



Caribbean Large Marine Ecosystem (CLME) Project

FINAL REPORT OF THE PROJECT CONCEPT/TDA SYNTHESIS WORKSHOP

KNUTSFORD COURT HOTEL, KINGSTON, JAMAICA
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**CARIBBEAN LARGE MARINE ECOSYSTEM (CLME) PROJECT
PROJECT CONCEPT/TDA SYNTHESIS WORKSHOP**

Knutsford Court Hotel, Kingston, Jamaica

February 28-March 3, 2007

Attendees¹

Dr. Jorge Angulo, Consultant	Dr. Patrick McConney, UWI (Cavehill)
Dr. Robin Austin, Guyana	Dr. Franklin McDonald, UNEP-CAR/RCU
Mr. James Azueta, Belize	Mr. Sheldon McDonald, ACS
Ms. Yolanda Babb-Echteld, Suriname	Ms. Iris Monnereau, Centre for Maritime Research, Netherlands
Dr. Jim Berkson, USA	Ms. Anginette Murray, Jamaica
Dr. Leo Brewster, Barbados	Dr. Scott Parsons, Consultant
Ms Felicity Burrows, Bahamas	Ms. Alba Nidia Perez, Guatemala
Ms. Paula Caballero, UNDP-GEF	Mr. Norlan Norris, Dominica
Mr. Bisessar Chakalall, FAO-WECAFC	Mr. Terrence Phillips, CARICOM-CRFM
Dr. Marcia Creary, UWI (Mona)	Ms. Sophie Punnett, St. Vincent and the Grenadines
Ms. Simone Dieffenthaler, The Cropper Foundation	Ms. Donna Roach, MARGOV, UWI (Cavehill)
Dr. Lucia Fanning, CLME Project	Ms. Natalie Rodríguez-Dowdell, Consultant
Mr. Paul Fanning, FAO-LAPE Project	Ms. Claudia Santizo, Guatemala
Mr. Carlos Garcia, Honduras	Ms. Heidi Savelli, UNEP-CAR/RCU
Mr. Rufus George, St. Lucia	Ms. Bertha Simmons, CLME Project
Dr. Diego Gil, Colombia	Mr. Vincent Sweeney, GEF-IWCAM Project
Dr. Sherry Heileman, Consultant	Mr. Derrick Theophille, Dominica
Mr. Richard Huber, OAS	Dr. Cesar Toro, IOC (UNESCO) – IOCARIBE
Mr. G. Andre Kong, Jamaica	Mr. Tim Turner, TDA/SAP Trainer
Mr. Phil Kramer, TNZ	Mr. Stephen Willoughby, Barbados
Ms. Tricia Lowell, Antigua and Barbuda	Ms. Natalie Zenny, TNC
Mr. Exil Lucienna, Haiti	
Ms. Nina Lysenko, Dominican Republic	
Dr. Robin Mahon, UWI and CLME Project	
Mr. Sergio Martinez, SICA OSPESCA	

¹ See Appendix 1 for detailed contact listing.

1. Purpose

The main purpose of the CLME Project Concept/TDA Synthesis Technical Workshop was to develop the technical components of the draft Full-Sized Project (FSP) document for review and endorsement by the CLME Steering Committee and other project partners and the subsequent submission to the GEF.

Objectives: Participants worked over the four-day period to accomplish the following objectives:

- Identification and agreement on the filling of gaps and the interventions necessary for inclusion in the draft FSP as drawn from the preliminary Transboundary Diagnostic Assessment (TDA) reports for the Caribbean Large Marine Ecosystem;
- Refinement of demonstration projects to be included in the draft FSP proposal;
- Refinement of activities to be undertaken under the Regional Governance/ LMEWide Monitoring and Reporting components of the FSP proposal; and,
- Agreement on the components of the FSP proposal and identification of linkages and cross-references between the proposed project components.
- Identification of key potential partners and a strategy for securing partnership involvement and co-financing commitments for the implementation of the FSP.

The annotated agenda and time-table for the meeting is presented in Appendix 2 while a listing of all of the documents distributed for discussion at the workshop is presented in Appendix 3.

2. The CLME Project Concept

The current thinking behind the development of the FSP proposal was presented by the GEF Specialist Consultant. In addition to highlighting the development of TDA and agreement of a Strategic Action Programme (SAP) as key features of the proposal, the need to establish a culture of networking and cooperation, establish a monitoring and evaluation framework and creating successes that serve as examples through the demonstration projects were described.

Each of the project components as outlined in the draft document was described and participants were reminded of the following key points:

- Role of the Steering Committee is to meet once or twice a year, evaluate reports and budgets and make decisions in regards to Project implementation
- Final TDA will inform elaboration of demonstration projects and include detailed causal chain analyses, public involvement and communications strategy, institutional mapping and legislative review as well as a socio-economic evaluation
- SAP is an agreed document between member countries and given the large number of countries involved, it may be appropriate to elaborate subregional SAPs and immerse those in a full SAP
- Creation of a multi-scale governance structure based on existing institutions to be carried out in parallel with SAP development
- Final design of the Project to be undertaken after completion of the TDA

- Demonstration projects: (1) flyingfish; (2) shrimp and groundfish; (3) lobster; and, (4) reef fisheries and biodiversity
 - Interim results from the demonstration projects will inform the SAP development
- Participants raised a number of questions surrounding the draft project concept including the logistics of implementing the project, the methodology to be used differing from the established 5-module LME approach, engagement of sectors other than fisheries, expected co-financing commitments from countries and partners and the level of work expected from the CLME national representatives. Following a discussion, it was determined that the draft Project Concept would be revised and presented to workshop participants for their review and approval.

3. Discussion on Sub-regional Preliminary TDA Reports

Lead consultants for the three preliminary thematic reports for the Central/South American, Insular Caribbean and Guianas-Brazil sub-regions led break-out sessions aimed at improving the accuracy of the draft reports. Lead consultants then reported to plenary on the findings. A summary of the key points identified for each of the sub-regions are presented below.

Central-South America Sub-Region

Sergio Martinez presented the conclusions reached by the breakout group in relation to the provisional TDA for the Central-South America Sub-Region:

- A more detailed guide to solicit information from the member countries must be designed
- Information about the small scale fishing is under estimated
- Need to go deeper in the evaluation of the institutions
- Evaluate the convenience between industrial vs. small scale fisheries; find better options
- Evaluate the pro and cons of open access in artisanal fishery
- Fisheries issues should be linked with environmental issues
- Explore the joint actions between fisheries and environmental ministries
- There is a great weakness with the information in the sub-region; statistics are not complete and they must be improved
- Countries can require a standardized data base to make comparisons; there are many gaps that must be filled.

Guianas-Brazil Sub-Region

Terrence Phillips presented the gaps of information identified by the breakout session group and other relevant points in relation to the provisional TDA for the Guianas-Brazil Sub-Region as follows:

- Necessary to discuss sea turtles and mammals in the report
- Pay attention to invasive species
- Determine the extent of cruise ship activities in the area
- Include demographic data
- More information of other agencies besides fisheries (e.g., environment)
- Countries will revisit the template and update the information
- By-catch issue is changing, not as excessive as in the past

- Importance of mangrove ecosystems in fisheries and competition for land space (e.g., aquaculture). Include any regulations covering mangrove removal.
- The extent of IUU fishing is unknown, but information is critical for fisheries.

Insular Caribbean Sub-Region

Sherry Heileman presented the conclusions of the Thematic Report on the Insular Caribbean:

- In general, the report captures the main issues about the main transboundary concerns related to marine living resources in the insular Caribbean
- Overexploitation of Fisheries – the level of fisheries exploitation varies among countries, therefore not easy to identify overexploitation as a major issue at subregional or regional level. Level of exploitation varies also with species within countries (e.g., Nassau grouper and snapper)
- Public awareness regarding the importance of marine ecosystems should be further discussed in the report
- It was emphasized the IUU is a major cause of overexploitation
- As regards habitat degradation, it is a major concern in the subregion, although the level of concern can vary among countries depending on the importance of coastal habitats
- Marine Pollution, it was emphasized that increasing hydrocarbon exploration is a rising issue. Should be included in the report and present cases of where it is occurring in the Caribbean
- Diseases also have transboundary impacts. Should be emphasized that more research is needed
- Emerging issues include aquaculture – shrimp farming, invasive species, and hydrocarbon exploration. The report will be revised to include this
- Rather than looking into interventions, this could be based on biogeographic areas / use of MPAs in reef fish pilot
- Need for GEF projects to be linked in the region (CLME and IWCAM)
- Measures in place to ensure that those linkages are made
- Overlap of management of LMR goals exists throughout the Caribbean
- General points: not possible to fully discuss the template – need input from other experts and agencies. In many Caribbean countries there is no mechanism for communication and collaboration among sectors on a national and regional scale regarding transboundary issues and related governance frameworks
- Not possible to rank the concerns in order of priority – priority varies among countries
- Not enough time to read report, therefore more time requested to provide comments
- Concerns regarding response to CLME survey – identify key contact person to obtain feedback regarding the CLME template other than country focal points
- Suggestion that participants at this meeting complete the template as far as possible during this week. Distribute electronically

After discussion of the reports and receiving input from participants, it was agreed that in general the reports capture the main transboundary issues concerning marine living resources in the Wider Caribbean notwithstanding the perception that more input from focal points (representatives of countries involved in the Project) is necessary to add some information. In addition, it was highlighted in some cases that not many participants within the breakout groups had read the reports previously and asked for added time to analyze them.

In regards to the template sent to the participating countries to provide information, it was seen as insufficient. Therefore it was suggested to design a more elaborate guide for countries to provide the information and send this guide to other experts and agencies. The participants suggested a range of topics on which information should also be gathered, such as: demographic data; sea turtles and mammals; importance of mangrove ecosystems for fisheries and competition for land space with other uses (i.e. aquaculture), including existing laws and regulations within the countries for mangrove protection; public awareness regarding the importance of marine ecosystems; hydrocarbon exploration in the region as a rising issue providing specific examples; invasive species; and, effectiveness of MPAs for fisheries management.

Elements common to the three reports relate to the fact that many of the problems are linked to the capacity of the institutions within the countries for managing marine living resources. Thus, the need to carry out an institutional evaluation and add information within the reports on existing laws, regulations and institutions was highlighted. It was recognized that there are many actors at the national, regional and subregional levels that are trying to deal with the problems. Lack of coordination among them however, remains a pervasive problem. In addition, existing contradictions among sectors such as environment and fisheries, and the fact that the region has other users (i.e. transportation and oil development), which could affect the Project, requires them to be involved at some point. Thus, the importance of establishing National Interministerial Committees, where most actors dealing with decisions on the coastal zone are present, was stressed.

Lead consultants were asked to revise the draft sub-regional reports based on the inputs received at the workshop.

4. Discussion on Major Areas of Concern within the LME

This discussion began with three breakout groups that dealt with the three major areas of concern (1) overfishing; (2) habitat degradation; and, (3) pollution present in the region and how these were treated in the reports. Thus, the breakout groups and plenary discussions tried to look at the underlying causes; define if anything significant was missing from the reports and if the issues were similar for the three subregions. A summary of the key points identified for each of the sub-regions are presented below.

Overfishing

Scott Parsons presented the main findings surrounding overfishing as follows:

- In the Caribbean overfishing is a common and wide spread problem
- Many coastal species are depleted
- Fishers are moving further out
- Use of species formerly perceived as non commercial is now common
- Variable situation (e.g., conch may be overexploited in Jamaica but abundant in Cuba)
- Line between artisanal/industrial fisheries becoming blurred
- Ecological impacts of overfishing include: reduced stock abundance; habitat destruction; shifts in community structures; changes in biology; reproductive cycles affected; species threatened or extinct; changes in trophic structure; threats to biodiversity; depletion in shallow waters; reduction of food sources for other animals
- Social impacts of overfishing include: displacement of fishermen; loss of income; loss of traditional ways of life; food security and well being problems; young people leaving the fishery (social status, lack of fish); adverse impacts on coastal rural communities (migration); shifts in community structures
- Legal impacts of overfishing include: disputes between States; boundary delimitation issues; implications for governance
- Immediate causes are well known, agreed to directly discuss underlying causes
- Underlying causes of overfishing include: food security; lack of employment, alternatives and skills; economic models which have been imposed; fishermen resistant to change; readjustment of fishermen to new circumstances; market forces; consumers not educated or aware of the problems; unsuccessful public programmes; subsidies and other perverse incentives; insufficient enforcement; lack of ownership
- Need to look into alternative management regimes (co-management)
- Need for greater stakeholder involvement (trust, participatory methods, ensure representation)

Pollution

Vincent Sweeney presented the main findings pertaining to pollution in the three subregions. There was a consensus that the three reports captured the essence in relation to the issue. Points raised included:

- Data; correlation of data collected and long term impacts
- One pollution incident or series of incidents
- Need to standardize indicators
- Capacity building required
- Need to put protocols into place
- Another challenge notes related to mainland countries include agricultural practices and sewage
- Discussion of land-based sources took the group into a discussion of the LBS Protocol of the Cartagena Convention. A question that arose was why has the Protocol not been signed by all? Issues raised include: capacity to implement measures; technology required; legal obligations (if the Protocol is signed by a country it becomes legally binding, even if the States are ready, the industry may not have the means or desire to abide)

- Research is needed to understand if pollution from one source in one country is transboundary (impact on other countries)
- Impacts of land-based sources of pollution, in particular sewage, affect habitats which in turn affects populations
- Limited discussion on air borne pollution. One issue that was raised is whether pollution coming from the Sahara Desert
- A question that needs to be answered: are airborne pesticides having an impact on the marine environment?
- It might be interesting to undertake a pilot project on pollution (for example in Guyana) within the CLME Project
- There is little information on the impact of mining and farming using agrochemicals on marine organisms

Habitat Degradation

Claudia Santizo presented the main findings pertaining to habitat degradation in the three subregions.

- A more detailed analysis in the reports on habitat degradation is necessary, focusing on mangroves, coral reefs, seagrass and beaches
- Need to include natural disasters as an impact
- Linkages with climate change needed

Overall, the main conclusions reached for the three major areas of concern were that the reports captured the issues, however some recommendations for improvement were provided. It was suggested to look into other experiences (i.e. South-East Pacific area, Chile, Colombia, Ecuador and Peru). It was suggested to examine other series of activities in the region which have impacts for the environment. In addition, the need to take an integrated approach was highlighted. With regards to habitat degradation it was noted that natural disasters and linkages to climate change must be included and a more detailed analysis in the reports on habitat degradation would be useful, including the impacts on beaches. Regarding the issue of overfishing, it was noted that no mention of trawling was made in the reports and it was suggested to contact the International Seabed Authority to get information on the effects of trawling in the region. A point raised by the overfishing group regards lack of “ownership”² over the resources; how free access will remain a hindrance for effective management; and, the need to allocate rights over fishing resources to the different groups involved (even though it is debatable and difficult to set priorities on allocation). Thus, it would be important to look at examples used elsewhere (e.g., property rights in Chile, rights and tradable permits, mangrove stewardship to coastal communities) and analyze them as management options for the region. An in-depth discussion went into “lack of political will” to address the issues. On that note, it was concluded that “lack of political will” involves several factors including: (1) information and knowledge not being conveyed to politicians in an adequate manner for them to take the necessary decisions to address the issues; (2)

² As discussed by the group, the term “ownership” over fishing resources is related more to stewardship and rights over the resources by the communities and other groups; not necessarily private property rights.

lack of environmental valuation which results in undervaluing the importance of the ecosystems and services provided by them; (3) pressure from resource users and resistance of these groups to carry the burden of conservation; and, (4) a society which is not pressing politicians enough to take a stand. Therefore, knowledge which is provided to key people and public awareness are necessary elements to address the issues in the region.

An additional point emphasized co-management arrangements as necessary to bring all stakeholders on board. Thus participatory methods; trust between government and resource users; and, adequate representation of resource users groups (e.g., fishers' organizations) must be addressed. Regarding data and information, the need to standardize indicators and protocols were stressed. In addition, more research is needed (specifically for the issue of pollution) to understand if pollution from one source in one country is transboundary and the impact it has on other countries. It was suggested that it might be interesting to undertake a pilot project on pollution (e.g., in Guyana) within the Project.

5. Regional Governance Thematic Reports

The session on Regional Governance presented and discussed the following reports:

- Governance of Transboundary Fisheries Resources in the Wider Caribbean³; and
- Living Marine Resource Governance for the Wider Caribbean with particular emphasis on Non-Extractable Resources/Biodiversity and LME Level Monitoring and Reporting⁴.

It was highlighted that although the establishment of a transboundary governance structure for fisheries management (e.g., Regional Fishery Management Organizations (RFMOs) and Coordinated Networks) in the region might not address the underlying causes of over-fishing, it would have some merit as efforts at conservation being made by one country could not be abused by another country in the region. It was noted that the underlying causes of over-fishing require changes made by countries involved on a long term basis and the establishment of a RFMO could serve as incentive for national governments to address those underlying causes.

When discussing existing frameworks (e.g. UN Fish Stocks Agreement) and why they have not fully worked, a conclusion reached was that a balance between top-down and bottom-up approaches for setting up the frameworks or institutional arrangements is necessary. In regards to non-extractable resources/biodiversity governance, it was highlighted that there are already some efforts in place in the region (e.g. SPAW Protocol, MBRS) and that it is necessary to:

- (1) have clear linkages among them;
- (2) build on what is already there; and,
- (3) have a reliable monitoring and evaluation system.

³ Prepared by Scott Parsons

⁴ Prepared by Lucia Fanning, Robin Mahon, Patrick McConney and Natalie Rodríguez-Dowdell

Regarding the governance framework proposed for the CLME Project, which suggests complete functional policy cycles, it was noted that the Full Size Project will involve a series of activities to assess and enhance regional policy cycles. In addition, the demonstration projects (a component of the full size Project) will look into the different propositions of the governance framework to serve as examples. It was also noted that the governance framework proposed is flexible and that the linkages to be established to complete or enhance a policy cycle will vary according to the situation.

6. Identification of TDA/SAP Interventions Plenary Discussion and Recommendations

The TDA/SAP interventions session highlighted the need to elaborate a vision for the Project. It was suggested that the vision needs to be simple in order for people to relate to it. In addition, the SAP's objective needs to be linked to clear goals in terms of the issues and resources. As the SAP is viewed as the political document to be endorsed by governments, it is necessary to prioritize interventions within the SAP and relate them to ecological quality objectives for each issue (i.e. overfishing, habitat degradation and pollution). Ideas regarding a possible vision for the Project were discussed, however the session did not conclude with a specific proposal. The proposed interventions suggested by the consultants in their reports were noted, although once more, no specific conclusions regarding these interventions were reached.

7. Review of Project Concept

The revised Project Concept document was presented by Paula Caballero with input from the participants. A very thorough analysis was made in plenary session of the revised paper. After the analysis and discussion, several changes were proposed and adopted by consensus of all participants. An approved Project Concept document is attached in Appendix 3.

8. Demonstration Projects

An in-depth discussion was made both in breakout groups and in plenary session of the demonstration projects:

- (1) Flyingfish Pilot Project;
- (2) Shrimp and Groundfish Pilot Project;
- (3) Spiny Lobster Pilot Project; and,
- (4) Reef Fisheries and Biodiversity Pilot Project.

It was noted that the proposed projects had a general weakness in terms of the activities presented which were not clear; that it was necessary to think of specific sites and where interventions would be best targeted; try to better define what the demonstration projects were actually demonstrating; and to present innovative initiatives. Also a general comment for all projects was the need to set aside some money for research within the project, as this would facilitate getting other stakeholders (e.g., Universities, researchers, local representatives) involved and in turn increase in kind and cash contributions for their development.

In addition, it was noted that the pilot projects should cover the following areas:

- (1) concentrate on interventions at the national and local levels (e.g., enhance policy cycles and linkages at those levels), because the Full Size Project has an additional component that addresses governance at the regional and subregional levels;
- (2) emphasize ecosystem-based management; and
- (3) pay attention to important stakeholders that might not have been considered previously (e.g., tourism sector in the Reef Fisheries and Biodiversity Pilot Project, private sector).

In regards to the Spiny Lobster Pilot Project it was suggested that Colombia should be added to this pilot as a potential participant given its interest in the lobster fishery. It was also noted that the activities proposed were clear and that it would be good for the other demonstration projects to look into it.

Regarding the Reef Fisheries and Biodiversity Pilot Project, it was suggested not to go into many demonstration sites (given the time frame and budget for the projects) and evaluate the establishment of a network of marine reserves for management.

The session concluded with identification of steps to be followed for the pilot projects such as:

- the PCU will incorporate comments on improving the pilots within 10 days; and,
- the consultant, Tim Turner, will take these comments and produce a first draft of the projects to be sent to the countries for their comments by the end of March.

9. Co-financing Commitments

A presentation was made to the participants on the theme of co-financing. It highlighted that GEF has strict guidelines, the need for a baseline (as new projects without institutional support are not perceived as sustainable by GEF) and required co-financing for the Project from participating countries. It was noted that co-financing can include cash and inkind contributions. It was stated that inkind contributions include everything which is on going in the countries and in turn may enhance the Project and its activities (e.g., management of MPA if the project is geared to strengthen a MPA; staff member from government that will follow up on the Project and his/her actual remuneration can be counted as in kind contributions). Thus, each country needs to identify what is already going on in their countries which could contribute to the Project, cost it and present it as inkind contributions. It was highlighted that co-financing requires letters of support by participating countries. Representatives of the countries were asked to provide the required information of co-financing by mid or end of April, in order to have a finalized Project document (including the information on co-financing) for the Steering Committee Meeting to be held on the first week of June. On that note, representatives of the countries were asked to note this meeting within their Agendas to participate.

The representative from the Association of Caribbean States made a brief presentation and highlighted that the CLME Project is very important and it would be useful for it to

be presented at the ACS forum and also to consider a Memorandum of Understanding between the Project and the ACS.

10. Regional Governance and LME-wide Monitoring and Reporting

A presentation covering the main points identified in the document entitled “Component 3 – Implementing the governance framework” was made by Robin Mahon. It was noted that it would be important to have a strategy for stakeholder engagement throughout the life cycle of the Project. The need to engage different stakeholders, have active participation from them and clarify to them the sustainability of the outcomes after Project completion was emphasized.

11. Preliminary Stakeholder Assessment

The participants identified a gap when discussing the Preliminary Stakeholder Assessment,⁵ there were comments related to the absence of several stakeholders who were not identified as such and it was suggested to consider their inclusion (including the executing agencies of the Project, fishermen and fishers’ organizations). In accounting for this gap, it was highlighted that the assessment was preliminary and mainly considered regional, sub-regional and international stakeholders (i.e. institutions to participate in the Project); the list was not exhaustive; and, that a more detailed Stakeholder Assessment was presently being developed (including the linkages among stakeholders and institutional mapping in each country and at the regional and sub-regional levels). In addition, it was noted that there is the need to determine those who really must be considered as stakeholders (e.g., a main agency or a subsidiary body of the agency working regionally), otherwise the Project would run the risk of ending with a very large list of stakeholders that would be very difficult to accommodate.

Upon a definition of stakeholder, it was noted that the list presented included mainly those who would affect the Project (e.g., international Non Governmental Organizations and donors) and not those who would be affected by the Project (e.g., fishermen). Thus, the need to develop a thorough analysis of key stakeholders who would both affect and be affected by the Project was emphasized. It was further emphasized that the Project will be affected by the latter group’s views and how they perceive the project. Thus, there is a need to find a mechanism to ensure that those affected by the Project are given the opportunity to discuss what is being proposed and have direct input into the Project. The transboundary nature of the Project was emphasized and the need to include other sectors such as tourism and oil development as stakeholders was noted. The research and academic community were also considered important stakeholders, given that the Project is based on effective networking. It was further noted that there is a tendency to underestimate the influence people have and the need to look at how opinion is crafted and changes are made in the region. An interesting point was raised regarding the plans to go forward with stakeholders. Thus, it was asked what plans and mechanisms were being considered to engage stakeholders, primarily those to be

⁵ Prepared by Jorge Angulo

affected by the Project. Although it was noted that one possible approach would be to invite fishers' organizations from each country it was also noted that the existence of a fishers' organization does not necessarily mean it works or can provide full and adequate representation from fishermen. Finally, the importance of engaging intersectoral committees at the national level which have broader representation (i.e. not only governmental) was highlighted.

12. Populating the Draft Project Component cross-linkages

The session entitled – Populating the Draft Project Component Partnership Diagrams – produced a list of key partners for each pilot project and the governance component (Appendix 4). Thus, key partners were identified for each stage of the policy cycle (i.e. data and information; analysis and advice; decision making; implementation; and, review and evaluation) and level (i.e. local; national; subregional/regional; and, international). It was noted that each group addressed the exercise in a different manner and that it might be useful to clarify some components of the policy cycle to identify the key partners (e.g., review and evaluation of management decisions and/or review and evaluation of data including input from universities). Finally, it was suggested for the pilot projects to look into the Marine Stewardship Council as a potential partner, not as driver of the projects but to add value to the pilot projects for addressing and transforming markets (i.e. demand and supply which affect fishing practices).

13. Comments and Closing Remarks

To finalize the workshop, a brief summary of agreements to complete the Project document was presented. The summary includes responsibilities of consultants, the PCU and country representatives as well as deadlines for each. The objective is to finalize the Full Size Project document, present it in the Steering Committee Meeting for its endorsement and submit to GEF according to its deadlines.

The importance of member countries to continue collaborating with the CLME Project was stressed. A concern emerged relating to the fact that the national representative to be in charge on following up the CLME Project and implementing the necessary actions related to it, is generally a person who is already overworked. Thus, it was suggested to look for incentives for focal points and their continued participation. On that note, it was clarified that participation of national representatives can be counted as part of the in kind contributions of the countries to the Project.

It was agreed that the objectives of the workshop were concluded positively through participation by all present.

Appendix 1: List of Project Concept/TDA Synthesis Workshop Attendees

#	Countries	Names	Email
1	Antigua and Barbuda	Tricia Lovell	fisheries@antigua.gov.ag
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23		Scott Parsons (Canada)	scottparsons@rogers.com
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25		Natalie Rodriguez (Mexico)	trturner@btinternet.com
26		Tim Turner	
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29		Bertha Simmons	brthsimmons@yahoo.com
30	UWI	Patrick McConney	pmcconney@caribsurf.com
31		Marcia Creary	marcia.creary@uwimona.edu.jm

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Appendix 2: Agenda for the CLME Project Concept/TDA Synthesis Workshop

GEF/UNDP/IOC (UNESCO) - IOCARIBE
Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions
Project Concept/TDA Synthesis Technical Workshop
28 February – March 3, 2007
Knutsford Court Hotel, New Kingston
Jamaica

Wednesday – 28 February 2007

8:00 – 9:00 Registration

9:00 – 9:30 **Welcome**

(Plenary)

9:30 – 9:50 **Overview of Workshop Objectives**

(Plenary)

9:50 – 10:30 **The CLME Project Concept**

(Plenary)

10:30 -11:00 **Coffee Break**

11:00 – 12:30 **Sub-regional Preliminary TDA Reports Break-Out Sessions (3)**

12:30 – 1:30 **LUNCH**

1:30 – 3:30 **Report of Sub-regional Groupings (3) to Plenary Discussion and Recommendations**

3:30 – 4:00 **Coffee Break and Adjourn**

Thursday – 1 March 2007

8:30 – 10:30 **CLME-wide Issues Break-out Groups (3)**

10:30 -11:00 **Coffee Break**

11:00 – 12:30 **Report of Issues Break-Out Groups (3) to Plenary Discussion and Recommendations**

12:30 – 1:30 **LUNCH**

1:30- 3:15 **Identification of TDA/SAP Interventions Plenary Discussion and Recommendations**

3:15 – 3:45 **Coffee Break**

3:45 – 4:45 **Regional Governance Thematic Reports Plenary Discussion and Recommendations**

4:45 – 5:15 **Review of Project Concept**

Friday – 2 March 2007

8:30 – 10:30 **Demonstration Projects Break-Out Sessions (4)**

10:30 -11:00 **Coffee Break**

11:00 – 12:30 **Report of Demonstration Projects Groups to Plenary (4) Discussion and Recommendations**

12:30 – 1:30 **LUNCH**

1:30 – 3:15 **Regional Governance and LME-wide Monitoring and Reporting Discussion and Recommendations**

3:13 – 3:45 **Coffee Break**

3:45 – 4:15 **Preliminary Stakeholder Assessment Plenary Discussion and Recommendations**

4:15 - 5:15 **Co-financing Commitments**

Saturday – 3 March 2007

9:00 – 10:30 **Overview of Draft FSP Proposal/Component cross-linkages Discussion and Recommendations**

10:30 -11:00 **Coffee Break**

11:00 – 12:00 **Populating the Draft Project Components Partnership Diagrams**

12:00 - 12:30 **Next Steps and Adjournment**

12:30 – 1:30 **Lunch**

A Registration Desk will be set up for participants between 8:00 – 9:00 on Wednesday February 28, 2007.

Annotation:

1. Welcome and Workshop Objectives

Participants will be welcomed, a Chair selected and the agenda approved.

The main purpose of the CLME Project Concept/TDA Synthesis Technical Workshop is to develop the technical components of the draft Full-Sized Project (FSP) document for review by the CLME Steering Committee and other project partners and the subsequent submission to the GEF.

Objectives: Participants will work over the four-day period to accomplish the following objectives:

- Identification and agreement on the filling of gaps and the interventions necessary for inclusion in the draft FSP as drawn from the preliminary Transboundary Diagnostic Assessment (TDA) reports for the Caribbean Large Marine Ecosystem;
- Refinement of demonstration projects to be included in the draft FSP proposal;
- Refinement of activities to be undertaken under the Regional Governance/ LMEWide Monitoring and Reporting components of the FSP proposal; and,
- Agreement on the components of the FSP proposal and identification of linkages and cross-references between the proposed project components.
- Identification of key potential partners and a strategy for securing partnership involvement and co-financing commitments for the implementation of the FSP.

2. The CLME Project Concept

The current thinking behind the development of the FSP proposal will be presented. This will include an overview of the proposed components of the FSP, proposed budget and timelines.

3. Sub-regional Preliminary TDA Reports Break-Out Sessions

To begin the process of identifying appropriate interventions based on the overall findings of the preliminary TDA, participants will be divided into sub-regional groupings, where the findings as described in the preliminary sub-regional TDA reports will be discussed and reviewed. The groupings will consist of members from the Guianas-

Brazil sub-region, the Insular Caribbean sub-region and the Central/South America subregion.

Sub-regional participants will be contributing their knowledge and technical expertise to review the preliminary reports.

Expectation: To reach agreement on the accuracy and completeness of the draft reports.

4. Report of Sub-regional Groupings to Plenary

Each sub-regional grouping will present the outcome of the review of the preliminary TDA document for discussion by all participants.

Expectation: To expand the review from a pan-Caribbean perspective of the accuracy and completeness of the draft reports.

5. CLME-wide Issues Break-out Groups

In this break-out session, workshop participants from throughout the Caribbean will be divided into groups based on the key issues, causal chain analysis and recommendations identified in the preliminary TDA reports. Pan-Caribbean participants in each grouping will be contributing their knowledge and technical expertise to specifically discuss each issue under review.

Expectation: To agree on the identified issues, causes and recommendations provided in the reports.

6. Report of Issues Break-Out Groups to Plenary

Each pan-Caribbean grouping will present the outcome of the review of the priority issues, causes and recommendations to all participants.

Expectation: To agree on the contents of a draft integrated preliminary TDA report for the Caribbean LME based on the information presented in the sub-regional draft reports and the subsequent review and discussion.

7. Identification of TDA-Based Interventions (Plenary)

Following the discussion of the previous sessions leading to the development of the integrated draft preliminary TDA report for the CLME, participants will specifically discuss gaps as revealed in the preliminary TDA (including technical data and information and institutional gaps) and set priorities for addressing these.

Expectation: To reach agreement on and to recommend interventions for inclusion in the FSP proposal.

8. Regional Governance Thematic Reports (Plenary)

Participants will review and discuss the findings presented in two workshop reports on regional governance, namely the thematic reports on Fisheries Governance and Non-Extractable Resource Governance.

Expectation: To reach agreement on the regional governance approach for the CLME project.

9. Review of Project Concept

A summary review of the project concept based on discussions up to this period will be

presented.

10. Demonstration Projects Break-Out Sessions

In this break-out session, workshop participants from throughout the Caribbean will be divided into groups based on their interest in each of the 4 proposed transboundary demonstration projects: Flyingfish; Shrimp and Groundfish; Lobster; and Reef Ecosystem/ Biodiversity. The discussion will centre around key aspects of the pilot including its objectives, key activities, outcomes, partners, funding and co-financing. Expectation: To develop draft demonstration projects at a level of detail suitable for inclusion in the draft FSP

11. Report of Demonstration Projects Groups to Plenary

Each demonstration project group will provide the details of the project to Plenary for discussion.

Expectation: To reach agreement on the approach and activities for the demonstration projects for inclusion in the draft FSP.

12. Regional Governance and LME-wide Monitoring and Reporting

This component of the draft FSP will be presented and discussed in Plenary, including recommendations for enhancing the effectiveness of regional governance of transboundary living marine resources within the Caribbean context.

Expectation: To obtain agreement on the details of this component of the draft FSP.

13. Preliminary Stakeholder Assessment

Having discussed preliminary integrated TDA/SAP, the demonstration projects and the regional governance and monitoring and reporting components of the draft FSP, participants will be presented with a draft preliminary assessment of the key stakeholders within the Wider Caribbean and the potential for involvement with the CLME Project, based on existing mandates, roles, responsibilities and activities. Discussion will then centre around enhancing the level of information available on key stakeholders at all levels (local, national, sub-regional and LME-wide).

Expectation: To contribute to the filling of gaps in the institutional map of actors within the Wider Caribbean.

14. Securing Co-Financing Commitments

This session will focus on identifying means to secure partnership commitment and cofinancing

and identification of a plan of action to obtain those.

Expectation: To identify a plan of action to obtain the needed financial commitment (in-kind

and/or cash) from CLME member countries and other partners, as well as a range of stakeholders and potential donors for inclusion in the draft FSP.

15. Overview of Draft FSP Proposal/Component cross-linkages

Participants will review the draft FSP proposal based on the discussions and decisions of the previous 3 days of work. Discussion will then centre around the identification of

cross linkages among the various project components

Expectation: Agreement on draft FSP component details and cross linkages among the components.

16. Populating the Draft Project Components Partnership Diagrams

This session will use the knowledge obtained during the course of the workshop on the components of the FSP and key stakeholders to discuss a strategy for identifying and engaging specific potential partners in the various components of the CLME FSP. Effort will be directed towards populating each of the components partnership diagrams with key partners at the local, national, sub-regional and LME-wide levels and developing a process for soliciting these partners.

Expectation: To identify project component implementation partners and a course of action to obtain their commitment.

17. Next Steps and Adjournment

Reiteration of next steps as discussed during the workshop.

Closing message, expression of thanks, etc.

Appendix 3. List of Workshop Documents

CLME-TT/10 Prov
Barbados, February 2007
Original: English



Sustainable Management of the Shared Living Marine Resources of the
Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions
Project Concept/TDA Synthesis Technical Workshop
(February 28-March 3 2007 – Kingston, Jamaica)

LIST OF MEETING DOCUMENTS

WORKING DOCUMENTS

Document code	Title	Language
CLME-TT /1 Prov.	Provisional Annotated Agenda & Timetable	E
CLME-TT /2 Prov.	Provisional Full-Sized Project Concept for the Caribbean LME and Adjacent Regions	E, S
CLME-TT /3 Prov.	Provisional Preliminary TDA for the Insular Caribbean Sub-Region	E
CLME-TT /4 Prov.	Provisional Preliminary TDA for the Guianas-Brazil Sub-Region	E
CLME-TT /5 Prov.	Provisional Preliminary TDA for the Central/South America Sub-Region	S
CLME-TT /6 Prov.	Provisional Report on Transboundary Non-Extractable LMRs/Biodiversity Governance and Monitoring & Reporting for the Caribbean LME and Adjacent Regions	E
CLME-TT /7 Prov.	Provisional Report on Fisheries Governance for the Caribbean LME and Adjacent Regions	E
CLME-TT /8 Prov.	Provisional Report on Regional and Subregional Stakeholder Assessment	E
CLME-TT /9 Prov.	Draft Summary Report of the Project Concept/TDA Synthesis Workshop <i>(to be prepared during the Session)</i>	E
CLME-TT /10 Prov.	Provisional List of Documents <i>(this document)</i>	E
CLME-TT/11 Prov.	Provisional List of Participants <i>(to be prepared during the Session)</i>	E

INFORMATION DOCUMENTS

Document code	Title	Language
CLME-TT /Inf 1.	Venue Announcement - Information and Guidelines to participants	E

Appendix 4: Approved Project Concept Report

1. Purpose of Outline Paper

The purpose of this outline document is to develop a shared vision of the Full Sized Project which is a key objective of the PDF-B project. Reviewing the Concept Paper the key features of the Full Sized Project are:

- Through the mechanism of the Transboundary Diagnostic Analysis, to characterize and analyze the root and underlying causes of transboundary issues relating to the management of marine resources in the CLME and develop and agree on a Strategic Action Programme to address those causes (component 2, TDA).
- Compilation and sharing of existing sources of information required for good governance of marine resources, and identification and filling of knowledge gaps (component 2, TDA) through appropriate technical programmes.
- Establishing a culture of networking and cooperation among the countries for management of marine resources, focusing on strengthening existing institutions and structures (component 3, SAP development).
- Establishment of a monitoring and evaluation framework for the ecosystem status of the CLME in line with the ecosystem management approach and SAP implementation (component 3, SAP development)
- Create successes that serve as examples of how countries can collaborate to manage transboundary marine resources through “Strengthening by doing” (component 4, Demonstration projects).

A flexible framework is needed to accommodate the diverse requirements of living marine resources (LMR) governance in the Wider Caribbean and to facilitate the inclusion of all stakeholders. In designing the project concept, a variety of complementary approaches to development of a management framework for LMR were adopted. The framework accommodates these approaches which have their particular strengths and weaknesses.

The Large Marine Ecosystem approach uses five key modules (productivity, fish and fisheries, pollution and ecosystem health, socio-economic and governance) as the basis of an ecosystem based management approach and has a very strong and robust scientific basis. It is directly supportive of the TDA, providing productivity, fish and fisheries, pollution and ecosystem health information for the development and application of monitoring and assessment of indicators.

The TDA/SAP approach is aimed at reaching an agreement through a regional Strategic Action Programme on measures needed to remove barriers to effective governance of transboundary shared resources and as a framework for coordinated interventions. The TDA/SAP approach assumes that there are centralized policy making structures already in place and that the SAP can be streamlined into the national and sectoral planning frameworks.

The multi-scaled LME governance approach proposed by the CLME Technical Task Team views governance at the local and national levels and their linkages into regional and international management and policy processes as especially important in the CLME. The LME project emphasizes governance but recognizes that science is an important and integral component of the management and policy process. The project takes the approach that generation of scientific information should be demand-driven and determined by management and assessment needs for informed decision and policy making. There has already been a considerable investment in scientific monitoring, assessment, and research in the Wider Caribbean and it is important for the project to make best use of available information.

The TDA – SAP process supporting the pilot projects provides the means of identifying, to the extent financial resources allows, information on which to base management decisions. A portion of the funding provided by the GEF will be earmarked for urgent and immediate monitoring and assessment needs as identified by the relevant stakeholders, including policy makers and scientists.

The project framework will actively seek partners to provide the required technical and scientific inputs to augment the support provided by the GEF for introducing an ecosystem-based approach for the CLME project. A number of potential partners have already been approached and have indicated an interest in contributing their expertise and funding. Key partners who have already agreed to participate in the project under this kind of arrangement include Census for Marine Life, Nature Conservancy, University of Miami, University of West Indies, Organization for American States (OAS) and FAO.

The purpose of this outline paper is to present a balanced project vision for the planning and implementation of the CLME project.

2. Overall Context

In agreeing on a project vision, there are a number of features of the Caribbean Large Marine Ecosystem and the management of its living resources which need to be recognized, including:

- The large number of culturally, politically and socio-economically diverse countries (26) and dependent territories involved and their wide range of living resource management capacities.
- The mosaic of Economic Exclusive Zone, many still to be formally delimited, which covers the entire region with the exception of two small areas of high seas, and consequently a high incident of transboundary resource issues.
- The wide range of types of fishery in the CLME with different management demands and models.
- The absence of any major fishery stocks from which revenues can be derived to support and all-inclusive RFMO.
- A high dependence, particularly for SIDS, on marine resources and the resulting overexploitation of coastal and off-shore living resources.
- A fragmentation and wide diversity of national, sub-regional and regional marine resource governance institutions.

In designing this project, these specific CLME features were taken into account, and it is for this reason that this project stresses the importance of the LME governance framework.

3. Project components

The following project proposals have been developed in consultation with UNDP-GEF, IOCARIBE and the PDF-B project team. These ideas have also been discussed at a preliminary stage with the Technical Team tasked with the production of the TDA, which includes representatives from WECAFC-FAO, OSPESCA, CRFM and selected countries, at the project kick-off meeting in October 2006. This finalized document is the result of consensus reached by the member countries and other project partners at the CLME Project Concept/TDA Synthesis Workshop held in Kingston, Jamaica on February 28 – March 3, 2007.

3.1 Component 1: Project Management

The project will be guided by the Steering Committee comprising of representatives of the participating states, the GEF implementing and executing agencies, other key bilateral and international donors (FAO, NOAA, EU, etc.) and stakeholders. The Steering Committee will review and approve all technical documents, review budgets and financial reports and provide general implementation guidance to PCU. It will meet once a year and all its decisions will be made on the basis of consensus. In addition to the Steering Committee, at the Sub-Regional level, advisory bodies will be formed, comprising representatives of the countries and the implementing and executing agencies, to review all sub-regional activities, including demonstration projects.

The project will be administered from a small Project Coordination Unit, the location of which has yet to be decided. In choosing the PCU location, communications and logistics as well as the facilities offered by the host country will be important criteria. The PCU will be staffed by a Chief Technical Advisor, ideally a marine resource expert, a scientific officer and two technical assistants sourced regionally. The number of support staff will be limited in order to keep administration costs to a minimum. For it to operate effectively, the PCU will have to be able to exercise a considerable degree of financial independence, particularly with respect to local contracting. The PCU will be supported by international and regional consultants selected from agreed rosters.

Implementation of the project will be dispersed as widely as possible around the participating region, with the PCU acting as the coordinating body. The PCU will assume primary responsibility for implementation of component 2 (TDA) and coordination of component 3 (SAP Development). In addition, the CLME information system and project web-site will be hosted by the PCU.

The project will include a fourth component that has demonstration projects. Implementation of the four demonstration projects will be undertaken through Inter-Agency Agreements (IAA) or sub-contracts with named project partners. The PCU will provide oversight for each of the project components. Each demonstration project will be managed through a Project Implementation Unit, which will report technically to the PCU, but will be financially independent.

3.2 Component 2: Analysis of Transboundary Living Marine Resources Issues and Identification of Needed Actions

Early on in implementation of the PDF-B project, it became apparent that development of a detailed TDA at the regional level would not be possible given the available PDF-B resources and timeframe and that TDA finalization would have to be deferred to the Full Size Project. In addition, it was concluded, due to the CLME's size, complex mosaic of EEZs and diverse ecosystems, that development of a series of sub-regional TDAs would be more appropriate than a single analysis. Three sub-regions were selected for TDA development: Insular Caribbean, Central/South America and Guianas/Brazil.

The final TDA (incorporating Sub-Regional components) will be based on existing information and will characterize, scope and identify the underlying/root causes of transboundary issues relating to management of living marine resources from an ecosystem perspective. Following GEF best practice, the TDA process will lead to the identification of the priority interventions for inclusion in the SAP needed to address underlying/root causes, including filling of knowledge gaps, legal, policy, and institutional reforms, investments, economic instruments, awareness raising and stakeholder involvement. The TDA will be formulated by the Technical Task Team

(TTT) selected during the PDF-B project phase. An initial TDA will be completed in the PDF-B project and the final TDA in the Full Sized Project. The initial TDA will be used to help design of the Full Sized Project.

The final TDA will be the first activity to be undertaken in the Full Sized Project and will include detailed Causal Chain Analyses (CCA), Stakeholder Analysis and Public Involvement and Communication Strategy, institutional mapping and legislative review and a socio-economic evaluation. The TDA will inform the development of the SAP, including development of a multi-level management and governance framework (component 3) and inform the final design of the demonstration projects (component 4). The TDA through the CCA will identify possible interventions to be included in the Strategic Action Programme, some of which may be implemented within the demonstration projects. To assist prioritization during SAP development, the TDA will incorporate a socio-economic evaluation and pre-feasibility studies of key interventions.

The project design recognizes that there has already been a considerable amount of science monitoring, assessment, and research relevant to the goods and services provided by the resources of the Wider Caribbean. Much of the pertinent information is centralized in a few areas or is in forms that makes it difficult to access. Therefore, in parallel to the TDA, the project will assist in the design and development of a CLME information management system that will build on existing initiatives. The project needs to ensure that this system will be sustainable over the long term. One of the purposes of the information system will be to collate and facilitate the accessibility and dissemination of this widely scattered information, as well as to analyse the information and data produced for monitoring and evaluation of the ecosystem status of the CLME and implementation of the SAP. The design of the system will take account of other regional and sub-regional objectives to be discussed and agreed by the participating countries.

The Full Sized Project will establish a Stakeholder Advisory Group (STAG) to review the key project documents. It would comprise a team of up to 12 involved and aware stakeholders from the region who have an active interest in living marine resource management issues. The stakeholders will be carefully selected as part of the Stakeholder Analysis. They will be representatives of stakeholder groups which are not normally given a formal voice in the TDA/SAP development process, yet whose insights and perceptions of the project development may be especially illuminating given their immediate involvement with living marine resource management issues. The role of the Stakeholder Advisory Group will specifically be to provide feedback to the TDA/SAP process and design and monitoring of the demonstration projects.

3.3 Component 3: SAP Development and Identification of Reforms and Investments for Management of Shared Living Marine Resources

A SAP is a negotiated policy document which establishes clear priorities for action to resolve the priority transboundary living marine resource management problems. It identifies policy, legal and institutional reforms and investments needed to address the priority transboundary waters problems. The preparation of a SAP is a cooperative process among key stakeholders in the countries of the region.

The PDF-B project document required the production of a preliminary SAP endorsed by 26 countries and 18 dependent territories; however, in practice, it is not feasible or perhaps even appropriate at this early project stage. It was therefore decided to delay SAP development until after finalization of the TDA as part of the Full Sized Project. The SAP development process will

be informed by the TDA and the interim results of the demonstration projects. Following the principle of subsidiarity and GEF TDA/SAP best practice, the sub-regional TDAs will naturally lead to the development of Sub-Regional SAPs, nested and linked within a framework of a Regional SAP. The question would then arise what governance framework would be needed to implement such a multi-layered SAP?

The SAP component will assist the countries to create a management and governance structure for the Caribbean LME, utilizing the strengths inherent in existing institutions and structures (e.g. through a tripartite mechanism comprising FAO/WECAFC, IOC/CARIBE and UNEP/Caribbean Environment Programme) before creation of new ones. The first step will be to map out the present institutional framework within the different fisheries and within the context of other ecosystem considerations including productivity, pollution and ecosystem health, and socioeconomics. This work will be undertaken as part of the TDA. There will also be a review of relevant international fisheries agreements and other agreements and institutions affecting the health and sustainability of the goods and services of the CLME.

The institutional strengthening activities will include:

- Strengthening of existing decision-making institutions by the creation of a regional and sub-regional framework capable of delivering EBM of the living marine resources; and, where appropriate, promoting competence for management within existing bodies, including creating strong linkages with other economic sectors and stakeholder groups.
- Strengthening the linkages between the advisory and decision-making bodies including the operationalization of arrangements for implementation of the Precautionary Principle and Code of Conduct for Responsible Fisheries.
- Encouraging the Caribbean states to ratify and implement relevant international agreements (UNCLOS, UN Fish stocks Agreement, FAO Compliance Agreement, etc) and to support the development of national enabling legislation.
- Developing and promoting regional agreements and capacity to enable the Caribbean states to participate in international Fisheries Management Organizations, in particular the International Commission for the Conservation of Atlantic Tunas.

The final step, the development and agreement on the LME management and governance framework will be carried out in parallel with the development of the SAP and should be seen as an integral part of the SAP process. The strengthened management framework would be responsible for implementation of the SAP and monitoring and evaluation of the CLME ecosystem status and trends through an agreed set of indicators and information system (see below).

The SAP component will promote the agreements needed to link the demonstration projects to the regional and sub-regional and ecosystem-wide management and governance framework that will serve as an essential foundation for ecosystem-wide assessment and management of the LMR of the CLME.

The SAP will incorporate a monitoring and evaluation framework based on a suite of GEF IW indicators (process, stress reduction and ecosystem status) and will include reporting and updating procedures for recording SAP implementation. It will be important to establish the baselines against which the indicators are to be measured, which will be one of the most difficult tasks in the SAP development. The indicators must be measurable and, directly or indirectly, assess progress.

A review of existing monitoring programmes will be undertaken in order to identify a suite of ecosystem status indicators (ESI) which can adequately describe the status and track trends of the CLME environment whilst still being cost effective and technically feasible. The suite of ESI, in the form of an integrated Regional Ecosystem Monitoring Programme (REMP), will track the status and long-term trends in CLME fisheries, biodiversity habitat degradation and pollution. The development of the REMP should be seen as a long-term goal and should be phased to match the institutional capacity and the levels of funding available in the region. The REMP should be capable of producing consistent, comparable results and support the decision making process at the national, sub-regional and regional levels. The preliminary programme will inevitably be modest, focusing on priority transboundary pollutants and key ecosystems and fisheries under threat. The design of the REMP programme will be underwritten by the analysis done under the TDA and the results from the demonstration projects (component 3) and an integral part of the design will be a regional awareness and capacity building programme, targeting participating monitoring and advisory bodies. The REMP design will also be closely linked to that of the CLME information system to be developed under component 2.

3.4 Component 4: Targeted Projects Aimed at Strengthening the Policy Cycle and Early Strategic Action Programme Implementation

In designing the SAP implementation demonstration projects the guiding principle of “strengthening by doing” is to be followed. Four separate fisheries specific projects are to be developed, focusing on SAP development at different levels. The demonstration fisheries will be:

- Flyingfish;
- Shrimp and Groundfish;
- Lobster; and
- Reef fisheries and biodiversity

The demonstration projects will target application of best available information, including latest credible science-based assessments, to the management and policy processes at the appropriate level or levels. Data and information, analysis and advice, decision making, implementation and review and evaluation will be analyzed for strengths and weaknesses through the TDA process (component 2) and the demonstration project design. The draft project proposals will be discussed and finalized with the countries and STAG early in the first year of the Full Sized Project. It is important that the demonstration projects target potential SAP interventions particularly with regard to the Precautionary Approach and Code of Conduct for Responsible Fisheries, and that the interim results feed into the SAP and LME Governance framework development process.

The demonstration project design will take note of the following four propositions:

1. Any interruption at any stage of the policy cycle will result in dysfunctional governance of the target resources or ecosystems
2. Vertical linkages between functional policy cycles are necessary for effective LME governance
3. Horizontal linkages between functional policy cycles are often necessary for effective LME governance
4. Linkages between functional policy cycles specific to the “analysis and advice” and “decision-making” stages of the cycle are essential for effective LME governance

The four demonstration projects will highlight different aspects of the policy cycle at different governance levels.

The operation of these policy cycles will identify institutional and information gaps that need to be filled and the necessary monitoring and assessment will be funded by the GEP project to the extent that the budget allows, and complemented, as appropriate, by support from technical partners.

3.4.1 Flyingfish

Based on an emerging fishery, this demonstration project will focus on: strengthening of linkages between “analysis and advice” and “decision making” policy bodies; improve coordinated implementation at the Sub-Regional level; and increase stakeholder involvement at local, national and Sub-Regional levels. A potential promoter for this project is the CRFM whilst key partners include the WECAFC ad hoc Flyingfish Working Group and the OECS. This is seen as a guide demonstration project, a yardstick from which the implementation success of other more involved projects can be measured.

3.4.2 Shrimp and Groundfish

This project will target the increasing complex and sophisticated shrimp and Groundfish fishery of the Guianas-Brazil shelf. The weakness and strengths of the policy cycles have been well studied by the FAO-WECAFC fishery working group and key areas for interventions have been recommended. This demonstration project will be a model for what is achievable in terms of ecosystem-based management of a sub-regional, mixed fishery.

3.4.3 Lobster

The lobster fishery is significant in that it is ecosystem wide and transboundary as a result of planktonic dispersal, whilst local and national in terms of its management and governance. The challenge will be to create an implementable policy cycles at the local level with the necessary vertical linkages to the higher sub-regional and regional levels. The local governance structure needs to be able to deliver data and information to the higher levels and implement regional management rules, whilst still maintaining some degree of self regulation. The demonstration project needs to find the correct balance between top-down and bottom-down approaches to achieving sustainable resource management. Involvement of local stakeholders and increase public awareness will be crucial in building an effective policy cycle and governance structure. OSPESCA is a potential promoter of the demonstration project. The project would in the first instance have a limited geographical scope however linkages to other areas within the Wider Caribbean where the lobster fishery is of significant importance will be developed.

3.4.4 Reef fisheries and Biodiversity

The reef fisheries and biodiversity demonstration project will articulate a policy cycle for a subset of reef systems. These are highly complex and provide a wide range of goods and services at the local and global scale. The demonstration project will develop an assessment, management, and governance framework to ensure the ecological integrity of the reef and its ability to withstand environmental shocks and stresses such as climate change. The demonstration project will be implemented at a limited number of carefully selected sites, identified on the basis of their ability to provide comparative lessons on effective reef fisheries and reef biodiversity governance over the period of the project. The sites may be transboundary and or associated with existing Marine Protected Areas. Of particular interest to the project will be the adjoining secondary reef areas where regulation is less stringent and fishing pressure is heavier. Again, the importance of involving the local stakeholders in the decision-making process will be crucial in creating an effective governance structure.

A key objective of this component will be to engage as many of the countries in the implementation of the demonstration projects and in doing so encourage participation and engagement in the SAP process.

The demonstration projects will be designed to be replicable, and within the life of the project the lessons learnt will be transferred to comparable fisheries in the Caribbean and potentially wider afield. As part of the demonstration project design, a programme of activities will be developed to disseminate the lessons learnt.

4. Programme

A draft project programme is presented in a separate Excel spreadsheet file entitled CLME Timeline that accompanies this document.

The overall programme length is 4 years, beginning Q1 2008 and ending Q4 2011. The features to note are:

- Rapid establishment of the PCU, finalization of the TDA and commencement of the demonstration projects within the first nine months. As much preparatory work as possible needs to be done at the PDF-B stage to ensure a quick project start-up.
- Work on design of the LME management and governance framework and institutional strengthening will begin during the TDA and will continue until finalization of the SAP. Inter-governmental negotiations have their own rhythm and cannot be dictated by a strict project timetable and therefore the maximum time needs to be made available.
- SAP development will begin after TDA finalization and delivery of interim results from the demonstration projects. The SAP development will culminate with a donors' conference and information dissemination programme.
- The demonstration projects will have an 8 month design phase and 3 year execution phase, which will give sufficient time to assess the results, including the effectiveness of any new governance arrangements.

5. Budget

The GEF project budget excluding co-funding and the PDF-B funding is \$7.08 million: a draft project budget given in Table 1. The final budget division will be made once the detailed activities are agreed.

Additional co-funding will be actively pursued during the PDF-B stage for the SAP development implementation component.

**Table 1. Draft Project Budget
\$million**

Component 1		
Project management and Coordination	1.18	
Subtotal		1.18
Component 2		
Finalization of TDA	0.55	
Design and development of CLME information system		
	0.25	
Subtotal		0.80
Component 3		
SAP development	0.50	
Design of Monitoring and Evaluation Framework	0.20	
Institutional capacity building	0.40	
Development of CLME governance framework	0.30	
Donors Conference and information dissemination	0.20	
Subtotal		1.60
Component 4		
Design and implementation of demonstration projects	3.50	
Subtotal		3.50
TOTAL		7.08

Appendix 5. Potential Partnership Diagrams

- 5a. Flyingfish Partners (attached as a separate file)
- 5b. Lobster Partners (attached as a separate file)
- 5c. Reef fisheries/Biodiversity Partners (attached as a separate file)
- 5d. Shrimp and Groundfish Partners (attached as a separate file)
- 5e. Component 3 – Implementing the Governance Framework Partners (attached as a separate file)