | 0 | 0 |
| Sub-total | 7 | 5 | 5 | 1 | 3 | |
| Central/South America | CCAD | 0 | 0 | 0 | 0 | |
| | COCATRAM | 0 | | 0 | | |
| | CONFEPESCA | | 0 | | | |
| | OSPESCA | 0 | 0 | 0 | | |
| | OLDEPESCA | | 0 | | 0 | |
| Sub-total | 3 | 4 | 3 | 2 | 0 | |
| Total | 18 | 16 | 17 | 7 | 10 | |
| Percentage | 72% | 64% | 68% | 28% | 40% | |

Table 4. Difference between the mandated and actual roles of regional organisations in the Wider Caribbean Region

| Region/ subregion | Organisation | Differences between mandated and actual roles of organisations | | | Mandated broad issue | |
|---------------------------|--------------|--|--|-----------|----------------------|--------------------------------|
| | | Habitat degradation | Over-exploitation of living marine resources | Pollution | Environment | Coastal and marine environment |
| Wider Caribbean | ACS | 0 | 0 | 0 | | 0 |
| | AMLC | 1 | 1 | 1 | | 0 |
| | ARPEL | 0 | 0 | 1 | 0 | |
| | CATHALAC | 1 | -1 | 1 | 0 | 0 |
| | CEP | 0 | 0 | 0 | | 0 |
| | CTO | 1 | 0 | 1 | 0 | |
| | ECLAC | 0 | 0 | 0 | 0 | |
| | GCFI | 1 | 0 | 1 | | |
| | IOCARIBE | 1 | 1 | 1 | | 0 |
| | IUCN | 1 | 1 | 0 | 0 | |
| | TNC | 0 | 0 | 1 | | |
| | WECAFC | 0 | 0 | 1 | | 0 |
| Insular Caribbean | CANARI | 1 | 1 | 0 | | 0 |
| | CARICOM | -1 | 0 | -1 | 0 | |
| | CAST | 1 | 0 | 1 | 0 | |
| | CCCCC | 1 | -1 | 0 | | |
| | CEHI | 1 | 0 | 0 | 0 | |
| | CRFM | 0 | 0 | 1 | | 0 |
| | UWI | 1 | 1 | 1 | 0 | 0 |
| | OECS | 1 | 0 | 1 | | 0 |
| Central and South America | CCAD | 0 | 1 | 0 | 0 | |
| | COCATRAM | 1 | 0 | 1 | | 0 |
| | CONFEPESCA | 0 | 0 | 0 | | |
| | OSPESCA | 1 | 0 | 1 | | |
| | OLDEPESCA | 0 | 0 | 0 | | |

| KEY | |
|-----|--|
| -1 | Not working in mandated issue area |
| 0 | No difference between mandated and actual work |
| 1 | Working in issue area not defined in mandate |

Most (80%) of the organisations that showed variations across the key transboundary issues also had mandated roles for the broad issues of environment or the coastal and marine environment. This indicates that most organisations are functioning within their mandated roles. The actual work of most organisations reflected a narrowing or definition of roles within the broad issues (Table 4 and Figure 4).

In each of the three issue areas there were more organisations active than were mandated to function in those areas (Figure 3). This was in part due to organisations expanding their roles beyond their mandates, and in part to the ability to more specifically determine the area of activity of organisations with broad issue mandates (environment and coastal and marine environment). As shown in Table 4, at the level of the Wider Caribbeannine of the twelve organisations (75%) showed variations from their mandated roles across the three transboundary issue areas. Seven (77%) of these nine organisations also had broad issue mandates. For the Insular Caribbean, seven (88%) of the eight organisations that showed variations from their mandate also had broad issues mandates. For Central and South America, two (66%) of the three organisations showing variations also had broad issue.

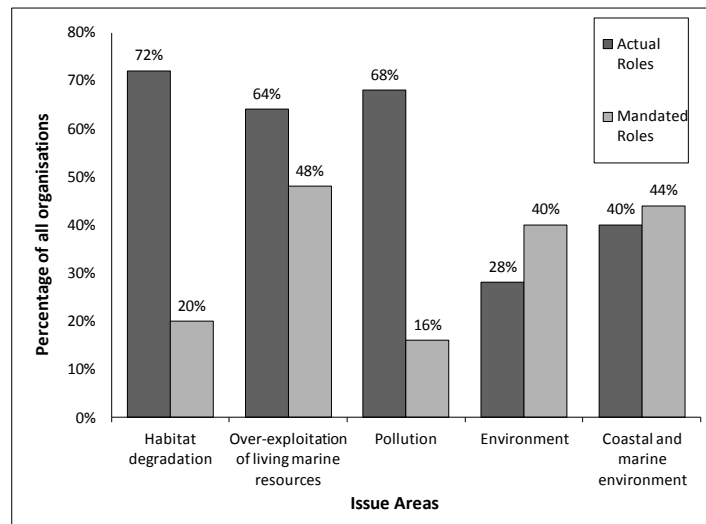


Figure 4. The differences by issue area between the percentage of organisations with a mandated role and that with an actual role in ocean governance in the WCR

Mandated roles of the organisations in the policy cycle

The involvement in the stages of the LME Governance Framework policy cycle was also analysed for each of the 25 organisations. Most organisations (80%), based on their mandates, were expected to be involved in the first two stages of the policy cycle – data and information and analysis and advice (Table 5). For data and information, some organisations were expected

to be directly involved in research and original data collection. For others, they were expected to act as clearinghouses. The latter would therefore have access to original data and information. In some cases they were responsible for the distribution of data and information.

Table 5. Mandated policy cycle roles of regional organisations involved in ocean governance in the Wider Caribbean Region

| Region/sub-region | Organisation | Policy cycle stage (based on LME governance framework) | | | | |
|-------------------------|------------------|--|---------------------|-----------------|----------------|-----------------------|
| | | Data and information | Analysis and advice | Decision-making | Implementation | Review and evaluation |
| Wider Caribbean | ACS | 0 | 0 | 0 | | |
| | AMLC | 0 | | | | |
| | ARPEL | 0 | 0 | | | |
| | CATHALAC | 0 | 0 | | | |
| | CEP | | 0 | 0 | 0 | 0 |
| | CTO | 0 | 0 | 0 | | |
| | ECLAC | 0 | 0 | | | |
| | GCFI | 0 | 0 | | | |
| | IOCARIBE | 0 | 0 | | | |
| | IUCN | 0 | | | | |
| | TNC | 0 | | | | |
| | WECAFC | 0 | 0 | | | |
| | Sub-total | 11 | 9 | 3 | 1 | 1 |
| Insular Caribbean | CANARI | 0 | 0 | | | |
| | CARICOM | 0 | 0 | 0 | 0 | 0 |
| | CAST | | | | | |
| | CCCCC | 0 | 0 | 0 | 0 | 0 |
| | CEHI | 0 | 0 | | | |
| | CRFM | 0 | 0 | 0 | 0 | 0 |
| | UWI | 0 | 0 | | | |
| | OECS | 0 | 0 | 0 | | 0 |
| | Sub-total | 7 | 7 | 4 | 3 | 4 |
| Central/South America | CCAD | | 0 | 0 | 0 | |
| | COCATRAM | | 0 | | | |
| | CONFEPESCA | | | | | |
| | OSPESCA | 0 | 0 | 0 | 0 | 0 |
| | OLDEPESCA | 0 | 0 | 0 | | |
| | | Sub-total | 2 | 4 | 3 | 2 |
| Number of Organisations | | 20 | 20 | 10 | 6 | 6 |
| Percentage | | 80% | 80% | 40% | 24% | 24% |

In some cases, the review and evaluation role was primarily a reporting responsibility. Both evaluation and implementation were seldom identified as roles organisations were mandated to carry out. At the decision-making stage there were two types of decisions made: those which were binding on countries and those for which compliance was voluntary.

At the level of the Wider Caribbean, 11 (92%) and 9 (75%) of the organisations were mandated to contribute to the data and information and the analysis and advice stages of the policy cycle respectively. Three (25%) organisations were found to have decision-making responsibility. For both implementation and review and evaluation there was only one organisation each. The CEP was the only organisation mandated to operate across four of the five policy cycle stages.

With the exception of one organisation, the organisations in the Insular Caribbean subregion were expected to operate across the data and information and analysis and advice stages of the policy cycle. There were 4, 3 and 4 organisations mandated to make decisions, implementation and review and evaluation respectively. Four organisations were mandated to operate across all stages of the policy cycle. They were CARICOM, CCCCC, CRFM and the OECS.

In the Central and South America subregion, OSPESCA was the only organisation mandated to operate across all the stages of the policy cycle. Four of the five organisations (80%) were mandated to operate within the stage of analysis and advice. Three organisations were mandated to undertake decision-making and implementation while OSPESCA was the only one with a mandate for review and evaluation.

Actual policy cycle roles of the organisations

The actual policy cycle roles of organisations were also analysed based on the work undertaken by the organisations during the period (Table 6). There were a few organisations for which this information could not be determined and is therefore shown as missing.

Overall, 22 (85%) of the 25 organisations were involved in the data and information stage of the policy cycle. It was noted however that this stage of the policy cycle was grounded in the national level data collection. Fourteen (56%) of the organisations undertook processes that utilised analysis and advice.

Only five (20%) inter-governmental organisations were involved in decision-making. Implementation was undertaken by four (16%) organisations and review and evaluation by five (20%) organisations. When compared with the mandated roles of organisations for the policy cycle, the data and information stage was the only area where the number of organisations increased (8%) (Figure 5)

Table 6. Actual policy cycle roles of regional organisations involved in ocean governance in the Wider Caribbean Region

| Region/sub-region | Organisations | Policy cycle stages (based on LME governance framework) | | | | |
|--------------------------------|------------------|---|---------------------|-----------------|----------------|-----------------------|
| | | Data and information | Analysis and advice | Decision-making | Implementation | Review and evaluation |
| Wider Caribbean | ACS | | | | | |
| | AMLC | 0 | | | | |
| | ARPEL | 0 | 0 | | | |
| | CATHALAC | 0 | | | | |
| | CEP | 0 | 0 | 0 | 0 | 0 |
| | CTO | 0 | 0 | | | |
| | ECLAC | 0 | | | | |
| | GCFI | 0 | | | | |
| | IOCARIBE | 0 | | | | |
| | IUCN | 0 | | | | |
| | TNC | 0 | 0 | | 0 | 0 |
| | WECAFC | 0 | 0 | | | |
| | Sub-total | 11 | 5 | 1 | 2 | 2 |
| Insular Caribbean | CANARI | 0 | 0 | | | |
| | CARICOM | | 0 | 0 | | |
| | CAST | 0 | | | | |
| | CCCCC | 0 | | | | |
| | CEHI | 0 | 0 | | | 0 |
| | CRFM | 0 | 0 | | | |
| | UWI | 0 | 0 | | | |
| | OECS | 0 | | 0 | 0 | 0 |
| | Sub-total | 7 | 5 | 2 | 1 | 1 |
| Central America | CCAD | 0 | 0 | 0 | 0 | 0 |
| | COCATRAM | 0 | 0 | | | |
| | CONFEPESCA | 0 | 0 | | | |
| | OSPESCA | 0 | 0 | 0 | | 0 |
| | OLDEPESCA | | | | | |
| | Sub-total | 4 | 4 | 2 | 1 | 2 |
| Number of Organisations | | 22 | 14 | 5 | 4 | 5 |
| Percentage | | 88% | 56% | 20% | 16% | 20% |

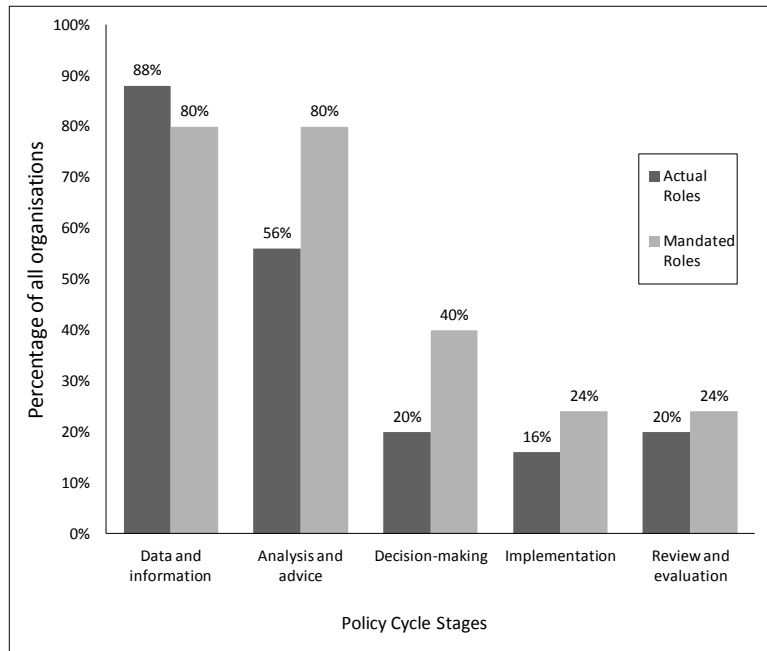


Figure 5. The differences by the policy cycle stages between the percentage of organisations with a mandated role and that with an actual role in ocean governance in the WCR

For the Wider Caribbean Region, with the exception of one organisation, all organisations were involved in the data and information stage. There was a large decrease in the organisations involved in the stages of analysis and advice to review and evaluation. Four organisations were involved in analysis and advice and two organisations for both implementation and review and evaluation. The CEP was the only organisation across all stages of the policy cycle and the only one undertaking decision-making.

Within the Insular Caribbean, all organisations, with the exception of one were involved in data and information. Four were involved in analysis and advice while only one organisation was involved in decision-making. Most organisations determined that implementation was a national level activity. Only one organisation was determined to be involved in implementation while two were involved in the review and evaluation stage.

In Central America, four (80%) of the five organisations were involved in data and information and analysis and advice stages. Decision making was undertaken by two organisations while implementation was largely seen as a national role and hence, only one organisation was identified with that role. Review and evaluation was carried out by two organisations.

Clearly from Figure 4 there is greater adherence to policy cycle stage roles than to issue areas. This is probably because organisations cannot easily move into the areas of implementation and decision-making without a formal change in mandate.

Synopses of regional organisations

Association of Caribbean States and the Caribbean Sea Commission (ACS and CSC)⁹

Geographical Scope

The Association of Caribbean States (ACS) was established in 1994 by 28 Contracting States, Countries and Territories of the Caribbean. There are 25 Member States and three Associate Members of the Association. The membership includes Antigua and Barbuda, Bahamas, Barbados, Belize, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, El Salvador, Grenada, Guatemala, Haiti, Honduras, Jamaica, Mexico, Panama, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago and Venezuela. Associate members are Aruba, France (on behalf of French Guiana, Guadeloupe, Martinique, Saint Bartholomy, Saint Martin) and Curacao.

Scope of work

The Association was established for consultation, cooperation and concerted action with the purpose of identifying and promoting the implementation of policies and programmes designed to: (a) harness, utilise and develop the collective capabilities of the Caribbean Region to achieve sustained cultural, economic, social, scientific and technological advancement; (b) develop the potential of the Caribbean Sea through interaction among Member States and with third parties; (c) promote an enhanced economic space for trade and investment with opportunities for cooperation and concerted action, in order to increase the benefits which accrue to the peoples of the Caribbean from their resources and assets, including the Caribbean Sea; and (d) establish, consolidate and augment, as appropriate, institutional structures and cooperative arrangements responsive to the various cultural identities, developmental needs and normative systems within the region.

In order to achieve these purposes, the Associate shall promote gradually and progressively promote among its members: (a) economic integration, including the liberalisation of trade,

⁹ Synopsis for the ACS and the CSC produced using the Convention Establishing the Association of Caribbean States and the Operating Statute and Rules of Procedure of the Caribbean Sea Commission

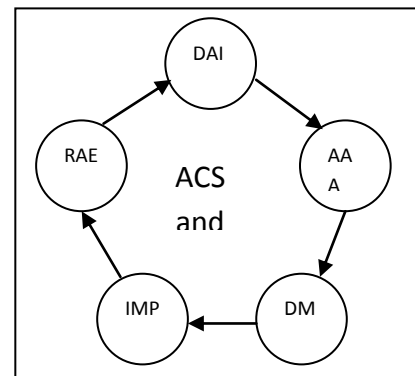
investment, transportation and other related areas; (b) discussion on matters of common interest for the purpose of facilitating active and coordinated participation by the region in the various multilateral fora; (c) the formulation and implementation of policies and programmes for functional cooperation in the fields mentioned in paragraph 1(a) of this Article; (d) the preservation of the environment and conservation of the natural resources of the region and especially of the Caribbean Sea; (e) the strengthening of friendly relationships among the Governments and peoples of the Caribbean; and (f) consultation, cooperation and concerted action in such other areas as may be agreed upon.

Internal structure

The Association is composed of two permanent organs: (1) the Ministerial Council – the main organ for policy-making and direction of the Association and (2) the Secretariat – which assists the Ministerial Council and Special Committees in the development and implementation of their policies and programmes. Five Committees were also established by the Ministerial Council: (a) the Committee on Trade Development and External Economic Relations; (b) the Committee for the Protection and Conservation of the Environment and of the Caribbean Sea; (c) the Committee on Natural Resources, (d) the Committee on Science, Technology, Health, Education and Culture; and (e) the Committee on Budget and Administration..

Mandated policy cycle scope

The ACS Convention identifies actions to be taken by the Ministerial Council and the Secretariat in achieving the objectives of the Association. The organisation does not make policy but promotes the identification and implementation of policies. The role of the organisation in the policy cycle may be one of a coordinating body in ocean governance given its mandate for the Caribbean Sea and its resources. This mandate was further defined through the establishment of the Caribbean Sea Commission (CSC).



There are policy activities that the Association can carry out to achieve its objectives. In terms of data and information, the Association through the Secretariat can initiate, organise and conduct studies on integration issues. The ACS can also collect, store and disseminate information to Member States, Associate Members and to other relevant entities as the Ministerial Council may decide. Analysis and review is also a function of the CSC. The Commission is expected to provide the Council of Ministers with recommendations towards the achievements of its objectives. The Council of Ministers can make decisions by consensus on substantive matters. Review and evaluation is a function of the Secretary-General and is limited to the provision of annual reports to the Ministerial Council regarding the work of the

Association. The data and information role highlighted may however provide a wider scope within the policy stage of review and evaluation.

The Caribbean Sea Commission (CSC)

Scope of Work

The CSC was established in 2008 to promote and oversee the sustainable use of the Caribbean Sea. The objective of the CSC commission is 'to carry out the strategic planning and technical follow-up work for the advancement of the Caribbean Sea Initiative and to formulate a practical and action-oriented work programme for the further development and implementation of the Initiative. Fields of cooperation for the CSC are marine science, ocean services and marine technology; living resources; non-living resources; ocean law, policy and management; tourism, marine transport and communications; marine environment; and other fields relevant to co-operation in marine affairs.

The focus of the work programme will be: (a) to promote the sustainable use and optimisation of the resources and integrated management of the Caribbean Sea and its services for the benefit of the States and peoples of the Caribbean Sea; (b) to create a greater public awareness regarding the importance of the Caribbean Sea, its resources and potential for the development of the States, Countries and Territories of the region, and promote co-operation among them, as well as between them and other States, bearing in mind, inter alia, the international law of the sea, and without prejudice to those States which are not Contracting parties to some of the relevant instruments which govern the regime of the international law of the sea, the Regional Seas Programme of the United Nations Environment as well as other international agreements; (c) to establish a forum where the parties States and Associate Members of the ACS and other interested States and territories could consider, examine and review the economic, social and recreational uses of the Caribbean Sea, its resources and related activities, including those undertaken within the framework of intergovernmental organizations, and to identify fields in which they could benefit from enhanced international co-operation, co-ordination and concerted action; (d) to enhance the economic and social development of parties States and Associate Members of the ACS and other interested States and territories, through integration of ocean-related activities in their respective development processes, and to further a policy of integrated ocean management through regular and continuing dialogue and international and regional cooperation with particular emphasis on technical co-operation among developing countries; and (e) to propose to the Ministerial Council the legal framework for regional and international acceptance of the Special Area in the context of sustainable development, so as to attain the objectives set out above, and to ensure the protection and preservation of the

biological diversity of the environment of the Caribbean Sea, taking into account the sovereign rights of states over their resources.

The Association of Marine Laboratories (AMLC)¹⁰

Geographical scope

The Association of Marine Laboratories (AMLC) was established as a not-for-profit organisation in 1956 by marine researchers to serve the Wider Caribbean Region. There are three categories of membership including institutional members (marine laboratories of the Wider Caribbean Region and other institutions that the Association invites to membership), affiliated institutional members (marine laboratories with primary operations in geographic areas other than the Wider Caribbean ecosystem) and individual members (any scientist or student with special interest in issues pertaining to the marine sciences of the Wider Caribbean Region).

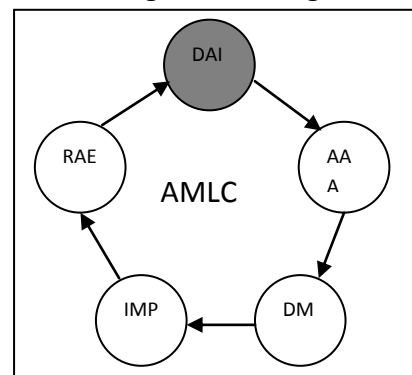
Scope of work

The AMLC was established to advance common interest in the marine sciences by: (a) assisting and initiating cooperative research and education programs; (b) providing for an exchange of scientific and technical information; (c) fostering personal and official relations among members; (d) publishing the proceedings of scientific meetings and a newsletter; (e) cooperating with governments and other relevant organizations; and (f) other means that may be desirable.

Internal structure

The AMLC is composed of the Executive Board and three standing committees – nominations, finance, and education. The Executive Board is composed of the following voting members: President, President-Elect, Vice President, Executive Director, Membership Director, Treasurer, Information Officer, Editor of the Proceedings, up to three Members-at-Large, and a single designated Institutional Representative from each Institutional Member not represented by the elected officers. There may also be an Executive Committee from among the members of the Executive Board. In addition to the three standing committees, there may also be special committees.

The 'Proceedings of the Association of Marine Laboratories of the Caribbean' and the journal 'Caribbean Marine Science' are the two publications of the Association.



¹⁰The Synopsis for the AMLC was produced using the bylaws of the Association of Marine Laboratories of the Caribbean Effective May 25, 2009

Mandated policy cycle scope

The AMLC can contribute to the data and information stage of the policy cycle. It is responsible for assisting and initiating cooperative research and education programmes that provide scientific and technical information. The publication of this work is provided in the Association's proceedings of scientific meetings and the newsletter.

The Regional Association of Oil and Natural Gas Companies in Latin America and the Caribbean (ARPEL)¹¹

Geographical Scope

The Regional Association of Oil and Natural Gas Companies in Latin America and the Caribbean (ARPEL) was established as a non-profit association in 1965. The membership includes companies and institutions of the Sector of Oil, Natural Gas and Biofuels with operations and/or activities in Latin America and the Caribbean. Membership of the Association may be of three types – active, cooperative and institutional.

Scope of Work

The main purpose of the Association is to serve as a: (a) Vehicle for synergic relations, cooperation and networking among Members, and for promoting dialogue and joint activities on the basis of converging interests and criteria; (b) Catalyst for knowledge exchange among Members, and means for promoting the development and implementation of best practices and solutions to ensure the continuous improvement in the sector's operational, environmental, social and economic performance; (c) Forum for the analysis and dissemination of regional industry progress regarding sustainable development; (d) Forum for the analysis and dissemination of regional progress regarding energy integration and security; (e) Vehicle for networking and dialogue between the industry and its key stakeholders, and regional body of industry representation promoting the harmonization of sectoral policies to facilitate the sector's sustainable development; (f) Regional means for joint action to help enhance the industry reputation; (g) Focal point of information about industry activities in the Region; and (h) Regional support institution facilitating the development of sectoral activities and the provision of training, certification and technical support services required by its Members.

Internal structure

The Association is composed of four bodies: (1) The Assembly – It is the Association's highest authority and consists of representatives from active, cooperating and institutional members. This body is responsible for setting the Association's general policies, as well as approving

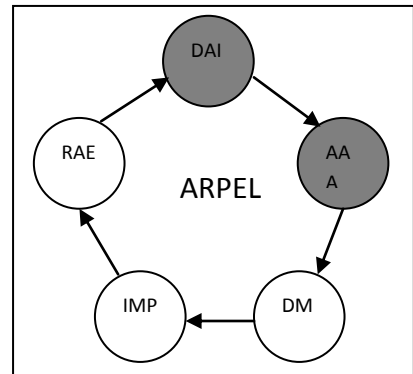
¹¹ The Synopsis for ARPEL was produced using the Bylaws of the Regional Association Of Oil, Gas And Biofuels Sector Companies In Latin America And The Caribbean

strategic guidelines and objectives, work programs, activities and budgets. Institutional members participate in the Assembly as observers; (2) The Board of Directors - it is the body responsible for the strategic direction of ARPEL's services and activities and for monitoring and evaluating compliance with annual plans and budgets by the Executive Secretariat; (3) The Fiscal Commission - the role of the Fiscal Commission is to examine, to give an opinion and to make the corresponding recommendations regarding the Financial Statements and Budget Executions that the Board of Directors submit for consideration to the Assembly. It is composed of three representatives elected among Active Members and Cooperating Members; (4) The Executive Secretariat – consists of the Executive Secretary and the professional team required to implement work programs, activities and services of the Association.

Mandated policy cycle scope

ARPEL was established to function across two stages of the policy cycle – data and information and analysis and advice. In relation to data and information, the Association was established to be a catalyst for knowledge exchange and a means for promoting the development and implementation of best practices and solutions to ensure continuous improvement the sector's performance. In addition, it was established as focal point of information about industry activities in the Region and the dissemination of regional industry progress regarding sustainable development.

In its contribution to the policy stage of analysis and advice, the Association was established to be a forum for the analysis of regional industry progress regarding sustainable development. The provision of advice however was not identified for action.



The Caribbean Natural Resources Institute (CANARI)¹²

Geographical Scope

The Caribbean Natural Resources Institute (CANARI) was established in 1989 as a non-profit organisation. CANARI evolved from a 1976 initiative of the Rockefeller Brothers Fund (RBF) and the University of Michigan's School of Natural Resources (UM-SNR), which by 1978 had come to be known as the Eastern Caribbean Natural Area Management Programme (ECNAMP). The geographic focus of CANARI is the islands of the Caribbean. The membership of the Institute is

¹²The Synopsis for CANARI was produced using the Bylaws of the Caribbean Natural Resources Institute

limited to individuals with the status of Elected Partner, Managing Partner and Staff Partner that constitute that constitute the Partnership.

Scope of Work

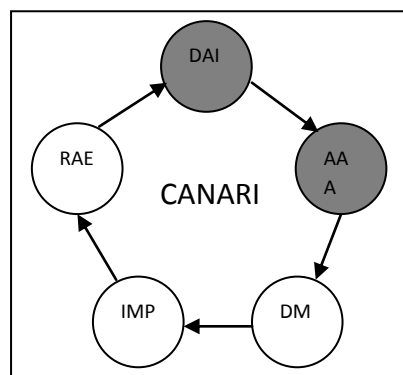
CANARI was established to undertake research, analysis and advocacy on participatory natural resource planning and management for the Caribbean region. Its mission is ‘to promote equitable participation and effective collaboration in managing the natural resources critical to development’. The approach to achieving its mission is through; applied and action research, analysis, monitoring and evaluation related to innovative policies, institutions and approaches to participation and governance; sharing and dissemination of lessons learned, including capacity building; and fostering partnerships, particularly those that build on regional assets and talents and contribute to closer regional cooperation.

Internal structure

CANARI’s internal structure is referred to as the Partnership. It is made up of elected Board members as Elected Partners, the Executive Director as Managing Partner and senior technical staff as Staff Partners. There is collective responsibility among the Partners for oversight of the Institute and the appropriate use of its funds. Partners may also represent the Institute with the approval of the Managing Partner.

Mandated policy cycle scope

CANARI can be expected to contribute to two stages of the policy cycle – data and information and analysis and advice. The focus of this data and information is specific to the participatory natural resource planning and management in the Caribbean Region. There is a limited role at the stage of analysis and advice. The focus is on analysis. It is feasible however that through advocacy, the analyses undertaken can influence policy making.



The Caribbean Community and Common Market (CARICOM)¹³

Geographical scope

The Caribbean Community (CARICOM) was established in 1973. The mandate of the Community is provided in the Revised Treaty of Chaguaramas Establishing the Caribbean Community including the Common Market and Single Economy organisation (2001). The membership of the

¹³The Synopsis for CARICOM was produced using the Revised Treaty of Chaguaramas Establishing the Caribbean Community Including The CARICOM Single Market And Economy

organisation includes Antigua and Barbuda, The Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, Montserrat, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines, Suriname and Trinidad and Tobago.

Scope of work

The mission of the organisation is to provide dynamic leadership and service, in partnership with Community institutions and Groups, toward the attainment of a viable, internationally competitive and sustainable Community, with improved quality of life for all. The objectives of CARICOM are: to improve standards of living and work; the full employment of labour and other factors of production; accelerated, coordinated and sustained economic development and convergence; expansion of trade and economic relations with third States; enhanced levels of international competitiveness; organisation for increased production and productivity; achievement of a greater measure of economic leverage and effectiveness of Member States in dealing with third States, groups of States and entities of any description and the enhanced co-ordination of Member States' foreign and foreign economic policies and enhanced functional co-operation.

Specifically in relation to the environment and the living marine resources, the revised treaty makes provisions for 1) the promotion and development of policies for the protection of and preservation of the environment and for sustainable development within the scope of the Council for Trade and Environment (COTED) 2) the promotion of the development of special focus programmes supportive of the establishment and maintenance of a healthy human environment in the Community within the scope of the Council for Human and Social Development (COHSOD), 3) the conservation of the natural and cultural resources of the Region through proper management within Sustainable Tourism Development and 4) the efficient management and sustainable exploitation of the Region's natural resources, including its forests and the living resources of the exclusive economic zone.

There is also specific reference in the Revised Treaty (Article 56) to fisheries management and development. The role of the Community in this regard would be to collaborate with competent national, regional and international agencies and organisations to promote the development, management and conservation of the fisheries resources in and among the Member States on a sustainable basis. In addition, the Council for Foreign and Community Relations (COFCOR) is responsible for promoting the establishment of a regime for the effective management, conservation and utilisation of the living marine resources of the exclusive economic zones of the Member States.

Structure of the organisation

The two principal organs of the CARICOM are the Conference of Heads of Government which is the supreme organ of the Community and the Community Council of Ministers which is the

second highest organ. In addition, there are four other organs that assist in performance of the functions of the CARICOM – the Council for Finance and Planning (COFAP), the Council for Trade and Economic Development (COTED), the Council for Foreign and Community Relations (COFCOR) and the Council for Human and Social Development (COHSOD). In addition to these organs, there are three bodies of the Community, namely, the Legal Affairs Committee, the Budget Committee and the Committee of Central Bank Governors.

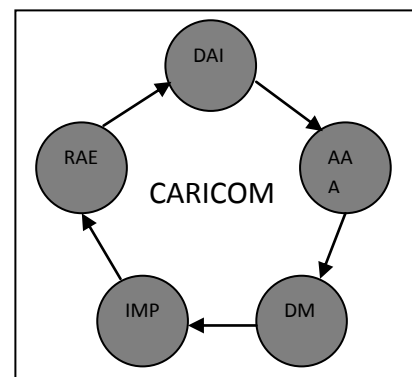
There are also several institutions of and within the CARICOM that are part of the governance arrangements for living marine resources. The organisations of the Community are the Caribbean Environment Health Institute (CEHI) and the Caribbean Disaster Emergency Management Agency (CDEMA). The organisations within the CARICOM are the Caribbean Regional Fisheries Mechanism (CRFM) and the Caribbean Community Climate Change Centre (CCCCC). These are all treated as separate organisations with regard to governance of transboundary LMR.

Mandated policy cycle scope

CARICOM is mandated to operate across all five stages of the policy cycle towards the achievement of its objectives. Decision making CARICOM is provided for at the level of the Conference of Ministers and the Ministerial Councils, for example COTED and COHSOD. The decisions made at these levels are legally binding. These decisions, while facilitated by the Bureau and strategically planned by the Council of Ministers, are functions of the Secretary General and the Secretariat.

The functions of review and evaluation have been provided for at the levels of the Secretariat and Community Council of Ministers. The role at the Community Council of Ministers is a monitoring one. The Secretariat is tasked with monitoring the implementation of Community decisions in Member States and with monitoring and evaluating regional and national implementation processes.

In the Revised Treaty, the Secretariat is responsible for providing data and information and analysis and advice. The Secretariat has been tasked with initiating, organising and conducting studies on issues for the achievement of the objectives of the Community. The Secretariat is also assigned fact-finding activities in Member States for the development of proposals for consideration and decision by the competent Organs in order to achieve Community objectives. The provision of advice to the Organs and Bodies of the Community is also a function of the Legal Affairs Committees on matters relating to treaties, international legal issues, the harmonisation of laws of the Community and other legal matters.



The Water Center for the Humid Tropics of Latin America and the Caribbean (CATHALAC)¹⁴

Geographical Scope

The Water Center for the Humid Tropics of Latin America and the Caribbean (CATHALAC) was established as an international organisation in 1992. The Centre is recognised as a centre of excellence. It was established to serve Latin America and the Caribbean.

Scope of Work

CATHALAC was established to promote sustainable development through applied research and development, education and technology transfer on water resources and the environment, facilitating the means to improve the quality of life in countries of the humid tropics of Latin America and the Caribbean. The four thematic areas of work include integrated watershed management, climate change, environmental modelling and analysis and risk management.

The mission of the Centre is to promote integrated watershed management in Latin America and the Caribbean through applied research, education and technology transfer.

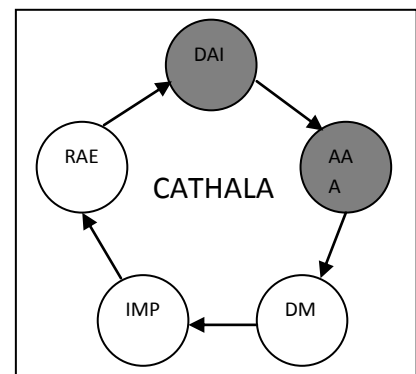
Internal structure

CATHALAC is made up of the four decision-making bodies. They are: (1) the Executive Council; (2) the Directorate General; (3) the Scientific, Technical, and Educational Advisory Committee; and (4) the Financial Sustainability Advisory Committee.

There are also five divisions that comprise the Center’s functional structure. The divisions are: (1) Applied Research and Development Division; (2) Education Division; (3) Information Technology & Communication Division (4) Development and International Cooperation Division; and (5) Administration and Finance Division.

Mandated policy cycle scope

CATHALAC contributes to the data and information and analysis and advice stages of the policy cycle. The Center was established to conduct applied environmental research. There is specific emphasis in the areas of monitoring ecosystem health, coastal zones, fishing resources and climate monitoring and creating scenarios. In terms of analysis and advice, the focus is more on analysis.



¹⁴The Synopsis for CATHALAC was produced using the

The Central American Commission on Environment and Development (CCAD)¹⁵

Geographical Scope

The Central American Commission on Environment and Development (CCAD) was established in 1990 as an organ of the Central American Integration System (SICA). The membership of the Commission includes Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama and Dominican Republic.

Scope of Work

CCAD was established as a regional system of cooperation for the optimum and rational utilisation of natural resources in the area, pollution control and restoration of ecological balance, to ensure a better quality of life to population in Central America. The objectives of the Commission are to: a) Enhance and protect the natural heritage of the region, characterized by high biological and eco-systemic diversity; b) Establish collaboration between Central American countries in the pursuit and adoption of sustainable development styles, with the participation of all parties involved therein; c) To promote coordinated action by government agencies, nongovernmental and international organizations for the optimal and rational use of natural resources in the area, pollution control, and the establishment of ecological balance; d) Manage obtaining regional and international financial resources needed to achieve the objectives of this scheme; e) Strengthen national bodies that are responsible for the management of natural resources and environment; f) Support the compatibility of the major national policy guidelines and legislation with the strategies for sustainable development in the region, particularly to incorporate environmental considerations and parameters in the process of national development planning; g) Identify priority areas including: environmental education and training, watershed protection and shared ecosystems, tropical forest management, pollution control in urban centres, importation and management of toxic and hazardous waste, and other aspects of environmental degradation affecting the health and quality of life of the population; and h) promote in the countries of the region participatory, democratic and decentralized environmental management.

Internal structure

There are three main bodies of CCAD. They are 1) the Commission itself composed of representatives appointed by the governments of each country. The Commission is assisted by the Chair of the Committee, the Secretariat and the adhoc technical committees established by

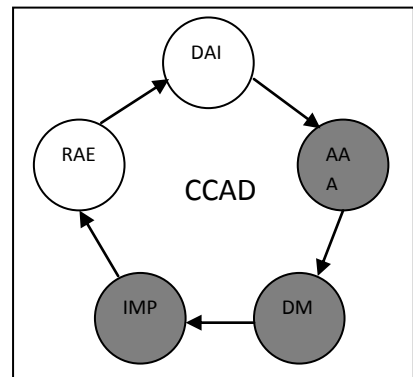
¹⁵The Synopsis for CCAD was produced using the Convention Establishing the Commission on Environment and Development and its Protocol.

the Commission. The powers of the Commission are: 1) The formulation of strategies to promote environmentally sustainable development of countries in the area, 2) Development of an Action Plan to implement such strategies; 3) The adoption of its Rules and financial regulations and administrative provisions necessary; 4) The senior management of the Secretariat and the supervision of the administration of the Fund established by the Convention; 5) The appointment of the Chairman of the Committee, who will be the legal representative.

The Secretariat provides technical advice to the Commission coordinates and directs the technical committees, coordinates technical cooperation among member countries and multilateral organisations. It also performs administrative tasks. The technical committees also provide advice to the Commission and perform specific tasks assigned by the Commission.

Mandated policy cycle scope

CCAD may undertake policy cycle activities across three stages of the policy cycle – analysis and advice, decision-making and implementation. Technical advice is provided through the Secretariat and the technical committees. Decision-making is undertaken by the Commission. Regional policies such as the Agreement for the Conservation of Biodiversity and the Protection of Priority Wild Areas in Central America and the Regional Agreement on the Transboundary Movement of Dangerous Substance have been developed under the CCAD.



Through both the Commission and the Secretariat, there is the implementation of regional strategies. The Commission is responsible for the development of action plans in relation to the regional strategies while the Secretariat implements the agreements and the action plan developed by the Commission.

The Caribbean Community Climate Change Centre (CCCCC)¹⁶

Geographical Scope

The Caribbean Community Climate Change Centre (CCCCC) was established in 2002 as a Centre of Excellence for the coordination of the region’s response to climate change. The establishment of the Centre was preceded by two initiatives. The Caribbean Planning for Adaptation to Climate Change Project (CPACC) was executed from 1997 to 2001 followed by the

¹⁶The Synopsis for CCCCC was produced using the Agreement Establishing the Caribbean Community Climate Change Centre (2002)

Adaptation to Climate Change in the Caribbean (ACCC) Project from 2001 to 2004. The Centre was officially launched however in 2005.

The membership of the organisation is open to members and associate members of the Caribbean Community (CARICOM). The members are Antigua & Barbuda, The Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, St. Kitts & Nevis, Saint Lucia, St. Vincent and the Grenadines, Suriname and Trinidad and Tobago. Associated members include Anguilla, Bermuda, British Virgin Islands, Cayman Islands and Turks and Caicos Islands.

Scope of Work

The objectives of the Centre are: (a) protection of the climate system of Members of the Centre for the benefit of present and future generations of their peoples; (b) enhancing regional institutional capabilities for the co-ordination of national responses to the negative effects of climate change; (c) providing comprehensive policy and technical support in the area of climate change and related issues and spearheading regional initiatives in those areas; and (d) performing the role of executing agency for regional environmental projects relating to climate change.

To achieve these objectives, the Centre is expected to carry out the following functions:

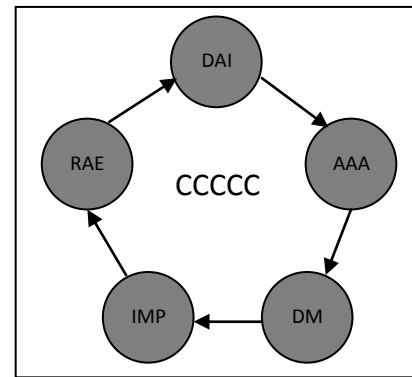
(a) collecting, analysing, storing, retrieving and disseminating meteorological and sea-level data relevant to the observation of climate change and facilitating, in collaboration with specialised Caribbean agencies, the collection of information about the impact of climate change on the economic sectors in the Caribbean; (b) facilitating and coordinating the development of Caribbean positions on global climate change and serving as an authoritative technical source for Caribbean countries to, inter alia, fulfil their responsibilities under the United Nations Framework Convention on Climate Change; assisting Members, on request, in realising the equitable benefits resulting from the implementation of financial mechanisms under the Kyoto Protocol; (c) providing, on request, Members and Associate Members with strategic assistance for public education and awareness campaigns at the national and regional levels to involve all regular stakeholders, both public and private; (d) in collaboration with Members and relevant agencies, developing special programmes to address implications in the Region for coastal zone management, disaster management, and potentially vulnerable sectors such as tourism, health, agriculture and insurance; (e) promoting the sharing of resources, technical co-operation and information exchange with other global climate change initiatives, in particular in Small Island Developing States and Latin America; (f) coordinating (and initiating) the development of regional research programmes, including adaptation of global climate and impact modelling efforts and specialised training focussed on effective adaptation to global climate change.

Internal structure

The Institute is composed of three organs: (1) the Council of Ministers – composed of Ministers Responsible for Environment of Members of the Centre. It is the principal policy-making organ of the Centre; (2) the Board of Governors – composed of representatives of Members and public and private institutions. The Board is responsible for establishing a Policy Advisory Committee (PAC) comprising representatives from public and private sector organisations that will advise the Board; and (3) the Technical Secretariat – comprised of a Director and such other members of staff as the Board may determine.

Mandated policy cycle scope

The Centre’s mandate covers all five stages of the policy cycle. Data and information collection, analysis and sharing are functions of the organisation. Specifically, at the request of Member States, the Technical Secretariat and the Board have the responsibility for the provision and sharing of data and information on climate change and adaptation to the adverse effects thereof. There is also scope for the provision of analysis and advice through both the Technical Secretariat and the Council of Ministers. The Council also has



responsibility for making decisions that are binding on Member States. Implementation may be considered a function of the Board – to initiate or determine projects designed to protect the climate system or to address the adverse effects of climate change in the Caribbean Region. Regarding the stage of review and evaluation, the Centre is expected to conduct periodic reviews of the adequacy of the provisions of the agreement establishing the agency and the policies and measures designed to address the adverse effects of climate change in the Caribbean Region. It is also expected to provide assessments of the effects of measures designed to deal with the adverse effects of climate change.

The Caribbean Environment Health Institute (CEHI)¹⁷

Geographical Scope

The Caribbean Environment Health Institute (CEHI) was established in 1979 as a technical institute of the Caribbean Community (CARICOM). There are 16 Member States of the Institute - Anguilla, Antigua & Barbuda, Bahamas, Barbados, Belize, British Virgin Islands, Dominica,

¹⁷The Synopsis for CEHI was produced using the Agreement Establishing The Caribbean Environmental Health Institute (1980)

Grenada, Guyana, Jamaica, Montserrat, Saint Kitts & Nevis, St. Lucia, St. Vincent and the Grenadines, Trinidad and Tobago and the Turks and Caicos Islands).

Scope of Work

The Institute was established within the scope of the Caribbean Environmental Health Strategy. The objectives of the Institute are: (a) to provide technical and advisory services to its members in all areas of environmental management, including water supplies, liquid and sewage waste disposal, solid waste management, water resource management, coastal zone management including beach pollution, air pollution, occupational health, vector control, agricultural pollution and pesticides control, disaster prevention and preparedness, natural resource conservation, environmental institution development and the socio-economic aspects of environmental management; (b) to prepare and keep inventories of (i) education and training programmes especially those in related disciplines; and (ii) regional experts and other manpower resources; (c) to promote and collaborate in the planning and programming of symposia, workshops and on-the-job training in Member States; (d) to conduct courses, seminars, symposia and other workshops at either the Institute or other selected regional institutions; (e) to arrange and accept grants for financing scholarships and fellowships to facilitate the training of nationals of Member States; (f) to act as (i) a regional reference centre for the collection and dissemination of technical and scientific information; and (ii) a focal point for various environmental monitoring networks for the collection and dissemination of environmental data, especially health-related, in the Caribbean Region; (g) to promote and coordinate applied research relevant to the environmental problem of the Caribbean Region as identified by Member States; (h) to stimulate the provision of engineering, public health laboratory and other related environmental services for Member States, or groups of Member States in accordance with their desires; (i) to promote uniformity in professional practice, design standards, and technical methods in programmes formulated for the improvement of environmental health and environmental management; and (j) to promote activities which will facilitate the implementation of the Environmental Health Strategy.

Internal structure

The Institute is composed of: (1) a Governing Body referred to as the Conference of Ministers Responsible for Health – gives general or specific policy directions to the Council, authorises agreements and approves budgets and work programmes; (2) a Council – responsible for the general operation of the Institute, makes recommendations to the Council on operational matters; (3) an Executive Director; and (4) any other officers and staff as may be necessary.

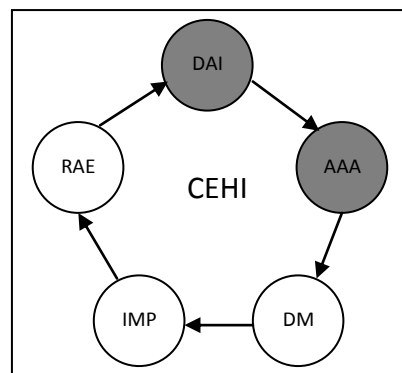
Mandated policy cycle scope

The Institute's regional level policy mandate is limited to two stages of the policy cycle – data and information and analysis and advice. Data and information responsibilities include both

collection and dissemination. The institute would therefore be a regional reference centre for the collection and dissemination of technical and scientific information and a focal point for the various environmental monitoring networks (especially health related).

In terms of the provision of analysis and advice, the Institute was mandated to provide technical and advisory services to Member States in all areas of environmental management.

While the mandate of the Institute relates directly to the issue of pollution and indirectly to habitat degradation, the focus of the Institute's work appears to be directed to supporting the national level.



The Caribbean Environment Programme (CEP)¹⁸

Geographical Scope

The Caribbean Environment Programme (CEP) is one of the Regional Seas Programmes administered by the United Nations Environment Programme (UNEP). The Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region (Cartagena Convention) was adopted in 1983 and entered into force in 1986. The three protocols to the Convention are (1) protocol concerning cooperation in combating oil spills in the WCR (Oil Spill protocol), (2) the protocol concerning specially protected areas and wildlife (SPAW protocol) and (3) the protocol concerning pollution from land-based sources and activities (LBS protocol). These came into force in 1986, 2000 and 2012 respectively.

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. The contracting parties to the Convention are Antigua and Barbuda, Bahamas, Barbados, Belize, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, France, Grenada, Guatemala, Guyana, Jamaica, Mexico, Netherlands, Nicaragua, Panama, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Trinidad and Tobago, United Kingdom, United States of America and the Bolivarian Republic of Venezuela.

¹⁸The Synopsis for CEP was produced using the Convention for the Protection and Development of the Marine Environment of the Wider Caribbean Region, the Protocols Concerning Pollution From Land-Based Sources and Activities, Specially Protected Areas And Wildlife and Co-operation in Combating Oil Spills in the Wider Caribbean Region.

Scope of Work

The mission of the CEP is 'promoting regional co-operation for the protection and sustainable development of the marine environment of the Wider Caribbean Region. The Convention focuses on the various aspects of marine pollution arising from ships, by dumping, from sea-bed activities, airborne pollution and pollution from land-based sources and activities.

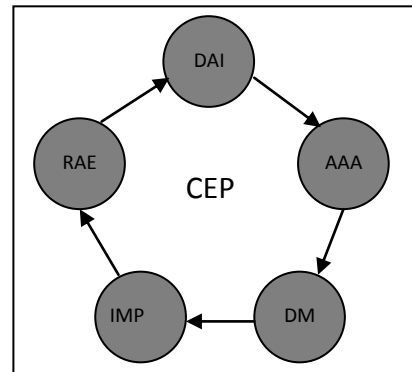
The three main sub-programmes of the CEP are Assessment and Management of Environment Pollution (AMEP), Specially Protected Areas and Wildlife (SPAW) and Communication, Education, Training and Awareness (CETA).

Internal structure

The CEP provides the programmatic framework for the Cartagena Convention. The Caribbean Regional Co-ordinating Unit (CAR/RCU) serves as Secretariat to the CEP. There is also a Meetings of Contracting Parties (Conference of Parties) that is held once every two years with the aim of reviewing the implementation of the Convention and its protocols. There are also Regional Activity Centres (RACs) and Regional Activity Networks (RANs) that assist in the implementation and provision of expertise respectively.

Mandated policy cycle scope

The CEP may operate across all five stages of the policy cycle. Although the Secretariat does not carry out research, it is responsible for facilitating the collection, review and dissemination of studies, publications and the results of work performed, as guided by the CEP. In relation to analysis and advice, technical advisory committees (TACs) have been established under the LBS and SPAW protocols. These provide recommendations to the meetings of Contracting Parties on the implementation of the protocols and the amendments to



the protocols. The meetings of Contracting Parties may also produce recommendations on amendments to the Convention. Decision making on co-operative activities is also a function of meetings of Contracting Parties. In the area of review and evaluation, the TACs established for the protocols and the Meeting of the Contracting Parties have responsibility for reviewing the status of the Convention and its protocols and for making recommendations on amendments based on the outcomes of measures taken by the Parties to the Convention.

The Caribbean Alliance for Sustainable Tourism (CAST)¹⁹

Geographical Scope

The Caribbean Alliance for Sustainable Tourism (CAST) is a not-for-profit organisation established as a subsidiary of the Caribbean Hotel Association (CHA) in 1997. CAST was established by the members of CHA to promote the responsible environmental and social management of natural and heritage resources, within the hotel and tourism sector. The membership of CAST is composed of hotel owners and general management referred to as Property Membership and Allied Membership that is made up of organisations that do, or want to do business in the Caribbean.

Scope of Work

The mission of the CAST is 'to enhance the practices of the region's hotel and tourism operators by providing high quality education and training related to sustainable tourism; promoting the industry's efforts and successes to the travelling public and other stakeholders; and serving as a vital link to all stakeholders with sustainable tourism interests in the Caribbean region'. The strategic focus of the CAST covers four areas – sustainable tourism certification and standards development, environmental management tools, advocacy and fund-raising.

Internal structure

The CAST is led by a Governing Council and an Executive Committee that is appointed by the Council. The Council comprises regional and international hotels, private companies and regional institutions. It is responsible for setting the policies and drives the CAST sustainable tourism mandate and work programme. The Executive Committee oversees the progress of the CAST working group.

Mandated policy cycle scope

The CAST has not specifically identified areas of the policy cycle that it will address. Through its mission however, it is feasible that the organization has access to data and information on the region's hotel and tourism operators, given its mission to enhance their practices through education and training.

¹⁹The Synopsis for CAST was produced using the CAST webpage - <http://www.caribbeanhotelandtourism.com/CAST.php>

The Central American Commission of Maritime Transport²⁰

Geographical Scope

The Central American Commission of Maritime Transport (COCATRAM) was established in 1980 as a specialized organ of the Central American Integration System (SICA). It was established through resolution N ° 5-80 at the XXIII meeting of Ministers responsible for the Central American economic integration (ROMRIECA XXIII). In 1987, COCATRAM was placed under the jurisdiction of the Ministers Responsible for Transport in Central America (REMITRAN) through Resolution V-3-87. The membership of the Commission includes Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica and Panamá.

Scope of Work

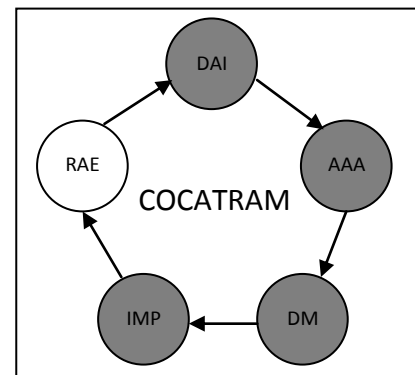
COCATRAM was established to address matters relating to the development of the maritime and port sector in Central America. It is the technical body of the Ministers of Transport of Central America. The main function of the Commission is to advise the Council of Ministers responsible for transport in Central America (COMITRAN) and the Governments of its Member States on the adoption of policies and decisions in different fields of maritime transport for their implementation at regional and national levels. Specifically, COCATRAM is to make recommendations regarding measures for the protection of the marine environment as a result of activities related to maritime transport.

Internal structure

The Commission is composed of: (1) the Board of the Commission – makes decisions and recommendations; (2) the Secretariat – to ensure the implementation of the resolutions of the Commission and of the technical and administrative functions of the Secretary of the Committee. There is an institutional relationship between COCATRAM and SICA through the COMITRAN. COMITRAN is responsible for adoption of policies, measures, recommendations and decisions for their implementation at the regional and national levels.

Mandated policy cycle scope

The Commission may undertake policy cycle activities across four stages of the policy cycle – data and information, analysis and advice, decision-making and implementation. COCATRAM may carry out national or regional studies that contribute to



²⁰The Synopsis for COCATRAM was produced using the Agreement Establishing COCATRAM

the optimisation in the use of the services of marine transport in the region. In terms of analysis and advice, there is specific reference to the provision of recommendations regarding the protection of the marine environment as a result of activities related to maritime transport. Recommendations are provided to the COMITRAN and to member Governments. It is expected that COCATRAM will execute decisions of the higher organs of Central American Economic Integration related to maritime transport. The institutional relationship between the COMITRAN and COCATRAM allows for decision making.

The Confederation of Artisanal Fishers of Central America (CONFEPESCA)²¹

Geographical Scope

The Confederation of Artisanal Fishers of Central America (CONFEPESCA) was established in 1997 as a regional private, non-political and non-profit entity. The membership of the organisation is open to legally recognised national federations of artisanal fishers in each country of the Central American region. The members include the federations of Costa Rica (FEDEPESCA R.L.), El Salvador (FACOPADES), Guatemala (FENAPESCA), Honduras (FENAPESCAH), Nicaragua (FENICPESCA) and Panama (FENAPESCA).

Scope of Work

The purpose of CONFEPESCA is to facilitate the incorporation of the Central American fishermen into the integration movement that occurs in the area and offer technical assistance, financial intermediation and non-profit representation to the national federations. The main objective of CONFEPESCA is to ensure the economic, political and social development of artisanal fishermen of Central America, through the strengthening of their base organisations and the development and effectiveness of the national federations of each country.

The specific objectives of CONFEPESCA are as follows: a) promote the representation of the economic and trade interests of fishermen in Central America before national Governments, integrationist organizations and external support organizations; (b) Promoting facilities for the income of artisanal fishermen to the national, regional and international, through strengthening the financial support base and market credit for their needs; (c) maintain a flow of technical assistance, organizational training and preparation of leaders, allowing greater efficiency of the organizations affiliated with the system and an increase in the prestige and influence of artisanal fishermen within the social, economic and political life of the region; (d) facilitate the contribution of artisanal fishermen in general efforts to create a real unity and integration of all Central Americans in the region; (e) defend through active participation in national and regional forums, the interests of artisanal fishermen and the welfare of the

²¹The Synopsis for CONFEPESCA was produced using the Constitution Act.

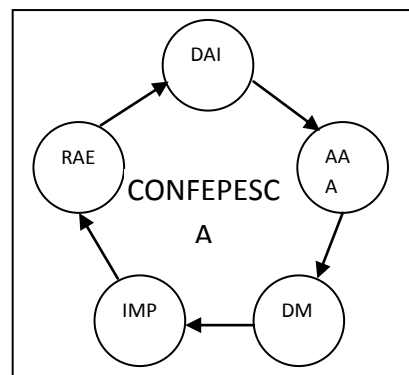
families of fishermen; (f) protect, in a conscious and orderly manner, the natural resources of the region, especially the renewable resources of the sea, through an active horizontal relationship with Governments, environmental associations, universities, and organizations of persons linked to activities related to fisheries and aquaculture; g) promote the integration of all sectors related to fishing so as to increase their relative efficiency and its influence in the political, economic and social life of Central America. (h) establish, strengthen and maintain ties of cooperation and exchange with entities whose functions are similar; and i) exercise the representativeness of the federations of artisanal fishermen before the international community.

Internal structure

CONFEPESCA is composed of four bodies: a) the General Assembly - the highest authority in the Confederation. Their decisions and agreements expresses the highest will of its members; (b) the Board of Directors – the executive and administrative organ, c) the Executive Council – advisory functions within the organisation, and d) the Monitoring Board – monitors the activities and operations of the CONFEPESCA body.

Mandated policy cycle scope

Within the constitution of CONFEPESCA, there have been no direct references to the role of the organisation across the policy cycle stages. The organisation recognises however a potential role in the integration movement as it relates to the protection of natural resources and especially the renewable resources of the sea.



The Caribbean Regional Fisheries Mechanism (CRFM)²²

Geographical Scope

The Caribbean Regional Fisheries Mechanism (CRFM) was established in 2003 as an intergovernmental organisation. The membership of the organisation is open to Member States and Associate Member States of the Caribbean Community. The membership includes Anguilla, Antigua and Barbuda, The Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Montserrat, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago and the Turks and Caicos Islands.

²²The Synopsis for CRFM was produced using the Agreement Establishing the Caribbean Regional Fisheries Mechanism and the webpage on ‘About CRFM’ at <http://caricom-fisheries.com/AboutCRFM/tabid/56/Default.aspx>

Scope of Work

The mission of the organisation is to promote and facilitate the responsible utilization of the region's fisheries and other aquatic resources for the economic and social benefits of the current and future population of the region.

The objectives of the organisation are (a) the efficient management and sustainable development of marine and other aquatic resources within the jurisdictions of Member States; (b) the promotion and establishment of co-operative arrangements among interested States for the efficient management of shared, straddling or highly migratory marine and other aquatic resources; (c) the provision of technical advisory and consultative services to Fisheries Divisions of Member States in the development, management and conservation of their marine and other aquatic resources.

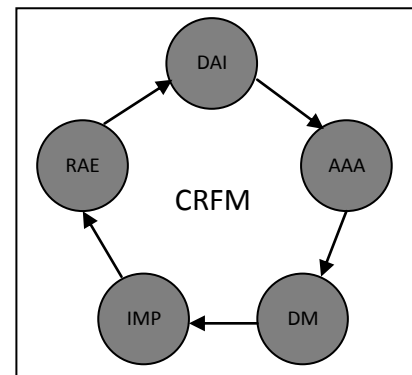
Internal structure

The Mechanism is composed of three organs: (1) the Ministerial Council – determines the policy of the Mechanism; (2) the Caribbean Fisheries Forum – determines the technical and scientific work of the Mechanism. There is also an Executive Committee of the Forum. The Forum may establish sub-committees as necessary to fulfil its functions; and (3) the Technical Unit – performs the role of the Secretariat.

Mandated policy cycle scope

The CFRM may operate across all stages of the policy cycle. CFRM's policy activities are to be extended to the Member States directly and to regional policy making. There is the support to and collection of data and information and the provision of advisory services or recommendations at the national level and through the organs of the Mechanism. Decision making is supported in the Mechanism based on the recommendations received from the Forum. The approval of the recommendations is provided at the level of the

Ministerial Council. Implementation can take place within the scope of the work programme and through national and regional projects. Regarding the review and evaluation stage, the mandate speaks to the review of the work undertaken by the Technical Unit and the examination and consideration of actions by the Member States and third states. The evaluation aspect is however not strongly highlighted at this mandate level.



The Caribbean Tourism Organisation (CTO)²³

Geographical Scope

The Caribbean Tourism Organisation (CTO) was established in 1989 as a result of the merger of the two existing organisations - the Caribbean Tourism Association and the Caribbean Tourism Research and Development Center. There are 32 members comprised of both Member States and overseas territories, namely Anguilla, Antigua & Barbuda, Aruba, The Bahamas, Barbados, Belize, Bermuda, Bonaire, British Virgin Islands, Cayman Islands, Cuba, Curacao, Dominica, Dominican Republic, Grenada, Guadeloupe/St. Barts, Guyana, Haiti, Jamaica, Martinique, Montserrat, Puerto Rico, St. Eustatius, St. Kitts-Nevis, St. Lucia, St. Maarten, St. Martin, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago, Turks and Caicos Islands, U.S. Virgin Islands and Venezuela.

In addition to its governmental membership, there are also carrier, allied, chapter, retained travel agency and affiliate members.

Scope of Work

The mission of the Organisation is to 'provide to and through its members the services and information necessary for the development of sustainable tourism, for the social and economic benefit of the people of the Caribbean. Among its functions are the following that contribute to ocean governance in the region: (i) Researching and identifying the positive and negative social, economic and ecological effects of tourism with a view to recommending and/or initiating action aimed at minimizing the negative and enhancing its positive effects; (2) promoting the consciousness of the need to preserve both the natural and man-made beauty of the Caribbean environment and to demonstrate its direct relationship to the development of an attractive tourism product; and (3) providing advice to member governments on legislation and policy formation which may affect the development of the tourism industry within the region.

Internal structure

The structure of the Organisation includes the Council of Tourism Ministers & Commissioners, the Board of Directors, the Secretariat and the CTO Chapters. The Council of Tourism Ministers & Commissioners of CTO member countries comprises Ministers of Tourism, Commissioners of Tourism, Secretaries of State for Tourism or others of equivalent rank. The Council was established to approve the budget and policies of the Organization, as well as execute its other constitutional responsibilities. The Board of Directors is the Executive Body of the Organization comprising public and private sector representatives, and is responsible for overall direction of

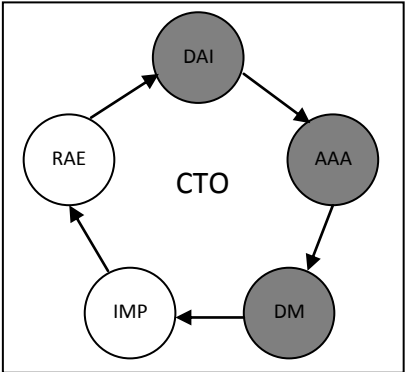
²³The Synopsis for CTO was produced using the Agreement & Bylaws Establishing the Caribbean Tourism Organization Amended November 2008

the activities and programmes of the organization within the policies prescribed by the Council of Ministers & Commissioners. There is also an Executive Sub-Committee that carries out any duties delegated by the Board of Directors.

The Secretariat is headed by the Secretary General. The Secretary General has responsibility for the implementation of the general policies of the CTO and the overall administration and coordination of activities and programmes of the CTO among others. CTO chapters may be established to assist in the fulfilment of the objectives of the CTO.

Mandated policy cycle scope

The CTO by-laws identify data and information, analysis and advice and decision-making as the policy stages that the organization may work within. For data and information, the organization specifies in its mission that a primary objective of the organization is the provision of information for the development of sustainable tourism. The organisation is also expected to research and identify the positive and negative ecological effects of tourism with a view to and providing recommendations and/or initiating action aimed at minimising the negative and enhancing its positive effects. In addition to the recommendations for dealing with the effects of tourism, the CTO has an advisory role towards member governments on the formation of legislation and policy.



Decision-making is a role to be undertaken by the Council of Tourism Ministers and Commissioners of CTO member countries. The Council, being the highest body of the Organisation has the responsibility for establishing Caribbean tourism policy.

The Economic Commission for Latin America and the Caribbean (ECLAC)²⁴

The Geographical Scope

The Economic Commission for Latin America and the Caribbean (ECLAC) was established in 1984 by resolution 1984/67 by the Economic and Social Council. The Commission is one of five regional commissions of the United Nations. Thirty-three countries of Latin America and the Caribbean along with several Asian, European and North American nations with historical, economic and cultural ties to the region make up the 44 Member States of ECLAC.

²⁴The Synopsis for ECLAC was produced using the Secretary-General’s bulletin ST/SGB/1997/5, entitled “Organization of the Secretariat of the United Nations”, and for the purpose of establishing the organizational structure of the secretariat of the Economic Commission for Latin America and the Caribbean

The Member States are Antigua and Barbuda, Argentina, Bahamas, Barbados, Belize, Bolivia (Plurinational State of), Brazil, Canada, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, France, Germany, Grenada, Guatemala, Guyana, Haiti, Honduras, Italy, Jamaica, Japan, Mexico, Netherlands, Nicaragua, Panama, Paraguay, Peru, Portugal, Republic of Korea, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Spain, Suriname, Trinidad and Tobago, United Kingdom of Great Britain and Northern Ireland, United States of America, Uruguay and Venezuela (Bolivarian Republic of). The Associate Members are Anguilla, Aruba, British Virgin Islands, Cayman Islands, Montserrat, Puerto Rico, Turks and Caicos Islands and United States Virgin Islands.

Scope of Work

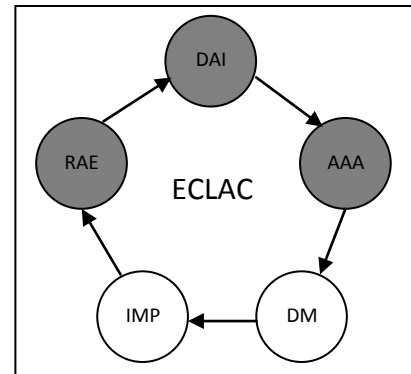
The Commission was established to (a) provide substantive secretariat services and documentation for the Commission and its subsidiary bodies; (b) undertake studies, research and other support activities within the terms of reference of the Commission; (c) promote economic and social development through regional and sub-regional cooperation and integration; (d) gather, organize, interpret and disseminate information and data relating to the economic and social development of the region; (e) provide advisory services to Governments at their request and plan, organize and execute programmes of technical cooperation; (f) formulate and promote development cooperation activities and projects of regional and sub-regional scope commensurate with the needs and priorities of the region and act as an executing agency for such projects; (g) organize conferences and intergovernmental and expert group meetings and sponsor training workshops, symposia and seminars; (h) assist in bringing a regional perspective to global problems and forums and introduce global concerns at the regional and sub-regional levels; and (i) coordinate ECLAC activities with those of the major departments and offices at United Nations Headquarters, specialized agencies and intergovernmental organizations with a view to avoiding duplication and ensuring complementarity in the exchange of information.

Internal structure

ECLAC is composed of the Office of the Executive Secretary and twelve divisions that are accountable to the Executive Secretary. The twelve divisions are: Programme Planning and Management, Economic Development, Social Development, Gender Affairs, Production, Productivity and Management, Sustainable Development and Human Settlements, Natural Resources and Infrastructure, Statistics and Economic Projections, International Trade and Integration, Population (CELADE), Documents and Publications and Administration. There are two sub-regional headquarters for Central America and the Caribbean under the Division of Administration. ECLAC also has country offices in Brazil, Uruguay and Colombia.

Mandated policy cycle scope

In its resolution, the Commission identified three stages of the policy cycle that ECLAC may be expected to work across – data and information, analysis and advice and review and evaluation. For data and information, the Commission is expected to both undertake research and gather and disseminate information on the social and economic development of the region. In relation to its role in analysis and advice, the Commission is expected to provide advice to governments at their request. The Commission may also advise on the coordinated implementation and negotiation of multilateral environmental agreements. The Commission is expected to evaluate and make reports on the implementation of Agenda 21 in the region. In this regard, the Commission would assist in chapters dealing with integrating environment and development in decision-making through analysis of environmental economics and environmental impact assessments, environmentally sound management of hazardous products and wastes, protection of the atmosphere and conservation of biological diversity and oceans, among others.



The Gulf and Caribbean Fisheries Institute (GCFI)²⁵

Geographical Scope

The Gulf and Caribbean Fisheries Institute (GCFI) was founded in 1947 as an informal association under the sponsorship of the University of Miami. The Institute became an independent not-for-profit corporation in 1985. The membership of the Institute falls into five groups – individual, group, sustaining, library and student membership.

Scope of Work

The purposes of the Institute are to: (a) Support fisheries development and management activities throughout the Caribbean, Gulf of Mexico and adjacent regions; (b) Provide for acquisition and exchange of information on scientific findings, management techniques, fishing technology, aquaculture and other topics affecting the well being and the use of marine fishery resources of the regions; and (c) Accomplish these objectives through annual meetings, workshops, extension programs, research activities, advisory services and publication of scientific reports and other documents prepared by the corporation.

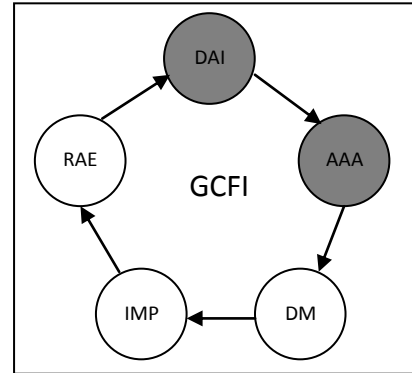
²⁵The Synopsis for GCFI was produced using the bylaws of the Gulf And Caribbean Fisheries Institute Incorporated

Internal structure

GCFI is composed of (1) a Board of Directors – responsible for the general management of the affairs of the organisations and (2) Committees – conduct the organisation’s business and carry out its objects and purposes. There are two types of committees that serve for a period of one year. These are the Executive Committee and Standing Committees (programme, other committees and special committees).

Mandated policy cycle scope

The GCFI may be involved in two main stages of the policy cycle – data and information and analysis and advice. The Institute was established to have both a facilitating role and an active role in the data and information stage. Specifically, it should provide for the acquisition and exchange of scientific findings, management techniques, fishing technology, aquaculture among other topics related to the well being and the use of marine fishery. It would accomplish this objective through its annual meetings, workshops, extension programmes, research activities, advisory services and publication of scientific reports and other documents.



The Intergovernmental Oceanographic Commission Sub-Commission for the Caribbean and Adjacent Regions (IOCARIBE)²⁶

Geographical Scope

The Sub-Commission for the Caribbean and Adjacent Regions is a regional subsidiary body of the Intergovernmental Oceanographic Commission (IOC) of UNESCO. The Sub-Commission was created in November 1982 to carry out the global programmes of the IOC at the level of the Greater Caribbean. IOCARIBE was preceded by the IOCARIBE Association and the Cooperative Investigations of the Caribbean and Adjacent Regions (CICAR) established in 1968 and 1975 respectively. IOCARIBE operates within the Statutes of the IOC. The current Statutes were adopted in 1999 through the adoption of 30 C/Resolution 22 in the General Conference of UNESCO.

The Commission has 30 members - Antigua and Barbuda, Aruba, The Bahamas, Barbados, Belize, Brazil, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, France, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Netherlands, Nicaragua, Panama, St.

²⁶The Synopsis for IOCARIBE was produced using the Statutes of the Intergovernmental Oceanographic Commission and the IOCARIBE webpage ‘About IOCARIBE’ at http://iocaribe.ioc-unesco.org/index.php?option=com_content&view=article&id=17&Itemid=2

Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago, United Kingdom, United States and Venezuela.

Scope of Work

The Sub-Commission’s mission is to promote, develop and coordinate IOC marine scientific research programmes, the ocean services, and related activities, including training, education and mutual assistance (TEMA) in the Caribbean and Adjacent Regions.

Its major objectives are to:

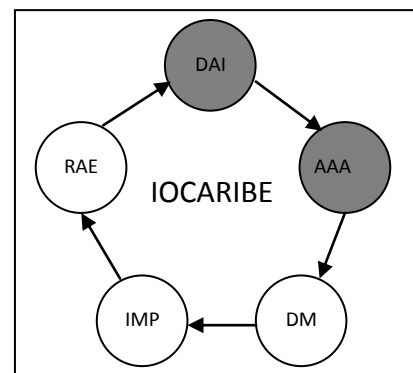
- Reinforce and broaden scientific co-operation, regionally and internationally through networking and institutional arrangements with organizations operating within and without the region, for example, UN bodies, IGOs, NGOs, the scientific community;
- Provide regional input to global ocean sciences and observation programmes;
- Promote and facilitate implementation of IOC global science programmes and ocean services at the regional level;
- Foster the generation of knowledge, sharing of information, expertise and experience on the wider Caribbean and its coastlines; and to
- Assist Member States to develop their capacity to formulate national policies and plans to meet their needs in marine science and technology.

Internal structure

The Sub-Commission falls within the structure of the IOC Secretariat which is part of the Natural Sciences Sector in the United National Educational Scientific and Cultural Organisation (UNESCO). In addition, there is an IOCARIBE Secretariat staffed by an Executive Secretary, a Secretariat Assistant and an Administrative Assistant.

Mandated policy cycle scope

Under the statutes of the IOC, IOCARIBE can operate mainly across two stages of the policy cycle – data and information and analysis and advice. The scope of its data and information responsibilities includes the planning and coordination of programmes in research regarding the nature and resources of the ocean and coastal areas. The Sub-Commission is also expected to play a facilitating role in the implementation of IOC global science programmes and ocean services and foster the generation of knowledge and information sharing.



Regarding the provision of analysis and advice, the Sub-Commission should apply the knowledge from the research programmes, services and capacity-building for the improvement

of management, sustainable development, the protection of the marine environment, and the decision-making processes of its Member States.

The International Union for the Conservation of Nature (IUCN)²⁷

Geographical Scope

The International Union for the Conservation of Nature (IUCN) was established in 1948 as the world's first global environmental organization. The work of the Union in the Wider Caribbean Region is carried out by three Committees of the IUCN. The first two Committees established were the Mesoamerican Regional Committee and the South America Regional Committee. The Mesoamerican Committee was legally established as an intermediate structure of the IUCN in the Mesoamerican region. A third initiative was officially launched in 2008 for the insular Caribbean. IUCN Caribbean was placed under the responsibility of the IUNC Regional Office for Mesoamerica.

There are three categories of membership of the IUCN. These are 1) states and government agencies and political and/or economic integration organisations; 2) national and international non-governmental organisations; and 3) affiliates. The Mesoamerican region has national committees for Mexico, Guatemala, El Salvador, Honduras, Costa Rica, Panama, Nicaragua, Belize, Dominican Republic and Cuba. The South American regional has national committees for Argentina, Bolivia, Brazil, Colombia, Ecuador, Paraguay, Peru and Venezuela.

Scope of Work

The objectives of the IUCN are to influence, encourage and assist societies throughout the world to conserve the integrity and diversity of nature and to ensure that any use of natural resources is equitable and ecologically sustainable. The organisation seeks to achieve these objectives through research, projects and influencing environmental conventions, policies and laws. The Mesoamerican Committee was established for the purpose of facilitating cooperation among members, coordination with the committees and the IUCN Secretariat and the participation of the membership in the formulation and implementation of the programme and government of the IUCN.

The Mesoamerican Committee was constituted for the purpose of facilitating cooperation among members, coordination with the committees and the IUCN Secretariat and the participation of the membership in the formulation and implementation of the programme and governance of the IUCN. The work of the Mesoamerican region is carried out under the units

²⁷The Synopsis for IUCN was produced using the Statutes, including Rules of Procedure and Regulations of the World Conservation Congress and the Statutes Mesoamerican Committee of the World Union For Nature

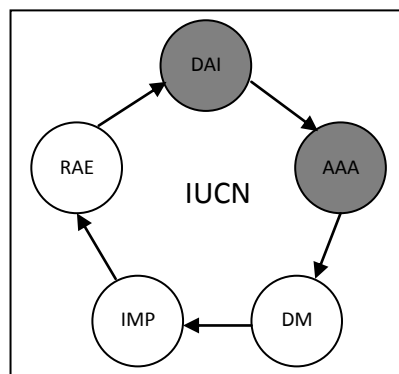
for social equity, biodiversity and sustainable use, environmental policy and management and water management. For South America, the areas of work are water, social equity, species, protected areas and forests.

Internal structure

The regional committees form part of the IUCN structure. In accordance with the statutes of the IUCN, the Mesoamerican Committee was established with legal personality and has its own statutes. The Committee is also autonomous in its operations and administration within the objectives of the IUCN. In the Mesoamerican region, there are two main bodies – the Mesoamerican Forum and the Committee. The Mesoamerican Forum is the highest body of representation and governance of the membership of the IUCN in Mesoamerica. The Mesoamerican Committee is the executive body of the Mesoamerican Forum decisions, and allows every Member of the IUCN in the Sub-region to participate on equal terms.

Mandated policy cycle scope

The IUCN may be involved in two stages of the policy cycle for regional policy making – data and information and analysis and advice. In relation to data and information, the organisation encourages research and disseminates information about research undertaken on the conservation of nature and natural resources. In terms of analysis and advice, the organisation may contribute to the preparation of international agreements. It may also make representations to governments and international agencies with the aim of influencing environmental policies.



The Organisation of Eastern Caribbean States (OECS)²⁸

Geographical Scope

The Organisation of Eastern Caribbean States (OECS) was established in 1981 under the Treaty of Basseterre. The Treaty of Basseterre was since revised in 2010. The membership of the organisation includes Antigua and Barbuda, Commonwealth of Dominica, Grenada, Montserrat, St Kitts and Nevis, St Lucia and St Vincent and the Grenadines. Anguilla and the British Virgin Islands are associate members of the OECS. A State or Territory in the Caribbean region not party to the Treaty of the Basseterre 1981 may become a full Member State or Associate Member State.

²⁸The Synopsis for OECS was produced using the Revised Treaty Of Basseterre Establishing The Organisation of Eastern Caribbean States Economic Union

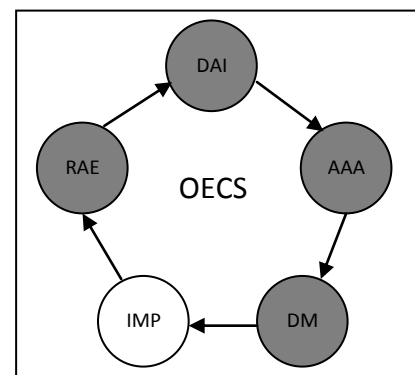
Scope of Work

The revised Treaty identifies the main purposes of the OECS as: (a) to promote co-operation among the Member States and at the regional and international levels having due regard to the Revised Treaty of Chaguaramas and the Charter of the United Nations; (b) to maintain unity and solidarity among the Member States and the defence of their sovereignty, territorial integrity and independence; (c) to assist the Member States in the realisation of their obligations and responsibilities to the international community with due regard to the role of international law as a standard of conduct in their relationship; (d) to seek to achieve the fullest possible harmonisation of foreign policy among the Member States, to seek to adopt wherever possible, common positions on international issues, and to establish and maintain, wherever possible, arrangements for joint overseas representation and common services; (e) to establish the Economic Union as a single economic and financial space; (f) to be an institutional forum to discuss and facilitate constitutional, political and economic changes necessary for the successful development of Member States and their successful participation in the regional and global economies; (g) to pursue the said purposes through its respective Institutions and Organs by discussion of questions of common concern for the Member States and by agreement and common action.

These purposes are to be achieved through the implementation of decisions of the Organisation under the revised Treaty by the Member States. Member States would also seek to coordinate, harmonise and undertake joint actions and pursue joint policies across a range of fields including matters relating to the sea and its resources.

Structure of the Organisation

There are five organs of the OECS. These are the (a) the Authority of Heads of Government of the Member States – the supreme policy-making organ of the Organisation; (b) the Council of Ministers – considers and reports to the OECS Authority on recommendations of the OECS Commission for the making of Acts of the Organisations. It is responsible for considering and enacting into Organisation law regulations and other implementing instruments to give effect to the Acts of the Organisation by the OECS Authority; (c) the OECS Assembly – considers and reports to the OECS Authority on proposals to enact an Act of the Organisation and any other matter referred to the OECS Assembly by the OECS Authority. The Assembly considers and reports to the Council of Ministers in the case of any proposal to make Regulations which has been referred to the OECS Assembly; (d) the Economic Affairs Council – undertakes the functions entrusted to it under the Economic Union Protocol; and (e) the OECS Commission – responsible for the general administration of the Organisation.



Mandated policy cycle scope

The OECS has the capacity to operate across four stages of the policy cycle – data and information, analysis and advice, decision-making and review and evaluation. Data and information and analysis and advice fall within the responsibilities of the OECS Commission. In terms of data and information, the Commission shall undertake such other work and studies and perform such other services relating to the functions of Organisation as may be required under this Treaty or by any other organ. In relation to analysis and advice, the Commission in carrying out its functions to the organs of the Organisation shall make recommendation to the OECS Authority and Council of Ministers on the making of Acts and Regulation of the Organisations. Under the revised Treaty, the Member States agreed to accord to the Organisation legislative competence in relation to environmental policy and maritime jurisdiction and maritime boundaries.

The OECS Authority and the Council of Ministers are the decision-making organs of the Organisation. The Council of Ministers consider and enact into organisational law the Acts of the Organisation enacted by the OECS Authority. Decisions made by the two organs are binding on Member States. Review and evaluation is also a function of the OECS Commission. The Commission is responsible for monitoring the implementation of Acts and Regulations of the Organisation. It is also responsible for keeping the functioning of the Organisation under continuous review and reporting the findings to the relevant organs.

The Latin American Organisation for Fisheries Development (OLDEPESCA)²⁹

Geographical Scope

The Latin American Organisation for Fisheries Development (OLDEPESCA) came into force in 1984. Membership of the organisation is extended to countries that are members of the Latin American Economic System (SELA). The member states of the organisation include Belize, Bolivia (Plurinational State), Costa Rica, Cuba, Ecuador, El Salvador, Guyana, Honduras, Mexico, Nicaragua, Peru, Bolivarian Republic of Venezuela.

Scope of Work

The Latin American Organisation for Fisheries Development (OLDEPESCA) was established in its Convention to meet Latin American food requirements adequately, making use of Latin American fishery resource potential for the benefit of Latin American peoples, by concerted action in promoting the constant development of the countries and the permanent strengthening of regional cooperation in this sector. The focus of this regional cooperation falls

²⁹The Synopsis for OLDEPESCA was produced using the Convention on the Latin American Organization for Fisheries Development (OLDEPESCA)

into the areas of research on fisheries resources, exploitation of fishing resources, industrialisation and physical support infrastructure, aquaculture, technological development, marketing, training and international cooperation.

The objectives of the organisation are: (1) to promote adequate utilization of fishery resources, preserving the marine and freshwater environment through the application of rational policies for the conservation of resources; (2) to encourage and strengthen the Latin American cooperation in the development of the rational exploitation of sea and freshwater fishery resources, for the benefit of the peoples in the region; (3) to increase substantially a food supply of sufficient nutritional value, the prices, preparation and presentation of which are in keeping with the needs of the low-income inhabitants of the region; (4) to increase, in the same manner, consumption of marine and freshwater products in the region; (5) to encourage, similarly, export diversification and expansion; (6) to promote marketing systems to expand the regional exchange of products of the sector; (7) to promote generation of jobs and improvement of incomes, through greater social and economic development of the communities related to the fish of the region; (8) to improve and strengthen the productive, institutional, organizational and human resources capacity of the sector; (9) to promote and organize utilization of the joint negotiating capacity of the Latin American region, as well as to determine, identify and channel international, technical and financial cooperation, through concrete regional coordination and cooperation within the scope of the sector.

Structure of the Organisation

OLDEPESCA comprises three bodies. They are the (a) the Conference of Ministers –the Conference of Ministers is the highest authority of the OLDEPESCA and consists of the Ministers or Secretaries of State who are responsible for matters relating to the fishery sector. The Conference expresses its will through Resolutions; (b) Board of Directors (Steering Committee)– the technical body of OLDEPESCA, and its main task is to make recommendations to the Conference of Ministers.; and (c) the Secretariat – the technical and administrative body of the Organisation. The Secretariat is headed by the Executive director whose main task is to carry out the policies of the Organisation.

Mandated policy cycle scope

Policy-making has not been distinctly identified as a responsibility of OLDEPESCA. The organisation does however undertake organisational policy activities in the execution of the provisions of the Convention.

The Organisation for the Fishing and Aquaculture Sector in the Central American Isthmus (OSPESCA) ³⁰

Geographical Scope

The Organisation for the Fishing and Aquaculture Sector in the Central American Isthmus (OSPESCA) was established in 1995 through the Act of San Salvador. The membership of the Commission includes Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua and Panama. The Dominican Republic is an associated state of the Organisation.

Scope of Work

The Organisation was established to promote a sustainable and coordinated development of fishing and aquaculture, in the framework of the Central American integration process, defining, approving and implementing policies, strategies, programmes and regional fisheries and aquaculture projects. OSPESCA was integrated into the SICA General Secretariat in 1999 and is therefore a unit of SICA. The mission of the unit is “to be an organization that drives the development and the coordinated management of the regional fishing and aquaculture activities of contributing to strengthening of Central American integration”.

Internal structure

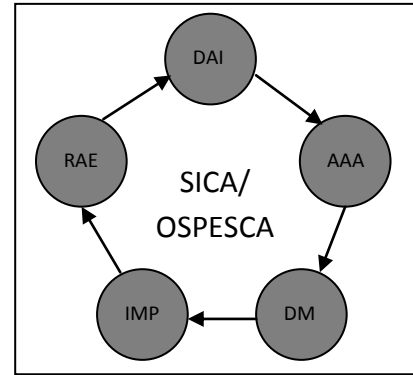
The Regional Unit for Fisheries and Aquaculture is composed of three main organs: (1) The Council of Ministers – constitutes the highest level of decision-making; (2) The Committee of Deputy-Ministers or the Management Committee – responsible for the formulation and follow-up of the decisions of the Organisation; (3) The Commission of Directors – form the scientific and technical body of the organisation. There are also working groups on: (1) policy for fisheries and aquaculture, (2) fisheries, (3) assessment of resources, (4) economy and planning, (5) improvement of fisheries and aquaculture data collection, (6) Caribbean Queen Conch, (7) conservation and management of sharks, (8) management of the capacity of fishing, (9) formulation and promotion of the plan to ‘prevent, deter and eliminate illegal, unreported and unregulated fishing’.

Mandated policy cycle scope

The organisation was established to function across the five policy cycle stages. In terms of data and information, the Committee of Deputy Ministers is the scientific and technical arm of the Organisation. This Committee is assisted by work groups such as the fisheries group whose

³⁰The Synopsis for OSPESCA was produced using the Act of San Salvador and the OSPESCA webpage at http://www.sica.int/ospesca/unidad_sicasopesca.aspx

central objective is to provide the scientific and technical elements to harmonise the regional management measures. The Committee is also involved at the analysis and advice and review and evaluation stages. It is responsible for the formulation and follow-up to the regional policy decisions made at the level of the Council of Ministers. Under the Act of San Salvador, the responsibility for implementation of strategies, policies and related projects has also been established as a function of the Organisation.



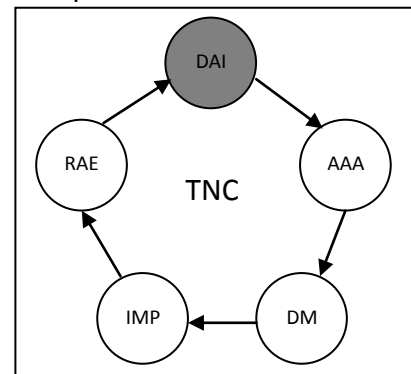
The Nature Conservancy (TNC)³¹

Geographical Scope

The Nature Conservancy (TNC) was founded in 1951 as a non-profit corporation in under the laws of the District of Columbia in the United States of America. TNC operates across eight regions in the world including the Caribbean with its five programmes (Bahamas, Dominican Republic, Eastern Caribbean, Jamaica and the United States/British Virgin Islands), Central America (Belize, Costa Rica, Guatemala, Honduras, Nicaragua and Panama) and South America (specifically Brazil, Colombia and Venezuela) and North America (specifically Mexico and the United States). Membership is open to any responsible individual or organisation approving of the objectives of TNC. Membership may be honorary, life, annual and corporate.

Scope of Work

TNC was established for educational, scientific and charitable purposes. The mission of the Conservancy is ‘to conserve the lands and waters on which all life depends’. The mission is achieved through TNC’s diverse staff including its scientists, working with individuals, governments, local non-profit organisations and corporations, through a non-confrontational and collaborative approach and its core values. TNC works across a number of habitats, particularly the oceans and coasts. This work is related to the restoration of coastal habitats, developing better approaches to fisheries, helping people and marine life adapt to climate change and expanding ocean protection and improving management.



³¹The Synopsis for TNC was produced using the The Nature Conservancy Bylaws as amended and restated January 29, 2010

Internal structure

The structure of TNC consists of (1) a worldwide volunteer Board of Directors that is responsible for all business of TNC and shall determine matters of policy; and (2) Board Committees that manage the conservation and strategic issues.

Mandated policy cycle scope

TNC was established to contribute to the data and information stage of the policy cycle as stated in the bylaws of the organisation.

The University of the West Indies (UWI)³²

Geographical Scope

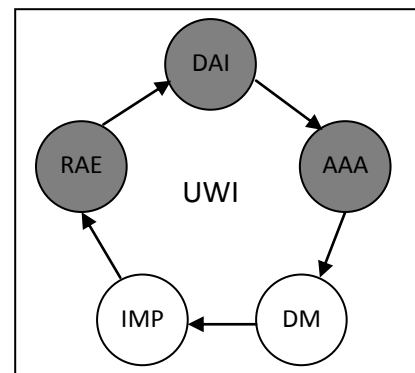
The University of the West Indies (UWI) was established in 1948 as an external College of the University of London. The University was made fully independent in 1962. It is a regional institution of higher learning in the Commonwealth Caribbean. Fifteen countries support the University – Anguilla, Antigua & Barbuda, the Bahamas, Barbados, Belize, British Virgin Islands, Cayman Islands, Dominica, Grenada, Jamaica, Montserrat, St Christopher & Nevis, St Lucia, St Vincent & the Grenadines and the Republic of Trinidad & Tobago. There are four campuses of the University located in Jamaica, Trinidad, Barbados, and an Open Campus with virtual and physical site locations across the Caribbean Region.

Scope of Work

The work of the UWI is focussed on the development of the region. This development is advanced through training of the region’s human resources, research, advisory services to governments and the private sector and forging links with other institutions in the Wider Caribbean Region and the world.

Internal structure

The structure of the University consists of the Vice Chancellery which is the administrative arm and the twenty five units that assist the Vice Chancellor in the running of the University. The Units are made up of teaching and research centres as well as outreach departments. The Life Sciences Departments at the Mona Campus and the St. Augustine Campus as well as the Centre for Resource Management and Environmental Studies (CERMES), among others contribute to the work on the natural



³²The Synopsis for the UWI was produced using the UWI overview ([http://www.uwi.edu](#)), CERMES, the Centre for Marine Sciences and the Department of Life Sciences webpages.

resources of the sea in the Region.

Mandated policy cycle scope

The University may be expected to contribute to two stages of the policy cycle – data and information and analysis and advice. The University’s key objectives are to undertake research and provide advisory services to governments regional organisations and the private sector.

The Western Central Atlantic Fishery Commission (WECAFC)³³

Geographical Scope

The Caribbean Western Central Atlantic Fishery Commission (WECAFC) was established in 1973 through Resolution 4/61 under Article VI-1 of the FAO Constitution. The statutes establishing the Commission were revised in 1978 and again in 2006 under Resolutions 3/74 and 1/131 respectively. The Commission covers all marine waters of the Western Central Atlantic bounded by a line drawn as follows:

From a point on the coast of South America at 10° 00'S latitude in a northerly direction along this coast past the Atlantic entry to the Panama Canal; thence continue along the coasts of Central and North America to a point on this coast at 35° 00'N latitude; thence due east along this parallel to 42° 00' W longitude; thence due north along this meridian to 36° 00'N latitude; thence due east parallel to 40° 00'W longitude; thence due south along this meridian to 5° 00'N latitude; thence due east along this parallel to 30° 00'W longitude; thence due south along this meridian to the equator; thence due east along the equator to 20° 00'W longitude; thence due south along this meridian to 10° 00'S latitude; thence due west along this parallel to the original point at 10° 00'S latitude on the coast of South America.

The membership of the Commission includes Antigua and Barbuda, Bahamas, Barbados, Belize, Brazil, Colombia, Cuba, Dominica, Dominican Republic, European Union, France, Grenada, Guatemala, Guinea, Guyana, Haiti, Honduras, Jamaica, Japan, Mexico, Netherlands, Nicaragua, Panama, Republic of Korea, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Spain, Suriname, Trinidad and Tobago, United Kingdom, United States of America, Bolivarian Republic of Venezuela.

Scope of Work

The general objective of the Commission (without prejudice to the sovereign rights of coastal States) is to promote the effective conservation, management and development of the living marine resources of the area of competence of the Commission, in accordance with the FAO

³³The Synopsis for WECAFC was produced using the Revised Statutes of the Western Central Atlantic Fishery Commission

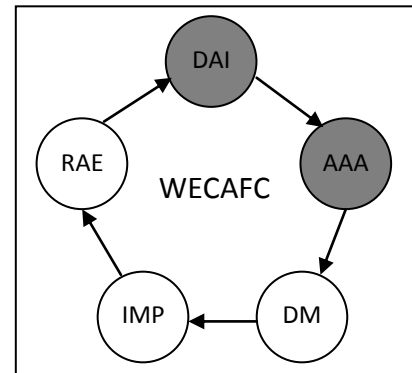
Code of Conduct for Responsible Fisheries, and address common problems of fisheries management and development faced by Members of the Commission.

Internal structure

WECAFC is comprised of four key entities – the Commission, the Scientific Advisory Group (SAG), the working groups (WGs) and the Secretariat. The Commission is main governing body that is made up of all members. The SAG undertakes assessments on the status of stocks and provides scientific advice to the Commission and its ad hoc working groups. The WGs are established by the Commission to provide advice and recommendations to member countries.

Mandated policy cycle scope

The WECAFC can operate across two stages of the policy cycle – data and information and analysis and advice. The scope of its data and information responsibilities includes the collection, exchange and dissemination of statistical, biological, environmental and socio-economic data and other marine fishery information. Data and information on the interactions between fisheries and the ecosystem has also been identified.



Within the scope of the provision of analysis and advice, the Commission can undertake the analysis of the data and information and provide advice to both member governments and competent fisheries organisations.

Appendix 2: Guide to global and regional conventions and agreements in Table 3

CBD - The Convention on Biological Diversity

The Convention on Biological Diversity is dedicated to promoting sustainable development. Conceived as a practical tool for translating the principles of Agenda 21 into reality, the Convention recognizes that biological diversity is about more than plants, animals and micro organisms and their ecosystems – it is about people and our need for food security, medicines, fresh air and water, shelter, and a clean and healthy environment in which to live. <http://www.cbd.int/>

UNFCCC - United Nations Framework Convention on Climate Change

In 1992, countries joined an international treaty, the UNFCCC, to cooperatively consider what they could do to limit average global temperature increases and the resulting climate change, and to cope with whatever impacts were, by then, inevitable. <http://unfccc.int/2860.php>

UNCLOS - The United Nations Convention on the Law of the Sea

UNCLOS, also called the Law of the Sea Convention or the Law of the Sea treaty, is the international agreement that resulted from the third United Nations Conference on the Law of the Sea (UNCLOS III), which took place between 1973 and 1982. The Law of the Sea Convention defines the rights and responsibilities of nations in their use of the world's oceans, establishing guidelines for businesses, the environment, and the management of marine natural resources.

UN Fish Stocks Agreement - The United Nations Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks

“The UN Fish Stocks Agreement (in force from 11 December 2001). The Agreement elaborates on the fundamental principle, established in the Convention, that States should cooperate to ensure conservation and promote the objective of the optimum utilization of fisheries resources both within and beyond the exclusive economic zone.

The Agreement attempts to achieve this objective by providing a framework for cooperation in the conservation and management of those resources. It promotes good order in the oceans through the effective management and conservation of high seas resources by establishing, among other things, detailed minimum international standards for the conservation and management of straddling fish stocks and highly migratory fish stocks; ensuring that measures

taken for the conservation and management of those stocks in areas under national jurisdiction and in the adjacent high seas are compatible and coherent; ensuring that there are effective mechanisms for compliance and enforcement of those measures on the high seas; and recognizing the special requirements of developing States in relation to conservation and management as well as the development and participation in fisheries for the two types of stocks mentioned

above.”http://www.un.org/Depts/los/convention_agreements/convention_overview_fish_stocks.htm

FAO Compliance Agreement - 1993 FAO Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas.

This agreement is a complement to UNCLOS and the UN Fish stocks Agreement which seeks to “prevent the practice of reflagging of vessels in order to avoid the application of high seas conservation and management measures determined by regional fisheries organizations.”<http://www.fao.org/fishery/topic/14766/en>

Marpol 73/78 - The International Convention for the Prevention of Pollution From Ships, 1973 as modified by the Protocol of 1978

Marpol contains 6 annexes, concerned with preventing different forms of marine pollution from ships:

- Annex I/II- Oil/noxious liquid substances carried in bulk (entered into force April 1987)
- Annex III - Harmful substances carried in packaged form (entered into force July 1992)
- Annex IV - Sewage (entered into force September 2003)
- Annex V - Garbage (entered into force December 1988)
- Annex VI - Air pollution (entered into force May 2005)

A State that becomes party to Marpol must accept Annex I and II, hence they are shown together. Annexes III-VI are voluntary annexes.

Cartagena Convention- The Convention for the Protection and Development of the Marine Environment in the Wider Caribbean Region - and its Oil Spills Protocol - Protocol Concerning Co-operation in Combating Oil Spills in the Wider Caribbean Region

“This regional environmental convention provides the legal framework for cooperative regional and national actions in the WCR. The Cartagena Convention was adopted in Cartagena, Colombia on 24 March 1983 and entered into force on 11 October 1986, for the legal implementation of the Action Plan for the Caribbean Environment Programme.”<http://www.cep.unep.org/cartagena-convention>

“The Convention is supplemented by the Oil Spills Protocol which was also adopted in 1983 and entered into force on 11 October 1986. The objective of the Protocol is to strengthen national and regional preparedness and response capacity of the nations and territories of the region. The Protocol also serves to foster and facilitate co-operation and mutual assistance among the nations and territories in cases of emergency in order to prevent and control major oil spill incidents.”

SPAW Protocol - Protocol Concerning Specially Protected Areas and Wildlife

The SPAW Protocol to the Cartagena Convention has been internationally recognised as the most comprehensive treaty of its kind. The objective of the Protocol is to protect rare and fragile ecosystems and habitats, thereby protecting the endangered and threatened species residing therein. The Caribbean Regional Co-ordinating Unit pursues this objective by assisting with the establishment and proper management of protected areas, by promoting sustainable management (and use) of species to prevent their endangerment and by providing assistance to the governments of the region in conserving their coastal ecosystems.

<http://www.cep.unep.org/cartagena-convention/spaw-protocol/overview-of-the-spaw-protocol>

LBS Protocol - Protocol Concerning Pollution from Land-Based Sources and Activities

The LBS Protocol to the Cartagena Convention entered into force on August 13, 2010. The Protocol, as adopted, is perhaps the most significant agreement of its kind with the inclusion of regional effluent limitations for domestic wastewater (sewage) and requiring specific plans to address agricultural non-point sources.

<http://www.cep.unep.org/cartagena-convention/lbs-protocol/protocol-concerning-pollution-from-land-based-sources-and-activities>

FAO Committee on Fisheries (COFI)

TableA2.2. Participation by countries and regional organizations in meetings of the FAO Committee on Fisheries (COFI)

| Countries | 2007 (27 th) | | 2009 (28 th) | | 2011 (29 th) | |
|-------------------|--------------------------|-------|--------------------------|-------|--------------------------|-------|
| | Attend | Level | Attend | Level | Attend | Level |
| Antigua & Barbuda | o | | | | | |
| Aruba | | | | | | |
| Bahamas | | | | | | |

| | | | | | | |
|--------------------------------|----|----------------|----|--------------|----|--|
| Barbados | | | | | x | |
| Belize | | | | | | |
| Colombia | x | R (2) | x | R (2) | X | |
| Costa Rica | x | R (3) | X | R, S (4) | X | |
| Cuba | | | x | R (1) | x | |
| Curacao | | | | | | |
| Dominica | x | S (1) | | | | |
| Dominican Republic | x | R (2) | | | | |
| France | | | | | | |
| Grenada | x | S (1) | | | | |
| Guatemala | x | R (2) | x | R, S, M (3) | x | |
| Guyana | | | | | | |
| Haiti | | | x | R (1) | x | |
| Honduras | x | R (1) | X | S, R (3) | X | |
| Jamaica | | | | | | |
| Mexico | x | R (2) | X | T, S, R (4) | X | |
| Netherlands | | | | | | |
| Nicaragua | x | R (1) | x | S, R (2) | x | |
| Panama | x | R (1) | x | S, R (2) | X | |
| Saint Kitts and Nevis | o | | | | | |
| Saint Lucia | x | S (1) | | | | |
| St. Vincent and the Grenadines | x | S (1) | | | | |
| Suriname | x | T, M (2) | | | | |
| Trinidad and Tobago | | | | | | |
| United Kingdom | | | | | | |
| United States of America | x | T, S, R, A(18) | X | T, S, A (12) | X | |
| Venezuela | x | | X | T, R (4) | X | |
| CRFM | | | | | x | |
| OSPESCA | x | S (1) | x | S (1) | x | |
| Total | 18 | | 11 | | 12 | |

x = attendance as member, o = observer, X indicates that the country intervened on issues based on, T = technical, S = senior technical, M = ministerial, R= permanent FAO representative, A = ambassador