COVER PAGE INFORMATION

1. Country: Antigua and Barbuda, Bahamas, Barbados, Belize, Brazil, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago, Venezuela.

The following non GEF-eligible countries and associated territories will be invited to participate in the project at their own expense *France (French Guiana, Guadeloupe, Martinique, St. Barthelemy, St. Martin), The Netherlands (Aruba, Bonaire, Curacao, Saba, St. Eustatius, St. Maarten), United Kingdom (Anguilla, Bermuda, British Virgin Islands, Cayman Islands, Montserrat, Turks and Caicos Islands), United States of America (Puerto Rico, US Virgin Islands),*

2. Focal Area: International Waters

3. Operational Programme: OP 8 (Water-body based Operational Program) Large Marine Ecosystem Component, with link to OP 2 (Biodiversity -- Coastal, Marine, and Freshwater Ecosystems)

4. Project Title: Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions

5. Total Cost: $913,000

6. PDF Request: $700,000 **Block:** PDF Block B

7. In-kind contributions:

$213,000, including local transport, meeting rooms, logistics, administrative services, time inputs from institutions in GEF eligible and non GEF-eligible countries.

8. Requesting Agency: UNDP

9. Executing Agency: IOC of UNESCO Sub-Commission For The Caribbean And Adjacent Regions IIOCARIBE)

10. Duration: March 2004 – October 2005

PROJECT STRUCTURE

11. Project objective:

The overall objective of the project is:

Sustainable management of the shared living marine resources of the Caribbean LME and adjacent areas through an integrated management approach that will meet the WSSD target for sustainable fisheries.

The specific objectives of the project are:

1. To identify, analyze and agree upon major issues, root causes and actions required to achieve sustainable management of the shared living marine resources in the Caribbean Sea LME;
2. To improve the shared knowledge base for sustainable use and management of transboundary living marine resources (see Table 1);
3. To implement legal, policy and institutional (SAP) reforms to achieve sustainable transboundary living marine resource management;
4. To develop an institutional and procedural approach to LME level monitoring, evaluation and reporting.

12. Global significance:

The Caribbean Sea and adjacent large marine ecosystems include a wide variety of tropical ecosystems and associated biodiversity. The area encompasses a large proportion of the worlds coral reef resources, including the second longest barrier reef, the MesoAmerican Barrier Reef System. The sea is an important source of food and employment for most Caribbean countries, through both fisheries and tourism. Thus the sustainability of its living resources is of considerable importance to an appreciable proportion of the region's countries.

Consequently, the Caribbean Sea plays a key role in poverty alleviation and national economic stability in Caribbean countries, the region and ultimately, globally.

Many large pelagic resources of importance in the Caribbean migrate or are distributed throughout the Atlantic and support fisheries in many non-Caribbean Atlantic coastal states as well as distant water fleets. Improved management of these resources through better participation of Caribbean countries in the management process will have benefits that reach far beyond the region.

The opportunity provided by this project for Caribbean states to address squarely and fully the WSSD goals regarding fisheries, particularly those pertaining to restoration of stocks to levels that can produce maximum sustainable yield by 2015 and introducing an ecosystem-based approach to the assessment and management of marine resources by 2010, enables the region to participate in these global initiative. The aggregate of such initiatives will ultimately provide the critical mass required for success in this effort.

The lessons learned regarding cooperation in management of transboundary resources by the numerous small countries (mostly SIDS) of the Caribbean will be of values attempting similar management in other parts of the world, particularly those where SIDS are common.

13. Background:

Overall Context – The Wider Caribbean

The Wider Caribbean Region extends from the mouth of the Amazon River, Brazil, in the south, through the insular Caribbean, Central America, the Gulf of Mexico and north along the east coast of North America to Cape Hatteras. This area also corresponds to the region covered by the FAO Western Central Atlantic Fishery Commission (WECAFC). Within this area there are three large marine ecosystems (LMEs): The Gulf of Mexico LME, the Caribbean Sea LME, and the North Brazil Current LME (Figure 1). These ecosystems are closely linked, particularly the latter two, as the oceanography of the Caribbean Sea is strongly influenced by the highly productive upstream Brazil-Guianas Shelf LME. The Gulf of Mexico LME is most influenced by inputs from the Mississippi and other North American rivers, and is not included in this proposal as it is being addressed by another project.

The region includes 26 countries and 19 dependent territories of 4 other countries (see Section 3). These countries range from among the largest (e.g. Brazil, USA) to among the smallest (e.g. Barbados, St. Kitts and Nevis) in the world, and from the most developed to the least developed. Consequently, there is an extremely wide range in their capacities for living marine resource management. Throughout the region, the majority of the population inhabits the coastal zone, and there is a very high dependence on marine resources for livelihoods from fishing and tourism, particularly among the small island developing states (SIDS), of which there are 16. In addition 18 of the 19 dependent territories are SIDS. The region is characterized by a diversity of national and regional governance and institution arrangements, stemming primarily from the governance structures established by the countries that colonized the region.

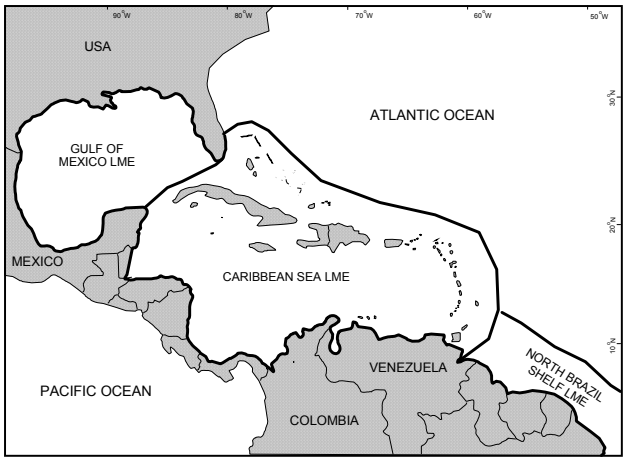

Figure 1: The Caribbean and adjacent Large Marine Ecosystems

The EEZs of the Caribbean region form a mosaic that includes the entire region with the exception of two small areas of High Seas in the Gulf of Mexico mosaic. Consequently, there is a high incidence of transboundary resource management issues, even at relatively small spatial scales.

The Caribbean Sea has been severely impacted by a variety of human uses. These include overexploitation of most coastal and offshore living marine resources, destruction of coastal habitats by tourism, industrial and urban development, and degradation of the marine environment by pollution from land and ship-based sources. Caribbean coastal states, especially Small-Island Developing States (SIDS), are highly dependent on the marine environment for their economic, nutritional and cultural well-being. Fisheries play a major role in Caribbean countries. Small-scale fisheries are particularly important, but are often undervalued. As near-shore resources have become depleted, and also in response to increasing demand for fish products, attention has turned to offshore resources, which are inevitably shared and already fully exploited by the major fishing nations.

The oceanography of the Caribbean region is highly variable both spatially and temporally. The North Coast of South America is dominated by the effects of two of the largest river systems in the world, the Amazon and the Orinoco, as well as numerous other large rivers (Muller-Karger 1993). Most Caribbean islands are more influenced by the nutrient-poor North Equatorial Current which enters the Caribbean Sea through the passages between the Lesser Antilles. Those islands with appreciable shelf area exhibit significant coral reef

development. From Isla Margarita west to Mexico, the continental shelf is also extensively occupied by coral reefs at shallow depths. Seagrass beds and mangroves are also common coastal habitats.

The Wider Caribbean Region is a biogeographically distinct area of coral reef development within which the majority of corals and coral reef associated species are endemic. Thus, as a whole, the region is of considerable global biodiversity significance. The Meso-American Barrier Reef is the second longest barrier reef system in the world.

There is considerable spatial and seasonal heterogeneity in productivity throughout the region. Areas of high productivity include the plumes of continental rivers, localized upwelling areas and near shore habitats (e.g., reefs, mangrove stands and seagrass beds). The trophic connection between these productive areas and other, less productive systems (e.g., offshore planktonic or pelagic systems), is poorly understood for this region. Likewise, food chain linkages between resources with differing scales of distribution and migration, such as flyingfish and large pelagics, both of which are exploited, are not considered in management, but may be critical to preventing the stock depletion that has occurred in many other systems where the requirements and or impacts of predators have not been considered in the exploitation of prey species.

Transboundary Living Marine Resources in the Caribbean Region

The fisheries of the Caribbean Region are based upon a diverse array of resources. The fisheries of greatest importance are for offshore pelagics, reef fishes, lobster, conch, shrimps, continental shelf demersal fishes, deep slope and bank fishes and coastal pelagics (Table 1). There is a variety of less important fisheries such as for marine mammals, sea turtles, sea urchins, and seaweeds. These fishery types vary widely in state of exploitation, vessel and gear used, and approach to their development and management. However, most coastal resources are considered to be overexploited and there is increasing evidence that pelagic predator biomass has been severely depleted (FAO 1998, Mahon 2002, Myers and Worm 2003).

The fisheries use a wide variety of gear, and are primarily artisanal, or small-scale, using open, outboard powered vessels 5-12 m in length (see Table 1). The most notable exception are the shrimp and groundfish fisheries of the Brazil-Guianas shelf where trawlers in the 20-30 m size range are used, and the tuna fishery of Venezuela which uses large (>20 m) longliners and purse seiners. In many countries there has been a recent trend towards more modern mid-size vessels in the 12-15 m range, particularly for large pelagics, deep-slope fishes and lobster and conch on offshore banks.

The large pelagic species that are assessed and managed by ICCAT are the most 'high-profile' species with ocean-wide distribution sustaining the largest catches, often by distant water fleets. Few countries of the region presently participate in ICCAT's activities. The CARICOM Fishery Resources Assessment and Management Programme (CFRAMP) has been working towards the participation of CARICOM countries in ICCAT, most recently with assistance from FAO. A main problem is that many countries of the Caribbean, often SIDS, presently take only a small proportion of the catch of species managed by ICCAT. These countries may, by virtue of the size and productivity of their EEZs, be entitled to a larger share, but lack the technical capacity or the financial resources to participate in ICCAT where their case would be made. There is the need to develop a strategic approach through which these countries, particularly SIDS, can take part effectively individually or collectively in ICCAT (Chakalall *et al.* 1998, Singh-Renton *et al*. 2003, FAO 2002, 2003).

Numerous other large migratory pelagic species that are not managed by ICCAT are important to the fisheries of Caribbean countries, e.g. dolphinfish, blackfin tuna, cero and king mackerels, wahoo and bullet tunas. The information base for management of these species is virtually non-existent. These are species for which a regional effort at management is urgent (Mahon 1996, FAO 2003). This effort must include the appropriate institutional arrangement for cooperative management as required by the UN Fish Stocks Agreement.

Recreational fishing, an important but undocumented contributor to tourism economies, is an important link between shared resource management and tourism, as the preferred species are mainly predatory migratory pelagics (e.g. billfishes, wahoo, dolphinfish). This aspect of shared resource management has received minimal attention in most Caribbean countries (FAO 2002).

Whereas, there is the tendency to think primarily of migratory large pelagic fishes as shared resources, it is important to note that reef organisms, lobster, conch and small coastal pelagics are also likely to be shared resources by virtue of planktonic larval dispersal. In many species, larval dispersal lasts for many weeks (e.g., conch) or many months (e.g., lobster) and will result in transport across EEZ boundaries. Therefore, even these coastal resources have an important transboundary component to their management. They are the resources that have been most heavily exploited by Caribbean countries and are severely depleted in most areas. Their status has been discussed and documented by FAO and WECAFC for several decades (see Table 1). These early stages are impacted by habitat destruction and pollution as well as overfishing of the spawning stock and both improved knowledge and institutional arrangements are required to implement management.

Understanding the role of these early life-history stages is important to the effective management of Caribbean LMR. Physical and biological processes of the wider Caribbean LME influence recruitment and, thus, these processes impact the nature of how resources are shared. What is often lacking is a practical knowledge of how physical and biological processes, as well as human impacts on these processes, are shaping larval populations and recruitment. Marine Protected Areas (MPAs) may play an important role as sources of output, supplying either local or regional populations. The effectiveness of MPAs may be largely determined by

strategic, and in some cases fortuitous, placement upstream from unprotected and exploited adult populations; fragile downstream coastal ecosystems may in fact depend heavily on contributions from MPAs (Roberts 1997). The contributions of MPAs, however, are limited by the oceanographic regime transporting larvae (an example of physical processes) and the uncertainty of survivorship in transported larval populations (biological processes). These considerations apply to all living marine resources with planktonic early life history stages and, thus, concern fisheries species (e.g., offshore pelagics, lobster, conch, and shrimps) and most reef-dwelling organisms (e.g., corals, reef fishes, and myriad others).

Large Marine Ecosystems as Marine Resource Management Units

The case for addressing living marine resource management at the scale of the LME has been well developed through a number of initiatives (Sherman 2001). Typically, the LME approach includes five modules that focus on different aspects of the ecosystem: (1) productivity, (2) fish and fisheries, (3) pollution and health, (4) socioeconomic conditions and (5) governance (Sherman 2001). It is now widely accepted globally and has been incorporated into the FAO Code of Conduct for Responsible Fisheries. Most recently, the need for ecosystem level approaches to management were addressed at the Reykjavik Conference on Responsible Fisheries in the Marine Ecosystem, October 2001, which issued the Reykjavik Declaration, calling for much greater attention to incorporation of ecosystem level considerations into marine resource management (FAO 2001). These were also identified at the World Summit on Sustainable Development (WSSD) in 2002.

At the scale of the LME, living marine resource management issues in the Caribbean include:

- *Migratory resources (mainly large pelagics, but also some coastal pelagics);*
- *Resources with transboundary distribution as adults (various demersal fishes);*
- *Resources with transboundary larval dispersal (lobster, conch, reef organisms);*
- *Dispersal of pathogens, pollutants and invasive species;*
- *Resources with transboundary trophic linkages.*

Governance Context: Legal, Policy and Institutional

The need for attention to the management of shared marine resources in the wider Caribbean Region is well documented. From the early 1980s it has been a main subject for discussion by WECAFC (e.g. Mahon 1987) and was stressed at its Commission Meeting in 1999 (FAO 1999). These issues have been discussed and agreement reached on the need for a coordinated regional effort on shared resources at other fora, such as: The IOCARIBE Workshop on Fisheries Oceanography of Highly Migratory and Straddling Species of the Intra-Americas Seas in 1995; The ACP-EU Fisheries Research Initiative, Third Dialogue Meeting, Caribbean, Pacific and the European Union in 1996 (ACP-EU 1997); and the CARICOM Symposium on the Sustainable Utilization of Fisheries and Other Ocean Resources in 1999. In the latter, Ministers endorsed recommendations addressing these problems, that included developing the information base for shared living marine resources.

A number of regional and global agreements exist which seek to address the social, economic and governance issues related to shared marine resource management. These include UNCLOS, the UN Fish Stocks Agreement, the FAO Compliance Agreement and the FAO Code of Conduct for Responsible Fisheries (United Nations 1983, United Nations 1995, FAO 1995a, 1995b). The latter three of these are relatively new instruments the national level implications of which are now being explored by the countries of the Caribbean region. These implications include (a) the need for capacity building at the national level to take part in international and regional level management of shared resources, and (b) the need for strengthening and expanding the scope of regional institutions to undertake this function.

Institutional arrangements for the management of transboundary living marine resources in the Caribbean region have been emerging, de facto, from the ongoing efforts of various institutions. These reflect the fact that the Caribbean does not have any major fish stocks attracting large commercial fleets, revenues from which can be expected to support a fisheries management institution. In other parts of the world, large valuable tuna or clupeid stocks have provided the incentive to establish management regimes to protect indigenous rights and to extract rents from non-indigenous fleets. The emerging approach in the Caribbean is more suited to the large diversity of resources that are already mostly exploited by indigenous fleets so that the issues relate primarily to conservation, optimization and intra-regional equity.

In response to the above situation, the emerging arrangements are flexible and involve networking and adaptation of existing institutions. This approach has been endorsed by the countries of the region at the last two meetings of WECAFC (1999, 2001b). The arrangements involve a number of fledgling initiatives for various types of resources. For example, in the case of conch the Caribbean Fishery Management Council has taken the lead in approaching regional management. However, some countries have difficulty taking part to the extent required for successful management. For shrimp/groundfish and flyingfish, WECAFC ad hoc Working Groups are the lead agencies. The newly established CARICOM Caribbean Regional Fisheries Mechanism (CRFM) has identified large pelagics as a priority topic and could take the lead for these resources (FAO 2003). A recently completed FAO Technical Cooperation Programme project (TCP/RLA 0070) “Preparation for Expansion of Domestic Fisheries for Large Pelagic Species by CARICOM Countries” has assisted the CRFM in developing a strategy for regional management of large pelagics and for its participation in ICCAT.

While some limited progress has been made, a number of gaps and needs remain, including: (a) strengthening national level capacity to participate in regional level management processes (b) strengthening emerging regional arrangements and organizations to play the role of 'competent organizations' as defined by the UN Fish Stocks Agreement, and (c) developing linkages among these arrangements. This strengthening must span the full range of activities required for collaborative management of shared resources, including: information gathering and sharing, analysis and interpretation, provision of advice, management decision making, implementation. The approach that is considered to be most likely to be successful in the context of the emerging Caribbean model for shared living marine resource management is that of "strengthening by doing". The tenet that management should not use lack of complete information as an excuse for not taking action will be a guiding one. There is in most cases, adequate information for preliminary planning that identifies the strategic approach to be adopted, the information needs of that approach and interim management actions that can taken while the information/advisory base is being strengthened. By taking this approach information, advisory, decision-making and implementation capacity can be strengthened in parallel.

14. Project description: including implementation arrangements

The project will result in the following alternative scenario:

The proposed project for the Sustainable Management of the Shared Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions will build on and complement existing projects and initiatives that focus on technical and institutional aspects of sustainable living marine resource use by focusing on governance, knowledge, and institutional issues in a transboundary context. Most present projects in the Caribbean have a focus that is primarily coastal. Several include only sub-areas of the Caribbean LME. The present project will expand this focus to offshore systems and transboundary issues at the scale of the Caribbean LME.

With the project, there is the opportunity for implementation of management reforms that will permit sustainable development and management of the shared living marine resources of the Caribbean Large Marine Ecosystem and adjacent regions. Since most living marine resources are shared in some way, these reforms can be expected to lead to improved food security and enhanced livelihoods in rural coastal communities that rely on fisheries and tourism. There is also the likelihood of preservation and rehabilitation of degraded coastal ecosystems, conserving and protecting marine biodiversity.

The increased knowledge of transboundary living marine resources and increased institutional capacity to use that knowledge at national, regional and international levels that will result from the proposed project, will halt and should even reverse the declining trend of resource depletion and degradation. At both national and regional levels, measures to improve management of these resources will be put in place. Management and decision-making mechanisms that have been established or enhanced through strengthening of the key institutions will be functioning to ensure that resources are assessed, management recommendations are provided, measures are put in place and that compliance to these is monitored. They will operate under reformed national and regional policies and agreement. These mechanisms will incorporate LME level considerations of ecosystem productivity, fish and fisheries, pollution and ecosystem health, socioeconomics and governance into their measures. In concert with the above changes, heightened public awareness and improved coordination with linked programmes will ensure the sustainability of the GEF intervention.

The full project's objectives, to a large extent drawing on the provisional SAP, will be:

- To identify, analyze and agree upon major issues, root causes and actions required to achieve sustainable management of the shared living marine resources in the Caribbean Sea LME;
- To improve the shared knowledge base for sustainable use and management of transboundary living marine resources (see Table 1);
- To implement legal, policy and institutional (SAP) reforms to achieve sustainable transboundary living marine resource management;
- To develop an institutional and procedural approach to LME level monitoring, evaluation and reporting.

Implementation modalities must be worked out in complete form during the PDF-B activities, but the project is envisaged as having four Components.

1. Analysis of transboundary LMR issues (TDA) and needed actions (SAP) (initial and update following adaptive management approach);
2. Filling knowledge gaps needed for effective transboundary LMR management;
3. Implementation of governance reforms (institutional, legal, and policy) for LMR management;
4. LME level monitoring, evaluation and reporting including indicators;

Components will include the following Activities and Outcomes:

Component 1. Analysis of transboundary LMR issues and needed actions

Activity 1.1 Conduct an initial (pdf-b) Transboundary Diagnostic Analysis (TDA) in which existing information will be reviewed and analyzed to fully characterize the nature, scope and root causes of transboundary living marine resource issues in Caribbean LME; update TDA with new information gathered in Component 2. Utilize results of GIWA Assessment of Caribbean LME if available

Activity 1.2 Prepare an agreed initial (pdf-b) Strategic Action Program (SAP) for Caribbean LME shared living marine resources that identifies and outlines approaches to addressing necessary resource and oceanographic assessments, legal, policy and institutional reforms at national and regional levels; update SAP following revision of TDA in 1.1 and adaptive management approach

Outcome 1. Transboundary LMR issues analyzed and needed actions agreed upon

i. A preliminary Transboundary Diagnostic Analysis (TDA) that fully characterizes the nature, scope and root causes of transboundary living marine resource issues in Caribbean LME will be completed during the pdf-b. It will be updated towards the end of the full project, reflecting improved information base (Component 2), and agreed among the participating countries and institutions.

ii. An agreed preliminary Strategic Action Program (SAP) for Caribbean LME shared living marine resources will be completed during the pdf-b. Following an adaptive management approach, the SAP will be updated towards the end of the full project and agreed among the nations, specifying necessary legal, policy and institutional reforms at national and regional levels and means of achieving these.

Component 2. Filling knowledge gaps and sharing information needed for management

Activity 2.1 Compilation and sharing of existing information through support for information compilation efforts by established regional management bodies and for new bodies required for resources presently not covered, and through establishment of regional shared living marine resources information nodes and/or networks based on meta-database concepts

Activity 2.2 Fill knowledge gaps on resources and biophysical processes including productivity, fish and fisheries, pollution and ecosystem health required for ecosystem-based living marine resource management as identified by PDF-B review and by the ongoing governance reforms established or enhanced in component 3.

Activity 2.3 Conduct pertinent assessments of LMRs and related productivity and oceanographc processes through joint international data collection cruises and data syntheses and analyses

Outcome 2. Knowledge and information gaps for living marine resources management filled

i. Improved quality and availability of data and information in support of policy and management decision-making.

Component 3. Implementation of necessary governance reforms (institutional, legal, and policy)

Activity 3.1 Enhance institutional structures that provide living resource management advice to the bodies with responsibility for management decision-making (based on the principles of using existing international, regional and sub-regional institutions with a mandate for management of shared resource wherever possible, 'strengthening by doing')

Activity 3.2 Link these advisory institutions together for a region-wide ecosystem approach by networking and where necessary establishing regional cross-sectoral committees among them.

Activity 3.3 Use and strengthen existing institutional (political) structures with responsibility for management decision-making, and facilitate the establishment within these bodies of competent management authorities for various subsets of shared resources as prescribed by the UN Fish Stocks Agreement, WSSD and other relevant international agreements and to ensure effective regional participation in the international management authorities responsible for Caribbean resources, e.g. the International Commission for the Conservation of Atlantic Tunas (ICCAT). Establish linkages among these institutional structures for effective cooperation in management of transboundary resources.

Activity 3.4 Promote increased ratification and implementation of relevant international agreements (UNCLOS, FAO Code of Conduct, UN Fish Stocks Agreement, etc.) by Caribbean countries.

Activity 3.5 Improve implementation of management measures and reform supporting policy and legal instruments by: promoting harmonization of national (with regional and international) and regional (with international) policy and legislation for shared living marine resource management; building capacity for implementation of management measures, legal, policy and regulatory reforms and by developing a concept for a compact between management bodies to achieve the coordination necessary for recovery of depleted fish stocks.

Activity 3.6 Ensure sustainability and replicability of project interventions by identifying and implementing measures (financial, institutional, etc.) to sustain the reforms (e.g. fees on fishing/tourism, trust funds,

government contributions, etc.).

Activity 3.7 Disseminate and share project results, best practices and lessons learned with appropriate target audiences through wide range of mechanisms (publications, Internet incl. IW:LEARN, twinning, GEF IW Conferences, etc.).

Outcome 3. Legal, policy and institutional reforms for shared LMR management implemented and sustainable

i. Institutional

a. Management advisory bodies and processes strengthened or established and providing timely and accurate advice to decision makers.

b. Existing institutional (political) structures for decision-making strengthened, where appropriate by establishing competent management authorities within them, and will be active.

c. Linkages among these advisory and decision-making bodies strengthened to ensure a Caribbean-wide ecosystem-based approach to living marine resource management.

ii. Legal/Policy

a. Increased ratification and implementation of relevant international agreements (UNCLOS, UN Fish Stocks Agreement, FAO Compliance Agreement, etc.) by Caribbean countries

b. Supporting national policy and legal frameworks reformed and harmonized regionally and internationally

iii. Sustainability

a. Regional management institutions have capacity to participate in the activities of international FMOs responsible for resources of interest to Caribbean countries.

b. Increased national and regional capacity for implementation of management measures and for legal, policy and regulatory reforms

c. Sustainability and replicability of the project interventions ensured.

d. Development and operationalization of system to implement the Precautionary Principle and Code of Conduct for Responsible Fisheries.

Component 4. LME level monitoring, evaluation and reporting

Activity 4.1 Identification, establishment and operation of an institutional arrangement that will be responsible for assembling and reporting on agreed indicators for monitoring and evaluation of the status of the Caribbean LME shared living marine resources, e.g. through a tripartite mechanism comprising FAO WECAFC, IOC IOCARIBE and UNEP CEP.

Activity 4.2 Development of a suite of process, stress reduction and environmental status indicators (GEF International Waters Indicators), for the Caribbean LME shared living marine resources using the improved knowledge base and enhanced regional institutional arrangements and including indicators of the five LME modules of ecosystem level productivity, fish and fisheries, pollution and ecosystem health, socioeconomics, and governance.

Outcome 4. LME level monitoring, evaluation and reporting processes in place

i. Institutional and procedural approach to LME level shared living marine resources monitoring, evaluation and reporting in place, including process, stress reduction and environmental status indicators.

15. Description of proposed PDF Block B activities:

The PDF Block B activities are designed to be fully consultative and participatory, leading to submission of the GEF Project Proposal to the GEF Council.

1. Establish and begin operation of a PDF-B Secretariat
2. Establish a Project Steering Committee (participating governments, agencies, other donors, NGOs, public and private stakeholders)
3. Initial Steering Committee meeting and PDF-B Coordination mechanisms

   Objectives:

   i. To develop a shared vision for the full project and participatory work plan for the PDF-B;

   ii. To inform the participants of project goals and GEF and UNDP procedures and requirements and to identify their role in the process of developing and implementing the CLME project proposal;

   iii. To establish the Technical Advisory Group (TAG)

   iv. To agree on pdf-b coordination and information sharing mechanisms

4. Gather and review Information

Objectives:

i. Establish task groups to review key technical and/or governance issues including: Coral reef governance, fisheries governance, oceanography and interface with GOOS, CLME ecosystem-based management, monitoring and reporting

ii. Establish task groups to review and evaluate transboundary LMR issues for five subregions of the Wider Caribbean Region: Guianas/Brazil, Eastern Caribbean, West Central Caribbean, Central/South America.

5. National/Sub-regional Consultations

Objectives:

i. To provide coordinated national and sub-regional inputs from all stakeholders on subregional transboundary LMR and associated technical/governance issues

i. To identify and include potential regional donors/partners in the Full Project proposal preparation process

6. Develop Preliminary Transboundary Diagnostic Analysis (TDA) and Strategic Action Programme (SAP)

Objective:

i. Engage TAG in developing TDA and SAP in a workshop scheduled for this purpose.

ii. Synthesize subregional identification of the priority transboundary LMR issues and their immediate and root causes that need to be addressed by the main project (preliminary TDA)

iii. Synthesize reviews of governance reforms (legal, policy, institutional) necessary to address the priority transboundary LMR issues and achieve sustainable management of Caribbean LME shared living marine resources (preliminary SAP)

7. Develop Full Project Brief draft

Objectives:

ii. Develop the First Draft of the Full Project proposal and Executive Summary and all required and optional annexes

8. Final Steering Committee meeting (Final Draft)

Objectives:

i. To review and adopt a final Full GEF Project Executive Summary (with full incremental cost analysis and co-finance documentation) and UNDP Project Document for submission to the GEF Council, and upon approval, for later appraisal and implementation.

ii. To secure and confirm full project co-funding commitments (donor, government and private sector, cash and in-kind)

16. PDF Block B Outputs:

Agreement among countries, IAs, EA, other donors and participating institutions, etc. on project coordination and implementation arrangements

Information synthesized and interpreted (preliminary TDA) to provide recommendations (preliminary SAP) on the work to be done in the full project.

Complete GEF Executive Summary and UNDP Project Document including objectives, components, outcomes, outputs, activities, budget, full incremental cost analysis, log frame, STAP review, monitoring and evaluation plan, public involvement plan, documentation of co-financing, and endorsements from recipient governments' GEF Operational Focal Points

Capacity built among regional participants to participate in future project activities, through use of national consultants in the process. Broad stakeholder involvement in the development and planned implementation of the project.

17. Eligibility:

All proposed recipient countries (25) are eligible under paragraph 9(b) of the GEF Instrument.

The major conventions that are relevant to the management of transboundary living marine resources are the Law of the Sea Convention and related instruments such as the 1995 UN Fish Stocks Agreement. With the exception of the Law of the Sea Convention, which most countries have signed, these are relatively new instruments, having been drawn up in the past 8-10 years. Most countries are presently in the process of examining the implications of these conventions in preparation for signing them. In many cases, countries have not signed them primarily because they do not have the capacity or the resources to implement them (FAO 2002).

Rather than being a prerequisite for GEF support, increased ratification and implementation of these conventions could be seen as an outcome of the project due to increased capacity for implementing them.

The proposed project is consistent with GEF's objective in the International Waters focal area to "contribute primarily as a catalyst to the implementation of a more comprehensive, ecosystem-based approach in managing international waters", and with the strategic thrusts of: "(a) assisting groups of countries to better understand the environmental concerns of their international waters and work collaboratively to address them; (b) building the capacity of existing institutions (or, if appropriate, developing the capacity through new institutional arrangements) to utilize a more comprehensive approach for addressing transboundary water-related environmental concerns; and (c) implementing measures that address the priority transboundary environmental concerns." (GEF Operational Strategy, Chapter 4).

As proposed by the GEF Waterbody-Based Operational Program this project "...involves activities that address the priority transboundary environmental concerns that exist in a [...] a large marine ecosystem.". It will "help groups of countries to work collaboratively in learning about and resolving priority transboundary water-related environmental concerns. [...] help overcome barriers to organizational learning and transactions costs of working together in strengthening or developing a regional institutional framework and in addressing sectoral causes of major water resources problems." In this project, "... Institution building plays a crucial role, and specific capacity-strengthening measures are [proposed] to assist countries in finding the appropriate institutional and organizational arrangements."

18. National level support:

The countries of the Caribbean have repeatedly indicated the need for attention to shared living marine resource management at the regional and international levels through participation in regional arrangements, and through signing various international treaties and agreements. IOCARIBE Member Countries have endorsed this project at two consecutive Subcommission meetings (1995 and 1999).

In the past two to three decades, the countries of the region have made progress in establishing and enhancing the institutional capacity for collaborative management of their national and shared coastal and marine resources. This process has been complex and multifaceted owing to the geopolitical complexity of the region. Some regional initiatives began in the 1970's. These include the UNESCO IOC IOCARIBE program (1975) and the FAO Western Central Atlantic Fishery Commission WECAFC (1976). Others had their genesis in the signing of the Montego Bay Convention (UNCLOS III)(United Nations 1983). All were given added momentum by Agenda 21 and other agreements arising from UNCED in 1992. Elaboration of UNCLOS through the United Nations Fish Stocks Agreement (United Nations 1995) and the FAO Compliance Agreement (FAO 1995) has increased the need for urgent action regarding sustainable management of marine resources. All the countries have committed to the implementation of the principles of the FAO Code of Conduct for Responsible Fisheries. Most countries have signed the Convention on International Trade in Endangered Species (CITES) and the Convention on Biological Diversity (CBD) which have considerable implication for the management of living marine resources in the Wider Caribbean Region. Recently the WSSD targeted 2015 for restoring depleted fish stocks and recognized the importance of an ecosystem approach.

In addition to the instruments mentioned above, the countries of the region participate in several regional and international arrangements that are relevant to sustainable living marine resource use in the Caribbean.

Most recently, the concern of Caribbean countries for the future of the Caribbean Sea is reflected in the United Nations General Assembly Resolution (55/203, February 2001) "*Promoting an integrated management approach to the Caribbean Sea area in the context of sustainable development*". This resolution recognizes the dependence of Caribbean countries upon the marine environment as well as the vulnerability of the Caribbean Sea and calls for the countries and international agencies to develop an integrated management approach.

The countries continue to provide not only baseline activities in the area of the environment, but also contribute co-financing. Anticipated co-financing for the full GEF bridging project includes provision of local facilities, local transport, intersectoral coordination, meeting facilities, communications, and administrative services.

Endorsements from the GEF Operational Focal Points from each of the requesting countries are attached.

19. Justification:

The Block B activity will allow the countries to develop consensus on the most urgent strategic studies to concentrate on during the GEF project (to fill gaps in and update the TDA), and also to prioritize and mobilize resources for early SAP implementation (including biodiversity actions). The Block B will provide the opportunity for the region to develop more detailed objectives, and actions, for the full project. The raw material is available. What is needed now are the resources to develop regional priorities and agreement, which the Block B can provide. The Project is in harmony with the guidance for OP8: Waterbody-based Operational Program. This project seeks to provide broad interventions leading to more comprehensive approaches for restoring and protecting Transboundary resources.

20. Timetable

PDF Block A activities began in September 2001 and the Concept was admitted into the GEF pipeline in May 2003. The PDF-B is expected to begin in March 2004 and to be completed by October 2005. The GEF project would be presented to GEF Council in Fall 2005.

Activity	Month																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Establish management structure	x																	
Establish Steering Committee		x																
Initial Steering Committee meeting			x															
Task groups on regional transboundary issues (Guianas/Brazil, Eastern Caribbean, West Central Caribbean, Central/South America				x	x	x	x	x	x	x	x							
Task groups on technical/governance issues (Coral reef governance, Fisheries governance, Oceanography and interface with GOOS, CLME monitoring and reporting								x	x	x	x							
National review of task group reports												x						
Workshop on TDA and SAP (TAG)													x					
Preparation of GEF Executive Summary and UNDP Project Document																		
First drafts														x				
National review															x			
Revision																x		
Final Steering Committee meeting																	x	
Final submission																		x

PDF-B Budget (total GEF: $700,000)

Activity	GEF	National/Regional	Total
Int'l Consultants	222,000	20,000	242,000
Nat'l consultants	32,000	80,000	112,000
Admin. Support	30,000	60,000	90,000
Travel/meetings	334,500	31,000	365,500
Miscellaneous:	30,000	22,000	52,000
IOC Supp. Costs:	51,500		51,880
TOTAL	700,000	213,000	913,000