



# CLME+ Project

Caribbean & North Brazil Shelf Large Marine Ecosystems

2019

## RAPID REVIEW OF ACHIEVEMENTS OF THE CLME+ INTERIM COORDINATION MECHANISMS

Peter Whalley  
Technical Report



*Catalyzing implementation of the  
Strategic Action Programme for the Caribbean  
and North Brazil Shelf LME's (2015-2020)*



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## Table of Contents

<b>SUMMARY</b> .....	<b>1</b>
<b>INTRODUCTION</b> .....	<b>1</b>
PURPOSE OF THIS REVIEW .....	2
APPROACH.....	3
<b>BACKGROUND TO THE SAP-ICM AND FISHERIES -ICM</b> .....	<b>3</b>
OBJECTIVES OF THE MECHANISMS .....	4
<b>MAIN ACHIEVEMENTS OF THE INTERIM CO-ORDINATION MECHANISMS</b> .....	<b>4</b>
CONTRIBUTIONS OF THE CLME+ PCU ACTING AS ‘SECRETARIAT’ TO THE ICMS .....	4
SAP ICM.....	15
FISHERIES ICM .....	21
COMMON ACHIEVEMENT IDENTIFIED BY THE PCU, SAP-ICM AND FISHERIES -ICM.....	25
<b>LESSONS LEARNT FROM THE ENHANCED REGIONAL COORDINATION PROMOTED TO/FACILITATED BY THE CLME+ INITIATIVES (INCLUDING THE INTERIM CO-ORDINATION MECHANISMS)</b> .....	<b>26</b>
<b>CONCLUSIONS FOR A <i>PERMANENT</i> CO-ORDINATION MECHANISM</b> .....	<b>27</b>
<b>ANNEX A – SAP-ICM CORE FUNCTIONS AND FISHERIES – ICM AREAS OF CO-OPERATION</b> .....	<b>29</b>
<b>ANNEX B PROPOSED FUNCTIONS FOR THE PERMANENT CO-ORDINATION MECHANISM</b> .....	<b>31</b>

## Summary

The countries of the Wider Caribbean Region, having endorsed and initiated implementation of the regional Strategic Action Programme (SAP) developed with the support of UNDP/GEF, are in the process of evaluating how to proceed with SAP action 3.2: the formation of a financial sustainable regional *permanent* Co-ordination Mechanism to address ocean governance and fisheries management. At their 2<sup>nd</sup> Regional Consultation meeting in Panama City (July 30<sup>th</sup> – August 1<sup>st</sup> 2019) the countries requested the UNDP/GEF Caribbean and North Brazil Shelf Large Marine Ecosystems Project (CLME+) to prepare a report on the main achievements and lessons delivered by the two Interim Co-ordination Mechanisms (ICMs) against the objectives identified in their respective Memorandums of Understanding (MoUs). The intention is that this report will assist the countries assess the way forward with respect to the establishment of a *permanent* Co-ordination Mechanism.

A rapid review of the SAP-ICM and the Fisheries -ICM has been conducted. This review is based on minutes of ICM meetings and achievements, and lessons learned, identified by the Intergovernmental Organisations (IGOs) that are members of the ICMs. The scope of this review was broadened to understand the precursor activities to the ICMs that has been undertaken by the UNDP/GEF projects and their Project Co-ordination Unit (PCU).

In the past ten years since the development of the SAP began, the countries and the regional IGOs, with the support of the project, have delivered the SAP and begun its implementation, which has already led to the establishment of the SAP-ICM and Fisheries -ICM (in 2017 and 2016 respectively). Progression has been in a stepwise process of trust building between the IGOs leading to joint achievements and on-going activities responding to their MoUs.

Key achievements and relevant contributions from the PCU include:

- Co-operation and co-ordination on joint reports and assessments (e.g. State of the Marine Environment – SOMEET);
- Development of regional fisheries management plans for Queen Conch, spiny lobster and flying-fish with approval of the relevant IGOs;
- Development and approval of regional plans to address illegal unregulated and unreported (IUU) issues in the Caribbean;
- Co-ordination of meetings, awareness raising, joint financing mobilisation and knowledge management in the region in support of the ICMs and the mandate of the IGOs.

These achievements of the ICMs have been facilitated by the activities of the PCU with the project acting as a *de facto* co-ordination mechanism prior to the formation of the ICMs. The review also examines the identified achievements and on-going activities of the ICMs and PCU in the context of the proposed functions of the *permanent* Co-ordination Mechanism as identified in the SAP. Lessons learned on co-operation and co-ordination will also assist the future evolution of the regional ocean governance structure to a *permanent* Co-ordination Mechanism.

## Introduction

The Wider Caribbean region has established multiple Inter-governmental Organisations (IGOs) on issues pertaining to ocean governance and fisheries management. Through the support of UNDP/GEF and the Caribbean Large Marine Ecosystem Project (CLME) (2009 -2014), a detailed analysis was undertaken on the pressures and impacts on the marine environment and associated socio-economic conditions of the region's inhabitants. This analysis of the baseline identified the lack of collaboration and co-ordination between IGOs as an important cause of the fragmentation of policies and actions at the regional level. The analysis led to the regional endorsed Strategic Action Programme (SAP)

signed by 25 countries and 8 overseas territories<sup>1</sup> that presented detailed strategies and actions to address the transboundary problems impacting the shared living resources of the region.

The SAP confirmed the vision for the region (*a healthy marine environment which provides benefits and livelihoods for the well-being of the people of the region*) and proposed a set of strategies and priority actions to attain the vision. To provide overall co-ordination of ocean governance and fisheries management the SAP proposed specific actions to develop and implement Co-ordination Mechanisms (CMs) on behalf of the countries of the region through involved regional IGOs. The implementation of these actions has led to the creation of two *Interim* Co-ordination Mechanisms (ICMs) referred to as the 'SAP - ICM' and 'Fisheries - ICM' with responsibilities for the SAP and Fisheries management respectively. The two ICMs have been established by Memorandums of Understandings (MoUs) between the IGOs involved.

The pathway to the *permanent* CM was initiated when the countries embarked on the initial UNDP/GEF project by collectively developing a regional transboundary analysis that led to the endorsed SAP that presented an agreed action for the establishment of a *permanent* CM. This critical stage of countries and IGOs working together with the support of the PCU increased trust building between all entities and laid the significant groundwork to the establishment of the two ICMs and the desire to progress towards the implementation of a permanent CM. This stepwise approach has facilitated the collaboration and co-operation shown by the actions of the ICMs building on this initial trust.

The SAP proposed strategies that led to the establishment of the two *interim* CMs and the proposing the formation of a *permanent* CM:

- **Strategy 2.** (*Enhance the regional governance arrangements for sustainable fisheries*) proposed actions for the establishment of **interim co-ordination mechanism** for sustainable fisheries (fisheries - ICM, Action 2.1);
- **Strategy 3.** (*Establish and operationalise a regional policy coordination mechanism for ocean governance with initial focus on shared Living Marine Resources*) for the establishment of an **interim co-ordination mechanism** amongst the regional sub-arrangements for sustainable fisheries and for the protection of the marine environment (SAP - ICM, Action 3.1);
- **Strategy 3.** The establishment of a **permanent co-ordination mechanism** with a clear mandate which is financially sustainable, geographically inclusive and politically acceptable (Action 3,2).

Following the endorsement of the regional SAP, the UNDP/GEF CLME+ project<sup>2</sup> was launched to catalyse the implementation of the SAP. The CLME+ Project Co-ordination Unit (PCU) responsibilities addressed the whole project including providing 'secretariat' support to the SAP-ICM and Fisheries-ICM.

The current UNDP/GEF CLME+ project has undertaken a study to evaluate options for the formation of a *permanent* CM. These options have been refined through two regional meetings (Cartagena, September 2018 and Panama, August 2019). A revised proposal on the route to establishing a sustainable *permanent* CM is to be submitted to the countries of the CLME+ in November 2019.

## **Purpose of this review**

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<sup>1</sup> <https://www.clmeproject.org/sap-overview/>

<sup>2</sup> CLME+: Catalysing Implementation of the Strategic Action Programme for the Sustainable Management of shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems

This document responds to a request for a rapid assessment of the achievements of the two ICMs requested by the countries of the Wider Caribbean Region during the Second Regional Consultation Meeting on a Proposal for *permanent* Co-ordination Mechanism and a Sustainable Financing Plan for Ocean Governance (Panama City, 30<sup>th</sup> July – 1<sup>st</sup> August 2019). The scope was broadened slightly by the CLME+ project to include activities that were the precursors to the ICMs from the first steps in developing the regional SAP.

The purpose of this brief document is to highlight key achievements and lessons learned in the stepwise progression from the development of the initial transboundary analysis to the operation of the ICMs to guide recommendations on the formation of a *permanent* CM. As a precursor to the establishment of the ICMs the contributions from the CLME and CLME+ projects, and the role of the PCU acting as a secretariat for these bodies, is examined. These earlier actions and achievements are to understand the contributions of this ‘secretariat’ to the functions being developed for the *permanent* CM and facilitating the role of the ICMs in progressing ocean governance and fisheries management in accordance with the objectives of the ICMs.

The results of this assessment will assist the CLME+ countries evaluate the potential benefits of the establishment of a *permanent* Co-ordination Mechanism within a Regional Governance Framework for the Wider Caribbean Region.

### **Approach**

The rapid review commenced with a brief presentation and discussion with members of the SAP-ICM at their 6<sup>th</sup> meeting in Cartagena in September 2019. IGOs were invited to submit key achievements, in an agreed tabular format that identified the achievement and the importance of the role of the IGO and PCU in delivering the achievement. This was to enable this review to understand the relevance of the ICMs and PCU’s role in facilitating delivery the achievement. In addition, lessons that were considered of relevance to the deliberations on the potential formation of a *permanent* Co-ordinating Mechanism were also identified.

In presenting the stepwise route to the achievements of the ICMs a summary of the PCUs contributions to regional ocean governance is presented followed by the achievements identified by the SAP-ICM and the Fisheries – ICM. The objectives of the MoUs are shown below and the expected functions are attached in Annex A.

The proposed *permanent* Co-ordination Mechanism functions are shown in Annex B. Reference to these functions (using abbreviated titles of the proposed functions) are included against the achievements (shown in Tables 1 to 3) to further highlight the importance of the work undertaken by the ICMs and the secretariat functions of the PCU.

### **Background to the SAP-ICM and Fisheries -ICM**

Both ICMs are designed to strengthen ocean governance and fisheries management in the Wider Caribbean Region and support the overall implementation of the endorsed CLME+ SAP. The fisheries-ICM MoU was signed by CRFM, OSPESCA and FAO in January 2016. The SAP-ICM MoU was signed by CARICOM, CCAD, CRFM, FAO - WECAFC, OECS, UNESCO-IOC, OSPESCA and United Nations Environment Programme (UNEP) by December 2017.

### **Objectives of the Mechanisms**

Both Memorandum of Understandings (MoUs) establishing the ICMs are closely aligned to the strategies expressed in the endorsed regional SAP.

- **SAP-ICM MoU** Memorandum of understanding Establishing the Interim Co-ordination Mechanism for the Sustainable Management, Use, and Protection of the shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems: *'to enhance regional co-ordination and collaboration, support oversight and integration of actions for sustainable fisheries and the protection and sustainable use of the marine environment'*.
- **Fisheries - ICM MoU** Memorandum of understanding for Interim Co-ordination of Sustainable Fisheries: *'to enhance the regional governance for sustainable fisheries'*.

The SAP-ICM's 'Core Functions' and the Fisheries – ICM's 'Areas of Co-operation' are presented in Annex A.

### **Main Achievements of the Interim Co-ordination Mechanisms**

Since the agreement of the MoUs, the Fisheries - ICMs have undertaken ten meetings of the Fisheries -ICM, and the SAP -ICM has held six regional meetings. The UNDP/GEF CLME+ PCU has also acted as the secretariat to these ICM meetings, in addition to co-ordinating the agreed programme of action identified in the GEF project. The achievements contributing to ocean governance and fisheries management are presented below.

#### **Contributions of the CLME+ PCU acting as 'secretariat' to the ICMs**

The PCU functions to facilitate the delivery of the SAP and to assist strengthening regional ocean governance have been undertaken through the regional UNDP/GEF CLME (2009 -2014) and CLME+ projects (2015 -2020). The GEF projects enabled the more frequent meetings of regional experts drawn from the countries and IGOs and provided a mechanism for regional co-ordination of information synthesis (e.g. SOME), awareness raising and dissemination. In addition, following the signatures to the fisheries and SAP ICMs the PCU provided the secretariat functions to the ICMs. The focus of the achievements by the PCU is on activities that are planned to be incorporated within the functions of the *permanent* CM.

The following table indicates the main contributions to regional ocean governance strengthening in the region from the project and PCU and presents the main deliverables (that contributes to achievements of the ICMs), the relevance of the PCU's support (essential or not), the role of the PCU and the potential links to the *permanent* CM functions.

**Table 1 - UNDP/GEF PCU's Contribution to Ocean Governance in the Wider Caribbean Region through the LME Projects**

Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
<b>Development and endorsement of the SAP</b>					
Transboundary Diagnostic Analyses (TDA) Technical Task Team (TTT)	Led to the successful delivery of the TDA's: regional assessment of priority transboundary problems and causes	No	-development of TORs for the TTT -constitution of the TTT - training on TDA/SAP for TTT and conducting a casual chain analysis (CCC) of the transboundary problems identified -organizing TTT meetings Supporting the development and formulation of the regional TDA	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy	H
SAP Core Development Team (CDT)	Led to the successful delivery of the (draft) CLME+ SAP, which was then submitted to FEST and countries for review, feedback and approval (and subsequently political endorsement	No	-development of TORs for the CDT -organization of SAP CDT SAP Development Workshops Through the PCU and with the financial support of the UNDP/GEF CLME Project a number of IGOs and NGO's from the region were able to convene to support the development of the CLME+ SAP. The CLME Project Coordination Unit, drafted the TORs which defined the role and responsibility of the SAP CDT. -The CLME PCU's constituted a neutral broker, facilitating the building of trust and engagement of different sectors and subregions in SAP development	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy 8 Emerging issues	H
SAP Formulation and Endorsement Support	Facilitated peer review of the draft SAP developed by the CDT	Maybe/partially (possibly in the absence of a PCU the country project national focal	-development of TORs for the FEST -constitution of the FEST -engagement of the FEST in the review process -addressing FEST feedback		<i>Medium-high</i>



Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
Team (FEST)		points or one of the existing IGO's could have steered this process – but the PCU provide a more neutral broker)			
Draft SAP technical review and revision		No	The CLME PCU led the process of engaging with the countries on the draft SAP, clarifying concept, approaches and content, responding to doubts and questions, and addressing feedback. This includes PCU participation in inter-governmental meetings of key IGOs	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance	H
Final CLME Project Steering Committee (PSC) Meeting where SAP was technically approved	Hosted	No	The CLME+ PCU, through GEF funds was able to organise and convene a Project Steering Committee Meeting of the CLME Project (2009 -2014) where the CLME+ SAP was adopted by CLME+ countries. During the meeting, CLME+ countries also appealed to UNDP for assistance in assisting the region implement the SAP Actions	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy 8 Emerging issues	H
Political endorsement of the CLME SAP		Possibly (other IGO's with a mandate relevant to SAP implementation could have advocated for	-PCU very actively reached out to countries and provided all required info to facilitate the SAP endorsement process (the SAP has been politically endorsed to date by 36 Ministers, representing 26 countries and 8 overseas territories)	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance	H

Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
		this, but staff and time constraints might have hampered their efforts or made the SAP endorsement process slower,			
<b>SAP implementation</b>					
Outreach		Possible (but the PCU had a comparative advantage above e.g. partner IGOs given the PCU's over-arching/cross-cutting scope)	<p>-development and dissemination of information materials on the CLME+ SAP</p> <p>-participation at international fora to explain and promote the CLME+ SAP (inter-governmental meetings of IGO's with mandate relevant to SAP implementation; international fora linked to ocean governance/Large Marine Ecosystems)</p>	<p>5 Knowledge Management</p> <p>6 Outreach and awareness raising</p>	H
Resource Mobilization		Possible –but capacity constraints (staffing/available time) would in all likelihood have severely delayed the process and caused a substantial gap between SAP development	<p>-successfully ensuring seamless connection between CLME Project-SAP development efforts (2009-2014) and CLME+ Project-SAP implementation efforts (2015-2020):</p> <p>bridge funds to give continuity to PCU in between CLME and CLME+ Projects (NOAA, Flanders; Belgium)</p> <p>-GEF Project Preparation Grant</p> <p>-GEF CLME+ Project Grant (USD 12,5 M)</p> <p>-FUST Grant for CMA2 (approx. USD 700K)</p> <p>It is to be noted that the swift transition from SAP development to SAP implementation in the CLME+ region is an almost unique feat, as in most part of the world where SAPs have been developed there have been substantial gaps</p>	2 Sustainable Financing	H

Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
		and resource mobilization for SAP implementation; the PCU also provided a neutral broker ensuring that all sectors and sub-regions were covered in the effort;	(many years) between SAP endorsement and initiation of SAP implementation project(s)		
Implementation of selected (over-arching/cross-cutting) SAP Actions		No	<ul style="list-style-type: none"> <li>-implementation of key SAP actions led by the PCU through the UNDP/GEF CLME+ Project:</li> <li>-establishment of Interim Fisheries Coordination Mechanism (TOR development and negotiation, mobilization of partners, financing of meetings, etc)</li> <li>-establishment of SAP Interim Coordination Mechanism (TOR development and negotiation, mobilization of partners, financing of meetings, etc)</li> <li>-consultancy on a Permanent Mechanism and Sustainable Financing Plan for integrated Ocean Governance in the Wider Caribbean</li> <li>-conceptualization of an integrated, collaborative and to-be institutionalized reporting effort covering fisheries, habitats and pollution (including considering climate change) and linking the marine environment to socio-economic development</li> </ul>	<ul style="list-style-type: none"> <li>1 Co-ordinated Ocean Governance</li> <li>2 Sustainable Financing</li> <li>3 Regional institutional and policy coherence</li> <li>4 Support for national ocean governance</li> <li>5 Knowledge Management</li> <li>6 Outreach and awareness raising</li> <li>7 Science – Policy</li> <li>8 Emerging issues</li> </ul>	H
SAP Monitoring & Evaluation		No (given the need for a harmonized approach to be adopted by all	<ul style="list-style-type: none"> <li>-development of SAP M&amp;E framework</li> <li>-mobilization of SAP implementing partners in adoption of the SAP monitoring approach</li> <li>-collaborative online SAP Action Progress tracking tool (google sheet:</li> </ul>	<ul style="list-style-type: none"> <li>1 Co-ordinated Ocean Governance</li> <li>3 Regional institutional and policy coherence</li> </ul>	H

Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
		sectors and sub-regions, and the time and (human) resources required for its development, and for its coordinated implementation)	<a href="https://docs.google.com/spreadsheets/d/1HmCZ8Ky9TDnATN1dOLCLZ6J3Yr7M0Mk6rWxaXYNaS1k/edit#gid=1483760277">https://docs.google.com/spreadsheets/d/1HmCZ8Ky9TDnATN1dOLCLZ6J3Yr7M0Mk6rWxaXYNaS1k/edit#gid=1483760277</a>		
<b>Catalyzing Interactive Governance</b>					
Civil Society Action Programme (C-SAP) and Small Grants Co-ordination Mechanism (SGCM)	C-SAP developed and endorsed by over 40 CSOs  Work on SGCM ongoing	No  No	Without GEF support through CLME+ Project region would not have the resources, nor the idea to move towards the development of a C-SAP to support the politically endorsed CLME+ SAP  The for the development of a Small Grants Coordination Mechanism to support civil society projects and initiatives emanated from the CLME+ PCU	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance	H
Partnership Concept and TORs	TORs drafted, to be revised with country inputs before their submission for approval by PSC	No	The PCU conducted a review of existing ocean/LME-centered partnerships across the world, and combined the findings from this review with its knowledge of the CLME+ region to define a way forward for a wide-ranging CLME+ Partnership to facilitate interactive ocean governance The concept for the CLME+ Partnership emanated from the PCU  The PCU drafted the proposed TORs for the Partnership, revised the TORs based on the feedback from the CLME+ SAP Interim Coordination Mechanism (ICM) and will conduct	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising	H

Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
			<p>further revisions based on feedback from CLME+ countries and partner organisations</p> <p>PCU initially approached organisations to gauge interest in joining the CLME+ Partnership</p>		
Support NIC processes	Ongoing  Ongoing  Completed	Yes	<p>Support to OECS, to support their National Ocean Governance Committees.</p> <p>Support also given to OSPESCA, CRFM and FAO to support NICs under sub projects.</p> <p>Development of a NIC Best Practice Handbook</p>	<p>1 Co-ordinated Ocean Governance</p> <p>3 Regional institutional and policy coherence</p> <p>4 Support for national ocean governance</p> <p>7 Science – Policy</p>	M
SAP IFCM and ICM	Formally established in respectively 2015 and 2017. Both are currently operational	Unlikely in the case of the IFCM and Highly unlikely in the case of the ICM	<p>PCU took the initiative to realise the SAP action which calls for the establishment of the SAP ICM.</p> <p>PCU is also serving as the (interim) Secretariat and finances and organizes the meetings of the ICMs (6 for SAP-ICM and 10 for fisheries – ICM), and works on alternative for a for the ICM members to interact</p>	<p>1 Co-ordinated Ocean Governance</p> <p>2 Sustainable Financing</p> <p>3 Regional institutional and policy coherence</p> <p>4 Support for national ocean governance</p> <p>5 Knowledge Management</p> <p>6 Outreach and awareness raising</p> <p>7 Science – Policy</p> <p>8 Emerging issues</p>	H (to establish)  L (in operation)
<b>Knowledge Management – CLME+ Hub</b>					
PPI database	Developed but under revision	No	CLME+ Project developed a Hub/Portal featuring a number of products that can be accessed and used by CLME+ countries, IGOs and other partners. One of those products include a PPI database established at the start of the project and which is currently being updated: <a href="https://clmeplus.org/ppi-search/">https://clmeplus.org/ppi-search/</a>	<p>5 Knowledge Management</p> <p>6 Outreach and awareness raising</p> <p>7 Science – Policy</p>	M
Documents Library	In Progress	No	CLME+ Project developed an online Documents Library with advanced search facilities, and is now populating this database with documents relevant and/or linked to the implementation of	<p>5 Knowledge Management</p> <p>6 Outreach and awareness raising</p>	H

Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
			the CLME+ SAP/integrated ocean governance in the region (this includes materials produced by the CLME and CLME+ Projects and from other projects and partners working on SAP implementation. Adoption of the Documents Library by selected ICM member organizations will be trialed in the near future (economies of scale)		
Joint Calendar	Established	No	CLME+ <a href="#">Joint Calendar</a> allows the CLME+ PCU and members of the SAP ICM to include meeting events into this calendar This calendar allows ICM members to be aware of events that other organisations are planning and it also reduces overlaps of regional meetings	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence	H
State of the Marine Environment (SOME) and SAP M&E Online Version	In Progress	No	Online versions of the integrated "SOME" and of the SAP Monitoring tool are currently being designed	1 Co-ordinated Ocean Governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy	H
Caribbean Marine Environment (CMA2 GeoNode)	-	No	A section has been worked out on the "Caribbean Marine Atlas" CMA2 Geonode specifically dedicated to the collection, posting and dissemination of geospatial information (GIS layers, dynamic and static maps) relevant to the mandates and work programmes of the ICM and IFCM and its membership. The section has been worked out as a space to be co-owned by all ICM members and the Secretariat, and helps avoid that each member would have to build and maintain its own IT solution. Information on CMA2 is expected to inform SOME/SAP MnE and Action and work programme development	1 Co-ordinated Ocean Governance 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy	H
<b>PCU Resource Mobilization</b>					
Other SAP implementation projects	-	Other projects would have been formulated but	CLME+ PCU/ICM Secretariat has provided and continues to provide advice on draft concept notes being developed for the GEF based on its knowledge of the SAP and of ongoing and planned initiatives with the aim of reducing overlap and	2 Sustainable Financing	M

Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
		there would have been substantially more overlap and duplication of efforts	improving alignment and complementarity of proposals, to achieve more cost-effective implementation of the CLME+ SAP		
CLME+ Project funds to catalyse CLME+ SAP implementation		No	PCU was instrumental in leveraging the USD 12.5 M grant for the UNDP/GEF CLME+ Project	<ul style="list-style-type: none"> <li>1 Co-ordinated Ocean Governance</li> <li>2 Sustainable Financing</li> <li>3 Regional institutional and policy coherence</li> <li>4 Support for national ocean governance</li> <li>5 Knowledge Management</li> <li>6 Outreach and awareness raising</li> <li>7 Science – Policy</li> <li>8 Emerging issues</li> </ul>	H
Joint CRFM-OSPESCA meeting for Joint Work Plan	Completed	Yes	CLME+ Project co-financed both Joint CRFM-OSPESCA meetings in 2014 and 2019 which resulted in the adoption of two Joint Action Plans highlighting priority areas for collaboration in fisheries management. Whilst both meetings could take place in the absence of the CLME+ Project, it would take CARICOM and SICA longer to mobilise the resources for both meetings	<ul style="list-style-type: none"> <li>1 Co-ordinated Ocean Governance</li> <li>2 Sustainable Financing</li> <li>3 Regional institutional and policy coherence</li> <li>4 Support for national ocean governance</li> </ul>	M
<b>Strategies and Regional Actions Plans</b>					
IUU Regional Plan of Action	Endorsed at WECAFC 17	Yes	This Regional Plan of Action developed through the support of a CRFM/OSPESCA/WECAFC- FAO Joint Working Group of IUU fishing. The development of the Plan falls within the field of mandate of the fisheries bodies and could thus in theory have been developed independently from the PCU. However, in this particular case CLME+ Project provided funding was essential for	<ul style="list-style-type: none"> <li>1 Co-ordinated Ocean Governance</li> <li>3 Regional institutional and policy coherence</li> <li>4 Support for national ocean governance</li> </ul>	M

Deliverable/Activity	Status	Possible without PCU	Role of PCU	Relevance to Proposed PCM Functions	Value of PCU input to activity
			its delivery by WECAFC17 (co-financing of regional workshops, etc.). Regional Plan of Action endorsed in July 2019	5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy	
Nutrients Strategy and Action Plan	In Progress	Yes	The idea to develop this Action Plan to give more content to the relevant sections of the otherwise rather generic SAP originated from the PCU. This is being developed through the Cartagena Convention Secretariat, as part of their mandate. Without the support of the GEF funds through the CLME+ Project, this Nutrients Strategy and Action Plan would have taken a lot longer.	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy	M
Habitats Strategy and Action Plan	In Progress	Yes	The idea to develop this Action Plan to give more content to the relevant sections of the otherwise rather generic SAP originated from the PCU. This is being developed through the Cartagena Convention Secretariat, as part of their mandate. Without the support of the GEF funds through the CLME+ Project, this Habitats Strategy and Action Plan would have taken a lot longer.	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy	M
Awareness Raising GEF Council BE Summit LME COP IW Conference UN Oceans Conference	Ongoing	Yes	By creating awareness on the work being undertaken in the CLME+ region on Ocean Governance, the region will be in a position to better leverage support of these innovative ideas.	5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy	M



<b>Deliverable/Activity</b>	<b>Status</b>	<b>Possible without PCU</b>	<b>Role of PCU</b>	<b>Relevance to Proposed PCM Functions</b>	<b>Value of PCU input to activity</b>

**UNDP/GEF CLME and CLME+ PCU's Contributions to better coordinated Ocean Governance in the Wider Caribbean Region"** identified, include:

- \* **Facilitating regional governance** requirements through establishing and supporting the NICs enhancing national ocean governance frameworks;
- \* **Strengthening partnerships** to facilitate regional ocean governance;
- \* Supporting the **development, facilitating the implementation and joint adoption of a knowledge hub**, to be progressively co-owned and co-managed by the different members of the ICM with contributions from the wider stakeholder community, to be maintained and supported by its Secretariat;
- \* **Facilitating resource mobilisation** in the region for meetings and activities and co-ordinating longer-term financing;
- \* Assisting with development of **regional fisheries plans and nutrient management strategies**;
- \* **Awareness raising** at national, regional and global events.

### **SAP ICM**

The SAP-ICM, in pursuit of the MoU's objective and consistent with the 'Core Functions' (see Annex 1), have recognised the following as the key achievements since the establishment of the ICM in 2017. The table identifies the achievements, the importance of the role of the ICM and PCU, the benefits to regional co-ordination and links to the related permanent CM functions.

**Table 2 - Achievements and on-going activities of the SAP – ICM relevant to MoU**

	Achievement	Importance of role (H, M, L)		Benefit of regional co-ordination/consequence of no co-ordination	Links to proposed function of PCM
		SAP-ICM <sup>3</sup>	PCU <sup>4</sup>		
	<b>Deliverables</b>				
1	Joint decisions of the Marine Biodiversity and Pollution (SPAW and LBS) Protocols relating to the SAP and Oceans Governance in the CLME+ Region	M	H	Improved coherence of decisions of the LBS/SPAW Conference of Parties	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy
2	Enhanced co-ordination between Cartagena Convention Secretariat and other regional Agencies /IGOs	M	M	There has been greater mutual participation by IGOs at technical workshops and meetings of the Cartagena Convention as well as Governance Meetings of other IGOs. Through the ICM and PCU, this has enabled more consistent messaging and harmonized decisions across different IGOs.	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy 8 Emerging issues
3	Regional SAP implementation	H	H	The SAP ICM contributes to providing SAP implementation guidance to the countries in addition	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence

<sup>3</sup> SAP-ICM membership

<sup>4</sup> PCU acting as CLME+ PCU and ICM Secretariat

	Achievement	Importance of role (H, M, L)		Benefit of regional co-ordination/consequence of no co-ordination	Links to proposed function of PCM
		SAP-ICM <sup>3</sup>	PCU <sup>4</sup>		
					4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy 8 Emerging issues
	SAP Implementation Progress Tracking	H	H	SAP – ICM provided oversight to the tracking of the SAP implementation recorded by the PCU	1 Co-ordinated Ocean Governance
4	Enhanced coordination and cooperation between IGOs	M	M	For example, in 2017 CARICOM and SICA articulated a joint plan of action to improve implementation of agreed priority actions. Partnerships in pursuing sustainable management of marine and fisheries resources remain consistent in each iteration of the Plan of Action. The CLME+ SAP and its ICM provides the platform to <b>improve</b> the coordination and implementation of joint actions on sustainable use of marine resources	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance
	<b>Regional strengthening activities</b>				
5	Trust-building	M	H	The ICM and PCU has provided a forum for organisations to meet at regular intervals to discuss issues of common concerns and to enhance the understanding of each partners' role within the CLME+ region. Absence of these regular meetings would result in more fragmentation, supplication and miss understanding	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy 8 Emerging issues

	Achievement	Importance of role (H, M, L)		Benefit of regional co-ordination/consequence of no co-ordination	Links to proposed function of PCM
		SAP-ICM <sup>3</sup>	PCU <sup>4</sup>		
6	Shared meeting calendar	M	H	Better co-ordination of meeting schedules with more and effective participation at meetings and less overlaps	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 6 Outreach and awareness raising
7	Co-ordinated input to reports/assessments	H	H	On E.g. Ocean governance State of Convention Reports on Pollution State of Marine Biodiversity/Habitats reports  The absence of the SOME framework (State of the Environment report) would result in less integrated assessments that would not have benefited from the technical expertise within the IGOs/ICM	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy
8	Project related co-ordination including the development of Research Agenda for the CLME+ on pollution and marine BD for GCFI, EBM/EAF project on North Brazil Shelf, enhanced co-operation on GEF projects under the implementation of Cartagena Convention Secretariat, etc.  Enhanced planning regarding collaboration for sustainable management of ocean resources	H	H	Broader co-operation assisting with harmonising approaches and coherence on issues including BE, ocean acidification, sargassum.  ICM facilitation assists with co-ordination of IGOs mandates and adoption by countries of EBM/EAF approaches  projects to implement the CLME+ SAP should take into consideration priorities in the ECROP SAP including the preparation of ocean policies and frameworks and marine spatial planning which are currently being implemented in some OECS Member States and at the OECS-wide levels through the CROP	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance
9	Promotion of the Project as a regional best practice in the area of ocean resource management in	M	M	The CLME + Project via both the ICM and PCU collaborated closely with the Caribbean Region to highlight the region's issues at the	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence

	Achievement	Importance of role (H, M, L)		Benefit of regional co-ordination/consequence of no co-ordination	Links to proposed function of PCM
		SAP-ICM <sup>3</sup>	PCU <sup>4</sup>		
	the international discourse on Oceans through joint representation at several high-level events			UN Conference on SDG 14 in 2017 and the International Conference on the Green Economy in 2018. The CARICOM Secretariat has highlighted the work of the CLME Project as a best-case example for the wider Caribbean Region during the ongoing review by the UN to monitor the implementation of the SAMOA Pathway. The project is also a best-case example of an effective partnership to achieve sustainable management of ocean resources at the sub-regional level.	4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy
10	Co-ordination, co-operation and communication through ICM/IGOs to ensure key stakeholders (including national government focal points) informed with effective communication of project, SAP and other information	M	M	Shared information between UN Agencies providing stakeholders with effective communication products	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance 6 Outreach and awareness raising
11	Enhanced coordination between IGOs within the ICM	M	M	For examples, OECS and CRFM continue to work towards strengthened partnership for fisheries development and management	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance
12	Regional needs for capacity building and country priorities on ocean governance enhanced	H	H	Programmes, projects and activities can be engineered to be better integrated and responding to national/regional needs with ICM co-ordination	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance
13	Greater collaboration amongst IGOs at the political and technical	H	M	As a result of the SAP- ICM as well as closer collaboration through the PCU, the CARICOM Secretariat was invited to participate in the 16 <sup>th</sup>	1 Co-ordinated Ocean Governance 2 Sustainable Financing

	<b>Achievement</b>	<b>Importance of role (H, M, L)</b>		<b>Benefit of regional co-ordination/consequence of no co-ordination</b>	<b>Links to proposed function of PCM</b>
		SAP-ICM <sup>3</sup>	PCU <sup>4</sup>		
	level on sustainable management of ocean resources			Session of the WECAFC , IOCARIBE 35th Anniversary – International Marine Sciences Conference and the XIV Intergovernmental Session of IOCARIBE and LME COP21, thereby enabling the CARICOM Secretariat to speak in a more informed manner to its stakeholders.	<ul style="list-style-type: none"> <li>3 Regional institutional and policy coherence</li> <li>4 Support for national ocean governance</li> <li>5 Knowledge Management</li> <li>6 Outreach and awareness raising</li> <li>7 Science – Policy</li> <li>8 Emerging issues</li> </ul>

The **SAP-ICM key achievements towards enhancing ocean governance and SAP implementation**, consistent with the objectives of the MoU, include:

- \* **Enhanced co-ordination and co-operation** between regional IGOs, including for example, between the Cartagena Convention secretariat and other agencies, and building on existing agreements, e.g. SICA and CARICOM (e.g. Joint plan of action 2017). The benefits have included mutual participation in meetings to improve understanding and ensuring a more harmonised decision making;
- \* Greater **collaboration between IGOs at technical and political levels**. The trust-building co-operation initiated under the development of the SAP and supported by the PCU has led to closer collaboration between regional IGOs *and* between their stakeholders. For example, at the SDG 14 conference in 2017, the CARICOM Secretariat highlighted the regional work to monitor the implementation of the SAMOA Pathway;
- \* **Joint decisions of the SPAW and LBS protocols** of the Cartagena Convention. With benefits to closer coherence in the decision making of at meetings of Conferences of the Parties;
- \* **Co-ordination of technical assessments, reports and research projects** facilitated by the role of the CLME+ PCU (as a Secretariat co-ordinating the input of multiple IGOs). For example, the *absence* of good co-operation in the production of the State of the Marine Environment and Associated Economies report (SOMEE) would have reduced the interactions and involvement of the multiple expert IGOs (and their networks) and the benefits this involvement had in the preparation of the report.

The SAP ICM provides the framework for IGOs to periodically meet, regularly interact, and share information on technical matters, collaborate in the delivery of the Objectives of the MoU /SAP facilitated by the UNDP/GEF CLME+ Project, and clarify mandates, roles, etc. in the delivery of the Region. Without such formalised framework provided by the ICM, it might not have been possible to bring together these organisations in a regular manner and foster the level of trust among IGOs.

#### **Fisheries ICM**

The Fisheries-ICM, in pursuit of the MoU's objective and consistent with 'Areas of Co-operation' (see Annex A), have recognised the following as the key achievements since the establishment of the ICM in 2016. The table identifies the achievements, the importance of the role of the ICM and PCU, the benefits to regional co-ordination and links to the related permanent CM functions.



**Table 3 - Achievements and on-going activities of the Fisheries ICM relevant to MoU**

	Achievement	Importance of role (H, M, L)		Benefit of regional co-ordination/consequence of no co-ordination	Links to proposed function of PCM
		F-ICM <sup>5</sup>	PCU <sup>6</sup>		
	<b>Deliverables</b>				
1	Regional Fisheries management Plans <ul style="list-style-type: none"> <li>• Queen Conch</li> <li>• Spiny Lobster</li> <li>• Flying Fish</li> </ul>	H	H	<p>Management Plan have been developed with the support of the joint CRFM/CFMC/OSPESCA/WECAFC-FAO working group was reviewed and separately adopted the three RFBs which make up the FICM</p> <ul style="list-style-type: none"> <li>• Revised Flying fish Management Plan has been reviewed at Ministerial level (June 2019)</li> <li>• The Spiny Lobster Management Plan was approved for implementation at the Caribbean Region. Activities are more easily implemented at the regional level where regional coordination takes place. Regional coordination also allows to identify commonalities and better ways to implement activities included in the Regional Plan</li> </ul> <p>Absence of ICM/PCU would have resulted in delivery of fisheries plans taking much longer.</p>	<ul style="list-style-type: none"> <li>1 Co-ordinated Ocean Governance</li> <li>2 Sustainable Financing</li> <li>4 Support for national ocean governance</li> <li>5 Knowledge Management</li> <li>6 Outreach and awareness raising</li> <li>7 Science – Policy</li> </ul>
2	Approval of Regional Plan of Action on IUU fishing by WECAFC	H	H	Co-ordination increased likelihood of the development of the plan and its regional approval	<ul style="list-style-type: none"> <li>1 Co-ordinated Ocean Governance</li> <li>4 Support for national ocean governance</li> <li>5 Knowledge Management</li> <li>6 Outreach and awareness raising</li> </ul>

<sup>5</sup> Fisheries -ICM Membership

<sup>6</sup> PCU acting as CLME+ PCU and ICM Secretariat

	Achievement	Importance of role (H, M, L)		Benefit of regional co-ordination/consequence of no co-ordination	Links to proposed function of PCM
		F-ICM <sup>5</sup>	PCU <sup>6</sup>		
3	Joint CRFM- OSPESCA Ministerial Meeting undertaken in October 2019	H	H	Ministers agreed a declaration on 'Co-operation for sustainable development of fisheries and aquaculture resources' in the CLME+ region	1 Co-ordinated Ocean Governance 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 7 Science – Policy
4	SAP implementation	H	H	The regionally endorsed SAP developed and implemented through the co-ordination of the fisheries ICM and CLME+ PCU. ICM and PCU have shared information and communicated progress on the regional SAP between interested parties (countries and other regional/national stakeholders).	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy 8 Emerging issues
5	Data policy and data portal prepared and approved by Ministers	M	H	The absence of the ICM and PCU would have led to this taking more time	5 Knowledge Management 6 Outreach and awareness raising
<b>Regional strengthening activities</b>					
6	Support to Joint Working Groups	M	H	Enabling enhance co-ordination e.g. RPOA-IUU, Data Collection Reference Framework, development of fisheries management plans	4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy
7	Joint assessments (and updates)	H	M	Regional plans and assessments e.g. flying fisheries. Ensuring plans are maintained /updated is essential and it is important that IGOs co-ordinate efforts contribute through the ICM.	1 Co-ordinated Ocean Governance 2 Sustainable Financing 4 Support for national ocean governance 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy
8	Trust building	H	H	The ICM and PCU has provided forum for organisations to meet at regular intervals to discuss issues of common concerns and to enhance the understanding of each partners' role within the CLME+ region. Absence of these	1 Co-ordinated Ocean Governance 2 Sustainable Financing 3 Regional institutional and policy coherence 4 Support for national ocean governance

	Achievement	Importance of role (H, M, L)		Benefit of regional co-ordination/consequence of no co-ordination	Links to proposed function of PCM
		F-ICM <sup>5</sup>	PCU <sup>6</sup>		
				regular meetings would result in more fragmentation, supplication and miss understanding	5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy 8 Emerging issues
9	Resource mobilisation	M	L	Variety of tools developed (e.g. management plans/strategies used to support IGOs' fund mobilisation	1 Co-ordinated Ocean Governance 2 Sustainable Financing
10	Improved awareness and information sharing with stakeholders	H	H	Ministers / decision makers better informed on wide range of fisheries issues  Assisted planning, scheduling, co-ordination, synergy and greater input into regional activities of IGOs and facilitated resource mobilisation.	2 Sustainable Financing 5 Knowledge Management 6 Outreach and awareness raising 7 Science – Policy
11	Joint and/or coordinated Development of Project Concepts	M	M	UNDP and the CLME+ PCU are engaging both the ICM membership and their constituents/CLME+ countries in the development of a new concept note for submission to the GEF, which will aim to further support SAP implementation and give continuity to flagship CLME+ Project outputs and outcomes	1 Co-ordinated Ocean Governance 2 Sustainable Financing 4 Support for national ocean governance

The **Fisheries-ICM key achievements to fisheries management** consistent with the objectives of the MoU, include:

- \* **Regional Fisheries Management Plans** for Queen Conch, spiny lobster and flying fish developed and approved by the regional fisheries organisations. The absence of the Fisheries-ICM would have led to these plans taking much longer to develop and agree;
- \* Development and Approval of **regional plan for action to combat IUU** in the Caribbean. The absence of the Fisheries-ICM would have delayed the development of the regional plan;
- \* Joint **CRFM-OSPESCA fisheries Ministerial meetings** are considered to have been unlikely without the co-ordinating role of the fisheries – ICM input;
- \* **Data policy and data portal developed and approved by ministers** in June 2019. The co-ordination by the fisheries-ICM was considered of significant benefit to the development and subsequent approval;
- \* **Reorientation of WECAFC**. For example, the Fisheries ICM provided the IGOs with a forum where they could have open discussions in relation to the reorientation of WECAFC, that provided opportunities to clarify issues of regional importance to fisheries management.

The Fisheries ICM through information sharing, coordination, collaboration and facilitation of the activities of the key fisheries working groups, which involved more than one RFB contributed to a timelier delivery of a number of EAF based regional fisheries management plans.

The Fisheries ICM has served to strengthen the partnerships at both the ICM and fisheries and related working groups level. Without the Fisheries ICM, the outputs mentioned would have taken a longer time and the level of engagement among the working group partners would have been limited. Dialogue at the Fisheries ICM level has served to make a more effective use of resources in convening working groups meetings. Time spectrum and engagement of memberships would have been different.

#### **Common achievement identified by the PCU, SAP-ICM and Fisheries -ICM**

In addition to the achievements and on-going activities noted above, **key common achievements of the ICMs** identified by the PCU, SAP -ICM and fisheries-ICM include:

- \* **Trust building** through providing a forum to enable open discussions on relevant issues to be held and facilitate enhanced co-ordination between the IGOs;
- \* **Improving financing mobilisation** through joint proposals for international projects addressing issues of relevance to ocean governance and fisheries management in-line with the SAP. Examples of this success have been recent projects in the region that note their

alignment to the SAP, including CLME+, CROP<sup>7</sup>, IWECO<sup>8</sup>, CREW+<sup>9</sup>, MAR2R<sup>10</sup>, StewardFish<sup>11</sup>, CC4Fish<sup>12</sup>. Collectively these projects have received over **70 M USD in GEF grants** and mobilised about **590 M USD** of co-financing for the activities in the region.

- \* **Strengthening stakeholder involvement and awareness** on critical priority issues and to assist the implementation of the regionally agreed SAP. Stakeholders from communities to Cabinet are essential to the implementation, and sustainability, of the SAP are provided with targeted and agreed information to enable informed decisions, etc.
- \* Overall **SAP supervision** and discussions between IGOs within the ICM forum. The SAP as a regional agreement that identifies a vision, strategies and actions requires *regional* supervision to assess progress and to identify the need for any necessary adaptive management changes to the SAP.

## **Lessons Learnt from the enhanced regional coordination promoted to/facilitated by the CLME+ initiatives (including the Interim Co-ordination Mechanisms)**

The ICMs have been very helpful for coordinating and networking, adding significant value and improving efficiency in the work of the IGOs that make up the ICM. The absence of these mechanisms would have increased time and effort needed to deliver, for example, fishery management or IUU plans. Key to delivering these benefits has been the ability to meet regularly and exchange information on regional priorities. The ICM members identified key lessons from achievements that can be of benefit addressing ocean governance and fisheries management in the region. Specific lessons identified by the IGOs include:

- Trust established during the initial regional diagnostic phase provided a solid basis for the finalisation and subsequent implementation of the SAP leading to the establishment of shared co-ordination mechanisms
- Sharing of best practices and information in undertaking co-ordinated actions;
- The importance of effective co-ordinated communication networks between ICM members to ensure clear messages to key stakeholders;
- The opportunity to meet and to regularly interact through the ICM/PCU to address challenges and jointly to monitor activities;
- The benefits that have been established from a PCU over the last 10 years, that facilitated the development of the SAP through collaborating with countries and IGOs, co-ordinating the development of regional reports (e.g. SOMEE) and providing regional secretariat co-ordination support to the ICMs was noted by the IGOs as important.

These experiences as lessons are already incorporated in the proposed functions identified for the *permanent* Co-ordination Mechanism (summarised in Annex B) that will also include the features of this report on the achievements of the ICM as part of a routine monitoring and evaluation function to be co-ordinated by the secretariat of the permanent CM. This important routine aspect will enable all

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<sup>7</sup> Caribbean Regional Oceanscape Project

<sup>8</sup> Integrating Water, land and ecosystems management in Caribbean Small Island Developing States

<sup>9</sup> An integrated approach to water and wastewater using innovative solutions and promoting financing mechanism in the Wider Caribbean Region

<sup>10</sup> Integrated Ridge to Reef Management of the Mesoamerican Reef

<sup>11</sup> Developing Organizational Capacity for Ecosystem Stewardship and Livelihoods in Caribbean Small-Scale Fisheries

<sup>12</sup> Climate Change Adaptation of the Eastern Caribbean Fisheries Sector Project

stakeholders within Ocean governance and fisheries management (at national and regional level) to monitor the implementation of the SAP and the success of the *permanent* CM.

## **Conclusions for a *permanent* Co-ordination Mechanism**

The regional SAP, endorsed by 25 countries and 8 overseas territories in the Caribbean, provides a significant mandate for the regional co-ordination and co-operation on ocean governance and fisheries management in the region. Initial successes from the SAP implementation have included the planned establishment, through signed MoUs, of Interim Co-ordination Mechanisms for both the SAP and fisheries management in accordance with SAP's Strategies 2 and 3.

This rapid review of the achievements of the ICMs towards their objectives and functions (summarised in Annex A) confirms that they are in accordance with the MoUs. This review highlights the key benefits from the precursor role of the Project/PCU, and from the Fisheries- and SAP- ICM established in 2016 and 2017 respectively, for countries and the IGOs working to enhance regional ocean governance and fisheries management on a path to establishing a *permanent* CM.

In conjunction with the support of the PCU, the ICMs have provided regional support for SAP activities and secretariat functions, demonstrating the benefits of forming (as agreed in the Regionally endorsed SAP -Action 3.2) a *permanent* CM with financing to ensure long-term sustainability.

The development of the ICMs and the proposal for the *permanent* CM have involved many national experts and IGOs with the support of the UNDP/GEF CLME projects. In addition to the trust building that has been emphasised by the IGOs, there are also the significant role of the countries in effectively steering the project that provides a good baseline of experience for continuing in an equivalent role in the *permanent* CM through the proposed Steering Group. Equally important has been the experience built up in the development of the Transboundary Diagnostic Analysis (TDA) and the SAP in the effective utilisations of groups of technical experts in the form of the Technical Task Team and the Core Development Team for the TDA and SAP respectively. These teams were established to address time-bound problems to provide guidance, advice and technical reports to the countries via the project. Again, a similar mechanism in the form of Working Groups is proposed to facilitate and guide the work of the *permanent* CM Steering and Executive Groups, co-ordinated by a small Secretariat.

The analysis of the ICM /PCU contributions on ocean governance and fisheries management, building on the fundamental enhancements on trust building that have been encouraged by the ICMs, are fully in-line with the planned functions of the PCM.

The draft proposed functions for a *permanent* CM, identified in regional meetings organised by the CLME+ project, are closely linked to the main achievements of the interim CMs, validating the suggested approach to forming a *permanent* CM in-line with the SAP strategy. Annex B summarises the overall details of the functions for the *permanent* CM and examples of the achievements that could be undertaken by the future CM are indicated below (using the short form titles of proposed functions).

<b>Proposed functions of the <i>permanent</i> CM</b>	<b>Examples of related ICM achievements</b>
1 Co-ordinated Ocean Governance	Joint decisions of SPAW and LBS protocols
2 Sustainable Financing	Enhanced co-ordination between IGOs leading to joint projects/programmes
3 Regional institutional and policy coherence	Trust building and more regular joint meetings
4 Support for national ocean governance	Co-ordination between IGOs via ICM
5 Knowledge Management	The IGOs have individual knowledge, data management systems and programmes that the PCU has assisted to co-ordinate and increase dissemination across the Wider Caribbean Region.
6 Outreach and awareness raising	The IGOs have individual outreach and awareness raising programmes that the PCU has facilitated to assist communications in the Wider Caribbean Region
7 Science – Policy	Co-ordinated and joint preparation of assessments/reports – e.g. SOME
8 Emerging issues	For example, the discussions on Sargassum issues that has been initiated between a number of SAP – ICM members (including UNESCO-IOC, UN Environment, OECS, CRFM, etc.)

Further examples and details are included in above in section 3.

The *interim* CM have benefited significantly from the co-ordination, knowledge management, assisting with regional financing considerations, awareness raising, etc. of the CLME+ PCU acting as the secretariat. The need and benefits of a secretariat are acknowledged and accommodated in the proposed *permanent* CM developed by the CLME+ project with support and input from the IGOs and the countries of the Caribbean region.

The overall conclusion from the rapid analysis of the initial years of operations of the ICMs have proved and will continue to prove useful as the countries of the Wider Caribbean Region seek to move forward in defining a *permanent* CM.

## Annex A – SAP-ICM Core Functions and Fisheries – ICM Areas of Co-operation

### SAP -ICM Core Functions

(As presented in the MoU)

The ICM will coordinate, cooperate and, where feasible and appropriate, take action in order to:

- i. Implement, monitor and evaluate in a cost-effective and synergistic manner the CLME+ SAP, with a focus on effectively addressing the three priority transboundary issues of (a) habitat degradation and community modification; (b) pollution; and (c) unsustainable fisheries, while simultaneously giving due consideration to the potential impacts of climate variability and change;

Such action includes, but is not limited to:

- Contributing to the consolidation of a Regional Institutional Framework for Ocean Governance, by supporting the process for the identification and adoption of a permanent policy coordination mechanism, and a sustainable financing mechanism;
  - Collaborative development of a “State of the Marine Ecosystems and associated Economies” (SOMEE) reporting mechanism, and the active promotion of its institutionalization and use as a means to bridge the science-policy gap;
  - Progressive promotion and expansion of the global CLME+ Alliance and Partnership, centered around the ICM;
  - Promotion of the expansion and replication of actions undertaken by all sectors of society, with the aim of achieving the long-term vision of the CLME+ SAP;
- ii. Contribute in this context to the delivery by the CLME+ region on the aims, objectives and targets of the SDGs, in particular SDG 14, “to conserve and sustainably use the oceans, seas and marine resources”, and other relevant international commitments;
  - iii. Promote coherent communication, data and information sharing, outreach and dissemination of information;
  - iv. Identify other areas of collaboration, including those relating to new and emerging issues relevant to and/or aligned with the Parties’ mandate, and which may not have been explicitly articulated in the CLME+ SAP;
  - v. Develop, review, revise and report back to their constituencies on the implementation of their core functions under this MoU.

### Fisheries – ICM Areas of Co-operation

1. To promote co-ordination and mutual co-operation in:
  - a. Areas identified as priorities in the CRFM-OSPESCA Joint Action Plan



- b. Areas and subjects covered by the Parties' technical working groups (such as lobster, queen conch, shrimp and ground fish, recreational fisheries, flying fish, FADs fisheries, sharks, Spawning Aggregations and Illegal, Unreported and Unregulated Fisheries);
  - c. Areas and actions identified in the CLME+ Project and the CLME+ SAP that are of relevance to the mandate /scope of work of the Parties, subject to their respective internal rules and procedures; and
  - d. Other areas of collaboration that contribute to the fulfilment of the objectives of the organisations in the field of promoting responsible fisheries in the Western Central Atlantic.
2. To collaborate to ensure a free flow of mutually useful information (including data) concerning fish stock, fisheries activities and the Caribbean and North Brazil Shelf Large Marine Ecosystems.
3. To facilitate the work among Members of the Parties towards the harmonisation of their respective policies and legal frameworks for fisheries, based on the best available science and information, as well as international standards and best practices.
4. To co-operate on relevant scientific and fisheries management projects of mutual interest.
5. To establish reciprocal observer arrangements according to their respective internal rules and procedures.
6. To share reports of their sessions and meetings of their subsidiary bodies and projects that are relevant for each other's work.

## Annex B Proposed functions for the permanent Co-ordination Mechanism

The following are the core and complementary functions proposed by the CLME+ project and discussed at the Regional meeting (August 2019). Short-form title used in annexes A – C are indicated by square parenthesis [...].

### **Core functions**

Based on the work of its member organisations, the Coordination Mechanism will, on a permanent basis:

#### **1 – [Co-ordinated Ocean Governance] Coordinate programmatic approaches for ocean governance and support the monitoring of progress with critical ocean sustainability instruments, goals and commitments, by**

- Providing an institutional base for the cyclical TDA/SAP process, including the coordination of the regular assessment of and reporting on the state of the marine environment and associated economies in the WCR and the periodic revision of Strategic Action Programmes (SAPs)
- Maintaining a regional platform to facilitate regular and efficient communication required for the coordination of regional programmes and for a coordinated implementation of the SAP by countries, IGOs and other partners
- Monitoring and supporting national reporting on progress with critical ocean sustainability instruments, goals and commitments in the Wider Caribbean Region, including the SDGs<sup>13</sup> (e.g. through a regular joint reporting on the *State of the Marine Environment and associated Economies*)
- Identifying and discussing overlaps and complementarity of programmes, to minimize the gaps and overlaps in the roles and responsibilities of partner organisations and to increase effectiveness and efficiency of actions and resources used
- Developing proposals for joint programmes that contribute to critical ocean sustainability instruments, goals and commitments and that support the transition towards a sustainable [ocean-based]/blue economy to be implemented by countries, regional organisations and other partners
- All other activities needed to support this function, as determined by countries.

#### **2 – [Sustainable Financing] Strengthen the sustainable financing and resource mobilization for ocean governance, by**

- Coordinating and monitoring the development and implementation of a sustainable financing plan for the Coordination Mechanism, ensuring its reliable and sufficient funding, and for the evolving Regional Ocean Governance Framework;
- Pursuing funding for programmes, projects and activities that contribute to critical ocean sustainability instruments, goals and commitments in the WCR, particularly those cutting across sectors;
- Engaging international funding partners to guide their support to the priorities set in regional policies and programmes (e.g. in the form of a donor round table)
- Developing and implementing innovative financing mechanisms to mobilize private investment for ocean governance and for the financing of a sustainable ocean-based economy/blue economy

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<sup>13</sup> Critical ocean sustainability instruments, goals and commitments include (if mandated to do so), the CLME+ SAP and the Gulf of Mexico LME SAP, SDG 14 and others, the SAMOA Pathway, regional agreements including the Cartagena Convention and Protocols and constituting agreements of IGOs, as well as global agreements (UNCLOS, CBD, UNFCCC, MARPOL, Sendai Framework, inter alia).

- All other activities needed to support this function, as determined by countries.

**3 – [Regional institutional and policy coherence] Enhance the coherence of the regional institutional and policy framework for ocean governance, by**

- Facilitating the interactions among regional partner organisations required for the effective operation of the Regional Ocean Governance Framework and for greater coherence of regional policy advisory processes
- Identifying regional policy gaps and potential conflicts in order to develop inter-sector coherent policy recommendations for synergistic strengthening of regional ocean governance in the WCR
- Supporting the development of a common understanding and vision for a sustainable [ocean-based] [blue] economy in the Wider Caribbean Region
- Identifying policy processes that require science inputs and building connectivity with research partners
- Enhancing collaboration with and among the four regional integration organisations (CARICOM, SICA, OECS, ACS) and specialized organisations and institutions
- All other activities needed to support this function, as determined by countries

**4 – [Support for national ocean governance] Support national ocean governance, including national level coordination for oceans, by**

- Supporting the establishment and/or strengthening of national level intersectoral coordination mechanisms for oceans
- Supporting the mobilization of resources for national level cross-sectoral policy coordination and integration. All other activities needed to support this function, as determined by countries

**Complementary functions**

In addition to the core functions, and subject to available resources, the Coordination Mechanism will:

**5 – [Knowledge Management] Coordinate knowledge management and facilitate data and information sharing, by**

- Providing access to relevant data, information and knowledge for countries, member organisations and the wider stakeholder community
- Facilitating the identification and sharing of data and information among IGOs, countries, research institutions and other partners, and supporting the harmonization of monitoring approaches
- All other activities needed to support this function, as determined by countries

**6 – [Outreach and awareness raising] Coordinate outreach, awareness raising and stakeholder engagement, by**

- Developing and communicating a shared cross-sectorial perspective on regional ocean governance among all stakeholders including the public
- Reaching out to stakeholders and the wider public within and beyond the WCR with key messages and information related to the sustainable use of the ocean
- Communicating the benefits of coordinated regional ocean governance and joint programmes, and the added value of the Coordination Mechanism

- Addressing the broader stakeholder community and engage with partners (such as civil society, NGOs, private sector, development banks, donors, etc.) and promoting a global Partnership for the WCR
- All other activities needed to support this function, as determined by countries

#### **7 – [Science – Policy] Strengthen science-policy interfaces, by**

- Identifying research institutions, universities and other organisations that undertake research with relevance to ocean sustainability in the Wider Caribbean Region and engaging them in the relevant advisory processes
- Establishing partnerships with research institutions to share scientific data and information, to coordinate activities and to identify opportunities for collaborative research in the natural and social sciences and technology
- Review, report on and revise the research agenda<sup>14</sup>
- All other activities needed to support this function, as determined by countries.

#### **8 – [Emerging issues] Explore new areas for collaboration and emerging issues, by**

- Identifying new areas for regional collaboration beyond current IGO work programmes
- Identifying and addressing emerging issues that require regional collaboration and common approaches, including incorporation into regional ocean sustainability instruments (CLME+ SAP and others)
- All other activities needed to support this function, as determined by countries.

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<sup>14</sup> Developed under the CLME+ Project

## ACRONYMS

CARICOM	Caribbean Community and Common Market
CBO	Community-Based Organisation
CCAD	Central American Commission for Environment and Development
CEP	Caribbean Environment Programme (UNEP)
CERMES	Centre for Resource Management and Environmental Studies
CFMC	Caribbean Fisheries Management Council
CITES	Convention on the International Trade of Endangered Species
CLME	Caribbean Large Marine Ecosystem
CLME+	Caribbean and North Brazil Shelf Large Marine Ecosystems (CLME Project)
CRFM	Caribbean Regional Fisheries Mechanism
DSS	Decision Support system
EAF	Ecosystem Approach to Fisheries
EBM	Ecosystem-based Management
EcoQO	Ecosystem Quality Objective (CLME SAP)
FAO-WECAFC	Food and Agricultural Organisation of the United Nations - Western Central Atlantic Fisheries Commission
GDP	Gross Domestic Product
GEF	Global Environment Facility
GPA	Global Programme of Action for the Protection of the Marine Environment from Land Based Activities
ICCAT	International Commission for the Conservation of the Atlantic Tuna
ICM	Integrated Coastal Management
IGO	Inter-Governmental Organisation
ILO	International Labour Organisation
IMO	International Maritime Organisation
IOC	Intergovernmental Oceanographic Commission of UNESCO
IOCARIBE	IOC UNESCO Sub-commission for the Caribbean Sea and Adjacent Regions
IUU	Illegal, Unreported and Unregulated fishing
IWECO	Integrating Water, Land and Ecosystem Management in Caribbean Small Island Developing States (GEF)

LBS	Protocol concerning Pollution from Land-Based Sources and Activities (Cartagena Convention)
LME	Large Marine Ecosystem
LMR	Living Marine Resources (CLME Project)
MARPOL	International Convention for the Prevention of Pollution from Ships
MCS	Monitoring, Control and Surveillance
NAP	National Action Plan
NBSLME	North Brazil Shelf Large Marine Ecosystem
NGO	Non-Governmental Organisation
NPOA	National Plans of Action
OECS	Organisation of Eastern Caribbean States
OSP	Oil Spills Protocol (Cartagena Convention)
OSPESCA	Central America Fisheries and Aquaculture Organisation
REMP	Regional Environmental/Ecosystem Monitoring Programme (CLME Project)
RFMO	Regional Fisheries Management Organisation
RGF	Regional Governance Framework (CLME Project)
SAP	Strategic Action Programme (CLME Project)
SBO	Societal Benefits Objective (CLME SAP)
SD	Strategic Direction (CLME SAP)
SGP	Small Grants Programme (GEF)
SIDS	Small Island Developing States
SLMR	shared Living Marine Resources (CLME Project)
SPAW	Specially Protected Areas and Wildlife Protocol (Cartagena Convention)
TDA	Transboundary Diagnostic Analysis (CLME Project)
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation